CAPITA

Financial Year Rollover
Checklist

February 2013

About this document

♦ This document describes the process to be performed at the end of the financial year to move Alto into the new financial year.

♦ It is intended for System Managers and Acquisitions staff with experience of running and administering Alto.

Revision history

| CA-600-FY-01 | September 2012 | Capita version of the Talis checklist dated March 2011. |
| CA-600-FY-02 | February 2013 | Added paragraphs 1.3 and 2.1.1 in response to customer queries. |

Support

If you are experiencing difficulties, please contact your System Manager/IT Department in the first instance.

You can now raise, track, and close your support cases using our 24 x 7 **My Support** web service. You must have a user name and password to access the service – you can register at the following address: http://www.capita-libraries.co.uk/services/register/

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1.   Introduction

The checklist is divided into four sections:

♦   Actions to be carried out in advance of the end of the year
♦   Actions to be carried out just prior to the rollover
♦   Actions to be carried out during the rollover
♦   Actions to be carried out after rollover and into the new financial year

⚠️   **Warning**: It is vital that the actions in this checklist are carried out in order.

1.1   Important information

Please inform libraries-support@capita.co.uk of your planned rollover date as this helps with resource planning. If you do not have extended cover, please contact library-sales@capita.co.uk if you wish to pay for additional support at this time.

A dummy run of Financial Year Rollover may be carried out. Libraries who have not run a rollover before may wish to do this, to confirm that they are going to achieve the desired results. The MIS server can be used for this purpose.

1.2   When to perform the rollover

It is often assumed that the Financial Year Rollover has to be done on the last day of the financial year, but this is often not the most appropriate time. It is more usual to perform the rollover 10 to 15 days into a new financial year, as in the first week of a new year staff are likely still to be clearing invoices from the previous year . Note that no new-year invoices should be paid before the rollover has taken place.

It is also assumed that no new orders can be created. This is not the case as any new unpaid items will simply roll forward to funds in the new financial year. If you plan to perform the rollover after the start of the financial year, you may want to edit the order number sequence on the last day of the old year, so that orders created in the new financial year can be identified. For more information, refer to the section Edit the order number sequence.

1.3   Proposed orders

It is not necessary to confirm all proposed orders (i.e. orders created from EDI quotes) before the rollover. You will be able to confirm them as normal in the new financial year provided the items on the orders are linked to funds that get rolled over.

2.   In advance of the rollover

The procedures described in this section can be performed before the end of the financial year.

2.1   Updating invoices

The main Financial Year Rollover script checks for invoices that haven't been completed. It displays a warning message if it finds any invoices of status Potential, In Progress or Balanced.

This warning can be overridden. Acquisitions staff should be made aware of these outstanding invoices. However, it is more efficient to check for uncompleted invoices towards the end of the year, to see if these require cancellation or chasing with a supplier. Alto enables search by invoice status, which greatly assists in this checking.

Invoices can be changed to Completed or Passed for Payment status in Alto. For more information, refer to the Alto online help.

Alternatively, the **inv_status_upd.pl** script can be run to bulk update a set of uncompleted invoices. This is particularly useful if acquisitions staff have not been regularly updating the status of invoices online.

The script uses a parameter file. A default file can be found in

> **$BLCMP_HOME/data/utils** (Unix installations)

> **$TALIS_HOME/utils/param** directory (Windows installations)

Details on running this script can be found at:

http://www.capita-libraries.co.uk/services/docs/sysman/webhelp/sysman.htm

2.1.1   Potential invoices

It's best to pay any potential invoices before you run the rollover if possible so that the money comes out of this year's funds. If you can't, you can leave them as Potential and pay them in the new financial year, then use the **pay_prev_run** script to move the payments to the previous financial year if required (see Process delayed invoices and credit notes). You should not run the **inv_status_upd.pl** script to change the status of Potential invoices.

2.2   Defining the new financial year

You should now define the new financial year. This involves adding a new line to the list of financial years in Alto Configuration Setup under **Parameter Management** |**Rules** | **Acquisitions** | **Financial Years**.

Make a note of the **Display As** values for both the current and new financial years, which you will need to specify in the Financial Year Rollover parameter files.

Do NOT change the **Current Year** flag at this stage.

2.3   Defining the parameters for financial year rollover

The scripts which roll over the base and aggregate funds each call a parameter file when they are run.

Log on as the **talis** user to copy and edit these files.

The parameter files reside in

> **$BLCMP_HOME/data/utils** (Unix installations)

> **$TALIS_HOME/utils/param** (Windows installations)

The default parameter files are named:

> **roll_basefunds_run.param.default**

> **roll_aggfunds_run.param.default**

Do not edit the defaults. They should instead be copied to your own versions:

roll_basefunds_run.param

roll_aggfunds_run.param

The parameter files can then be edited. Each file contains substantial help in the form of comments.

