



U.S. DEPARTMENT OF
ENERGY

Office of
Science

Office of Science

Diversity, Equity & Inclusion Initiatives

Presentation to the

Biological and Environmental Research Advisory Committee

October 25, 2019

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<https://science.osti.gov>

Diversity, Equity & Inclusion Initiatives

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Diversity, Equity & Inclusion at DOE National Labs

- In 2015, the DOE Office of Science began to take a closer look at the policies and requirements of its 10 DOE national laboratories for fostering diverse and inclusive research environments, as well as policies and procedures for prohibiting discrimination and harassment.
- The DOE laboratories are required under their Management & Operating (M&O) Contracts to have in place “innovative strategies for increasing opportunities to fully use the talents and capabilities of a diverse work force,” including promoting diversity through:
 - The contractor’s workforce
 - Educational outreach
 - Community involvement
 - Subcontracting and technology transfer
- The DOE labs must also meet the requirements set forth in civil rights laws regarding the prohibition of discrimination and harassment and preventing hostile work environments.
- Up until that time, oversight of these requirements were largely managed by the SC federal site offices.



A New SC Process for Review of SC Labs' DEI Efforts

- Since 2006, SC leadership has engaged its 10 DOE labs in annual laboratory planning (ALP) processes whereby SC's senior management reviewed the labs' S&T strategic plans, including looking at infrastructure needs and human resources. A recognized best practice in DOE.
- In 2016, borrowing a page from SC ALP playbook, SC established a process for an SC Headquarters-led annual evaluation of the laboratories' efforts in diversity, equity, and inclusion (DEI).
- In October 2016, the former SC Director issued a memo to the 10 SC laboratories describing:
 1. The steps SC would take to establish uniform guidance for SC laboratories to communicate their DEI strategies to SC, and how SC would review and provide feedback on their strategies, and
 2. A new requirement for the SC laboratories to publically post their workforce demographic data on their public websites, and update the data annually. (Due by April 2017.)
- The Labs were invited to provide feedback on the SC guidance before it was issued in final form.
- The National Laboratory Directors Council (NLDC) came up with a common set of job categories across the DOE lab complex that the labs would use to report demographic information in a consistent manner.

A New SC Process for Review of SC Labs' DEI Efforts

- This new process started a shift in oversight from compliance to requiring actionable strategies.
- SC guidance to the labs provided a common set topics the labs should address in their DEI Strategies, including describing their lab DEI challenges, leadership and staff roles and responsibilities, DEI goals, accomplishments and planned actions, and measures of progress.
- SC review of the labs' strategies would include Associate Director-level feedback and SC leadership feedback from Headquarters, as well as SC Site Office input.
- In 2017 and 2018, SC's review process coincided with the ALP review process, with high level feedback provided to DOE Lab senior management, followed by detailed written feedback.
- In 2019, SC's review process for the lab DEI strategies was decoupled from the ALP process to allow for more time to review and more detailed feedback discussions with Laboratory Leadership.
- After three years of this process, SC has decided it's time to commence an external peer review of experts to evaluate the laboratories' DEI efforts.



Emerging DEI Promising Practices at DOE Labs

A few examples:

- Strong, demonstrated commitment by lab leadership to foster a culture at the lab that embraces diversity, equity, and inclusion.
- Lab-wide professional climate surveys to assess the lab cultures and identify challenges, periodic pulse surveys.
- Establishing a lead D&I manager who has direct access to the Laboratory Director.
- Holding lab management and supervisors accountable for lab's D&I goals through their performance appraisals.
- Openly posting and competing all laboratory positions, including postdoc positions.
- Requiring diversity and implicit bias training of all hiring managers.
- Screening all job postings for gender biased language using reputable commercial software programs.
- Supporting Employee Resources Groups that are formally chartered and have Executive-level champions.
- Competitive benefits and family-friendly policies (e.g. paid parental leave, flexible work schedules).
- Strategically using STEM training program participants as a direct pipeline to diverse laboratory hires.
- Tracking the effectiveness of DEI efforts with meaningful metrics and measures of success.



