



Department of Energy
Acquisition Regulation

No. AL 2021-03
Date 3/15/21

Department of Energy
Financial Assistance Regulations

No. FAL 2021-04
Date 3/15/21

ACQUISITION/FINANCIAL ASSISTANCE LETTER

This Acquisition/Financial Assistance Letter is issued under the authority of the DOE and NNSA Senior Procurement Executives.

Subject: Congressional Notifications and Quarterly Reporting to the Appropriations Committees in Accordance with the Energy and Water Development and Related Agencies Appropriations Act, 2021, Division D, Title III, Section 301 for Contract, Financial Assistance, or Other Transaction Agreement Actions to Include Related Congressional Notifications for Prior Fiscal Years' Appropriations Acts.

References¹:

Division D, Energy and Water Development and Related Agencies Appropriations Act, 2021, Pub. L. No. 116-260, Title III, section 301 (b), (c), (d), (g)

Acquisition Guide, Chapter 1.2, Head of Contracting Activity (HCA) Authority, Functions, and Responsibilities

When is this Acquisition Letter (AL)/Financial Assistance Letter (FAL) Effective?

This AL/FAL is effective upon issuance. The statutory provisions addressed in this AL/FAL are continuations of the section 311 provisions effective as of the date of the enactment of the Energy and Water Development and Related Agencies Appropriations Act, 2010 (October 28, 2009) and the section 301(b) provisions effective as of the date of the enactment of the Division D of the Energy and Water Development and Related Agencies Appropriations Act, 2014 (January 17, 2014).

NOTE: We are currently working with the Office of the Chief Financial Officer on implementation of new OMB apportionment restrictions that are relevant to the congressional notifications described in this AL/FAL. We anticipate providing additional guidance on these new restrictions shortly.

¹ Statutory authorities requiring identical congressional notifications and quarterly reporting to the Appropriations Committees affecting prior year appropriations are set forth in Section H and in archived AL/FALs.

When does the AL/FAL expire?

The AL/FAL remains in effect until superseded or canceled. This AL/FAL supersedes AL 2020-05 and FAL 2020-02 for actions funded with FY 2014 - FY 2021 funds. Contracting Officers (COs) should continue to refer to AL 2016-02 and FAL 2016-02 for any actions funded with FY 2012 or FY 2013 funds.

Who are the Points of Contact?

For Department of Energy (DOE) acquisition questions, contact Jason Taylor at (202) 287-1560 or Jason.Taylor@hq.doe.gov.

For DOE financial assistance questions, contact Richard Bonnell at (202) 287-1747 or Richard.bonnell@hq.doe.gov.

For National Nuclear Security Administration (NNSA) acquisition and financial assistance questions, contact NNSA at (505) 845-4337 or Kenneth.West@nnsa.doe.gov.

For additional information on Acquisition Letters and other issues, visit our website at <http://energy.gov/management/acquisition-letters>.

What is the purpose of this AL/FAL?

The purpose of this AL/FAL is to provide information and guidance on statutory requirements for Congressional notification (the notification) and quarterly Section 301 reporting to the Appropriations Committees.

(a) The following actions require at least 3 full business days advanced Congressional notification to the Appropriations Committees (see the last page for a decision chart):

- (1) All multiyear contract, financial assistance or other transaction agreement awards (including any modifications where funds are allocated for new programs, projects, or activities not covered by a previous notification) using “Department of Energy – Energy Programs” budget authority (see definitions for list of programs) that are not fully funded regardless of dollar amount;
- (2) Pending award of a contract action totaling \$1 million or more;
- (3) Announcement of selected applications for negotiation of financial assistance or other transaction agreement awards totaling \$1 million or more; and
- (4) Award of a financial assistance or other transaction agreement action totaling \$1 million or more.

(b) Financial assistance actions less than \$1 million require quarterly Congressional reporting to the Appropriations Committees within 15 calendar days after the end of each quarter. The Office of the Chief Financial Officer will prepare and submit the quarterly report.

What is the background?

This AL/FAL implements Section 301(b) and (c) of Division D of Pub. L. No. 116-260 and previous FY Section 301(b) requirements as listed in Section H.

Section 301(b) of Pub. L. No. 116-260 requires the Department to provide Congressional advanced notification for actions totaling \$1 million or more and to provide a quarterly report documenting financial assistance actions totaling less than \$1 million.

Section 301(c) of Pub. L. No. 116-260 applies to Department of Energy – Energy Programs (see definitions for programs). It requires the Department to provide Congressional notification for multiyear actions which are not fully funded, regardless of dollar amount.

See Section H for additional Public Law citations and relevant excerpts.

What are the instructions/guidance of this Acquisition and Financial Assistance Letter?

Sections

- A. Applicability
- B. Terms and Definitions
- C. Contract – Pre-award Congressional Notification
- D. Financial Assistance and Other Transaction Agreement – Pre-selection/Pre-award Congressional Notification
- E. Contracting Activity Procedures for Submission of Pre-award Congressional Notifications
- F. Secretarial Determinations of Substantial Risk to Human Life, Health, or Safety
- G. OAM Responsibilities for Congressional Notifications
- H. Public Law Citations and Excerpts

A. Applicability

The Section 301 statutory notifications or quarterly reporting, to include prior FY requirements, apply only to actions described in this AL/FAL. The Contracting Activity will prepare and submit the Congressional notifications. The Office of the Chief Financial Officer will prepare and submit the required quarterly report. The Section 301 notifications are in addition to the Congressional notifications described in Acquisition Guide Chapter 5.1 and Financial Assistance Chapter 2, Section 2.6.1 which are submitted on the DOE form 4220.10 and DOE form 541.