Most parameters will default to **YES** unless a specific value is given. However, we recommend that you specify all values (even if these are **YES**) to ensure that you have considered each option.

If you have used the parameter files before and decide to run with different parameters, you should save the old parameter file with a suffix identifying the year (e.g. roll_basefunds_run.param.2012). This allows parameter files to be compared if staff are not happy with the results of the current year's run.

2.4   The base fund parameters

The following values need to be set in the roll_basefunds_run.param parameter file.

2.4.1   What is the old and new financial year?

Parameters:

OLD_FINANCIAL_YEAR

NEW_FINANCIAL_YEAR

The value that is entered for the old and new financial year should be the **Display As** value from the parameters (see Defining the new financial year).

2.4.2   What is the start date for the new financial year?

Parameter:

FINANCIAL_YEAR_START_DATE

The value that is entered is used to populate the **Start Date** field of all base funds created for the new financial year by the rollover process. This is a text field for information only and does not affect accounting functions. This is usually set to 1st January, 1st April, 1st August or 1st October depending on your financial year start date.

This value can be entered as **DD/MM/YYYY** or **DD/MM/YY**.

2.4.3   Which funds should be rolled forward?

Parameter:

COPY_FUND_STATUS

You can opt to roll forward all your old year's base funds by setting the parameter to **ALL**. However, there is also the option to roll forward funds of specific statuses only. For example, you may decide to roll forward **Active** and **Closed** funds only.

i **Note**: Specifying the status(es) to roll forward may result in certain funds not being available for linking in a new year fund hierarchy (if you specify YES to RELINK_MEMBER_FUNDS in the **roll_aggfunds_run.param** parameter file). Those not available to relink will be reported in the aggregate fund rollover report.

2.4.4   What statuses should be set in the old and new funds?

Parameters:

NEW_FUND_STATUS

OLD_FUND_STATUS

We recommend that old funds be set to status **Closed**, which will allow them to be used if necessary (to pay for unpaid invoice charges, for example). The status defined will apply to all funds in the old year.

New funds should be set to status **Active** if you wish them to be used straightaway. The status defined will apply to all base funds in the new financial year.

2.4.5   What values should be set in the new funds?

Parameters:

COPY_ALLOCATION

COPY_COMMITMENT_LIMIT

COPY_SPENT_LIMIT

Decide whether to copy current values for **Allocation**, **Total commit limit** and **Actual spent limit** or to define new values. If new values are defined, these values will apply to all base funds.

If you wish to transfer last year's values to the new funds, set the above parameters to **YES** and do not set any figures in the value parameters below.

If you set any of the **COPY** parameters to **NO** then you must specify a value in the appropriate additional parameter

ALLOCATION_VALUE

COMMITMENT_LIMIT_VALUE

SPENT_LIMIT_VALUE

Some libraries set a generic value so that they can track which funds have been updated when allocation figures are released. Values are entered with two decimal places (e.g. 1000.00).

2.4.6   Retain fund user profiles?

Parameter:

RELINK_FUND_USER_PROFILES

This is only relevant if you have set up fund user profiles (which limit the funds available to a user). If you set this parameter to **YES**, all existing profiles will be linked to funds in the new financial year.

2.4.7   Relink unpaid items to new funds?

Parameter:

RELINK_UNPAID_ITEMS

This refers to the rolling forward of monograph order items. Unpaid items must be relinked if they are to be paid for in the new financial year so this parameter is normally set to **YES**.

2.4.8   Carry forward the value of unpaid items?

Parameter:

CARRY_FORWARD_ITEM_COMMITMENT

If you set this to **YES**, then the sum of any unpaid items will be added to the **Carried Forward** field in the relevant new fund. This will add to the total allocation for the new financial year. Most libraries are not allowed to carry money forward in this way and so this parameter will most likely be set to **NO**.

2.4.9 Roll forward subscriptions?

Parameter:

> **RELINK_SUBSCRIPTIONS**

If you are using open orders or standing orders, subscriptions must be relinked if they are to be paid for in the new financial year.

2.4.10 Carry forward remaining subscription commitment?

Parameter:

> **CARRY_FORWARD_SUBSCRIPTION_COMMITMENT**

If you set this to **YES**, any commitment remaining from subscriptions will be added to the **Carried Forward** field in the relevant new fund. This will add to the total allocation for the new financial year. Most libraries are not allowed to carry money forward in this way so this will most likely be set to **NO**.

2.4.11 Relink unpaid interloan charges?

Parameter:

> **RELINK_UNPAID_ILL_CHARGES**

If you are using ILL fund accounting, unpaid interloan charges must be relinked if they are to be paid for in the new financial year.

