



NNSA Policy Letter: BOP-001.31
Date: July 11, 2002
Revised: July 2003

**TITLE: National Nuclear Security Administration Corporate Approved
Funding Program (AFP) and Work Authorization (WA) Procedure**

- I. **OBJECTIVE:** To establish procedures within NNSA to implement the Approved Funding Program (AFP) and Work Authorization (WA) processes within the framework of the NNSA's Planning, Programming, Budgeting, and Evaluation System (PPBES). These procedures:
 - A. Identify the required AFP and WA processes, including the necessary forms and reports;
 - B. Define the review and approval authorities for the AFP and WA process;
 - C. Establish commonly shared software that will be used to implement and administer the AFP and WA processes with the goal of automating the AFP/WA process in FY 2003 in the NNSA Budget Execution System (NABEX);
 - D. Provide examples of financial reports that will be used by the Office of Planning, Programming, Budgeting and Evaluation (NA-62) to monitor the expenditure of funds; and
 - E. Establish internal controls necessary to safeguard Federal funds and ensure consistency NNSA-wide.
- II. **APPLICABILITY:** These procedures applies to all NNSA personnel performing NNSA tasks and activities, with the exception of the Office of Naval Reactors, which will continue to operate under an existing process. This procedure will be phased-in with the implementation of NABEX in FY 2003.
- III. **REQUIREMENTS:** Budget execution is the process by which the resources that have been appropriated are allocated and controlled to achieve the purposes for which the budgets were approved. Execution year scope will be implemented

consistent with the NNSA Programs' 5-Year Program Plans and Implementation Plans. Within the NNSA there will be an increased emphasis on:

- A. Better accountability for resource use;
- B. Timely and more complete distribution of program requirements and work authorization from Headquarters; and
- C. Clearer accountability between program performance metrics and funding through a full year evaluation process.

The NNSA will transition to an automated AFP and WA system (NABEX) that is consistent with Departmental and NNSA requirements during FY 2003. **The NNSA will continue to meet Departmental AFP and WA requirements.**

- IV. RESPONSIBILITIES: It is the responsibility of the Director, Office of Planning, Programming, Budgeting and Evaluation, on behalf of the Associate Administrator for Management and Administration, to establish processes and procedures consistent with the PPBE methodology.
- V. POINT OF CONTACT FOR ADMINISTRATION POLICY LETTER: Office of Planning, Programming, Budgeting and Evaluation.



Michael C. Kane
Associate Administrator for
Management and Administration

Attachment:

Approved Funding Program and Work Authorization Standard Operating Procedures

Distribution:

Deputy Administrators
Associate Administrators
Operations Office Managers
Staff Directors

**U.S. Department of Energy (DOE)
National Nuclear Security Administration (NNSA)**

**BUDGET EXECUTION
APPROVED FUNDING PROGRAM (AFP) AND WORK AUTHORIZATION (WA)
STANDARD OPERATING PROCEDURES**

1. **PURPOSE.** To provide National Nuclear Security Administration (NNSA) procedures to implement the Approved Funding Program (AFP) and Work Authorization (WA) processes consistent with Department of Energy (DOE) policy and requirements and within the framework of the NNSA's Planning, Programming, Budgeting, and Evaluation System (PPBES). These procedures:
 - a. Identify the required AFP and WA processes, including the necessary forms and reports;
 - b. Define review and approval authorities for AFPs and WAs;
 - c. Continue to employ the NNSA Administrative Budget Execution System (NABEX) on a limited basis;
 - d. Provide examples of financial reports that will be used by the Office of Planning, Programming, Budgeting and Evaluation (NA-62) to monitor the expenditure of funds;
 - e. Establish internal controls necessary to safeguard Federal funds and ensure consistency NNSA-wide.
2. **APPLICABILITY.** The provisions of these procedures apply to Department of Energy (DOE) NNSA personnel performing NNSA tasks and activities, with the exception of the Office of Naval Reactors, which will continue to operate under an existing process. This procedure was phased-in with the implementation of NABEX in FY 2003.
3. **REFERENCES.**
 - a. OMB Circular No. A-34, Instructions on Budget Execution
 - b. OMB Circular No. A-11, Preparation and Submission of Budget Estimates
 - c. DOE O 135.1, Budget Execution-Funds Distribution and Control; extended by DOE N 135.1, Extension of DOE O 135.1, Budget Execution-Funds Distribution and Control; accompanied by DOE M 135.1-1, Budget Execution Manual
 - d. DOE O 412.1, Work Authorization System
 - e. DOE G 120.1-5, Guidelines for Performance Measurement

