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**BUDGET EXECUTION HEADQUARTERS
APPROVED FUNDING PROGRAM (HQ
AFP) AND WORK AUTHORIZATION
(WA) BUSINESS OPERATION POLICY**



**NATIONAL NUCLEAR SECURITY ADMINISTRATION
Office of Planning, Programming, Budget &
Evaluation**

BUDGET EXECUTION HEADQUARTERS APPROVED FUNDING PROGRAM (HQ AFP) AND WORK AUTHORIZATION (WA) BUSINESS OPERATION POLICY

1. PURPOSE. To provide National Nuclear Security Administration (NNSA) procedures to implement the Headquarters (HQ) 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 (PPBE) System. These procedures:
 - a. Identify the required HQ AFP and WA processes, including the necessary forms and reports;
 - b. Define review and approval authorities for HQ AFPs and WAs;
 - c. NA-62 has fully implemented the NNSA Administrative Budget Execution System (NABEX) to track and create all HQ AFP changes and associated Work Authorizations in conjunction with the DOE/CFO's Funds Distribution System;
 - 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 obligational authority levels for the Fiscal Year and ensure consistency NNSA-wide.
2. CANCELLATIONS. None.
3. APPLICABILITY. The provisions of these procedures apply to DOE NNSA personnel performing NNSA tasks and activities, with the exception of the Office of Naval Reactors and the Office of the Administrator Accounts, which will continue to operate under their existing processes. This procedure was phased-in with the implementation of NABEX in FY 2003.
4. BACKGROUND. This section provides an overview of the NNSA corporate HQ AFP and WA processes and establishes summary procedures for the administrative processing of monthly HQ AFPs and WAs by the Office of Planning, Programming, Budgeting and Evaluation (NA-62). The NNSA HQ program offices shall continue to provide direction and approval of the work to be accomplished. The NNSA monthly HQ 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 HQ AFP and WA cycle. The HQ AFP and WA cycles may vary when operating under a Continuing Resolution (CR). This procedure is consistent with Departmental HQ 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:

- 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.

NNSA Issues "Budget Execution Guidance" annually, requesting deliverables for the upcoming execution year, and provides timelines associated with these deliverables.

The NNSA (with the exception of Naval Reactors and Office of the Administrator) transitioned during FY 2003 to an automated system for administrative processing of HQ AFPs and WAs (NABEX) that is consistent with Departmental and NNSA requirements.

Headquarters Approved Funding Program (HQ AFP)

The DOE funds distribution process uses the HQ AFP to provide programmatic funding guidance consistent with applicable limitations and enables funding transfers among HQ, the NNSA Service Center, NNSA Site Offices, non-NNSA Operations Offices, and 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. The 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 HQ AFP input and is submitted quarterly to Congress. The HQ AFP contains planned funding guidance by B&R in more detail than is contained in the Base Table. Changes to the HQ 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 HQ AFP is the financial guidance controlling the distribution of DOE's obligational authority in compliance with all legal and administrative controls. The HQ AFP reflects the current obligational 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 HQ AFP also provides the funds levels necessary to support the WAs. The HQ AFP provides:

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

Typically, the initial HQ AFP is issued (for information only) by the CFO in mid-September, and is effective October 1, the first day of the fiscal year, when a new allotment is released.

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 (CR). The allotment provides the actual obligational authority, which can be applied according to the amounts in the HQ AFP. The allotment, not the HQ AFP, determines the amount of actual dollars/funding available for programs and projects. The CFO is responsible for coordinating this effort in the Department. The CFO issues the allotment to the allotment holders, such as the NNSA Service Center, Savannah River Operations Office, HQ, and the Oak Ridge Operations Office. The allotment holders issue local AFPs and prepare input for Management and Operating (M&O) contract modifications.

Work Authorizations. The 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 Program/Project 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 HQ AFP, which represents the total obligational authority for the current fiscal year. (Note: During a CR WAs will not reflect the limited funding allotted and reflected in the local AFPs). The WAs are approved by program managers at NNSA HQ, and concurred on and signed by the NNSA Service Center, NNSA Site Offices, non-NNSA Operations Offices, M&O contractors and other contractors. The 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, work plans, and other guidance specifically tasked and approved by the responsible HQ managers. 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). 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 Program/Project Manager(s), shall prepare WAs that are consistent with the HQ AFP and reflect the work scope defined in the 5-Year Program Plans, Implementation Plans, or annual work plans.

After NNSA HQ approves the WAs, the WAs are routed to the appropriate non-NNSA Operations Offices, NNSA Service Center, NNSA Site Offices (e.g., Livermore, Los Alamos, Nevada, Sandia, Kansas City, Pantex, Savannah River, Y-12), and M&O contractors for signature and execution of associated work scope. An official and authorized M&O signature on the WA indicates an understanding of the work authorization; and responsibility for performance of all related work within the terms and conditions of the contract, including satisfying all relevant legal, regulatory, Integrated Safety Management (ISM) and Integrated Safeguards and Security Management (ISSM) requirements. Copies of WAs are sent to the Service Center for their reference. The M&Os are responsible for sending all signed WAs to NA-62's centralized email box (HQWAS@ns.doe.gov), with a "cc:" to their Site Office contact to verify the WA has been returned to NA-62. The prompt return of WA assures prudent federal oversight and sound financial management.

The operating procedures for WA approval at the Site Offices are the responsibility of each office. As part of the AFP/WA Reengineering study and six-sigma mapping process, it is the intention to standardize operations wherever possible.

