Modifications, Edits & Closeout of Subawards VIA eProcurement

Use the following guidelines for submitting change requests for BPO’s.

1. Follow the “Instructions by Request Type” & attach applicable required documents.
2. Include internal comment stating type of change being submitted.
3. ‘Submit’ changes.
4. All requests route back through approval flow for applicable department & central office approvals.
5. OSP reviews applicable change requests for assessment & execution and approve upon full execution.
6. BPO is a now a new version e.g., V2. Subrecipient invoices against newest version, all prior versions are obsolete.
7. Notifications are sent as applicable.
8. Use the history tab to view prior versions.

Note:
- OSP will reject incomplete requests until changes have been implemented by the dept.
- If no invoice has been issued or paid, follow Procurement Services Instructions here.

Finding the BPO:

1. From the Contracts tab, select “Search -> Contract”

2. Enter numeric portion of your BPO in the search filter “Contract Title”.

3. Click

4. Select the original subaward that initiated the execution of your active BPO from the list to open it.

5. Click on either the BPO# or the title to open.

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6. You should now have a ‘change’ button.

7. Select appropriate Subaward Type for request being submitted.

Guide to Subaward Request Types
Use the internal comments field whenever possible to explain what you are requesting, especially if any elements are out of the ordinary.

<table>
<thead>
<tr>
<th>Subaward Type in eProcurement</th>
<th>Types of Requests</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>Brand new subaward.</td>
</tr>
<tr>
<td>Renewal</td>
<td>Subaward under a competing segment of the prime award.</td>
</tr>
<tr>
<td>PAS Transition</td>
<td>Creating a new BPO to transition existing subaward from PAS to eProcurement</td>
</tr>
<tr>
<td>Edit</td>
<td>Change(s) to the BPO that do not require changes to the subaward agreement.</td>
</tr>
<tr>
<td></td>
<td>Examples: Final Invoice Date Adjustments, Changing departmental contact in eProcurement, Closeout w/Remaining Balance.</td>
</tr>
<tr>
<td>Modification-funding</td>
<td>Changes that require a modification to the subaward agreement to add or</td>
</tr>
<tr>
<td></td>
<td>decrease funding.</td>
</tr>
<tr>
<td></td>
<td>Examples: Supplemental Funding, Approved carry forward requests,</td>
</tr>
<tr>
<td></td>
<td>Reducing funded amount, Early Termination that includes de-obligation of funds.</td>
</tr>
<tr>
<td>Modification-no funding</td>
<td>Changes, which require a modification to the subaward agreement, but do</td>
</tr>
<tr>
<td></td>
<td>not change funding.</td>
</tr>
<tr>
<td></td>
<td>Examples: Extend Period of Performance (no additional $), Change of PI, Change</td>
</tr>
<tr>
<td></td>
<td>in the Scope of Work.</td>
</tr>
</tbody>
</table>

INSTRUCTIONS BY REQUEST TYPE
CARRY FORWARD - (Modification-Funding Request)
Attach approvals from sponsor; include comment “Carry forward of $xx.xx from year X”. Change amounts to include carryforward funding being added to the BPO.

Pre-approved carry forward requests
Process a “modification- funding” request on the existing BPO for carry forward.

Carry Forward Requests which require approval:
e.g. non-SNAP funded Subawards, a new BPO for each reporting year is required.
For example Year 1 with remaining balance:

<table>
<thead>
<tr>
<th>Yr 1: BPO#001</th>
<th>Subcontract #UWSC00001</th>
<th>Budget 62-0001</th>
<th>$1,000</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Spend</td>
<td>900</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Remaining balance</td>
<td>100</td>
</tr>
</tbody>
</table>

Year two, carry forward request was submitted to the sponsor via OSP and you don’t have the approval yet. Or a renewal has come in on the Prime Award with a unique UW budget #.

1. Request a new BPO for the second year using the amount of that year’s funding and DO NOT include any carry forward from the previous year.
2. Include an internal comment, year two of “UWSCH#” (found in SAGE) For example:

<table>
<thead>
<tr>
<th>Yr 2: BPO#002</th>
<th>Subcontract #UWSC00001*</th>
<th>Budget 62-0002</th>
<th>$1,000</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Carryforward</td>
<td>100</td>
</tr>
<tr>
<td></td>
<td></td>
<td>New balance</td>
<td>1100</td>
</tr>
</tbody>
</table>

Approval for the carryforward comes in!

