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| **Principal Investigator Safe and Inclusive Working Environment Checklist**  (For PI Use Only – This does not need to be submitted to NSF or RGC) | |
| 1. Will there be any off-campus or off-site research occurring on the NSF-funded award? | Yes (Continue Checklist)  No (Stop here) |
| 1. Complete the Safe and Inclusive Working Environment Plan Form for Off-Campus or Off-Site Research Form below or create a grant-specific form. | Done |
| 1. Distribute the Safe and Inclusive Working Environment Plan for Off-Campus or Off-Site Research Form to everyone who will participate in an off-campus or off-site research activity before the individuals leave campus to engage in the activities. | Done |
| 1. Retain documentation of who received the plan (i.e. email documentation, signup sheet) and a copy of the form they received in your grant files. | Done |

**NSF Safe and Inclusive Working Environment Plan for Off-Campus or Off-Site Research Form - Sample**(For PI Use Only – This does not need to be submitted to NSF or RGC)

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| --- | --- | --- | --- |
| Date: |  | NSF Grant Number: |  |
| PI Name: |  | PI Email and Phone #” |  |
| Secondary Contact (if PI is not available): |  | | |
| Off-Campus Location |  | | |
| 1. Estimated Departure and Return Dates (begin and end dates of off-campus research). | | | |
|  | | | |
| 1. Brief description of off-campus research activity | | | |
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| 1. Will participants have regular internet or cell service available? (If no, what alternate arrangements are in place for participants to report suspected misconduct?)   Yes  No (Describe alternative arrangements if applicable below) | | | |
|  | | | |
| 1. Will participants from other entities (governmental, company, sponsor, educational institutions, subrecipients) be involved? If yes, are there any special arrangements or guidance participants need to make sure they know they should also report misconduct involving these individuals?   Yes  No (Describe special arrangements if applicable) | | | |
|  | | | |
| 1. Recommended contact for any suspected misbehavior (note: participants are free to use this contact or any other contact they prefer to report misconduct; more than one contact may be listed). | | | |
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| 1. Are there any special circumstances that necessitate special plans? If yes, what arrangements are in place to manage these special circumstances.   Yes  No (Describe alternative arrangements if applicable below) | | | |
|  | | | |
| 1. Other Comments or Information that participants may find useful Include local police and medical services numbers; for international trips, it is wise to include embassy/consulate contact information if not already provided. | | | |
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**FREQUENTLY ASKED QUESTIONS**

**QUESTION 1: What does “off-campus” or “off-site” mean.  If I’m housed in a leased building adjacent to a NKU campus, does this new requirement apply to me?**

*Answer:  The intent of this requirement is to provide guidance and protection for participants when they do not have ready access to the on-campus in-person resources they normally do.  If your participants continue to have such access, no plan is needed.    If participants are sufficiently distant from campus that access to these resources is more limited than they would be if they were on campus, then a plan is likely needed.*

**QUESTION 2:  What does “research activities” mean?  I don’t do research; my NSF work is considered an “other sponsored activity”**

*Answer:  This new requirement applies only to research activities.   NSF has defined off-campus or off-site research for the purpose of this requirements as “data/information/samples being collected off-campus or off-site, such as fieldwork or research activities on vessels and aircraft.”   PIs are responsible for determining whether the requirement applies to their project or to certain activities on their project.  If there happens to be a research component on an award that is characterized as an “other sponsored activity”, then the requirement would apply only to that research component.*

**QUESTION 3: I forgot to send a plan to one or more participants before we left; what do I do now?**

*Answer:   If the off-site research is still taking place, send the plan now to the participant(s) and document the date sent and the reason for the delay.*

**QUESTION 4: Who counts as a “Participant”?  Does this include subrecipient personnel?  Other faculty working at the off-campus location with the PI?**

*Answer: It* includes all NKU participants.   For subrecipient personnel, their own institution should have issued a plan for the off-site activity (PIs should verify with the PI of the subrecipient organization that this has occurred.)  The PI’s plan may be shared and adapted for use by the subrecipient.  Typically, an NKU PI will only assume responsibility for NKU participants but there may be cases where guests or participants from other entities may need to use the plan.   This is allowed, but places a special administrative burden on the NKU PI as these participants will not already be familiar with NKU policies or practices, and special coordination across entities may be needed.

**QUESTION 5:   Is it possible to name a backup point of contact listed on the form?**

*Answer:  Yes, in fact it is advisable to have a primary and a secondary point of contact available.  The Principal Investigator must be listed on the form in the “PI” box but may also be listed as the primary point of contact, or they may delegate the primary point of contact responsibility to another individual who is present at the off-campus location.   Make sure and include the cell phone and email of the alternative contact.*

**QUESTION 6:   What should happen if the person doing the alleged misconduct is the named point of contact?**

*Answer:  As described above, it is helpful to list contact information for two individuals (e.g., the PI and a second delegated person) so that there is a local second point-of-contact readily available.  Assuming there is internet or cell phone service, the participant can also use one of the other reporting mechanisms to contact their supervisor or a University official responsible for handling misconduct concerns.   If the participant is unable or unwilling to notify the primary point of contact and the standard reporting options are not available, the participant may defer reporting until access is available (if they feel it is safe to do so), or approach another senior person on the off-campus team (whether or not from NKU) to assist them in appropriate next steps.*

**QUESTION 7:   I am the PI and I do have special off-site circumstances.   What are my options?**

*Answer:  PIs may devise options they believe are appropriate to the circumstances, but some reasonable options to known circumstances might include the following:*

1. ***Cultural norms differ in the location where the off-campus research will take place.*** *PIs may wish to offer a “pre-departure” briefing for participants explaining cultural norms in the off-site location (physical or touching norms, verbal styles, etc.) PIs can offer alternatives to mitigate concerns arising from cultural differences (e.g., offering to connect only in a group setting, or pairing participants so that there is less opportunity for misunderstanding.)*
2. ***In advance of departure, PIs may wish to remind participants that they are personally available to listen to any concerns that participants may have about the off-campus research activity.***
3. ***If the off-campus research site offers terrain, temperature, visual, auditory, or other challenges, offer to meet ahead of time with participants to discuss any special concerns they may have or accommodations they may need in order to fully participate.***
4. ***The PI may wish to engage in regular “check-ins” privately with off-campus participants to ascertain whether there is anything that is impacting their full enjoyment about the off-campus research experience (physical or cultural barriers, behavior challenges, etc.)***
5. ***Particularly in remote locations, physical circumstances may limit the ability for a participant to be separated from an individual alleged to have participated in misbehavior.****Whenever possible, the participant and the individual allegedly engaging in misbehavior should be separated as completely as possible.  Consider assigning a “buddy” to a participant concerned of a possible recurrence, particularly when complete physical separation is not feasible.*
6. ***There is only a single satellite phone (or equivalent) available for contact outside the group.*** Consider having a second phone available and controlled by a different individual, or ask someone from another group or from the entity being visited if participants can also approach them should need arise for a confidential call to be placed.   Notify participants accordingly.