

<p>SPO Process/ RAPID Guide</p>	<p><u>Division Process</u> Advance Invoice Request for Non Federal WFO, Non Federal Funded User, and Funded CRADA Agreements</p>
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Division Actions for Advance Invoice Request for Non Federal WFO, Funded Non Federal User, and Funded CRADA Agreements

The review for [the Non Standard Financial Billing and Payment Terms](#) is a separate action occurring prior to the Advance Invoice Request. This allows AR to exercise better financial and administrative controls over the Advance Invoice process.

What is the Field Management's role in Advance Payments?

Resource Analysts are responsible for maintaining the advance cash position for the award. The RA will inform the SPO Contracts Officer (SPO CO) of the "Non Federal Advance Amount" following guidance provided by SPO below. If the Non Federal Advance Amount changes during the course of negotiations for a new award or amendment (including incremental funding) the SPO CO will request that the RA recalculate the amount.

What is SPO's role in Advance Payments?

The SPO Contracts Officer's responsibility is two fold:

1. Negotiate the correct Non Federal Advance Amount for the funding as determined by the Resource Analyst; and
2. Request AR to issue the Advance Invoice based on the SPO Mechanism.

SPO Business Process¹:

The Advance Invoice Request process will be different for Non-Federal WFO and Non-Federal Funded User Agreements.

- **Non-Federal WFO Agreements Advance Invoice:**
SPO COs will email AR a request for an Advance Invoice and AR Review when the award is signed.
- **Non-Federal User Agreement Advance Invoice:**
SPO COs will email AR a request for an Advance Invoice and AR Review when the User Agreement proposal is sent to the User.
- **Advances for WFO/User Amendments:**
Will be treated in the same fashion as the WFO or User new award except there is no AR Review because the billing has already been set up.

¹ The entire Advance Invoice process has moved from the proposal process to pre-award/award. As of 10/01/2008 SPO no longer issues Advance Invoices nor advises on the release of Advance payments as part of the award authorization process.

▪ **Advances for Incremental Funding:**

An agreement is incrementally funded when the proposal is approved for the full estimated cost of the agreement but the sponsor authorizes incremental funds increasing the funding periodically (typically yearly) via a contract amendment.

NOTE: This not to be confused with an agreement that has been authorized for full funding but the sponsor releases payments via a schedule. This example does not go through the Advance Invoice process and is managed by AR as scheduled payments as outlined in the contract. There is no amendment required because the award is fully funded.

In RAPID:

The Resource Analyst enters the Non Federal Advance Amount in RAPID/Proposals². The RAPID advance information does not appear on the SPAA³.

What is the Controller/Accounts Receivable's Role?

The Controller/Accounts Receivable (AR) is the primary organization for the management of Advance Invoice process.

OCFO Financial Policy References:

- [Major Financial Management Roles and Responsibilities Between the Divisions and OCFO Field Operations](#)
 - LBNL Major Financial Management Roles and Responsibilities
- [Advance Payment Requirement for Non-Federal Work for Others' \(WFO\) Sponsors](#)

² SPO COs no longer maintains the Advance Invoice and payment information in RAPID/Awards; that information is now managed by AR in BAR.

³ SPO COs will no longer advise on the release of Advance payments and distribute checks with the SPAA.

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Process Roles Charts:

- **Non-Federal WFO/Funded CRADA - Advance Invoice Process Flow for New Awards and Amendments (not Incremental Funding):**

	Proposal	Pre Award/ Request Invoice	Pre Award/ Receive Invoice	Award
Field	1. Determine Advance Amount and enter into RAPID. 2. Enter Administrative Contact information in RAPID.	5. If Contract Funding amount changes, revise Advance Invoice Amount with Comments in RAPID.		
SPO/CO	3. Use Advance Amount from RAPID in Agreement. 4. Negotiate Funding. <ul style="list-style-type: none"> • If Change in Funding go to #5 • Once Contract is signed, go to #6 	6. Email AR with Advance Invoice Request w/ copy of first two pages of Agreement (either fully signed or in process for final signature).		10. Authorizes Award in RAPID. 11. Issues SPAA.
AR		7. AR issues Advance Invoice.	8. Follows up on invoice payment ~30 days after issued. 9. Emails CO the Advance has been received.	

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- **Non-Federal WFO/Funded CRADA - Advance Invoice Process Flow for Incremental Funding**

	Proposal	Pre Award/ Request Invoice	Pre Award/ Receive Invoice	Award
Field	1. Determine Incremental Funding Amount and Advance Amount. 2. Email request to SPO CO.	5. If Amendment Funding amount changes, revise Advance Invoice Amount and send new Email to SPO CO.		
SPO/CO	3. Use Advance Amount and Incremental Funding in Amendment. 4. Negotiate Funding. <ul style="list-style-type: none"> • If Change in Funding go to #5 • Once Amendment is signed, go to #6 	6. Email AR with Advance Invoice Request w/ copy of amendment attached (either fully signed or in process for final signature).		10. Authorizes Amendment in RAPID. 11. Issues SPAA.
AR		7. AR issues Advance Invoice.	8. Follows up on invoice payment ~30 days after issued. 9. Emails CO the Advance has been received.	