B. Definitions

Account and program, as used in this AL/FAL, means the following:

Account: The appropriation name (e.g. Fossil Energy, Defense Environmental Cleanup, Weapons Activities, etc.)

Program/Program Office: The congressional funding line from which the funds are drawn (e.g. Basic Energy Sciences, Central Plateau Remediation, etc.)

Announce publicly, as used in this AL/FAL, means the sharing of information in any form of communication with a non-DOE party. This information includes press releases, award notices posted to SAM.gov, apparently successful notices in small business set-asides, and successful/unsuccessful offeror notification letters. For block or formula grant programs, public announcement means the posting of the Annual Program Notice. Prospective awardees or applicants who have been selected for contract award or for negotiation of financial assistance awards must not be notified in advance to the completion of the Section 301 notification requirements as described in this AL/FAL.

Department of Energy – Energy Programs, as used in this AL/FAL, means the Energy Programs listed in the corresponding Appropriations Act. These programs are: Energy Efficiency and Renewable Energy, Electricity Delivery and Energy Reliability, Nuclear Energy, Fossil Energy Research and Development, Naval Petroleum and Oil Shale Reserves, Strategic Petroleum Reserves, Northeast Home Heating Oil Reserve, Energy Information Administration, Non-Defense Environmental Cleanup, Uranium Enrichment Decontamination and Decommissioning Fund, Science, Advanced Research Projects Agency-Energy, Title 17 Innovative Technology Loan Guarantee Program, Advanced Technology Vehicles Manufacturing Loan Program, Departmental Administration, and the Office of the Inspector General.

Discretionary contract award, as used in this AL/FAL, means all types of commitments that obligate the Government to an expenditure of funds that are made available under the corresponding appropriations act, including but not limited to, contract awards; purchase orders; task and delivery orders under multiple award contracts to include Government-wide acquisition contracts, indefinite delivery contracts, and Federal Supply Schedule contracts; orders/calls under basic order agreements and blanket purchase agreements; and letter contracts. For Power Marketing Administrations, except for Bonneville Power Marketing Administration, this includes purchase power and wheeling transactions.

Discretionary grant award, as used in this AL/FAL, is an award of financial assistance, other than a grant allocation.

Dollar value, as used in this AL/FAL means the total value of the instant award, including all options. All dollar values in Section 301 notification or reporting shall be rounded the nearest whole dollar with no decimal. Future FY estimated dollar values shall be the best estimate of the DOE or NNSA program office based on the history of award for the award and/or projected budgets.

Grant allocation, as used in this AL/FAL, means a block or formula grant.

Multiyear contract or Multi-year contract, as defined at FAR 17.103, means a contract for the purchase of supplies or services for more than 1, but not more than 5, program years. The key distinguishing difference between multiyear contracts and multiple year contracts is that multiyear contracts, defined in the statutes cited at FAR 17.101, buy more than 1 year's requirement of a product or service without establishing and having to exercise an option for each program year after the first

Multiyear grant or multiyear cooperative agreement award or Multi-year grant or multi-year cooperative agreement award means a new or renewal award with a project period greater than 12 months, **excluding continuation awards.**

Other Transaction Agreement, as used in this AL/FAL, means Technology Investment Agreement as codified at 10 C.F.R., Part 603, pursuant to DOE's Other Transaction Authority of 42 U.S.C. § 7256.

Procurement Director, as used in this AL/FAL, means for DOE the Field Contracting Office Procurement Director. For NNSA, this means Directors reporting to the cognizant HCA. For Power Marketing Administrations, except for Bonneville Power Marketing Administration, the definition includes the Field Office Power Marketing or Energy Marketing and Management Director/Manager for other than FAR-based contract actions.

Supplemental award, as used in this AL/FAL, means a modification that provides a revision to a previously awarded grant or cooperative agreement that, as a result of the modification, an increase in the performance effort of the recipient requires the total project period to be modified to make the award a multi-year award. For example, a cooperative agreement is awarded with a total project period less than or equal to 12 months. If a modification is contemplated that revises the terms and conditions of the award and it results in a total project period greater than 12 months, then a 3 full business day notification is required prior to executing the modification.

Three full business days, as used in this AL/FAL, means three consecutive days, excluding Saturdays, Sundays, and holidays, beginning at 8:30 a.m. eastern time on the first business day and ending at 5:30 p.m. eastern time on the third business day. Example – If a notification is sent to Congress on Monday by 5:30 p.m. eastern time, then award can be made on Friday.

Totaling less than \$1,000,000, as used in this AL/FAL, applies to competitive and non-competitive financial assistance awards, Other Transaction Agreements, (e.g., Technology Investment Agreements), and Office of Science's annual notices means per award the total Government share, excluding other agency's funds, for the current project period. Total Government share does not include cost share.

