

DOE 1331.2B
5-18-92

THIS PAGE MUST BE KEPT WITH DOE 1331.2B, DEPARTMENTAL BUSINESS INSTRUMENT NUMBERING SYSTEM.

DOE 1331.2B, DEPARTMENTAL BUSINESS INSTRUMENT NUMBERING SYSTEM, HAS REVISED DOE 1331.2A TO REFLECT ORGANIZATIONAL TITLE, ROUTING SYMBOL, AND OTHER EDITORIAL REVISIONS TO INCORPORATE CHANGES REQUIRED BY SEN-6. NO SUBSTANTIVE CHANGES HAVE BEEN MADE. DUE TO THE NUMBER OF PAGES AFFECTED BY THE REVISIONS, THE ORDER HAS BEEN ISSUED AS A REVISION.

US. Department of Energy
Washington, D.C.

ORDER

DOE 1331.2B

5-18-92

SUBJECT: DEPARTMENTAL BUSINESS INSTRUMENT NUMBERING SYSTEM

1. PURPOSE. To prescribe procedures for assigning identifying numbers to all Departmental business instruments.
2. CANCELLATION. DOE 1331.2A, DEPARTMENTAL BUSINESS INSTRUMENT NUMBERING SYSTEM, of 12-12-86.
3. REFERENCES.
 - a. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, contains information about when award files may be destroyed.
 - b. DOE 1331.1D, PROCUREMENT AND ASSISTANCE DATA SYSTEM, of 5-18-92, contains information on reporting award data.
 - c. DOE/MA-0428, "Handbook for Preparation of DOE Procurement Request Forms," of 11-90, contains instructions for completing DOE F 4200.33, "Procurement Request-Authorization."
 - d. DOE/PR-0010, "Handbook for Preparation of Individual Procurement Action Report (IPAR)," of 7-91, contains instructions for completing DOE F 4200.40, and DOE F 4200.40A "Individual Procurement Action Report (IPAR) for Financial Assistance."
4. DEFINITIONS.
 - a. Award Business Instrument Number (BIN). The 17-character number described in this Order used to identify a business instrument.
 - b. Awarding Office. The organization which prepared the solicitation, negotiated, made the award, and/or currently administers the award.
 - c. Business Instrument. A legal document which constitutes an agreement between DOE and a company, an individual another Government agency, or a public or private institution.
 - d. Initiating Office. The organization which authorized the acquisition of goods or services using DOE F 4200.33, "Procurement Request Authorization."

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- e. Procurement Request (PR). The formal initiation, by an initiating office or an awarding office, of the process leading to a new award or modification of an existing award (see DOE F 4200.33). The Procurement Request is also used for financial assistance awards.
- f. Procurement Request Number. The 16-character number described in this Order used to identify an individual "Procurement Request Authorization."
- g. Register Number. A unique seven-character code which is assigned to and becomes part of each procurement request number, solicitation number, and award business instrument number. It consists of two characters, which designate initiating office, followed by five numerals. The register number remains unchanged forever, even if the instrument fails to be executed. A register number may not be reused until after the award file has been destroyed. (See DOE 1324.2A for information on records retention.)
- h. Solicitation. Methods used by the Department of Energy (DOE) to request applications, proposals, or quotations and invite bids.
- i. Solicitation Number. The 17-character number described in this Order used to identify a solicitation.

5. RESPONSIBILITIES AND AUTHORITIES.

- a. Director of Procurement, Assistance and Program Management (PR-1) shall provide:
 - (1) Guidance to newly established initiating offices to establish register numbers and define responsibilities in the use of number registers.
 - (2) Guidance to established initiating offices in the use of existing number registers.
 - (3) Assistance in resolving conflicts in number assignments.
 - (4) Assistance to resolve problems associated with the establishment and/or use of number registers.
- b. Initiating Office Heads are responsible for establishing registers for controlling the issuance of the unique numbers required for the preparation of business instruments and assigning unique procurement request numbers. These numbers shall be in accordance with the guidance presented in paragraph 6a.

