

Congressional Notifications



- Congressional notifications are required for release of Funding Opportunity Announcements at \$50 million or more; and awards or certain modifications at \$ 2 million or more.
- There are 2 types of notices discussed in this chapter.
- The type of action will determine whether it will be –
 - An advance notification of award system notice; or
 - Prior notification before issuing final funding opportunity announcement or award termination

Overview

This section discusses the procedures for providing Congressional notice of certain financial assistance actions. Congressional notifications are required for advance notification of award actions, prior notification before issuing a final Funding Opportunity Announcement, and prior notification before terminating an award.

The Headquarters Office of Congressional and Intergovernmental Affairs notifies Members of Congress of DOE activities likely to have an effect on their constituents. These activities include certain financial assistance actions.

For guidance on Section 311 Congressional Notifications, see Acquisition Letter/Financial Assistance Acquisition Letter (AL/FAL) AL 2012-07 / FAL 2012-01, dated February 6, 2012, or latest version. For guidance on Section 301b Congressional Notifications of Multi-Year Awards, see Acquisition Letter/Financial Assistance Acquisition Letter (AL/FAL) AL 2012-08 / FAL 2012-02, dated April 23, 2012, or latest version.

➤ **Advance Notification of Award System (ANA)**

For Congressional notification on a financial assistance action (award or modification) at \$2 million or more, there is an automated reporting process and website. This chapter describes the process, 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 iPortal (<https://iportal.doe.gov>). The iManage ANA User Guide is at the iportal website. Beginning June 1, 2012, the ANA system can be accessed directly at: <https://iportalwc.doe.gov/pls/apex/f?p=ANA>

- **Automated Reporting**

Automated reporting of Congressional Notification actions occurs through award information being entered in the system of record; then, electronically extracted from that system which are routed for approval to the applicable Procurement Office, then routed for approval to the applicable Program Office, and finally reported to the Office of Congressional and Intergovernmental Affairs (CI). CI coordinates with Public Affairs, the Office of the Chief Financial Officer, and the Office of the Secretary of Energy before reporting this information to Members of Congress.

Automated notification will occur based on the dollar threshold of the award and the proper completion of data in the systems of record (STRIPES). The system looks at the dollar amount and the award date entered into the award when it is routed through the approval process in STRIPES. Seventy-two (72) hours (3 working days) before the award date entered on the draft award, the system transmits the e-mail to the Procurement Office representative (current Contract Specialist (CS) or Contracting Officer (CO) (referred to in the system as current buyer)) identified in STRIPES. The email contains the link to access the ANA Web Application in iPortal.

The ANA User Guide provides the reporting details. Below is a brief summary of what action the CS/CO will perform. The CS/CO will:

- (1) Review the award information for accuracy and completeness;
- (2) Complete block 4 – place of performance. The data to complete this block is contained in the place of performance fields on the FAADS Plus screen in STRIPES;
- (3) Review block 6 – type of action to determine if modification type is correct and whether or not this is a reportable action. If it isn't a reportable ANA action, then reject it. If the action is a termination action of \$2 million or more (based on original contract value of \$4 million or more), then manually complete the Office of Congressional & Intergovernmental Affairs – 72 Hour Prior Notification Form. (See “Prior Notification Before Issuing Final Funding Opportunity Announcement or Contract Termination” in this chapter.)
- (4) (FA Action) review block 7 – This is a calculated field. It is calculated by subtracting the Estimated Government Cost from the Total Estimated Cost in STRIPES.
- (5) Review 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 - no acronyms. This description is generated from the description under the text tab in STRIPES.

(6) Approve or Reject the action. In the event changes need to be made to any of the data fields in the form, the CS/CO can reject the notification, complete the information in the reason for rejection section in the workflow, and correct the data in STRIPES to include the award date. Once the data in STRIPES has been updated, a new 4220.10 form will be generated and sent back to the CS/CO for approval. Once the CS/CO approves the notification, it will automatically be transmitted to the Program Office and then CI who will route it within Headquarters for concurrences. After CI receives the concurrences, they will approve and transmit the notification to the appropriate Members of Congress.

