



The University of Vermont



NSF SAFE & INCLUSIVE WORKING ENVIRONMENT

PLAN FOR OFF-CAMPUS OR OFF-SITE RESEARCH

NSF's Proposal & Award Policies & Procedure Guide (PAPPG): NSF 23-1, Chapter II.E.9, Safe and Inclusive Working Environments for Off-Campus or Off-Site Research requires that any new proposal or renewal of an existing proposal submitted to NSF that (i) is funded and (ii) includes research conducted off-campus or off-site develop a plan that describes how the following types of behavior will be addressed:

- 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
- Conduct that is unwelcome, offensive, indecent, obscene, or disorderly.

Off-Campus/Off-Site Research, for the purposes of this requirement, is defined as data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft.

INSTRUCTIONS:

- *Fill out this form for each NSF award. When finished, save a copy.*
- *Provide a copy of this plan, along with the Summary Code of Conduct and the Discrimination, Harassment, and Crime Reporting sheet (attached at the end of this form) to individuals participating in off-campus or off-site research prior to departure. If research participants include Limited English Proficiency individuals, contact [Human Resource Services](#) for guidance.*
- *Update this form if activities change and provide an updated copy along with the attachments to all participants.*
- *Upload a copy of this plan and any subsequent versions into the UVMClick Funding Proposal as a "Other Supporting Document".*
- *Retain a copy of this plan along with documentation specifying the recipients and the date of receipt according to UVM's [Record Retention Schedule](#).*
- *Do not submit a copy with your proposal or to NSF unless you are requested to do so.*

PLAN FOR OFF-CAMPUS OR OFF-SITE RESEARCH

The University of Vermont is committed to creating and maintaining a community in which its members are free from all forms of harassment and discrimination, consistent with its obligations under federal and state law. The University of Vermont recognizes the long-lasting and detrimental effects of discrimination and harassment on individuals, on our entire community, and on our mission to prepare UVM students to lead productive, responsible, and creative lives. University policy therefore strictly prohibits all forms of discrimination and harassment, including sexual misconduct, and is committed to (1) eliminating, preventing, and addressing the effects of discrimination and harassment; (2) cultivating a climate where all individuals



are well-informed and supported in disclosing incidents of discrimination and harassment; and (3) providing a fair and impartial process for investigation and adjudication of conduct prohibited by UVM policies.

Additionally, it is the policy of NSF 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. As such, for each proposal that proposes to conduct research off-campus or off-site that is submitted on January 30, 2023 or later, NSF requires that grantees certify that they have a plan in place that addresses:

- 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
- Conduct that is unwelcome, offensive, indecent, obscene, or disorderly.

Through this written plan, UVM meets NSF requirements and adheres to its own policies and procedures (specified below) and its own expectations. Additional information that covers specific activities and circumstances under this award are outlined below.

Principal Investigators will disseminate a copy of this plan and any updates, along with the attachments, to all individuals in this research prior to departure.

PI's will also complete UVM's [Preventing Discrimination and Harassment Training](#) prior to commencing the research.

RELEVANT UNIVERSITY POLICIES & PROCEDURES

The University of Vermont has implemented several policies related to the provision of a safe and healthy work environment. They include the following:

- [Campus Safety and Security: Clery Act](#)
- [Code of Conduct and Ethical Standards](#)
- [Code of Student Conduct](#)
- [Designation and Responsibilities of UVM Reporters](#)
- [Discrimination, Harassment, and Sexual Misconduct](#)
- [Discrimination, Harassment, and Non-Title IX Sexual Misconduct Sanctioning Procedures for Student Respondents](#)
- [Equal Employment Opportunity/Affirmative Action Policy Statement](#)
- [Equal Opportunity in Educational Programs and Activities and Non-Harassment](#)
- [Grievance Policy for Non-Represented Staff](#)
- [Handling and Resolving Discrimination, Harassment, and Sexual Misconduct Complaints](#)
- [Hazing](#)
- [Hearing Procedures for Title IX Offenses Involving Employee Respondents](#)
- [Hearing Procedures for Title IX Offenses Involving Student Respondents](#)
- [Minors: Reporting Abuse or Neglect of and Crimes](#)
- [Minors in Laboratories](#)
- [Misconduct in Research](#)
- [Nepotism](#)
- [Personal Safety & Security](#)
- [Protecting Minors](#)
- [Student Organization Misconduct Investigation and Resolution](#)
- [Vulnerable Adults: Reporting Abuse, neglect or Exploitation of, and Crimes](#)
- [Whistleblower Policy: Reporting, Protections & Non-Retaliation](#)



