

Congressional Notifications



Guiding Principles

- Congressional notifications inform members of Congress of significant contract actions in their districts.
- DOE uses automated or manual reporting based on the characteristics of the instant action.

[References: [FAR 5.403](#) and “[Guide for Congressional and Intergovernmental Notifications](#)” (Sep 2014), issued via DOE Deputy Secretary Memorandum (Oct 1, 2014)]

1.0 Summary of Latest Changes

This update: (1) deletes the requirement for separate reporting of the final Request for Proposal (RFP) over \$25 million via a “Solicitation Notification” form, (2) establishes that RFPs over \$25 million are reported via “Priority Congressional & Intergovernmental Notifications,” and (3) includes administrative changes.

2.0 Discussion

This chapter supplements other more primary acquisition regulations and policies contained in the references above and should be considered in the context of those references. This chapter discusses the requirements and procedures for providing Congressional notice for certain solicitation or contract actions. Advance notifications of contract actions, issuances of a final Requests for Proposal (RFP), and contract terminations are required at specific dollar thresholds.

2.1 Office of Primary Responsibility. Congressional notifications are overseen and issued by the DOE Office of Congressional and Intergovernmental Affairs (CI) to Members of Congress when DOE activities will likely affect their constituents. Contract Specialists and Contracting Officers (CS/COs) should refer to the CI “Guide for Congressional and Intergovernmental Notifications” attached to this chapter for specific thresholds, requirements and procedures.

2.2 Special Notifications. This chapter does not address special notifications required by fiscal year appropriations commonly referred to by the department as “Section 301b and 311 Congressional Notifications.” For the latest requirements of these notifications see the DOE Acquisition Letter webpage <http://energy.gov/management/listings/active-acquisition-letters>.

Please be aware that notifications under Sections 301b and 311 do not exclude the notifications covered in this chapter. In other words...you may have to report more than once for the same action! This situation is primarily due to overlapping dollar thresholds, but also may arise under circumstances requiring special notification.

2.3 Advance Notification of Award System (ANA).

ANA is an automated DOE system used to process Congressional notifications of routine contract actions (award or modification) of \$4 million or more. This process utilizes the existing data in the Strategic Integrated Procurement Enterprise System (STRIPES) which provides the data to ANA as a part of the iPortal (<https://iportal.doe.gov>). The iManage ANA User Guide is at the iPortal website. The ANA system can be accessed directly at <https://iportalwc.doe.gov/pls/apex/f?p=ANA>. The previous two websites are only accessible from a DOE authorized account.

Note: All CS/COs will need a user identification (userid) and password to access the DOE iPortal to approve or reject notifications in ANA. 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.

2.3.1 Automated Reporting. The Congressional notification process begins when award information is entered into STRIPES. ANA electronically extracts the required information from STRIPES and routes it for approval, in-turn, to the applicable Procurement Office, Program Office, and finally CI. CI then 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.

2.3.2 DATA Input. Automated notification will occur based on the dollar threshold of the award and the proper completion of data in STRIPES. In ANA the CS/CO will:

- Review the award information for accuracy and completeness.
- Complete block 4 – **place of performance**. The data to complete this block is contained in the place of performance fields on the FPDS-NG data entry screen.
- 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 the CO/CS will reject it. If it is a contract termination action of \$4 million or more (based on original contract value), the CS/CO should reject the action in ANA and then manually complete and submit DOE Form 4220.10, "Office of Congressional and Intergovernmental Affairs (CI) Congressional Grant/Contract Notification" at <http://energy.gov/cio/downloads/doe-f-422010>. See section 4.0, Manual Reporting, for further information.

- 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.
- 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 as explained in the iManage ANA User Guide. 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.
- Award the approved action on the STRIPES proposed award date. CS/COs should be aware that ANA as configured, bases release dates on calendar days, while most notification requirements are now based on business days. Award dates should be adjusted accordingly based on the specific notification requirements that apply to the action.

