

Preliminary Glossary of U.S. Department of Energy Terms for Inclusive Innovation and Entrepreneurship

Advancing equity, civil rights, racial justice, and equal opportunity is the responsibility of the entire U.S. government, including the U.S. Department of Energy (DOE). DOE is taking a number of proactive steps to diagnose and eliminate barriers to equal opportunity by enabling an inclusive and just entrepreneurial innovation ecosystem in climate and energy technologies. This preliminary glossary of terms used within DOE funding instruments and federal policies is intended to support these efforts and provide common language for discussion. Terms are categorized based on themes identified for innovation and entrepreneurship at DOE.

These terms and definitions, unless otherwise noted, were compiled by the Office of Indian Energy as part of their Glossary of Terms, Systems and Acronyms ¹ to help award recipients navigate DOE and the Office of Indian Energy award processes from pre-award to closeout. That glossary is an appendix to the Recipient Guide to Award Negotiation and Administration ², which provides additional information to guide recipients through the award process.

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¹ "Appendix 1: Glossary of Terms, Systems and Acronyms." Office of Indian Energy, 2020, <https://www.energy.gov/sites/prod/files/2020/06/f76/appendix-1-glossary.pdf>

² "Recipient Guide to Award Negotiation and Administration & Appendices." Office of Indian Energy Policy and Programs, 2020, <https://www.energy.gov/indianenergy/downloads/recipient-guide-award-negotiation-and-administration-appendices>

Inclusive Innovation

Inclusivity in Federal Priorities

“Environmental justice” is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income, with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies ³. Executive Order 12898 directed federal agencies to “make achieving environmental justice part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations” ⁴.

“Equity”, as defined in Executive Order No. 13985, “means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality” ⁵.

“Underserved communities” “refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life” ⁶.

U.S. Department of Energy Funding Instruments

Awards & Submission Sites

“EERE Exchange” is the Department of Energy, Energy Efficiency and Renewable Energy’s web system for posting Federal FOAs and receiving applications. EERE Exchange may be found at <https://eere-exchange.energy.gov>. Applications must be submitted through this portal in response to a FOA.

“FedConnect” is where federal agencies make awards and Recipients accept awards via the web. It can be found at <https://www.fedconnect.net/FedConnect/>.

“FOA” stands for **“Funding Opportunity Announcement”** which is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. FOAs may be known as

³ “Environmental Justice.” EPA, <https://www.epa.gov/environmentaljustice>.

⁴ Executive Order No. 12898, Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations. 3 C.F.R. 7629, 1994.
<https://www.federalregister.gov/documents/1994/02/16/94-3685/federal-actions-to-address-environmental-justice-in-minority-populations-and-low-income-populations>

⁵ Executive Order No. 13985. “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government”. 3 C.F.R. 7009, 2021.
<https://www.federalregister.gov/documents/2021/01/25/2021-01753/advancing-racial-equity-and-support-for-underserved-communities-through-the-federal-government>

⁶ Ibid. (Same source as above).

FOAs, notices of funding availability, solicitations, or other names depending on the agency and type of program. See 2 CFR 200.203 for more information.

“Grants.gov” is the web portal which allows organizations to electronically find grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies. It can be accessed at <http://www.grants.gov>.

“Project Management Center (PMC)” is the portal for Recipients to submit required reports and NEPA Environmental Questionnaires. Access and register with the PMC at <https://www.eere-pmc.energy.gov/>.

“RFI” stands for **“Request for Information”** is a process to collect written feedback regarding the specific request. It is an important step to ensure open and inclusive collaboration between government and stakeholders across government, community, and industry ⁷.

“SAM” stands for **“System for Award Management”** is the primary database which collects, validates, stores and disseminates data in support of agency missions. It can be accessed at <https://www.sam.gov>.

VIPERS is the Vendor Invoicing Payments Electronic Reporting System at <https://vipers.doe.gov/>. Payment requests and supporting documentations are submitted here for review and reimbursement.

Personnel Roles

“Applicant” means the legal entity or individual signing the application. This entity or individual may be one organization or a single entity representing a group of organizations (such as a Consortium) that has chosen to submit a single application in response to a FOA.

“Authorized Representative” refers to an individual who is designated by a tribe, or an organization, to act as an agent of that tribe or organization.

“Business Contact” means a representative of the Applicant authorized to act on behalf of the Applicant in the daily administration of the grant and to negotiate the agreement, as all DOE official correspondence related to this announcement, or agreement if one was awarded, would be addressed to the business point of contact.