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- Non-Federal Funded User Agreement - Advance Invoice Process Flow:

	Proposal	Pre Award/ Request Invoice	Pre Award/ Receive Invoice	Award
Field	1. Determine Advance Amount and enter into RAPID. 2. Enter Administrative Contact information in RAPID.			
SPO/CO	3. Use Advance Amount in Agreement. 4. Email AR with Advance Invoice Request w/ copy of first two pages of User Agreement.		6a. (optional). Informs AR that the Contract has been fully executed (use only if AR has not informed SPO that it has received invoice payment).	8. Authorizes Award/Amendment in RAPID. 9. Issues SPAA.
AR		5. AR issues Advance Invoice.	6b. Follows up on invoice payment ~30 days after issued. 7. Emails CO the Advance has been received.	

Incremental Funding Amendment:

- How will the Division RA request Incremental Funding and Advance Invoice action from SPO CO?

The Division RAs will send to the SPO CO an Email request identifying the next increment of funding and the companion Advance Invoice amount. This incremental funding amount and the advance invoice will be used by the SPO CO in setting up the incremental funding amendment with the Sponsor.

To: Appropriate SPO CO
Cc: PI and Other Divisional Contacts
From: Division RA
Date:
Subject: Incremental Funding and Advance Invoice Request for Award Number:
Award Number:
Sponsor Reference Number:
Incremental Funding Amount: \$
Advance Amount: \$
Date Current Incremental Funding Expires:
If the contact information has changed, please provide:
Contact Name: _____
Contract Address: _____
Contact Phone: _____
Contact Email: _____
Comments:

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RAPID Guide: Advance Invoice Process -

The RAPID Guidance below covers the specific actions required by the Resource Analysts and SPO Contracts Officers to assure that Accounts Receivable can issue the Advance Invoice and provide AR Review certification in RAPID. There are a number of changes in the RAPID Processes and Data Entry. *For incremental funding, there is no RAPID data entry requirement.*

The Advance Invoice process depends on two RAPID pages for critical information:

- 1) RAPID Proposal Header/ Additional Information/ Non Federal Advance Amount; and
- 2) RAPID Submit Proposal/Contact.

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Non Federal WFO, User or CRADA Proposal Header

- How is the Advance Invoice Amount determined?
The amount for the Advance Invoice is determined by the Resource Analyst in accordance with OCFO Financial Policy for [Advance Payment Requirement for Non-Federal Work for Others' \(WFO\) Sponsors](#). When the amount is determined, the Resource Analyst enters it into the RAPID Proposal Header/Additional Information/*Non Federal Advance Amount*.

The Resource Analyst clicks on the **Details Box** and then completes the **Advance Amount**.

If during the course of negotiations the Advance Amount changes, the SPO CO will request the Resource Analyst update the Non-Federal Advance Amount and provide **Comments** recording the reason for the revision.

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Non Federal WFO, User or CRADA Contact

It is the RA/Proposal Developer's responsibility to include the initial data entry for the Contacts in the RAPID Proposal. There should be at the minimum an administrative contact and a program contact. One of the entries should be indicated as "Mailing Address."

The address for the Advance Invoice comes from the Contact Navigation Page in RAPID. The SPO CO will determine which contact is to receive the Advance Invoice by adding the **Advance Invoice** (ADINV) role. If it is new contact, the SPO CO will add the new contact and assign the **Advance Invoice** role.

Sponsor ID PL600 LOCKHEED MARTIN CORPORATION

Scroll Area Find | View All First 1 of 1 Last

Contact Location + -

Salutation Code MR *First Name Bob Middle Initial

*Last Name Patterson Title SUVI Subcontract Administrator

Roles Find | View 1 First 1-2 of 2 Last

*Contact Role	ADMIN	Administrative Contact	+ -
	ADINV	Advance Invoice Address	+ -

Address Line 1 Lockheed Martin Advanced Technology Center

Address Line 2 Org. ADBS, Bldg. 252 Add/Update Contact

Address Line 3 3251 Hanover Street Add/Update Location

City Palo Alta State CA Zip Code 94304

Country USA United States

Mailing Address Telephone 650 4242503 [Comments](#)

Cell Phone Fax

SPO COs are to follow the steps outlined for both Advance Invoice and AR Review for Non Federal WFO, Funded User or Funded CRADA awards. Once the two processes are completed, AR can issue the Advance Invoice and provide AR Review approval.