2.4.12 Carry forward the value of unpaid interloan charges?

Parameter:

> **CARRY_FORWARD_ILL_CHARGE_COMMITMENT**

If you set this to **YES**, then the sum of any unpaid interloan charges will be added to the **Carried Forward** field in the relevant new fund. Most libraries are not allowed to carry money forward in this way, and it is most likely this will be set to **NO**.

2.5 The aggregate fund parameters

The following values need to be set in the **roll_aggfunds_run.param** parameter file. Most of the parameters are identical to those in the base funds parameter file.

2.5.1 What is the old and new financial year?

Parameters:

> **OLD_FINANCIAL_YEAR**
>
> **NEW_FINANCIAL_YEAR**

The value that is entered for the old and new financial year should be the **Display As** value from the parameters (see Defining the new financial year).

2.5.2   What is the start date for the new financial year?

Parameter:

FINANCIAL_YEAR_START_DATE

The value that is entered is used to populate the **Start Date** field of all aggregate funds created in the new financial year. This is a text field for information only and does not affect accounting functions. This is usually set to 1st January, 1st April, 1st August or 1st October, depending on your financial year start date.

This value can be entered as **DD/MM/YYYY** or **DD/MM/YY**.

2.5.3   Which funds should be rolled forward?

Parameter:

COPY_FUND_STATUS

You can opt to roll forward all your old year's funds by setting the parameter to **ALL**. However, there is also the option to roll forward funds of specific statuses only. For example you may decide to roll forward **Active** and **Closed** funds only.

Note: Specifying status(es) may result in certain funds not being available for linking in the new year's hierarchy, if you also specify YES to RELINK_MEMBER_FUNDS. Those not possible to relink will be reported in the **roll_aggfunds_run.rep** report file.

2.5.4   What statuses should be set in the old and new funds?

Parameters:

NEW_FUND_STATUS

OLD_FUND_STATUS

We recommend that old aggregate funds be set to the same status as the old base funds for consistency. The status defined will apply to all funds in the new financial year.

New funds should be set to status **Active** if you wish them to be used straightaway. The status defined will apply to all funds in the new financial year.

2.5.5   What values should be set in the new funds?

Parameters:

COPY_ALLOCATION

COPY_COMMITMENT_LIMIT

COPY_SPENT_LIMIT

Decide whether to copy current values for **Allocation**, **Total commit limit** and **Actual spent limit** or define new values. If new values are defined, these values will apply to all aggregate funds.

If you wish to transfer last year's values to the new funds, set the above parameters to **YES** and do not set any figures in the value parameters below.

If you set any of the **COPY** parameters to **NO**, then you must specify a value in the appropriate additional parameter below

ALLOCATION_VALUE

COMMITMENT_LIMIT_VALUE

SPENT_LIMIT_VALUE

Many libraries set a generic value so that they can track which funds have been updated when allocation figures are released. Values are entered with two decimal places (e.g. 1000.00).

2.5.6   Retain fund user profiles?

Parameter:

RELINK_FUND_USER_PROFILES

This is only relevant if you have set up fund user profiles (which limit the funds available to a user). If you set this parameter to **YES**, all existing profiles will be linked to funds in the new financial year.

2.5.7   Relink member funds?

Parameter:

RELINK_MEMBER_FUNDS

If you want the process to automatically relink member funds to aggregate funds, you should set this parameter to **YES**. This may depend on whether you wish to make significant changes to your fund structure or if you would benefit more from recreating the existing structure.

Note: If you have only specified funds of certain statuses to be rolled forward, this may affect the relinking of the entire fund hierarchy. Where funds could not be relinked because an associated fund is not present in the new year, this will be written to the report.

3.   Immediately prior to rollover

3.1   Stop using Acquisitions

You are about to produce reports and sample records before running the rollover process, and therefore no further acquisitions processing should take place. You may wish to make the whole system unavailable from this point (see the No processes running section). Alternatively, you could reset the enablements and/or passwords for Acquisitions and ILL to ensure that no fund, supplier, invoice, ILL charge or ordering functions can be accessed.

Enablements are set in Alto Configuration Setup under **Parameter Management** | **Permissions** | **Rules**

User passwords can be changed via the **Operators** tab.

Note: You will need to leave a senior user able to access Acquisitions in order to identify and check the record samples.

3.2   Run the fund and supplier update scripts

You must ensure that the committed and spent monies and items for each fund and supplier record are correct in the database before rollover. Standard scripts should be doing this on at least a weekly basis but these should now be run manually.

The scripts to be run are:

fun_totals.pl

sup_totals.pl

They should be run as close as possible to rollover but *before* any data is recorded from the sample records which are to be used for post-rollover checking. They are explained in detail at:

http://www.talis.com/scripts

At this stage the financial year specified in the **fun_totals.param** parameter file should be the current financial year. The **sup_totals.param** parameter file should be set to process all supplier records.

