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A Guide to Preparation of Department of Energy Procurement & Financial Assistance Planning Forms

MASTER

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U.S. Department of Energy

Assistant Secretary for Management and Administration
Procurement and Assistance Management

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INTRODUCTION

A procurement and Federal assistance planning system is vital to effective and efficient management of the Department of Energy's mission. The planning system is essential to the procurement and Federal assistance process. It gives Departmental managers and the procurement community information on how DOE plans to do business in the next fiscal year as well as the extent of competition in the Departmental procurement process. Planning information is used to forecast procurement workload and plans for increased competition. Good planning can be a tool to efficiently manage resources in order to expedite the timely acquisition of equipment and contractual services and continue the Department's mission.

Planning is the first step in the procurement and financial assistance process and the Integrated Procurement Management Information System (IPMIS). Therefore, it is essential that planning forms are accurately completed and updated to provide the initial source data for planned procurement and assistance transactions

The complete "Guide to Preparation of Department of Energy Procurement and Financial Assistance Planning Forms" was revised to incorporate the latest changes in IPMIS. This "Guide" and a memorandum which officially requests DOE offices to submit planning forms for all planned procurement and assistance transactions provide instructions for completing the forms and other information relative to fulfilling this requirement.

The planning forms are DOE F-4200.6, DOE-F-4200.7 and DOE-F-4200.8. These forms and this "Guide" can be obtained from any Headquarters supply store, regional offices, operations offices, energy research centers, project offices and power administrations.

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SECTION 1

Part A - GENERAL INSTRUCTIONS

The planning forms (DOE-F-4200.6, DOE-F-4200.7, and DOE-F 4200.8) provide the source data for the planning data elements in the Integrated Procurement Management Information System (IPMIS).

All procurement and assistance transactions in excess of \$10,000 must be planned. Initiating offices are to submit their plans in advance of the new FY, as directed in Departmental planning call memoranda. These transactions are to be planned regardless of their sources of funds (i.e., appropriated, carry-over, revenue or reimbursable work for others) or the types of funds used (i.e., operating or plant and capital equipment).

DOE-F-4200.6 must be completed for each new planned procurement or assistance action. It is also the basic source document for a modification or an incremental funding action to an existing award, and the Field Work Package Proposal and Authorization System (WPAS) Summary Plans.

DOE-F-4200.7 is to be used for supplemental planning information if any of the following conditions exist:

- If there are more than three Budget and Reporting (B&R) Numbers, or Headquarters initiating office codes.
- If there is to be incremental funding during the current fiscal year.
- If the plan is for a loan or loan guarantee financial assistance transaction.

DOE-F-4200.8 is only to be used to cancel a planning record.

The planning forms in Part B are the current forms. All shaded data elements are to be left blank. These shaded elements will not be included on the final planning forms. The Appropriation Symbol, though not shaded, is to be left blank. Zero dollar plans (no dollar plans) and negative dollar plans will not be allowed.

All dollar amounts are to be reported in whole dollars as they are required to be reported on the Procurement Request and award documents.

All plans must contain either a valid B&R number or a valid Headquarters initiating office code in the B&R number field for all current FY dollar amounts.

The Product or Service Codes on the back of the DOE-F-4200.6 form are no longer valid. Refer to APPENDIX C for the valid list of Product or Service Codes.

Due to reorganizations within the Department, several offices have changed initiating office code symbols. For example, offices which were previously under CS are now within CE and EP. There are two general numbering rules to follow:

1. To initiate a plan for a new award (when no basic award exists), use your current organizational initiating office symbol and obtain a register number from your office's register to formulate the IPMIS NUMBER which is entered on the planning forms.
2. To initiate a plan to modify an existing contract or grant, use the same seven-position register number which is contained in the contract number (Business Instrument Number) to formulate the IPMIS Number which is entered on the planning forms.

Note that these forms are designed to be filled in with an elite (12 characters per inch) typewriter and the appropriate number of spaces is available in each blank to enter the typewritten information in capital letters. If a typewriter is not available, print the information in capital letters.

Part B - Blank Forms

DOE-F-4200.6

DOE-F-4200.7

DOE-F-4200.8

follow on pages 3 - 6.

U.S. DEPARTMENT OF ENERGY
PROCUREMENT/FINANCIAL ASSISTANCE PLAN

1. INITIAL: [] UPDATE: []		2. PROCUREMENT [] FINANCIAL ASSISTANCE []	
3. PREPARATION DATE: _____ <div style="display: flex; justify-content: space-around; font-size: small;">Month Day Year</div>		4. IPMIS NUMBER: _____	
INITIATOR		6. OFFICE CODE: _____	
5. PROJECT MANAGER: _____ <div style="display: flex; justify-content: space-around; font-size: small;">Last, First, Middle I.</div>			
7. TELEPHONE NUMBER: _____			
ACTION IDENTIFICATION			
8. TITLE: _____ _____ _____			
9. CFDA NO.: _____		10. 189/TAPS NO.: _____	
11. PRODUCT OR SERVICE: *		12. SUPPORT SERVICES: YES _____ NO _____	
13. CONSULTANT AWARD: YES _____ NO _____			
AWARD PLANNING			
14. PLANNED AWARDING OFFICE: *		15. EXTENT OF COMPETITION: *	
16. SOURCE SELECTION PROCEDURE: _____ 1 – A-E 2 – SEB 3 – OTHER 4 – NONE			
17. FOR A-E, SHOW ESTIMATED CONSTRUCTION COSTS IN THOUSANDS OF DOLLARS: _____			
18. TYPE SOLICITATION INSTRUMENT: _____		19. PR INITIATION DATE: _____ <div style="display: flex; justify-content: space-around; font-size: small;">Month Day Year</div>	
AWARDEE IF NON-COMPETITIVE, COMPLETE THIS SECTION		22. GOCO/LAB: _____ A – GOCO/LAB B – GOCO/NON-LAB C – NON-GOCO/LAB D – NOT APPLICABLE	
20. NAME: _____			
21. DIVISION: _____			
FINANCIAL		FUNDING SOURCE	
AWARD VALUE \$ AMOUNT Whole Dollars		B&R NUMBER \$ AMOUNT Whole Dollars	
23. GOVT SHARE: _____		27. CURRENT FY † _____ 28. _____	
24. TOTAL: _____		CURRENT FY _____	
CONSIDERATION IN KIND, LOAN, AND LOAN GUARANTEE DATA REPORTED ON PR-XXXB: []		CURRENT FY _____	
		29. CURRENT FY FROM PR-XXXB _____	
25. APPROPRIATION SYMBOL: _____		30. CURRENT FY TOTAL _____	
26. ALLOTMENT SYMBOL: _____		31. NEXT FY TOTAL _____	
*See back of form for codes.		32. ALL OTHER TOTAL _____	
		†CURRENT FY = FY IN ITEM NO. 4	

