

Approved: 1-27-05

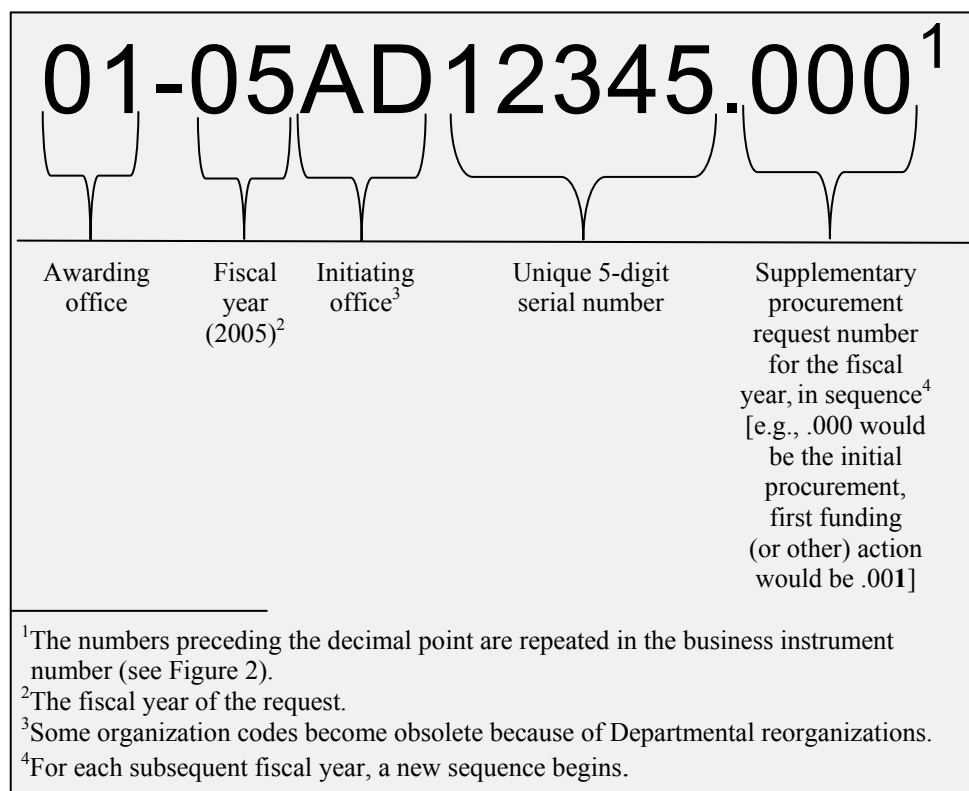
This directive was reviewed and certified as current and necessary by Susan J. Grant, Director, Office of Management, Budget and Evaluation/Chief Financial Officer, 1-27-05.

SUBJECT: DEPARTMENTAL BUSINESS INSTRUMENT NUMBERING SYSTEM

1. **OBJECTIVES.** To prescribe procedures for assigning identifying numbers to all Department of Energy (DOE) and National Nuclear Security Administration (NNSA) business instruments.
2. **CANCELLATION.** DOE O 540.1, *Departmental Business Instrument Numbering System*, dated 12-5-00. Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with the Order. Canceled Orders that are incorporated by reference in a contract remain in effect until the contract is modified to delete the references to the requirements in the canceled Orders.
3. **APPLICABILITY.**
 - a. **Primary DOE Organizations, including National Nuclear Security Administration (NNSA) Organizations.** Except for the exclusions in paragraph 3e, this Order applies to all Primary DOE Organizations which must implement DOE directives for daily operations and assign identifying numbers to DOE business instruments. (See Attachment 1 for a complete list of Primary DOE Organizations). This Order automatically applies to Primary DOE Organizations created after it is issued. The NNSA Administrator will ensure that all NNSA employees and contractors comply with the requirements and responsibilities of this Order.
 - b. **Award Value.** This Order applies to all procurement and financial assistance awards, regardless of value.
 - c. **Site/Facility Management Contractors.** This Order does not apply to contractors.
 - d. **Data Collection Systems.** This Order applies to procurement awards that are required to be reported to the General Services Administration's Federal Procurement Data System-Next Generation (FPDS-NG) and to financial assistance and non-FPDS-NG-reportable awards that are required to be reported to the Procurement and Assistance Data System (PADS).
 - e. **Exclusions.** This order does not apply to awards issued by the Bonneville Power Administration and the Federal Energy Regulatory Commission.
4. **REQUIREMENTS.** The following procedures apply to the numbering of business instruments.