4. ATTACHMENTS.

- a. Attachment A: NNSA Monthly Approved Funding Program and Work Authorization Process
- b. Attachment B: Valid list of NNSA Budget & Reporting (B&R) Classification Codes and Appropriation Structure. Updated B&R reports may be accessed via the CFO web site at <http://www.cfo.doe.gov/ficor/barc/index.htm>.
- c. Attachment C: Contract Identification Codes
- d. Attachment D: Request for Approved Funding Program Change & Certification of Funds Availability (and Sample E-mail Certification of Funds Available from the Operations Office)
- e. Attachment E: DOE Contacts for Verification of Funds Availability for Withdrawal of Allotted Funds
- f. Attachment F: Headquarters Confirmation of Funds Available for Withdrawal Memo
- g. Attachment G: Financial Explanation of Changes (EOC) – Transactions by Funding Program and Major Operating Contractors
- h. Attachment H: NNSA Approved Funding Program Approving Officials and Contacts
- i. Attachment I: Major Operating Contract (MOC) Work Authorization
- j. Attachment J: NNSA Work Authorization Signature Authorities and Program and Budget Contacts
- k. Attachment K: Sample Work Authorization Transmittal Memorandum
- l. Attachment L: AFP and WA Roles and Responsibilities

5. GENERAL.

This section provides an overview of the NNSA corporate AFP and WA processes and establishes summary procedures for the administrative processing of monthly AFPs and WAs by the Office of Planning, Programming, Budgeting and Evaluation (NA-62). The NNSA Headquarters program offices shall continue to provide direction and approval of the work to be accomplished. The NNSA monthly AFP and WA processes described in section 6 of this procedure, and further defined in Attachment A, provide the specific action steps and schedule associated with a typical monthly AFP and WA cycle. This procedure is consistent with Departmental AFP and WA requirements and guidance.

Budget execution is the process by which the resources that have been appropriated are allocated and controlled to achieve the purposes for which the budgets were approved. Execution year scope will be implemented consistent with the NNSA Programs' 5-Year Program Plans and Implementation Plans. Within the NNSA there will be an increased emphasis on:

- Better accountability for resource use;
- Timely and more complete distribution of program requirements and work authorization from Headquarters;
- Clearer accountability between program performance metrics and funding through a full year evaluation process.

The NNSA (with the exception of several NN organizations) transitioned during FY 2003 to an automated system for administrative processing of AFPs and WAs (NABEX) that is consistent with Departmental and NNSA requirements during FY 2003. The NNSA will continue to meet Departmental AFP and WA requirements.

Approved Funding Program (AFP)

The DOE funds distribution process uses the Approved Funding Program (AFP) to provide programmatic funding guidance consistent with applicable limitations and enables funding transfers among Headquarters, the NNSA Service Center/NNSA Site Offices/non-NNSA Operations Offices/contractors.

After Congress passes and the President signs the annual Appropriations, the Office of Management and Budget (OMB) apportions the funds. The OMB apportionment process makes funds available to DOE for obligation and expenditure. DOE creates the Base Table from the apportionment. The Base Table displays the budgetary resources available for obligation at a level of detail consistent with congressional controls. The Base Table is the controlling document for the AFP input and is submitted quarterly to Congress. The AFP contains planned funding guidance by B&R in more detail than is contained in the Base Table. Changes to the AFP may be proposed monthly; however, the proposed changes must be within the obligational control levels reflected on the current Base Table.

The Appropriations Act and the OMB Apportionment are legal limitations on available funds and represent ceilings on the amount that may be obligated. Other administrative controls also govern obligational levels, including the committee reports accompanying the National Defense Authorization Act and Energy and Water Development Appropriations Act; OMB and other executive branch guidance; and internal DOE limitations. Exceeding obligational control levels violates the Department's Administrative Control of Funds policies and is potentially a violation of the Anti-Deficiency Act.

The AFP is the financial guidance controlling the distribution of DOE's obligational authority in compliance with all legal and administrative controls. The AFP reflects the planned funding levels in each appropriation account and identifies the suballocations to the NNSA Service Center, NNSA Site Offices, non-NNSA Operations Offices, and contractors. The AFP also provides the funds necessary to support the WAs. The AFP provides:

1. Planned funding guidance by B&R code for the organizations responsible for the execution of the program; and
2. Control levels to ensure that funds are not distributed in excess of obligational controls in the Base Table.

Allotments to DOE Field Organizations

The allotments, which provide the statutory funding controls, are issued by the CFO and are effective the first day of the fiscal year. They will be issued on October 1 (subject to the availability of appropriations and apportionments), and there may be multiple allotments if the NNSA is operating under a Continuing Resolution. The allotment provides the actual obligational authority, which can be applied according to the funding in the AFP. The allotment, not the AFP, determines the amount of Obligational authority available for programs and projects. The CFO is responsible for coordinating this effort in the Department.

Typically, the initial AFP is issued by the CFO in mid-September, and is effective October 1, the first day of the fiscal year.

Work Authorizations

Work Authorizations (WA) document all work to be performed by the NNSA Service Center, NNSA Site Offices, non-NNSA Operations Offices, M&O contractors, or other contractors. The NNSA Project/Program Managers develop the statement of work in the WAs to reflect the work scope in the 5-Year Program Plans, Annual Implementation Plans/Annual Operating Plans and work plans (or updates thereto). The WAs provide program guidance consistent with distribution of each AFP and are approved by program managers at NNSA Headquarters, and concurred on/signed by the NNSA Service Center, NNSA Site Offices, non-NNSA Operations Offices, M&O contractors and other contractors. WAs that crosscut multiple programs require the review and approval of multiple program managers to ensure that all programmatic interdependencies have been appropriately reflected.