2.3.3 DATA Source. The below table contains information on the source of data used by ANA to populate DOE F 4220.10. These data fields must be entered correctly in STRIPES. Reporting actions are based on the pre-defined reporting and dollar thresholds in the CI guide. Instructions for specific fields are printed on the back of DOE F 4220.10.

| DOE F 4220.10, “Office of Congressional and Intergovernmental Affairs (CI) Congressional Grant/Contract Notification.” | | System of Record |
|---|---|-------------------------|
| Block # | Field Name | |
| 1 | Procuring Office | STRIPES |
| | Procuring Office Representative (CS/CO) | STRIPES |
| | Procuring Office Representative Telephone (CS/CO) | STRIPES |
| 2 | Program Office/Project Office Name (COR/COTR) | STRIPES |
| | Program Office/Project Office Telephone | STRIPES |
| 3 | Contractor, Grantee, or Offeror Name | SAM/STRIPES |
| | Contractor, Grantee, or Offeror Street Address | SAM/STRIPES |
| | Contractor, Grantee, or Offeror City | SAM/STRIPES |
| | Contractor, Grantee, or Offeror State | SAM/STRIPES |
| | Contractor, Grantee, or Offeror Zip Code | SAM/STRIPES |
| 4 | Place of Performance Street Address (The data to complete this block is contained in the place of performance fields on the FPDS-NG data entry screen.) | 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 | ANA Anticipated Award Date | STRIPES |
| | Date of Public Announcement (if any) | NOT ACTIVE |
| 6 | Contract, Grant or Other Agreement Number | STRIPES |
| | Type of Action (New/Renewal/Modification) | STRIPES |
| | Total to Date | STRIPES |
| 7 | Obligated Cost or Price of this Action | STRIPES |
| | \$ Federal Cost or Price of Total Award | STRIPES |
| | \$ Modification to Federal Cost or Price of Total Award | STRIPES |
| | \$ Recipient Cost Sharing (if applicable) | STRIPES |
| 8 | Duration of Contract, Grant, or Other Agreement (These will be generated from the “Period of Performance” start and end dates in STRIPES) | STRIPES |
| 9 | Brief Description - Please provide meaningful details. See Instructions. (This description is generated from the description under the text tab in STRIPES.) | STRIPES |

2.4 Manual Reporting.

Manual reporting is done in special circumstances when it would not be appropriate to use ANA. In these circumstances, the CS/CO will complete and submit a DOE Form 4220.10, “Office of Congressional and Intergovernmental Affairs (CI) Congressional Grant/Contract Notification” or a Priority Congressional & Intergovernmental Notification.”

2.4.1 DOE Form 4220.10. Examples of when to use the form are provided below. The form is located at <http://energy.gov/cio/downloads/doe-f-422010> and instructions for filling it out are on its second page.

2.4.1.1 Terminations. Manual reporting is required for termination actions, regardless of type, based on an original contract value of \$4 million or more. The completed form must be submitted 3 business days before issuing a contract termination.

2.4.1.2 Other Actions. Manual reporting may be required at times for other actions. Unless the CS/CO is otherwise informed that a specific action, excluding a termination 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 subcontract level action and a press release is to be issued by DOE; or

- Is a subcontract level action which is known to have been the subject of a Congressional inquiry.

2.4.1.3 Submission Requirements. Complete the form and submit it as follows:

- Print and sign the completed form;
- Scan the form and create an Adobe PDF file. Name the file according to the following convention: <Program Office Code> <Contract requirement, grantee or offeror> <Contract, grant, or other agreement number>. Example: EE University of Utah DE-EE0001234; and
- Email the completed document to the ANA System Coordinator at CI-ANA@hq.doe.gov.

2.4.2 Priority Congressional & Intergovernmental Notification (PCN). The Program Office is responsible for preparing and submitting the PCN form required by CI for specific program actions requiring special attention or additional information not provided in the DOE F 4220.10. In the event the Program Office decides to submit a PCN, the CS/CO should be available to coordinate any necessary information requested by the applicable Program Office. CS/COs should refer to the CI “Guide for Congressional and Intergovernmental Notifications,” attached to this chapter, for further guidance on the PCN requirements and process. Some of the actions that would be reportable via a PCN are:

- Awards below established thresholds of significant stakeholder interest;
- Contract award/modification greater than \$4 million that need more extensive congressional or intergovernmental notification;
- Fee determinations, fines or penalties; and
- Final Request for Proposal greater than \$25 million

3.0 Attachment

“Guide for Congressional and Intergovernmental Notifications” (Sep 2014), issued via DOE Deputy Secretary Memorandum (Oct 1, 2014)