



Research Administration
Contract & Grant Administration

NSF Safe and Inclusive Working Environment Plans for Fieldwork and Research Activities on Vessels & Aircraft

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2/9/2023

NSF Safe and Inclusive Working Environment Plans

- **For proposals submitted on or after January 30, 2023, NSF requires PIs engaging in off-campus research activities to have in place a plan to nurture a safe and inclusive working environment.**
 - Underlying premise: all participants should know how to recognize and report inappropriate behavior and receive guidance in advance about how to feel safe and protected, when they are away from campus.
- **For these purposes, off-campus or off-site research is defined as *“data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft”***

Plan Components

- **The plan must describe how the following types of behavior will be addressed:**
 - a. Abuse of any person, including, but not limited to, harassment, stalking, bullying, or hazing of any kind, whether the behavior is carried out verbally, physically, electronically, or in written form; or
 - b. Conduct that is unwelcome, offensive, indecent, obscene, or disorderly.

Requirements

- **In most instances, plans should not be submitted to NSF for review**
- **The Authorized Organizational Representative (AOR) must certify at proposal stage that a plan in place**
 - The plan must be provided to OCGA with the proposal so that we can complete the certification
- **The plan for the proposal must be disseminated to individuals participating in the off-campus or off-site research prior to departure**
- **Plans should be adjusted, updated and disseminated as necessary**
- **NSF will be publishing FAQs and hosting webinars in the coming months**

Forms | UCLA Office of Contract and Grant Administration

Forms

Forms required for proposal submission and award actions approved by OCGA are available on this page. Please refer to instructions for each form. For additional questions, please contact your OCGA Analyst or Officer.

General Forms

- [EPASS Form | Instructions](#)
- [eDGE Annual Financial Disclosure/GCP Training Tracking Form](#) for PHS or DOE Non-Competing Continuations, Progress Reports and No-Cost Extensions
- [PHS NIH Signature Form and Instructions](#)
- [Financial Disclosure Forms](#)
 - [Forms](#)
 - [eDGE \(Electronic Disclosure Gateway\)](#)
- [NIH Loan Repayment Programs \(LRP\) - Institutional Business Official Certification](#)
- [PI Exception Form \(Sample\)](#)
- [Prior Approval Request Form](#)
- [RAS \(Request for Authorization to Spend\)](#)
- [Request of Institutional Profile in Cayuse](#)
- [NSF Safe and Inclusive Working Environments for Off-Campus or Off-Site Research](#)

**NSF Safe and Inclusive Work Environment
Plan for Off-Campus or Off-Site Research**

The University of California Los Angeles is committed to addressing harassment and fostering a safe and healthy work environment. Policies and expectations for proper conduct apply to all staff, faculty and students whether on-campus or working, doing research, or engaging in scholarly activities or study at an off-site location.

In addition, it is NSF policy to “foster safe and harassment-free environments whenever science is conducted.” (NSF 2023 PAPPG Guide II-E.9). Grantees are required, effective with proposals submitted 1/30/23 or later, to certify that we have a plan in place that addresses:

- (1) Abuse of any person, including but not limited to harassment, stalking, bullying or hazing or any kind, whether the behavior is carried out verbally, physically, electronically, or in written form; and
- (2) Conduct that is unwelcome, offensive, indecent, obscene, or disorderly

The University meets NSF requirements (as well as its own expectations) by using the policies and procedures outlined below, and as further amplified to cover special circumstances as dictated by the PI in the project-specific information shown in this document. **Principal Investigators are responsible for distributing a copy of this plan to each participant in an off-campus or off-site research prior to those individuals leaving campus to participate in the off-campus or off-site activities.**

KEY POLICIES AND PROCEDURES

UCLA staff, faculty and student workers are required to complete the [Sexual Harassment Prevention](#) and/or [Preventing Discrimination and Harassment](#) courses. In addition, UCLA has a robust policy system designed to enforce the expectations for a safe and healthy work environment. The following is a list of applicable University of California (systemwide) and UCLA (institutional) policies. Note that the hyperlinks are publicly accessible and easy to view.