All NNSA WAs shall be performance-based and cascade down from the goals, objectives, strategies and performance measures reported in the NNSA Strategic Plan, Program Integrated Plans, 5-Year Program Plans, Annual Implementation Plans/Annual Operating Plans and work plans, and other guidance specifically tasked and approved by the responsible Headquarters managers. As shown in the diagram on the following page, implementation of the NNSA's planning and performance cascade will provide a path of accountability between the long-term vision outlined in the strategic plan and the day-to-day activities of individual federal and contractor employees.

The statement of work in each WA shall include a detailed description of the work to be performed or include reference to a field work proposal, project plan, statement of work/contract, Implementation Plan, Operating Plan or similar document that describes the scope of work, milestones, deliverables, and/or performance measures and expectations. The statement of work shall also reflect appropriate guidance when funding is reduced (what work scope will not be done) and is being redirected to support higher priorities. Applicable documentation needs to be reflected in the work authorizations to enable the Contracting Officers to acknowledge and accept the scope of work. NA-62, based on input from the Project/Program Manager(s), shall prepare WA

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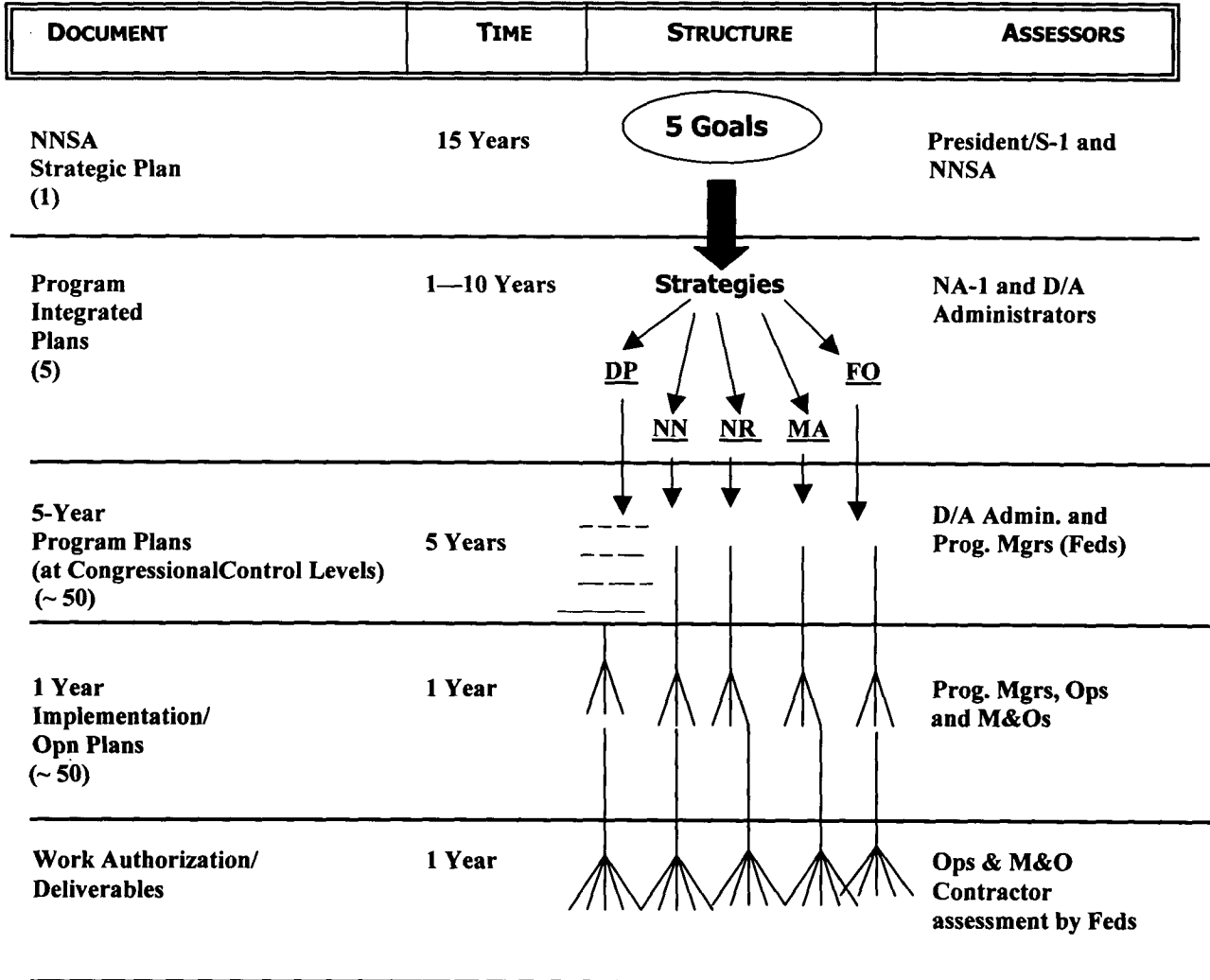
forms that are consistent with the AFP and reflect the work scope defined in the 5-Year Program Plans and Implementation Plans or annual work plans.