“Contracting Officer” means the DOE official authorized to execute awards on behalf of DOE and who is responsible for the business management and non-technology/program office aspects of the financial assistance process.

“E-Business Point of Contact (POC)” is the individual who is designated as the Electronic Business Point of Contact in the SAM registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to conduct SAM transactions.

⁷ In the EERE Exchange, announcement types include both FOAs and RFIs but are two distinct announcements. RFIs are not a Funding Opportunity Announcement (FOA).

“Key Personnel” mean the individuals who will have significant roles in planning and implementing the proposed Project on the part of the Applicant and Participants, including FFRDCs.

“Principal Investigator” means a representative authorized to act as the **“Technical Contact”** or **“Project Manager”** on behalf of the Applicant and would be the prime point of contact for DOE’s Project Officer during the period of performance of the grant, if an agreement is awarded. See Technical Contact and Project Manager.

“Project Manager” means a representative authorized to act as the **“Technical Contact”** or **“Principal Investigator”** on behalf of the Applicant and would be the prime point of contact for DOE’s Project Officer during the period of performance of the grant, if an agreement is awarded. See Principal Investigator and Technical Contact.

“Project Team” means the team which consists of the Recipient, subrecipients, and others performing or otherwise supporting work under a DOE funding agreement.

“Recipient” or **“Awardee”** means the organization, individual, or other entity that receives a financial assistance award from DOE (i.e., is the signatory on the award), is financially accountable for the use of any DOE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and condition of the award.

“Selectee” refers to an Applicant whose submitted application has been selected for award negotiation. A Selectee who successfully completes the award negotiation process may become a Recipient.

“Selection Official” means the DOE official designated to select applications for negotiation toward Award under a subject FOA.

“Subawardee, Subrecipient, or Subcontractor” (excluding vendors) means the legal entity to which a subaward is made and which is accountable to the Recipient for the use of the funds or property provided under a Financial Assistance Award. A Subrecipient is a third party participating in a project who contributes any amount of cost share to the proposed project or who has a vested interest in the proposed project.

“Technical Contact” means a representative of the Applicant authorized to act as the **“Project Manager”** or **“Principal Investigator”** on behalf of the Applicant and would be the prime point of contact for DOE’s Project Officer during the period of performance of the grant, if an agreement is awarded. See Principal Investigator and Project Manager.

Vendor is a legal entity contracted to provide goods and services within normal business operations, who provides similar goods or services to many different purchasers, and operates in a competitive environment.

Organization Types

“FFRDC” stands for **“Federally Funded Research and Development Center (FFRDC)”** means a government-sponsored operation that exists for the purpose of carrying out various functions related to both basic and applied research and development on behalf of the Government. Typically, most or all of the facilities utilized in an FFRDC are owned by the Government, but the operations are not always managed by the Government; an FFRDC may

be managed by a University or consortium of Universities, other not-for-profit or nonprofit organization, or a for-profit organization, with the Government performing an oversight function.

“Large Businesses” may be defined as simply those that are larger than 'small businesses' as defined by the US Small Business Administration (SBA). SBA defines small businesses based on business sector or type. SBA has established two widely used size standards – 500 employees for most manufacturing and mining industries and \$7.5 million in average annual receipts for many nonmanufacturing industries. However, there are a number of exceptions. See <https://www.sba.gov/contracting/getting-started-contractor/make-sure-you-meet-sba-size-standards/summary-size-standards-industry-sector>

Financing Types

“Cooperative Agreement” means a financial assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the Applicant during the performance of the contemplated activity. Refer to 2 CFR 200.24 for additional information regarding cooperative agreements.

“Grant” means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the Applicant during the performance of the contemplated activity.

“Financial Assistance” means the transfer of money or property to an Applicant or Participant to accomplish a public purpose of support authorized by Federal statute through grants or cooperative agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

DOE Program Offices & Relevant Federal Offices

“AITO” refers to the **“Artificial Intelligence & Technology Office”**. AITO is a program office within DOE. AITO aims to accelerate the research, development, delivery, and application of Artificial Intelligence ⁸

“ARPA-E” refers to the **“Advanced Research Projects Agency-Energy”**. ARPA-E is a program office within DOE that advances high-potential, high-impact energy technologies that are too early for private-sector investment ⁹.

