



U.S. DEPARTMENT OF  
**ENERGY**

Office of  
Science

# The Office of Science Initiatives in Diversity, Equity & Inclusion

American Geophysical Union Annual Meeting: Virtual Town Hall

*December 8, 2021*

**Dr. Julie Carruthers**, Acting Director

**Dr. Daniel Stover**, Senior Advisor\*

**Dr. Gail Webster**, AAAS S&T Policy Fellow

**Office of Scientific Workforce Diversity, Equity, and Inclusion**

DOE Office of Science (SC)

<https://science.osti.gov>

# Overview

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## 1. Context

- DEI challenges and Roles of Federal Funding Agencies

## 2. Overview of recent DOE Office of Science DEI initiatives

- Advancing DEI SC's Business Processes
- Advancing DEI at the DOE National Laboratories
- Increasing Participation by Individuals and Institutions Historically Underrepresented in SC Programs and Activities

## 3. The Office of Science, Office of Scientific Workforce Diversity, Equity, and Inclusion

## 4. How SC's DEI Initiatives fit into the broader Federal initiatives

## 5. Seeking Input from the AGU Community

# Challenges

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- The ability of institutions and individuals to overcome the systemic inequitable access to resources and support has to be addressed to enable them to successfully compete for Federal funding and opportunities.
- The data we have to work with are imperfect.
- Culture change is not easy; it requires leadership and awareness and engagement at all levels.

# Role of Funding Agencies

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- Ensuring open, fair, transparent, and accessible processes for allocating and competing government resources.
- Setting expectations for institutions and individuals for advancing diversity, equity, and inclusion in all government-sponsored activities and within institutions that receive government funding.
- Funding efforts to better understand the challenges and barriers to participation and identify evidence-based solutions.
- Leading the way in adopting new, evidence-based processes for allocating resources to address systemic barriers and inequities.
- Demonstrating the importance of diversity, equity and inclusion and impact with data.

# SC's Diversity, Equity & Inclusion Initiatives



# Promoting DEI in SC's Business Practices

In 2018, SC established an internal D&I Working Group to review SC's practices and make recommendations.

## Charge to internal SC working group:

- Assess what SC was currently doing to improve diversity, equity and inclusion;
- Identify opportunities for SC to advance DEI in its business practices and demonstrate that DEI is foundational to the SC mission.

Systematic review of SC business practices included review of:

- Award making policies and practices within existing authorities;
- Peer reviewer selection processes for all types of SC peer reviews;
- Proposal and S&T performance peer review processes;
- Processes for SC technical workshops, roundtables, PI meetings, Advisory committees



# Opportunities to Advance DEI

- The Working Group's **analysis resulted in the recommendation of over 40 actions that SC should take** across all the process areas reviewed to advance DEI in its extramural awards management practices.
- These actions serve to ensure that SC's processes:
  - *Are supportive and inclusive of women and individuals from 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.*

**SC is now implementing these recommended actions in phased approach.**



# Recommended Actions – Summarized Examples

## DEI Supporting Policies & Practices:

- Build on [SC's Statement of Commitment](#) and ensure that commitment is reflected in SC solicitations and awards.
- 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 & Protocols:

- Establish standard sets of diversity-promoting review criteria options for all types of SC peer reviews (proposals, S&T performance, facility reviews). Each step in a decision process is an opportunity to support DEI.
- Establish a standard set of diversity-promoting Program Policy Factors for solicitations and associated program guidance for their use.

## Peer Reviewers:

- Establish SC guidance for Program Office-specific goals for balancing the demographics of reviewers on panels and within reviewer pools; address barriers to reviewer participation; standardize reviewer guidance.



# Recommended Actions – Summarized Examples (cont'd)

## Demographics Tracking:

- Establish standard practices for documenting the demographics of applicants, awardees, reviewers, Federal advisory subcommittee members, workshop participants.
- Track and document demographics of applicants throughout all review and decisions stages of the proposal review and selection process.
- Track demographics of SC Federal Advisory Subcommittee Members.