5. MONTHLY HQ AFP AND WA CYCLE. This section describes the monthly NNSA corporate HQ AFP and WA cycle. The process centralizes the administrative processing of the HQ AFPs and WAs within NA-62. The primary responsibility for processing the NNSA's HQ AFPs and WAs at HQ resides with a core team of NA-62 Budget Execution Analysts who work with the applicable program/project contacts, NA-62 Budget

Analysts, managers, Program Integration Offices, and DOE Chief Financial Officer staff to ensure that Departmental and NNSA HQ AFP and WA requirements have been satisfied. The automation of the NNSA's HQ 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 HQ AFP and WA process flow diagram, action steps and schedule; and the accompanying attachments B through I provide standard HQ AFP and WA formats, and Procurement Guidance guidance. The approval authority lists, HQ Program contacts, and other related guidance documents will be updated as changes occur and posted on the NNSA PPBE Intranet for future reference at <http://hq.na.gov/ppbe>.

- a. Monthly Approved Funding Program (HQ AFP) Cycle. Funding transfers between NNSA HQ 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 HQ AFP changes and certification documentation. The NNSA Program Managers/Project Managers and the Defense Programs Integration Office must coordinate changes with the appropriate Site Office and M&O before changes are reflected in the HQ AFP. To assist this coordination effort, NA-62 will maintain and post the financial points of contact for each Site Office and M&O on the PPBE Intranet Site. Then NA-62 will request necessary HQ AFP changes through the DOE CFO in accordance with established procedures for the administrative control of funds. In preparing the HQ AFP, the most current, valid list of NNSA B&R Classification Codes and Appropriation Structure and DOE/CFO's Allottee – Reporting Entity Codes shall be used. These attachments will be updated, as changes occur, and posted on the NNSA Intranet Site at <http://hq.na.gov/ppbe>.

In addition, the HQ Program/Project Managers will forward any necessary Procurement documents (Procurement Requests, Grants, Earmarks, Funds Out Interagency Agreements (I.A.), HQ Funding Memos, etc.) with the scope of work attached *and* signed by both the Program/Project Manager/Initiator and the Reviewing Official should be submitted to the appropriate NA-62 Budget Execution Analyst for processing within NA-62. NA-62 will review procurement documents for appropriate scope of work and funding citations; and verify availability of funding. For additional information please see NNSA Procurement Request Processing Procedures (Attachment I)

The HQ, non-NNSA Operations Offices, NNSA Service Center, NNSA Site Offices, M&Os, Laboratories/Plants (as applicable) may initiate the HQ AFP change process by submitting requested HQ AFP changes to the NNSA HQ Program/Project Managers with an information copy to the NA-62 Budget Execution Analyst. It is expected that the NNSA Program/Project Managers will

initiate and/or approve HQ 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:

- (1) *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 HQ AFP, while including an initial Explanation of Change (EOC), and send the proposed change to the appropriate HQ Program/Project Manager(s) or Defense Programs Integration Office with an information copy to the NA-62 Budget Execution Analyst **no later than (NLT) the 2nd business day** of the month. The field organization may submit proposed HQ AFP changes by sending their change request to the HQ Program Managers for them to include on their NA-62 Standard AFP Input Sheet for HQ Programs (Attachment B) or they can request a change by completing the Site Initiated Transfer of Funds Funding Change Request Form /Inter-site Transfer Form (Attachment C) and associated DOE/CFO Request for Certification of Funds Available for Withdrawal (Attachment D).
- (2) *For Both NNSA Field and/or HQ Initiated Changes:* The responsible NNSA HQ Program/Project Manager shall complete the NA-62 Standard AFP input sheet for HQ Programs (Attachment B), and submit to the NA-62 Budget Execution Analyst **NLT the 5th business day** of the month in order to be processed in the next month's HQ AFP. Submission of the NA-62 Standard AFP Input Sheet for HQ Programs ensures the timely and accurate processing of the HQ AFP change(s). The NNSA HQ Program/Project Manager shall ensure that the following information is included on this form: Month of change; fund type; Year funds were appropriated; fund classification (NOA, unobligated, uncosted); decrease (site/B&R); increase (site/B&R); amount; and EOC.

The NA-62 Budget Execution Analyst and NNSA HQ Programs will evaluate proposed HQ AFP changes proposed by the field. The responsible HQ Program Office will notify the field on the disposition of changes that are not approved.

- (3) *NNSA Service Center or Non-NNSA Operations Office Certification of Funds Availability:* The NNSA Service Center or non-NNSA Operations Office will submit the DOE/CFO Request for Certification of Funds

Available for Withdrawal (Attachment D) to the NA-62 Budget Execution Analyst by the **9th business day of the month** by providing both: (1) DOE/CFO Request for Certification of Funds Available for Withdrawal (Attachment D) and (2) Request for HQ AFP Change & Certification of Funds Availability /NABEX request form (Attachment E). 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 are authorized to provide certification of funds availability.*

- b. Explanation of Change (EOC). Every HQ 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:
- (1) 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; or (d) for capital equipment, any change affecting a major item of equipment.
 - (2) Organizations and contractors being affected;
 - (3) New activities being initiated due to the changes; and
 - (4) Sources of 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 completed NA-62 Standard AFP Input Sheet for HQ Programs (Attachment B) will be accepted as valid requests to execute HQ AFP changes. Again, submission of the Request on the NA-62 Standard AFP Input Sheet for HQ Programs Form is critical to ensuring the timely and accurate processing of the HQ AFP change(s). It is the responsibility of the NA-62 Budget Execution Analyst to obtain the appropriate DOE/CFO Request for Certification of Funds Available for Withdrawal (Attachment D) documentation for changes that require the withdrawal of funds from the field and HQ.