(7) Award the approved action on the STRIPES proposed award date.

For example: If STRIPES award date is on Friday, October 5; the CS/CO receives e-mail notification on Tuesday, October 2. If the CS/CO approves the action on Wednesday, October 3, it will be automatically transmitted to the Program Office (PO) the same day. If the PO does not act on the notification within 24 hours, the notification will automatically be approved and sent to CI. CI continues the internal routing process for concurrences. The CO awards the action on Friday, October 5.

Note: All CS/COs will need a user identification (userid) and password to access the DOE iPortal to approve or reject notifications in the new Advanced Notification of Awards System. If you do not currently have access to iPortal, please follow the instructions at <http://energy.gov/management/downloads/request-iportal-account>. If you need any assistance with the iPortal, please contact the iManage help desk at 301-903-2500.

See next page for table containing data fields for DOE F 4220.10.

For proper notification to occur the following data fields must be entered correctly in STRIPES. Reporting actions are based on the pre-defined reporting and dollar thresholds outlined below.

Field names provided on the chart are those on current form, the names in parentheses will be the field names on the revised form.

DOE F 4220.10		System of Record
Block #	Field Name	
1	Informing Office (Procuring Office)	STRIPES
	Contracting Office Representative (CS/CO)	STRIPES
	Contracting Office Representative Telephone (CS/CO)	STRIPES
2	Program Office/Project Office Name (COR/COTR)	STRIPES
	Program Office/Project Office Telephone	STRIPES
3	Contractor or Grantee Name	CCR/STRIPES
	Contractor or Grantee Street Address	CCR/STRIPES
	Contractor or Grantee City	CCR/STRIPES
	Contractor or Grantee State	CCR/STRIPES
	Contractor or Grantee Zip	CCR/STRIPES
4	Place of Performance Street Address	CS/CO fill-in
	Place of Performance City	CS/CO fill-in
	Place of Performance State	CS/CO fill-in
	Place of Performance Zip	CS/CO fill-in
5	Proposed Date of Award	STRIPES
	Date of Public Announcement	STRIPES
6	Contract, Grant or Other Agreement No	STRIPES
	Type of Action (NEW/RENEWAL/MODIFICATION)	STRIPES
	Total to Date	STRIPES
7	Obligated Cost or Price of this Action Contract	STRIPES
	Estimated Cost or Price of Total	STRIPES
	Recipient Cost Share (Calculated by subtracting the Estimated Government Cost from the Total Estimated Cost in STRIPES.)	STRIPES
8	Duration of Contract, Grant, or Other Agreement (from and to dates) [These will be generated from the Period of Performance start and end dates in STRIPES]	STRIPES
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 - no acronyms.) This description is generated from the description under the text tab in STRIPES.	STRIPES

- **Reportable Actions**

- For financial assistance actions, the selection of a single offeror for negotiation when the estimated amount of the resulting award is over the prescribed dollar threshold. (Reporting of this selection obviates the need to report the related award or modification.)
- An award or modification of a grant, cooperative agreement, or 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 extension of the project period. **Excluded are:** administrative changes, including funding actions; changes within the scope of the instrument; the definitization of a letter award, and award terminations. Award terminations, regardless of type, will be reported through another notification procedure, see '*Prior Notification Before Issuing Final Funding Opportunity Announcement or Award Termination*' section in this chapter for details.
- Subaward level actions are not reportable unless a press release is to be issued by the Department of Energy (DOE) or unless the subaward level action is known to have been the subject of a Congressional inquiry. This is not a new requirement. All subaward notifications must be done manually since this data does not exist in the system of record. Unless the CS/CO is otherwise informed that a specific action requires manual reporting, the Program Office is responsible to notify the CS/CO if a subaward report is needed regardless of subaward dollar amount

- **Dollar Thresholds**

The prescribed thresholds for reporting a financial assistance action are as follows:

- An **award or modification in the** amount of \$2,000,000 or more for all types of recipients.
 - Selection of a single offeror for negotiation in the amount of \$2,000,000 or more.
- For terminations based on original action value of \$2,000,000 or more, see '*Prior Notification Before Issuing Final Funding Opportunity Announcement or Award Termination*' section in this chapter for details.

