

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 540.1

Approved: 12-5-00

This directive was reviewed and certified as current and necessary by Bruce M. Carnes, Director, Office of Management, Budget and Evaluation/Chief Financial Officer, 9-18-02.

SUBJECT: DEPARTMENTAL BUSINESS INSTRUMENT NUMBERING SYSTEM

1. OBJECTIVE. To prescribe procedures for assigning identifying numbers to all Department of Energy (DOE), including the National Nuclear Security Administration, business instruments.
2. CANCELLATION. DOE 1331.2B, DEPARTMENTAL BUSINESS INSTRUMENT NUMBERING SYSTEM, dated 5-18-92.
3. APPLICABILITY. DOE elements must follow this Order when assigning identifying numbers to all DOE business instruments.
4. REQUIREMENTS. The following procedures apply to the numbering of procurement requests, solicitations, and awards. See paragraph 4i for special procedures pertaining to existing Army Corps of Engineers contracts. Codes that are applicable in the construction of a procurement request number can be found in the current edition of DOE/MA-0428, *Handbook for Preparation of Procurement Request Forms*. The exception to these rules is simplified purchases, which are made using the DOEC-WEB system. See paragraphs 4j through l for an explanation of the numbering scheme used in this system.
 - a. Procurement Request Number.
 - (1) The basic portion of a procurement request number is 12 characters long in a format exemplified by 01-98AD12345. This is identical to the last 12 characters of the award business instrument number (see paragraph 4c 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 that initiated a procurement action for a new award in FY 1998 would be in the form of 01-98AD12345. Subsequent actions in FY 1998 would have the same basic portion for their procurement request numbers. For actions related to this award in FY 1999, the procurement request number would be in the form of 01-99AD12345. 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 1998. In other words, regardless of the fiscal

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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 consists 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 01-98AD12345.000. The next action in FY 1998 would be a modification with a procurement request number 01-98AD12345.001. 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 initiates a modification action under an award for which 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 1998 to change the cognizant contracting officer, it would be coded as 01-98AD12345.501. 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) The following examples further explain the supplementary portion of the procurement request number:

01-98AD12345.000	—	New award initiation
01-98AD12345.001	—	First subsequent action in FY 1998
01-98AD12345.002	—	Second subsequent action in FY 1998
01-99AD12345.001	—	First subsequent action in FY 1999
01-99AD12345.002	—	Second subsequent action in FY 1999
01-99AD12345.501	—	First awarding office action in FY 1999

- 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 4c(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-AC01-98AD12345. The codes used in the award business instrument number can be found in the current edition of DOE/PR-0010, *Handbook for Preparation of Individual Procurement Action Report (IPAR)*. Information is encoded in the number as follows:
- (1) The first and second positions, DE-AC01-98AD12345, contain the two-character code assigned by the Federal Procurement Data System to identify DOE awards.
 - (2) The third position contains a dash.
 - (3) The fourth and fifth positions, DE-AC01-98AD12345, contain a two-character code corresponding to the type of award instrument.
 - (4) The sixth and seventh characters, DE-AC01-98AD12345, 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-AC01-98AD12345, contain the last two digits of the fiscal year of the award date. Instruments initially awarded prior to FY 1976 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-AC01-98AD12345, contain a two-character code indicating the initiating office. Some award business instrument numbers contain codes that are no longer used for new awards due to Departmental reorganizations.
 - (8) The thirteenth through seventeenth positions, DE-AC01-98AD12345, will contain a five-digit unique serial number assigned by the initiating office.
- d. Tracking 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 1, Tracking a Number from Procurement Request through Award(s), 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 inputs new procurement request numbers (in coordination with the initiating office) into the system. For details, consult the *Procurement and Assistance Data System Reference Manual* (PADS manual) (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 the PADS manual (Appendix A, Combined PR Processing). Refer to the PADS manual for details.
- g. Instrument Transfer Procedure. For all 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 of the instrument to the new awarding office. The new awarding office code is input into the PADS data base. The award business instrument number changes to reflect the new awarding office as part of the transfer modification except for contracts described in paragraph 4i. See the PADS manual (Appendix A, Transfer Procedures) for additional information concerning transfer requirements and 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 must be sequentially numbered using a four-position alphanumeric code.
 - (a) The first position must be a capital letter identifying the type of action as follows:

A (Amount). An action adding, changing, or deleting financial data collected on the IPAR, but no administrative corrections to financial data.

M (Miscellaneous). An action having no effect on financial data collected on the IPAR, including administrative corrections.
 - (b) The second through fourth positions must 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) The following are 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 4c(8)] is composed of “ENG” and the two-digit number that follows. The first FY 1998 procurement request number under contract number W-31109-ENG-38 would be 02-98CHENG38.001. New contracts are not awarded with these numbers, this is used on existing awards only.

- j. DOEC-WEB Requisition Number.
 - (1) DOEC-WEB uses requisition numbers instead of PR numbers. The basic portion of the requisition number is 12 characters long in a format exemplified by 01-99H123456. This number is not carried forward through the solicitation and award. The format of the requisition number is as follows:
 - (a) The first and second character identify the responsible awarding office.
 - (b) The third position is a dash.
 - (c) The fourth and fifth positions contain the last two digits of the fiscal year.
 - (d) The sixth position contains a one-digit site code.
 - (e) The seventh through twelfth positions contain a sequential system-generated number. At each site, the numbers begin at 000001 and continue through 999999 before restarting.
 - (2) This same sequential number is not carried forward to the solicitation and award numbers.