- a. Procurement Request Authorization Number. Components of a procurement request authorization number are defined in Figure 1.

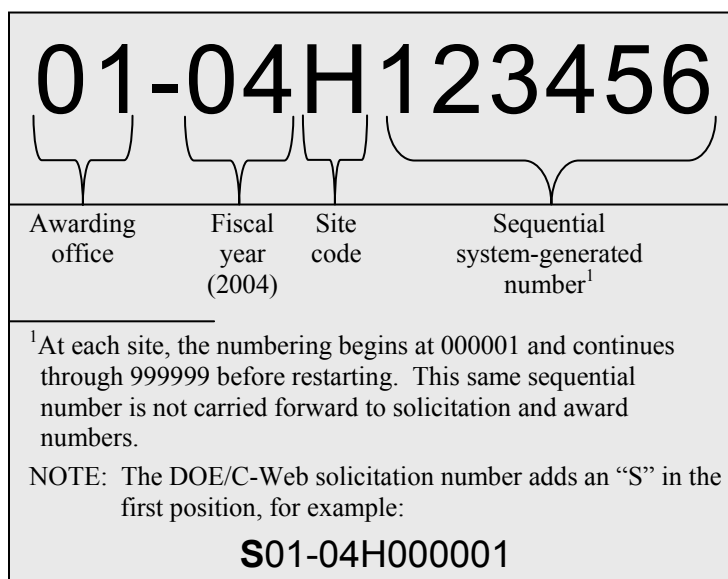
Figure 1. Procurement Request Authorization Numbering



- (1) For modification to an award for which a procurement request authorization is not issued and/or approved by the initiating program office, the awarding office uses the final three digits, which would begin with 5. For a modification action to a fiscal year (FY) 2004 award to change the contracting officer, the procurement request authorization would be 01-04AD12345.501.
- (2) Examples of supplementary procurement request authorization numbers are as follows.
 - (a) 01-04AD12345.**000**—New award initiative
 - (b) 01-04AD12345.00**1**—First subsequent action in FY 2004
 - (c) 01-04AD12345.00**2**—Second subsequent action in FY 2004
 - (d) 01-**05**AD12345.00**1**—First subsequent action in FY 2005
 - (e) 01-05AD12345.00**2**—Second subsequent action in FY 2005
 - (f) 01-**05**AD12345.**501**—First awarding office action in FY 2005

- b. Solicitation Number. Coding in solicitation number is like coding for a business instrument number, except that the type of award instrument is replaced with a code for type of solicitation. For example, a request for proposals may be coded as RP01-05AD12345.
- c. DOE/C-Web Requisition Number. DOE/C-Web uses requisition numbers instead of procurement request authorization numbers.