After NNSA Headquarters approves the WAs, the WAs are distributed to the appropriate non-NNSA Operations Offices, NNSA Service Center, NNSA Site Offices (i.e., Livermore, Los Alamos, Nevada, Sandia, Kansas City, Pantex, Savannah River, Y-12), and M&O contractors for signature and subsequent transmittal to the cognizant laboratory (i.e., Lawrence Livermore National Laboratory (LLNL), Los Alamos National Laboratory (LANL), Sandia National Laboratories (SNL)) or plant/site (i.e., Kansas City National Security Complex (KC), Nevada Test Site (NTS), Pantex, Savannah River Site (SRS), or Y-12) to execute work scope. The WAs shall be distributed through the applicable Site Office (simultaneously to the Service Center) for signature prior to approval by the laboratory or plant/site.

The operating procedures for work authorization approval at the Site Offices are the responsibility of each office. As the reengineered field structure stabilizes, it is the intention to standardize this wherever possible. Interim procedures are in place between the Service Center and the Site Offices.

The following diagram illustrates the role of the work authorization in NNSA's performance cascade.

NNSA PLANNING AND PERFORMANCE CASCADE



6. MONTHLY AFP AND WA CYCLE.

This section describes the monthly NNSA corporate AFP and WA cycle. The process centralizes the administrative processing of the AFPs and WAs within NA-62. The primary responsibility for processing the NNSA’s AFPs and WAs at Headquarters resides with a core team of NA-62 Budget Execution Analysts who work with the applicable project/program contacts; NA-62 Budget Analysts, managers, and the Program Integration Office; and DOE Chief Financial Officer staff to ensure that Departmental and NNSA AFP and WA requirements have been satisfied. The automation of the NNSA’s AFPs and WAs in NABEX and the centralization of administrative processes within NA-62 are resulting in improvements to efficiency and administrative funds control.

Attachment A provides a corporate NNSA monthly AFP and WA process flow diagram, action steps and schedule, and the accompanying attachments B through L provide standard AFP and WA formats, approval authorities, contacts, and related guidance.

Monthly Approved Funding Program (AFP) Cycle

Funding transfers between NNSA Headquarters and the NNSA Service Center, between the NNSA Service Center and NNSA Site Offices, between the non-NNSA Operations Offices and contractors, between the NNSA Site Offices and contractors, or between contractors, shall require appropriate AFP change and certification documentation. The Office of Planning, Programming, Budgeting and Evaluation (NA-62) will request necessary AFP changes through the DOE CFO in accordance with established procedures for the administrative control of funds. In preparing the AFP, the most current, approved Valid List of NNSA B&R Classification Codes and Appropriation Structure (Attachment B) and Contract Identification Codes (Attachment C) shall be used. These attachments will be updated and posted on the NNSA intranet (when operational).

Headquarters, non-NNSA Operations Offices/NNSA Service Center/NNSA Site Offices, M&Os/Laboratories/Plants (as applicable) may initiate the AFP change process by submitting requested AFP changes to the NNSA Headquarters Project/Program Managers with an information copy to the NA-62 Budget Execution Analyst. It is expected that the NNSA Project/Program Managers will initiate and/or approve AFP changes that are within the Congressional Control Level, as required to address changing priorities, support corrective actions, or reduce carryover. In addition, where applicable, the Operations/Site Offices will submit formal notification to the NA-62 Budget Execution Analyst, which provides the necessary audit trail to the congressional appropriation. The NNSA Service Center or non-NNSA Operations Offices will provide certification of funds availability to the NA-62 Budget Execution Analyst. Specifically:

- For changes initiated by the Field (i.e., non-NNSA Operations Office/NNSA Service Center/NNSA Site Office, M&O/Laboratory/ Plant):

The applicable field organization shall identify potential changes to the AFP, while including an initial Explanation of Change (EOC), and send the proposed change to the appropriate Headquarters Project/Program Manager(s) with an information copy to the NA-62 Budget Execution Analyst **NLT the 7th business day** of the month. The field organization may submit proposed AFP changes using the Attachment D, Request for AFP Change & Certification of Funds Availability Form; E-mail (refer to Attachment D Sample E-mail); or other mechanism, as agreed to by the Headquarters Project/Program Manager.

- NNSA Service Center or Non-NNSA Operations Office Certification of Funds Availability:

The NNSA Service Center or non-NNSA Operations Office will submit the Certification of Funds Availability to the NA-62 Budget Execution Analyst by the **9th**

business day of the month by providing either: (1) the Request for AFP Change Form (Attachment D), with a signed and approved section 8, Field Certification of Funds Availability (For Deobligation) or (2) E-mail (refer to Attachment D, Sample E-Mail -- Certification of Funds Available from the Operations Office). The NA-62 Budget Execution Analyst will ensure that changes requiring the withdrawal of funds from the field have the appropriate certification of funds availability. *Only those officials (or those designated in an acting capacity) listed in the DOE Contacts for Verification of Funds Availability for Withdrawal of Allotted Funds (Attachment E) are authorized to provide certification of funds availability.*

▪ *For Both NNSA Field and/or Headquarters Initiated Changes:*

The responsible NNSA Headquarters Project/Program Manager shall complete, sign/ approve, and submit to the NA-62 Budget Execution Analyst the Request for AFP Change Form (Attachment D) **NLT the 8th business day** of the month in order to be processed in the next month's AFP. Submission of the Request for AFP Change Form is key to ensure the timely and accurate processing of the AFP change(s), but use of E-mail (refer to Attachment D Sample E-mail) will also be accepted. The NNSA Headquarters Project/Program Manager shall ensure that the following information is included on this form: EOC; deliverables and milestones; description of funding changes; and signature (under section 7, Approved By Line).