- k. DOEC-WEB Solicitation Number. The DOEC-WEB solicitation number is formatted in the same manner as the requisition number described above, except that the solicitation number has an “S” in the first position followed by the other characters in the same sequence as the requisition number. An example would be S01-99H000001.
- l. DOEC-WEB Award Business Instrument Number. The award business instrument number consists of 17 characters and has the following format: DE-AP01-99H123456. The codes used in the award business instrument number can be found in the current edition of DOE/PR-0010, *Handbook for Preparation of Individual Procurement Action Report (IPAR)*, with the exception of the one-character site code. The codes for this are shown in Attachment 2 to this Order, One-Digit Site Codes Used to Identify Awards in DOEC-WEB. Information is encoded in the number as follows:
- (1) The first and second positions contain the two-character code assigned by the Federal Procurement Data System to identify DOE awards.
 - (2) The third position is a dash.
 - (3) The fourth and fifth positions contain a two-character code corresponding to the type of award instrument.
 - (4) The sixth and seventh identify the responsible awarding office.
 - (5) The eighth position is a dash.
 - (6) The ninth and tenth positions are the last two digits of the fiscal year of the award date.
 - (7) The eleventh position contains a one-digit site code. See Attachment 2 for a list of the site codes used in DOEC-WEB.
 - (8) The twelfth through seventeenth positions contain a sequential system-generated number. At each site, the numbers begin at 000001 and continue through 999999 before restarting.

Note that for awards generated by DOEC-WEB, the register number in the requisition, solicitation, and award business instrument numbers may not match each other since they are each system-generated sequentially.

5. RESPONSIBILITIES.

- a. Director of Procurement and Assistance Management.
 - (1) Guide newly established initiating offices to establish register numbers and define responsibilities in the use of number registers.
 - (2) Guide established initiating offices in the use of existing number registers.
 - (3) Assist in resolving conflicts in number assignments.
 - (4) Assist in resolving problems associated with the establishment and/or use of number registers.
- b. Initiating Office Heads. Establish registers for controlling issuance of the unique numbers required for preparation of business instruments and assign unique procurement request numbers. These numbers must be in accordance with the guidance presented in paragraph 4a.
- c. Awarding Office Heads. Assign unique numbers to solicitation and award instruments, in accordance with the guidance presented in paragraphs 4b and 4c.

6. REFERENCES.

- a. DOE/MA-0428, *Handbook for Preparation of DOE Procurement Request Forms*, dated November 1990, contains instructions for completing DOE F 4200.33, "Procurement Request-Authorization."
- b. DOE/PR-0010, *Handbook for Preparation of Individual Procurement Action Report (IPAR)*, dated October 1999, contains instructions for completing DOE F 4200.40 and DOE F 4200.40A "Individual Procurement Action Report (IPAR) for Financial Assistance."
- c. Document Number 04-20-R, *Procurement and Assistance Data System (PADS) Reference Manual*, dated 12-01-89.

7. CONTACT. For additional information concerning this Order, contact the Office of Management Systems (Competition Advocate) at 202-586-9051.

8. DEFINITIONS.

- a. Award Business Instrument Number (BIN). The 17-character number used to identify a business instrument.

- b. Awarding Office. The organization that prepared the solicitation, negotiated, awarded, and/or currently administers the award.
- c. Business Instrument. A legal document that constitutes an agreement between DOE and a company, an individual, another Government agency, or a public or private institution.
- d. Initiating Office. The organization that authorized the acquisition of goods or services using DOE F 4200.33, "Procurement Request Authorization."
- e. Procurement Request (PR). 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 used to identify an individual "Procurement Request Authorization."
- g. Register Number. A unique seven-character code that 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 the 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.
- h. Solicitation. Method used by DOE to request applications, proposals, or quotations and invite bids.
- i. Solicitation Number. The 17-character number used to identify a solicitation.

BY ORDER OF THE SECRETARY OF ENERGY:



T.J. GLAUTHIER
DEPUTY SECRETARY

**TRACKING A NUMBER
FROM PROCUREMENT REQUEST THROUGH AWARD(S)**

Intent	Register Number	Procurement Request Number	Award Business Instrument Number	Mod Number
Award New Contract	AD12345 (unique number as assigned by an initiating office)	01-98AD12345.000	DE-AC01-98AD12345 (adds codes for DOE award and type of instrument)	A000
Additional Funding-HQ FY 1998	AD12345 (register number does not change)	01-98AD12345.001	DE-AC01-98AD12345	A001
Administrative Change FY 1998	AD12345	01-98AD12345.501 (initiated by awarding office)	DE-AC01-98AD12345	M002
Additional Funding-HQ FY 1998	AD12345	01-98AD12345.002	DE-AC01-98AD12345	A003
Additional Funding-HQ FY 1999	AD12345	01-99AD12345.001 FY (new FY, new sequence)	DE-AC01-98AD12345	A004
Transfer of contract to ER (change in initiating offices)	AD12345	01-99AD12345.002 ^a	DE-AC01-98AD12345	M005
Additional Funding-HQ FY 1999	AD12345	01-99AD12345.003	DE-AC01-98AD12345	A006
Transfer of AD12345 control from one awarding office (Headquarters) to another (Chicago)	AD12345	01-99AD12345.004	DE-AC01-98AD12345	M007
Subsequent Actions	AD12345	^b	DE-AC02-98AD12345	

^a 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, only changes if a reorganization eliminates an initiating office or for a transfer between initiating offices. Changes of this type are made by Headquarters only.

^b The awarding office code in the award business instrument number changes. The awarding office code in the data base also changes.

**ONE-DIGIT SITE CODES
USED TO IDENTIFY AWARDS IN DOEC-WEB**

Site Code	Site Name
A	Albuquerque
B	Savannah River
C	Chicago
D	Departmental Accounting
E	Federal Energy Regulatory Commission (FERC)
F	Rocky Flats
G	Ohio
H	Cap Center
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	Schenectady Naval Reactors