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

The HQ AFP approving official listed in the NNSA AFP Approving Officials and Contacts will sign the DOE/CFO Request for Certification of Funds Available for Withdrawal (Attachment D) for HQ and approve the HQ AFP and EOCs. The NA-62 Budget Execution Analyst will forward the NA-62 signed HQ AFPs, EOCs, and DOE/CFO Request for Certification of Funds Available for Withdrawal to the DOE CFO by the due dates identified on the DOE/CFO's Budget Execution Calendar (on or about **the 15th business day** of the month).

The DOE CFO will inform the NNSA Budget Execution Analysts that the final HQ AFPs (HQ AFP Confirmed Worksheets) are ready to be printed **on or about 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 HQ AFPs, Advice of Allotment and STARS Interface Reports to the cognizant non-NNSA Operations Offices, the NNSA Service Center, the NNSA Site Offices, M&Os, and Laboratories.

c. Monthly Work Authorization (WA) Cycle. Work shall be authorized in accordance with the HQ 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 G) using the information the NNSA Headquarters Program Office submits on the NA-62 Standard AFP Input Sheet for HQ Programs (Attachment B). The NNSA HQ Program/ Project Managers will provide the following for inclusion on the WA, as needed:

- (1) Any lengthy Explanations of Change (EOC) attachments.
- (2) Any Lower Level B&R table or chart attachments.
- (3) Procurement documents (Procurement Requests, Grants, Earmarks, Funds Out Interagency Agreements (I.A.), HQ Funding Memos, etc.) with the scope of work attached AND signed by both the Program/Project Manager/Initiator and the Reviewing Official should be submitted to the appropriate NA-62 Budget Execution Analyst for processing within NA-62. For additional information please see NNSA Procurement Request Processing Procedures (Attachment I).

The NA-62 Budget Analyst will concur on all WAs prior to transmittal and subsequent

approval by the responsible NNSA Headquarters Program Contacts List. The NA-62 Budget Execution Analyst will forward the updated WA NLT the 13th business day of the month to the applicable NNSA HQ Program WA official(s) for approval. Only the WA officials listed on the NNSA Service Center's Official COR list at: <http://scweb.na.gov/procurement/MoCORAndWorkAuth.shtm> is authorized to sign the WAs.

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

The NA-62 Budget Execution Analysts will consolidate and transmit the approved WAs with the CFO's allotment (on or about **the 10th business day of the next month**) via WA Transmittal Memorandum (Attachment H 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 NA-62's centralized WA box at "HQWAS@ns.doe.gov" **within 4 weeks of the Work Start Date** listed on the WA. The 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 the applicable signed WA, the appropriate allotment via the local AFP, and the associated contract modification.

See Attachment J for detailed six-sigma mapping of the AFP/Work Authorization Process.

6. OUT-OF-CYCLE (EMERGENCY) CHANGES. Emergency (or out-of-cycle) AFP and allotments are issued when a funding change is required and would be detrimental to a program, function, or activity to wait for the next regular monthly HQ 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. Requests for out-of-cycle AFP and allotments must follow the same procedures as normal requests for allotment and approved funding program changes, only on a more accelerated basis.

The Program/Project Manager must submit a detailed justification for an out-of-cycle change to the cognizant NA-62 Budget Analyst. The NA-62 staff will prepare the final memorandum for approval by the NA-62 Director (or designee). Proposed withdrawal of funds from HQ components must be accompanied by a completed DOE/CFO Request for Certification of Funds Available for Withdrawal (Attachment D) (as stated in item number seven 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 emergency HQ AFP or allotment changes:

- a. Appropriation Symbol/Fund Value.
- b. Budget and Reporting Classifications (B&R)/STARS Program Value.
- c. HQ AFP recipient(s)/reporting entity being increased.
- d. HQ AFP recipient(s)/reporting entity being decreased.
- e. Contract Identification (CID).
- f. Dollar amount of changes (+ and -).
- g. Certification of funds being withdrawn. The certification must be signed and dated by the DOE Principal or his designee for signing allotment/HQ 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

7. EXECUTION YEAR FUNDS ANALYSES. The NA-62 will generate and distribute monthly financial reports to cognizant NNSA HQ Project/Program Managers and staff and support components. The types of reports include but are not limited to: status of obligations and costs; HQ AFPs and work authorization changes; funding by site, etc.
8. RECORDS. The following records shall be maintained in NA-62:
 - a. Initial and monthly approved HQ AFPs [FDS form 1537].
 - b. Request for HQ AFP Change & Certification of Funds Availability Forms [signed and dated final copies].
 - c. Work Authorizations [signed and dated final copies]
 - d. Headquarters Certification Memoranda.
 - e. Explanation of Changes.
 - f. Copies of the Confirmed Worksheets.
 - g. Work Authorization Transmittal Memoranda.
 - h. Draft and Final Implementation Plans.

- i. NNSA Execution Year Financial Reports.
 - j. All backup correspondence material relating to monthly AFP changes.
9. ROLES AND RESPONSIBILITIES. The Office of Planning, Programming, Budgeting and Evaluation (NA-62) shall centrally administer the Approved Funding Program (AFP) and Work Authorization (WA) processes within the NNSA, consistent with Departmental requirements. Specifically:
- a. NA-62 shall:
 - (1) Coordinate with the NNSA Headquarters Program/Project Managers to process monthly AFPs and WAs, in accordance with DOE and NNSA requirements;
 - (2) Review and approve all input provided on the NA-62 Standard AFP Input Sheet for HQ Programs;
 - (3) Review, approve, and track DOE/CFO Request for Certification of Funds Available for Withdrawal for the Field and prepare certs for HQ;
 - (4) Run all necessary IDW reports to confirm funds availability;
 - (5) Input all AFP changes into NABEX;
 - (6) Assist their Project/Program Managers and staff in the resolution of problems or errors relating to budget execution;
 - (7) Process AFP data in the Department's Funds Distribution System (FDS);
 - (8) Provide the applicable NA-62 AFP Approving Official with AFPs, EOCs, and DOE/CFO Request for Certification of Funds Available for Withdrawal for approval prior to transmittal to the DOE CFO for final approval;
 - (9) Receive and review the AFP Confirmed Worksheet;
 - (10) Distribute final WAs, EOCs and other execution documents, as required, to the responsible NNSA Service Center/NNSA Site Offices/Non-NNSA Operations/Field Offices, laboratories, plants, and Headquarters program managers;