SC External Review of the SC DOE Lab DEI Efforts

SC is convening a panel of experts this Fall to evaluate whether the strategies and actions to promote diversity, equity, and inclusion at the DOE SC National Laboratories are effective by ensuring that:

- The SC National Laboratories can competitively attract, develop, and retain a diverse workforce of talented staff, and
- The SC National Laboratories cultivate equitable and inclusive laboratory cultures that are critical to building the creative and innovative work environments needed to deliver on the DOE mission.

The intent of the panel review is to collect valuable, independent feedback from external peer reviewers to inform SC on how its DOE national laboratories can more effectively advance their diversity, equity, and inclusion efforts.

The review panel will consist of reviewers with expertise ranging from leadership in managing large research organizations or departments; operations management, including human resources and civil rights compliance; social science research in diversity, harassment, and workplace civility; and professional leadership in promoting diversity in science and engineering fields.



DOE National Labs Workforce Demographic Data

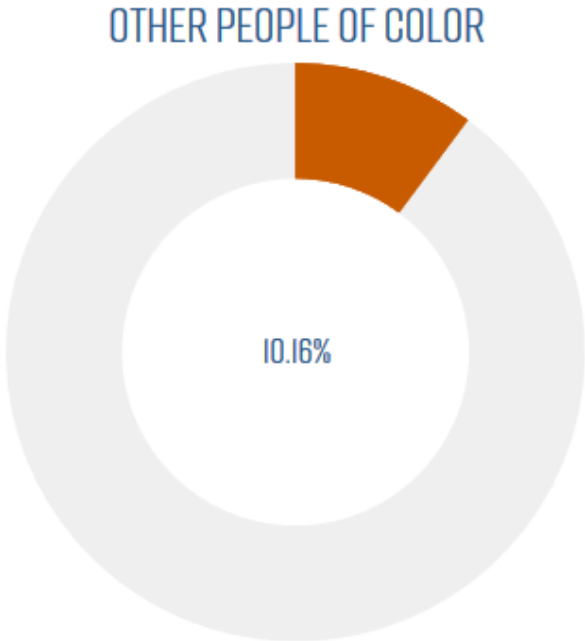
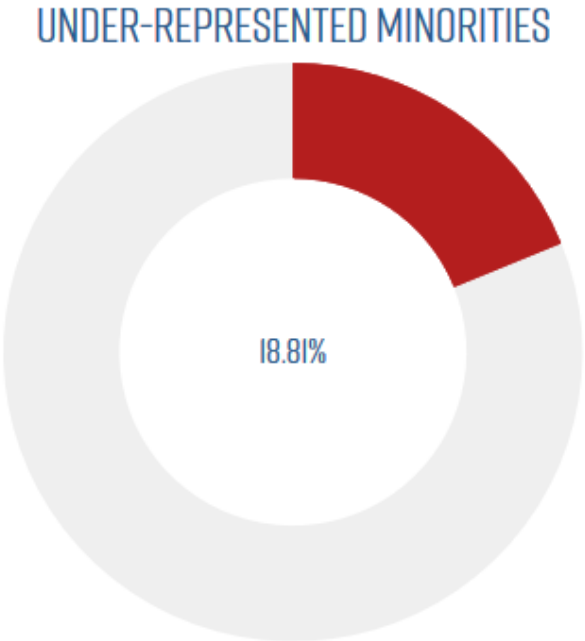
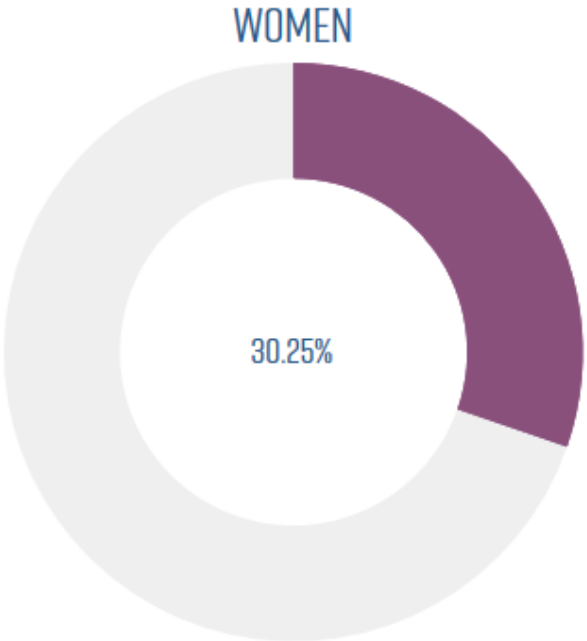
<https://nationallabs.org/staff/diversity/>