The scripts need to be run as user **talis**.

Example command: **fun_totals.pl -pfun_totals.param -u**

3.3   End of year management information

Supplier statistics are only displayed online for the current financial year so if reports on supplier spending, charges or commitments are required it is advisable to take screen dumps of the supplier records or to run reports before the rollover.

For example, if an analysis of supplier charges is required for future reference you are advised to run **pay_sup_charges**, which reports discount, service and other charges by supplier code.

The current year's financial information will still be obtainable after the rollover but while the database is correct and staff aren't using Acquisitions you may wish to run any final Decisions and Perl reports.

3.4   Identify sample records

To check that the processes have been successful, you should identify a set of sample data and note the expected results after rollover.

We recommend that you find examples of the following:

♦   funds: Note the final spent and committed not spent values in funds for orders, open orders and interloans.

♦   suppliers: find some with and without remaining commitments

♦   orders: paid, part-paid and unpaid (to track the items in each case)

♦   open orders: identify subscriptions with and without outstanding commitment.

♦   inter library loans: identify some paid and unpaid charges

Some libraries create control records (similar to those used in training) so that the rollover can be closely monitored.

3.5   Ensure no processes are using the database

It is important that online sessions, batch processes and daemons are not running when you do the rollover. Although the database updates may not touch any finance related tables, the rollover scripts remove transaction logging. Thus, if a full recovery had to be run, there would be no record of work carried out during this time.

To stop any Alto processes and to prevent any others from logging on, use Alto Configuration Setup to ensure the following user enablements are set (in **Parameter Management** | **Permissions** | **Rules**):

Send shutdown message

Log on with shutdown

A new **Shutdown** tab will be visible in Alto Configuration Setup once these are enabled.

Here you can add a message and a shutdown time warning. This will:

♦ Provide all other Alto users with a warning dialog box

♦ Provide an audible warning 20 seconds before shutdown

♦ Log Alto users out of the system

No new users will be able to log in while the shutdown message is set.

No Alto processes for the user on the PC that sent the message will be logged out but having the **Log on with shutdown** enablement is still very important if you do not have fixed IP addresses or if you plan to log off and on again or log on at another PC.

3.5.1   Cron

The cron should be checked and any jobs which are scheduled to run during the rollover should be commented out until rollover is complete. Alternatively, you could copy the live cron and set up a completely empty file.

Note any scripts that would normally run so that important ones can be set to run later or manually.

3.5.2   Other processes

Any processes that log transactions or update the database (such as Prism or Message) should also be stopped or disabled. Please raise a support case in advance of the rollover if you need further advice on this and you can't find the information you need in documentation or solutions.

Note: You can use Netloan while the rollover takes place as this does not update the database.

3.6   Secure the database

The database should be saved in case of severe problems using **full_dbdump** or **dump2disk.pl**.

3.7   Change the current financial year

Change **Current Year** to **Yes** for the NEW financial year in Alto Configuration Setup under **Parameter Management** | **Rules** | **Acquisitions** | **Financial Years**

4.   Running rollover

Note: All scripts should be run as the **talis** user.

4.1   Rollover reports

The reports produced by the rollover scripts are written to the directory defined by the environment variable **TAL_REP_DIR** if the –r switch is not specified in the script. If this variable is not set the reports are written to **$BLCMP_HOME/data/utils**.

4.2   Run roll_fyr_drop

Enter the command:

roll_fyr_drop

This will drop the backup tables created by last year's rollover or by a dummy run. Even if this is your first time we recommend that you run this to be sure of a clean backup later.

After running, check the report **roll_fyr_drop.rep** as failures are not reported to screen.

Figure 1: roll_fyr_drop.rep

```
roll_fyr_drop COMMENCED : 25/03/10 09:01:08
~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~
Running "rollover_fyr_drop" to drop FYR_RESET_FUND... tables :

FYR_RESET_FUND dropped
FYR_RESET_FUND_RID dropped
FYR_RESET_FUND_DISTRIBUTION dropped
FYR_RESET_PAYMENT dropped
FYR_RESET_FUND_FUND_LINK dropped
FYR_RESET_SUPPLIER dropped
FYR_RESET_ILL_CHARGE dropped
FYR_RESET_FUP_FUND_LINK dropped
(return status = 0)

roll_fyr_drop TERMINATED : 25/03/10 09:01:12
~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~
```

4.3   Run roll_fyr_backup

Enter the command:

roll_fyr_backup

This secures important fund and supplier related tables so that they can be restored quickly in the event of a problem with the rollover parameters.

This script will fail if the previous year's backup tables still exist in the database, which is why you must first run the **roll_fyr_drop** script.

Check the report **roll_fyr_backup.rep** as failures are not reported to screen.