11. PRODUCT OR SERVICE

<u>CODE</u>	<u>MEANING</u>	<u>CODE</u>	<u>MEANING</u>	<u>CODE</u>	<u>MEANING</u>
	<u>R&D SERVICES</u>		<u>SERVICES OTHER THAN R&D</u>		<u>PRODUCTS (SUPPLIES & EQUIP.)</u>
AG1*	COAL	J000	MAINTENANCE & REPAIR EQUIPMENT	1100	NUCLEAR ORDNANCE
AG2*	GAS	K000	MODIFICATION OF EQUIPMENT	3600	SPECIAL INDUSTRY MACHINERY
AG3*	GEOTHERMAL	L000	TECHNICAL REPRESENTATIVE SERV.	3800	CONSTRUCTION & MINING EQUIPMENT
AG4*	HYDRO	M000	OPERATION OF GOVERNMENT FACIL.	4400	FURNACE, STEAM, NUCLEAR REACTORS
AG5*	NUCLEAR	N000	INSTALLATION OF EQUIPMENT	4500	PLUMBING, HEATING, SANITATION EQUIP.
AG6*	PETROLEUM	R100	ARCHITECT & ENGINEER-CONST.	5600	CONSTRUCTION & BUILDING MATERIAL
AG7*	SOLAR	R200	ARCHITECTS & ENGINEERS-GEN.	5900	ELECTRICAL & ELECTRONIC EQUIP. COMPONENTS
AG8*	CONSERVATION OF ENERGY	R300	AUTOMATIC DATA PROCESSING SERV.	6100	ELECTRIC WIRE & POWER DISTRIB. EQUIP.
AG9*	OTHER ENERGY	R400	MANAGEMENT & PROFESSIONAL SERV.	6600	INSTRUMENTS & LABORATORY EQUIP.
AH0*	ENVIRONMENT	R500	SPECIAL STUDIES & ANALYSES	6800	CHEMICALS & CHEMICAL PRODUCTS
AGO*	GENERAL SCIENCE & TECHNOLOGY	R600	CONSTRUCTION MANAGEMENT SERV.	7000	ADP EQUIPMENT, SOFTWARE, S&S EQUIP.
AZ0*	OTHER R&D	S000	UTILITIES & HOUSEKEEPING SERV.	9100	FUELS, LUBRICANTS, OILS, WAXES
	REPLACE * WITH:	Y000	CONSTRUCTION OF STRUCTURES	9600	ORES & MINERALS & THEIR PRODUCTS
	B-BASIC & APPLIED RESEARCH	Z000	MAINTENANCE & REPAIR STRUCTURES	9900	MISCELLANEOUS
	X-EXPLORATORY DEVELOPMENT				
	T-TECHNOLOGY DEVELOPMENT				
	E-ENGINEERING SYSTEMS DEV.				
	S-OPERATIONAL SYSTEMS DEV.				
	C-COMMERCIALIZATION				

14. PLANNED AWARDING OFFICE

<u>CODE</u>	<u>MEANING</u>	<u>CODE</u>	<u>MEANING</u>	<u>CODE</u>	<u>MEANING</u>
	<u>OPERATIONS OFFICES</u>		<u>REGIONAL OFFICES</u>		<u>NAVAL REACTORS</u>
04	ALBUQUERQUE	41	REGION I, BOSTON	11	PITTSBURGH
02	CHICAGO	42	REGION II, NEW YORK CITY	12	SCHNECTADY
13	GRAND JUNCTION	43	REGION III, PHILADELPHIA		<u>AREA OFFICES</u>
07	IDAHO	44	REGION IV, ATLANTA		
08	NEVADA	45	REGION V, CHICAGO	33	KANSAS CITY
05	OAK RIDGE	46	REGION VI, DALLAS	32	LOS ALAMOS
06	RICHLAND	47	REGION VII, KANSAS CITY		<u>MISCELLANEOUS</u>
03	SAN FRANCISCO	48	REGION VIII, DENVER		
09	SAVANNAH RIVER	49	REGION IX, SAN FRANCISCO	62	ASSISTANT SECRETARY FOR ENERGY TECHNOLOGY - DENVER
01	WASHINGTON	51	REGION X, SEATTLE	61	ASSISTANT SECRETARY FOR ENERGY TECHNOLOGY - PITTSBURGH
	<u>PROJECT OFFICES</u>		<u>ENERGY RESEARCH CENTERS</u>		
15	CLINCH RIVER BREEDER REACTOR	19	BARTLESVILLE	17	ENVIRONMENTAL MEASUREMENT LABORATORY
14	FAST FLUX TEST FACILITY	18	GRAND FORKS	39	FEDERAL ENERGY REGULATORY COMMISSION
96	STRATEGIC PETROLEUM RESERVE	20	LARAMIE	91	PETROLEUM AND OIL SHALE RESERVES OFFICE - CASPER
	<u>POWER ADMINISTRATION</u>	21	MORGANTOWN	92	PETROLEUM RESERVES OFFICE - KERN COUNTY
		22	PITTSBURGH		
85	ALASKA				
79	BONNEVILLE				
70	SOUTHEASTERN				
75	SOUTHWESTERN				
65	WESTERN AREA				