CHANGE DATA VIEW:

- ALL JOBS
- SENIOR LEADERSHIP
- RESEARCH/TECHNICAL MANAGEMENT
- OPERATIONS MANAGEMENT
- TECHNICAL RESEARCH STAFF
- OPERATIONS SUPPORT STAFF
- POST DOCTORAL
- GRADUATE STUDENT
- UNDERGRADUATE STUDENT

ALL JOBS



Links to SC Labs from: <https://science.osti.gov/sc-2/Research-and-Conduct-Policies/Diversity-Equity-and-Inclusion/Diversity-Equity-and-Inclusion-at-the-DOE-National-Laboratories>



NLDC Leadership in Diversity, Equity & Inclusion

- All 17 of the DOE National Laboratory Directors are actively engaged in advancing diversity, equity & inclusion at the DOE labs and collaborating across the DOE lab complex.
- The National Laboratory Directors Council (NLDC) has held annual laboratory Diversity & Inclusion (D&I) workshops for the past 4 years, convening laboratory leadership, Chief Human Resource Officers and D&I managers, to understand the existing and emerging challenges, learn from subject matter experts, and learn promising practices with one another.

Sept 2015
LLNL

Sept 2016
BNL

Oct 2017
Ames

Oct 2018
ANL/Fermi

Oct 2019
SNL



Promoting DEI in SC's Business Practices – in Progress

- In 2018, the Office of Science initiated an internal review of its business practices to identify opportunities to better promote diversity, equity, and inclusion in our award making and awards management processes, and better communicate policies, practices, and procedures to our research community.
- SC established an internal D&I Working Group to carry out this review, with membership from each of the SC program offices (nominated by their ADs) and led by the Office of the Deputy Director for Science Programs.

Charge:

- Assess what SC is currently doing to improve diversity, equity and inclusion.
- Identify opportunities for SC to demonstrate that diversity, equity, and inclusion are foundation to SC business practices:
 - Through its processes and procedures for research awards to universities and the DOE labs;
 - Through its processes and procedures for PI meetings, workshops, and advisory committees; and
 - Through better outreach and communications (internally and with the SC research communities).



Review of DEI in SC's Business Practices

I. Information Request on DEI in the 8 SC Program Office business practices, and analysis.

II. Deep Dive into SC's practices by topic area:

- Existing flexibilities within current financial assistances policies and regulations;
- Solicitation language, use of Letters of Intent and Pre-proposals;
- Peer Review Processes (Proposals: e.g. reviewer selection process, proposal review processes, associated programs manager and reviewer training, and resources/tools);
- Peer Review Processes (Performance reviews: S&T research reviews at DOE sites, and user facilities reviews);
- Workshops/Roundtables and Principal Investigator Meetings;
- FACAs and Subcommittees/COVs; and
- Notional implementation strategies.

Process for discussion of each topic area included:

- Systematic review of current SC policies and procedures; existing practices of some SC programs offices; analysis of outcomes from SC-sponsored equity workshops (2006-2009); COV recommendations (2012 to present); and known policies and practices of other Federal agencies and institutions.



