



New Requirements for FY 2023 Proposals

FYI Science Webinar

September 29, 2022



Overview

- SC's Commitment to Advancing DEI
- Overview of the Promoting Inclusive and Equitable Research (PIER) Plan
- Overview of the Conference Proposal Policy
- Supporting Resources (Public and SC Program Staff)
- Rollout plans to date



SC Commitment to Diversity, Equity, Inclusion, and Accessibility

As a steward of public funding, the Office of Science has a responsibility to ensure that we are serving the public.

SC is deeply committed to:

- Supporting diverse, equitable, inclusive, and accessible work, research, and funding environments that value mutual respect and personal integrity;
- promoting people of all backgrounds, including individuals from groups and communities historically underrepresented and minoritized in STEM fields;
- Advancing scientific discovery by harnessing a diverse range of views, expertise, and experiences to drive scientific and technological innovation.

The FY 2023 new proposal requirements are a reflection of this responsibility and of this commitment.

Promoting Inclusive and Equitable Research (PIER) Plans

At-a-glance:

- Should describe the activities and strategies proposed by the Principal Investigator (PI)/project team to promote equity and inclusion integral to the research project;
- Are between 1-3 pages long, and included as an appendix to the research proposal narrative;
- Will be evaluated as part of the merit review process used to inform funding decisions;
- Are required for all research proposals submitted to SC through FOAs, Laboratory Announcements, and invitational proposals from DOE Labs;
- Are not required for existing awardees unless they are submitting a renewal proposal starting in FY 2023;
- Are not required for applications for supplemental funding on existing awards;
- Are not required for applications requesting funding to support conferences (*but there are new conference proposal requirements for FY 2023*);
- Are not required for proposals submitted to SBIR/STTR Programs announcements. A requirement will be phased in at a later date.

PIER Plans: General Guidance Language

APPENDIX [#]: Promoting Inclusive and Equitable Research Plan

“All applications must provide a Promoting Inclusive and Equitable Research (PIER) Plan as an appendix to the research proposal narrative. The PIER plan should describe the activities and strategies of the applicant to promote equity and inclusion as an intrinsic element to advancing scientific excellence in the research project within the context of the proposing institution and any associated research group(s). Plans may include, but are not limited to: strategies of your institution (and collaborating institutions, if applicable) for enhanced recruitment of undergraduate students, graduate students, and early-stage investigators (postdoctoral researchers, and others), including individuals from diverse backgrounds and groups historically underrepresented in the research community; strategies for creating and sustaining a positive, inclusive, safe, and professional research and training environment that fosters a sense of belonging among all research personnel; and/or training, mentoring, and professional development opportunities. Plans may incorporate or build upon existing diversity, equity, accessibility, and inclusion efforts of the project key personnel or applicant institution(s), but should not be a re-statement of standard institutional policies or broad principles. The complexity and detail of a PIER Plan is expected to increase with the size of the research team and the number of personnel to be supported.

See also Section V for information on the Merit Review Criteria associated with this section.

- Do not attach a separate file.
- This response should not exceed three (3) pages. This appendix will not count in the project narrative page limitation.”

Merit Review Criteria

DOE SC's standard merit review criteria are set forth by 10 CFR Part 605.10 and may include additional criteria relevant to the scope and objectives of the solicitation. ***Unless otherwise tailored in the solicitation*** (Funding Opportunity Announcement or DOE Laboratory Call), the merit review criteria for the evaluation of applications are as follows, in descending order of importance:

- Scientific and/or Technical Merit of the Project;
- Appropriateness of the Proposed Method or Approach;
- Competency of Applicant's Personnel and Adequacy of Proposed Resources;
- Reasonableness and Appropriateness of the Proposed Budget; and
- **Quality and Efficacy of the Plan for Promoting Inclusive and Equitable Research.**

Guiding Reviewer Questions for PIER Plan Criterion

QUALITY AND EFFICACY OF THE PLAN FOR PROMOTING INCLUSIVE AND EQUITABLE RESEARCH

- Is the proposed Promoting Inclusive and Equitable Research (PIER) Plan suitable for the size and complexity of the proposed project and an integral component of the proposed project?
- To what extent is the PIER Plan likely to lead to participation of individuals from diverse backgrounds, including individuals historically underrepresented in the research community?
- What aspects of the PIER Plan are likely to contribute to the goal of creating and maintaining an equitable, inclusive, encouraging, and professional training and research environment and supporting a sense of belonging among project personnel?
- How does the proposed Plan include intentional mentorship and are the associated mentoring resources reasonable and appropriate?

