



Summary of DOE Office of Science Recognized Promising Practices for DOE National Laboratory Diversity, Equity, and Inclusion Efforts

The following are promising practices from the Department of Energy's (DOE) Office of Science (SC) perspective that were developed for SC DOE National Laboratories to consider when developing and implementing their overall diversity, equity, and inclusion (DEI) goals and strategies. Most of these practices have been adopted by one or more of the ten SC DOE National Laboratories.

These actions are promising practices in that they have demonstrated some effectiveness in other institutional environments (e.g., academia or industry) and hold potential to advance DEI objectives in the DOE National Laboratory setting.

The updates in this version of the document were informed by the November 2019 external peer review of SC National Laboratory DEI efforts.

This document is intended to be informative to DOE National Laboratory leadership and staff, as well as others engaged in advancing DEI at similar institutions. It is not intended to be a comprehensive checklist; each organization needs to identify the appropriate strategies to address its own unique DEI challenges and goals.

I. Laboratory's Diversity, Equity, and Inclusion Overall Strategies, Leadership, and Accountability

Promising Practices include:

- Laboratory senior leadership demonstrates a strong commitment to fostering a culture of DEI at the laboratory through visible policies and actions, including personal statements, regular meetings with laboratory staff to communicate the laboratory's commitment and hear employee views, personal oversight of the laboratory's DEI strategy, and ensuring the laboratory's DEI efforts are appropriately resourced.
- Developing a comprehensive DEI strategy for addressing challenges in recruitment, hiring, development, and retention that is data-driven, focuses on evidence-based practices, and is implementable. The strategy is informed by a broad range of mechanisms for gathering input and feedback from the laboratory community and gathering data.
- Periodically conducting a laboratory-wide professional "culture and climate" survey as one of several mechanisms to understanding the DEI challenges of the laboratory and the views and experiences of its employees. Conducting such surveys may include the support and analysis by an external, third party subject matter expert. Likewise, the survey data are used to inform the laboratory's DEI strategies and objectives, and to assess whether or not laboratory's actions are leading to real or perceived improvements at the lab. Survey data are disaggregated by race, ethnicity, and gender to understand the views and experiences of underrepresented populations at the laboratory.
- Laboratory-wide DEI strategies that: 1) have clear goals and objectives and appropriately targeted planned laboratory actions, and 2) include meaningful measures (quantitative or qualitative) for determining which practices are effective and having an impact based on data.

- Assigning a lead point of contact (POC) for DEI (e.g., a DEI Manager) who has direct access to laboratory senior leadership and management as well as has a formal means to engage and support the management and supervisors of all directorates and divisions.
- Ensuring DEI Managers are informed by non-DOE laboratory DEI efforts and training, e.g., through trade organizations and education opportunities, to broaden awareness and application of best practices.
- Holding leadership formally and equally accountable for the laboratory's DEI goals, e.g., by including DEI-related incentive compensation goals for senior leadership in performance evaluations.
- Including DEI elements in staff performance appraisals and providing clear guidance and examples of how employees will be evaluated and what successful performance looks like.
- Convening or establishing an advisory board (either a board dedicated to DEI or a significant DEI function of an existing advisory board) to advise the Director and laboratory senior leadership on DEI efforts. Internal DEI boards or councils, such as those at the directorate level, are also used to share ideas, facilitate communications from staff, improve strategies for DEI, and implement laboratory DEI actions.
- Establishing close communications and collaboration protocols between the laboratory's Human Resources (HR); DEI Manager; science, technology, engineering and math (STEM) education and training offices; S&T and operations directorates; and outreach organizations to advance the laboratory's DEI goals and objectives.
- Publicly posting the laboratory workforce demographics data on the laboratory website and updating the information annually. Trending in workforce demographics, including the disaggregation of race, ethnicity and gender data, is communicated to at least employees if not posted publicly. This transparency is critical to communicating the laboratory's commitment to fostering a diverse and inclusive workforce.
- Establishing DEI training requirements and learning opportunities for all employees and identifying mechanisms to measure the effectiveness of these activities. This includes defining and communicating what training is required for all employees, what is required for managers and supervisors, and what is optional for employees, and tracking participation and outcomes.

II. Laboratory Strategies for Recruitment, Hiring, Development, and Retention of a Diverse and Talented Workforce, and Creating Inclusive Work Environments

Promising Practices include:

- Implementing candidate recruitment and hiring efforts as a partnership between HR and S&T managers.
- Utilizing diverse hiring panels and diverse panel chairs whenever possible for the review of applications and interviewing candidates.
- Screening job advertisements in advance for gender bias related language, and “de-biasing” of the advertisement before posting, e.g., through use of established commercial software programs. Consider expanding to include screening announcement language for bias in other areas (e.g., race/ethnicity, disabilities) when effective software becomes available.