Figure 2: roll_fyr_backup.rep

```
roll_fyr_backup COMMENCED : 26/03/10 06:56:52
~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~
Database option 'select into/bulkcopy/pllsort' turned ON for database
'prod_talis'.
Running CHECKPOINT on database 'prod_talis' for option 'select
into/bulkcopy/pllsort' to take effect.
(return status = 0)
Running "rollover_fyr_backup" to save current tables :

   4894     rows copied into FYR_RESET_FUND from FUND
   1        rows copied into FYR_RESET_FUND_RID from FUND_RID
   697635   rows copied into FYR_RESET_FUND_DISTRIBUTION from FUND_DISTRIBUTION
   642380   rows copied into FYR_RESET_PAYMENT from PAYMENT
   1681     rows copied into FYR_RESET_FUND_FUND_LINK from FUND_FUND_LINK
   131      rows copied into FYR_RESET_SUPPLIER from SUPPLIER
   0        rows copied into FYR_RESET_ILL_CHARGE from ILL_CHARGE
   0        rows copied into FYR_RESET_FUP_FUND_LINK from FUP_FUND_LINK
FUND... tables successfully backed up to FYR_RESET_FUND... tables.
(return status = 0)
Database option 'select into/bulkcopy/pllsort' turned OFF for database
'prod_talis'.
Running CHECKPOINT on database 'prod_talis' for option 'select
into/bulkcopy/pllsort' to take effect.
Please execute DUMP DATABASE before executing DUMP TRANSACTION.
(return status = 0)

roll_fyr_backup TERMINATED : 26/03/10 06:58:29
~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~
```

> ***(i)*** **Note**: It is essential that this backup is successful before you continue as it enables a simple recovery if staff are unhappy with the rollover results.

4.4   Run roll_basefunds_run.pl

This is the main script of the financial year rollover process. It creates base funds for the new financial year and links unpaid items, subscriptions and ILL charges to the new funds.

You should already have set up **roll_basefunds_run.param** (refer to the parameter section for more details).

The **roll_basefunds_run.pl** script uses standard switches, including a **–p** switch. This is mandatory and must give the name of the parameter file. For example:

> **roll_basefunds_run.pl   -proll_basefunds_run.param**

If you are updating prod_talis and all reports and directories are standard, you will not need other switches. To find out the options you can run **roll_basefunds_run.pl -h** and view the help options**.**

The script initially performs some checks and prompts you in places to enter **Y** to continue or **N** to abort:

♦   The parameter file settings are displayed with a Continue prompt.

♦   The parameters are verified. If invalid values are found, the script will abort and report to screen and the report file.

If this happens, the database has not been touched and there is no need for any recovery. Edit the parameter file to correct the error then re-run the script.

♦ There is a check that full_dbdump has been run in the last 3 hours. If the check fails, the following message will be displayed:

Unable to find any logs for a full_dbdump run in the last 3 hours. This may be because the full_dbdump logs are not being written to the default directory (/var/tmp).
Before continuing with the rollover please ensure that full_dbdump has run without errors since the database was last updated in any way.
Failure to do so could result in loss of data.

Continue with financial year rollover? (Y/N)

♦ A list of pre-rollover actions is displayed with a Continue prompt.

♦ The script checks if there are any invoices at statuses Potential, In Progress or Balanced. If any exist, the following message will be displayed:

There are unprocessed invoices. It is recommended that you process them manually or run the script inv_status_upd.pl to update their statuses. Continue with financial year rollover (Y/N)?

This is only a warning message. If your Acquisitions team is aware of these invoices, the message can be overridden and rollover continued.

The script will then perform the rollover based on the parameters that you have specified.

When finishing, the script will remind you what actions you should take if you are not going to run **roll_aggfunds_run.pl**.

On completion of the script, check the report **roll_basefunds_run.rep** as some errors are not reported to screen and this will give a full report of the processing performed.

The report may contain the following errors:

```
Msg 2812, Level 16, State 5:
Server 'SYBASE', Line 1:
Stored procedure 'rollover_all_funds' not found. Specify
owner.objectname or use
sp_help to check whether the object exists (sp_help may produce lots
of
output).

Msg 2812, Level 16, State 5:
Server 'SYBASE', Line 1:
Stored procedure 'rollover_relink' not found. Specify owner.objectname
or use
sp_help to check whether the object exists (sp_help may produce lots
of
output).
```

To fix this re-apply the stored procedures before running the script again:

cd /usr/opt/blcmp/talis/database/proc

./rollover_all_funds.proc prod_talis

./rollover_relink.proc prod_talis

If you do not wish to process aggregate funds, you can go to the Post rollover section.

4.5   Run roll_aggfunds_run.pl

This will create aggregate funds in the new financial year. Run this only if you wish to recreate existing aggregate funds in the new financial year. Whether or not you use this script will depend upon how many aggregate funds you have and if you wish to keep these or change them in the new financial year.

