

Harassment Reporting Requirements by Agency/Entity in Brief¹

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Key Items	General Requirement	NSF	NIH	NASA	Simons Foundation	HHMI	Research Corp. for Scientific Advancement
What roles do the reporting requirements apply to?	Principal Investigators, Project Directors and others	PIs and Co-Investigators	PD/PI and other named senior/key personnel	PIs and Co-Is	PIs and all other members of the research team	All personnel or participants in grant-funded programs, attendees at HHMI events, or individuals performing work on behalf of HHMI	PI or Co-PI
What must be reported?	Findings, determinations and administrative actions taken	Actions, findings or determinations of sexual harassment, other forms of harassment, or sexual assault regarding an NSF-funded PI or Co-PI, or of the placement of the PI or Co-PI on administrative leave, or the imposition of any administrative action relating to a harassment or sexual assault finding or investigation	NIH must be notified when individuals identified as PD/PI or other Senior/Key Personnel in an NIH notice of award are removed from their position or are otherwise disciplined by the recipient institution due to concerns about harassment, bullying, retaliation, or hostile working conditions; changes in a PI or other Senior/Key person's status during an investigation of alleged sexual misconduct; if it is determined that the concerns shared with NIH will impact the PD/PI's (or Senior/Key person's) ability to continue as the scientific lead of the project, NIH will require prior approval for a	Any findings or determinations of sexual harassment, other forms of harassment, or sexual assault regarding a NASA-funded PI or Co-I; if PI or Co-I is placed on administrative leave or if the recipient has imposed any administrative action on the PI or Co-I, or any determination or an investigation of an alleged violation of the recipient's policies or codes of conduct, statutes,	Any determination or administrative action involving personnel relating to prohibited conduct; includes violation of Chapman's policies and professional codes of conduct	HHMI must be notified of the initiation of a formal investigation of misconduct relating to violations of law or institution policy regarding harassment, discrimination, retaliation, or sexual misconduct; after the investigation has concluded,	Institutional determination that a PI or Co-PI has violated the institution's policies or any applicable laws regarding sexual harassment, other forms of harassment, or sexual assault under the institution's financial or workplace conduct policies (e.g., harassment)

¹ This document is based upon a Michigan State University document, with appreciation to our colleagues there

			replacement PI/PD or Senior/Key person	regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault		the findings of the investigation must be reported	
Implementation or Effective Date	Agency specific	10/22/2018	6/11/2020	4/9/2020	4/6/2020	Not specified	2/1/2023
What awards are subject to the requirement?	Agency specific and varies between “all awards” or “as new or modified awards are issued”	After October 22, 2018, new awards and funding amendments to existing awards will be subject to the requirement	For awards (competing, non-competing and supplements) issued after June 11, 2020, prior approval requests for change in PI or Senior/Key Personnel named in the NoA, or changes in recipient institution, must disclose whether these requests are related to concerns about safety and/or work environment (e.g., due to concerns about harassment, bullying, retaliation, or hostile working conditions)	All new NASA award and funding amendments to existing awards made on or after the effective date will be subject to the term and condition	All awards	All grant-funded programs	All awards issued after effective date above
Timeframe for submitting reports to agency	Within 10 business days	Within 10 business days from the date of the finding/determination or the date of the placement of the PI or Co-PI on administrative leave by the awardee organization or the imposition of an administrative action, whichever is sooner	Notification must be provided by the AOR within 30 days of the removal or disciplinary action; the request for prior approval must be submitted promptly, and NIH must be proactively notified of any change of status of the PI or other Senior/Key person	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	Within 10 business days of any determination, action, administrative action involving personnel related to prohibited conduct, except as prohibited by law	Notification must be made within 5 business days of the initiation of the investigation; findings must be reported within 5 business days after the investigation has concluded	Promptly upon determination of violation
Reporting requirements for subrecipients	Direct to applicable agency	If a co-PI is affiliated with a sub-awardee organization, the AOR of the sub-awardee must provide the requisite information directly to NSF	Not differently identified or treated by NIH requirement	If a Co-I is affiliated with a subrecipient organization, the AOR of the subrecipient must provide the requisite information directly to NASA and the recipient	Not differently identified or treated by the Foundation	The grantee institution must provide notification of a Partner Institution’s initiation of an investigation of alleged misconduct and the	Not differently identified or treated by RCSA

						findings of the Partner Institution's investigation using the same timeline specified above	
Additional requirements for conference grants	Agency specific for those that normally award conference grants	For any grant that provides support for an NSF-sponsored conference, the grantee is required to have a policy or code-of-conduct that addresses sexual harassment, other forms of harassment, and sexual assault, and that includes clear and accessible means of reporting violations of the policy or code-of-conduct; the policy or code-of-conduct must be disseminated to conference participants prior to attendance at the conference, as well as made available at the conference itself	<p>Effective for R13/U13 applications submitted for the April 12, 2022, application due date and thereafter; all applicants recommended for funding must provide to NIH as part of the Just-in-Time materials:</p> <p>The safety plan that will be communicated to all conference or meeting attendees; safety plans are required to include certain elements as described in NOT-OD-22-074</p> <p>A description of the strategy that will be used to communicate the safety plan to conference attendees</p> <p>A plan to document allegations and resulting actions</p> <p>Information on the steps the organizers will take to ensure a safe and respectful environment for all attendees, free from discrimination and harassment</p>	Not differently identified	Not differently identified	Not differently identified	Not differently identified
Reporting addresses or methods of submitting reports	Authorized Organizational Representative (AOR) to agency/entity	Notification must be submitted via the NSF's Organizational Notification of Harassment Form	Grantee harassment webform; contact the NIH grants management specialist of the awarding NIH institute or Center; in cases of sexual harassment, copy GranteeHrassment@od.nih.gov	Reports must be submitted to NASA's Office of Diversity	The notice should be submitted through the Simons Foundation secure portal	Notification and reports should be submitted to the Vice President for Science Education	See RCSA contact in applicable Notice of Award

<p>Relevant materials and resources</p>	<p>Agency specific</p>	<p>Important Notice No. 144: Harassment (in144) NSF - National Science Foundation</p> <p>NSF Special Terms & Conditions for administration of NSF Conference or Travel Grants</p> <p>NSF Term & Condition: Sexual Harassment, Other Forms of Harassment, or Sexual Assault</p> <p>NSF Special Terms & Conditions for Administration of NSF Conference or Travel Grants (Effective May 20, 2024)</p> <p>Federal Register: Notification Requirements Regarding Findings of Sexual Harassment, Other Forms of Harassment, or Sexual Assault</p>	<p>NIH Expectations, Policies and Requirements</p> <p>Clarification of NIH's Policy Regarding a Change in Program Director/Principal Investigator Status</p> <p>Update on NIH's efforts to address sexual harassment NIH guidance regarding change in status, NOT-OD-20-124</p> <p>Update on NIH's efforts to address sexual harassment in science</p> <p>Plans to promote safe environments at conferences supported by NIH grants and cooperative agreements (NOT-OD-22-074)</p>	<p>Federal Register: Reporting Requirements Regarding Findings of Harassment, Sexual Harassment, Other Forms of Harassment, or Sexual Assault</p>	<p>HHMI Workplace behavior policy</p>	<p>Simons Foundation policies & procedures</p>	<p>RCSA code of conduct</p>
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