15. EXTENT OF COMPETITION

<u>CODE</u>	<u>MEANING</u>	<u>CODE</u>	<u>MEANING</u>
	<u>PROCUREMENT SERIES</u>		<u>FINANCIAL ASSISTANCE SERIES</u>
AA	<u>COMPETITIVE-UNRESTRICTED</u>	FA	<u>COMPETITIVE-UNRESTRICTED</u>
	<u>COMPETITIVE-RESTRICTED</u>	GA	<u>COMPETITIVE-RESTRICTED</u>
			<u>NON-COMPETITIVE</u>
BE	SMALL BUSINESS TOTAL SET-ASIDE	HA	STATE GOVERNMENT
	<u>NON-COMPETITIVE</u>	HC	LOCAL GOVERNMENT
		HE	EDUCATIONAL INSTITUTION
		HG	MEDICAL INSTITUTION
		HI	OTHER NON-PROFIT INSTITUTION
		HK	SMALL BUSINESS
		HO	MINORITY BUSINESS
CC	8(a) PROGRAM	HS	OTHER BUSINESS
		HU	INDIAN TRIBE
		HW	INDIVIDUAL
		IA	DIRECTED FINANCIAL ASSISTANCE FOR FOREIGN ENTITIES
			<u>MISCELLANEOUS</u>
CQ	OTHER NEGOTIATION NON-COMPETITIVE	IC	UNKNOWN (USE ONLY FOR FINANCIAL ASSISTANCE PLANNING ACTIONS WHERE EXTENT OF COMPETITION HAS NOT BEEN DETERMINED)
DC	OTHER FEDERAL GOVERNMENT		
	<u>MISCELLANEOUS</u>		
EC	UNKNOWN (USE ONLY FOR PROCUREMENT PLANNING ACTIONS WHERE EXTENT OF COMPETITION HAS NOT BEEN DETERMINED)		

18. TYPE SOLICITATION INSTRUMENT

<u>CODE</u>	<u>MEANING</u>
FB	INVITATION FOR BIDS (IFB)
NP	NOTICE OF PROGRAM INTEREST (NPI)
PA	PROGRAM ANNOUNCEMENT
PN	PROGRAM OPPORTUNITY NOTICE (PON)
RA	PROGRAM RESEARCH & DEVELOPMENT ANNOUNCEMENT (PRDA)
RI	RESEARCH INVESTIGATION ANNOUNCEMENT (RIA)
RP	REQUEST FOR PROPOSAL (RFP)
RQ	REQUEST FOR QUOTATION (RFQ)

U. S. DEPARTMENT OF ENERGY
PROCUREMENT/FINANCIAL ASSISTANCE PLAN-CANCELLATION

1. IPMIS NUMBER:	2. 189/TAPS NO:	3. CANCELLATION DATE:	4. REASON: *
		Month Day Year	
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____
_____	_____	____	____

*CANCELLATION REASON:
A - REQUIREMENT NO LONGER EXISTS
B - REPROGRAMMING DECISION
C - FUNDS REMOVED
D - COMBINED WITH ANOTHER PLAN
O - OTHER REASON

GPU 943*300

SECTION 2

INITIATING PLANS FOR NEW AWARDS AND MODIFICATIONS TO EXISTING AWARDS

Part A - Detailed Instructions for Completing DOE-F-4200.6

The DOE-F-4200.6 contains 18 different data fields. Instructions for completing each field are given below in the same numerical sequence as they appear on the form.

All data elements described below are fields which must be completed when initiating a plan for a new award. THE PRODUCT OR SERVICE CODE (Item 11) is only to be filled in for procurement/acquisition type actions.

When initiating a plan to modify an existing award, the following data elements are to be left blank:

ITEM

- 11. PRODUCT OR SERVICE
- 14. PLANNED AWARDING OFFICE
- 15. EXTENT OF COMPETITION
- 20. NAME (AWARDEE)

All other data elements are required.

1. INITIAL/UPDATE

Enter an X in the box to the right of INITIAL for a new award or to modify an existing award. Check the update block only if a correction is to be made. See Section 4 for an explanation of updating/correction procedures.

2. PROCUREMENT/FINANCIAL ASSISTANCE

Enter an X in the box to the right of PROCUREMENT if this form covers a procurement or acquisition action which includes: Contracts, Special Research Contracts, Task Order/Project Agreements, Delivery Orders, and Interagency Agreements.

Enter an X in the box to the right of FINANCIAL ASSISTANCE if this form covers any of the following types of financial or federal assistance: Cooperative Agreements, Grants, Interest Agreements, Loans, Loan Guarantees, Price Support Agreements and Subsidy Agreements.

4. IPMIS NUMBER

Enter the 13-character code which uniquely identifies this procurement or financial assistance action. This number is comprised of four parts: the fiscal year of the planned new award, or modification action, the initiating organization's register number, a decimal point, and an amendment number. An example of a valid IPMIS NUMBER is 81FE12345.000.

The first and second positions contain the last two digits of the fiscal year in which the planned new award or modification action is to be funded, and must be equal to, or greater than, the current year.

The third through ninth positions contain the initiating organization's register number which consists of the initiating organizational code and a unique serial number. The organizational register number is controlled within each Headquarters Secretarial and Staff Office, operations office, project office, power administration, regional office, energy technology center or other equivalent field organizational office.

The tenth position is a decimal point.

The eleventh through the thirteenth positions contain the amendment number which denotes the sequence of actions planned to occur within the fiscal year (FY) identified in the first two positions of the IPMIS Number.

All planned new awards are to contain the amendment number 000, whether they are initiated in a Headquarters or field office. All planned modification actions initiated in a Headquarters office (excluding procurement operations) are to contain the numbers in sequence from .001 through .499. All field locations and Headquarters office of Procurement Operations are to use the amendment numbers in sequence from .501 through .999. Remember the amendment starts over at .001 or .501, depending upon your location, at the beginning of each new fiscal year. The number .500 is never to be used.

5. PROJECT MANAGER

Enter the name of the individual in the initiating office who is authorized to act as project manager. Enter the last name first, followed by first name and middle initial. Do not include Mr., Dr., Mrs., Ms., or any other title. If the project manager has not been designated, enter the name of the individual most familiar with the plan. The complete name may not exceed 24 characters. A valid example is BOOHER, CORDA A.

6. OFFICE CODE

Enter the eight-character alphanumeric code that identifies the initiating office for this action. An example of a valid OFFICE CODE is: FE-33100. This code is comprised of: The major organizational

element (positions 1 and 2), a dash (position 3) and the internal organizational breakdown (positions 4-8). If there is a decimal point in an office code, enter the code on the form without the decimal point.

8. TITLE

Enter the full title or subject statement which describes the action (i.e., provision of product or service) planned or being taken. The maximum field length is 180 characters. An example of a valid TITLE is: CALCULATE THE COAL RESERVE BASE IN COLORADO.