“CESER” refers to the **“Office of Cybersecurity, Energy Security, and Emergency Response”**. CESER is a program office within DOE. CESER improves energy infrastructure security and supports the DOE’s national security mission, focusing on preparedness and response activities to natural and man-made threats ¹⁰

⁸ <https://www.energy.gov/ai/artificial-intelligence-technology-office>

⁹ <https://arpa-e.energy.gov>

¹⁰ <https://www.energy.gov/ceser/office-cybersecurity-energy-security-and-emergency-response>

“ED” refers to the **“Office of Economic Impact and Diversity”**. ED is a program office within DOE. ED advises on the impact of energy policies, regulations, and DOE programs on minority communities, minority institutions, and specific segments of the U.S. population ¹¹.

“EERE” refers to the **“Office of Energy Efficiency and Renewable Energy”**. EERE is a program office within DOE. EERE’s mission is to create and sustain American leadership in the transition to a global clean energy economy. Its vision is a strong and prosperous America powered by clean, affordable, and secure energy ¹².

“EM” refers to the **“Office of Environmental Management”**. EM is a program office within DOE. EM is charged with addressing the nation’s Cold War environmental legacy resulting from five decades of nuclear weapons production and government-sponsored nuclear energy research, including the clean up of 107 sites across the country ¹³.

“LM” refers to the **“Office of Legacy Management”**. LM is a program office within DOE. LM is tasked with fulfilling the DOE’s post-closure responsibilities and ensure the future protection of human health and the environment ¹⁴.

“LPO” refers to the **“Loan Programs Office”**. LPO is a program office within DOE. LPO provides loans and loan guarantees available to help deploy large-scale, innovative energy infrastructure projects in the United States ¹⁵.

“NE” refers to the **“Office of Nuclear Energy (NE)”**. NE is a program office within DOE. NE’s mission is to advance nuclear energy science and technology to meet U.S. energy, environmental, and economic needs ¹⁶.

“OE” refers to the **“Office of Electricity”**. OE is a program office within DOE. OE leads the DOE efforts to ensure the Nation’s most critical energy infrastructure is secure, drive grid technology evolution and enable rapid recovery from disruptions. OE also leads activities that provide long-term transformational strategies to ensure that it supports the evolving grid and emerging threats, like climate or cyber events ¹⁷.

“OMB” refers to the **“Office of Management and Budget”**. The Office of Management and Budget (OMB) serves the President of the United States in overseeing the implementation of his vision across the Executive Branch. Specifically, OMB’s mission is to assist the President in meeting his policy, budget, management and regulatory objectives and to fulfill the agency’s statutory responsibilities.

“OSTI” stands for the **“Office of Scientific and Technical Information”**. OSTI is a component of the Office of Science within DOE. The Energy Policy Act PL 109-58, Section 982, called out the responsibility of OSTI: “The Secretary, through the Office of Scientific and Technical Information, shall maintain with the Department publicly available collections of scientific and

¹¹ <https://www.energy.gov/diversity/office-economic-impact-and-diversity>

¹² <https://www.energy.gov/eere/office-energy-efficiency-renewable-energy>

¹³ <https://www.energy.gov/em/office-environmental-management>

¹⁴ <https://www.energy.gov/lm/office-legacy-management>

¹⁵ <https://www.energy.gov/lpo/loan-programs-office>

¹⁶ <https://www.energy.gov/ne/office-nuclear-energy>

¹⁷ <https://www.energy.gov/oe/office-electricity>

technical information resulting from research, development, demonstration, and commercial applications activities supported by the Department.” Final Technical reports are submitted to OSTI via E-Link at <https://www.osti.gov/elinek/>.

The “**Office of Fossil Energy**” is a program office within DOE. The Office of Fossil Energy is responsible for the research and development of programs involving coal, petroleum, and natural gas ¹⁸.

The “**Office of Indian Energy Policy and Programs**” is a program office within DOE. The Office of Indian Energy Policy and Programs funds and implements a variety of programmatic activities that assist American Indian Tribes and Alaska Native villages with energy development, capacity building, energy cost reduction, and electrification of Indian lands and homes ¹⁹.

The “**Office of Science**” is a program office within DOE. The Office of Science is the lead federal agency supporting fundamental scientific research in the physical sciences and energy production and security ²⁰.

Submission and Project Terminology

“**Award**” means the written documentation executed by a Contracting Officer, after an Applicant is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the Applicant. A financial assistance award may be a grant, cooperative agreement, or technology investment agreement.

“**Award Negotiation**” occurs after the application is selected for a potential award when the selectee and DOE negotiates the award terms and documents including the federal and cost share amount, the Statement of Work (SOPO), timeline, and the budget.

“**Budget**” means the cost expenditure plan submitted in the application, including both the DOE contribution and the Applicant cost share.

“**Compliance**” is an eligibility determination that refers to the non-technical requirements outlined in a FOA (e.g., formatting, timeliness of submission, or satisfaction of prerequisites).

