

Reporting Requirements related to Sexual Harassment, Other Forms of Harassment, Sexual Assault, and other Prohibited Conduct

National Aeronautics & Space Administration

Reportable events	<p>(1) Any finding/determination regarding the PI or any Co-I that demonstrates a violation of the recipient's policies or codes of conduct, relating to sexual harassment, other forms of harassment, or sexual assault; and/or</p> <p>(2) If the PI or any Co-I is placed on administrative leave <u>or</u> if any administrative action has been imposed on the PI or any Co-I by the recipient <u>relating to</u> any finding/determination <u>or</u> an investigation of an alleged violation of the recipient's policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault.</p>
About whom we report	<ul style="list-style-type: none"> • Principal Investigator • Co-Investigator
Reporting timeframe	<ul style="list-style-type: none"> • Within 10 business days from the date of the finding/determination, or the date of the placement of a PI or Co-I by the recipient on administrative leave or the imposition of an administrative action
Offices receiving allegations and/or information	<ul style="list-style-type: none"> • Office of Compliance • Office of Human Resources, Workforce Relations
Office responsible for reporting to sponsor	Research & Sponsored Programs
Source requirement	https://www.federalregister.gov/d/2020-04815
Additional information	https://missionstem.nasa.gov/term-condition-institutional-harassment-discr.html

National Science Foundation

Reportable events	<p>(1) Any finding/determination regarding the PI or any co-PI that demonstrates a violation of awardee policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault; and/or</p> <p>(2) If the PI or any co-PI is placed on administrative leave <u>or</u> if any administrative action has been imposed on the PI or any co-PI by the awardee <u>relating to</u> any finding/determination <u>or</u> an investigation of an alleged violation of awardee policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault.</p>
About whom we report	<ul style="list-style-type: none"> • Principal Investigator • Co-Principal Investigator
Reporting timeframe	<ul style="list-style-type: none"> • Within ten business days from the date of the finding/determination, or the date of the placement of a PI or co-PI by the awardee on administrative leave or the imposition of an administrative action, whichever is sooner
Offices receiving allegations and/or information	<ul style="list-style-type: none"> • Office of Compliance • Office of Human Resources, Workforce Relations
Office responsible for reporting to sponsor	Research & Sponsored Programs
Source requirement	https://www.federalregister.gov/d/2018-20574
Additional information	https://www.nsf.gov/od/odi/harassment.jsp

National Institutes of Health

Reportable events	<ul style="list-style-type: none"> • One of the following prior approval requests is related to concerns about safety and/or work environments (e.g., due to concerns about harassment, bullying, retaliation, or hostile working conditions): <ul style="list-style-type: none"> • Change in Status of PD/PI or other Senior/Key Personnel, including: <ul style="list-style-type: none"> • Significant change, meaning withdrawing from the project entirely; being absent from the project for 3 months or more; or reducing time devoted to the project by 25% or more • Change from multiple PD/PI model to single PD/PI model • Change from single PD/PI model to multiple PD/PI model • Change in the number or makeup of the PD/PIs on a multiple PD/PI award • When a request for a Change in Recipient Institution is: <ul style="list-style-type: none"> • Related to concerns about safety and/or work environments (e.g., due to concerns about harassment, bullying, retaliation, or hostile working conditions) • Occurring within the context of an ongoing or recent investigation of misconduct of any kind, including but not limited to professional misconduct or research misconduct
About whom we report	<ul style="list-style-type: none"> • Principal Investigator named in NIH notice of award • Senior/Key Personnel named in NIH notice of award
Reporting timeframe	<ul style="list-style-type: none"> • Prior to seeking NIH approval for the individual's reduction in time spent, disengagement for a period of time, replacement, or change; with submission of request for a change in recipient institution
Offices receiving allegations and/or information	<ul style="list-style-type: none"> • Office of Compliance • Office of Human Resources, Workforce Relations
Office responsible for reporting to sponsor	Research & Sponsored Programs
Source requirement	https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-124.html
Additional information	https://grants.nih.gov/grants/policy/harassment/policy-requirement.htm

Reportable events	<ul style="list-style-type: none"> • When a PD/PI or other Senior/Key Personnel is removed from their position or otherwise disciplined due to concerns about harassment, bullying, retaliation or hostile working conditions.
About whom we report	<ul style="list-style-type: none"> • Principal Investigator named in NIH notice of award • Senior/Key Personnel named in NIH notice of award
Reporting timeframe	<ul style="list-style-type: none"> • Within 30 days of the individual's removal or disciplinary action, through a dedicated web form

Offices receiving allegations and/or information	<ul style="list-style-type: none"> • Office of Compliance • Office of Human Resources, Workforce Relations
Office responsible for reporting to sponsor	Research & Sponsored Programs
Source requirement	https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-129.html
Additional information	https://grants.nih.gov/grants/policy/harassment/policy-requirement.htm https://public.era.nih.gov/shape/public/notificationForm.era

Simons Foundation

Reportable events	<ul style="list-style-type: none"> i. Any Determination (as defined below) involving Personnel (as defined below) relating to Prohibited Conduct; and ii. Any Administrative Action (as defined below) involving Personnel (as defined below) relating to Prohibited Conduct.
About whom we report	<ul style="list-style-type: none"> • Principal Investigators • All other members of the research team working on a grant funded by the Simons Foundation
Reporting timeframe	<ul style="list-style-type: none"> • Within 10 business days of any determination or administrative action
Offices receiving allegations and/or information	<ul style="list-style-type: none"> • Office of Compliance • Office of Human Resources, Workforce Relations
Office responsible for reporting to sponsor	Research & Sponsored Programs
Source requirement	Grant Code of Conduct, https://www.simonsfoundation.org/funding-opportunities/policies-and-procedures/
Additional information	<p><u>Administrative Action</u>: Any disciplinary or corrective action, including termination or suspension, taken with respect to Personnel.</p> <p><u>Determination</u>: The final disposition of a matter involving Prohibited Conduct.</p> <p><u>Prohibited Conduct</u>: Any violation of applicable federal, state, and local anti-discrimination, anti-harassment, and anti-retaliation laws; criminal laws, including those with respect to physical assault; institutional policies and procedures relating to anti-discrimination, anti-harassment, and anti-retaliation, including this Grant Code of Conduct; and professional codes of conduct.</p>