- (11) Transmit the NNSA's WAs (which have been approved by the appropriate Project/Program WA signature authority) to the cognizant Headquarters and Field organizations via WA memorandum;
- (12) Maintain central NNSA budget execution files to include all approved AFPs, WAs, EOCs, DOE/CFO Request for Certification of Funds Available for Withdrawal forms and related documents;
- (13) Review monthly DOE financial reports to ensure proper internal controls;
- (14) Advise the Program/Project Manager of options available to accomplish requested AFP changes, i.e., internal reprogramming possibilities;
- (15) Provide NNSA approval of all AFPs (in accordance with signature authority) and Explanations of Change (EOC) and review Certification of Funds Availability documentation prior to transmittal to the DOE CFO for final approval.

b. The responsible NNSA Program/Project Office shall:

- (1) Prior to requesting any AFP change(s), verify that every effort has been made to fund new or additional requirements within the ceiling established by the AFP;
- (2) Jointly work with the Field Offices and M&O contractors to reach an acceptable scope of work with the associated funding levels;
- (3) Complete and transmit the NA-62 Standard AFP Input Sheet for HQ Programs to the NA-62 Budget Execution Analyst by the 5th work day of every month.
- (4) Provide Explanations of Changes (EOCs) that describe in sufficient detail the reason(s) for the requested change;
- (5) Provide any additional programmatic information needed to satisfactorily complete the WA and approve the WAs in accordance with signature authority;
- (6) Reference the applicable Implementation Plan(s) in the WA, as appropriate.

c. The NNSA Service Center/NNSA Site Offices/Non-NNSA Operations Office shall:

- (1) Certify that reductions in allotments resulting from the requested AFP change are unobligated and are available for withdrawal. (Allotment holders only):
- (2) Perform local AFP Process.
- (3) Authorize work in accordance with the approved funding program, programmatic guidance, and established procedures for administrative control of funds.
- (4) Review all proposed work authorizations to M&O contractors under their cognizance to ensure that they are appropriate for performance by an M&O; are within the mission of the M&O selected; and for M&Os with institutional plans, are within the scope and general levels of efforts agreed upon.
- (5) Ensure that the contractor provides a signed copy of the work authorization to the NA-62 centralized email box at HQWAS@ns.doe.gov, and all required reports to the Program Secretarial Officers as required.

10. 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 135.1A, Budget Execution-Funds Distribution and Control; extended by DOE N 135.1A, Extension of DOE O 135.1A, Budget Execution-Funds Distribution and Control; accompanied by DOE M 135.1-1.A Budget Execution Funds Distribution and Control Manual.

- d. DOE O 412.1A, Work Authorization System.
 - e. DOE G 120.1-5, Guidelines for Performance Measurement.
11. OTHER INFORMATION. The following documents will be updated as changes occur and posted on the NNSA PPBE Intranet Site at (<http://hq.na.gov/ppbe>):
- a. Valid list of NNSA Budget and Reporting (B&R) Classification Codes and Appropriation Structure
 - b. DOE/CFO's Allottee – Reporting Entity Codes
 - c. DOE Contacts for Verification of Funds Availability for Withdrawal of Allotted Funds
 - d. NNSA Approved Funding Program Approving Officials and Contacts
 - e. NNSA Headquarters' Program Contacts
 - f. NNSA Service Center's Official COR List
12. CONTACT. The NNSA, Office of Planning, Programming, Budgeting and Evaluation, NA-62, 301-903-3334.



MICHAEL C. KANE
Associate Administrator
For Management & Administration

- ATTACHMENT A: NNSA Monthly Approved Funding Program and Work Authorization Process
- ATTACHMENT B: NA-62 Standard AFP Input Sheet for HQ Programs
- ATTACHMENT C: Site Initiated Transfer of Funds Funding Change Request Form/Inter-Site Transfer Form
- ATTACHMENT D: DOE/CFO Request for Certification of Funds Available for Withdrawal
- ATTACHMENT E: Request for HQ AFP Change & Certification of Funds Availability /NABEX request form
- ATTACHMENT F: Financial Explanation of Changes (EOC) – Transactions by Funding Program and Major Operating Contractors
- ATTACHMENT G: Sample Work Authorization
- ATTACHMENT H: Sample WAs Transmittal Memorandum
- ATTACHMENT I: NNSA Procurement Request Processing Procedures
- ATTACHMENT J: Detailed Six-Sigma Mapping of the AFP/Work Authorization Process