“**Control Number**” will be issued when an applicant begins the EERE Exchange application process. This control number must be included with all application documents ²¹.

“**Cost Sharing**” is the portion of the project or program’s costs not borne by the federal government. The non-federal cost share is calculated as a percentage of the Total Project Cost.

“**DUNS**” stands for “**Data Universal Numbering System**” is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS

¹⁸ <https://www.energy.gov/fe/office-fossil-energy>

¹⁹ <https://www.energy.gov/indianenergy/office-indian-energy-policy-and-programs>

²⁰ <https://www.energy.gov/science/office-science>

²¹ This term is not included in the Office of Indian Energy’s Glossary of Terms, Systems and Acronyms. It has been added to this glossary after a review of current FOAs.

number prior to registering in the SAM (System for Award Management). Call 1-866-705-5711 (US Only) or go to <http://fedgov.dnb.com/webform> to receive a DUNS number free of charge.

“FTE” stands for **“Full-time equivalent”** and is a unit that indicates the workload of an employed person.

“Marketing Partner Identification Number (MPIN)” is a very important password designated by your organization when registering in SAM. The E-Business Point of Contact will need the MPIN to assign privileges to the individual(s) authorized to perform SAM transactions on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

“NOI” stands for **“Notice of Intent”**. The purpose of issuing an NOI is to provide potential applicants advance notice of a proposed upcoming FOA.

“PII” stands for **“Personally Identifiable Information”**. PII is information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc. PII should not be included in reports submitted to DOE that are intended for publication such as the Final Technical Reports that will be publicly available.

“Period of Performance” is the length of a project when approved work may take place, as specified by the start and end dates on the Assistance Agreement document, provided to grant Recipients via FedConnect.

“Project” means the set of activities described in an application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).

“RDD&CA” stands for **“research, development, demonstration, and commercial application”** ²².

SMART stands for Specific, Measurable, Achievable, Realistic, and Timely and is used to help guide goal setting. Plans required for FOAs may require SMART milestones ²³.

“SOPO” stands for **“Statement of Project Objectives”**. This document describes the project goals, tasks and its timeline, which is included in the approved award documents.

“Substantial Involvement” means involvement on the part of the Government. DOE's involvement may include shared responsibility for the performance of the project; providing technical assistance or guidance which the Applicant is to follow; and the right to intervene in the conduct or performance of the Project. Such involvement will be negotiated with each Applicant prior to signing any cooperative agreement.

²² “Technology Commercialization Fund.” Office of Technology Transitions, <https://www.energy.gov/technologytransitions/technology-commercialization-fund>

²³ This term is not included in the Office of Indian Energy's Glossary of Terms, Systems and Acronyms. It has been added to this glossary after a review of current FOAs.

“Supplemental Data Letter” is a letter sent to Applicant(s) who have been selected for award negotiation from the Contracting Officer requesting additional information to clarify or supplement their Application.

“Total Project Cost” means all the funds to complete the effort proposed by the Applicant, including DOE funds (including direct funding of any FFRDC) plus all other funds that will be committed by the Applicant as Cost Sharing.

Codes, Regulations, & Policy

“CFR” stands for the **“Code of Federal Regulations”** which is the codification of the general and permanent rules published in the Federal Register by the departments and agencies of the Federal Government. In general 2 CFR 200 and 2 CFR 910 are applicable to grants awarded by DOE.

“eCFR” stands for the **“Electronic Code of Federal Regulations”** at <http://www.ecfr.gov/>

“FOIA” stands for **“Freedom of Information Act”** and is a law that gives the public the right to access information from the federal government.

“GAAP” stands for **“Generally Accepted Accounting Principles”** which are a common set of accounting principles, standards and procedures that entities must follow when they compile their financial statements.

“NEPA” stands for the **“National Environmental Policy Act”** which requires the Federal Government to evaluate and understand the potential impacts to the environment BEFORE committing resources to a proposed action (i.e. providing federal funding). The entire project (either funded with Federal funds or cost-shared) is subject to NEPA compliance. NEPA determinations include **Categorical Exclusions (CX)** for pilot projects and studies, **Environmental Assessment (EA)** when activities may result in environmental impacts, **or Environmental Impact Statement (EIS)** when activities may have significant impact to the environment.

“UCC” stands for **“Uniform Commercial Code”** which was first published in 1952 and is one of a number of uniform acts that have been put into law with the goal of harmonizing the law of sales and other commercial transactions across the United States of America (U.S.) through UCC adoption by all 50 states, the District of Columbia, and the U.S. territories.