Totaling \$1,000,000 or more, as used in this AL/FAL, applies to contract actions, competitive and non-competitive financial assistance awards, Other Transaction Agreements, (e.g., Technology Investment Agreements), and Office of Science's annual notices means per contract or financial assistance award the total Government share, excluding other agency's funds, for the current project period. Total Government share does not include cost share.

Treasury account number, as used in this AL/FAL, (herein referred to as program office name and program name) refer to "Account and Program" for definition.

C. Contract -- Pre-award Congressional Notification

1 - Multi-year Contract

a. *General.* As required by the FAR, when a new multi-year contract is contemplated, as defined at 17.103 (see definitions section of AL/FAL), the contracting officer shall insert the clauses FAR 52.217-2, *Cancellation Under Multi-year Contracts*, and FAR 52.232-19, *Availability of Funds for the Next Fiscal Year*, or similar language conditioning the obligation on the availability of future-year budget authority, in affected solicitations and contracts. This multi-year requirement does not apply to indefinite delivery/ indefinite quantity (IDIQ) contracts as

they are multiple year contracts, not multi-year contracts (unless otherwise defined in statute or regulation).

b. *Notification Requirements.* For a “Department of Energy – Energy Program” multi-year contract award with a condition that Government obligation is subject to availability of future year budget authority, the contracting officer, or designee, shall prepare a Congressional notification in accordance with section E of this AL/FAL. This notification requirement only applies to Department of Energy – Energy Programs, see definition for list. If there is uncertainty as to applicability of the notification requirement, consult with cognizant Counsel.

- In accordance with Section 301(c)(2), there is a Congressional notification requirement of at least 3 full business days prior to award of a multi-year contract that is not fully funded, regardless of dollar amount.

Fully funded Department of Energy – Energy Program. In accordance with Section 301(c)(1), when a multi-year contract is funded for the full period of performance anticipated at the time of award, no multi-year congressional notification is required. However, if the contract action totals \$1 million or more, see section C.2 for pre-award Congressional notification requirements.

2 - Contract Award Totaling \$1 Million or More

A discretionary contract award totaling \$1 million or more in total value (including all options), funded with FY 2019 or prior year DOE appropriated funds requires Congressional notification of at least 3 full business days prior to award. The contracting officer, or designee, shall prepare a Congressional notification in accordance with section E of this AL/FAL.

a. *Notification Requirements.* Each notification requires the FY of the DOE appropriated funds, the treasury account number (herein referred to as program office name and program name) and the estimated dollar amount of each program name from the funds being awarded. If the award uses multiple FY funds or multiple program offices and/or program names, the notification will need to provide this information and the estimated dollar amount, per FY, per program name. Purchase power and wheeling transactions will use a modified instruction for preparation and submission of notifications. The modified instruction will be issued separately from this AL/FAL to the Power Marketing Administrations.

There has been confusion on how to present multiple year actions, multiple fiscal years, and multiple funding for program names. For multiple fiscal years and/or multiple funding, the notice **shall** show a table, similar to the one below. When there are multiple fiscal years funding, multiple program offices, and/or program names, create a table, similar to the following, to be inserted into the notification under the first bullet of the letter. If the table is lengthy, it may be referenced as an enclosure. If a table is used, subsequent in-scope actions where the funding reasonably corresponds to the estimates in the table meet the notification requirement described above in this section. If a table was inadvertently omitted from prior notifications, a subsequent 301 notice can provide that table of estimated amounts. The contracting officer should review the prior notifications and this AL/FAL, or a superseding version, to determine if another notification is needed. See the account and program definition in section B of this AL/FAL to understand what type of information the program office must provide for the notification. Be sure to document the contract file. See example below for table:

Fiscal year	Program Office(<i>See Definitions</i>)	Program	Estimated DOE \$
2021		Program 1	\$500,000
2021		Program 2	\$1,500,000
Total 2021			\$2,000,000
2022		Program 1	\$500,000
2022		Program 2	\$1,500,000
Total 2022			\$2,000,000
Total All FYs			\$4,000,000

b. Congressional notification is also required for a non-competitive extension of a contract that requires a Justification for Other Than Full and Open Competition (JOFOC), or other action that requires a JOFOC (e.g., new scope modification) pursuant to Federal Acquisition Regulation (FAR) Part 6, under either an existing contract or a new contract, when the value of the action is expected to total \$1 million or more. When a synopsis must be issued prior to award, the contracting officer should first consider responses to the synopsis prior to sending the required Congressional notification.

c. For awards to small business concerns, the pre-award notices to unsuccessful offerors required by FAR 15.503(a)(2), should not be provided until after the Congressional notification is made and the required three full business days have elapsed.

d. The notification requirement **does not apply** to the following:

- i. If all of the estimated funding information provided in the initial notification is reasonably the same, modifications that are within the scope and subject to the terms and conditions of an existing contract, including modifications that are issued pursuant to the Changes clause of the contract, and administrative modifications (e.g., funding modification).
- ii. If all of the estimated funding information provided in the initial notification is reasonably the same, the exercise of existing options that are contained in the contract.
- iii. If all of the estimated funding information provided in the initial notification is reasonably the same, the issuance of a task and delivery order awarded under a DOE single award indefinite delivery contract.
- iv. Contract actions, including orders, which are awarded using another agency's funds.

e. The appropriate Congressional notification shall be provided in accordance with the procedures prescribed in Section E of this AL/FAL.