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/M&O/	<p>FOR CHANGES INITIATED BY THE FIELD (I.E., NON-NNSA OPERATIONS OFFICE, NNSA SERVICE CENTER, NNSA SITE OFFICE, M&O LABORATORY/PLANT) (Steps 1a and 1b)</p> <p>STEP 1a: Submit NA-62 request for AFP change and initial Explanation of Changes (EOCs) to NNSA Headquarters Program Project/Manager(s) with an information copy to the NA-62 Budget Execution Analyst. When increasing/reducing a site, the EOC must state what work will or will not 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) to the appropriate NNSA Headquarters Program/Project Manager(s) or Defense Programs Integration Office with an information copy to the NA-62 Budget Execution Analyst no later than (NLT) the 2nd business day of the month. The field organization may submit proposed HQ AFP changes by sending their change request to the HQ Program Office for them to include on their NA-62 Standard AFP Input Sheet or they can request a change by completing the Site Initiated Transfer of Funds Funding Change Request Form/Inter-site Transfer Form (Attachment (E) and associated DOE/CFO Request for Certification of Funds Available for Withdrawal (Attachment (F)). 	NLT 2 nd 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 can sign and submit the DOE/CFO Request for Certification of Funds Available for Withdrawal to the NA-62 Budget Execution Analyst. 	By 9 th Day
NA-62 Budget Execution Analyst	<p>STEP 1c: Confirms funding availability for approved changes identified on the NA-62 Standard AFP Input Sheet and the DOE/CFO Request for Certification of funds Available for Withdrawal.</p>	9 th Day to NLT 13 th Day
Headquarters NNSA Program Office	<p>FOR NNSA HEADQUARTERS INITIATED CHANGES AND FIELD INITIATED CHANGES</p> <p>STEP 2: Approve and submit NA-62 Standard AFP Input Sheet (includes initial EOCs) to the NA-62 Budget Execution Analyst.</p> <ul style="list-style-type: none"> ▪ The responsible NNSA Headquarters Program/Project Office shall complete the NA-62 Standard AFP Input Sheet for HQ Programs (Attachment D) and submit to the NA-62 Budget execution Analyst NLT the 5th business day of the month in order to be processed in the next month's HQ AFP. Submission of the NA-62 Standard AFP Input Sheet ensures the timely and accurate processing of the HQ AFP change(s). The NNSA Headquarters Program/Project Office shall ensure that the following information is included on this form: Month of change; fund type; fund FY; fund classification (NOA, unobligated, uncosted); decrease (site/B&R); increase (site/B&R); amount; and EOC. 	NLT 5 th Day

NNSA MONTHLY AFP AND WA PROCESS		
OWNER	ACTION	TYPICAL SCHEDULE (BUSINESS DAYS)
NA-62 Budget Execution Analyst/Budget Analyst	<p>STEP 3: Process AFP and WA Data in the NNSA Administrative Budget Execution System [NABEX].</p> <ul style="list-style-type: none"> Budget Execution Analyst receives NA-62 Standard AFP Input Sheet to review and approve. Budget Execution Analyst enters and processes the AFP and WA data in NABEX. 	NLT 7 th Day
NA-62 Budget Execution Analyst/Budget Analyst	<p>STEP 4: Generate/Update Work Authorizations.</p> <ul style="list-style-type: none"> Budget Execution Analyst enters data on the WAs from the NA-62 Standard AFP Input Sheet 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. 	8 th to 10 th Day
Headquarters NNSA Program/ Project Office	<p>STEP 4a: Provide the EOCs/ attachments for WAs.</p> <ul style="list-style-type: none"> Provide any additional attachments to the WA forms so NA-62 Budget Execution Analyst can update the WAs, as needed. 	NLT 11 th Day
NA-62 Budget Execution Analyst	<p>STEP 4b: Transmit completed WAs to Programs for approval/signature.</p>	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. Only authorized officials may sign the WAs. GO TO STEP 13 	NLT 28 th Day
NA-62 Budget Execution Analyst	<p>STEP 5: Generate EOC Report through NABEX (Attachment F).</p>	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 NA-62 Standard AFP Input Sheet. FDS is "locked" for changes Print hard-copy AFPs (from FDS) and obtain signature of the NA-62 AFP approval authority. Attach EOC Report. 	NLT 14 th Day
Headquarters NNSA AFP Approving Official	<p>STEP 7: Sign the DOE/CFO Request for Certification of Funds Available for Withdrawal and Approve the AFP and EOCs.</p> <ul style="list-style-type: none"> Sign the NNSA Headquarters DOE/CFO Request for Certification of Funds Available for Withdrawal, HQ AFPs and attach EOCs. Only authorized approving officials may sign the AFP. 	NLT 14 th Day

NNSA MONTHLY AFP AND WA PROCESS		
OWNER	ACTION	TYPICAL SCHEDULE (BUSINESS DAYS)
DOE CFO	STEP 8: Review AFP/EOCs. <ul style="list-style-type: none"> ▪ The CFO reviews the AFP/EOCs and informs the NNSA Budget Execution Analysts that the Confirmed AFP Report is ready to be printed. 	NLT 20 th Day
DOE CFO	STEP 9: Approve and distribute the AFPs (electronic), Advice of Allotments and STARS Report to responsible non-NNSA Operations Office and NNSA Service Center.	NLT 6 th Day of next month
NA-62 Budget Execution Analyst	STEP 10: Print approved AFPs. <ul style="list-style-type: none"> ▪ NA-62 Budget Execution Analyst prints the confirmed AFPs from FDS. 	Varies
NA-62 Budget Execution Analyst	STEP 11: Issue Final EOCs to the Field/NNSA Service Center.	Within 7 th Day of CFO AFP Approval
NNSA Service Center/Non-NNSA Operations Offices	STEP 12: Receive the Confirmed FDS/AFP Report.	Varies
NA-62 Budget Execution Analyst	STEP 13: Issue the final, approved WAs to the cognizant NNSA Service Center, NNSA Site Office, non-NNSA Operations Office, or M&O Contractor.	NLT 6-8 th Day of next month
Non-NNSA Operations Office/NNSA Service Center/NNSA Site Office/M&O/Lab	STEP 13a: Sign and return approved WAs and perform work. <ul style="list-style-type: none"> ▪ Approve and return signed WAs to the NA-62 centralized email box. ▪ 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	STEP 14: Maintain approved AFPs and WAs. <ul style="list-style-type: none"> ▪ Log the signed WA data into the NABEX tracking report and file hard copies. ▪ Save all signed WAs on O:\NNSA Work Authorizations. ▪ Maintain hard copy of all AFPs. 	Ongoing
NA-62	STEP 15: Produce and distribute NNSA Execution Year Financial Reports.	Monthly
Headquarters and Field Program Offices	STEP 16: Monitor the performance and reports submitted by the M&O contractors to ensure that work performed and costs incurred conform to the WAs.	Ongoing