UC Policies:

- [Conflict of Interest](#)
- [Sexual Violence and Sexual Harassment](#)
- [Discrimination, Harassment, and Affirmative Action in the Workplace](#)
- [Academic Appointees](#)
- [Complaint Resolution](#)
- [Gender Recognition and Lived Name](#)

UCLA Policies and Resources

- [Procedures for Handling Allegations of Discrimination, Harassment, or Retaliation](#)
- [Conflict Resolution](#)
- [Student Mental Health Resources](#)
- [Sexual Harassment, Sexual Violence and Gender Discrimination](#)
- [Research Misconduct](#)
- [Faculty Code of Conduct](#)
- [Student Code of Conduct](#)

REPORTING SUSPECTED MISBEHAVIOR

- (1) Contact your supervisor
- (2) [Report an Incident](#) or [Report Sexual Harassment](#)
- (3) UCLA Police Department
Email: info@ucpd.ucla.edu
Phone: (310) 825-1491

**NSF Safe and Inclusive Working Environment
Plan for Off-Campus or Off-Site Research**

PROJECT SPECIFIC INFORMATION

Plan Date or Version (<i>enter date the plan was prepared or updated, or a version number</i>). Preparer name may also be entered.	
NSF Grant Number:	
Principal Investigator Name (plus Cell Phone and Email)	
Off-Campus Location	
Description of off-campus research activity (<i>fieldwork, research activities on vessels or aircraft, work in an off-campus location, etc</i>)	
Estimated Departure and Return Dates (<i>begin and end dates of off-campus research</i>).	
Will participants have regular internet or cell service available? (<i>If no, what alternate arrangements are in place for participants to report suspected misconduct?</i>)	
Will participants from other entities (governmental, company, sponsor, educational institutions, subrecipients) be involved? <i>If yes, are there any special arrangements or guidance participants need to make sure they know they should also report misconduct involving these individuals?</i>	
Recommended contact for any suspected misbehavior (<i>note: participants remain free to use this contact or any other contact they prefer to report misconduct; more than one contact may be listed</i>).	
Any special circumstances that necessitate special plans (<i>e.g., participants are at sea or other remote locations without ability to make contact with University reporting offices; only a single satellite phone is available for the group; there are physical or other barriers that may require special attention to ensure full participation; no local transportation to a safe space is likely to be available; variance in cultural norms might necessitate advance awareness training;</i>). If yes, what arrangements are in place to manage these special circumstances?	
Other Comments or Information that participants may find useful. <i>Include local police and medical services numbers; for international trips, it is wise to include embassy/consulate contact information if not already provided.</i>	

NSF 2023 Pilot Bio & Geo

BIO & GEO Directorates are conducting a pilot program that requires the safe & inclusive plans to be submitted to NSF with the proposal

Will be a two-page supplemental document that will be merit reviewed

Review solicitations to determine if the pilot program applies

NSF recommend unique, project specific plans rather than standardized

- **Pilot Program Reviewers will consider:**
 - Is there a compelling plan (including the procedures, trainings, and communication processes) to establish, nurture, and maintain inclusive off-campus or off-site working environments?
 - Does the proposed plan identify and adequately address the unique challenges for the team and the specific off campus setting(s)?
 - Are the organizational mechanisms to be used for reporting, responding to, and resolving issues of harassment, should they occur, clearly outlined?

Other Resources

[Field Research Safety Resources & Training | Environment, Health & Safety \(ucla.edu\)](https://ehs.ucla.edu/field-research)

The screenshot shows a web browser window with the URL <https://ehs.ucla.edu/field-research>. The page header includes the UCLA logo and the text "Environment, Health & Safety". Navigation links for "About EH&S", "How Can We Help?", and "Programs & Tools" are visible. The main heading is "Field Research Safety Resources & Training". Below this, there are three columns of content:

- Field Safety Planning**: Accompanied by an illustration of people around a checklist and a shield. The text states: "You are required to submit a [field safety plan](#) before going into the field!" and "Don't forget to register with [UC Away](#) before your trip."
- Equipment Loaner Program**: Accompanied by an illustration of a red first aid kit. The text asks: "Do you need safety equipment for your next fieldwork assignment? [Check out](#) what is available and [request equipment](#)"
- Questions?**: Accompanied by the "Field Research Safety" logo. The text says: "Contact UCLA Field Research Safety at fieldresearch@ehs.ucla.edu or [book virtual office hours here](#)". Below this, it says "Email Field Safety Specialist [Claudia Alli](#)."