You should already have set up **roll_aggfunds_run.param** (refer to the parameter section for more details).

The **roll_aggfunds_run** script uses standard switches, including a **–p** switch. This is mandatory and must give the name of the parameter file. For example:

>   **roll_aggfunds_run.pl   -proll_aggfunds_run.param**

If you are updating prod_talis and all reports and directories are standard, you will not need other switches. To find out the options you can run **roll_aggfunds_run.pl -h** and view the help options**.**

The script initially performs some checks and prompts you in places to enter **Y** to continue or **N** to abort:

♦   The parameter file settings are displayed with a Continue prompt.

♦   The parameters are verified. If invalid values are found, the script will abort and report to screen and the report file.

>   If this happens, the database has not been touched and there is no need for any recovery. Edit the parameter file to correct the error then re-run the script.

♦   You are asked to confirm that roll_basefunds_run.pl has been run.

The script will then perform the rollover based on the parameters that you have specified

After running the script, check the report **roll_aggfunds_run.rep**. In particular, check for reports of any links the script could not re-create. You may not want the old fund linked but if you do you can create it in Alto and relink it.

5.   Completing Rollover

5.1   Re-run fun_totals.pl and sup_totals.pl

It is very important that these scripts are run prior to any post-rollover checking, otherwise the **Committed not spent** and **Items committed** values will not be visible in either the new year's funds or the supplier records. If they have not been run after the rollover scripts then the old funds will also look unchanged.

The scripts to be run are:

>   **fun_totals.pl**

>   **sup_totals.pl**

Both are explained in detail at:

http://www.talis.com/scripts

The **fun_totals.pl** script must process funds in both the old and new financial years. You will therefore need to edit the parameter file. This is normally called **fun_totals.param** and it resides in

>   **$BLCMP_HOME/data/utils** (Unix installations)

$TALIS_HOME/utils/param (Windows installations)

Run the **fun_totals.pl** script with both the old and new financial years set in the parameter file for a couple of months after the rollover. This allows any changes made by scripts such as **pay_prev_run** to update both old and new year's funds. After this period, the parameter file should be changed to look at just the new financial year. This will reduce processing time.

5.2   Check the sample records that you identified

Acquisitions staff need to be satisfied with the order, fund and supplier values following the rollover.

When checking funds, note the following:

♦   If unpaid Items or ILL Charges have been relinked, the Committed not spent and Items committed values in the new year's fund will be the same as those that you recorded for the old year's fund, provided the fund is not also used for subscriptions.

♦   Unpaid invoice charges will not be linked to the new financial year, as these must remain in the same financial year as the invoice itself.

♦   If subscriptions have been rolled forward, the committed not spent values in the new year's fund will not be the same as those you recorded for the old year's fund. When subscriptions are rolled forward, the Committed not spent value in the new fund is equal to the total of all the annual subscriptions to be paid in the new financial year against a fund (i.e. the sum of all the Open Order Subs cost pa fields for all subscriptions using the fund).

♦   If unspent money has been carried forward, there will be a value in the Carried forward field of the fund and this amount will be added to the new year's allocation to give a higher total allocation.

5.2.1   If you are satisfied with the results of the rollover

5.2.1.1   Secure the database again

Carry out another **full_dbdump** or **dump2disk.pl** to capture the database at the point of successful rollover.

5.2.1.2   Edit the order number sequence

We advise customers to reset the order number so that it includes a reflection of the financial year (for example ZZ09000001). This enables easy identification for libraries and suppliers. This can be reset in Alto Configuration Setup under **Parameters | Rules | Acquisitions | Order Numbers**.

5.2.2   If you are **not** satisfied with the results

If the above checking does not give the required results you can either recover the financial related tables and try again or defer the rollover to a later date.

Note: No other LMS activity should be enabled until you have completed a successful rollover or reset everything back to the old financial year, in case a full database recovery is required.

5.2.2.1   Run roll_fyr_recover

This script will restore back all fund and supplier related tables, using the saved tables secured by **roll_fyr_backup**. Anticipate that this will take at least *twice* as long as the initial backup.

Enter the command:

roll_fyr_recover

Check the report **roll_fyr_recover.rep,** as some failures are not reported to screen.

It would be unusual for this to fail but if it does a full database restore may be required.

a) If you wish to retry the rollover

Make sure you have enough time to do this before other users require access.

Only continue if the **roll_fyr_recover** was successful.

Check and confirm the parameters that you wish to apply during the rollover.

Rerun the rollover by following the checklist again.

Recheck the sample data.

b) If you wish to postpone the rollover

You may not have enough time to re-run the rollover or other staff may not be available to discuss parameters with. If this is the case you may need to delay and enable on-line activities before running rollover again.

