

UNIVERSITY OF ROCHESTER (UR) SUMMARY TABLE

NOTIFICATIONS TO AGENCIES ABOUT HARASSMENT, SEXUAL HARASSMENT, BULLYING OR OTHER BEHAVIOR THAT CREATES A HOSTILE WORKING ENVIRONMENT

Agency/ Effective	Applies to	Trigger Action	Trigger Requirements	Report & Timing to Sponsors (all reports filed by ORPA or other UR Authorized Representative)	Report Timing (after trigger action)
NIH (1of2) June 2020+	PI & Senior/Key Personnel named in Award Notice	Changing institutions or status as PI or Senior/Key Personnel (add or delete)	Report required IF change is related to concerns about safety or the work environment (due to concerns about harassment, bullying, retaliation or hostile working conditions).	Include in UR relinquishment request or prior approval request to change PI/PD or Senior/Key Personnel named in NOA.	At relinquishment or upon submission of prior approval request
NIH (2 of 2) July 2022+	PI and Senior/Key Personnel named in Award Notice	Removed from position OR otherwise disciplined (including administrative actions)	Report required IF trigger action is related to concerns about safety or the work environment (due to concerns about harassment, bullying, retaliation, or hostile working conditions).	Report via confidential NIH web form	Within 30 days
NSF	PI and Co- PIs	Finding/determination OR administrative leave OR administrative action	Violation of awardee policies or codes of conduct, statutes, regulations, or executive orders related to sexual harassment, other forms of harassment, or sexual assault. OR Individual is placed on administrative leave or any administrative action has been imposed by the university (interim or final) related to an alleged violation of items listed above.	Report via confidential NSF web form	Within 10 days

<u>NASA</u>	PI or Co-I	Finding/determination OR administrative leave OR administrative action	<p>Violation of awardee policies or codes of conduct, statutes, regulations, or executive orders related to sexual harassment, other forms of harassment, or sexual assault.</p> <p>OR</p> <p>Individual is placed on administrative leave or any administrative action has been imposed by the university (interim or final) related to an alleged violation of items listed above.</p>	Report via email to NASA at civilrightsinfo@nasa.gov .	Within 10 days
<u>AMERICAN HEART ASSOCIATION (AHA)</u>	Any member of the research team	Determination	<p>Determinations that any member of the research team has violated its applicable anti-harassment or antidiscrimination policy(ies).</p> <p>Prohibited conduct is any unlawful harassment or discrimination committed on the basis of age, race, color, creed, religion, sex, gender, ethnic or national origin, pregnancy, disability, uniformed service, veterans' status, sexual orientation, gender identity or expression, genetic information, marital status or based on political or religious opinions or affiliations, or any other characteristic protected by applicable law.</p>	Report to AHA Program Officer	Promptly
<u>SIMONS FOUNDATION</u>	All personnel working on a grant.	Determination OR administrative action	Determination (final disposition of a matter involving Prohibited Conduct) or any Administrative Action (disciplinary or corrective action, including termination or suspension), taken with respect to Personnel.	Report via confidential Simons Foundation web form	Within 10 business days

			Prohibited Conduct is 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 related to anti-discrimination, anti-harassment, and anti-retaliation, including this Grant Code of Conduct; and professional codes of conduct.		
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This Table is not exhaustive. While the focus of this Table is on NIH, NSF and AHA -funded research, if other sponsors, federal or non-federal, introduce similar reporting requirements in grant or contract terms and conditions, those requirements will be reviewed in accordance with the relevant University of Rochester policies and procedures. If necessary, this Table will be revised accordingly to ensure University of Rochester fulfills its reporting obligations.

Reports to the University are accomplished by using the [online PADH reporting form](#) or the [Title IX Office’s online report form](#). If reporting is required to research sponsors, the Office of Equity and Inclusion will report to the Office of Research and Project Administration (“ORPA”) or other UR Authorized Representative. The Associate Vice President for Research Administration will serve as the Authorized Organizational Official for the purposes of notifying research sponsors.

September 30, 2023
Updated: October 30, 2023
Updated: May 1, 2024