

Undelivered Order (UDO) Review and Certification Procedures

Background:

The UDO Aging Report will be run by the National Operations Center (NOC) (OC-612) twice each year and will be posted to the SharePoint Financial and Business Management System (FBMS) Project Team site. The report will include the following UDOs:

1. All UDOs for which more than 90 days have elapsed since the Period of Performance (POP) ended.
2. All UDOs for which no POP date was indicated and no activity has occurred in the past 90 days.

There are five different obligation types in the FBMS. Every obligation in the FBMS is called a Purchase Order (PO). Do not confuse the FBMS PO with a procurement award type called a purchase order. All POs can be viewed in the FBMS. Go to the Acquisitions or Core Financials > Purchasing> Display Purchase Order. Another helpful report to see a UDO or receipt balances is the R/3 Custom Report called the Purchasing Report. Under EMIS > BEx Web Analyzer – run the UDOv2 report found under New Analysis > Roles > Acquisition. Below is the list of the five PO numbering schemas for the five obligation types in the FBMS and the associated Purchase Doc type:

- 1) 450000NNNN – This PO document number in the FBMS is used with document type ZMOB, which is used for miscellaneous obligations (MO).
- 2) 460000NNNN – This PO document number in the FBMS is used with document type ZAC, which is used for AutoChoice obligations.
- 3) 320000NNNN – This PO document number in the FBMS with no document type is used for Permanent Change of Station (PCS) moves. The NOC Travel and PCS Section (OC-623) will provide a list of PCS-related UDOs identified as no longer valid, and states/centers/WO will need to review the list. If states/centers/WO agree with the NOC Travel Unit's assessment, they will need to identify those UDOs on the UDO Aging Report as requiring de-obligation and proceed with de-obligation action. Should states/centers/WO disagree with the NOC Travel Unit's assessment on specific UDO's, they will need to certify those UDO's on the report as being valid. PCS-related UDOs not on the list provided by the NOC Travel and PCS Section (OC-623) should be understood as still being valid and should be certified.
- 4) LNNPXNNNNN – A document number with "L" being the first character and "X" being the fifth character is used with document type ZC, which is used for acquisition related obligations interfaced to the FBMS via Prism.

5) LNNACNNNNN – A document number with “L” being the first character and “A” being the fourth character is used with document type ZG, which is used for assistance agreements (Grants/Cooperative Agreements) interfaced to the FBMS via grants.gov.

Instructions for UDO Review and Certification:

The UDO Aging Reports are run as of March 31 and June 30 each fiscal year. The deadline for the state/center/Washington Office (WO) to complete the review of the report data and provide certification of the review is April 30 for the March 31 data, and July 20 (July 19 in 2013) for the June 30 data. The NOC UDO Report Coordinator shall then compile certifications from all states/centers/WO and forward the certifications and reports to the Chief Financial Officer (CFO) (WO-800). The CFO will then certify the BLM reports and forward them to the Department of the Interior (DOI) Office of Financial Management on or before July 31. The UDO Aging Report is available on the FBMS Portal at Core Financials > Custom Reports > RPT415 – UDO Aging Report. The Layout variant /BLMUDOCERT1 shall be applied. This report may be run any time and may be run for a single PO number, for multiple selections, or with the use of the FBMS wildcard, which is an asterisk (*). It is suggested that each office as a whole or COs run a report after the first annual certification is complete in order to be prepared for the annual review in July due to the shorter timeframe in which to complete the report. See Attachment 3 for instructions on how to create an aging report for your state/center/WO at any time. For the purpose of the UDO certification, the UDO Aging Report shall be run and transformed into a UDO certification report for all states/centers/WO by the NOC UDO Report Coordinator. The UDO certification report will be posted to the SharePoint FBMS Project Team Site at the following URL: <http://teamspace/sites/fbms/default.aspx>.

Take the following path to reach the UDO reports: Documents > Working Documents > 1UDO Reviews. Then click on the folder for the current FY to locate the folders for the correct reporting date. After clicking on the correct folder, locate the UDO Certification Report Excel file for the applicable state/office. Each line on this report shall be annotated by each respective state/center/WO. The file must be checked out first, annotated, and then checked back in. To checkout a file, move the cursor over the file name, click on the down arrow, and click on checkout. Then go back to the file name, move the cursor over the file name, click on the down arrow, and click on edit in Microsoft Excel. Then when you close the file, you will be asked if you want to check the file back in – click Yes.

It is recommended that each state/center/WO select a UDO sub-coordinator to handle each of the purchase document types. It is also recommended that each office have backups that will be able to review the UDOs for all document types and all functions so the reports are completed on time. This is especially important for the annual review in July that is reported to the DOI. All ZC documents should be reviewed by the responsible CO and all ZG documents should be reviewed by the responsible Grants Officer. It should be noted that POs in the 320000XXXX series for PCS obligations do not capture Creator Name. These are found on a separate worksheet. All the documents on the UDO Certification Report must have an annotation whether the UDO is valid or not and, if not valid, a comment must be provided stating what action is being taken to deobligate any invalid UDO and the date such action shall take place.