REPORTING

The safety and wellbeing of our campus community is always the University of Vermont's top priority. In the event of an emergency and imminent risk of harm, call 9-1-1 (or the 9-1-1 equivalent if outside the United States – see [911 Abroad](#) for a list). For non-emergency situations, you can either contact your supervisor or report to a responsible office. [This page](#) lists the critical reporting resources available across the university, separated by topic and there is an attachment included with this plan that specifies discrimination, harassment and crime reporting. Unless otherwise noted, the resources linked on this page are only viewed during normal business hours.

The [Ethics and Compliance Reporting and HelpLine](#) accepts anonymous reports but should never be used for emergency situations. In addition to an [online form](#), employees have the option to report over the phone at (800) 461-9330 or via text message at (802) 441-6649.

NSF PROJECT-SPECIFIC INFORMATION

Plan Date: _____ Plan Version Number*: _____

**Use sequential numbering if you are updating this plan. For example, the first plan is Version 1. The first update is Version 2, next update is Version 3, etc.*

Principal Investigator Name: _____

Principal Investigator Cell Number: _____

Principal Investigator Email Address: _____

Name Preparer of This Plan: _____

Title of Preparer: _____

Research Will Be Conducted: ☐ Off-Campus ☐ Off-Site ☐ Both

Off-Campus Location(s) – List all: _____

Off-Site Location(s) – List all: _____

Description of Off-Campus/Off-Site Setting & Activities: _____

Examples include fieldwork in a remote tropical forest in Costa Rica, research activities on a vessel in the Atlantic Ocean, work on a rural Vermont farm with limited cellular service, data gathering on Mount Mansfield, etc.)

Estimated Departure Date: _____ Estimated Return Date: _____

Will participants have regular internet or cell service available?

☐ Yes ☐ No

If no, what alternate arrangements are in place for participants to report suspected misconduct?



The University of Vermont



Are there any other unique challenges that this location poses to participants?

☐ Yes ☐ No

If yes, describe? _____

Will participants from other entities (governmental, company, sponsor, educational institutions, subrecipients) be involved?

☐ Yes ☐ No

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

If yes, describe the arrangements or guidance: _____

While participants remain free to use this contact or any other contact they prefer to report misconduct, the recommended contact for any suspected misbehavior is:

Name: _____

Cell: _____ Email: _____

Optional: If there is a secondary contact, list that individual here:

Name: _____

Cell: _____ Email: _____

Other comments or information that participants may find useful: _____

Include local police and medical services numbers. For international trips, add embassy/consulate contact information if not already provided and add the 911 equivalent which can be found [here](#).

SIGNATURES

Principal Investigator Printed Name: _____

PI Signature: _____ Date Signed: _____

Provide a copy of this plan along with the attachments to all participants prior to their participation. Retain a copy of this plan along with documentation showing who received it and the date it was received. Retain a copy of this plan according to [UVM's Record Retention Schedule](#). Contact your award administrator or email Sponsored Project Administration at spa@uvm.edu with questions.

Discrimination, Harassment, and Crime Reporting

Reporting an Incident:

STEP ONE — CONTACT LAW ENFORCEMENT.

ALWAYS CALL 9-1-1 IF A CRIME OR OTHER EMERGENCY IS IN PROGRESS, or if at any time there is an imminent or continuing threat of harm to persons or property.

IN A NON-EMERGENCY SITUATION, make the individual you are speaking with aware of their option to make a report to local law enforcement and assist with making initial contact.

ON CAMPUS LAW ENFORCEMENT:

UVM POLICE SERVICES — 802-656-3473

STEP TWO — MAKE A CLERY ACT REPORT.

PROMPTLY FILE AN ELECTRONIC CSA REPORTING FORM, regardless of whether a police report is filed.