Service Center APP Transfer #

**SITE INITIATED
TRANSFER OF FUNDS
FUNDING CHANGE REQUEST FORM**

DATE:	
Originated By:	
Phone:	

Previous IC Purchase Order #	Site AFP Transfer #
Cost Center	Program Code

Fiscal Year	Fund Code (STARS Value)	B&R Legacy (PRN if needed)	B&R STARS (Program Value)	Site From (Reporting Entity)	Site To (Reporting Entity)	Amount

Name	Org	Phone	Fax #
Technical Contact for Initiating Site:			
Financial Contact for Initiating Site:			
Technical Contact for Receiving Site (if known):			
Financial Contact for Receiving Site (if known):			

STATEMENT OF WORK: (Include Milestones and Deliverables as Applicable)

TASK 1	Total Est. Cost	From Date	To Date	Previous Amount	Current Amount	Revised Total
PERIOD OF PERFORMANCE:						

TASK 2	Total Est. Cost	From Date	To Date	Previous Amount	Current Amount	Revised Total
PERIOD OF PERFORMANCE:						

Site Program Approval:

I have contacted the Headquarter Program staff and they have approved this transfer.

Approved by Site Program Official _____

Signature _____

Date _____

Site Financial Approval:

We have funds available for this transfer based on our submitted cost file to NNSA and internal systems.

Approved by Site Financial Staff _____

Signature _____

Date _____

Reserved for M&O use
Do not change
Data Entry

FY 2007 REQUEST FOR AFP CHANGE & CERTIFICATION OF FUNDS AVAILABILITY

U.S. DEPARTMENT OF ENERGY
National Nuclear Security Administration (NNSA)
Approved Funding Program (AFP) Change
Month: AUG FY: 2007

1. Originator: Cathy Williams **Phone:** 301-903-1464 **Date:** 08/20/07 **AFP ID :** 10127

Program Office: Office of Planning, Programming, Budgeting, and Evaluation

2. Explanation of Change:

Reflects transfer of funds from HQs to the NNSA SC to enable the transfer of Support Service contracts/tasks orders as follows: NA28178 \$250,000 and NA28178 \$950,000. (DP0901350)

3. Deliverables and Milestones:

4. Funding Change:

5. Change Type: Emergency Allotment

6. Fund Type: TC/00900

INCREASE

B&R Code and Title:	DP0901000/2719934 - RTBF - Operations of Facilities
Amount [Budget Authority]:	1,200,000
Funding/Change Type:	NOA/NOA
Operations Office / M&O Contractor:	NNSA Service Center

DECREASE

B&R Code and Title:	DP0901000/2719934 - RTBF - Operations of Facilities
Amount [Budget Authority]:	1,200,000
Funding/Change Type:	NOA/NOA
Operations Office / M&O Contractor:	Headquarters

7. Approved By:

Headquarter Project/Program Manager: Pizzariello, Phil / (301) 903-7736

Date

8. Field Certification of Funds Availability (For Deobligation):

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

--SAMPLE FORMAT--

United States Department of Energy
Financial Explanation of Changes
Transactions by Funding Program
Year XX Month

Appropriation Symbol and Title:
Fund Type:
Line Item (NN):

B&R Code	B&R Title	Operations Office	Contractor	Change	Explanation
----------	-----------	----------------------	------------	--------	-------------

N Change Type Total
3 Funding Category Total
Total Funding Program

United States Department of Energy
Financial Explanation of Changes
Major Operating Contractors Report
Year XX Month

Appropriation Symbol and Title:
Fund Type:
Line Item (NN):

B&R Code	B&R Title	Operations Office	Contractor	Change	Explanation
----------	-----------	----------------------	------------	--------	-------------

N Change Type Total
3 Funding Category Total
Total Funding Program

NOTE: Drop Down Menu for the totals:

Change Type:

- I = Initial
- B = Final Appropriation
- N = Normal (Default)
- D = DOE Reserve
- F = Future Quarter
- R = Reprogramming
- A = Appropriation Transfer
- C = Internal Reprogramming

Funding Category:

- 1 = Operating & Maintenance
- 2 = Construction

DOE O 412.1

THIS IS A TESTING SITE

U.S. DEPARTMENT OF ENERGY
Major Operating Contractor (MOC) Work Authorization
Work Authorization

1. **A. Project Title:** Nonproliferation and International Security

B. Field Work Proposal No.:

(If applicable)

Name and Signature

Org. Code:

Phone:

2. **HQ Program POC:** _____

3. **HQ Budget POC:** Blom, Paul NA-62 301-903-3073

4. **Responsible Program Office:** Assistant Deputy. Admin. for Nonproliferation and International Security

5. **Responsible Program Secretarial Officer:** Deputy Administrator for Defense Nuclear Nonproliferation

Name

Contact

Phone:

6. **Responsible Site/Project Office:** Los Alamos

7A. **MOC Contractor Name:** Los Alamos National Security, LLC

7B. **Point of Contact:**

8. **Work Authorization:** NN401477/LANS (NS/01551) 8a. **Approp. Symbol:** 89X0309 9. **Revision:** 0

10. **Funds Hereby Authorized :**

B&R No.	FY 2007 Initial Amount	Prior Changes To Date	YTD Amount	Current Changes	FY 2007 Revised Amount
NN4000000/2720189 (NOA)	0	0	0	970,000	970,000
Totals	0	0	0	970,000	970,000

11. **Performance Period:** 10/01/06 to 09/30/07

12. **Work Start Date:** 05/11/07

13. **Expected Completion Date:** Continuing

Name and Signature

Org. Code

Date

16. **Work Authorization Official:** _____

NA-24

Cindy Lersten

17. **Site/Project Office Official:** _____

Catherine A. Williams

18. **MOC Contractor Name:** _____

Please return signed Work Authorizations to NA-62's centralized WAS email box (HQPAS@ns.doe.gov), within 4 weeks of the start date identified in item 12.

Work Authorization - Statement of Work

14. **Statement of Work:** (May AFP) NN401477/LANS (NS/01551) Revision 0

General Guidance

Funding distributed in the Approved Funding Program (AFP) reflects allocation of funding consistent with the Continuing Appropriation Resolution FY 2007(P.L. 110-5). FY07 Funding made available prior to February 15 was determined by allotments resulting from Continuing Resolutions until final action occurred. Funding adjustments have been made, as necessary, to reflect the allocations consistent with the Continuing Appropriation Resolution (P.L. 110-5).

DOE/NNSA Strategic Themes and Goals:	
Strategic Theme, Nuclear Security: Ensuring America's Nuclear Security.	
1.	NUCLEAR DETERRENT: Transform the Nation's nuclear weapons stockpile and supporting infrastructure to be more responsive to the threats of the 21st Century.
2.	WEAPONS OF MASS DESTRUCTION: Prevent the acquisition of nuclear and radiological materials for use in weapons of mass destruction and in other acts of terrorism.
3.	NUCLEAR PROPULSION PLANTS: Provide safe, militarily-effective nuclear propulsion plants to the U.S. Navy.

NN4001050 Net zero changes \$35,000 from 24.241.3.2.3.4 to 24.241.3.2.3.2 for HQ support on Technical issues; move \$2,982.96 from 24.241.3.2.1 to 24.241.3.2.3.2 for HQ support on technical issues;\$15,000 from Task 1 to Task 4 for participating in special monitoring visits to Russian sites POC: Elena Thomas (202) 586-9990

\$400,000 to 24.241.3.3.4 for participating in special monitoring visits to Russian sites; \$60,000 to 24.241.3.3.6 for project coordination with other laboratories and HQ; POC: Elena Thomas (202) 586-9990

NN4003010 \$60,000 from 24.243.99.4 ECH990 to 24.243.10.10.4.6 SP-001 for speical projects; \$20,000 from 24.243.99.4 ECH990 to 24.243.10.4.1 for funding of PIA - POC: Dunbar Lockwood 202-586-6951

NN4002030 Net Zero change : \$185,000 from 24.242.4.4.9 for work associated with the recently signed SCORES action sheet - POC: John Kerr

NN4004011 \$100,000 to 24.243.1.1.12 for Sensitive Software assesment - POC: Anatoli Weihozkiy (202) 586-2155

NN4004030 \$95,000 to 24.243.4.1.2.5 for Primary support for ITAG POC: Pritham Tanno (202) 586-2271

NN4001020 \$75,000 to 24.243.5.2.1.2.9 for LLNL to work with Lew Dunn on Cooperative Security Mgmt under Article VI of the NPT project. \$1000 to 24.243.5.2.1.4. for continuing nonproliferation support provided by Lewis Dunn and LLNL on NPT issues POC: Sean Oehibert (202) 586-3806.

NN4005000 \$60,000 to 24.245.1.3.32 Issues Support for Fundamental Safeguards Review. POC: Toby Dalton (202) 586-4806.

15. **Reporting Requirements:**

As required by DOE O412.1, you will provide a minimum of one technical progress report, a final technical report at the termination of the work assignment, and an annual report of costs incurred in relation to authorization funding. Currently, the financial reporting requirement for the Standard Accounting and Reporting System (STARS) will support Headquarters' requirements for monitoring obligations and costs associated with this work authorization.




Department of Energy
National Nuclear Security Administration
Washington, DC 20585



August 9, 2007

MEMORANDUM FOR: Director, NNSA Service Center
Director, Budget Services Division, Idaho Operations Office
Director, National Energy Technology Laboratory (NETL)
Director, Budget Division, Chicago Operations Office
Manager, Richland Operations Office
Manager, Pacific Northwest Site Office
Manager, Nevada Site Office
Manager, Lexington Project Office
Manager, Livermore Site Office
Manager, Los Alamos Site Office
Manager, Sandia Site Office
Manager, Pantex Site Office
Manager, Savannah River Site Office
Manager, Y-12 Site Office
Manager, Kansas City Site Office
Site Manager, Oak Ridge National Laboratory
Director, Lawrence Berkeley National Laboratory

FROM: 
Donna Gezelle
Office of Planning, Programming, Budgeting,
and Evaluation, NA-62

SUBJECT: FY 2007 Weapons Activities and Defense Nuclear
Nonproliferation Work Authorizations

Attached are work authorizations that support the FY 2007 August Approved Funding Program (AFP).