▪ *Explanation of Change (EOC)*

Every AFP change must include an EOC that identifies the major reason for the change, programmatic impact, and organizations and any contractors affected. The following elements should be included in EOCs, as applicable:

- Major reasons for changes, such as: (a) changes resulting from an approved revision to a DOE base table amount or line item as a consequence of a reprogramming; restructuring; supplemental appropriation; deferral or rescission; (b) any change to a legally or politically sensitive program; (c) any change that will affect employment levels in a Departmental Element; (d) for capital equipment, any change affecting a major item of equipment such as: (1) a major item of equipment (including ADPE) is established; (2) a change of \$500,000 or more is made to an existing line item; or (3) for construction, any change to the funding for a prior year construction project.
- Programmatic impacts;
- Organizations and contractors being affected;
- New activities being initiated due to the changes; and

- Sources of the funding: (a) if a reduction of another activity is involved, the EOC should identify the activity being reduced and an explanation of the rationale for the reduction (e.g., postponement of a project), or (b) release of OMB or DOE reserves.

The information provided in the EOC is used to address inquiries from the CFO, DOE management, General Accounting Office (GAO), OMB and Congress.

The NA-62 Budget Execution Analyst shall ensure that only SIGNED and COMPLETED documentation of the request for AFP changes (i.e., completed Request for AFP Change and Certification of Funds Availability forms) with accompanying EOCs will be accepted as valid requests to execute AFP changes. Again, submission of the Request for AFP Change Form is key to ensure the timely and accurate processing of the AFP change(s), but use of E-mail (refer to Attachment D Sample E-mail) will also be accepted (as the exception). It is the responsibility of the NA-62 Budget Execution Analyst to obtain the appropriate certification of funds availability for changes that require the withdrawal of funds from the field. The NNSA Headquarters changes require the preparation of a Confirmation of Funds Available for Withdrawal memorandum (Attachment F) that has been approved by the Headquarters AFP signature authority.

The NA-62 Budget Execution Analyst will input final AFP data into the Department's Funds Distribution System (FDS) consistent with the approved AFP changes and generate a hard-copy AFP report from FDS and the Financial Explanation of Changes (EOC) report (Attachment G) from NABEX or other appropriate system.

The AFP approving official listed in the NNSA AFP Approving Officials and Contacts (Attachment H) will sign the Headquarters Confirmation of Funds Available for Withdrawal memorandum and approve the AFP and EOCs. The NA-62 Budget Execution Analyst will forward the signed AFPs, EOCs, and Certification of Funds Availability to the DOE CFO NLT **the 15th business day** of the month.

The NA-62 budget staff and NNSA Headquarters Programs will evaluate proposed AFP changes and associated WAs. The responsible Headquarters Program Office will notify the field on the disposition of changes that are not approved.

The DOE CFO will inform the NNSA Budget Execution Analysts that the final AFPs (AFP Confirmed Worksheets) are ready to be printed NLT **the 20th business day** of the month. The DOE CFO will approve and distribute the allotment to the non-NNSA Operations Offices and the NNSA Service Center, and will distribute electronic AFPs, Advice of Allotment and DISCAS Interface Reports to the cognizant non-NNSA Operations Offices, the NNSA Service Center, the NNSA Site Offices and M&Os/Laboratories.

Monthly Work Authorization (WA) Cycle

Work shall be authorized in accordance with the AFP, programmatic guidance, and established procedures for the administrative control of funds. The NA-62 Budget Execution Analyst will generate/update the Work Authorization form (Attachment I) using the information the NNSA Headquarters Project/Program Managers submit on the Request for AFP Change Form (Attachment D). The NNSA Headquarters Project/Program Managers will provide any additional words/deliverables for inclusion on the WA, as needed.

The NA-62 Budget Analyst will concur with the WA prior to transmittal and subsequent approval by the responsible NNSA Headquarters Program WA official. The NA-62 Budget Execution Analyst will forward the updated WA **NLT the 13th business day** of the month to the applicable NNSA Headquarters Program WA official(s) for approval. Only the WA officials listed in the NNSA Work Authorization Signature Authorities (Attachment J) are authorized to sign the WAs.

The authorized NNSA Headquarters Program WA official(s) shall approve and submit the signed WAs **NLT the 20th business day** of the month to the NA-62 Budget Execution Analyst.

The NA-62 Budget Execution Analysts will consolidate and transmit the approved WAs **NLT the 5th business day of the next month** via Work Authorization memorandum (Attachment K provides a sample) to the applicable Operations/Field Office budget contacts, contractor budget office contacts, and contractor program contacts.