## SC-Sponsored Meetings:

- Establish official SC guidance and requirements for SC-sponsored and SC-commissioned technical workshops to consistently communicate its expectations for diverse participation and for inclusive and professional behaviors in meeting development and implementation.
- Establish SC requirements and expectations for host institutions of scientific meetings and conferences as a condition of SC support of meeting and conference proposals.

## Crosscutting: Program Manager Guidance and Supporting Tools

## Crosscutting: Community Engagement



# Implementation of the Report Recommendations

A new, reconstituted SC DEI Working Group established in December 2020 is focusing on implementation of the recommended actions.

- The SC DEI WG is taking a **phased approach**, recognizing some actions will require longer development times than others.
- Implementation of actions grouped within a phase will proceed with development, periodic updates to SC Leadership, focus groups and/or pilot testing, and advanced briefings with Program Staff before final rollout.



# Acknowledgements: SC DEI Working Groups

Office	Implementation SC DEI WG
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>detail, ANL</i> )
SC-3	Kaitlyn Schroeder-Spain
SC-2*	Julie Carruthers; Daniel Stover

Office	Report SC D&I WG (2020)
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
SC-2	Julie Carruthers*; Lisa Durham ( <i>detail, ANL</i> ); Kaitlyn Schroeder-Spain ( <i>AAAS STP Fellow</i> )

# Diversity, Equity & Inclusion at DOE National Labs

The Office of Science is the steward of 10 of the 17 DOE National Laboratories.

The SC DOE labs employ over 19,000 (over 14K S&E staff), host world leading research facilities for the scientific communities. (>\$6.5B total annual funding, all sources)

- In 2015, the DOE Office of Science began to take a closer look at the DEI policies and requirements of its 10 DOE national laboratories.
- Up until that time, oversight of these requirements were largely managed by the SC federal site offices.

## Office of Science Laboratories

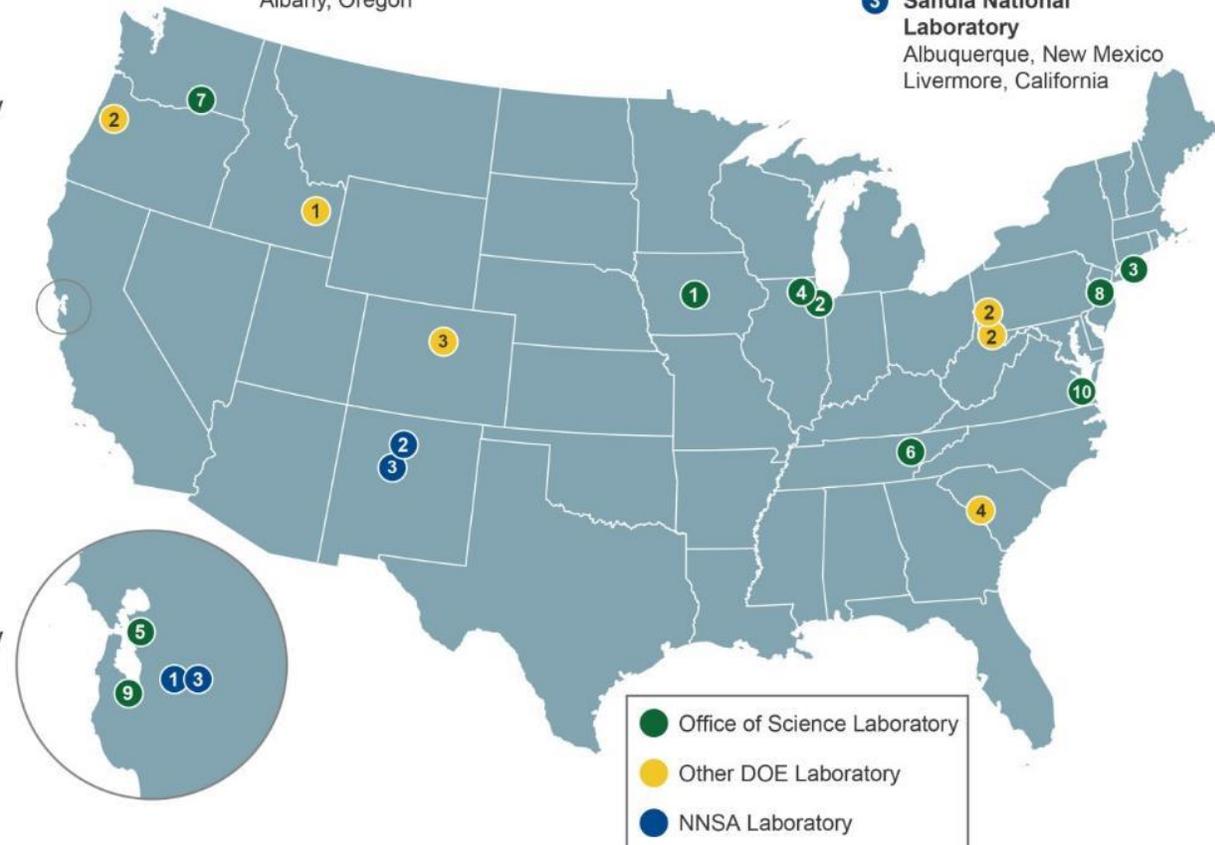
- 1 Ames Laboratory  
Ames, Iowa
- 2 Argonne National Laboratory  
Argonne, Illinois
- 3 Brookhaven National Laboratory  
Upton, New York
- 4 Fermi National Accelerator Laboratory  
Batavia, Illinois
- 5 Lawrence Berkeley National Laboratory  
Berkeley, California
- 6 Oak Ridge National Laboratory  
Oak Ridge, Tennessee
- 7 Pacific Northwest National Laboratory  
Richland, Washington
- 8 Princeton Plasma Physics Laboratory  
Princeton, New Jersey
- 9 SLAC National Accelerator Laboratory  
Menlo Park, California
- 10 Thomas Jefferson National Accelerator Facility  
Newport News, Virginia