Any Questions?



Grant Updates

February 9, 2023

NSF

Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1) | NSF - National Science Foundation (PAPPG NSF 23-1)

Effective: January 30, 2023

Research.gov

- Fastlane – to be sunset on *Friday, September 29, 2023*
 - Submit - Proposal file updates/budget revision
 - Download – copies of Fastlane proposals

Biographical Sketch and Current/Pending (Other) Support

- Mechanism identified by automatic header/footer
 - Fillable pdf – enter name and date for certification (do not need to use electronic signature until SciENcv implemented until October 2023)
 - SciENcv **must** be used for proposals submitted due on/after October 23, 2023

Current & Pending Support

- **Senior Personnel** include the individuals designated by the proposer/awardee organization and approved by NSF who contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award

Where are these rules coming from?

National Defense Authorization Act

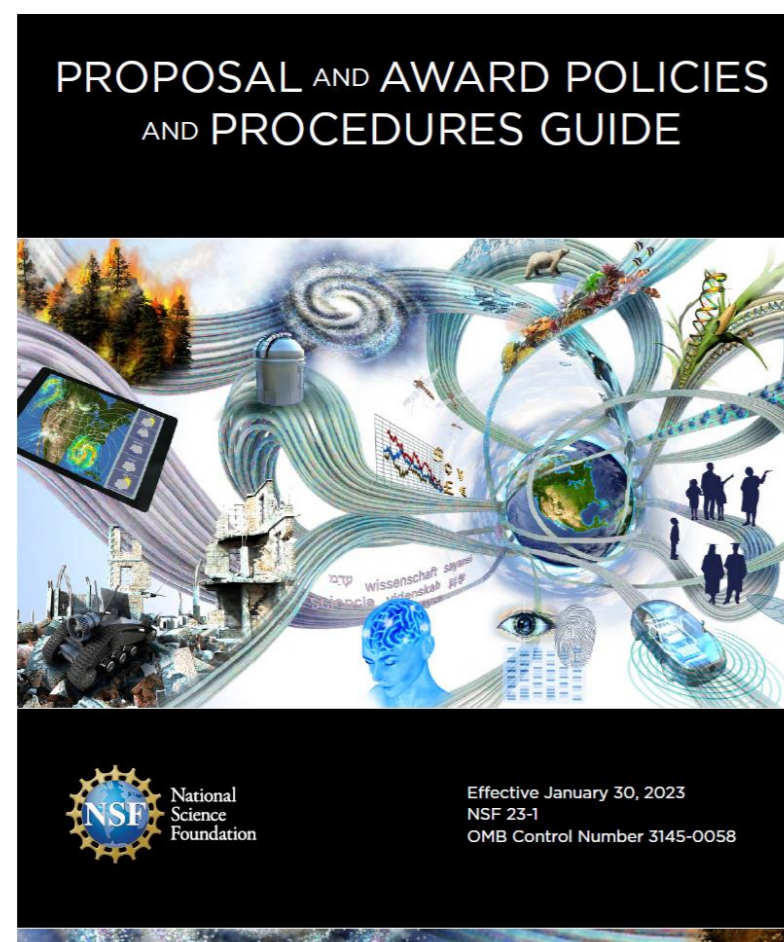
Public Law 116-283 – Jan 1, 2021

(d) DEFINITIONS.—In this section:

(1) The term “covered individual” means an individual who—

(A) contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and

(B) is designated as a covered individual by the Federal research agency concerned.