The responsible field organization(s) will immediately sign the Headquarters-approved WAs and submit them to the NA-62 Budget Execution Analyst **within 4 weeks of the Work Start Date** listed on the WA. DOE field elements must obtain a signed copy of each WA accepted by the M&O contractor as evidence of acceptance of the WA. Work is not authorized to commence until the contractor receives both funding and the related WA guidance.

Procurement actions (Procurement Requests, Funds Out Interagency Agreements, etc.) with the scope of work attached AND signed by both the Project Manager/Initiator and the Reviewing Official, should be submitted to the appropriate NA-62 analyst for processing within NA-62. NA-62 will review procurement documents for appropriate scope of work and funding citations; coordinate NA-63 review of I.A., as needed; and certify availability of funding.

7. OUT-OF-CYCLE (EMERGENCY) CHANGES. Emergency (or out-of-cycle) allotments are issued when a funding change is required but it would be detrimental to a program, function, or activity to wait for the next regular monthly AFP cycle to process the change. **In all cases, the organization requesting an out-of-cycle allotment must be certain that a bona fide urgent need exists and that such requests are kept to a minimum.**

"Omnibus" out-of-cycle requests ***will not*** be considered. Requests for out-of-cycle allotments must follow the same procedures as normal requests for allotment and approved funding program changes, only on a more accelerated basis.

The Project/Program Manager must submit the justification for an out-of-cycle change to the cognizant NA-62 Budget Analyst. NA-62 staff will prepare the final memorandum for approval by the NA-62 Director (or Deputy Director). Proposed withdrawal of funds from Headquarters components must be accompanied by a completed certification of funds availability (as stated in item number 7 in the following paragraph). The request will then be forwarded to the CFO's Office of Budget for approval.

The request must meet/include CFO requirements as to the need for the emergency change and an explanation of the nature of the emergency. The following information is normally required for AFP or allotment changes:

1. Appropriation Symbol and Title
2. Budget and Reporting Classifications (B&R)
3. AFP recipient(s) being increased
4. AFP recipient(s) being decreased
5. Contract Identification (CID)
6. Dollar amount of changes (+ and -)
7. Certification of funds being withdrawn. The certification must be signed and dated by the DOE Principal or his designee for signing allotment/AFP change requests. The certification must appear as follows:

"I certify that all reductions in allotments resulting from changes, as requested, have been verified with the allottees as being unobligated and available for withdrawal."

Authorized Approving Official

Date

8. **EXECUTION YEAR FUNDS ANALYSES.** NA-62 will generate and distribute monthly financial reports to cognizant NNSA Headquarters Project/Program Managers and staff and support components. The types of reports include but are not limited to: status of obligations and costs; AFPs and work authorization changes; funding by site, etc.
9. **RECORDS.** The following records shall be maintained by the NA-62 Budget Execution Analyst:
 - 1) Initial and monthly approved AFPs [FDS form 1537]
 - 2) Request for AFP Change & Certification of Funds Availability Forms [signed and dated final copies]
 - 3) Work Authorizations [signed and dated final copies]
 - 4) Headquarters Certification Memoranda

- 5) Explanations of Changes
- 6) Copies of the Confirmed Worksheets
- 7) Work Authorization Memoranda
- 8) Latest approved version of the Fiscal Year Program Plans [October 1st Update – “Implementation Plan” and March 1st Update – “5-Year Program Plan”]
- 9) NNSA Execution Year Financial Reports

NNSA Monthly Approved Funding Program (AFP) and Work Authorization (WA) Process

NNSA MONTHLY AFP AND WA PROCESS		
OWNER	ACTION	TYPICAL SCHEDULE (BUSINESS DAYS)
Non-NNSA Operations/NNSA Service Center/Site Office or M&O/Laboratory	<p>FOR FIELD-INITIATED CHANGES (Steps 1a and 1b)</p> <p>STEP 1a: Submit Request for AFP Change Form and initial EOCs [to NNSA Headquarters Program Project/Manager(s) with an information copy to the NA-62 Budget Execution Analyst]. When reducing a site, the EOC must state what work will <u>not</u> be accomplished as a result of the AFP change.</p> <ul style="list-style-type: none"> ▪ Submit proposed AFP changes and initial Explanation of Changes (EOCs) on the Request for AFP Change Form (Attachment D) to the responsible NNSA Headquarters Program/Project Manager(s) with a copy to the NNSA Headquarters (NA-62) Budget Execution Analyst. Complete the EOC section of this Form by providing explanations that describe in sufficient detail the reason(s) for the requested change(s). [If the M&O/Laboratory requested the change, they shall provide the Request for AFP Change Form to the NNSA Service Center or non-NNSA Operations Office official for signature (certifying availability of funding), consistent with the Contacts for Verification of Funds Availability for Withdrawal of Allotted Funds listed in Attachment E]. ▪ Submit any additional programmatic information required by NNSA Headquarters Programs to the applicable NNSA Headquarters program/project contacts to reflect the impact of the change proposed [i.e., NA-25 requires Headquarters Project Managers to submit revised Annex I and overview data to reflect the impact of the proposed changes]. <p><i>Note: Methods other than the Request for AFP Change Form may be used as agreed to between the NNSA Headquarters Programs and the Field to initiate the change request process (i.e., e-mail or fax).</i></p>	NLT 7 th Day
NNSA Service Center / Non-NNSA Operations Office	<p>STEP 1b: Provide Certification of Funds Availability (as required)</p> <ul style="list-style-type: none"> ▪ Where applicable, the NNSA Service Center or non-NNSA operations office official with signature authority will sign and submit the Certification of Funds Availability on the Request for AFP Change Form (Attachment D) to the NA-62 Budget Execution Analyst. Only the authorized officials (Attachment E) may attest to/sign the Certification of Funds Availability. 	By 9 th Day
NA-62 Budget Execution Analyst	<p>STEP 1c: Receive Outstanding Certification of Funds Availability (as required)</p> <ul style="list-style-type: none"> ▪ Ensure receipt of Certification of Funds Availability (for Field changes the Certification is provided on the Request for AFP Change Form; for Headquarters changes, the Certification is provided on the Confirmation of Funds Available for Withdrawal Memorandum (Attachment F). ▪ Confirms Funding Availability for approved changes. <p><i>Note: It is the responsibility of the NA-62 Budget Execution Analyst to obtain the Certification of Funds Availability from the NNSA Service Center or non-NNSA operations office or NNSA Headquarters, as applicable.</i></p>	From 9 th Day to NLT 13 th Day