11. PRODUCT OR SERVICE (for Procurement/Acquisition Actions Only)

Enter the four-character alphanumeric Federal Procurement Data System (FPDS) code to identify the type of product or service associated with an award action. Do not use the codes on the back of DOE-F-4200.6 because they are no longer valid. Use the codes in the revised Table of Valid Product or Service codes in APPENDIX C. A more specific code than those contained in APPENDIX C may be entered, if desired. Refer to the FPDS Reporting Manual or the Miscellaneous IPMIS Tables Index for the specific code. Y299 is an example of a valid code. Leave this field blank when completing a plan to modify an existing award.

14. PLANNED AWARDING OFFICE

Enter the two-character code to identify the planned awarding office. For example, 01 is a valid code. See back of form for codes. Leave this field blank when completing a plan to modify an existing award.

15. EXTENT OF COMPETITION

Enter the two-character code to indicate whether a planned action is to be competitive or non-competitive and the extent of that competition. For example, HA is a valid code. See back of form for codes. Notice that the list of available codes in the Procurement Series has been reduced. If desired, a more specific code may be entered by referring to the Miscellaneous IPMIS Tables Index for the specific code. Leave this field blank when completing a plan to modify an existing award.

19. PR INITIATION DATE

Enter the date the Procurement/Financial Assistance Request (PR), (DOE FORM PR-799 series) is expected to be fully completed (together with all attachments), approved, authorized, funded (if applicable), and released from an initiating office. For example, the date October 1, 1980, is to be entered as 10 01 80.

20. NAME

If the award is non-competitive, enter the name of the awardee as it appears in the DOE Standard Awardee Identification File. A valid

example is "PENNSYLVANIA STATE UNIV" (without a period). The maximum field length is 30 characters. Leave this field blank when completing a plan to modify an existing award.

23 AWARD VALUE - GOVT SHARE

Enter the estimated total face value (Government Share) of the award, regardless of the funding obligation schedule. Enter the amount in whole dollars. Round the dollar amount to the nearest whole dollar. When planning a modification action to increase the scope of a procurement or financial assistance instrument, enter the amount of the increase only in the Government Share. A computer program will maintain a running total by adding this GOVT SHARE to the sum of the basic award and all previous modification actions.

The system will reject zero dollar plans (plans with no dollars), and plans with negative dollars. Therefore do not enter a zero in this field, or a minus figure, and do not leave it blank.

The AWARD VALUE - GOVT SHARE must be equal to the sum of Current FY Total (Item 30), plus all future (incremental) funding, plus consideration in kind. Future funding and consideration in kind are not specified anywhere else on the form.

24. AWARD VALUE - TOTAL

If the award is to be cost-shared by the awardee, add to the amount entered in item 23 (Government share) the amount the awardee is responsible to contribute and enter the total in item 24. If the award is not to be cost-shared by the awardee, the amount entered in Total (Item 24) must equal the amount entered in Government Share (Item 23). Do not leave blank. When planning a modification action to increase the scope of a procurement or financial assistance instrument, enter only the amount of the increase in the Total.

The total is entered in whole dollars. Round the dollar amount to the nearest whole dollar.

25. APPROPRIATION SYMBOL

Leave blank in all cases.

27. FUNDING SOURCE - CURRENT FY B&R NUMBER

Enter the nine-digit Budget and Reporting (B&R) Number which is used for reporting financial data in the fiscal year shown in the IPMIS NUMBER, item 4 above. Refer to instructions issued by the Controller. If the valid B&R Number is unknown, enter a valid two-position Headquarters initiating office code from the list in APPENDIX A. Use DOE-F-4200.7 to provide supplemental information if there are more than three B&R Numbers or if there is to be incremental funding during the current fiscal year.

28. FUNDING SOURCE - CURRENT FY \$ AMOUNT

For each B&R Number or Headquarters initiating office code entered in item 27 above, enter the respective dollar amount. The amount should be entered in whole dollars. Round the dollar amount to the nearest whole dollar. Do not leave blank.

29. FUNDING SOURCE- CURRENT FY FROM DOE-F-4200.7

If DOE-F 4200.7 was used to provide supplemental information to item 27 and 28 above, enter in item 29 on DOE-F-4200.6 the amount entered in item 8 on DOE-F-4200.7, ("the Total Dollar Amount Both Columns (7)").

30. FUNDING SOURCE - CURRENT FY TOTAL

Enter the total of all dollar amounts from items 28 and 29 above.

PART B - Detailed Instructions for Completing DOE-F 4200.7

The DOE-F-4200.7 contains nine different data fields. Instructions for completing each data field are given below in the same numerical sequence as they appear on the form

1. INITIAL/UPDATE

Because the DOE-F-4200.7 is always used to supplement a DOE-F-4200.6 and is never to exist alone, check the INITIAL/UPDATE block on the DOE-F-4200.7 exactly as it was checked on the DOE-F-4200.6. That is, if the DOE-F-4200.6 was checked INITIAL, also check INITIAL on the accompanying DOE-F-4200.7.

3. IPMIS NUMBER

Enter the exact 13-character IPMIS Number on DOE-F-4200.7 that was entered on the accompanying DOE-F-4200.6 (Item 4).

5. MONTH

If funding is to be provided in increments during the current fiscal year, enter the two digit equivalent of the month in which each increment will occur. For example: If funding is to be quarterly, October 1981, January, April and July 1982, enter the first increment on DOE-F-4200.6 and enter the next three increments on DOE-F-4200.7. Use month digits as follows: 01, 04, 07.

6. B&R NUMBER

This item is to be completed if one of the following conditions exists:

- If there are more than three B&R Numbers or Headquarters initiating office codes. (The DOE-F-4200.6 cannot accommodate more than three B&R's.)
- If there is to be incremental funding action within the current fiscal year.

Enter the nine-digit Budget and Reporting (B&R) Number which is used for reporting financial data in the fiscal year shown in the IPMIS NUMBER, item 4, above. Refer to instructions issued by the Controller. If a valid B&R Number is not known, enter a valid Headquarters initiating office code from the list in APPENDIX A.

7. \$ AMOUNT

For each B&R Number or headquarters initiating office code entered in item 6, enter the respective dollar amount. The amount should be entered in whole dollars. Round the dollar amount to the nearest whole dollar.

8. TOTAL DOLLAR AMOUNT BOTH COLUMNS (7)

Enter the total of all dollar amounts in both \$ AMOUNT columns, item 7, This is the dollar amount which is to be entered on DOE-F-4200.6, item 29.