Additional reviewer questions may be included in the solicitation if applicable to the scope of the solicitation and history of the research efforts.



Context of Other Agency/Office Efforts

- NIH Brain Initiative – In 2021, initiated pilot requiring [Plans for Enhancing Diverse Perspectives \(PEDPs\)](#), and now expanding pilot.
- NASA’s Astrophysics Division, [Inclusion Plan Pilot in FY 2021](#) applied to the Theory Program, now expanding to other program elements.
- DOE Energy Efficiency and Renewable Energy initiated a requirement for Diversity, Equity, and Inclusion (DEI) Plans in FY 2021, with required milestones, weighted at 10% of the application score.
- DOE Fossil Energy and Carbon Management adding a DEIA plan requirement in FY 2023.
- NSF – Broader Impacts Criterion

[DOE Equity Action Plan](#) - priority action: formalize the EERE DEI Plan pilot in DOE financial assistance regulations.

New Conference Proposals Policy in FY 2023

At-a-glance:

- Applies to all applications to SC requesting funding to support conferences or conference activities.
- Requires that host organization of the conference have a code of conduct (or equivalent policy) that addresses:
 - Discrimination and harassment of all kinds,
 - Defines how issues can be reported and how complaints will be addressed,
 - Describes how all attendees will be informed of the policies and procedures.
- Requires a recruitment and accessibility plan that describes plan for speakers and attendees.

Related to 2020 SC D&I WG Report Recommendation: *Establish SC requirements and expectations for host institutions of scientific meetings and conferences as a condition of SC support of meeting and conference proposals.*

FY 2023 SC Open Call Language - 1

“Consistent with SC’s Statement of Commitment (<https://science.osti.gov/SW-DEI/SC-Statement-of-Commitment>), 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 at institutions receiving SC funding or other locations where activities funded by SC are carried out. Further, SC is committed to advancing belonging, accessibility, justice, equity, diversity, and inclusion across the portfolio of activities it sponsors. For applications requesting SC funds for the purpose of supporting (hosting) a conference, symposium, or workshop, the meeting must have a policy or code of conduct in place that addresses discrimination and harassment, including sexual harassment, other forms of harassment, and sexual assault, and that includes processes for reporting complaints and addressing complaints. The policy or code-of-conduct must be shared with all participants prior to the conference, symposium, or workshop (hereinafter the ‘meeting’) and made easily available...”



FY 2023 SC Open Call Language - 2

“ ...

Applications must include:

- An online link to the current code of conduct of the host organization for the meeting, or the link to where the code of conduct will be posted. If a code of conduct has not yet been established by the meeting organizers, the application must describe the process and timeline by which a code of conduct will be written, approved, and endorsed.
- A recruitment and accessibility plan for speakers and attendees that includes discussion of recruitment of individuals from groups underrepresented in the research/professional community associated with the technical focus of the meeting, and discussion on plans to address possible barriers for attendees, including but not limited to physical barriers.”

It is SC’s policy that proposals requesting funding for conferences/meetings submitted to SC from DOE National Laboratories are subject to the same above requirements.



Context of Other Agency Requirements

NSF

https://www.nsf.gov/pubs/policydocs/pappg22_1/pappg_2.jsp#IIE9

Requires a code of conduct/equivalent policy, requires a recruitment plan, along with other requirements.

NIH

<https://grants.nih.gov/grants/funding/r13/index.htm>

Requires a Diversity Plan, requires a safety plan, including expectations for behavior and how organizers will handle complaints.



Internal and External Resources Under Development - 1



U.S. DEPARTMENT OF
ENERGY

Office of
Science

CURRENT SITE

[Home](#)

[About](#)

[Laboratories](#)

[Science Features](#)

[Universities](#)

[User Facilities](#)

[Home](#) | [Funding](#) | [Grants & Contracts Support](#)

About

Funding Opportunity
Announcements (FOAs)

DOE National Laboratory
Announcements

Grants Process

Grants Policy and Guidance

FAQs

Resources

Contract Information

Grants & Contracts Support



U.S. DEPARTMENT OF
ENERGY

Office of
Science

<https://science.osti.gov/grants>

Internal and External Resources Under Development - 2

[Home](#) | [Funding](#) | [Grants & Contracts Support](#)

[About](#)

[Funding Opportunity
Announcements \(FOAs\)](#)

[DOE National Laboratory
Announcements](#)

[Grants Policy and Guidance](#)

[Applicant and Awardee
Resources](#)