NNSA MONTHLY AFP AND WA PROCESS		
OWNER	ACTION	TYPICAL SCHEDULE (BUSINESS DAYS)
Headquarters NNSA Program Manager(s)	<p>FOR NNSA HEADQUARTERS INITIATED CHANGES AND FIELD INITIATED CHANGES</p> <p>STEP 2: Approve and submit Request for AFP Change Form (includes initial EOCs) to the NA-62 Budget Execution Analyst</p> <ul style="list-style-type: none"> ▪ Complete (sign) and submit the Request for AFP Change Form (Attachment D) with completed EOCs to the responsible NA-62 Budget Execution Analyst to be processed and reflected in the next month's AFP. Provide explanations that describe in sufficient detail the reason for the requested change(s), along with milestones and deliverables, as appropriate. Also provide explanations that describe what work will not be done as a result of funding withdrawals. <p><i>Note: Submittal of the Request for AFP Change Form by the NNSA Headquarters Programs to the NA-62 Budget Execution Analyst is preferred.</i></p>	NLT 8 th Day
NA-62 Budget Execution Analyst/Budget Analyst	<p>STEP 3: Process AFP and WA Data (in the NNSA Administrative Budget Execution System [NABEX] if appropriate).</p> <ul style="list-style-type: none"> ▪ Budget Execution Analyst receives Request for AFP Change Form and provides to cognizant Budget Analyst for review/information. ▪ Budget Execution Analyst enters and processes the AFP and WA data (in NABEX if appropriate). <p><i>Notes:</i> (1) Some NN programs will continue to maintain existing AFP and WA automated systems. (2) NA-62 Budget Execution Analyst will ensure that the Valid list of NNSA B&R Codes and Appropriation Structure (Attachment B), and Contract Identification Codes (Attachment C) are used when processing the AFPs and WAs.</p>	NLT 10 th Day
NA-62 Budget Execution Analyst/Budget Analyst	<p>STEP 4: Generate/update the Major Operating Contractor Work Authorization (WA) Forms (Attachment I).</p> <ul style="list-style-type: none"> ▪ Budget Execution Analyst enters data on the WAs from the Request for AFP Change forms and any additional information provided by the HQ NNSA Programs. ▪ Budget Execution Analyst forwards completed WA forms to the cognizant Budget Analyst for concurrence prior to transmittal and subsequent approval by the responsible NNSA Headquarters Program WA Official. ▪ Budget Analyst initials the WA forms indicating concurrence and returns to Budget Execution Analyst. 	From 7 th to 12 th Day NLT 12 th Day
Headquarters NNSA Program/ Project Manager(s)	<p>STEP 4a: Provide the words/deliverables to draft WAs.</p> <ul style="list-style-type: none"> ▪ Provide any additional attachments to the WA forms, as needed. ▪ NA-62 Budget Execution Analyst will update the WAs, as needed. 	NLT 11 th Day
NA-62 Budget Execution Analyst	<p>STEP 4b: Forward WAs for Program approval/signature.</p> <ul style="list-style-type: none"> ▪ Transmit completed WA Forms to Programs for approval/signature. 	NLT 13 th Day