Only continue if the **roll_fyr_recover** was successful.

Before allowing Acquisitions activities, you must reset Alto back to the old financial year via the parameters interface.

Remove the **shutdown** message so that Alto users can log back in.

Make all processes available again (see below).

When ready to carry out the rollover at a later time, you must repeat the whole process.

6.   Post Rollover

6.1   Make Alto available to all users again

Remove the **shutdown** message using the Alto Configuration Setup application.

6.1.1   Cron

Uncomment any commented processes back in or copy the live cron over the empty one.

Check again for any jobs which should have run during the time you were doing the rollover.

If necessary run important ones manually or set them to run later.

6.1.2   Other processes

Restart any other processes that have been stopped. Please raise a support case in advance of the rollover if you need further advice on this and you can't find the information you need in documentation or solutions.

6.2   Tidy up funds and suppliers

This is an ideal time to reconsider your funds and suppliers and make amendments to reflect current practices.

Funds that have no links can be deleted. The system will check and prevent deletion if there are any hierarchical links or links to committed or paid orders. It is worth considering whether to go into existing orders to relink unpaid items/subscriptions to different funds. Lists of orders attached to funds can be obtained by running the **fun_orders_list** script.

Fund codes can also be changed to reflect changes in the budget handling. A combination of the above should enable you to start the new financial year with a clean and valid fund structure.

Suppliers cannot be deleted and their codes cannot be changed, but if the supplier has changed name you should consider creating a new supplier record for the new name and linking the old and new names together under a parent supplier record. This will enable new orders to be created under the new name. You can then pay an invoice that has mixed orders (with the old and new supplier codes) by creating the invoice first under the parent supplier code.

6.3   Process delayed invoices and credit notes

You may receive an invoice or credit note from the old financial year after the rollover has been performed.

6.3.1   Invoices

If a new main payment comes in late, you may wish to pay for this in the old financial year, but the item will have been rolled forward. Adding the payment will pay this out of the new year's fund.

The script **pay_prev_run** can be used to move invoices between financial years. Full details of this script can be found at:

http://www.talis.com/scripts

6.3.2   Credit notes and supplementary payments

If you wish to keep the main invoice payment in the old financial year but apply the debit / credit from a supplementary payment or credit note to the new year's fund, we recommend that you use the Fund Transfer function in Alto. Full details are given in the online help.

Appendix A: Sample roll_basefunds_run parameter file

This sample contains typical parameter settings. The actual parameters have been highlighted in blue.

```
# Library ZZ parameter file for roll_basefunds_run.pl
# Last edited: GMF 17th Feb 2009
# Mandatory parameters
# ---------------------------------------------------
# Specify the display value of the old financial year
OLD_FINANCIAL_YEAR=2008/09

# Specify the display value of the new financial year
NEW_FINANCIAL_YEAR=2009/10

# Specify the start date of the new financial year
# in the format DD/MM/YYYY or DD/MM/YY
FINANCIAL_YEAR_START_DATE=01/04/09

# Specify which Funds should be rolled forward into
# the new financial year. Specify ALL for all Funds
# or one or more Fund statuses (ACTIVE, INACTIVE or
# CLOSED) separated by a comma
COPY_FUND_STATUS=ACTIVE,CLOSED

# Specify the status to which the new Funds should
# be set. Valid input is ACTIVE, INACTIVE or
# CLOSED (case insensitive)
NEW_FUND_STATUS=ACTIVE

# Specify the status to which the old Funds should
# be set. Valid input is ACTIVE, INACTIVE or
# CLOSED (case insensitive)
OLD_FUND_STATUS=CLOSED

# Specify whether or not the allocation in existing
# Funds should be carried forward to the new Funds.
# Enter YES or NO (case insensitive)
COPY_ALLOCATION=NO

# If COPY_ALLOCATION=NO, specify an amount between
# 0.00 and 999999.99 to be added to the Allocation
# field of each new Fund
ALLOCATION_VALUE=1000.00

# Specify whether or not the commitment limit in
# existing Funds should be carried forward to the
# new Funds. Enter YES or NO (case insensitive)
COPY_COMMITMENT_LIMIT=YES

# If COPY_COMMITMENT_LIMIT=NO, specify an amount
# between 0.00 and 999999.99 to be added to the
# Total commit limit field of each new Fund
COMMITMENT_LIMIT_VALUE=

# Specify whether or not the spent limit in existing
# Funds should be carried forward to the new Funds.
# Enter YES or NO (case insensitive)
COPY_SPENT_LIMIT=YES
```

```
# If COPY_SPENT_LIMIT=NO, specify an amount between
# 0.00 and 999999.99 to be added to the Actual spent
# limit field of each new Fund
SPENT_LIMIT_VALUE=

# Optional parameters
# ----------------------------------------------------

# The links to Fund user profiles in existing Funds
# will be carried forward to the new Funds unless
# you specify RELINK_FUND_USER_PROFILES=NO (case
# insensitive)
RELINK_FUND_USER_PROFILES=YES

# Unpaid items will be relinked to Funds in the new
# financial year unless you specify RELINK_UNPAID_ITEMS=NO
# (case insensitive)
RELINK_UNPAID_ITEMS=YES

# If RELINK_UNPAID_ITEMS=YES or is not set, the value of
# unpaid items will be entered into the Carried forward
# field of Funds in the new financial year unless you
# specify CARRY_FORWARD_ITEM_COMMITMENT=NO (case insensitive)
CARRY_FORWARD_ITEM_COMMITMENT=NO

# Subscriptions will be relinked to Funds in the new
# financial year unless you specify RELINK_SUBSCRIPTIONS=NO
# (case insensitive)
RELINK_SUBSCRIPTIONS=YES

# If RELINK_SUBSCRIPTIONS=YES or is not set, outstanding
# subscription commitments will be carried forward to Funds
# in the new financial year unless you specify
# CARRY_FORWARD_SUBSCRIPTION_COMMITMENT=NO (case
# insensitive)
CARRY_FORWARD_SUBSCRIPTION_COMMITMENT=NO

# Unpaid ILL charges will be relinked to Funds in the new
# financial year unless you specify RELINK_UNPAID_ILL_CHARGES=NO
# (case insensitive)
RELINK_UNPAID_ILL_CHARGES=YES

# If RELINK_UNPAID_ILL_CHARGES=YES or is not set, the value of
# unpaid ILL charges will be entered into the Carried forward
# field of Funds in the new financial year unless you specify
# CARRY_FORWARD_ILL_CHARGE_COMMITMENT=NO (case insensitive)
CARRY_FORWARD_ILL_CHARGE_COMMITMENT=NO
```