D. Financial Assistance and Other Transaction Agreement – Pre-selection/pre-award Congressional Notification

1 - Multi-year Actions

a. *Department of Energy – Energy Program Funds.* For a Department of Energy – Energy Program multi-year grant, cooperative agreement, or other transaction using DOE funds appropriations, regardless of dollar amount, the grant, cooperative agreement, or other transaction that is a new, renewal or supplemental award with a project period greater than 12 months, the Contracting Officer shall—

i. Condition the Department’s obligation for awards and future budget periods on the availability of funds appropriated by Congress for the purpose of the program and future year budget authority. To condition Federal Obligations insert the statements—

(1) **“Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority”** into Section II (B) “Estimated Funding”, Section IV “Funding Restrictions”, and Section VIII under the title “Availability of Funds” of affected solicitations or FOAs that contemplate awards of financial assistance or other transaction agreement; and

(2) **“Funding for future budget periods is contingent on the availability of funds appropriated by Congress for the purpose of this program and future year budget authority”** into the appropriate standard incremental funding and funding terms of grant, cooperative agreement, or other transaction agreement awards; and

ii. Ensure Congressional notifications are submitted timely, as described in section E of this AL/FAL. For FY 2014 through FY 2020 multiyear actions, provide at least 3 full business days notice. A notification is required for the following—

(1) Competitive Discretionary Financial Assistance Awards to include other transaction agreements: prior to the program’s announcement or notification to the applicants on selection of their applications for negotiation of financial assistance awards from a Funding Opportunity Announcement;

(2) Grant Allocations (block and formula grants): prior to announcing publicly (releasing or posting of) the funding opportunity announcement and the annual program notice;

(3) Office of Science’s Annual Funding Opportunity Notices: after the program selects and notifies applicants for negotiation of award but prior to awarding the grant or cooperative agreement to the recipient;

(4) Non-Competitive Discretionary Financial Assistance: prior to award of a non-competitive, discretionary, grant or cooperative agreement; or

(5) Renewal and Supplemental Awards: prior to award for all actions in additional estimated total projects costs and project period of performance.

iii. If there is uncertainty as to applicability of the notification requirement, consult with cognizant Counsel.

b. *Fully funded Department of Energy – Energy Program.* In accordance with Section 301(c)(1), when a multi-year grant, cooperative agreement, or other transaction agreement action is funded (for Department of Energy – Energy Program only; See Definitions for a list of applicable programs) for the full period of performance anticipated at the time of award, no multi-year congressional notification is required. However, if the action totals \$1 million or more, see section D.2 below for Congressional notification requirements.

2 – Actions Totaling \$1 Million or More

An action totaling \$1 million or more with a total value, including all budget periods, funded with FY 2020 or prior year DOE appropriated funds requires Congressional notification of at least 3 full business days prior to public announcement, selection or award. Follow the procedures in section D.3 for pre-award Congressional notification requirements. The contracting officer, or designee, shall prepare a Congressional notification in accordance with section E of this AL/FAL.

3 – Notification Requirements

a. *Prior to public announcement, selection or award.* Congressional notification is required for an individual grant, cooperative agreement, or other transaction agreement action for the following:

- i. *Department of Energy – Energy Programs -* Multiyear actions for FY 2014 through FY 2020 Department of Energy – Energy Program appropriated funds, multi-year awards not fully funded. For reporting the DOE action, include DOE appropriated funds.
- ii. Totaling \$1 million or more for FY 2020 DOE appropriated funds (see definition in Section B for totaling \$1 million or more) or prior year DOE appropriated funds. For reporting the DOE action, include DOE appropriated funds only when determining whether an award totals \$1 million or more.

b. Congressional notification shall be provided in accordance with the procedures prescribed in Section E of this AL/FAL for the following actions:

- i. Competitive Discretionary Grant Award or Other Transaction Agreement: Congressional notification is required prior to announcement of a selection of applications for negotiation of financial assistance award or other transaction agreement from a Funding Opportunity Announcement. Each notification requires the FY of the DOE appropriated funds, the program office name and program name and the dollar amount of each program name from the funds being awarded. If the award uses multiple FY funds or multiple program offices and/or program names, then the notice will need to provide this information and the estimated dollar amount, per FY, per program name.* If all of the funding information provided in the initial notice is reasonably the same, then Congressional notification is not required for subsequent award(s) made pursuant to the selection for which Congressional notification has already been provided.

ii. Grant Allocations (block and formula grants): Congressional notification shall be provided in advance of announcing publicly the funding opportunity announcement and the annual program notice. Each notice requires the FY of the DOE appropriated funds, the program office name and program name and the dollar amount of each program name from the funds being awarded. If the award uses multiple FY funds or multiple program offices and/or program names, then the notice will need to provide this information and the estimated dollar amount, per FY, per program name.* If all of the funding information provided in the initial notice is reasonably the same, then Congressional notification is not required for subsequent award(s) made pursuant to the selection for which Congressional notification has already been provided.