National Science Foundation (NSF)

Exhibit II-3: Definitions of Categories of Personnel - Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1) | NSF - National Science Foundation

Senior Personnel:

- (co) Principal Investigator (PI) -- the individuals designated by the proposing/recipient organization and approved by the Federal research funding agency who contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award. NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI. If more than one, the first one listed will serve as the contact PI, with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place. The PI and any identified co-PIs, however, will be jointly responsible for submission of the requisite project reports. For purposes of this document, when used throughout, the term Principal Investigator also includes Project Director (PD), and the term co-PI also includes co-PD.
- Faculty Associate (faculty member) (or equivalent) -- an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty (or equivalent) or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

Other Personnel

Any personnel category for which NSF funds are requested must indicate, in the parentheses provided on the Proposal Budget, the number of persons expected to receive some support from those funds.

1. Postdoctoral (Scholar, Fellow, or Other Postdoctoral Position) - an individual who has received a doctoral degree (or equivalent) and is engaged in a temporary and defined period of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path. Postdoctoral scholars not identified under Senior Personnel above should be listed as Other Personnel.
2. Other Professional - a person who may or may not hold a doctoral degree or its equivalent, who is considered a professional and is not reported as a Principal Investigator, faculty associate, postdoctoral scholar, or student. Examples of persons included in this category are doctoral associates not reported under B1, professional technicians, physicians, veterinarians, system experts, computer programmers, and design engineers.
3. Graduate Student (research assistant) - a part-time or full-time student working on the project in a research capacity who holds at least a bachelor's degree and is enrolled in a degree program leading to an advanced degree.
4. Undergraduate Student - a student who is enrolled in a degree program (part-time or full-time) leading to a bachelor's or associate's degree.
5. & 6. These categories include persons working on the project in a non-research capacity, such as secretaries, clerk-typists, draftsmen, animal caretakers, electricians, and custodial personnel regardless of whether they hold a degree or are involved in degree work.

National Defense Authorization Act

Public Law 116-283 – Jan 1, 2021

42 USC 6605. **SEC. 223. DISCLOSURE OF FUNDING SOURCES IN APPLICATIONS FOR FEDERAL RESEARCH AND DEVELOPMENT AWARDS.**

(a) **DISCLOSURE REQUIREMENT.**—Each Federal research agency shall require, as part of any application for a research and development award from such agency—

(1) that each covered individual listed on the application—
(A) disclose the amount, type, and source of all current and pending research support received by, or expected to be received by, the individual as of the time of the disclosure;

(B) certify that the disclosure is current, accurate, and complete; and

(C) agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award; and

(2) that any entity applying for such award certify that each covered individual who is employed by the entity and listed on the application has been made aware of the requirements under paragraph (1).

Certification.

Update.

NSF Fillable PDF - Current & Pending Support

Effective 01/30/2023 NSF CURRENT AND PENDING (OTHER) SUPPORT OMB-3145-0058

*Name:

ORCID ID (Optional):

*Position Title :

*Organization:

*Location:

Certification:

When the individual signs the certification on behalf of themselves, they are certifying that the information is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic) as defined in 42 U.S.C. §§6605. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§3729-3733 and 3802.

Signature
(Please type out full name): Date:



(v)*Certification

When the individual signs the certification on behalf of themselves, they are certifying that the information is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic) as defined in 42 U.S.C. §§6605. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§3729-3733 and 3802.

Current & Pending Support – Hints & Tips

- *Statement of Potential Overlap: Provide a description of the potential overlap with any pending proposal or award and this proposal in terms of scope, budget, or person-months planned or committed to the project by the individual. **If there is no potential overlap, enter N/A in this field.**
- The individual also must report any proposal, other than the proposal currently being submitted, that will likely be submitted imminently or in the near future.
- (i) Prior to making a funding recommendation, the cognizant NSF program officer will request that an updated version of current and pending (other) support be submitted via Research.gov
- (f) **Do not submit any personal information in the Current and Pending (Other) support.** This includes items such as: home address; home telephone, fax, or cell phone numbers; home e-mail address; driver's license number; marital status; personal hobbies; and the like.
- ORCID – heavily encouraged. Future systematic linkage of publications and awards(?)