12. LENDER NAME

If this is a Loan or Loan Guarantee, enter the name of the financial institution making the loan to the planned awardee. The maximum field length is 30 characters.

13. LOAN VALUE (TOTAL)

If this is a Loan or Loan Guarantee, enter the total value of the loan amount. Enter the amount in whole dollars. Round the dollar amount to the nearest whole dollar.

14. GUARANTEE VALUE (GOVT)

If this is a Loan Guarantee, enter the total value of the amount planned to be guaranteed by the Government. Enter the amount in whole dollars. Round the dollar amount to the nearest whole dollar.

SECTION 3

FIELD WORK PACKAGE PROPOSAL AND AUTHORIZATION SYSTEM

(WPAS) SUMMARY PLANS

Part A - Detailed Instructions for Completing DOE-F-4200.6

Offices that authorize procurement work to contractors through the use of the Field Work Package Proposal and Authorization System are to submit WPAS Summary Plans. Submit a separate WPAS Summary Plan for each WPAS contractor. See Appendix B1/ for the list of WPAS contractors, and Appendix B2/ for the list of "WPAS-like" contractors.

1. INITIAL/UPDATE

Enter an X in the box to the right of INITIAL.

2. PROCUREMENT/FINANCIAL ASSISTANCE

Enter an X in the box to the right of PROCUREMENT.

4. IPMIS NUMBER

Enter the 13-character code which uniquely identifies this procurement action. This number is comprised of four parts: the fiscal year of the planned new award, the initiating organization's register number, a decimal point, and the appropriate contractor's "Vendor Code". An example of a valid IPMIS NUMBER IS 81FE12345.ANL.

The first and second positions contain the last two digits of the fiscal year of the planned new award and must be equal to, or greater than, the current year.

The third through ninth positions contain the initiating organization's register number which consists of the initiating organizational code and a unique serial number. The organizational register number is controlled within each secretarial or staff office, operations office, project office, power administration, regional office, energy research center or other equivalent field level organization.

The tenth position is a decimal point.

The eleventh through the thirteenth positions contain the appropriate contractor's "Vendor Code." Select the code which applies from the list of WPAS contractors contained in APPENDIX B1/ and B2/.

5. PROJECT MANAGER

Enter the name of the individual in the initiating office who is authorized to act as project manager. Enter the last name first, followed by first name and middle initial. Do not include Mr., Dr., Mrs., Ms. or any title. If the project manager has not been designated, enter the name of the individual most familiar with the plan. The complete name may not exceed 24 characters. A valid example is BOOHER, CORDA A.

6. OFFICE CODE

Enter the eight-character alphanumeric code that identifies the initiating office for this action. An example of a valid OFFICE CODE is: FE-33100. This code is comprised of three components: the major organizational element (positions 1 and 2), a dash (position 3) and the internal organization breakdown (position 4-8). If there is a decimal point in an office code, enter the code without the decimal point.

8. TITLE

Enter "WPAS Summary Plan."

11. PRODUCT OR SERVICE

Leave Blank.

14. PLANNED AWARDING OFFICE

Leave Blank.

15. EXTENT OF COMPETITION

Leave Blank.

19. PR INITIATION DATE

Leave Blank.

20. NAME

Leave Blank.

23. AWARD VALUE - GOVT SHARE

Leave Blank.

24. AWARD VALUE - TOTAL

Leave Blank.

25. APPROPRIATION SYMBOL

Leave Blank.

27. FUNDING SOURCE - CURRENT FY B&R NUMBER

Enter in item 27 the two-position headquarters initiating office code for each contributing program office. See APPENDIX A for a table of valid initiating office codes. It is not necessary to enter B&R Numbers for WPAS.

28. FUNDING SOURCE - CURRENT FY \$ AMOUNT

Cite on the WPAS Summary Plan the Current FY Dollar Amount in whole dollars directly across from the contributing office's two-position initiating office code which was entered in the Current FY B&R Number field (Item 27).

29. FUNDING SOURCE - CURRENT FY FROM DOE-F-4200.7

If DOE-F-4200.7 was used to provide supplemental information to items 27 and 28 above, enter in item 29 on DOE-F-4200.6 the amount entered in item 8, on DOE-F-4200.7 (the total Dollar Amount in Both Columns (7)).

30. FUNDING SOURCE - CURRENT FY TOTAL

Enter the total of all dollar amounts entered in items 28 and 29 above to be funded in the FY shown in Item 4. Round all dollar amounts to the nearest whole dollar.

PART E - Detailed Instructions for Completing DOE-F-4200.7

When a field activity completes a WPAS Summary Plan for a transaction to be funded by more than three program offices, the DOE-F-4200.7 must be used to enter the additional program office codes and their contributing dollar amounts. Instructions for completing the applicable fields are given below.

1. INITIAL/UPDATE

Because the DOE-F-4200.7 is always used to supplement a DOE-F-4200.6 and is never to exist alone, check this block, exactly as it is checked on the DOE-F-4200.6. That is, if the DOE-F-4200.6 is checked INITIAL, check INITIAL on the accompanying DOE-F-4200.7.

2. IPMIS NUMBER

Enter here the exact 13-character IPMIS NUMBER that was input on the accompanying DOE-F-4200.6 (Item 4) which this DOE-F-4200.7 form is supplementing.

5. MONTH

Leave Blank.

6. B&R NUMBER

This item is to be completed on WPAS Summary Plans if the number of funding program offices exceeds three. (The DOE-F-4200.6 cannot accommodate more than three B&R numbers.) Cite here the two-position initiating office code for each contributing program office. See APPENDIX A for a valid table of initiating office codes.

7. \$ AMOUNT

Cite the current FY \$ AMOUNT in whole dollars directly across from each contributing office's two-position initiating office code entered in B&R NUMBER (Item 6).

8. TOTAL DOLLAR AMOUNT BOTH COLUMNS (7)

Enter the total of all dollar amounts in both \$ amounts columns, item 7. Enter in item 8 on DOE-F-4200.7 the dollar amount entered in item 29 on DOE-F-4200.6.

12. LENDER NAME

Leave Blank.

13. LOAN VALUE (TOTAL)

Leave Blank.

14. GUARANTEE VALUE (GOVT)

Leave Blank.