- Openly posting and competing all positions, including supervisory and management positions.
- Advertising positions to a broad range of target audiences, including but not limited to scientific professional societies, women and minority serving professional societies, minority serving institutions of higher education, the laboratory scientific user facility users, and current and past participants in the laboratory's undergraduate and graduate STEM research internship programs.
- Utilizing institutional STEM training programs (e.g., for undergraduates, graduate students, and postdocs) as strategic opportunities for fostering diversity in the laboratory's workforce and for candidate pools from which to recruit new permanent hires.
- Utilizing traditional and creative outreach mechanisms to recruit strong, diverse candidates to apply for new hires, including multiple social media platforms. Applicant pools are documented and tracked in an applicant management system.
- Aligning recruitment outreach activities with recruitment goals and establishing appropriate feedback and tracking mechanisms to identify which outreach efforts are having the greatest impact on the quality and diversity of applicants who applied to determine which efforts are worth continuing or expanding.
- Providing hiring managers and leadership with diversity data of the applicants and interviewees at each stage in a hiring process to support a conscious review of efforts to recruit and hire diverse applicants.
- Benchmarking current employment and diversity statistics against appropriate comparison populations, such as existing employment data for specific STEM fields across the scientific community, not just the region, and existing graduation rates in specific fields, using, for example, the data available through the National Science Foundation's (NSF) National Center for Science and Engineering Statistics, and NSF Science & Engineering Indicators, and scientific professional societies.
- Providing required training to hiring managers, as well as selection panelists, to improve understanding of barriers to diversity and other possible factors, including implicit bias, that may inappropriately or inadvertently influence the hiring process. Formal classroom training on effective interviewing skills is also provided.
- Asking standardized behavioral interview questions to candidates to assess a candidate's aptitude for supporting a diverse, equitable, and inclusive workplace culture.
- Supporting and promoting employee benefits, policies, resources, and initiatives that improve productivity and well-being and address the needs of employees across career stages and personal family circumstances (e.g., family support services/child care, alternative and flexible work schedules, assistance with dual career placements, tuition reimbursement).
- Increasing consideration of conversions of students in laboratory STEM training programs and postdocs to permanent hires.
- Encouraging involvement of members of Employee Resources Groups in laboratory recruitment outreach activities.
- Providing mentorship opportunities at the time of onboarding for new employees.
- Providing mentorship opportunities for laboratory employees in all stages of their careers,

consistent with an intentional laboratory mentorship strategy.

- Approaching mentoring responsibilities with intentionality, using evidenced-based practices and setting expectations for mentors and mentees. Professional development on effective mentorship and evidenced-based tools and strategies are available to mentors and mentees.
- Providing employee professional development and growth opportunities that are available to employees at all career stages, and tracking participation and outcomes.
- Ensuring processes for selecting employees for leadership and professional development programs and opportunities are fair and transparent, with attention paid to pre-established objective criteria and equitable decision-making.
- Openly communicating the potential promotion pathways for employees at all career stages.
- Engaging managers and supervisors in formal succession planning and taking an active role in encouraging and supporting development training for employees as part of that planning; managers and supervisors recognize the importance of their roles as mentors and sponsors.
- Pairing leadership with managers and supervisors for leadership mentoring.
- Performing pay equity analyses initially across all job categories with subsequent adjustments based on outcomes of those analyses, and then periodically performing analyses at some appropriate frequency thereafter. Summaries of these analyses are shared with senior leadership.
- Tracking promotion statistics of existing staff and conversions to regular employment (e.g., temporary students and postdocs) with an eye toward equity, and tracking voluntary and involuntary separations utilizing disaggregated data to better understand trends in both recruitment and retention of staff.
- Seeking input through multiple mechanisms to obtain the views of employees, visiting scientists, users, and students (e.g., through climate surveys, focus groups, DEI councils, exit surveys) to understand the laboratory culture and lived experience of those at the laboratory to inform the laboratory's DEI strategy.
- Fostering the establishment and use of employee-led Employee Resource Groups that: 1) are formally chartered, 2) have a senior laboratory management "champion," 3) cultivate and promote an inclusive work environment, and 4) and have established pathways for providing formal feedback to laboratory leadership and the DEI POC.
- Establishing DEI Councils at the laboratory directorate level that serve to implement the laboratory's DEI goals and objectives as well as communicate staff views and interests back to laboratory leadership.
- Including user group managers as part of internal DEI Councils for those laboratories with large user facility populations.