iii. Office of Science's Annual Funding Opportunity Notices: Congressional notification shall be provided on those awards. Each notice requires the FY of the DOE appropriated funds, the program office name and program name and the dollar amount of each program name from the funds being awarded. If the award uses multiple FY funds or multiple program offices and/or program names, then the notice will need to provide this information and the estimated dollar amount, per FY, per program name.*

iv. Non-competitive Discretionary Financial Assistance: Congressional notification is required prior to award of a non-competitive, discretionary, grant, or cooperative agreement. Each notice requires the FY of the DOE appropriated funds, the program office name and program name and the dollar amount of each program name from the funds being awarded. If the award uses multiple FY funds or multiple program offices and/or program names, then the notice will need to provide this information and the estimated dollar amount, per FY, per program name. This includes all awards of DOE and NNSA appropriated funds for congressionally directed projects.

v. Renewals and Supplemental Awards: Congressional notification shall be provided in advance of award. Each notice requires the FY of the DOE appropriated funds, the program office name and program name and the dollar amount of each program name from the funds being awarded. If the award uses multiple FY funds or multiple program offices and/or program names, then the notice will need to provide this information and the estimated dollar amount, per FY, per program name.* If all of the funding information provided in the initial notice is reasonably the same, continuation awards do not require notices.

*** Note:**

There has been confusion on how to present multiple year actions, multiple fiscal years, and multiple funding for program names. For multiple fiscal years and/or multiple funding, the notice **shall** show a table, similar to the one below. When there are multiple fiscal years funding, multiple program offices, and/or program names, create a table, similar to the following, to be inserted into the notification under the first bullet of the letter. If the table is lengthy, it may be referenced as an enclosure. If a table is used, subsequent in-scope actions where the funding reasonably corresponds to the estimates in the table meet the notification requirement described above in this section. The contracting officer should review the original notification and this AL/FAL, or a superseding version, to determine if another notification is needed. See the account and program definition in section B of this AL/FAL to understand what type of information the program office must provide for the notification. Be sure to document the contract file. See example below for table:

Fiscal year	Program Office (See Definitions)	Program	Estimated DOE \$
2021		Program 1	\$500,000
2021		Program 2	\$1,500,000
Total 2021			\$2,000,000
2022		Program 1	\$500,000
2022		Program 2	\$1,500,000
Total 2022			\$2,000,000
Total All FYs			\$4,000,000

E. Contracting Activity Procedures for Submission of Congressional Notification

1. In accordance with sections C and D above, the Head of the Contracting Activity (HCA) shall prepare, sign, and transmit the required notification using the appropriate model notification on DOE letterhead. The DOE HCA can delegate this responsibility in writing no lower than the Procurement Director. For NNSA, the HCA can delegate this responsibility in writing to an APM-10 Director.

a. Multi-year actions not fully funded, regardless of dollar amount, and/or for actions totaling \$1 million or more and obligating FY 2020 DOE appropriations under Pub. L. No. 116-94 or prior FY DOE appropriations, require notification at least three (3) full business days prior to making public announcement, selection or award (see E.2.(a) for details).

b. The DOE Field Contracting Office and NNSA COs shall prepare the appropriate notification in draft for the HCA or delegate signature. See the last page of this AL/FAL for a decision chart. **It is important to spell out all abbreviations and acronyms. Edits shall only be made to italicized text in the model notification.** The model notifications are as follows:

- Attachment 1 version A notification, Subject: Congressional Notification of Pending Contract Action (applies to DOE appropriated funds or future years’ acts requiring at least 3 full business days notice)
- Attachment 2 version A1 notification, Subject: Congressional Notification of Pending Public Announcement of Selection of Applications for Negotiation of Financial Assistance or Other Transaction Agreement Award (applies to DOE appropriated funds or future years’ acts requiring at least 3 full business days notice)
- Attachment 2 version B1 notification, Subject: Congressional Notification to Make a Non-competitive Financial Assistance Award (applies to DOE appropriated funds or future years’ acts requiring at least 3 full business days notice)

2. **Head of the Contracting Activity (HCA) Responsibilities.** The HCA is responsible for ensuring the accountability, accuracy, and timeliness of the notification process. The responsibilities include:

a. **Management of the notification process.**

- i. Implementation of procedures to ensure compliance with this AL/FAL.

- ii. Establishing, if necessary, or continuing to use the dedicated e-mail box and e-mail address (311notice/Program or site Office@doe.gov, for example 311noticeNETL@netl.doe.gov) to electronically transmit the signed notification(s) to designated Congressional staff with delivery receipt and blindcopy the 311notice@hq.doe.gov mailbox along with other identified Headquarters' staff, at least three (3) full business days prior to award.
 - iii. Managing the accurate, effective and timely transmission of all notifications for the fiscal year.
 - **For end of fiscal year actions that require at least 3 full business days, to ensure an award or selection by September 30, 2021, the notification shall be sent no later than 5:30 p.m. eastern time September 24th. This is the last day and time for sending and showing receipt of FY2021 notifications. (Note: Do not send any FY2022 notifications prior to October 1st.)**
 - iv. Retention of electronic copies by the cognizant Contracting Officer of all Congressional notification submissions for the official transaction file to include e-mail delivery receipts of the specific notification to all designated Congressional staff.
 - v. Conducting random pre-submission quality assurance and post-submission reviews to ensure that all required notifications are or have been drafted and submitted in accordance with this AL/FAL.
- b. When the action is ready for award or public announcement.**
- i. Completion of all reviews, concurrences and approvals before sending the notification.
 - ii. Using the Instructions provided in E.3. below, complete, date and sign the current version of the appropriate notification on DOE letterhead, and convert/scan dated and signed notification to Adobe pdf file, if not signed electronically.
 - iii. At least three (3) full business days (see B. for definitions and E.1.a. for details) in advance of the identified date of selection/award, submit valid Congressional notifications electronically, by e-mail, to designated Congressional Appropriations Committee staff. Send a courtesy blindcopy e-mail to 311Notice@hq.doe.gov and other designated DOE officials.
 - iv. Ensuring the Selection Official is fully cognizant that no public announcement of selection or award may be made prior to confirmation that the required notification has been sent to Congress and that the requisite timeframe has elapsed.
 - v. Ensuring the Contracting Officer is fully cognizant that prospective awardees or applicants, who have been selected for contract award or for negotiation of financial assistance awards or other transaction agreement awards, shall not be notified in advance to the completion of the Section 301 notification requirements and that the requisite timeframe has elapsed.