For each line item where the days elapsed exceeds 90, a comment must be provided justifying why the action is still valid.

A post review report will be run to determine if the UDOs annotated as being subject to de-obligation, amount change, or a change in the period of performance on the prior review took place within 30 days after the completion of the review. The post review report will be run with data as of May 31 and August 20 each year. OC-612 will run the report and note where specified actions did not take place. OC-612 will report the discrepancies to WO-855 for further action.

The following are key features of the report:

A. Each state/center/WO report has four to six of the following tabs:

1. - L > Past POP for UDOs with an ending POP that is prior to the “as of” date of the “UDO Aging Report.”
2. - L > 90 for UDOs with no stated POP with a “Days Elaps” number greater than 90.

All L documents go to the state/center/WO of the responsible CO.

3. - MOs (document numbers that begin with “45” that have a “Days Elaps” number greater than 90 and the vendor is not JP Morgan or Bank of America (BoA). The MO goes on the report for the state/center/WO reported in the “Funds Center” field, unless the legacy (Federal Financial System (FFS)) document number indicates it belongs to another state/center/WO.
4. - JP Morgan and BoA for miscellaneous obligations with the vendor being either JP Morgan or BoA.
5. - PCS for permanent change of station obligations (document numbers begin with 32) that have a “Days Elaps” number greater than 90.

The report for the NOC has the following additional tab:

Motor vehicles for MOs with document numbers beginning with “46,” a “Days Elaps” number greater than 90 and a Functional Area of L93100000.130000.

5. The following fields are listed on the report:

Column letter	Name of header	Description
A	Business A	Business Area is L000, the FBMS code for the BLM.
B	Obligation	This is the PO number. See Background above for the five numbering schemas and five doc types.
C	Legacy No	Populated only if the document was converted from FFS.
D	Purchase Doc Type	See Background above for the five different PO doc types.

E	Created by	The name of the person who created the PO in the FBMS.
F	FM Obligation	The Obligation amount in the Finance Module.
G	Line Item	The line item number in the FBMS.
H	Acct Assig	The funding line sequence number.
I	Commitment	Commitment number for the UDO.
J	Orig Oblig	Date the obligation was originally created. If converted from FFS, the date will be 9/30/08.
K	Prd. of Pe	POP "From" date.
L	Prd. of Pe	POP "To" date.
M	Last Updat	Last update is the last date a transaction was posted. This date is used to calculate the days elapsed.
N	Funds	The Fund Level code.
O	Fund Cente	The Funds Center code.
P	Func Area	The Functional Area code.
Q	Funded Pro	The Funded Program code.
R	Contractin	CO name – Populates the FBMS PO from the data entered by the CO under the Main > General > CO field in Prism.
S	COR/Receiv	Contracting Officer's Representative (COR)/Receiving Official name – Populates from the data entered by the CO under the Main > General > COR field in Prism.
T	Vendor Num	The FBMS assigned Vendor Number from Vendor Master Data.
U	Vendor Name	Vendor name.
V	Trading Pa	Trading Partner is the FBMS assigned Trading Partner Number from Vendor Master Data.
W	Deletion I	Deletion Indicator – indicates if document has been deleted.
X	Asset Numb	Asset Number.
Y	Sub Asset	Sub Asset.
Z	Unlqdttd Ob	Unliquidated Obligation dollar amount as of the report date.
AA	Delivery D	Delivery date of service. Not populated if a product.
AB	Days Elaps	Days Elapsed since the last action was posted.
AC	Short Text	The Short Text Description of the purchase.
AD	Certify or Deobligate	Denotes the action that will be taken on the UDO. A deobligation or modification shall be executed by the due date for the certification. If a modification is to be executed, the column shall be annotated "Certify," with the reason for modifying the document in column AE.
AE	Reason for keeping obligation	For the reviewer to explain why an obligation that would normally be deobligated because of timeliness reasons (more than 90 days past period of performance or more than 90 days of no activity) is being certified or modified. There may be a reason to keep the UDO if beyond the

		parameters, such as an invoice is expected or the period of performance may be incorrect. This is the field to explain your reasoning for certifying the UDO.
AF	FBMS Help Desk ticket #	FBMS Help Desk ticket #: This column shall be annotated with the FBMS Help Desk ticket number if help is needed from the NOC to deobligate or modify a UDO.

Column AD (Certify or Deobligate) must be annotated on every line of the report or the review is considered incomplete. If column AD indicates Certify, then Column AE (Reason for keeping obligation) must also be annotated. If column AD indicates Deobligate, the deobligation must take place within 30 days after the certification due date unless Column AF (FBMS Help Desk ticket #) has been annotated to indicate that a help desk ticket has been entered for assistance to deobligate or modify the UDO. The certification memorandum is not to be issued until every line on the report has been annotated in column AD, and if required AE or AF.