Appendix B: Sample roll_aggfunds_run parameter file

This sample parameter file contains typical parameter settings. The actual parameters have been highlighted in blue.

```
# Parameter file for roll_aggfunds_run.pl
# Last edited: GMF 13/03/09
# Mandatory parameters
# --------------------------------------------------
# Specify the display value of the old financial year
OLD_FINANCIAL_YEAR=2008/09

# Specify the display value of the new financial year
NEW_FINANCIAL_YEAR=2009/10

# Specify the start date of the new financial year
# in the format DD/MM/YYYY or DD/MM/YY
FINANCIAL_YEAR_START_DATE=01/04/09

# Specify which Funds should be rolled forward into
# the new financial year. Specify ALL for all Funds
# or one or more Fund statuses (ACTIVE, INACTIVE or
# CLOSED) separated by a comma
COPY_FUND_STATUS=ACTIVE,CLOSED

# Specify the status to which the new Funds should
# be set. Valid input is ACTIVE, INACTIVE or
# CLOSED (case insensitive)
NEW_FUND_STATUS=ACTIVE

# Specify the status to which the old Funds should
# be set. Valid input is ACTIVE, INACTIVE or
# CLOSED (case insensitive)
OLD_FUND_STATUS=CLOSED

# Specify whether or not the allocation in existing
# Funds should be carried forward to the new Funds.
# Enter YES or NO (case insensitive)
COPY_ALLOCATION=NO

# If COPY_ALLOCATION=NO, specify an amount between
# 0.00 and 999999.99 to be added to the Allocation
# field of each new Fund
ALLOCATION_VALUE=1000.00

# Specify whether or not the commitment limit in
# existing Funds should be carried forward to the
# new Funds. Enter YES or NO (case insensitive)
COPY_COMMITMENT_LIMIT=YES

# If COPY_COMMITMENT_LIMIT=NO, specify an amount
# between 0.00 and 999999.99 to be added to the
# Total commit limit field of each new Fund
COMMITMENT_LIMIT_VALUE=


# Specify whether or not the spent limit in existing
# Funds should be carried forward to the new Funds.
# Enter YES or NO (case insensitive)
COPY_SPENT_LIMIT=YES
```

```
# If COPY_SPENT_LIMIT=NO, specify an amount between
# 0.00 and 999999.99 to be added to the Actual spent
# limit field of each new Fund
SPENT_LIMIT_VALUE=

# Optional parameters
# ---------------------------------------------------

# The links to Fund user profiles in existing Funds
# will be carried forward to the new Funds unless
# you specify RELINK_FUND_USER_PROFILES=NO (case
# insensitive)
RELINK_FUND_USER_PROFILES=YES

# The existing links between base and aggregate funds
# will be carried forward to the new funds unless
# you specify RELINK_MEMBER_FUNDS=NO (case
# insensitive)
RELINK_MEMBER_FUNDS=YES
```