[Reviewer Resources](#)

[SC Program Office Resources](#)

[Contract Information](#)

G

[DOE National Laboratory
Announcements](#)

[Grants Policy and Guidance](#)

Applicant and Awardee Resources

[Grants Process](#)

[Promoting Inclusive and Equitable
Research \(PIER\) Plans](#)

[Conference Proposals](#)

[Statement on Digital Data
Management](#)

[Applicant FAQs](#)

[Awardee FAQs](#)

[DOE Public Access](#)

[Award Search / Public Abstracts](#) 

[Acknowledgements of Federal
Support](#)

**Under
Development**



Internal and External Resources Under Development - 3

[About](#)

[Funding Opportunity Announcements \(FOAs\)](#)

[DOE National Laboratory Announcements](#)

[Grants Policy and Guidance](#)

[Applicant and Awardee Resources](#)

[Grants Process](#)

[Promoting Inclusive and Equitable Research \(PIER\) Plans](#)

[Conference Proposals](#)

[Statement on Digital Data Management](#)

[Applicant FAQs](#)

[Awardee FAQs](#)

[DOE Public Access](#)

[Award Search / Public Abstracts](#) 

[Acknowledgements of Federal Support](#)

Promoting Inclusive and Equitable Research (PIER) Plans

Beginning in FY 2023, all Department of Energy (DOE) Office of Science Funding Opportunity Announcements (FOAs) and DOE National Lab Announcements and other funding solicitations will require applicants to submit a Promoting Inclusive and Equitable Research (PIER) Plan as an appendix to their proposal narrative. PIER Plans should describe the activities and strategies applicants will incorporate to promote diversity, equity, inclusion, and accessibility in their research projects. PIER Plans will be evaluated as part of the merit review process and will be used to inform funding decisions.

The [Office of Science \(SC\)](#) is **deeply committed** to supporting diverse, equitable, inclusive, and accessible work, research, and funding environments that value mutual respect and personal integrity, and SC is committed to promoting people of all backgrounds, including individuals from groups and communities historically underrepresented in STEM fields and SC activities in recognition of our responsibility to serve the public. Transforming our understanding of nature to advance scientific discovery and U.S. energy, economic, and national security can only be accomplished by harnessing a diverse range of views, expertise, and experiences to drive scientific and technological innovation. The inclusion of PIER Plans in funding applications makes this commitment to inclusive excellence explicit and a consistent expectation of all SC-funded research and research related activities.

Applications to the Small Business Innovation Research/Small Business Technology Transfer (SBIR/STTR) Programs do not require PIER Plans at this time but will be phased in at a later date. Applications for supplemental funding on existing awards and applications requesting funding for conferences do not require PIER Plans.

- [Information about PIER Plans](#)
- [Frequently Asked Questions](#)
- [PIER Plan Resources for SC Program Staff](#) (Internal to SC network only)

Information about Promoting Inclusive and Equitable Research (PIER) Plans



Internal and External Resources Under Development - 4

[Home](#) | [Funding](#) | [Grants & Contracts Support](#)

About

Funding Opportunity
Announcements (FOAs)

DOE National Laboratory
Announcements

Grants Policy and Guidance

Applicant and Awardee
Resources

Reviewer Resources

SC Program Office Resources

Contract Information

Grants &

Under
Development

Accessible only from
within the SC network.



PIER Plan/Conferences Policy Resources for Program Staff

FOR INTERNAL SC USE ONLY

- Q&As for Program Staff (*will continue to update as the process matures*)
- Slides for Public/Community Audiences
- Slides for Reviewer Orientations
- Copy of this FY Science Presentation
- Program manager discussion/training sessions (TBD)
- SC-2.1/SC-3.4 Virtual Office Hours every 2-3 weeks

Follow-on actions may include:

- SC observers of review panels to observe reviewer discussions/challenges;
- SC Program Manager focus groups to discuss lessons learned.



- Monday, October 3rd: SC-1 Blog Post (energy.gov/science)
- Monday, October 3rd: SC GovDelivery Release
- Week of October 17th: Public Webinar (recorded)

- ...additional public webinars, TBD
- SC-2.1 staff to be available for FOA-specific webinars for Q&A

Acknowledgements

- SC Director Berhe
- SC-2/3 Associate Directors/Office Directors
- Talia Melcer, Mike Zarkin
- [SC DEI Working Group](#)
- [SC-2.1 SW-DEI Staff](#), Gail Webster
- OSTI SC Content Repository Web Team



Questions?

