

U.S. DEPARTMENT OF ENERGY

Office of Congressional and Intergovernmental Affairs (CI)

CONGRESSIONAL GRANT/CONTRACT NOTIFICATION

TO: Office of Congressional & Intergovernmental Affairs
ATTN: Contract Notification Coordinator
U.S. Department of Energy
1000 Independence Avenue, SW
Washington, D. C. 20585

Telephone: 202-586-5450
Fax: 202-586-5497
Email: CI-ANA@hq.doe.gov

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|--|---|
| 1. Procuring Office: _____ Name: _____ (Procurement Office Representative – CS/CO) Telephone: (____) _____ | 2. Program Office/Project Office: Name: _____ Telephone: (____) _____ |
| 3. Contractor, Grantee or Offeror: Name: _____ Street: _____ City: _____ State _____ Zip _____ | 4. Place of Performance: (Required if different from #3) Street: _____ City: _____ State _____ Zip _____ |
| 5. ANA Anticipated Award Date: _____ Date of Public Announcement: _____ (If any) | 6. Contract, Grant, or Other Agreement No.: _____ (Specify Type of Instrument) <input type="checkbox"/> New <input type="checkbox"/> Renewal <input type="checkbox"/> Termination (See Inst) <input type="checkbox"/> Modification (Total to date: \$ _____) Does this award result from an Invitation For Bid? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7. Obligated Cost or Price of this Action: _____ \$ Federal Cost or Price of Total Award: _____ \$ Modification to Federal Cost or Price of Total Award _____ \$ Recipient Cost Sharing (if applicable): _____ (For incrementally funded awards only. Report the initial obligation and total estimated award value.) | 8. Duration of Contract, Grant, or Other Agreement: From: _____ To: _____ |

9. Brief Description. (Please provide meaningful details. See instructions.)

TO BE COMPLETED BY OFFICIAL RESPONSIBLE FOR SUBMISSION

| | |
|--|---|
| 10. Method of Submission: <input type="checkbox"/> Email <input type="checkbox"/> Fax | Date: _____ Time: _____ <input type="checkbox"/> A.M. <input type="checkbox"/> P.M. |
| Name: _____ | Title: _____ |
| Signature: _____ | Office: _____ |

Instructions for Completing and Submitting DOE F 4220.10

There is an automated reporting process for Congressional notification on a contract or financial assistance action (award or modification), which utilizes the existing data in the system of record – Strategic Integrated Procurement Enterprise System (STRIPES) and generates the data into the new Advanced Notification of Awards System which is part of the DOE iPortal (<https://iportal.doe.gov>). For contract actions, refer to the Acquisition Guide Chapter 5.1 (November 2012) or latest version. For financial assistance actions, refer to Guide to Financial Assistance Chapter 2.6.1 (November 2012) or latest version.

➤ **Manual Reporting**

Manual Reporting is required:

- When a Contracting Office has not yet implemented the automated ANA system;
- Before issuing a termination (Regardless of termination type, the contracting activity must manually complete DOE form 4220.10 and submit the form before issuing either (1) a contract termination, based on the original contract value of \$4 million or more, or (2) a financial assistance award termination, based on the original "Total Award" value of \$2 million or more.);
- An action falls outside the normal reportable actions and dollar thresholds;
- Is a subcontract level action and a press release is to be issued by the Department of Energy (DOE); or
- Is a subcontract level action which is known to have been the subject of a Congressional inquiry.

Manual reporting is done by completing and submitting form DOE F 4220.10, Congressional Grant/Contractor Notification, 3 calendar days in advance of the anticipated date of the award or modification in accordance with the outline of Reportable Actions below. The form is located in STRIPES or at the DOE Forms Webpage: <http://energy.gov/cio/forms>

Submission of the form shall be in accordance with the following procedures:

- Print and sign the completed form.
- Scan the form and create a PDF file using Adobe Acrobat.
- E-mail the completed document to the Advanced Notification of Awards System Coordinator at CI-ANA@hq.doe.gov.

➤ **Reportable Actions**

- An award or modification of a contract, grant, cooperative agreement, and other financial assistance over the prescribed dollar threshold.
- Modifications of the above instruments over the prescribed dollar threshold when the modification involves the addition of new work, or the exercise of an option. *Excluded are: administrative changes, including funding actions; changes within the scope of the instrument; orders or notices under clauses as a property clause, or a suspension of work clause; the definitization of a letter contract; and terminations. Terminations, regardless of type, will be reported manually on this form, for details for contracts see Acquisition Guide, Chapter 5.1, Congressional Notifications, or for financial assistance see Guide to Financial Assistance, Chapter 2.6.1, Congressional Notification,*
- Subcontract level actions are not reportable unless a press release is to be issued by the Department of Energy (DOE) or unless the subcontract level action is known to have been the subject of a Congressional inquiry. This is not a new requirement. All subcontract notifications must be done manually since this data does not exist in the system of record. Unless the CS/CO is otherwise informed, the Program Office is responsible to notify the CS/CO if a subcontract report is needed regardless of subcontract dollar amount.

➤ **Dollar Thresholds**

Based on the reportable actions described above, the prescribed thresholds for reporting an action are as follows:

- For financial assistance action for an amount of \$2,000,000 or more for an award or modification with all types of recipients.
- For procurement actions for an amount of \$4,000,000 or more for an award or modification.

In calculating the threshold dollar amount of a modification, the amount of the instant modification is used, not the cumulative amount of the original instrument as modified. The dollar amount of an option item is excluded, except when reporting the exercise of the option. In a cost-sharing arrangement, the threshold is based on the DOE portion of the cost share agreement amount. *Actions which involve funding only are not reported.*

➤ **Other**

Block 4 – Place of Performance – For acquisition, the data to complete this block is contained in the place of performance fields on the FPDS-NG data entry screen. For financial assistance, the data is in the place of performance fields in block 29 on the FAADS/FAADS Plus screen in STRIPES. The street address can be found on the 'Project/Performance Site Location(s)' form which is part of the Grants.gov application package.)

- Block 9 – Brief Description – Include enough information to describe the effort to be performed and its purpose. It is imperative that a complete description be provided that is sufficient for preparing a press release and/or providing a meaningful description when notifying interested parties. Use non-technical plain English language without acronyms.