## Other DOE Laboratories

- 1 Idaho National Laboratory  
Idaho Falls, Idaho
- 2 National Energy Technology Laboratory  
Morgantown, West Virginia  
Pittsburgh, Pennsylvania  
Albany, Oregon
- 3 National Renewable Energy Laboratory  
Golden, Colorado
- 4 Savannah River National Laboratory  
Aiken, South Carolina

## NNSA Laboratories

- 1 Lawrence Livermore National Laboratory  
Livermore, California
- 2 Los Alamos National Laboratory  
Los Alamos, New Mexico
- 3 Sandia National Laboratory  
Albuquerque, New Mexico  
Livermore, California



# Diversity, Equity & Inclusion at SC DOE National Labs

**In 2016, issued new guidance for the laboratories' annual DEI strategies, to include:**

- assessment of lab's DEI challenges, lab DEI goals, leadership and staff roles and responsibilities, planned actions, measures of progress and accomplishments, and workforce data.

**SC Lab DEI strategies would be reviewed by SC headquarters; detailed feedback provided to each laboratory.**

**SC required the labs to post aggregate demographics of their workforce on the websites.**

**This new process marked a shift in oversight from compliance-based to requiring actionable strategies.**

- A *Promising Practices* document was developed from three years of these annual reviews.
- In 2019, we conducted the first ever external peer review to evaluate the labs' DEI efforts. The peer review panel identified strengths and weaknesses of each laboratory, and identified laboratory-wide opportunities for improvement.



# Panel Recommendations to the Office of Science

The reviewers commended SC for its careful attention and commitment to the issues of diversity, equity, and inclusion at the DOE laboratories it oversees and recommended that SC continue its thoughtful approach in its oversight role.

Specifically, the panel made the following recommendations to SC:

- **Continue the annual process for updated DEI strategies**, with greater emphasis on:
  - Data driven approaches to identifying the DEI challenges, development of proposed solutions, and measuring impacts;
  - Evaluation by the laboratory of what is working (and not working);
  - Laboratory efforts on equitable decision-making and retention;
  - Laboratory efforts on mentorship and professional development of employees; and
  - Disaggregation of laboratory workforce data.
- **Consider site visits in the future as part of future peer reviews of SC laboratory DEI efforts;**
- **Continue to update and share the Promising Practices summaries;**
- **Consider additional actions SC can take to encourage and assist the labs in their DEI efforts.**



