



Safe and Inclusive Fieldwork (SAIF) Pilot UNOLS Fall Council and Annual Meetings

Rose Dufour- NSF Ship Ops Program Director NSF



Current NSF SAIF working Group

BIO – Leslie Rissler (co-chair), Colette St. Mary

GEO – Lisa Clough (co-chair), Jessie Crain, Renee Crain, Brandon Jones

Policy – Jean Feldman





Proposal & Award Policies & Procedures Guide (PAPPG)

NSF 23-1: Effective for proposals submitted or due on or after January 30, 2023

Chapter II.E.9, Safe and Inclusive Working Environments for Off-Campus or Off-Site Research, describes the new requirement for the AOR to certify that an organization has a plan in place for safe and inclusive research for any proposal that proposes to conduct off-campus or off-site research. This section also provides considerations for plan development, communication, and dissemination.



PAPPG certification requirement

9. Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

It is NSF policy (see Chapter XI.A.1.g.) to foster safe and harassment-free environments wherever science is conducted. NSF's policy recognizes that a community effort is essential to eliminate sexual and other forms of harassment in science and to build inclusive scientific climates where people can learn, grow, and thrive. Accordingly, for each proposal that proposes to conduct research off-campus or off site⁴⁴, the AOR must complete a certification⁴⁵ that the organization has a plan in place for that proposal that describes 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.



This plan should also identify steps the proposing organization will take to nurture an inclusive off-campus or off-site working environment, e.g., trainings; processes to establish shared team definitions of roles, responsibilities, and culture, e.g., codes of conduct; and field support, such as mentor/mentee support mechanisms, regular check-ins, and/or developmental events

Communications within team and to the organization should be considered in the plan, minimizing singular points within the communications pathway (e.g., a single person overseeing access to a single satellite phone), and any special circumstances such as the involvement of multiple organizations or the presence of third parties in the working environment should be taken into account. The process or method for making incident reports as well as how any reports received will be resolved should also be accounted for.

The organization's plan for the proposal must be disseminated to individuals participating in the off-campus or off-site research prior to departure. Proposers should not submit the plan to NSF for review.



Proposal Cover Page

THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW

- TYPE OF PROPOSAL _____
- COLLABORATIVE STATUS _____
- BEGINNING INVESTIGATOR
- DISCLOSURE OF LOBBYING ACTIVITIES
- PROPRIETARY & PRIVILEGED INFORMATION
- HISTORIC PLACES
- LIVE VERTEBRATE ANIMALS IACUC App. Date _____
PHS AnimalWelfareAssurance Number _____

- HUMAN SUBJECTS _____
Exemption Subsection _____ or IRB App. Date _____
Human Subjects Assurance Number _____
- FUNDING OF INT'L BRANCH CAMPUS OF U.S IHE
- FUNDING OF FOREIGN ORGANIZATION OR FOREIGN INDIVIDUAL
- INTERNATIONAL ACTIVITIES: COUNTRY/COUNTRIES INVOLVED _____
- POTENTIAL LIFE SCIENCES DUAL USE RESEARCH OF CONCERN
- OFF-CAMPUS OR OFF-SITE RESEARCH

Proposal Certification Page

Certification Regarding Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

(This certification applies only to proposals in which data/information/samples are being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft.)

By electronically signing the Certification Pages, the Authorized Organizational Representative is certifying that, in accordance with the NSF Proposal & Award Policies and Procedures Guide, Chapter II.E.9, the organization has a plan in place **for this proposal** regarding safe and inclusive working environments.

AUTHORIZED ORGANIZATIONAL REPRESENTATIVE

SIGNATURE

DATE





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.



Summary – for proposals with data/information/samples collected off-campus or off-site

- 1) **Checkbox on Cover Page** – marked if any off-campus or off-site research is proposed (*effective as of 30 Jan 2023*)
- 2) **Chapter II.E.9 of PAPPG – Safe and Inclusive Working Environments for Off-Campus or Off-Site Research** - new stipulation associated with AOR certification indicating that an organization has a plan in place if work proposes off-campus or off-site research (*effective as of 30 Jan 2023*)
- 3) **BIO and GEO SAIF Pilot** - 2-page Supp Doc that will be reviewed as part of the Broader Impacts merit review criterion of each proposal with off-campus or off-site research (*effective date depends on solicitation*)



NSF Ship Operations Solicitation 23-599

New Section added:

Section 10: Description of Diversity, Equity, Inclusion, and Accessibility Efforts, On-board Policies for Civility at Sea, and Prevention of Harassment



Any submission to a participating solicitation involving off campus/off site research must include the supplemental doc

No plans may be included as supplemental docs in non-participating solicitations



Which solicitations are participating?

Directorate	Solicitation	Name of Program
GEO	23-539	Cultural Transformation in the Geoscience Community
GEO	23-540	GEOPATHs
GEO	23-572	Arctic Research Opportunities
BIO	23-549	DEB core solicitation
BIO	23-547	IOS core solicitation
BIO	23-548	MCB core solicitation
BIO	23-542	Biodiversity on a Changing Planet
BIO	23-559	Plant Genome Research Program
BIO	23-580	Infrastructure Capacity for Biological Research
BIO	23-578	Infrastructure Innovation for Biological Research
OISE	23-577	Global Centers



Pilot Plan must include

- brief description of the **field setting and unique challenges for the team**
- **steps the proposing organization will take to nurture an inclusive off-campus or off-site working environment**, including processes to establish shared team definitions of roles, responsibilities, and culture, e.g., codes of conduct, trainings, mentor/mentee mechanisms and field support that might include regular check-ins, and/or developmental events;
- **communication processes within the off-site team and to the organization(s)** that minimize singular points within the communication pathway (e.g., there should not be a single person overseeing access to a single satellite phone); and
- the organizational **mechanisms that will be used for reporting, responding to, and resolving issues of harassment if they arise.**



Reviewers must evaluate plan within Broader Impacts criterion

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



Where are the resources?

BIO GEO Pilot TEAMS site

- **General:** List of participating solicitations
- **Common Questions:** External FAQs, Q&A for PDs, VOH recording
- **Merit Review:** Handling guidance, sample reviewer information for all contexts
- **Slides:** Approved slides for Outreach
- **Resources:** Published articles on the topic



What's next

Assessment of the Pilot

- Analyses of the plans themselves (in development)
- PI surveys (in development for OMB approval)
- Focused PO listening sessions (coming early 2024)
- Compliance (ongoing)
- Panelist surveys (ongoing)



Listening to your feedback and taking questions on



Process – compliance and review procedures



Assessment - input



Any other feedback and questions