



U.S. DEPARTMENT OF
ENERGY

Office of
Science

Office of Science

Diversity, Equity & Inclusion Initiatives

Update at the Principal Investigators' Virtual Meeting of the
SC Office of High Energy Physics

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DOE Office of Science

<https://science.osti.gov>

SC's Diversity, Equity & Inclusion Initiatives



Promoting DEI in SC's Business Practices

In 2018, the Office of Science's (SC) Senior Management called for a new SC Working Group on Diversity & Inclusion.

The SC D&I Working Group Charge:

- **Assess what SC is currently doing to improve diversity, equity, and inclusion (DEI) in its awards management and related business processes.**
- **Identify opportunities for SC to advance DEI in its business practices and demonstrate that DEI is foundational to SC business practices.**

SC's Associate Directors each nominated a program representative to serve on the D&I WG. The D&I WG was chaired by SC-2 senior staff.



SC D&I Working Group & Report Timeline

Mid-2018

- **D&I Working Group Formed**

- SC Offices shared existing program practices aimed at DEI; reviewed recommendations from past COV reviews and reports from SC co-sponsored equity workshops, scientific professional societies, and the National Academies.

April - Aug
2019

- **Working Group Deep-Dive Discussions**

- The WG systematically reviewed the full spectrum of SC's business practices: solicitation processes, peer review; S&T performance and facility reviews, SC Federal advisory committees, technical workshops, program areas.
- The WG identified 40+ actions for SC to take to advanced DEI through SC's business practices.

Sep 2019 –
April 2020

- **Recommendations Report Development**

- Recommended actions were organized into **15 Recommendations** organized around SC's business processes. The report documents supporting information behind the recommendations, including existing SC practices, COV and equity workshop recommendations, peer-reviewed literature and relevant practices of other Federal science agencies.

April – Nov
2020

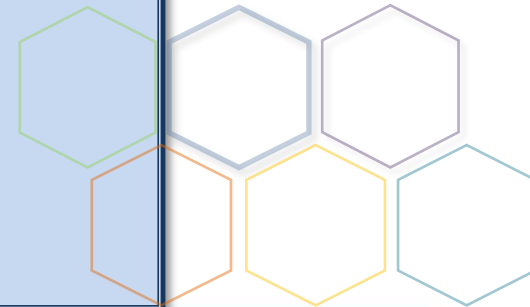
- **Report Review and Concurrence**

- The Recommendations and the report received concurrences from all SC ADs, SC-2, and SC-3.
- SC-1 approved the report and recommendations.

SC Business Processes Reviewed

SC D&I Working Group's systematic review of SC's business processes related to its management of extramural research awards and related activities included:

- Award Making Policies and Practices within Existing Authorities
- Solicitation Language; Use of Letters of Intent & Pre-proposals
- Peer Reviewer Selection Process for all Types of SC Peer Reviews
- SC Proposal Peer Review Processes
- Peer Review of S&T Research Performance and SC Facilities
- SC Workshops, Roundtables, and PI Meetings
- SC Federal Advisory Committees and Subcommittees (e.g., COVs)
- Notional Implementation Strategies



SC D&I Working Group - Report Recommendations

Based on analyses and discussions of the D&I Working Group, **15 Recommendations** were developed that serve to ensure that SC's business processes:

- Are supportive and inclusive of women and underrepresented groups in STEM fields;
- Allow for more rigorous tracking of diversity of applicants, awardees, and reviewers;
- Limit and mitigate potential implicit bias behaviors; and
- Encourage inclusive and professional behaviors in all SC-sponsored activities.

Recommendation discussions focused on the high-level actions SC should take, not the details of implementation.



Recommendations by SC Business Process Area

Award Making Policies & Practices within Existing Authorities	• 3 Recommendations
Updated Solicitation Language & Use of LOIs & Pre-applications	• 2 Recommendations
Peer Reviewer Selection Process for all Types of SC Peer Reviews	• 2 Recommendations
Peer Reviewer & SC Program Manager Guidance & Resources	• 2 Recommendations
SC Proposal Review Processes	• 1 Recommendation
S&T Research Performance Reviews & Facility Reviews	• 3 Recommendations
SC Workshops & Roundtables	• 1 Recommendation
Federal Advisory Committees & Subcommittees	• 1 Recommendation

Categories of Action

Recommendations were organized into **Categories of Action** for Implementation.

