



The Secretary of Energy

Washington, DC 20585

Secretarial Policy on Ensuring Responsibility for Financial Assistance

It is the policy of the Department of Energy (DOE) to ensure that financial assistance award recipients and the individual projects are, among other things, financially sound and economically viable, aligned with national and economic security interests, and consistent with Federal law and this Administration's policies and priorities and program goals and priorities (Standards). This policy is consistent with the general Federal Stewardship and Substantial Involvement of DOE in the financial assistance awards and essential to identifying and avoiding fraud, waste and abuse.

DOE intends to conduct focused reviews of awards and other forms of financial assistance on a case-by-case basis, especially for the large complex awards, or on groups of homogenous awards if DOE determines that such a review will adequately address the goals as set forth above. To conduct this review, DOE may utilize information previously submitted by the award recipient, DOE's own investigation or analyses or submit information requests to recipients for information relevant to the project to help inform DOE's decisional process including, but not limited to, information regarding a project's financial health, a project's technological and engineering viability, market conditions, compliance with award terms and conditions and compliance with legal requirements, including those related to national security.

To accomplish DOE's objectives, it is the policy of DOE to require that its financial assistance recipients provide written responses and supporting documentation to its information requests within communicated timeframes, and to cooperate with program personnel on any follow up requests, including verbal requests, in a timely manner, to facilitate this review. While many financial assistance awards may incorporate the audit rights under 2 C.F.R. part 200, other forms of awards have different information gathering rights available to DOE. However, in connection with the administration and management of its awards, DOE is entitled to obtain current, accurate and complete information about the project and the recipient.

It is also the policy of DOE to treat the responses to these information requests as confidential and solely for use in managing the awards and as part of its oversight, including audit, functions. Responses, as well as responsive information the recipient has previously provided to DOE, will be shared within DOE only to the extent required for proper management and oversight of the awards. Consistent with the National Security Presidential Memorandum on U.S. Government-Supported Research and Development National Security Policy-33, DOE may share information regarding risk identified as part of this due diligence process with other governmental entities.

If it is determined that a project meets Standards, then those projects will proceed. If it is determined that projects do not meet Standards, DOE may modify the project or, DOE in its discretion, may terminate the project based on the outcome of DOE's evaluation, as allowed by law. Further, if a recipient of financial assistance fails to respond to information requests within the provided timeframe, does not respond to follow-up questions in a timely manner, or offers

incomplete responses that do not reasonably facilitate DOE's review, DOE may treat as the recipient's refusal to cooperate as grounds for termination of the award or the withholding of funding.



Chris Wright
Secretary of Energy

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Date