- c. Awarding Office Heads are responsible for assigning unique numbers to solicitation and award instruments, in accordance with the guidance presented in paragraphs 6b and 6c.
6. PROCEDURES AND REQUIREMENTS. The following procedures apply to the numbering of procurement requests, solicitations, and awards. See paragraph 6i for special procedures pertaining to existing Army Corps of Engineers contracts. The codes that are applicable in the construction of a procurement request number can be found in the current edition of the Handbook for the Preparation of the Procurement Request Form.
- a. Procurement Request Number.
 - (1) The basic portion of a procurement request number is 12 characters long in a format exemplified by 01-92AD12345. This is identical to the last 12 characters of the award business instrument number (see paragraph 6c for a full explanation of this number), with the following exception: for a procurement request number, the fiscal year portion reflects the fiscal year of the award date (or in the case of an anticipated award, the anticipated award date). For example, the basic portion of a procurement request number which initiated a procurement action for a new award in FY 1992 would be in the form of 01-92AD12345. Subsequent actions in FY 1992 would have the same basic portion for their procurement request numbers. For actions related to this award in FY 1993, the procurement request number would be in the form of 01-93AD12345. With regard to the award business instrument number, however, the fiscal year portion of this number remains the same as the year in which the instrument was initially awarded, in this example, FY 1992. In other words, regardless of the fiscal year of the procurement request, the fiscal year portion of the award business instrument number does not change.
 - (2) The supplementary portion of the procurement request number will consist of a decimal point followed by a three-digit number added to the right of the basic portion of the procurement request number. The number identifies the sequence of procurement requests initiated for a fiscal year. The number is assigned sequentially starting with "000" and is used to represent funding actions or any other action that involves procurement or financial assistance activity, e.g., a no-fund extension. To continue with the previous example, the procurement request number that initiated the basic award would be 01-92AD12345.000. The next action in FY 1992 would be a modification with a

procurement request number 01-92AD12345.001. This supplemental portion does not become part of the award business instrument number. Each fiscal year a new sequence begins with "001."

- (3) Sometimes the awarding office will initiate a modification action under an award where the initiating office need not issue a procurement request. To provide for this case, the three-character sequence has been divided to have the awarding office use "501" through "599." If, in the above example, the awarding office were to initiate its own first procurement request under the award in FY 1992 to change the cognizant contracting officer, it would be coded as 01-92AD12345.501. The use of a different series prevents duplication of procurement request numbers that might occur when two separate offices are issuing procurement requests. Awarding offices are not required to use the "501-599" series.
- (4) Awarding offices that support full milestone procurement request processing have available a procedure for tracking corrections to a previously issued procurement request. This process is accomplished by issuing a change/correction procurement request that will have a procurement request number with the same basic and supplementary portion (e.g., 01-92AD12345.001). The correction procurement request will, however, end in an alphabetic character. Begin with "A" and continue through the alphabet. Do not use the letter "Z." The procurement request correction letter does not become part of the business instrument number. For additional information on correcting procurement requests, consult the "Procurement and Assistance Data System (PADS) System Reference Manual" (Appendix A, Forms Updating) or the "Handbook for Preparation of DOE Procurement Request Forms."
- (5) The following examples further explain the supplementary portion of the procurement request number:

01-92AD12345.000 -	New award initiation.
01-92AD12345.001 -	First subsequent action in FY 1992.
01-92AD12345.001A -	First correction of 001.
01-92AD12345.001B -	Second correction of 001.
01-92AD12345.002 -	Second subsequent action in FY 1992.
01-93AD12345.001 -	First subsequent action in FY 1993.

01-93AD12345.002 - Second subsequent action
in FY 1993.
01-93AD12345.501 - First awarding office
action in FY 1993.

- b. Solicitation Number. The solicitation number is formatted in the same manner as the award business instrument number, except that in place of the type of award instrument described in paragraph 6c(3), a two-character code for type of solicitation is used.
- c. Award Business Instrument Number. The award business instrument number consists of 17 characters and has the following format: DE-AC01-92AD12345. The codes that are used in the Award Business Instrument Number can be found in the current edition of IPAR. Information is encoded in the number as follows:
- (1) The first and second positions, DE-AC01-92AD12345, contain the two-character code assigned by the Federal Procurement Data System (FPOS) to identify Department of Energy awards.
 - (2) The third position contains a dash.
 - (3) The fourth and fifth positions, DE-AC01-92A012345, contain a two-character code corresponding to the type of award instrument.
 - (4) The sixth and seventh characters, DE-AC01-92A012345, identify the responsible awarding office.
 - (5) The eighth position is a dash.
 - (6) For awards issued after FY 1976, the ninth and tenth positions, DE-AC01-92AD12345, will contain the last two digits of the fiscal year of the award date. Instruments initially awarded prior to FY 1976 will generally have a "76" in their award business instrument number. Awarding offices have been given the option to change the fiscal year to agree with the actual award date.
 - (7) The eleventh and twelfth positions, DE-AC01-92A012345, contain a two-character code indicating the initiating office. Award business instrument numbers exist that contain codes that are no longer used for new awards due to Departmental reorganizations.
 - (8) The thirteenth through seventeenth positions, DE-AC01-92AD12345, will contain a five-digit unique serial number assigned by the initiating office.