# DEI Promising Practices at DOE Labs

*A few examples in areas critical for institutional leadership in DEI*

## **Leadership and accountability:**

- **Strong commitment by leadership** to fostering a culture of diversity, equity, and inclusion at the laboratory is demonstrated through visible policies and actions, including personal statements, regular meetings with laboratory staff to communicate the laboratory's commitment.
- **Diversity, equity, and inclusion are communicated as *central* to advancing science and innovation, not an “add-on,” and not about compliance.**
- **The laboratory understands its culture (and DEI challenges)** by collecting input through multiple mechanisms to get the views and experiences of employees, visiting scientists, users, and students.
- **Laboratory DEI goals and strategies are data-driven.** Laboratories embrace a scientific approach to evaluating the effectiveness of their actions based on clear measures of success and data.
- **Leadership is held accountable** for the laboratory's DEI goals through several mechanisms, including incorporating DEI goals into performance appraisals with clear standards for evaluation.



# DEI Promising Practices at DOE Labs (cont'd)

*A few examples in areas critical for diverse hiring and retention*

## Recruiting and Hiring practices:

- **Openly posting and competing all laboratory positions**, including postdoc positions. Screening all job postings for gender biased language using reputable commercial software programs.
- Expand recruiting beyond the traditional methods; track what works and what doesn't.
- **Management oversight and review of the diversity of candidate pools *before commencing with interviews*** – and reopening announcement and recruiting if the candidate pools are not diverse.
- Using diverse hiring panels who review applications and conduct interviews.
- **Requiring quality diversity and implicit bias awareness and mitigation training** of all hiring panel/committee members and hiring managers. And refresher training on a regular basis.
- Using a standard set of interview questions for all candidate interviews.
- **Leadership oversight of hiring recommendations**; Management level above is provided the diversity data for applicants and interviewees at each stage in a hiring process.



# Promising Practices at DOE Labs (cont'd)

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*A few examples in areas critical for retention (cont'd)*

## **Professional and leadership development opportunities:**

- **Providing mentorship and professional development opportunities for employees/staff/students in all stages** is critical for career advancement and retention in the field (and at the institution).
- **Mentoring responsibilities are approached with intentionality**, use evidenced-based practices, and set expectations for mentors and mentees. Professional development on effective mentorship and evidenced-based tools and strategies are available to mentors and mentees.
- Ensuring processes for selecting **staff for professional development and leadership development programs**, including speaking opportunities, are fair and transparent, with attention paid to **equitable decision making based on data** when making recommendations.
- Considering allowing self-nomination processes for certain professional development opportunities.
- Ensuring clear, objective criteria are used for assessing employees for promotion decision, taking into consideration institutional data on who has had access to opportunities, and community contributions beyond traditional research metrics.

# Increasing Participation in SC Research & Training

**SC has initiated a coordinated approach to increase SC participation by institutions and individuals historically underrepresented in SC-sponsored opportunities.**

This SC-wide effort is focused on:

- Increasing outreach to, engagement and recruitment of students and faculty from underrepresented groups to SC-sponsored opportunities;
- Understanding barriers to participation, and building on evidence-based practices for overcoming those barriers;
- Identify new partnership and funding models to support research and STEM training opportunities that directly address barriers.

SC launched a series of listening sessions and discussions to seek community input on barriers to participation in SC-sponsored research and opportunities for overcoming those barriers – **over a dozen sessions held to date.**

FY 2022 Budget Request: **Reaching a New Energy Sciences Workforce (RENEW)**



# SC Office of Scientific Workforce Diversity, Equity, and Inclusion\*

**A new Office was established in the Office of Science in April 2020 to support SC's DEI initiatives.**

## **Primary responsibilities:**

- Developing and coordinating SC-specific policies, plans, and procedures focused on advancing diversity, equity, and inclusion in SC-sponsored extramural research programs and facilities.
- Advancing organizational best practices for promoting diversity, equity, and inclusion within SC business practices and at the SC DOE National Laboratories.

Currently 5 full time and part time staff.