National Science Foundation (NSF)

When to Submit C &P

Proposal Submission for all Senior Personnel

Prior to an Award being made

Corrective C&P

Research.gov – Post Award Disclosure of Current Support and In-Kind Contributions

“If an organization discovers that a PI or co-PI on an active NSF award failed to disclose current support or in-kind contribution information as part of the proposal submission process, the Authorized Organizational Representative (AOR) must submit the following information within 30 calendar days of the identification of the undisclosed current support or in-kind contribution. The post-award disclosure requirement applies to current support (including in-kind contributions) that was active as of the date the proposal was submitted to NSF.”

Annually – Active Project Reports: Annual and Final Report

October 23, 2023 – SciENcv Required for Biosketch and Current/Pending Support

NIH Salary Cap

- [NOT-OD-23-056: Guidance on Salary Limitation for Grants and Cooperative Agreements FY 2023 \(nih.gov\)](#)
 - Effective 1/1/2023
 - Executive Level II raised to \$212,100 (formerly \$203,700)
 - [Salary Cap Summary \(FY 1990 - Present\) | grants.nih.gov](#) - historic listing of NIH Salary Cap

Research effort requested in application/proposal – 12 months (50% effort)

a.	Individual's institutional base salary for a FULL-TIME calendar year appointment	\$ 240,000.00	(FTS)
b.	Direct Salary with research effort (50%)	\$ 120,000.00	(a x .50)
c.	Fringe Benefits requested at 25% of salary	\$ 30,000.00	(b x .25)
d.	SUBTOTAL	\$ 150,000.00	(b + c)
e.	Requested F&A (indirect) costs at 45% of subtotal	\$ 67,500.00	(d x .45)
f.	Total amount to be requested	\$ 217,500.00	(d + e)

The salary cap for the above individual will be calculated as follows:

g.	Salary Cap – FY 2023	\$ 212,100.00	
h.	Salary Cap with research effort (50%)	\$ 106,050.00	(g x .50)
i.	Fringe Benefits calculated at 25% of allowable salary	\$ 26,512.50	(h x .25)
j.	SUBTOTAL	\$ 132,562.50	(h + i)
k.	Associated F&A (indirect) costs at 45% of subtotal	\$ 59,653.13	(j x .45)
l.	Total amount to be awarded due to salary limitation	\$ 192,215.63	(j + k)

NIH- NRSA

[NOT-OD-23-076: Ruth L. Kirschstein National Research Service Award \(NRSA\) Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2023 \(nih.gov\)](#)

NRSA Stipend Levels FY2023

Career Level	Years of Experience	Stipend for FY 2020
Predoctoral	All	\$27,144

Postdoctoral	0	\$56,484
	1	\$56,880
	2	\$57,300
	3	\$59,592
	4	\$61,572
	5	\$63,852
	6	\$66,228
	7 or More	\$68,604

Tuition & Fees

- 60% of actual tuition up to \$16,000
- or if dual degree, 60% of actual tuition up to \$21,000

Training Related Expenses (Institutional Training Grants)

- Predoc: \$4,550
- Postdoc: \$12,200

Institutional Allowance (Individual Fellows)

- Predoc: \$4,550
- Postdoc: \$12,200

[NRSA FAQs](#)

NOT-OD-22-195: New NIH "FORMS-H" Grant Application Forms and Instructions Coming for Due Dates on or after January 25, 2023

NIH Forms H

G.100 - How to Use the Application Instructions (nih.gov)