PART C - UPDATING WPAS SUMMARY PLANS

Refer to SECTION 4, UPDATING OR CORRECTING PLANS FOR NEW AWARDS AND MODIFICATIONS TO EXISTING AWARDS, for instructions to update or correct WPAS Summary Plans.

SECTION 4

UPDATING OR CORRECTING PLANS FOR NEW AWARDS AND MODIFICATIONS

TO EXISTING AWARDS

This mechanism has been established to enable a user to correct an IPMIS form which has already been entered into the IPMIS system and has been found to have incorrect data in one or several data fields.

Please Note:

If it is possible to determine with certainty that the initial form has not been entered into the IPMIS data base, that initial form may be altered or corrected in any manner without using the correction procedure outlined in this section. Leave Item 1 INITIAL and do not change to UPDATE.

Use the same updating procedures described on the following pages to correct DOE-F-4200.6 and DOE-F-4200.7 which were completed for WPAS Summary Plans.

PART A - Detailed Instructions for Correcting (DOE-F-4200.6)

1. INITIAL/UPDATE

Enter an X in the box to the right of UPDATE. This applies whether this update is to correct an initial plan for a new award, an initial plan to modify an existing award, or a WPAS Summary Plan.

2. PROCUREMENT/FINANCIAL ASSISTANCE

Enter an X in the box to the right of PROCUREMENT if this form covers a procurement or acquisition action which includes: Contracts, Special Research Contracts, Task Order/Project Agreements, Delivery Orders, and Interagency Agreements.

Enter an X in the box to the right of FINANCIAL ASSISTANCE if this form covers any of the following types of financial or federal assistance: Cooperative Agreements, Grants, Interest Agreements, Loans, Loan Guarantees, Price Support Agreements and Subsidy Agreements.

4. IPMIS NUMBER

Enter the same IPMIS NUMBER that was entered on the original (i.e., INITIAL) DOE-F-4200.6. Be sure to enter the same amendment number (i.e., if 000 was entered on INITIAL input, enter 000 on UPDATE input).

5., 6., 8., 11., 14., 15., 19., 20.

Enter data in these fields only if the data was incorrect or has changed from that entered on the initial form. For example, if only the EXTENT OF COMPETITION was incorrect or has changed, enter data only in item 15.

FINANCIAL SECTION - Items 23., 24., 27., 28., 29., and 30. There are unique interrelating edits among these elements. Therefore, if a change is made to any one element, all the other elements in this section must also be completed, even if the data does not change for these elements. For example: a change in the Government Share (Item 23) may occur without changing the B&R Number (Item 27). Even so, when this situation occurs, it is still necessary to repeat the data in the B&R (Item 27).

To make a change to an individual data element within the Financial Section, enter the correct value and disregard the value entered incorrectly on the initial DOE-F-4200.6. For example: If the initial Government Share amount was 200,000, and the correct amount should have been 400,000, enter 400,000. Enter all dollar amounts in whole dollars, rounded to the nearest whole dollar.

23. AWARD VALUE - GOVERNMENT SHARE

Complete this item if any other item in the Financial Section changes, even if the dollar amount for this item remains the same as it was on the initial DOE-F-4200.6. Enter all dollar amounts in whole dollars, rounded to the nearest whole dollar.

24. AWARD VALUE - TOTAL

Complete this item if any other element in the Financial Section changes, even if the dollar amount for this item is the same as it was on the initial DOE-F-4200.6. Enter all dollar amounts in whole dollars, rounded to the nearest whole dollar.

NOTE: Since the TOTAL is equal to the sum of the GOVERNMENT SHARE (Item 23) plus the awardee share, when the action is cost-shared, or the TOTAL is equal to the GOVERNMENT SHARE, when no cost-sharing is involved, any change in the amount of the GOVERNMENT SHARE requires a change to the TOTAL.

25. APPROPRIATION SYMBOL

Leave blank.

27. B&R NUMBER

Complete this item when any other element in the Financial Section Changes, even if the value is the same as it was on the initial DOE-F-4200.6.

28. \$ AMOUNT

Complete this item if any other element in the Financial Section changes, even if the dollar amount is the same as it was on the initial DOE-F-4200.6. Enter the dollar amount in whole dollars, rounded to the nearest whole dollar.

NOTE: The dollar amounts entered in Item 28 are components of the amount entered in CURRENT FY TOTAL (Item 30) and of the dollar amount entered in GOVERNMENT SHARE (Item 23); therefore, if a change is made to this element a change must also be made to the dollar amounts in Items 23, 24, and 30.

29. CURRENT FY FROM DOE-F-4200.6

If the initial DOE-F-4200.6 contained data in this field, this element must be completed if any other element in the Financial Section is changed. If this element was blank on the initial DOE-F-4200.6, leave it blank on the updated DOE-F-4200.6, unless the change is to add additional B&R NUMBERS and dollar amounts which exceed the three spaces on the DOE-F-4200.6. In that case, a DOE-F-4200.7 must also be completed, and the total dollar amount from that form brought forward and entered in Item 29 on DOE-F-4200.6

30. CURRENT FY TOTAL

Complete this item if any other element in the Financial Section changes, even if the dollar amount for this item is the same as it was on the initial DOE-F-4200.6. Enter all dollar amounts in whole dollars, rounded to the nearest whole dollar.

PART B. Detailed Instructions for Correcting DOE-F-4200.7

1. INITIAL/UPDATE

Because the DOE-F-4200.7 is always used to supplement a DOE-F-4200.6 and is never to exist alone, the INITIAL/UPDATE block is to be checked here, exactly as it is checked on the DOE-F-4200.6. That is, if the DOE-F-4200.6 is checked UPDATE. Also check UPDATE on DOE-F-4200.7

3. IPMIS NUMBER

Enter in item 3 the exact 13-character IPMIS Number that was input in item 4 on the accompanying DOE-F-4200.6.

5., 6., 7., 8.

If any one element is changed, all data elements must be re-entered and adjusted accordingly. If there is no change to any data element leave all blank.

12. LENDER NAME

Enter data only if it is different from that which was entered on the initial DOE-F-4200.7

13. LOAN VALUE (TOTAL)

If there is no change, leave blank.

When making a change to this data element, enter the correct value and disregard the value entered incorrectly on the initial DOE-F-4200.7 form. Enter all dollar amounts in whole dollars, rounded to the nearest whole dollar.