15 Recommendations



7 Categories of Action



DEI- Supporting Policies & Practices



Standard Review and Selection Criteria & Protocols



Peer Reviewers



Demographics Tracking



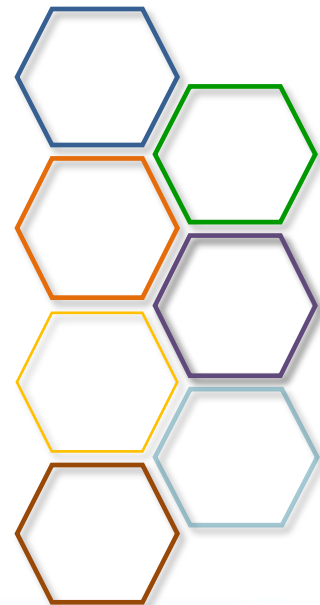
SC-Sponsored Meetings



Program Manager Guidance & Supporting Tools.



Community Engagement



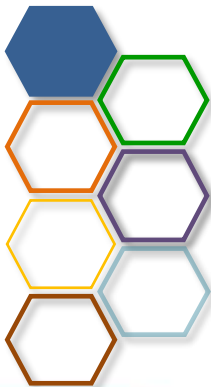
DEI Supporting Policies and Practices

Opportunity:

SC has an opportunity to advance DEI through better communication of existing policies within current Federal regulations and through standardizing our procedures and practices.

Actions:

- Build on [SC's Statement of Commitment](#) through proactive communications of SC's expectations for DEI in funded activities, and associated procedures for reporting incidents and addressing concerns.
- Promote and communicate existing Federal regulations and requirements regarding non-discrimination and personal conduct in SC funding solicitations.
- Promote and utilize existing flexibilities under financial assistance agreements that supports diverse individual circumstances (e.g. communicating allowable costs, and budget modification flexibilities).



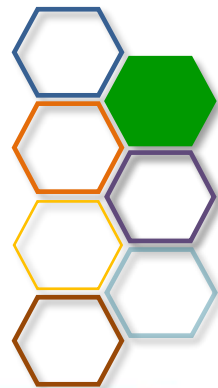
Standard Review and Selection Criteria and Protocols

Opportunity:

With each step in a solicitation process leading up to the peer review and selection of proposals, as well as in the post award management of SC's portfolios (e.g. S&T research performance and facility reviews), SC Programs are making decisions that present an opportunity to support DEI and have a responsibility to ensure transparent processes and objective decision-making. *Actions establish options for SC Programs to apply for a given solicitation or review process.*

Actions:

- Update and standardize procedures for the use of Letters of Intent and Pre-applications to ensure transparent communication of requirements, promote diverse participation, and equitable consideration of diverse applicants.
- Establish a set of standard diversity-promoting review criteria options for internal competitive review of pre-applications.
- Establish a standard set of diversity-promoting Program Policy Factors for solicitations and associated program guidance for their use.
- Establish a standard set of diversity-promoting review criteria options for S&T performance reviews and associated program guidance for their use.
- Establish a standard set of diversity-promoting review criteria options for SC facility reviews and associated program guidance for their use.



Peer Reviewers

Opportunity:

SC solicits over 23,800 individual reviews from over 6,400 peer reviewers annually. SC has an opportunity to ensure that the diversity of its reviewer panels and reviewer pools better reflect the diversity of the STEM fields it supports, and to identify and address barriers to reviewer participation. Likewise, the quality and consistency of peer reviews would benefit from establishing additional standard SC reviewer guidance and training.

Actions:

- Establish SC guidance for program office-specific goals (program-determined goals) for balancing the demographics of reviewers on panels and within reviewer pools.
- Develop a comprehensive strategy for recruiting new reviewers to increase the overall reviewer pool, increase the diversity of the reviewer pool, and for decreasing barriers to reviewer participation.
- Update and standardize SC's reviewer guidance to include: communication of the SC Statement of Commitment and expectations of professional conduct during SC reviews; a reminder of the appropriate role to provide constructive, technical feedback; and standard implicit bias awareness and mitigation training. Incorporate the new guidance in reviewer orientation content.



