

# POT 4 Charge

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## **Charge: Simplify the recharge process.**

Create streamlined and efficient processes and tools to simplify the recharge process

Develop a fiscal framework for system-wide collaboration. Implement an integrated technical infrastructure to facilitate these collaborations.

### **Team Members:**

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### **Summary and Background:**

The current recharge method that is utilized for most inter-campus transfers of funds to cover payment for CDL coinvestments is complex and labor intensive. The absence of interoperable UC campus financial systems necessitates a manual, sometimes paper-based, recharge process. Approvals, tracking, and audit processes required for proper fiscal oversight of that process make this a costly and cumbersome effort for campuses and CDL Acquisitions staff.

It is not cost-effective or scalable to manage recharges performed repeatedly on a transactional basis for individual products. A deposit account for each campus has the potential to reduce the number of separate recharges per campus from hundreds each year to two---one at the beginning of the year and one at the end of the year. Providing an account string to CDL Acquisitions in advance would facilitate the recharge process without the exchange of paper forms between CDL and the campuses, and a secure website would enable staff at CDL and at the campuses to view current information on the status of recharges, regardless of whether the source of funds is 19900 or other non-state funds. The NGTS Phase 2 Financial Infrastructure report recommended: Deposit account system for co-invests and this was approved by the CoULs as a high priority. The group recommended development of a Secure website for real-time recharge and invoice data and this was approved by the CoULs as medium priority.

### **Expected Coordination**

Work with CDL and library business officers at each campus to verify UC and campus-based requirements for transferring funds within UC.

Consult with UCLA Corporate Finance (who is responsible for UCOP's accounting) regarding requirements and mechanisms for transferring funds to other campuses and CDL for purposes of payment of commonly held or licensed content. Understand how audits of these transfers will occur.

Coordinate with SOPAG SPOTs. SOPAG will coordinate with the CoUL to make progress on the overall financial and information technology infrastructures needed to support system-wide work = SPOT 2 (stable funding models), SPOT 3 (database of record, systemwide ERMS, ILS)

UCLA in particular would have to assume the cost of changing its processes and ILS fund accounting to participate in the deposit account system. UCLA is also one of the few campuses that uses 19900 FAUs as well as gift funds to pay for CDL titles.

### **Assumptions to Be Tested**

Some campuses hesitate to commit and lock up all funds for shared content at the beginning of a year or budget cycle. Consider the possibility of accepting contributions on a quarterly basis (or some other pattern) , and allow for different amounts to be contributed to match campus spending patterns. Consider whether the use of deposit or pass-through accounts will be mandatory or optional.

Some campuses are concerned about depositing funds that might be "swept up" in budget cuts at CDL or elsewhere, or that might be needed to achieve budget reductions or to commit to other local imperatives.

At least one library (UCLA) must make changes in processes and ILS fund accounting in order to participate in the deposit account system. A few campuses use 19900 FAUs as well as gift, grant, and endowment funds to pay for CDL titles. Making the changes specified will take some investment, but the expectation is that making the changes will result in a corresponding (or greater) payback for all.

### **Expected Deliverables:**

#### **Near-Term (within 6+ months):**

Design a workable Deposit Account or "pass through" system for CDL co-investments. Include implementation plans and timeline.

#### **Longer Term (within 6-12 months):**

Establish a secure website that campus representatives and CDL can use to view and track CDL payment recharge activity and invoice data in real time and record their account strings for recharge purposes.

### **Suggested Resources**

POTs may find the creation and charging of lightning teams useful in completing the deliverables outlined above. Lightning teams may be formed by the POTs as short-term groups charged with conducting pilot projects or other tasks with quick turnaround times. Membership of the teams should reflect the scope of the charge.

The POTs may also engage the Project Management working group for help in implementing these recommendations. Questions involving policy-level issues should be referred to the NGTS Implementation Management Team.

Recommendations under development in POT 6-1, regarding Collection Service Centers.

**References:**

NGTS2 projects page:

[http://libraries.universityofcalifornia.edu/about/uls/ngts/docs/ngts\\_phase2.html](http://libraries.universityofcalifornia.edu/about/uls/ngts/docs/ngts_phase2.html)

NGTS2 Financial Infrastructure Task Group Report, September 10, 2010---linked from the following page:

[http://libraries.universityofcalifornia.edu/about/uls/ngts/docs/ngts\\_phase2.html](http://libraries.universityofcalifornia.edu/about/uls/ngts/docs/ngts_phase2.html)

CoULs' prioritization of NGTS 2 Task Group Recommendations, December 14, 2010

[http://libraries.universityofcalifornia.edu/about/uls/ngts/docs/CoUL\\_Priorities\\_Cover\\_2010.pdf](http://libraries.universityofcalifornia.edu/about/uls/ngts/docs/CoUL_Priorities_Cover_2010.pdf)

CoULs' assignment of responsibility for implementation to SOPAG, April 22, 2011:

<http://libraries.universityofcalifornia.edu/sopag/ngtsannouncement.html>

SOPAG's "NGTS Implementation Framework" document: <http://libraries.universityofcalifornia.edu/sopag/ngtsframework.html>

**Guidelines on using the Lightning Team structure:**

POTs may find the creation and charging of lightning teams useful in completing the deliverables outlined above. Lightning teams may be formed by the POTs as short-term groups charged with conducting pilot projects or other tasks with quick turnaround times. Membership of the teams should reflect the scope of the charge.

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**Recommendation/Decision process:**

The POT, having solicited appropriate input and consulted as indicated, makes routine operational decisions including the appointing of Lightning Teams. Recommendations from the Lightning Teams and pilot projects on services to be implemented, staffing models, system-wide policies and standards will be sent to CoUL via SOPAG and NGTSMT for final decision and approval.

Decisions on broad policy issues or issues that are determined to be outside the scope of the POT charge will be referred to SOPAG via NGTSMT for discussion and resolution.

**Reporting:**

Submit monthly status reports by posting to the NGTS wiki, include citing any obstacles. See [Status Report template](#).

**Timeline:**

Submit a proposed task list with milestones (delivery dates) and proposed use of Lightning teams by Sept. 2. Include how work connects with other interdependent POTs. Include delivery dates. Include proposed definition of success criteria; should be specific, measurable and achievable.