NOTE: If a change is made to item 13, reenter the amount and make any necessary adjustment in item 14 (Guarantee Value (GOVT)).

14. GUARANTEE VALUE (GOVT)

If no change is made, leave blank.

If a change is made to this data element, enter the correct value and disregard the value entered incorrectly on the initial DOE-F-4200.7. Enter all dollar amounts in whole dollars, rounded to the nearest whole dollar.

NOTE: If a change is made to item 14, reenter the amount and make any necessary adjustment in item 13. (LOAN VALUE (TOTAL)).

SECTION 5

CANCELLATIONS

PART A - Detailed Instructions for completing DOE-F-4200.8

DOE-F-4200.8 contains four different data fields. Use this form to cancel an existing plan. A total of 10 records can be cancelled on one form. Instructions for completing each data field are given below in the same numerical sequence as they appear on the form.

1. IPMIS NUMBER

Enter the same IPMIS Number that appears on the plan, DOE-F-4200.6. Be sure to enter the correct amendment.

2. 189/TAPS NO

Leave blank.

3. CANCELLATION DATE

Enter the date the plan was cancelled using the following format: MM DD YY. For example, enter October 1, 1981, as 10 01 81.

4. REASON

Enter the one character code indicating the reason that the plan was cancelled. Cancellation reason codes may be found at the bottom of DOE-F-4200.8.

APPENDIX A

INITIATING ORGANIZATIONS

<u>Code</u>	<u>Meaning</u>
	<u>Headquarters</u>
CE	Assistant Secretary for Conservation and Renewable Energy
CP	Assistant Secretary for Congressional, Intergovernmental, and Public Affairs
DP	Assistant Secretary for Defense Programs
EI	Energy Information Administration
EP	Assistant Secretary for Environmental Protection, Safety, and Emergency Preparedness
ER	Director of Energy Research
FE	Assistant Secretary for Fossil Energy
HG	Director of Hearings and Appeals
IA	Assistant Secretary for International Affairs
MA	Assistant Secretary for Management and Administration
NE	Assistant Secretary for Nuclear Energy
PE	Director of Policy, Planning, and Analysis
RC	Federal Energy Regulatory Commission
RG	Economic Regulatory Administration

APPENDIX B^{1/}

LIST OF WPAS CONTRACTOR FACILITIES

<u>Facility</u>	<u>Contractor</u>	<u>Outlay Program Manager</u>	<u>Register Number</u>	<u>IPMIS VENDOR CODE</u>
1. Amarillo (Pantex) Plant	Mason & Hanger Silas Mason Co.	DP	DP00487	ALM
2. Ames Laboratory	Iowa State University	ER	CHENG82	AML
3. Argonne National Laboratory	University of Chicago	ER	CHENG38	ANL
4. Bates Linear Acceleratory Facility	Massachusetts Institute of Technology	ER	ER03069	XBU
5. Bettis Atomic Power Laboratory	Westinghouse Electric Company	NE	PN00014	IBU
6. Brookhaven National Laboratory	Associated Universities, Inc.	ER	CH00016	BNL
7. Center for Energy & Environmental Research	University of Puerto Rico	ER	OR01833	QRR
8. Comparative Animal Research Laboratory*	University of Tennessee	ER	OR00242	OBU
9. Courant Mathematics and Computer Laboratory*	New York University	ER**	ER03077	UEF
10. Davis Radiobiology Laboratory	University of California, Davis	ER	SF00472	RBU
11. Energy Technology Engineering Center	Rockwell International Corp (AI)	NE	SF00700	PDQ

	<u>Facility</u>	<u>Contractor</u>	<u>Outlay Program Manager</u>	<u>Register Number</u>	<u>IPMIS Vendor Code</u>
12.	Extrusion Plant, Ashtabula	RMI Company	DP	OR01405	NWJ
13.	Fermi National Accelerator Laboratory	University Research Assoc., Inc.	ER	CH03000	SLX
14.	Fernald Feed Material Production Center	National Lead Company of Ohio	DP	OR01156	ORD
15.	Fusion Plasma Research Center*	University of Texas-Austin	ER**	ET53036 and ET53043	EZW
16.	Grand Junction Facility	Bendix Field Engineering Corporation	NE	GJ01664	GFB
17.	Hanford Engineering Development Laboratory	Westinghouse Hanford	NE	FF02170	VKQ
18.	Hanford Production Operations	Rockwell Hanford Operations	DP	RL01030	LTC
19.	Hanford Production Operations	United Nuclear Corp.	DP	RL01857	CWZ
20.	Idaho Falls Chemical Processing Plant	Exxon Nuclear Idaho, Inc.	DP	ID01675	QZS
21.	Idaho National Engineering Laboratory	EG&G, Idaho	NE	ID01570	SBQ
22.	Inhalation Toxicology Research Institute*	Lovelace Foundation for Medical Research	ER	EV01013	XSX
23.	Kansas City Plant	Bendix Corporation	DP	DP00613	ALB
24.	Knolls Atomic Power Laboratory	General Electric Company	NE	SN00052	ALJ
25.	Laboratory of Nuclear Medicine and Radiobiology	University of California	ER	SF00012	WTC

	<u>Facility</u>	<u>Contractor</u>	<u>Outlay Program Manager</u>	<u>Register Number</u>	<u>IPMIS Vendor Code</u>
26.	Laboratory of Nuclear Science*	Massachusetts Institute of Technology	ER**	ER03069	DTC
27.	Lawrence Berkeley Laboratory	University of California	ER	SFENG48	LZJ
28.	Lawrence Livermore National Laboratory	University of California	DP	SFENG48	WZJ
29.	Los Alamos National Scientific Laboratory	University of California	DP	ALENG36	LSL
30.	Materials Research Laboratory*	University of Illinois	ER**	ER01198	JLF
31.	MHD Component Development and Integration Facility	Montana Energy and MHD Research and Development Institute	FE	ID01745	AZP
32.	Mid-American Solar Energy Center, Minneapolis, Minnesota	Mid-American Solar Energy Center	CE	CS30150	RTC
33.	MIT Plasma Fusion Center*	Massachusetts Institute of Technology	ER	ET51013	GTC
34.	Mound Facility	Monsanto Research Corporation	DP	DP00053	ALR
35.	MSU Plant Research Laboratory*	Michigan State University	ER	ER01338	LBU
36.	Nevada Test Site	EG&G, Inc.	DP	NV01183	NVB
37.	Nevada Test Site	Holmes & Narver	DP	NV00020	NVD
38.	Nevada Test Site	Reynolds Electric & Engineering Company	DP	NV00410	NVG