**Hiring soon!**

**New SC SW-DEI website coming soon!** (from <http://science.osti.gov> )



# Broader DEI Initiatives in DOE

**Executive Order 13985** – *Advancing Racial Equity and Support for Underserved Communities through the Federal Government.* Federal agencies must:

- “...conduct an equity assessment within 200 days.”
- Produce a plan within one year (January 20, 2022) to address barriers to full and equal participation.
- “...allocate resources to address the historic failure to invest sufficiently, justly, and equally in underserved communities, as well as individuals from those communities.”

**Executive Order 14035** – *Diversity, Equity, Inclusion and Accessibility (DEIA) in the Federal Workforce.* Federal agencies must:

- Assess current practices for recruitment, hiring, promotion, retention, professional development performance evaluations, pay and compensation policies, training, etc.
- Develop an Agency DEIA Strategic Plan and report to OMB/OPM on progress.

**Justice40 Initiative** – *Goal that 40% of the overall benefits of Federal Investments flow to disadvantaged communities.*



# Seeking AGU Community Input

Office of Science DEI Town Hall Poll: <https://bit.ly/AGU-DOE-SC>

As part of the 2021 AGU Annual Meeting Town Hall, the Office of Science is seeking community input on the following three topic areas:

- 1) Views on providing your demographic information to the Office of Science;
- 2) Views on project level Diversity, Equity, and Inclusion (DEI) plans; and
- 3) Views on project level Field Safety Plans for field research.

5 questions.

**All responses are confidential.**

*Poll will be available until 5:00 PM ET Friday December 17, 2021.*



# Views on Providing Demographic Data

**1. As a potential applicant to a DOE Office of Science (SC) research funding solicitation, would you have any reservations about providing your demographic information to SC?**

- Yes [if yes, please explain]
- No

**2. As an invited or participating peer reviewer for a DOE Office of Science review, would you have reservations about providing your demographic information to SC?**

- Yes [if yes, please explain]
- No

- Disclosure of personal demographic information (gender, race, ethnicity, and disability status) by applicants and reviewers is important to the Office of Science (SC).
- The voluntary demographic information provided to SC is considered confidential and is protected under Federal privacy laws.
- SC requests demographic information through PAMS. Applicants and reviewers provide their demographic information through their PAMS account profiles and are always given the option of “Do Not Wish to Provide.”



# Views on Project-Level DEI Plans

Please select your level of agreement with the following statements:

- 3. A project level DEI plan as part of a research proposal would serve as an effective mechanism to help diversify the STEM community.**

(Select from scale: Strongly Agree, Agree, [Neutral], Disagree, Strongly Disagree)

- 4. A project level DEI plan as part of a research proposal would serve as an effective resource to promote safe, inclusive, and professional work environments.**

(Select from scale: Strongly Agree, Agree, [Neutral], Disagree, Strongly Disagree)

- Project level DEI plans as part of research proposals have been proposed as mechanisms that Federal agencies could use to promote principles of diversity, equity, and inclusion at the project level.
- A DEI plan may include, for example, actions that the applicant (primarily the PI and Key Personnel) will take to foster a welcoming, safe, and inclusive research environment and support individuals from groups historically underrepresented in STEM fields.



# Views on Project-Level Field Safety Plans

Please select your level of agreement with the following statements:

- 3. A project level DEI plan as part of a research proposal would serve as an effective mechanism to help diversify the STEM community.**

(Select from scale: Strongly Agree, Agree, Neutral, Disagree, Strongly Disagree)

- 4. A project level DEI plan as part of a research proposal would serve as an effective resource to promote safe, inclusive, and professional work environments.**

(Select from scale: Strongly Agree, Agree, Neutral, Disagree, Strongly Disagree)

- Field research environments are typically in isolated locations where the risks of sexual harassment and gender harassment have shown to be exacerbated and where support for and response to incidents are diminished.
- Project level Field Safety Plans as part of funding applications and research plans have been proposed as a mechanism that Federal agencies can utilize to help foster safety, both personal physical and psychological safety, in field research environments and increase accountability.

# Please share your views!

Office of Science DEI Town Hall Poll: <https://bit.ly/AGU-DOE-SC>

*Poll will be available until 5:00 PM ET Friday December 17, 2021.*

Thank you!

[julie.carruthers@science.doe.gov](mailto:julie.carruthers@science.doe.gov)