Demographics Tracking

Opportunity:

With standard practices for increasing reporting on demographics of applicants, awardees, and reviewers, SC will develop the knowledge base to track whether it is improving DEI within its programs and activities. With greater tracking of demographic information and process documentation, SC will have the information necessary to objectively assess whether bias is creeping into peer review and selection processes and identify areas for further process improvements.

Actions:

- Track and document demographics of applicants throughout all review and decisions stages of the proposal review and selection process.
- Document the demographics of reviewers invited and reviewers served for all types of SC peer reviews.
- Identify and implement actions to increase the response rates of *applicants* to the demographic questions in PAMS profiles.
- Identify and implement actions to increase the response rates of *reviewers* to the demographic questions in PAMS profiles.
- Track demographics of SC Federal Advisory Subcommittee Members.



SC-Sponsored Meetings

Opportunity:

By providing official SC guidance and requirements for SC-sponsored and SC-commissioned meetings, SC will consistently communicate its expectations for diverse participation and for inclusive and professional behaviors in the development and implementation of those meetings, consistent with SC's Statement of Commitment.

Actions:

- Establish an SC guidance document, written at a high level, for conducting SC-commissioned technical workshops and roundtables that includes SC's requirements and expectations for diverse participation and respectful and inclusive technical discussions.
- Establish SC requirements and expectations for host institutions of scientific meetings and conferences as a condition of SC support of meeting and conference proposals.
- Establish an SC guidance document for SC Federal Advisory Committee Subcommittees that provides SC's expectations for Subcommittee membership and Member conduct, including guidance to Subcommittee Members as they perform the functions of their official charge.



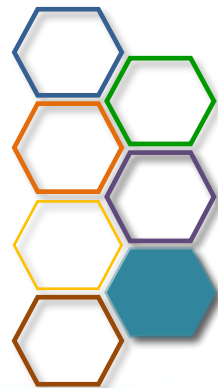
Program Manager Guidance and Supporting Tools

Opportunity:

Implementing changes to SC business practices requires appropriate guidance, training, and resources to all SC Program Staff involved in those practices. Providing support and enabling tools is essential in helping Program Staff carry out their roll in advancing DEI in SC's business practices. *The implementation of all report actions will involve some level of guidance and resource development to support SC Program Staff.*

Actions:

- Develop informational and instructional materials for SC Program Managers and staff on the SC Statement of Commitment and Federal civil rights requirements as they apply to award recipients and recipient institutions, including procedures for reporting or mitigating concerns.
- Develop informational resources and tools to Program Staff for the implementation of new guidance and requirements for all recommendation actions as they are implemented. In particular, the actions related to solicitations, peer reviews, SC-sponsored technical workshops and tracking demographics.
- Host learning sessions and provide training opportunities for Program staff; develop a repository for guidance and tools available to program staff.
- Develop informational resources and tools for SC Designated Federal Officials (DFOs) and Program staff for the implementation of new guidance for Federal Advisory Subcommittees.



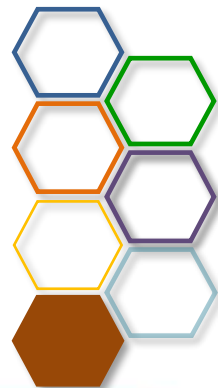
Community Engagement

Opportunity:

Clear internal and external communications and an engagement strategy that provides transparency on SC's existing and changing business practices to support DEI will be essential to the successful implementation of the SC D&I Working Group Report Recommendations. *The implementation of all actions related to applicants, awardees, and reviewers will require general and targeted communications to the scientific community and to the public.*

Actions:

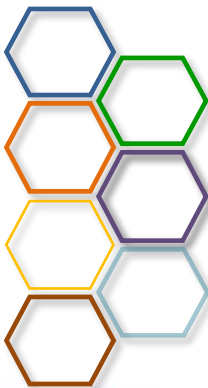
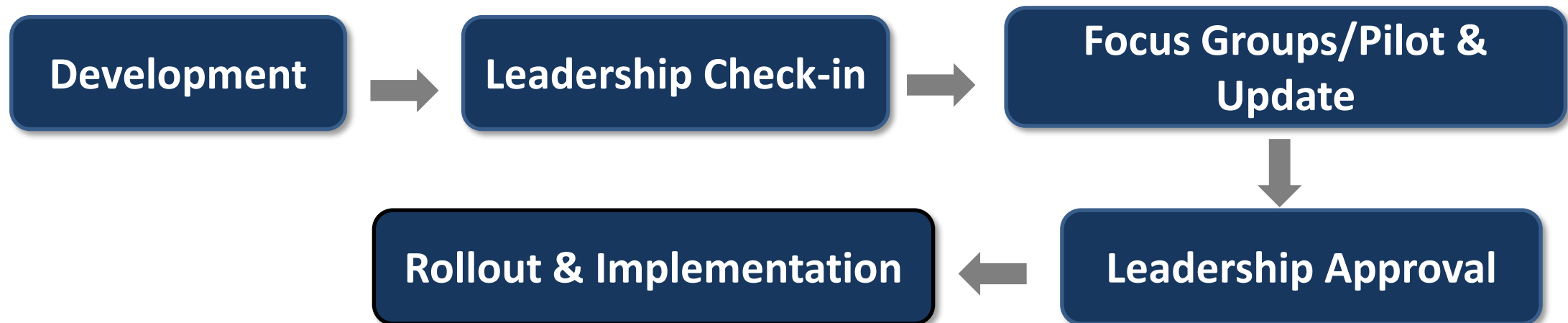
- Create a communications plan for providing updates on SC DEI efforts, including the implementation of the report recommendations.
- Develop a web presence for communicating SC DEI actions to applicants, awardees, reviewers, and scientific community, including updating SC's DEI sites and Grants and Contracts pages.
- Develop fact sheets, slides, and other documents that can be used by SC Program Staff to communicate new policies, SC actions, and guidance to the community.
- Post new SC guidance for technical workshops and associated templates for related communications on the SC website.
- Develop supplemental information to SC Federal Advisory websites regarding DEI guidance for Subcommittee activities.



Implementation of the Report Recommendations

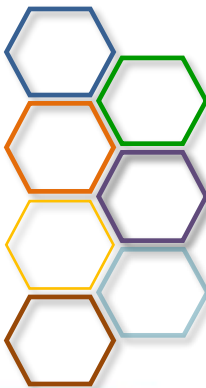
A new, reconstituted SC DEI Working Group has been formed that will focus on implementation report recommendations.

- The SC DEI WG will focus on a **phased approach**, taking into consideration in the first phase those actions that can be accomplished in a short timeframe. Some actions will require longer development times than others.
- Actions will be grouped within a phase, each group of actions will be implemented through the following process:



SC DEI (Implementation) Working Group

Office	Implementation WG Members
ASCR	William Spotz
BER	Daniel Stover
BES	Athena Sefat
FES	Guinevere Shaw
HEP	David Cinabro (<i>IPA</i>)
NP	Sharon Stephenson
SBIR	Eileen Chant
WDTS	Ping Ge
DOE IP	Ethan Balkin, Khianne Jackson
ARDAP	Marion White (<i>on detail from ANL</i>)
SC-3	Kaitlyn Schroeder-Spain
SC-2*	Julie Carruthers; Daniel Stover



Acknowledgements: (Original) SC D&I Working Group

Office	Report SC D&I WG Members
ASCR	Claire Cramer
BER	Sharlene Weatherwax; Seema Singh (<i>detail from SNL</i>)
BES	Bruce Garrett
FES	Curt Bolton
HEP	Alan Stone; Michael Cooke
NP	Elizabeth Bartosz
SBIR	Chris O’Gwin
WDTS	Jim Glownia
SC-2	Julie Carruthers*; Lisa Durham (<i>detail from ANL</i>) Kaitlyn Schroeder-Spain (<i>AAAS STP Fellow</i>)



Thank you!