



Functional Series [200](#)
Programming Policy

INTERIM UPDATE 08-07

SUBJECT: Guidance for Year-End Processing Phoenix Financial Transactions

NEW MATERIAL: This Interim Update announces how USAID will operate at the end of FY 2008 and the beginning of FY 2009 in regards to the FY 2008 Extended Processing Period and the FY 2008-2009 Carryover Process. It will also describe how Recoveries will be managed in FY 2009 and includes an explanation of the new 511 appropriation symbols for FY 2009.

EFFECTIVE DATE: 09/18/2008

ATTACHMENT: 1. [Section 511 Authority](#)
2. [Conversion Table](#)
3. [Lookup Table of Established Codes](#)

POLICY

USAID/General Notice
M/CFO
09/18/2008

Subject: Guidance for Year-End Processing Phoenix Financial Transactions

Introduction

This message will briefly explain how USAID will operate at the end of FY 2008 and the beginning of FY 2009 in regards to the FY 2008 Extended Processing Period and the FY 2008-2009 Carryover Process. It will also describe how Recoveries will be managed in FY 2009 and include an explanation of the new 511 appropriation symbols for FY 2009.

Extended Processing Period

Phoenix will be brought down on Tuesday, September 30 at midnight and will remain offline through Wednesday, October 1 at 2am. This is for extended processing set-up.

On October 1 and October 2, 2008, accounting period 12 of 2008 (September) will remain open. Period 01 of 2009 (October) will remain closed. This gives everyone two extra days to post FY 2008 obligations provided that they have posted commitments in Phoenix and signed the obligating documents by September 30, 2008. During this two day period no new commitments and no 2009 obligations can be posted in Phoenix.

No payments will be allowed except for emergencies approved by Cathy Collins, M/CFO/CMP and Robbie Lowe, M/DCFO. Paying offices must make their payments that come due between September 26 and October 4 on or before 10:00am EST Friday, September 26, so that they avoid incurring interest penalties due to late payments.

On October 2, 2008 at 10pm, Phoenix will be shut down until October 4th at 11:59pm for Annual Close tasks. Approximately 11:59pm on October 4th, the system will be brought back online and made accessible to all users. Part of the Annual Close tasks includes CAR reversing all un-obligated commitments left over from 2008.

On October 5, 2008, Period 12/2008 will be closed and Period 01/2009 will be opened for 2009 transactions.

Carryover

Carryover will be handled differently depending on the type of fund account and below is a list with details on each variation.

1) Unexpired Multi-Year OE Funds

For Unexpired Multi-Year OE funds, un-obligated balances will have the Carryover procedures processed against them so that all availability is rolled up to the Appropriation level via Carryover Out in the prior fiscal year and then back in at the Apportionment level under the new fiscal year.

2) Unexpired Multi-Year Program Funds

For Unexpired Multi-Year Program funds, un-obligated balances will have the Carryover procedures processed against them so that all availability is rolled up to the Appropriation level via Carryover Out in the prior fiscal year and then back down to the level of the budget from which it came via Carryover In under the new fiscal year. This means that the funds will be available at the same level they were in the previous fiscal year. The use of these funds will be restricted by Funds Control until OMB approval is received.

3) Prior Year Multi-Year Funds

For Prior Year Multi-Year funds, the un-obligated balances will have the carryover procedures processed against them so that all availability is rolled up and out of the Appropriation level via Carryover Out and brought into the successor fund's Apportionment level via Carryover In.

4) 2008 No-Year OE Funds

For 2008 No-Year OE funds, the un-obligated balances will have the Carryover procedures processed against them so that all availability is rolled up and out of the Appropriation level via Carryover Out and brought into the successor fund's Apportionment level via Carryover In.

5) 2008 No-Year Program Funds

For 2008 No-Year Program funds, the un-obligated balances will have the Carryover procedures processed against them so that all availability is rolled up and out of the Appropriation level via Carryover Out and then back down to the level of the budget from which it came in the 2009 successor fund via Carryover In. This means that the funds will be available at the same budget level they were in the parent fund. The use of these funds will be restricted by Funds Control until OMB approval is received.