For use on Applications with due dates on or after January 24, 2023

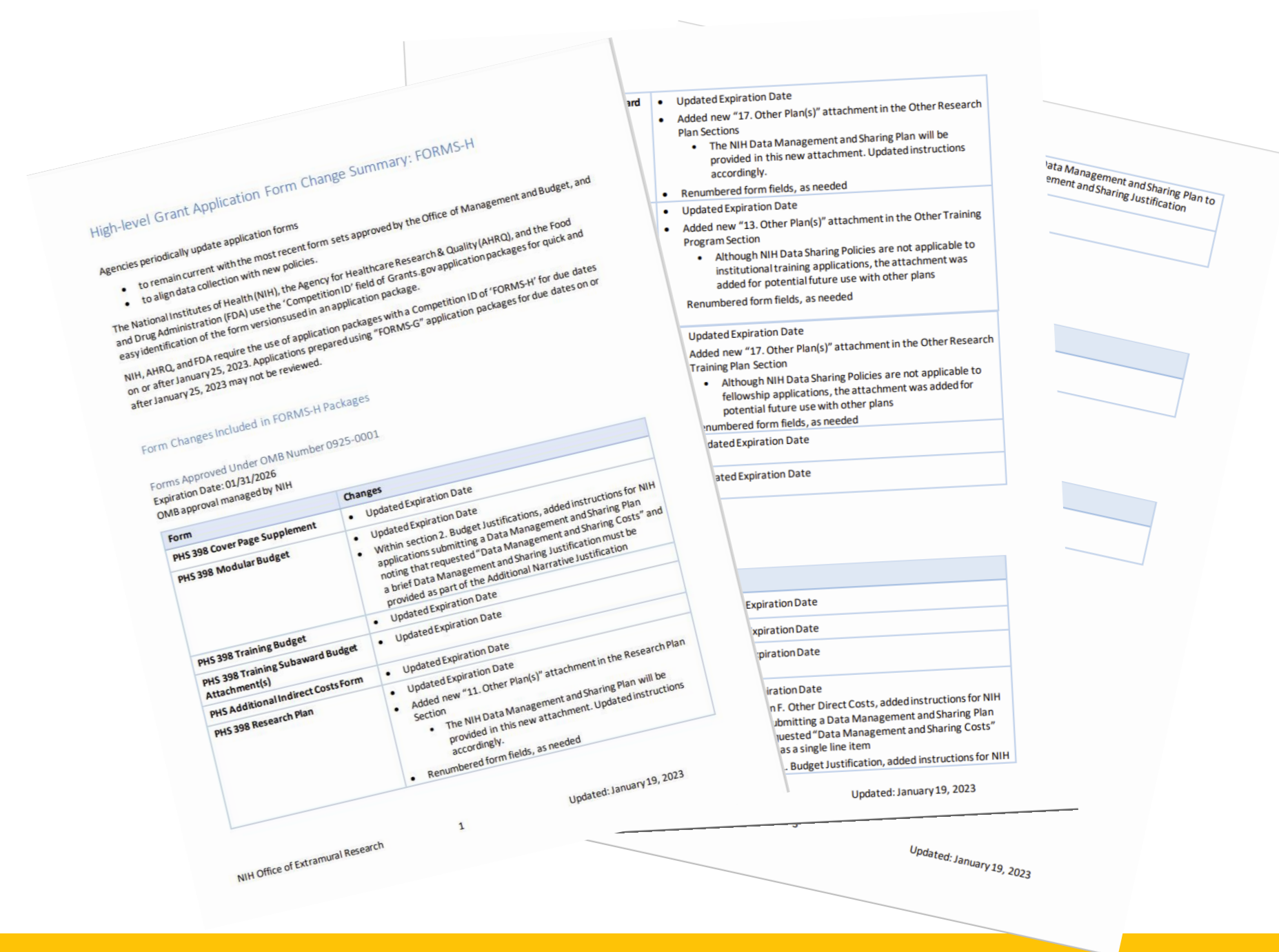
- New/Revised Funding Opportunities will in cooperated Forms-H requirement

G.120 - Significant Changes (nih.gov)

Instructions for Data Management and Sharing (DMS) Plans

- Modular Budget Form
- Research Plan Form
- Career Development Award Supplemental Form
- Research Training Program Plan Form (future plans)
- Fellowship Supplemental Form (future plans)

high-level-form-change-summary-FORMS-h.pdf (nih.gov)





CAMPUS TRAINING

<https://ocga.research.ucla.edu/training-calendar/>

February

S2S Grants Basics

Wednesday, February 15, 2023

9:00am-11:30 am

This session will provide information to get new users started with the S2S Grants (Cayuse) system for preparation and submission of proposals. Topics include: how to get access to the system, best practices, user resources, and hints and tips. This session is appropriate for individuals responsible for preparation or review of proposals in S2S Grants.

Any Questions?

<https://ocga.research.ucla.edu>