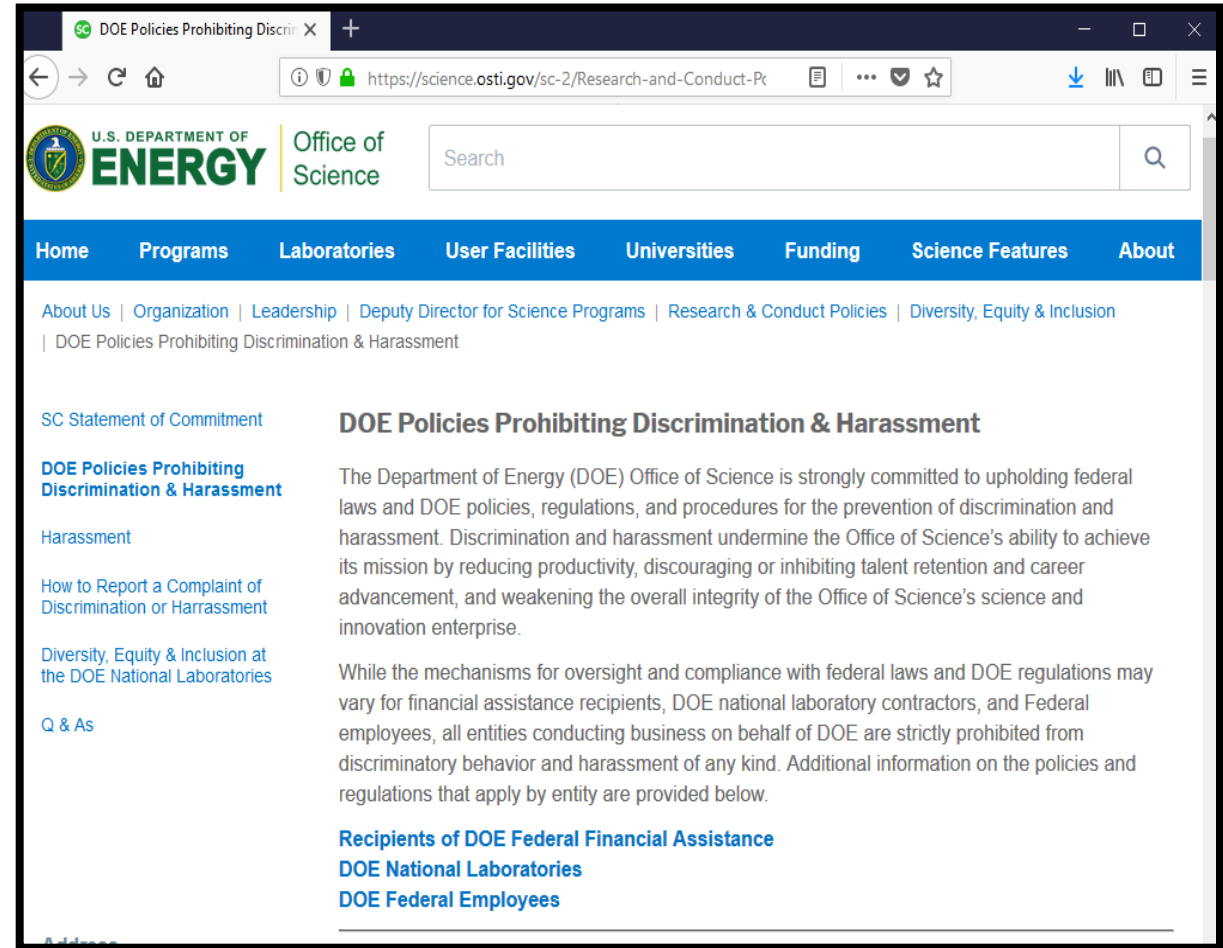
SC D&I Working Group Discussion Outcomes/Next Steps

- Recommendations were generated from all discussion topic areas.
- Recommendations include the development of resources and tools, guidance and training.
- SC Associate Directors were briefed on the process and pre-decisional outcomes in mid-Sept.
- Full report preparation is underway, including an implementation strategy, which will consider the importance, complexity, and feasibility of each recommendation.
- Report will be delivered to Deputy Director and Associate Directors later this fall.
- SC senior management will determine which recommendations to implement, with the goal of beginning an implementation phase by December.
- Communications to the SC community will be a part of the rollout of any new policies and procedures that SC implements.