1. “Liquidate” and “Closeout” the remaining balance on the Yr1 BPO.
2. Request a “modification – funding” to the Yr2 BPO# to include the carryforward amount. For example:

<table>
<thead>
<tr>
<th>Yr 2: BPO#002</th>
<th>Subcontract #UWSC00001*</th>
<th>Budget 62-0002 $1,000</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Carryforward</td>
</tr>
<tr>
<td></td>
<td></td>
<td>New balance</td>
</tr>
</tbody>
</table>

Closeout/Liquidating Open Balances (Edit Request)

- Subaward has been completely spent; final invoice has posted in MyFD. No action required. Subaward automatically closes out.
- Subaward not fully spent and there is pending carry forward and/or renewals? Wait for approvals, once approvals have been obtained, follow instructions for Carry Forward Modification-funding request.
- Subaward NOT fully spent ($ remains), but final invoice has posted in MyFD: liquidate & closeout Remaining Balance. Open Balances in MyFD are liquidated when the reconciled amount on the BPO equals the BPO maximum limit.
  1. Process an “Edit” request prior to Final Action Date in order to reduce amount of the subaward to amount spent.
  2. Change Section 2: Limits, “Maximum Limit” = Reconciled Amount, this removes invoice button so subrecipient cannot submit invoices against this BPO.
  3. Change Section 3: Pricing Terms, “Maximum Amount” should = Reconciled Amount for each line item. This removes the open balance in MyFD.
    a. Contact pcs帮助@uw.edu with further questions.
  4. Reject invoices submitted on this BPO after the Final Action Date.

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De-Obligation of Funding (Modification-Funding Request):
1. Request type: Modification-funding
2. Attach revised budget illustrating overall categorical reduction.
3. Change Section 2: Limits, “Maximum Limit” = total amount of award after De-Obligation.
4. Change Section 3: Pricing Terms, “Maximum Amount” and Line items should = total amount of award after De-Obligation.
5. Maximum Limit, Maximum Amount should all be the same.
6. Include explanatory comment e.g. De-obligation of xyz.
7. If no invoice has been issued or paid, follow Procurement Services Instructions here.

Extensions (Modification-No Funding Request):
No additional documentation required.
1. Request type= Modification-no funding
2. Change dates for the new expiration & Final Invoice date to reflect extension period.
3. Include explanatory comment about extension.

Final Invoice Date Adjustments (Edit Request)
Invoices submitted after the “Final Invoice Date” systematically cannot be reconciled/received by the department; these will require edit request to release the funds to the subrecipient.
1. Process an edit request
2. Adjust Final Invoice Date (no later than Final Action Date)
3. Include explanatory comment.

Note: If subrecipients will submit invoices AFTER the Final Action Date, this MUST be communicated to GCA. Otherwise, the budget will be closed & payment to the subrecipient will be automatically rejected.
1. Submit a GrantTracker within 3 business days of the Final Action Date
2. Request the budget remain open for a late subaward invoice.
3. After GCA confirmation, process a modification to the “Final Invoice Date”, include explanatory comment and reference GrantTracker #.
4. Upon receiving Invoice and posting to the budget, follow up with GCA via GrantTracker.

Programmatic Detail Changes (Edit Request):
E.g. change in key personnel etc.
1. Make necessary changes.
2. Include verification documents & proof of sponsor’s approval when required.
3. Include internal & externally visible comments explaining changes made.

Supplemental Funding (Modification-funding Request):
1. Attach detailed budget & budget justification for supplemental funding only.
2. Change Section 2: Limits, “Maximum Limit” = amount of original award + supplement.
3. Change Section 3: Pricing Terms, “Maximum Amount” = amount of original award + supplement.
4. Maximum Limit & Maximum Amount should all be the same.
5. Include explanatory comment about the supplement.
For example, if the original award to the subrecipient was for $10,000 and you are requesting the addition of a supplement of $5,000, the new award amounts should =$15,000.

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Termination (Modification Request):

1. If de-obligation of funds is included a request for Modification- funding, if not request Modification- no funding.
2. Attach official correspondence documenting nature of termination.
3. Attach verification sponsor & subrecepient entity has been informed, co-signed by OSP.
4. Change expiration date & Final Invoice date.
5. Change amounts if applicable
   a. Change Section 2: Limits, “Maximum Limit”
   b. Change Section 3: Pricing Terms, “Maximum Amount”.
   c. Pricing terms Maximum Limit and Maximum Amount should all be the same.
6. Include an explanatory comment(s) about termination.
7. If no invoice has been issued or paid, follow Procurement Services Instructions here.

Helpful Hints:

- Final Invoices MUST be “received” no later than the “Final Invoice Date” set in Ariba. After that date, departments will be unable to “receive” invoices without processing a Final Invoice Date Adjustment.
- Final Invoice must be “received” and posted in MyFD on or before the Final Action Date.
- Include a relevant internal comment on any changes made on a BPO so that approvers understand what changes they are reviewing.

Important dates for Subawards:

- Dates of performance on invoices must fall within the start & expiration dates on the BPO per the terms of the agreement.
- Final Invoice date: last day to receive an invoice in Ariba without submitting modifications
- Final Action date of Prime award budget.
- Final Invoice date – last day department will be able to process a payment for invoices without modifying the subaward in Ariba.

Additional Resources:

- OSP Subaward information: http://www.washington.edu/research/?page=subawards
- Questions on Contract execution and Approvals: OSPsubs@uw.edu
- Vendor registration and eProcurement system questions: pcshelp@uw.edu