



National Aeronautics and
Space Administration



EXPLORE

SOLAR SYSTEM & BEYOND

REQUIREMENTS FOR INCLUSION PLANS FOR PRECURSOR SCIENCE PROPOSALS

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Presentation at the Precursor Science Workshop II
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NASA Core Value

“The panel [on the State of the Profession and Societal Impacts] asserts that fundamentally, the pursuit of science, and scientific excellence, is inseparable from the humans who animate it.”

- *Pathways to Discovery in Astronomy and Astrophysics for the 2020s*

NASA is committed to integrating **inclusion, diversity, equity, and accessibility (IDEA)** into all activities (missions, programs, reviews, internal matters, etc.)





Mission Success requires IDEA

- **IDEA is infused throughout everything we do. It is not a standalone or separate activity.**
- Astrophysics has pioneered and piloted IDEA activities that are now adopted across SMD:
 1. **Inclusion Plans adopted in ROSES elements across all SMD divisions ***
 2. Code of Conduct now adopted for panel reviews across all SMD divisions
 3. [Dual Anonymous Peer Reviews](#) adopted across all SMD divisions
 4. Inclusion Criteria in Senior Reviews of Missions adopted across all SMD divisions *
 5. Increasing diversity of reviewers for all panels expected across all SMD divisions
- Other SMD level initiatives:
 7. Collection, evaluation, and publication of demographics of ROSES proposers and awardees *
 8. Regularly report data on proposal submissions and success rates *
 9. SMD Bridge Program funded for better engagement with MSIs *
 10. [National Academies study](#) of barriers to inclusion in mission leadership
 11. [National Academies study](#) of demographic data required to assess the health of the community *
 12. Regular participation at meetings such as SACNAS and NSBP
 13. PI Launchpad to incubate next generation of diverse leaders for missions *
 14. IDEA criteria being added to Announcements of Opportunity *

* **Responsive to an
Astro2020 DS
recommendation**



Inclusion Plans (IP)

To advance NASA's core value and SMD's plans, an Inclusion Plan, not to exceed two pages (plus additional pages for references, as necessary) immediately following the Data Management Plan, is required for all proposals.

ROSES-21: Inclusion Pilot in ATP with Dual Anonymous

ROSES-22: Incorporating some of the lessons learned for a 2nd pilot

Other APD solicitations in ROSES-22 also requiring an IP:

- D.3 APRA
- D.7 SAT
- D.12 TCAN
- D.14 ROMAN
- D.15 LPS

Inclusion Plans Context

Through the addition of Inclusion Plans, NASA seeks to improve equity in STEM by asking proposers to consider ways to **involve and empower** historically underserved and underrepresented groups in STEM.

Proposers are **strongly encouraged to**:

- identify barriers to creating a positive and inclusive working environment for the proposed investigation;
- address ways in which the investigation team will attenuate or reduce these barriers to create and sustain such an environment;
- discuss ways in which the proposed investigation will empower those from historically underrepresented and underserved groups to be leaders and full participants within an inclusionary environment where all voices are heard;
- discuss ways in which the proposed investigation will develop a diverse and inclusive scientific workforce and clearly define roles and responsibilities for all team members towards pursuing those goals; and
- consider the involvement of organizations and institutions that support and serve under-represented groups including, but not limited to, Historically Black Colleges and Universities, Hispanic-Serving Institutions, Tribal Colleges, and Other Minority Universities.

A resource that some proposers may find useful in this regard is NASA's Minority Serving Institutions (MSI) Exchange at <https://msiexchange.nasa.gov/>.

Assessment of the IP

For the assessment of the Inclusion Plan, a peer review panel that may have a combination of science discipline experts, social scientists, and/or experts on issues surrounding diversity, inclusion, and equity, will be asked the following questions:

- a.** Does the Inclusion Plan provide adequate processes and goals for creating a positive and inclusive working environment for the investigation team?

Does the Inclusion Plan include ways in which this positive and inclusive working environment will be maintained? For instance, are the Plan's metrics of success and associated assessment plans adequate for gauging progress towards creating and sustaining the inclusive environment?

Does the Inclusion Plan demonstrate awareness of systemic barriers and ideas for removing these to create inclusive working environments?

- b.** Does the Inclusion Plan adequately describe the contribution of the proposed investigation to the training and development of a diverse and inclusive team?

Does the Inclusion Plan provide an adequate plan for achieving the identified contribution? Is the Plan likely to be successful in realizing the identified contribution?

- c.** Do the efforts in the Inclusion Plan have clearly stated goals, actions to achieve those goals, and metrics for measuring progress during the award period?



Key Points to Remember

- Please note that an Inclusion Plan is not the same as public engagement efforts nor is it the same as NSF's Broader Impacts statement. An Inclusion Plan that describes such efforts alone will be considered **inadequate** for the purposes of this assessment.
- If funding is needed to implement the Inclusion Plan, it should be included and justified in the budget.
- Note that while the assessment of the Inclusion Plan will not be part of the adjectival rating for the proposal and will not inform the selection of proposals, **funding will be released to selected institutions only once a satisfactory Inclusion Plan is approved by the selection official.**
- If funding is needed to implement the Inclusion Plan, that request for funding should be clearly identified and justified in the budget as a separate budget element so it can be assessed.

Reviewers and proposers will be invited to provide comments and suggestions to improve the Inclusion Plan aspect of this research program after the review is completed.

Upcoming Events relevant to IP

- Questions regarding inclusion plans will be addressed in FAQs for each solicitation
- Please submit your questions in writing for this workshop so we can respond accordingly in a FAQ.

<https://www.hou.usra.edu/meetings/inclusionplan2022/>



Inclusion Plan Best Practices Workshop

November 1–2, 2022
Virtual

The goal of this workshop is to provide proposers with some background and tools needed to be active participants in creating and maintaining inclusive work environments. This workshop is open to any member of the science community and may be of particular interest to those writing ROSES or mission proposals requiring inclusion plans. This workshop will be held in two 2-hour sessions over two days, allowing ample time for questions and discussion with the speakers and NASA personnel.