Figure 2. DOE/C-Web Requisition Number



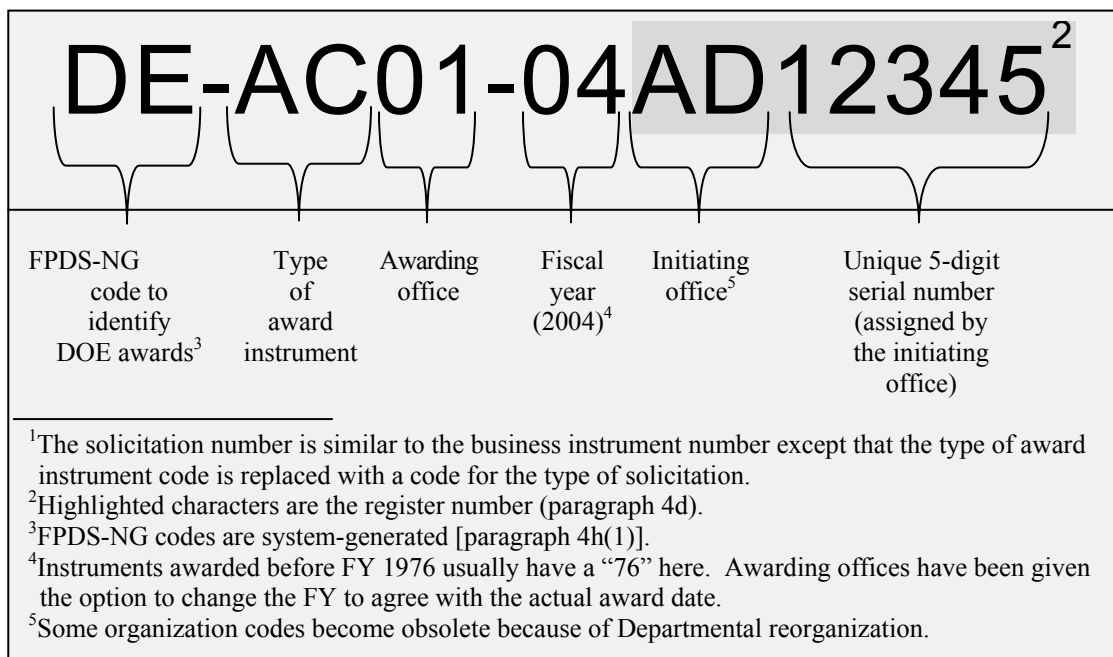
- d. Tracking a Number from Procurement Request Authorization to Awards. The last seven characters of the business instrument, solicitation, and procurement request numbers (shaded area in Figure 3) are the register number, which is established when the procurement request authorization is generated.

Unless multiple award instruments are created under one solicitation, the register number does not change. Attachment 2, “Tracking a Number from Procurement Request Authorization through Awards,” tracks a sample number from procurement request through several modifications to the resultant award.

- e. Multiple Awards from a Single Procurement Request Authorization. Multiple new award instruments can be generated from a single procurement request authorization.
- f. Single Awards Resulting from Multiple Procurement Request Authorizations. Awarding offices may consolidate multiple procurement request authorizations into a single business instrument and the business instrument type will be determined by the awarding office based on one of the procurement request authorizations included in the action.

- g. Business Instrument Number. The business instrument number (see Figure 3) is based on codes available in the current edition of *Handbook for Preparation of Individual Procurement Action Report (IPAR)* located at [http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/WebAttachments/FY2005finaliparhandbook/\\$File/FY2005finaliparhandbook.doc](http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/WebAttachments/FY2005finaliparhandbook/$File/FY2005finaliparhandbook.doc).

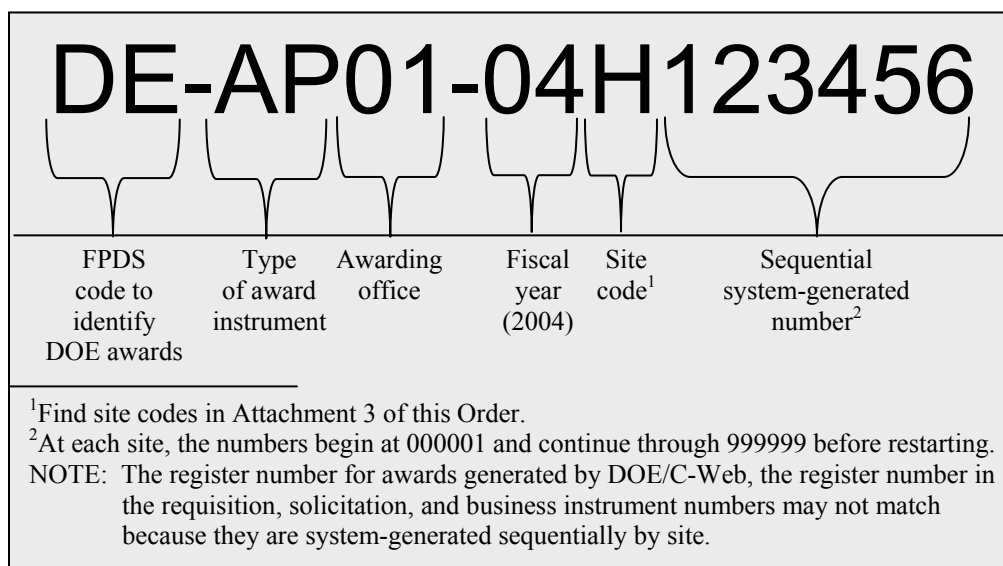
Figure 3. Business Instrument Numbering¹