DOE Policies Prohibiting Discrimination & Harassment

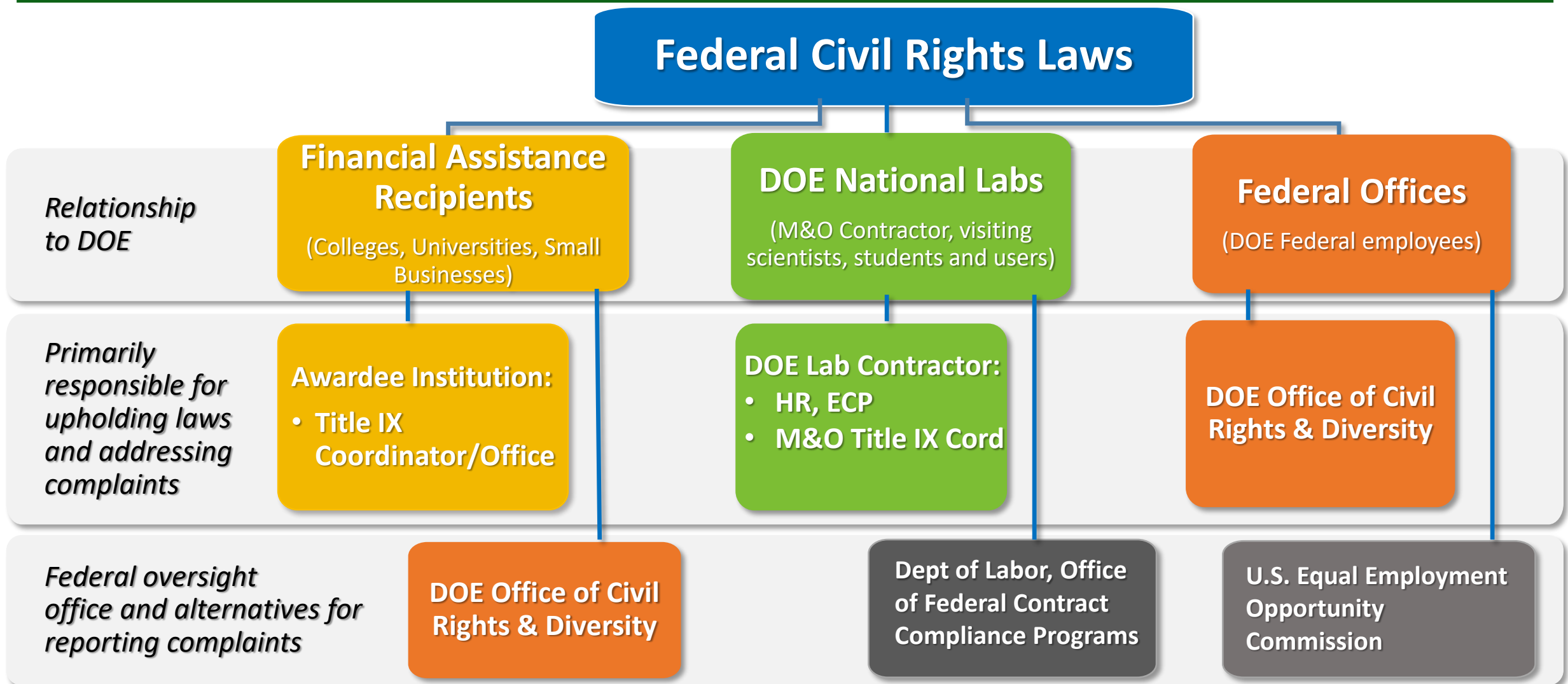
- Federal civil rights laws* are codified into DOE's regulations.
- DOE has long had policies in place prohibiting discrimination and harassment by institutions that we fund (at academic institutions, small businesses, and DOE national labs), and by employees.
- To bring awareness to the SC research community of DOE's policies regarding the prohibition of discrimination and harassment, SC established a website that consolidates DOE's policies and procedures as they apply to recipients of financial assistance (grants and cooperative agreements), DOE national laboratory contract staff and laboratory visitors, and DOE federal employees.