- d. Tracking of a Number from Request to Award(s). The seven right-most characters of the basic portions of the award business instrument number, solicitation number, and procurement request number (e.g., AD12345) represent the "register number". These characters will remain unchanged. The register number is established when the procurement request is generated. Attachment I tracks the example number from procurement request through several modifications to the resultant award.
- e. Multiple Awards from a Single Procurement Request. Multiple new award instruments can be generated from a single procurement request. In such situations, at the time the number of awards is determined by the awarding office, the awarding office will input new procurement request numbers (in coordination with the initiating office) into the system. For details, consult PADS (Appendix A, Multiple PR Processing).
- f. Single Awards Resulting from Multiple Procurement Requests. Procurement actions may be consolidated by awarding offices into one procurement request. This procedure is another type of processing found in PADS (Appendix A, Combined PR Processing). Refer to this manual for details.
- g. Instrument Transfer Procedure For all business instruments being transferred from one awarding office to another, the organization requesting the transfer will initiate a procurement request and the transferring awarding office will award a unilateral modification for the transfer of the instrument to the new awarding office. The new awarding office code will be input into the Procurement and Assistance Data System data base. The award business instrument number will change to reflect the new awarding office as part of the transfer modification except for contracts described in paragraph 6i. Additional information concerning transfer requirements and procedures will be found in PADS (Appendix A, Transfer 1 Procedures).
- h. Award Modification Numbers. All basic awards and modifications to an award are identified by a modification number assigned by the awarding office. These modification numbers are not part of the award business instrument number.
 - (1) The basic award and modifications to each business instrument shall be sequentially numbered by use of a four-position alphanumeric code.

- (a) The first position shall be a capital letter identifying the type of action as follows:
 - A - (Amount). An action adding, changing, or deleting financial data that is collected on the IPAR, but not administrative corrections to financial data.
 - M - (Miscellaneous). An action having no effect on financial data that is collected on the IPAR, including administrative corrections.
- (b) The second through fourth positions shall contain a sequential serial number of the modification. For basic awards, enter A000 or M000, whichever is appropriate. The next assigned modification number would be 001, regardless of the type of action specified in the first position. These numbers continue in sequence throughout the life of the award.

(2) Examples of modifications:

- (a) M001 - first modification to contract with no change in financial data;
 - (b) A002 - second modification to contract with changes in financial data, and;
 - (c) M003 - third modification to contract with no change in financial data.
- i. Army Corps of Engineers Contracts. Numbering procedures for procurement requests are standard, except that the five-digit serial number (see paragraph 6c(8)) is composed of "ENG" and the two character number which follows. The first FY 1992 procurement request number under contract number W-31109-ENG-38 would be 02-"92CHENG38.001.

BY ORDER OF THE SECRETARY OF ENERGY:



DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management

TRACKING OF A NUMBER FROM PROCUREMENT REQUEST TO AWARD(S)

<u>Intent</u>	<u>Register Number</u>	<u>Procurement Request Number</u>	<u>Award Business Instrument #</u>	<u>Mod #</u>
Award New Contract	AD12345 (Unique number as assigned by an initiating office)	01-92AD12345.000	DE-AC01-92A012345 (Adds codes for DOE award and type of instrument)	A000
Additional Funding- HQ	AD12345 (Register number does not change)	01-92AD12345.001	DE-AC01-92AD12345	A001
Administrative Change FY 1992	AD12345	01-92AD12345.501 (Initiated by awarding office)	DE-AC01-92AD12345	M002
Additional Funding- HQ FY 1992	AD12345	01-92A012345.002	DE-AC01-92AD12345	A003
Additional Funding- HQ FY 1988	AD12345	01-93A012345.001 FY, (New FY, new sequence)	DE-AC01-92AD12345	A004
Transfer of contract to ER (change in initiating offices)	A012345	01-93A012345.002	DOE-AC01.92AD12345	M005
Additional Funding- HQ FY 1988	AD12345	01-93A012345.003	DE-AC01-87AD12345	A006

1/The initiating office code in the award business instrument number never changes. The initiating office code in the data base, which is used to identify the initiating office, will only change in the event of a reorganization that eliminates an initiating office or occasionally for a transfer between initiating offices. Changes of this type are made by Headquarters only.

Intent

Register Number

**Procurement
Request Number**

Transfer of
AD12345
control from
one awarding
office
(Headquarters)
to another
(Chicago)