Headquarters NNSA Program WA Official(s)	<p>STEP 4c: Approve and sign the WAs and forward to NA-62 Budget Execution Analyst for transmittal to the Field.</p> <ul style="list-style-type: none"> ▪ The Program WA official(s) approve the WA form. Only those officials listed in Attachment J are authorized to sign the WA [unless further delegated by the Programs]. ▪ GO TO STEP 13 <p><i>Note: (1) Programs managed jointly require multiple approval signatures; (2) Each NNSA Program determines the appropriate concurrences required on the WA.</i></p>	NLT 20 th Day
NA-62 Budget Execution Analyst	<p>STEP 5: Generate EOC Report (Attachment G).</p> <ul style="list-style-type: none"> ▪ Generate EOC Report through NABEX (or from individual systems for those programs not linked to NABEX). ▪ Forward Financial EOC Report to the NA-62 Approving Official for approval prior to transmittal to the CFO. 	NLT 14 th Day
NA-62 Budget Execution Analyst	<p>STEP 6: Process AFP in FDS.</p> <ul style="list-style-type: none"> ▪ Input final AFP data into the Department's Funds Distribution System (FDS) consistent with the approved AFP Change(s). ▪ FDS is "locked" for changes ▪ Print hard-copy AFPs (from FDS) and obtain signature of the NA-62 AFP approval authority. 	NLT 14 th Day
Headquarters NNSA AFP Approving Official	<p>STEP 7: Sign the NNSA Headquarters Confirmation of Funds Available for Withdrawal memorandum and approve the AFP (FDS) & EOCs.</p> <ul style="list-style-type: none"> ▪ Sign the NNSA Headquarters Confirmation of Funds Available for Withdrawal memorandum, AFPs [on the Proposed AFP Program Input Worksheet -- FDS Form 1537] and EOCs [from the applicable NNSA database]. Only the approving officials, authorized by signature cards listed in Attachment H, may sign the AFP. 	NLT 14 th Day
NA-62 Budget Execution Analyst	<p>STEP 8: Forward signed AFPs, EOCs, and Certification of Funds Availability to the DOE CFO.</p> <ul style="list-style-type: none"> ▪ AFPs are provided on FDS Form 1537. ▪ EOCs are printed from the applicable database. ▪ Certification of Funds Availability is provided on the Request for AFP Change Forms [for Field Changes] or Certification Memorandum [for HQ changes]. 	NLT 15 th Day
DOE CFO	<p>STEP 9: Review EOCs and AFP Confirmed Worksheets.</p> <ul style="list-style-type: none"> ▪ The CFO reviews the EOCs and informs the NNSA Budget Execution Analysts that the AFP Confirmed Worksheet [FDS Form 1541], which signifies approval of the AFP, is ready to be printed. 	NLT 20 th Day
DOE CFO	<p>STEP 10: Approve and distribute: AFPs (electronic), Advice of Allotments (HQ F 2260.2), and DISCAS Interface Report to responsible non-NNSA Operations Office and NNSA Service Center.</p>	NLT 6 th Day of next month
NA-62 Budget Execution Analyst	<p>STEP 11: Receive approved AFPs.</p> <ul style="list-style-type: none"> ▪ NA-62 Budget Execution Analyst prints the confirmed AFPs from the DOE CFO system. 	Varies

NA-62 Budget Execution Analyst	STEP 12: Issue final, approved EOCs to the Field.	Within 7 th Day of CFO AFP approval
NNSA Service Center/Non-NNSA Operations Offices	STEP 13: Receive the electronic AFPs, Advice of Allotment, and DISCAS Interface Report.	Varies
NA-62 Budget Execution Analyst	<p>STEP 14: Simultaneously issue the final, approved WAs to the cognizant NNSA Service Center, NNSA Site Office or non-NNSA Operations Office.</p> <ul style="list-style-type: none"> ▪ Issue final approved WAs to the NNSA Service Center, NNSA Site Offices or non-NNSA Operations Offices by NA-62 via Work Authorization Transmittal Memorandum (Attachment K). Simultaneous distribution (courtesy copies) will take place for the Service Center and appropriate NNSA Site Offices. <p><i>Note: NNSA program offices may also distribute more detailed programmatic information that will either be included or referenced in the WA form (i.e., more detailed Financial Plan spreadsheets; updated project life-cycle plans; and guidance for preparing quarterly/monthly progress reports, consistent with internal programmatic operations). This will ensure there is a complete picture of the work scope.</i></p>	NLT 5 th Day of next month
Non-NNSA Operations Office/NNSA Service Center/ NNSA Site Office [M&O/Laboratory]	<p>STEP 14a: Sign and submit approved WAs and perform work.</p> <ul style="list-style-type: none"> ▪ Approve and submit signed WAs to the NA-62 Budget Execution Analyst. ▪ Perform work in accordance with the AFP/WA guidance. ▪ Submit required Program/Project progress reports to applicable NNSA Headquarters managers. 	Within 4 weeks of the WA work start date
NA-62 Budget Execution Analyst	<p>STEP 15: Maintain approved AFPs and WAs.</p> <ul style="list-style-type: none"> ▪ Log the signed WAs into tracking system and file hard copies of approved AFPs and WAs. 	Ongoing
HQ NNSA Budget Division	<p>STEP 16: Produce and distribute NNSA Execution Year Financial Reports. <i>Not shown on process flow diagram.</i></p>	Monthly
Headquarters and Field Program Managers	<p>STEP 17: Monitor the performance and reports submitted by the M&O contractors to ensure that work performed and costs incurred conform to the WA issued. <i>Not shown on process flow diagram.</i></p>	Ongoing

Monthly Approved Funding Program (AFP)/Work Authorization (WA) Process

[NNSA Corporate Process for AFP and WA Changes]