	<u>Facility</u>	<u>Contractor</u>	<u>Outlay Program Manager</u>	<u>Register Number</u>	<u>IPMIS Vendor Code</u>
39.	Northeast Solar Energy Center Boston, Massachusetts	Northern Energy Corporation	CE	CS30149	OTC
40.	Notre Dame Radiation Laboratory	University of Notre Dame	ER	ER00038	YGU
41.	Nuclear Physics Laboratory*	University of Washington	ER	ER01388	OCE
42.	Oak Ridge Associated Universities	Oak Ridge Associated Universities, Incorporated	ER	OR00033	ORH
43.	Oak Ridge Gaseous Diffusion Plant	Union Carbide Corporation	NE	ORENG26	JTC
44.	Oak Ridge National Laboratory	Union Carbide Corporation	ER	ORENG26	ONL
45.	Pacific Northwest Laboratories	Battelle Memorial Institute	NE	RL01830	DZR
46.	Paducah Gaseous Diffusion Plant	Union Carbide Corporation	NE	ORENG26	XTC
47.	Pinellas Plant	General Electric Company	DP	DP00656	ITC
48.	Portsmouth Gaseous Diffusion Plant	Goodyear Atomic Company	NE	OR00001	ORB
49.	Princeton Plasma Physics Laboratory	Princeton University	ER	CH03073	QGU
50.	Rocky Flats Weapons Plant	Rockwell International	DP	DP03533	YEC
51.	Sandia National Laboratories	Sandia Corporation	DP	DP00789	ALS
52.	San Francisco Laboratory of Radiobiology	University of California	ER	SF01012	SBU
53.	Savannah River Ecology Laboratory	University of Georgia	ER	SR00819	WBU
54.	Savannah River Laboratory	E. I. Dupont de Nemours & Company	DP	SR00001	DBU

	<u>Facility</u>	<u>Contractor</u>	<u>Outlay Program Manager</u>	<u>Register Number</u>	<u>IPMIS Vendor Code</u>
55.	Savannah River Plant	E. I. Dupont de Nemours & Company	DP	SR00001	SRB
56.	Shippingport Atomic Power Station	Duquesne Light Company	NE	PN00292	AGU
57.	Solar Energy Research Institute	Midwest Research Institute	CE	CH00178	TGF
58.	Southern Solar Energy Center Atlanta, Georgia	Southern Solar Energy Center	CE	CS30166	CTC
59.	Stanford Linear Accelerator Facility	Stanford University	ER	SF00515	SFL
60.	University of Rochester Biomedical Laboratory	University of Rochester	ER	EV03490	GBU
61.	University of Utah Radiobiology Laboratory	University of Utah	ER	EV00119	JBU
62.	Western Solar Utilization Network, Portland, Oregon	Western Solar Utilization Network	CE	CS30159	PTC
63.	Wright Nuclear Structures Laboratory*	Yale University	ER**	ER03075	WXE
64.	Y-12 Plant	Union Carbide Corporation	DP	ORENG26	QEC

*Indicates contractor facilities which did not meet all criteria for consideration as WPAS contractors but were justified for other reasons to be designated as WPAS contractors.

**Indicates contractor facilities which, while not assigned to an Outlay Program Manager, receive the major portion of funding from the Outlay Program Manager listed.

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APPENDIX B

LIST OF "WPAS-LIKE" CONTRACTOR FACILITIES

The contractors listed below are not included in the WPAS order as operating under the Field Work Package Proposal Authorization System and are therefore not in the list of WPAS contractors in APPENDIX B1/. However, for purposes of reporting planning data to the IPMIS system, any planning forms for these contracts should be completed in the same manner as planning forms are completed for the WPAS contracts, using the instructions for WPAS transactions, Section 3, of the planning guide. That is, the dollars should only be reported at the summary level, and the Eleventh through thirteenth positions of the IPMIS number (Item No. 4, DOE-F-4200.6) must contain the appropriate contractor's "Vendor Code."

<u>Contractor</u>	<u>Register Number</u>	<u>IPMIS Vendor Code</u>
Los Alamos Construction, Inc.	DP01357	ALL
ZIA Corporation	DP00090	ALZ
Rust Engineering Corporation	OR05663	ORK
Rust Engineering Corporation	OR06067	MRX
Vitro Engineering Corporation	RL01698	IIE
Hanford Environmental Health Foundation	RL01837	ELY
J. A. Jones Construction Co.	RL00687	RLT
BCS Richland, Inc.	RL02320	TMA
Garrett Corp.	OR02908	ZZO
Battelle Memorial Institute	CHENC92	HVJ

APPENDIX C

PRODUCT OR SERVICE CODES

<u>Code</u>	<u>Meaning</u>
-------------	----------------

R&D Services

AG10	Coal
AG20	Gas
AG30	Geothermal
AG40	Hydro
AG50	Nuclear
AG60	Petroleum
AG70	Solar
AG80	Conservation of Energy
AG90	Other Energy
AH90	Environment
AJ10	General Science and Technology
AZ10	Other Research and Development

Services Other Than R&D

J099	Maintenance and Repair Equipment
K099	Modification of Equipment
L099	Technical Representative Services
M199	Operation of Government Facilities
N099	Installation of Equipment
R119	Building and Facilities Structures
R129	Non-building Structures
R219	Architects and Engineers-General
R399	Automated Data Processing Services
R498	Professional Services
R499	Management Services
R599	Special Studies and Analyses
S119	Utilitico
S299	Housekeeping Services
Y299	Construction of Structures
Z299	Maintenance, Repair or Alteration of Structures

Products (Supplies and Equipment)

1195	Nuclear Ordnance
3695	Special Industry Machinery
3895	Construction Equipment
4470	Nuclear Reactors
4540	Plumbing, Heating, and Sanitation Equipment
5680	Construction Materials
5999	Electrical and Electronic Components
6150	Electric Power and Distribution Equipment
6695	Combination Instruments
6850	Chemical Specialties
7010	ADP CPU
7030	ADP Software
7045	ADP Equipment and Supplies
9160	Fuels, Lubricants, Oils, Waxes
9999	Miscellaneous Items

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