“Researching” is not a valid explanation for any UDO – the research must be completed by the certification deadline or the state/center/WO may not certify their report.

Possible reasons for no de-obligation are:

- POP ended, final invoice not received.
- POP ended, final invoice received, contract close-out begun.
- POP ended, contract close completed, awaiting contract modification for final de-obligation.
- Obligation subject to litigation, valid.
- Final close-out of obligation subject to the Defense Contract Audit Agency audit of final indirect rates.
- Waiting for POP to be extended.
- Erroneous obligation, working with contracting for de-obligation.
- De-obligation due from contracting within 30 days.
- Waiting for acceptance from vendor to de-obligate.

NOC UDO Report Coordinator Responsibilities

1. Notify by email the state/center/WO FBMS UDO leads when the UDO certification report is on the SharePoint site. Provide the path or the URL link to access the current report. Remind the leads of the deadline to certify the report.
2. Follow up with the state/center/WO UDO leads, as needed, to ensure that the report review is completed on-time.
3. Review the UDO Certification Report for completeness in columns AD, AE, and AF.
4. Notify the state/center/WO UDO leads about incomplete annotated reports requesting that they correct and post annotations to the file in the FBMS SharePoint site. The NOC UDO

Report Coordinator will also inform the NOC Director and the Assistant Director of any states/centers that do not submit completed reports or the certification memorandum.

5. Run the post review report within 30 days after the completion of the review.

State/Center/WO UDO Lead Responsibilities

1. Upon receipt of the report instructions sent by the NOC UDO Report Coordinator, in an e-mail message, immediately forward this e-mail to the appropriate state/center/WO UDO sub-leads covering areas such as procurement, financial assistance, budget, travel, fleet, and persons with the Accounts Payable(AP)_MO role.
2. Follow-up with the state/center/WO UDO sub-leads, as needed, to ensure that the report review is completed by the deadline. Make certain that obligations such as interagency agreements, financial assistance awards, and MOs are reviewed with the same scrutiny used to review contracts, POs, and any other obligations for which payments are subject to Prompt Pay requirements.
3. Ensure that each document listed on the UDO Certification report is properly, accurately, and completely annotated at the FBMS SharePoint site.
4. Obtain the Assistant Director (800) and the state and center directors signature on the certification memorandum and either upload it to the SharePoint site or email the file to the NOC UDO Report Coordinator.
5. Keep an electronic copy of your report including the annotations for two years.

UDO Sub-leads for Procurement, Financial Assistance, Budget, Travel, Fleet, and Employees with the AP_MO Role Tasks

1. Determine if funds for the documents listed on the report are still valid or if funds are no longer needed and should be deobligated. Make certain that all unliquidated obligations for assistance and interagency agreements and MOs are reviewed with the same scrutiny used to review obligations for contracts, purchase orders, and any other orders for which payments are subject to Prompt Pay requirements. Annotate each line in the report in the appropriate cells.
2. Deobligate any remaining excess funds where the performance has ended, all goods and services have been received and accepted, and final invoice has been received and processed. Be aware of line items in the Prism that are marked "CONVERTED." A single line item exists for all converted FFS documents where the FFS line items had an unliquidated obligation. Lines marked "CONVERTED" do not interface to the FBMS; therefore, modifications where those line item amounts are changed or deobligated must be provided in a hard copy format, signed by the CO, to the AP_Contract_Awards Role (the following NOC staff have this role: Lorenza Esquibel, Zillah Gresham, Audrey McCray, Diana Medina, Elizabeth VanHaverbeke, and

Timothy Woolums). They will manually take the action as authorized on the modification to either change or deobligate funds directly in the FBMS.

State/center/WO Budget Officer Tasks:

1. Review the annotated reports.
2. Ensure that deobligations related to centrally funded initiatives are not re-allocated by the state/center/WO. Identify deobligated central funds to WO-880 during the quarterly budget reviews.

Assistant Director (800) and State and Center Directors and Responsibilities

The Assistant Director (800) and the state and center directors will submit a certification memorandum to the NOC UDO Report Coordinator stating that all annotations on the UDO Certification Report are complete and accurate. The certifications provide validation of the financial accountability and reporting requirements for reporting to the President, Congress, and Director of the Office of Management and Budget (OMB), per OMB Circular No. A-11.

The UDO certification memorandum is an unconditional declaration that the review of all UDOs is complete for the period for which the review is being performed. The certification will not qualify that the certification is for other than all types of UDOs. One certification memorandum per the state/center/WO that declares that all UDOs are being certified, deobligated, or modified is all that is required and allowed. See attachment 2 for an example of the format and wording for the certification.