- h. Instrument Transfer Procedure.
- (1) For business instruments being transferred from one awarding office to another, the organization requesting the transfer initiates a procurement request and the transferring awarding office awards a unilateral modification for the transfer to the new awarding office. The new awarding office code is then entered into either the FPDS-NG or the PADS database, depending on the type of award instrument.
 - (2) In FPDS-NG, the business instrument numbers will not change. The award will simply be attributed to the new awarding office.
 - (3) In PADS, the business instrument number changes to reflect the new awarding office and is also attributed to the new awarding office as part of the transfer modification.
- i. Award Modification Numbers. All basic award instruments and modifications are identified by numbers assigned by the awarding office. These numbers are not part of the business instrument number.

- (1) The basic award and modification to each business instrument must be sequentially numbered using a four-character alphanumeric code beginning with A or M.
 - (a) A (amount)—adding, changing, or deleting financial data collected in PADS or FPDS-NG, but not including administrative corrections to financial data.
 - (b) M (miscellaneous)—an action having no effect on financial data collected in PADS or FPDS-NG, including administrative corrections.
 - (2) Basic awards would be numbered A000 or M000. As shown in the examples below, an action numbered 001 is followed by 002, regardless of whether the action is categorized as A or M.
 - (a) M001—first modification to contract with no changes in financial data.
 - (b) A002—second modification to contract with changes in financial data.
 - (c) M003—third modification to contract with no change in financial data.
- j. DOE/C-Web Business Instrument Number. The business instrument number (Figure 4) is based on codes found in the current edition of *Handbook for Preparation of Individual Procurement Action* report (IPAR).

Figure 4. DOE/C-Web Business Instrument Number



5. RESPONSIBILITIES.

- a. Director, Office of Procurement and Assistance Management.
 - (1) Guides newly established initiating offices in establishing register numbers.
 - (2) Defines responsibilities in the use of number registers.
 - (3) Guides established initiating offices in issuing existing number registers.
 - (4) Assists offices in resolving number assignments conflicts.
 - (5) Assists offices in resolving problems associated with the establishment and/or use of number registers.
- b. Initiating Office Heads.
 - (1) Establish registers for controlling issuance of unique numbers required for preparation of business instruments.
 - (2) Assign unique procurement request authorization numbers.
- c. Awarding Office Heads. Assign unique numbers to solicitation and award instruments.

6. DEFINITIONS.

- a. Awarding Office. The organization that prepared the solicitation, negotiated, awarded, and/or currently administers the award.
- b. Awarding Office Head. The person responsible for a contracting activity, the manager of an operations/field office, or management personnel at a similar level.
- c. Business Instrument Number. A unique coded number used to identify a business instrument. (See Figure 3.)
- d. Business Instrument. A legal document that defines an agreement between DOE and a company, individual, another Government agency, or public or private institution.
- e. Initiating Office. The organization that authorizes the acquisition of goods or services or initiates a financial assistance action using DOE F 4200.33, "Procurement Request Authorization."
- f. Initiating Office Head. The Assistant Secretary, director, or equivalent for a program office or major staff function.

- g. Procurement Request Authorization. Formal beginning of the process leading to a new award or modification of an existing award within an initiating or awarding office (DOE F 4200.33). The procurement request authorization is also used for financial assistance awards.
- h. Procurement Request Authorization Number. A unique coded number that identifies an individual procurement request authorization (see Figure 1).
- i. Register Number. An element of a procurement request number and associated solicitation and business instrument numbers composed of a code that identifies the initiating office followed by a unique five digit number. The register number remains unchanged throughout the procurement process, even if the instrument fails to be executed. The number may not be reused until after the award file has been destroyed.
- j. Solicitation. Method used by DOE to request applications, proposals, or quotations and invite bids.
- k. Solicitation Number. A unique coded number that identifies a solicitation.