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 any future budget periods is excluded. In a cost-sharing arrangement, the threshold is based on the DOE portion of the award. Actions which involve funding only within the approved project period are not reported.

- **Manual Reporting**

Manual reporting may be required at times. Unless the CS/CO is otherwise informed that a specific action requires manual reporting, the Program Office will notify the CS/CO when a manual report is necessary. Manual reporting is required when the action –

- Falls outside the normal reportable actions and dollar thresholds;
- Is a subaward level action and a press release is to be issued by the Department of Energy (DOE); or
- Is a subaward level action which is known to have been the subject of a Congressional inquiry.

Manual reporting is done by completing and submitting DOE Form 4220.10, Congressional Grant/Contractor Notification, in accordance with this guide chapter. The instructions are on page 2 of the form. The DOE Form 4220.10 is located in STRIPES or at the DOE webpage: <http://energy.gov/cio/downloads/congressional-and-intergovernmental-affairs-ci-notification>.

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

- Print and sign the completed form.

Scan the form using Adobe Acrobat and create a PDF file. File naming conventions are contained in the File Naming Conventions document available on the Advanced Notification of Awards System webpage

<https://notification.pr.doe.gov/aviator/anareg.nsf/Naming%20Conventions?OpenPage>

Email the completed document into the Advanced Notification of Awards System Coordinator at CI-ANA@hq.doe.gov

Note: All CS/COs will need a user identification (userid) and password to access the DOE iPortal to approve or reject notifications in the new Advanced Notification of Awards System. If you do not currently have access to iPortal, please follow the instructions at <http://energy.gov/management/downloads/request-iportal-account>. If you need any assistance with the iPortal, please contact the iManage help desk at 301-903-2500.

➤ *Prior Notification Before Issuing Final Funding Opportunity Announcement or Award Termination*

Contracting activities must complete and submit the 72 hour prior notification template (provided on the next page) before issuing a final *Funding Opportunity Announcement* over \$50 million or an award termination, regardless of type, based on the original award value of \$2 million or more. Once completed, the template should be e-mailed to CI.Notification@hq.doe.gov.

Office of Congressional & Intergovernmental Affairs

72 - Hour Prior Notification Form

Please fill in all of the spaces for proper processing.

Name of Office:	Date & Time of Scheduled Release:
<input type="text"/>	<input type="text"/>

Contact Person:	Office & After Hours Phone Number:
<input type="text"/>	<input type="text"/>

Type of Notification:

- | | |
|---|---|
| <input type="checkbox"/> Final RFP of \$25 million or more | <input type="checkbox"/> Opening of a New Office |
| <input type="checkbox"/> Final FOA of \$50 million or more | <input type="checkbox"/> Workforce Restructuring |
| <input type="checkbox"/> Field Office Public Meeting | <input type="checkbox"/> Draft or Final EIS |
| <input type="checkbox"/> Record of Decision (ROD) | <input type="checkbox"/> Small Business Conference |
| <input type="checkbox"/> Risk-Based End State Vision Document | <input type="checkbox"/> Citizen Adv. Board Meeting/Hearing |
| <input type="checkbox"/> Termination of DOE FA (Based on original FA value of \$2 million or more.) | <input type="checkbox"/> Termination of DOE Contract (Based on original contract value of \$4 million or more, regardless of termination type.) |
| <input type="checkbox"/> Achieving a Major Milestone | <input type="checkbox"/> Major Facility Announcement |
| <input type="checkbox"/> Closing of a Facility | <input type="checkbox"/> Other: _____ |

General Description*:

***The General Description should 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 - no acronyms.**

Known Congressional Interest:

Please send your notification to:
Office of Congressional & Intergovernmental Affairs
CI.Notification@hq.doe.gov
If you have any questions please call: (202)586-5450

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