6) 2007 and Older No-Year Funds

For 2007 and Older No-Year funds, the un-obligated balances will have the Carryover procedures processed against them so that all availability is rolled up and out of the Appropriation level via Carryover Out and brought into the successor fund's Apportionment level via Carryover In.

7) Trust Funds

For Trust Funds, the un-obligated balances will have the Carryover procedures processed against them so that all availability is rolled up and out of the Appropriation level via Carryover Out and brought into the successor fund's Appropriation level via Carryover In.

-- Commitments

All commitments that are not otherwise obligated in Period 12, by October 2 closing, are reversed to ZERO and not reinstated. Offices will need to reinstate the commitments. Phoenix will be including GLAAS document types in the commitment reversal batch job. GLAAS will receive a list with the documents which have been reversed in Phoenix. GLAAS will be able to complete an action which would de-commit the funds for those remaining documents.

-- Recoveries

De-obligations made during FY 2008 in prior year fund accounts will be carried out of those fund accounts into the new FY 2009 fund accounts. This will occur by means of the carryout process to be executed on October 3 and 4. CAR will not be able to produce reports identifying which operating unit's recoveries are contained in which carried-in amounts because FY 2008 de-obligations will have been reduced by FY 2008 upward adjustments and will have been mixed together with prior years' recoveries from several past years.

Except for current multi-year fund accounts, downward adjustments of prior years' obligations (de-obligations) against prior year fund accounts that op-units make during FY 2009 will remain at the allowance level where op-units may use them for upward adjustments, but NOT for new obligations. All USAID staff with authority to commit funds in Phoenix must not, repeat not, use these de-obligated funds for new obligations because OMB has not re-apportioned them for new obligations. These recoveries will be carried out at the end of FY 2009.

Downward adjustments of prior years' obligations (de-obligations) against current multi-year fund accounts that op units make during FY 2009 will be recovered back to the appropriation level. Before they can be used for new obligations, these funds will have to be approved for use by OMB and budgeted back down the budget chain.

-- Upward Adjustments

Contact Funds Control Upward Adjustments mailbox at Funds Control Upward Adjust (USAID) to make a valid upward adjustment of prior year's obligations in any fund account.

-- 511/517 Appropriations

Since Fiscal year 2002, Section 511 of the Foreign Operations Appropriations Act extends the availability of certain obligated funds for an additional four years. Therefore, obligations recorded before the end of their original period of availability are available for an additional four years for re-obligation, e.g. 727/81021 for multi-year 2007 and 2008 which would normally expire at the close of FY-2008 may be carried forward four budget out-years to 2012.

If the funds in the fund accounts with the Original Appropriation Symbols shown in the table below have been obligated by the end of FY 2008, the period of availability for obligation for these funds has been extended for four more years by USAID's 511/517 authority.

- Current TSYM
- Subsequent TSYM
- 727/81000

-- 727/21000
-- 727/81007
-- 727/21007

-- 727/81010
-- 727/21010
-- 727/81021
-- 727/21021

-- 727/81037
-- 727/21037
-- 727/81093
-- 727/21093
-- 727/81095
-- 727/21095
-- 7281000
-- 728/21000

Prior to FY-2002, Section 517 converted expiring accounts to "no-year" which remains available until expended.

Point of Contact: Any questions concerning this Notice may be directed to

-- Michael Hoebel, M/CFO/CAR, (202) 712-4772,
mhoebel@usaid.gov, or

-- Tom Clarkson, M/CFO/CAR, at (202) 712-5951
clarkson@usaid.gov.

-- Attachment 1: Section 511 Authority

-- Attachment 2: Conversion Table

-- Attachment 3: Lookup Table of Established Codes

Notice 0949

File Name	IU2_0807_092308
Notice Date	09/18/2008
Effective Date	09/18/2008
Editorial Revision Date	
ADS CD No.	
Remarks	This IU will remain on the ADS Web site for three months.

IU2_0807_092308