3. Instructions.

a. **Notification content:** The notification shall provide information prescribed in the attached model notifications including, as applicable:

i. For contract/order actions:

- If it is a multi-year action not fully funded, insert “multi-year” before “action.” See definitions for applicable DOE- Energy Programs.
- Provide the name of the DOE or NNSA Program Office and Site Office, if applicable, (e.g., Office of Science, Oak Ridge Office) that the action supports, contract/call/order number only ², contract title, contractor name with city and state (abbreviated as two characters), the DOE appropriated funds dollar value of award to include options, the fiscal year for which the funds for the award were appropriated, the program office name and program name, the dollar amount of each program name from the funds being awarded, and short description of the contract or order if the title is insufficient to provide a clear understanding of what is being procured. Round all dollar amounts to whole dollars without a decimal.
- If the award uses multiple FY funds or multiple program offices and/or program names, then the notification will need to provide this information and the estimated dollar amount, per FY, per program name in a table. If possible, keep the table on one page. If necessary the table could be a separate page to the notification.
- If it is a (Department of Energy – Energy Program) multi-year action not fully funded, complete the final bullet in the letter to provide a brief explanation justifying future funds. If it is not a multi-year action, delete the bullet.
- Use attachment 1A. Where there is italic text in the letter, tailor the model notification to insert the information in these areas and turn-off italic font. If all of the funding information provided in the initial notification is the same, see section C of this AL for details.

ii. For competitive financial assistance action or Other Transaction Agreement (OTA) action:

- If it is a multi-year action not fully funded, insert “multi-year before “action.” See definitions for applicable Department of Energy – Energy Programs.
- Provide the name of the DOE or NNSA Office that the action supports, identify number(s), e.g. DE-FOA-xxxxx or award number with a short description of financial assistance or OTA agreement effort, the grant or OTA number, the selectee name(s) with city and state, include published estimated dollar value available for the award, the fiscal year for which the funds for the award were appropriated, the program office name and

² The GSA award, basic IDIQ, BPA, or BOA number is not used unless the notification is reporting that primary award. Use only the DOE award number unique to the award being reported.

program name, the dollar amount of each program name from the funds being awarded. Round all dollar amounts to whole dollars without a decimal.

- If the award uses multiple FY funds or multiple program offices and/or program names, the notification will need to provide this information and the estimated dollar amount, per FY, per program name, in a table. If possible, keep the table on one page. If necessary the table could be a separate page to the notification. *(If there are more than a few selectees to list, the list can be an enclosure to the letter. For an Office of Science 10 CFR 605 award, edit the letter to show it is for financial assistance awards instead of selection of applicants.)*
- When an existing Management and Operating (M&O) contractor is eligible to submit an application under a Funding Opportunity Announcement and is selected, use the M&O contract number and the word “Modification” in the notification. If necessary the Project Officer may need to provide the M&O contract number to the Contracting Officer.
- If it is a multi-year action not fully funded, complete the final bullet in the letter to provide a brief explanation justifying future funds. If it is not a multi-year action, delete the bullet.
- Use attachment 2A1 for competitive financial assistance or OTA action. Where there is italic text in the letter, tailor the notification to insert the information in these areas and turn-off italic font.

iii. For non-competitive financial assistance action:

- If it is a multi-year action not fully funded, insert “multi-year” before “action.” See definitions for applicable DOE- Energy Programs.
- Provide the name of the DOE Office that this action supports, identify number(s), e.g. DE-FOA-xxxxx or award number with a short description of financial assistance effort, the grant number, the selectee name with city and state, include estimated dollar value of the award to include cost share if applicable, the fiscal year for which the funds for the award were appropriated, the program office name and program name, the dollar amount of each program name from the funds being awarded. Round all dollar amounts to whole dollars without a decimal.
- If the award uses multiple FY funds or multiple program offices and/or program names, the notification will need to provide this information and the estimated dollar amount, per FY, per program name in a table. If possible, keep the table on one page. If necessary the table, could be a separate page to notification.
- If it is a multi-year action not fully funded, complete the final bullet in the letter to provide a brief explanation justifying future funds. If it is not a multi-year action, delete the bullet.
- Use attachment 2B1. Where there is italic text in the letter, tailor the notification to insert the information in these areas and turn-off italic font.