7. REFERENCE.

Handbook for Preparation of Individual Procurement Action Report (IPAR) contains instructions for completing DOE F 4200.40 and DOE F 4200.40A, "Individual Procurement Action Report (IPAR) for Financial Assistance" online at: <http://professionals.pr.doe.gov/ma5/ma5Web.nsf/Procurement/ProcurementForms?OpenDocument>.

8. CONTACT. Questions concerning this Order should be addressed to the Office of Management Systems and Services, at 202-287-1770.

BY ORDER OF THE SECRETARY OF ENERGY:



KYLE E. McSLARROW
Deputy Secretary

**PRIMARY DEPARTMENT OF ENERGY ORGANIZATIONS
TO WHICH O 540.1A IS APPLICABLE**

Office of the Secretary
Departmental Representative to the Defense Nuclear Facilities Safety Board
Energy Information Administration
National Nuclear Security Administration
Office of the Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Office of Economic Impact and Diversity
Office of Electric Transmission and Distribution
Office of Energy Assurance
Office of Energy Efficiency and Renewable Energy
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Independent Oversight and Performance Assurance
Office of the Inspector General
Office of Intelligence
Office of Legacy Management
Office of Management, Budget and Evaluation/Chief Financial Officer
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Office of Security
Office of Security and Safety Performance Assurance
Secretary of Energy Advisory Board
Southeastern Power Administration
Southwestern Power Administration
Western Area Power Administration

**TRACKING A NUMBER
FROM PROCUREMENT REQUEST AUTHORIZATION THROUGH AWARDS**

Intent	Register Number	Procurement Request Authorization Number	Business Instrument Number	Mod Number
Award New Contract	AD12345 (unique number as assigned by an initiating office)	01-04AD12345.000	DE-AC01-04AD12345 (adds codes for DOE award and type of instrument)	A000
Additional Funding—HQ FY 2004	AD12345 (register number does not change)	01-04AD12345.001	DE-AC01-04AD12345	A001
Administrative Change FY 2004	AD12345	01-04AD12345.501 (initiated by awarding office)	DE-AC01-04AD12345	M002
Additional Funding—HQ FY 2004	AD12345	01-04AD12345.002	DE-AC01-04AD12345	A003
Additional Funding—HQ FY 2005	AD12345	01-05AD12345.001 FY (new FY, new sequence)	DE-AC01-04AD12345	A004
Transfer of contract to SC (change in initiating offices)	AD12345	01-05AD12345.002 [*]	DE-AC01-04AD12345	M005
Additional Funding—HQ FY 2005	AD12345	01-05AD12345.003	DE-AC01-04AD12345	A006
Transfer of AD12345 control from one awarding office (Headquarters) to another (Chicago)	AD12345	01-05AD12345.004	DE-AC01-04AD12345	M007
Subsequent Actions	AD12345	[†]	DE-AC02-04AD223345	

^{*}The initiating office code in the business instrument number never changes. The initiating office code that is used in the database to identify the initiating office changes only if reorganization eliminates an initiating office or when there is a transfer between initiating offices. Changes of this type are made by Headquarters only.

[†]The awarding office code in the business instrument number will change. The awarding office code in the database also changes.

ONE-CHARACTER SITE CODES USED TO IDENTIFY AWARDS IN DOE/C-WEB

<u>Site Code</u>	<u>Site Name</u>
A	Albuquerque
B	Savannah River
C	Chicago
D	(Not used)
E	Federal Energy Regulatory Commission (FERC)
F	Rocky Flats
G	Ohio Field Office
H	(Not used)
I	Idaho
J	Office of Scientific and Technical Information (OSTI)
K	Oakland
M	Golden Field Office
N	Pittsburgh Naval Reactors
O	Oak Ridge
P	Strategic Petroleum Reserve
R	Richland
T	National Energy Technology Laboratory (NETL)
V	Nevada
W	Headquarters