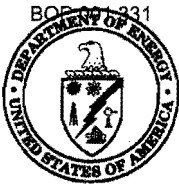
Please remember that the authority to obligate the funds identified in the work authorizations is restricted to amounts allotted by the Department. Funding distributed in the Approved Funding Program (AFP) reflects allocation of funding consistent with the Continuing Appropriation Resolution FY 2007 (P.L. 110-5). Funding adjustments have been made, as necessary, to reflect the allocations consistent with the Continuing Appropriation Resolution (P.L. 110-5).

Please ensure that the appropriate personnel receive a copy of the attached work authorizations and that signature blocks #17 and #18 are completed in a timely fashion so that the operating officials are immediately aware of the scope of work to be accomplished. An electronic copy of the signed statements should be provided to NA-62 at HQWAS@ns.doe.gov, by September 9, 2007, to confirm that the work authorizations have been received by the operating officials.

If you need additional information or have questions, please contact Cathy Williams at (301)903-1464.

Attachment






Department of Energy
National Nuclear Security Administration
Washington, DC 20585

FEB 25 2004

MEMORANDUM FOR Distribution

FROM: Michael C. Kane 
Associate Administrator for Management and Administration

SUBJECT: Interim Operating Procedure for Procurement Support at the
Service Center

Attached is the interim operating procedure for procurement requests and associated financial transactions initiated by NNSA Headquarters for processing and administration by the NNSA Service Center. This interim procedure was jointly developed by the financial and procurement staff in Headquarters and at the Service Center in response to operating concerns at both locations over the past several months.

A standard procedure is necessary because the NNSA Service Center is the preferred option for the procurement of most services by the NNSA Headquarters and the Site Offices. As such, we need this relationship to operate as effectively and efficiently as possible. Some specialized procurement actions, however, such as interagency agreements will continue to be handled by the Department's procurement operations for the immediate future.

Please be mindful that conducting business at the Service Center requires prior planning and funding decisions made with a lead time that has not been the case in the past. We must limit the number and frequency of emergency financial transactions through the Department's accounting system to an absolute minimum. The intent is to make certain mission critical work is accommodated within the discipline of the NNSA budget execution process and the rigor of the approved financial systems.

The interim procedure is effective immediately. A NNSA Business Operating Policy (BOP) letter is planned for a later date based on our experience and lessons learned from operating under the interim procedure. Questions should be directed to your customary budget and procurement contacts.



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C. Covington, NA-66

**Business Operating Procedure
for Headquarters Funded Procurement Support**

Purpose: To establish a process for procurement requests initiated by Headquarters (HQ) and processed and administered by the NNSA Service Center.

Requirements:

1. Funding must be included in the Approved Funding Program (AFP), and allotted to the NNSA Service Center before the NNSA Service Center will process the Procurement Request (PR).
2. In the unexpected event of an urgent procurement request that cannot be accommodated in the regular AFP cycle, an emergency allotment will be requested; however, HQ offices should review their procurement needs concurrent with their normal monthly AFP input to avoid the need for emergency AFP changes.
3. Headquarters offices may choose to preposition funding in the AFP/allotment in order to retain maximum flexibility for processing PRs.
4. PRs, prepared signed by the task monitor or contracting officer's representative (COR), will be transmitted to the NNSA Service Center via a Work Authorization signed by the appropriate program official (consistent with NNSA BOP 001.31).

Process:

1. Headquarters offices will submit a request for AFP change consistent with NNSA BOP 001.31, with appropriate approval to the Office of Planning, Programming, Budgeting, and Evaluation (PPBE or NA-62), by the 7th workday of the month to place funding in the NNSA Service Center's AFP. The AFP request will include a prepared PR signed by the task monitor or COR, including the CID and task number. PRs without funding changes are to be submitted to NA-62 to be incorporated into an out of cycle Work Authorization.
2. NA-62 will process the AFP change; allotments will be issued by the CFO.
3. Headquarters offices may preposition funds in the AFP to avoid delays in subsequent PRs. PRs received under this process must be fully funded. NOTE: during a Continuing Resolution, HQ offices will provide additional guidance for the Office of the Administrator allotment issued for continuity of operation in support services.
4. BRMD will place the HQ funding for PRs in a separate financial plan issued to the NNSA Service Center. NA-62 will prepare Work Authorizations including funding disposition, CID number, task number (if any), HQ point of contact (task monitor or COR), B&R code, and fund type.
5. NA-62 will transmit the PRs attached to the Work Authorizations signed by the HQ point of contact via email to brmdwa@doeal.gov.

6. BRMD will distribute Work Authorizations to the appropriate Program Analyst within BRMD on a daily basis.
7. The BRMD Program Analyst will compare the HQ AFP with the Work Authorization to assure that funds are available. If funds are available the Analyst enters the PR data into the budget system. If funds are not available, the Analyst will contact the HQ point of contact and hold the PR until funds are provided.
8. BRMD will certify the funds, sign the PR, and hand carry the PR to the designated point of contact in the Office of Business Services (OBS). PRs will be processed within BRMD and hand carried to OBS within two workdays.
9. OBS will initiate the procurement action. OBS is responsible for assigning next modification record and verifying that the PR does not exceed the ceiling value of the contract.

Payment:

1. Upon receipt of the hardcopy invoice from the vendor, Financial Services Department (FSD) at the NNSA Service Center logs in the payment and generates an e-mail to the approving official – either the Contracting Officer (CO) or COR as designated.
2. The approving official e-mails an electronic approval to FSD and payment is made by FSD in accordance with the Prompt Payment Act.

Reports:

1. BRMD will submit monthly reports via e-mail to HQ. BRMD will work with appropriate HQ staff to determine the format required for these reports. Access to DISCAS is available if more frequent reporting is desired.

NA-62 Current Approved Funding Program / Work Authorization Process Executive Summary