iv. If the e-mail will be sent before 5:30 p.m. eastern time, date the notification for the business day the e-mail will be sent to Congress. If the e-mail will be sent after 5:30 p.m. eastern time on that business day, date the notification for the next business day.

v. Assign the notification file name a specific title to include contracting office name. Do not include the name of the contractor, selectee, or awardee in the file name or the subject line of the e-mail.

b. Transmitting the notification: e-mail information, e-mail addresses, and waiting period.

i. Prior to e-mailing the notification, review the document for proper format, content, date, signature on DOE letterhead, and file name.

ii. The subject line of the e-mail transmitting the notice to Congress shall provide the following:

- (1) a Contracting Activity specific sequential notice number along with identifying that it is DOE, for example, an action from NETL would state (NETL/DOE # xxx);
- (2) (Official Use Only);
- (3) Section 301 notice;
- (4) whether it is a contract, financial assistance, or other transaction agreement action;
- (5) the contracting office name; and
- (6) the title of the contract or Funding Opportunity Announcement identified in the letter.

(Example of e-mail subject line: “Subject: (NETL/DOE #xxx) (Official Use Only) Congressional Notification – Contract Action – NETL – title”).

iii. In addition to providing subject line information and attaching the notification as a pdf, the following disclosures shall be included in the body of the e-mail:

(1) For a contract action, state the following:

“The attachment is a Section 301 notification.

This information is source selection information related to the conduct of a Federal agency procurement. Disclosure of this information is restricted by section 27 of the Procurement Integrity Act, 41 U.S.C. § 423. This information is market sensitive, predecisional and not public at this time. Accordingly, we request that you do not further disseminate this information. If you are considering disseminating this predecisional information, we respectfully request that you consult with the Department prior to making such a decision.

XXX (insert the contracting activity name)
U.S. Department of Energy,
(insert the City, State)”

(2) For a financial assistance action, state the following:

“The attachment is a Section 301 notification.

This information is market sensitive, predecisional and not public at this time. Accordingly, we request that you do not further disseminate this information. If you are considering disseminating this predecisional information, we respectfully request that you consult with the Department prior to making such a decision.

XXX (insert the contracting activity name)
U.S. Department of Energy,
(insert the City, State)”

iv. **E-mail addresses.** Unless otherwise notified by Office of Acquisition Management (OAM), the following is the list of e-mail addresses:

(1) E-mail “to” Congressional Staff --

Tyler.Owens@appro.senate.gov
Doug.Clapp@appro.senate.gov
Jaime.Shimek@mail.house.gov
Angie.Giancarlo@mail.house.gov
Meyer.Seligman@appro.senate.gov
Jen.Becker@appro.senate.gov
Mark.Arnone@mail.house.gov
Scott.Mckee@mail.house.gov
Michael.Brain@mail.house.gov
Will.Ostertag@mail.house.gov
Aaron.Goldner@appro.senate.gov

(2) E-mail blindcopy (bcc) to Headquarters DOE –

311notice@hq.doe.gov
CFOExternalCoordination@hq.doe.gov
Ingrid.Kolb@hq.doe.gov

v. Waiting period. No public announcement of a selection (per Section D of this AL/FAL), or award (per Sections C and D of this AL/FAL) shall be made prior to the passage of three (3) full business days (see E.1.a. for specifics) after the date in which e-mail delivery receipt confirmation is received by the HCA, that the required notification has been submitted to Congress. See Section B for the definition of three full business days to include examples. The notification must be received by the Congressional addresses prior to 5:30 p.m. eastern time on that business day. If a notification is sent after 5:30 p.m. eastern time, date it for the next business day. If the notification is received by the Congressional staff before 5:30 p.m. eastern time, three full business days (see E.1.a. for specifics) would start the next business day.

F. Secretarial Determinations of Substantial Risk to Human Health, the Environment, Welfare, or National Security

1. When compliance with the three (3) full business day advance notification requirements of Section 301(b)(1) or (c) would pose a substantial risk to human health, the environment, welfare, or national security or safety, an action may be taken without such advance notification to the Committees on Appropriations of the Senate and the House of Representatives if the Secretary determines in advance to the action that any one of these conditions exists.
2. If an action must be taken pursuant to this authority, the HCA, in coordination with the cognizant program official(s) and legal counsel, shall develop a written recommendation supporting the action for approval by the Secretary.
3. The HCA shall coordinate with the Head of the Program Element through the appropriate Senior Procurement Executive for obtaining necessary approval by the Secretary.
4. An action subject to the requirements of Section 301(b)(1) or (c) shall not be made in advance of the Secretary's determination.
5. Upon approval by the Secretary, notification of the action to the Committees on Appropriations of the Senate and the House of Representatives shall be made not later than three (3) full business days after taking an action that would have otherwise required notification under this AL/FAL. Follow the procedures at Section E. for preparation and submission of Section 301 Notification. Maintain a copy of the signed Secretary's determination for the official record and send a copy of the signed determination to the 311notice@hq.doe.gov mailbox.
6. It should be noted that the standard for unusual and compelling urgency, as prescribed at FAR 6.302-2, is distinct from the Section 301 standard for waiving advanced notification.

Note: If the Secretary delegates the authority to make these determinations, any such delegation will be issued separately from this AL/FAL.

