

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

National Aeronautics & Space Administration

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| 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

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| 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

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| Reportable events | <ul style="list-style-type: none"> • An administrative or disciplinary action against its employee(s)...that affects the ability of the employee(s) to continue as PI or other senior key personnel on an NIH award <ul style="list-style-type: none"> • For example, limiting access to the institution’s facilities or resources or modifying employment or leave status during an investigation of alleged sexual misconduct |
| About whom we report | <ul style="list-style-type: none"> • Principal Investigator • Senior/Key Personnel |
| 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, or replacement |
| 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-18-172.html |
| Additional information | https://grants.nih.gov/grants/policy/harassment/policy-requirement.htm |

Simons Foundation

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| 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> |