

Assigning Identifying Numbers Outside of the Strategic Integrated Procurement Enterprise System (STRIPES)



Guiding Principles:

- **Follow the procedures outlined in AL 2010-03 covering waivers and exceptions before proceeding with issuing requisitions, solicitations and business instruments outside of STRIPES.**
- **Do not duplicate the numbering format in STRIPES when issuing instrument numbers outside of STRIPES.**

[References: DOE O 540.1B, AL 2010-03, AL 2011-30, Cancellation Notice]

I. Overview

This section provides guidance on the DOE's procedures for assigning identifying numbers to all new requisitions, solicitations and business instruments processed outside of STRIPES. This Guide Chapter does not apply to instrument numbers issued and business instruments awarded prior to the deployment of STRIPES at the DOE.

II. Definitions

“Business instrument” means a legal document resulting from a requisition or solicitation that defines an agreement between the DOE and a company, individual, another Government agency, or public or private institution. Business instruments include DOE contracts/awards, Federal Supply Schedule (FSS) orders, purchase card transactions, Interagency Agreements (IA), financial assistance agreements and Technology Investment Agreements (TIA).

“DOE” means the U.S. Department of Energy, including the National Nuclear Security Administration (NNSA).

“Instrument number” means a number associated with a requisition, solicitation or business instrument. The instrument number remains unchanged throughout the procurement process, even if the instrument fails to be executed. The number may not be reused until after the business instrument file has been destroyed.

“Requisition” means a document used to commit funding, leading to a new contract/award or a modification of an existing contract/award. The requisition document is also used for financial assistance actions.

“Solicitation” means a method used by the DOE to request applications, proposals, or quotations and invite bids.

III. Background

In 2007, the DOE launched STRIPES to be used as the Agency’s acquisition and financial assistance official system of record. On May 23, 2008, the Department issued DOE O 540.1B, Departmental Business Instrument Numbering System for Actions Conducted Outside of the Strategic Integrated Procurement Enterprise System (STRIPES), to prescribe procedures for assigning identifying numbers to business instruments processed outside of STRIPES. Because STRIPES provides for the automatic numbering of acquisition and financial assistance actions, and because the majority of such actions are created and stored in STRIPES, the Department found little utility in maintaining DOE O 540.1B, and subsequently cancelled the Order on May 12, 2011.

Acquisition Letter (AL) 2010-03, issued on January 8, 2010, made the use of STRIPES for the awarding and administering of all acquisition and financial assistance actions by the Department’s procurement offices, mandatory. The AL required that exceptions to, or waivers on, the use of STRIPES be issued on a case-by-case basis and be approved by the Senior Procurement Executive (SPE). Exceptions include awards identified as being excluded from STRIPES, via a formal policy, by the Office of Procurement and Assistance Management.

When an exception to the use of STRIPES is approved or a waiver is granted, these procedures should be used for assigning identifying numbers to new requisitions, solicitations and business instruments processed outside of STRIPES.

IV. Numbering Format

The numbering format of requisitions, solicitations and business instruments processed outside of STRIPES has been designed to prevent the duplication of numbers issued by STRIPES. Therefore, the instrument numbering format outlined by this Guide does not match the format used for instruments processed within STRIPES.

Instrument numbers are created and formatted as follows:

A. Requisition Numbering

1. Requisition numbers contain the document type, the Fiscal Year (FY) in which the requisition was initiated, the office symbol for the Program Office initiating the request and a unique five-character serial number.

Example:

REQ-11XX12345

REQ – Represents that the document is a Requisition
11 – Represents the FY the Requisition was Initiated
XX – Represents the Program Office Initiating the Requisition
12345 – Represents a Unique Five-Character Serial Number

2. Supplementary requisition numbers must be sequential, beginning with 000 for the New Award initiative. Examples of supplementary requisition numbering are as follows:

- a. REQ-11XX12345.000—New award initiative
- b. REQ-11XX12345.001—First subsequent action in FY 2011
- c. REQ-11XX12345.002—Second subsequent action in FY 2011
- d. REQ-12XX12345.001—The first subsequent action of this series to be issued in a new FY (Note that the FY in this example changed from FY 2011 to FY 2012)
- e. REQ-12XX12345.002—Second subsequent action in FY 2012

B. Solicitation Numbering

1. Solicitation numbers contain the issuing Agency, the document type, the Program Office initiating the request and the same five-character serial number that was assigned to the requisition in part A.

Example:

DE-SOL-XX12345

DE – Represents the Department of Energy
SOL – Identifies the document as a Solicitation
XX – Represents the Program Office
12345 – Represents the Unique Five-Character Serial Number Assigned to the Requisition in Part A

2. Amendment numbers to solicitations must be sequential, beginning with 001, and are three digits. Examples of amendments to a solicitation are as follows:

- a. DE-SOL-XX12345, Amendment 001—First subsequent action
- b. DE-SOL-XX12345, Amendment 002—Second subsequent action
- c. DE-SOL-XX12345, Amendment 003—Third subsequent action

C. Business Instrument Numbering

1. Business Instrument numbers contain the issuing Agency, the Contracting Office initiating the award and the same five-character serial number that was assigned to the requisition and solicitation in parts A and B.

Example:

DE-XY12345

DE – Represents the Department of Energy

XY – Represents the Contracting Office Initiating the Award

12345 – Represents the Unique Five-Character Serial Number Assigned to the Requisition and Solicitation in Parts A and B

2. Modification numbers to business instruments must be sequential, beginning with 001, and are three digits. Examples of modification numbers to an award are as follows:

- a. DE-XY12345, Modification 001—First subsequent action
- b. DE-XY12345, Modification 002—Second subsequent action
- c. DE-XY12345, Modification 003—Third subsequent action

V. Responsibilities

A. Director, Office of Procurement and Assistance Management

1. Define responsibilities in the use of instrument numbers.
2. Assist Program Offices in resolving conflicts and problems associated with the establishment, assignment or use of instrument numbers.

B. Contracting Office

1. Establish registers for controlling the issuance of unique requisition numbers required for the preparation of solicitations and business instruments (see Appendix A for a sample register).
2. When requested by the Program Office, develop a unique requisition number, in accordance with the instructions herein.
3. Ensure that the Program Office provides the Contracting Office with a complete requisition package that includes the requisition document containing the unique requisition number that was previously assigned to it by the Contracting Office.

4. Develop solicitation and business instrument numbers and record them in the registers with the unique requisition numbers from which they were derived (see Appendix A for sample entries in a register).
5. For actions over the micro-purchase threshold, enter award details directly into FPDS-NG after the award has been signed by the Contracting Officer.

VI. Points of Contact

For further information relating to the guidance contained herein, contact the Contract and Financial Assistance Division at (202) 287-1330.