G. DOE Office of Acquisition Management (OAM) Responsibilities for Congressional Notifications

OAM will:

1. Serve as the Department's central point to maintain a copy of all required notifications e-mailed from each HCA. COs will maintain the official transmittal and delivery receipt notifications to the Congressional staff.
2. Conduct periodic review of notifications transmitted for accuracy and compliance.
3. Implement or supplement, as appropriate, existing procurement and financial assistance management oversight and control processes (e.g., Procurement Management Review and Business Clearance Programs) to ensure proper implementation of and compliance with the requirements of this AL/FAL.

4. Update DOE guidance on legislation pertaining to Section 301 Notification or quarterly reporting requirements, or similar requirements, for subsequent fiscal years.

H. Public Law Citations:

1. Prior FY Public Law Citations:

FY 2020 – Section 301(b) and (c) of Division C of Pub. L. No. 116-94

FY 2019 – Section 301(b) and (c) of Division A of Pub. L. No. 115-244;

FY 2018 – Section 301(b) and (c) of Division D of Pub. L. No. 115-141;

FY 2017 – Section 301(b) and (c) of Division D of Pub. L. No. 115-31;

FY 2016 – Section 301(b) and (c) of Division D of Pub. L. No. 114-113;

FY 2015 – Section 301(b) and (c) of Division D of Pub. L. No. 113-235;

FY 2014 - Section 301(b) and (c) of Division D of Pub. L. No. 113-76;

2. For FY 2021, 2020, 2019, 2018, 2017, 2016, 2015 and 2014, the following is the text of Section 301(b) through (g):

SEC. 301.

(b)(1) Unless the Secretary of Energy notifies the Committees on Appropriations of the House of Representatives and the Senate at least 3 full business days in advance, none of the funds made available in this title may be used to—

(A) make a grant allocation or discretionary grant award totaling \$1,000,000 or more;

(B) make a discretionary contract award or Other Transaction Agreement totaling \$1,000,000 or more, including a contract covered by the Federal Acquisition Regulation;

(C) issue a letter of intent to make an allocation, award, or Agreement in excess of the limits in subparagraph (A) or (B); or

(D) announce publicly the intention to make an allocation, award, or Agreement in excess of the limits in subparagraph (A) or (B).

(2) The Secretary of Energy shall submit to the Committees on Appropriations of the House of Representatives and the Senate within 15 days of the conclusion of each quarter a report detailing each grant allocation or discretionary grant award totaling less than \$1,000,000 provided during the previous quarter.

The notification required by paragraph (1) and the report required by paragraph (2) shall include the recipient of the award, the amount of the award, the fiscal year for which the funds for the award were appropriated, the account and program, project, or activity from which the funds are being drawn, the title of the award, and a brief description of the activity for which the award is made.

(c) The Department of Energy may not, with respect to any program, project, or activity that uses budget authority made available in this title under the heading “Department of

Energy—Energy Programs’’, enter into a multiyear contract, award a multiyear grant, or enter into a multiyear cooperative agreement unless—

(1) the contract, grant, or cooperative agreement is funded for the full period of performance as anticipated at the time of award; or

(2) the contract, grant, or cooperative agreement includes a clause conditioning the Federal Government’s obligation on the availability of future year budget authority and the Secretary notifies the Committees on Appropriations of the House of Representatives and the Senate at least 3 days in advance.

(d) Except as provided in subsections (e), (f), and (g), the amounts made available by this title shall be expended as authorized by law for the programs, projects, and activities specified in the ‘‘Final Bill’’ column in the ‘‘Department of Energy’’ table included under the heading ‘‘Title III—Department of Energy’’ in the explanatory statement described in section 4 (in the matter preceding division A of this consolidated Act).

(e) The amounts made available by this title may be reprogrammed for any program, project, or activity, and the Department shall notify the Committees on Appropriations of the House of Representatives and the Senate at least 30 days prior to the use of any proposed reprogramming which would cause any program, project, or activity funding level to increase or decrease by more than \$5,000,000 or 10 percent, whichever is less, during the time period covered by this Act.

(f) None of the funds provided in this title shall be available for obligation or expenditure through a reprogramming of funds that—

(1) creates, initiates, or eliminates a program, project, or activity;

(2) increases funds or personnel for any program, project, or activity for which funds are denied or restricted by this Act; or

(3) reduces funds that are directed to be used for a specific program, project, or activity by this Act.

(g)(1) The Secretary of Energy may waive any requirement or restriction in this section that applies to the use of funds made available for the Department of Energy if compliance with such requirement or restriction would pose a substantial risk to human health, the environment, welfare, or national security.

(2) The Secretary of Energy shall notify the Committees on Appropriations of the House of Representatives and the Senate of any waiver under paragraph (1) as soon as practicable, but not later than 3 days after the date of the activity to which a requirement or restriction would otherwise have applied. Such notification shall include an explanation of the substantial risk under paragraph (1) that permitted such waiver.

For prior FYs, see AL/FAL 2016-02.

AL 2021-XX/FAL 2021-XX Congressional Notice Requirements
VERY IMPORTANT TO READ AL/FAL CLOSELY FOR DETAILS

See AL/FAL 2016-02 for actions funded with FY 12 or FY 13 DOE Appropriated funds.