<https://science.osti.gov/sc-2/Research-and-Conduct-Policies/Diversity-Equity-and-Inclusion>



DOE Policies Prohibiting Discrimination & Harassment*



SC DEI Website: SC's Statement of Commitment

The DOE Office of Science (SC) is fully and unconditionally committed to fostering safe, diverse, equitable, and inclusive work, research, and funding environments that value mutual respect and personal integrity...

...SC's effective stewardship and promotion of diverse and inclusive workplaces that value and celebrate a diversity of people, ideas, cultures, and educational backgrounds is foundational to delivering on our mission. Harnessing a diverse range of views, expertise, and experiences drives scientific and technological innovation and enables the SC community to push the frontiers of scientific knowledge for the betterment of America's prosperity and security.

Discrimination and harassment undermine SC's ability to achieve its mission by reducing productivity, discouraging or inhibiting talent retention and career advancement, and weakening the integrity of the SC enterprise overall. SC does not tolerate discrimination or harassment of any kind, including sexual or non-sexual harassment, bullying, intimidation, violence, threats of violence, retaliation, or other disruptive behavior in the federal workplace, including DOE field site offices, or at national laboratories, scientific user facilities, academic institutions, other institutions receiving SC funding, or other locations where activities funded by SC are carried out...

...Beyond issues that may rise to the level of legal action, SC expects the scientific community, particularly those engaging in SC-sponsored activities, to always conduct themselves in a manner that is respectful, ethical, and professional. This renewed commitment is part of SC's continuing effort to identify opportunities to improve its policies, practices, and communications in furtherance of its core values and its mission.

For the full SC Statement: <https://science.osti.gov/sc-2/Research-and-Conduct-Policies/Diversity-Equity-and-Inclusion/SC-Statement-of-Commitment>



SC Coordination with DOE OCRD

- If issues or complaints from grant recipients are reported to SC staff, we work with DOE's Office of Civil Rights and Diversity (OCRD) to determine what actions should be taken. We've also worked through OCRD to identify whether other Federal agencies have received complaints from the same institutions and collaborate as appropriate.

OCRD Responsibilities:

- Administers DOE policies, practices, and procedures related internal civil rights (federal employees).
- Administers DOE policies, practices, and procedures related to external civil rights with respect to DOE financial assistance recipients.
 - Conducts pre-award assurance reviews for parts of DOE to determine that award recipient currently meets the institutional requirements under Title IX.
 - Conducts post-award compliance reviews of recipient institutions.



DOE OCRD Title IX Oversight

A **Title IX Compliance Review** is a planned agency initiated investigation that assesses the civil rights and equal opportunity policies, procedures, and practices at an institution to determine compliance with civil rights statutes and regulations.

Reviews are resource intensive, take place over the period of months, include at least one on-site visit where dozens of interviews take place with university leadership, faculty, students, and postdocs, and the Title IX Coordinator.

Post-review de-brief with institutional leadership conveys any findings or issues, followed by a formal letter.

Should there be a finding of violation, recipient must respond with corrective actions.

DOE has conducted more compliance reviews than any other science agency.



Interagency Coordination

Title IX Oversight:

- OCRD and SC coordination on Title IX Oversight with counterparts at other Federal science agencies; some joint Title IX compliance reviews.
- OCRD coordination with Department of Education and Department of Justice.

Interagency Committees and Working Groups:

- OSTP Director priority: Subcommittee on Safe and Inclusive Research Environments, under the NSTC Joint Committee.
- IWG on Inclusion in STEM, under the NSTC Committee on STEM Education.



Acknowledgements

Office of the Deputy Director for Science Programs:

- Dr. Lisa Durham (*on detail from ANL*)
- Dr. Katie Schroeder-Spain (*AAAS Fellow*)

- The Six SC Associate Directors
- SC Senior Leadership

The SC D&I Working Group:

- ASCR: Claire Cramer
- BER: Sharlene Weatherwax; Seema Singh
- BES: Bruce Garrett
- FES: Curt Bolton
- HEP: Alan Stone; Michael Cooke
- NP: Elizabeth Bartosz
- SBIR: Chris O'Gwin
- WDTS: Jim Glownia

DOE Office of Civil Rights and Diversity:

- Patricia Zarate
- Sharon Wyatt

