FM/GM- AVC Override Requests

Background

Umoja has a number of systems controls in place to ensure that entities are not able to exceed their current budgets. One of these controls is called the Availability Control (AVC). Currently only payroll, IDC (PSC) batch and open commitment revaluation override the AVC in place. Some entities also request to have the budget control check removed for certain specific transactions.

This document discusses the procedure which must be followed before AVC override can be granted. It will be allowed **only on an exceptional basis** in scenarios where all other alternatives have been exhausted, including the re-deployment of funds. AVC override can only be provided **as a last resort**.

It should be noted that using AVC override has serious consequences when not used correctly. When AVC override is granted to a user, any transaction the user posts during the period they are granted AVC override will be affected. Additionally, as AVC ensures the combination of Fund, Grant, Fund Center, Funded Program and Functional Area is correct, based upon budget allocations, the removal thereof can result in postings that use incorrect combinations. Any incorrect postings require further manual postings to correct them.

The authority to approve an AVC Override request depends on the Fund Type. Please refer to the matrix below to ensure the appropriate approval is sort for AVC override. Written approval from the noted Approver(s) must be attached to the AVC Override request.

Fund Type	Description	Approval needed by			
		CFO* of entity	OBBPA Chief Accounts Division	OBBPA PPBD/PFD	Office of the Controller
10	General Assessed funds, 10UNA	Yes	Yes	Yes (PPBD)	No
10	Cost recovery fund10RCR	Yes	Yes	No	Yes
20	Peacekeeping Assessed funds, e.g. 20XXX	Yes	Yes	Yes (PFD)	No
20	Cost recovery fund20PCR	Yes	Yes	No	Yes
30	Extra budgetary Voluntary contributions (e.g. trust funds, 32XXX, 33XXX)	Yes	No	No	No
40	Voluntary core funds, i.e. 40XXX	Yes	No	No	No
50	Insurance funds	Yes	Yes	Yes (PPDB)	No
60	Other fund types, i.e. IDC funds, entity specific cost recovery**, construction funds etc.	Yes ALL funds	Yes Construction funds/IDC funds only.	Yes (PPDB) - construction funds (64CFA, CFS, ERP).	Yes- IDC funds for all entities

i.e. UNON in the case of UNEP and UN-Habitat. The CFO is responsible for ensuring that the appropriate budget officers in these entities are informed of the request and the effect of the AVC override.
**Entity specific *cost recovery, i.e. Habitat 64HCR, UNODC 64DCR etc, AVC Override is approved by the CFO only.*

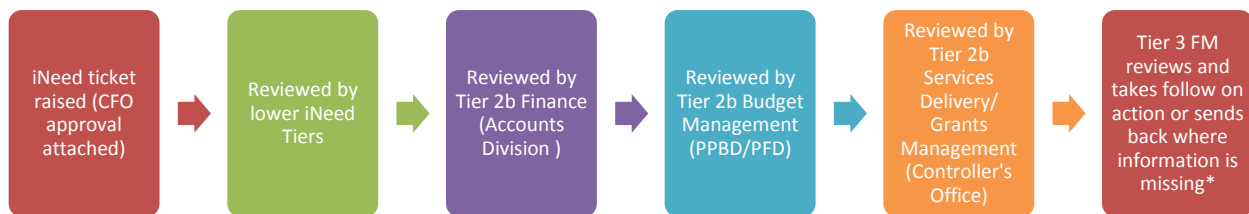How the budget deficit will be addressed should be detailed in the WO request.

Note: if at the fund/grant level cash control override is also required, this should be dealt with in a separate request.

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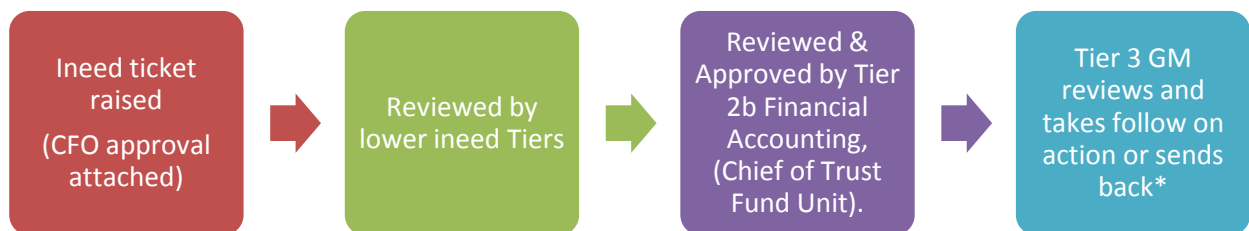
Process

An iNeed RFS request needs to be raised as the first step after approvals have been received, based on the Approval Matrix.

Requests related to assessed funds and XB funds should be submitted in separate requests.

For all non-voluntary funds

| iNeed ticket raised (CFO approval attached) | → | Reviewed by lower iNeed Tiers | → | Reviewed by Tier 2b Finance (Accounts Division) | → | Reviewed by Tier 2b Budget Management (PPBD/PFD) | → | Reviewed by Tier 2b Services Delivery/ Grants Management (Controller's Office) | → | Tier 3 FM reviews and takes follow on action or sends back where information is missing* |

For voluntary contribution funds

| Ineed ticket raised (CFO approval attached) | → | Reviewed by lower ineed Tiers | → | Reviewed & Approved by Tier 2b Financial Accounting, (Chief of Trust Fund Unit). | → | Tier 3 GM reviews and takes follow on action or sends back* |

If AVC override is needed related to a voluntary contribution fund, then the OAH CFO (i.e. UNON for Habitat and UNEP) needs to review and approve the request.

Important: If AVC override is as a result of another production support issue, a new iNeed RFS is to be created for the AVC Override request.

* Once the ticket has passed the Tier 3 FM GM review the request is sent to Tier 3 Configuration Management. This Tier requests approval for fire fighter access to add the user

name to the appropriate override control. The approval process for fire fighter and changes to AVC <u>takes 2 days</u> as such entities are reminded to take this into account.

Note: The Umoja team is not responsible for reviewing the combinations of Fund, Grant, Fund Center, Funded Program and Functional Area posted using AVC override.

Minimum information needed in an iNeed RFS Work Order

1.   A description of why the override is required

Please include in the description the FI document number you are planning to reverse, or other Umoja FI documents that are relevant to the reversal. If the issue pertains to ticket costs reversals, please provide the posting run number and the trips that are impacted. If an upload document will be used for GL/AR/AP, please attach this to the work order. Clearly identify all the alternatives considered (and why they are not possible) before requesting AVC override, including the redeployment of funds.

2.   A plan to address the budget deficit, indicating the source of the loan and any pertinent details

3.   The period the posting will occur

4.   Funds affected

i.e. 10UNA, 20MAL, 32DDN etc.

5.   The Umoja User IDs to whom the override is to be granted.

If this is a JV or reversal, we need the user name of the TEA and DB1 user (i.e. the person doing the initial posting to save as complete then the authoriser).

6.   The period of time for the override

It should be for a specific day <u>and time period</u> (New York time), e.g. Monday from 1.00 pm to 2.00 pm (EST).

Please note the user should not post/park/approve any other documents not included in the request during the time the access is granted, as such time requested should be kept to the absolute minimum.

7.   The person who is authorising the override (please attach a PDF file with the approval(s) to the Work Order, as well as any relevant email exchanges).

Please refer to Approval Matrix table above for the approvals that need to be attached to the RFS depending on the fund.