III. Laboratory Prevention of Discrimination, Harassment, and Profiling

Promising Practices include:

- Having policies and policy statements established that are clear and direct, and are integrated into regular communications to all employees through laboratory leadership that reflect the importance

of a culture of respect and professionalism. Policies and statements include the laboratory's: 1) vision for DEI as part of a productive, respectful, and collaborative work environment; 2) a no-tolerance policy on discrimination, harassment, and retaliation; 3) legal and regulatory requirements of the laboratory (e.g., EEO/AA); and 4) how the laboratory will handle issues when they arise.

- Ensuring processes and procedures for reporting a complaint or allegation are clearly communicated and related informational resources are readily accessible to employees, students, and visitors. This includes not only the laboratory's internal resources (e.g., through employee concerns offices), but also the external resources that exist should employees want to use them (e.g., the Department of Labor's [DOL] Office of Federal Contract Compliance Programs [OFCCP] and DOE Inspector General).
- Making anonymous reporting options available to all employees, students, visiting scientists, and facility users.
- Communicating to students, visiting researchers, and facility users that the laboratories policies and procedures also apply to them, and ensuring they understand their responsibility for adhering to them and the resources available to them.
- Requiring formal training of the laboratory staff conducting mediation and complaint investigations using recognized certifying organizations (e.g., the Association of Workplace Investigators, and recognized academic institutions).
- Tracking reported concerns, complaints, inquiries, and investigation proceedings and outcomes in a secure central database with appropriate limited access to help ensure laboratory responsiveness and inform laboratory senior leadership.
- Requiring that POCs responsible for reviewing and investigating complaints provide regular status updates to laboratory senior leadership.
- Ensuring processes for adjudicating complaints have appropriate oversight and checks and balances, and whistleblower protections are clear.
- Clearly communicating the consequences for bad behavior, recognizing that "zero tolerance" means going beyond assigning training only as a remedy.
- Communicating the results of any complaint inquiry or investigation back to the parties involved (complainant and respondent) in a timely manner.
- Communicating high-level summary information on complaint statistics to employees at least annually to demonstrate that the organization has been responsive to complaints.
- Periodically systematically reviewing laboratory policies, procedures, and practices in EEO/AA and DEI, taking into consideration new information and best practices, and making updates accordingly.
- Providing effective educational resources and training on discrimination and harassment prevention, including effective tools and strategies for addressing bad behaviors in real-time, and bystander training. Employees, as well as students and visiting scientists, need to be encouraged and empowered to speak up and believe they will be safeguarded from retaliation.
- Conducting "mock" external audits of the laboratory's policies, practices and procedures (e.g., in collaboration with the DOL OFCCP) on a periodic basis.

IV. Supporting a Diverse and Talented STEM Pipeline and Outreach

Promising Practices include:

- Supporting STEM training programs that provide a high quality, authentic STEM learning or training experiences that are aligned with the laboratory's mission and the STEM workforce development needs of the DOE R&D programs; and periodically evaluating the quality of programs against similar STEM training programs conducted elsewhere.
- Using traditional and creative outreach mechanisms to recruit diverse participants to the laboratory's STEM education and training programs.
- Developing sustained partnerships with faculty at regional academic institutions and faculty at Minority Serving Institutions to build research collaborations that encourage an exchange of students, postdocs, and visiting faculty scholars to the laboratory.
- Establishing effective partnerships between the lab's STEM education program office and S&T directorates of the laboratory in the implementation of its STEM education and training programs.
- Providing scientist and career mentors to undergraduate and graduate participants as part of laboratory's student research programs.
- Ensuring STEM training programs at the laboratory provide opportunities to expose undergraduate and graduate students to the exciting mission areas of the DOE, and to the career opportunities not only at the host laboratory, but across the DOE national laboratory complex.
- Encouraging undergraduates and graduate students in laboratory STEM training programs to develop résumés and register in the laboratory's HR system for potential future recruitment opportunities.
- Ensuring STEM program recruitment outreach activities include appropriate feedback mechanisms to identify which outreach efforts are having the greatest impact on the quality and diversity of applicants and program participants, to inform whether such efforts are worth continuing.
- Tracking whether the laboratory's past STEM education/training program participants apply to the laboratory's job postings.
- Strategically using STEM training programs (especially for undergraduates, graduate students, and postdocs) as a mechanism for fostering diversity in the laboratory and for recruiting of new hires. Offices that manage outreach, STEM training programs, and HR are closely connected in this effort.
- Conducting STEM education programs for K-12 that are high quality, and that include STEM content tied to recognized standards.
- Supporting general laboratory educational outreach and community involvement and outreach activities that are clearly tied to the laboratory mission, goals and objectives, and outreach activities have clear alignment with the DEI strategic goals and objectives.
- Identifying qualitative and quantitative means of assessing the value and impact of the laboratory's educational and community outreach efforts, including assessing how the laboratory's educational and community outreach efforts foster STEM ecosystems within their communities and regions.