CSA FORM AVAILABLE AT: www.uvm.edu/police/csa

The name of the alleged victim(s) **SHOULD NOT BE INCLUDED** in the CSA Reporting Form **UNLESS**:

- 1) **DISCLOSURE IS REQUIRED BY LAW** (e.g. abuse or neglect of minors or vulnerable adults)
- 2) The incident presents an **IMMINENT OR CONTINUING THREAT OF HARM**
- 3) The incident constitutes **DOMESTIC VIOLENCE, DATING VIOLENCE, OR STALKING**
- 4) **YOU ARE GIVEN PERMISSION TO DO SO** by the alleged victim

ALL OTHER IDENTIFYING INFORMATION SHARED WITH YOU ABOUT THE INCIDENT MUST BE INCLUDED.

Examples include location, name(s) of alleged perpetrator(s) or witness(es), incident description, etc.

STEP THREE — MAKE A REPORT TO AAEO.

All allegations of **DISCRIMINATION AND HARASSMENT**, including all of **SEXUAL MISCONDUCT**, **MUST** be reported to Affirmative Action and Equal Opportunity (AAEO) to enable appropriate support and institutional response.

REPORTS TO AAEO SHOULD INCLUDE:

- 1) **NAMES** of Reporting Party, Alleged Victim, Alleged Perpetrator, and Witnesses, to the extent known
- 2) **LOCATION** where the incident occurred
- 3) **NATURE** of the incident

THERE ARE TWO WAYS TO REPORT TO AAEO:

1) SEXUAL MISCONDUCT REPORTS:

Email TitleIX@uvm.edu or Title9@UVM.edu

2) ALL OTHER REPORTS including Bias, Discrimination, and Harassment, **USE THE FORM AVAILABLE AT:**

www.uvm.edu/aaeo

A Reference Guide for UVM Reporters

A FEW REPORTING REMINDERS

- **WHEN IN DOUBT, MAKE A REPORT**
- You are **NOT RESPONSIBLE FOR INVESTIGATION**. Report the information that you have.
- Refer to the **BACK OF THIS SHEET** for talking points to help you with **WHAT TO SAY WHEN AN INCIDENT IS DISCLOSED TO YOU**.

Support Services and Resources:

CAMPUS AND COMMUNITY RESOURCES YOU CAN SHARE

FREE & CONFIDENTIAL ON CAMPUS RESOURCES

<i>UVM Campus Advocacy Services</i>	802-863-1236
<i>Counseling & Psychiatry Services</i>	802-656-3340
<i>Employee Assistance Program</i>	802-656-EAP0
<i>Student Health Services</i>	802-656-3350

FREE & CONFIDENTIAL COMMUNITY RESOURCES

<i>H.O.P.E. Works (Rape Crisis Hotline)</i>	802-863-1236
<i>Howard Center Adult Crisis Hotline</i>	802-488-6400
<i>Safe Space (LGBTQA Survivor Services)</i>	802-863-0003
<i>Steps to End Domestic Violence</i>	802-658-1996
<i>UVM Medical Center Emergency Dept.</i>	802-847-2434
<i>Vermont Center for Crime Victim Services</i>	802-241-1250
<i>Vermont Domestic Violence Hotline</i>	1-800-228-7395
<i>Vermont Sexual Violence Hotline</i>	1-800-489-7273

FREE & NON-CONFIDENTIAL RESOURCES

<i>AAEO / Title IX Coordinator at UVM</i>	802-656-3368
<i>Title IX Intake and Outreach Coordinator</i>	802-656-3368
<i>UVM Dean of Students Office</i>	802-656-3380
<i>UVM Police Services</i>	802-656-3473
<i>Vermont Adult Protective Services</i>	1-800-564-1612
<i>Vermont Dept. of Children & Families</i>	1-800-649-5285

MORE RESOURCES ARE AVAILABLE AT

UVM's ANNUAL SECURITY REPORT:

<http://www.uvm.edu/police/reports/clery/public-safety-report.pdf>

TITLE IX AND SEXUAL MISCONDUCT RESOURCES WEBSITE:

<https://www.uvm.edu/aaeo/title-9-sexual-misconduct>

ALL UVM REPORTING FORMS:

https://www.uvm.edu/deanofstudents/student_advocacy



The University of Vermont

THE CODE

CODE OF
CONDUCT AND
ETHICAL
STANDARDS

SUMMARY
BROCHURE

THIS BROCHURE IS A SUMMARY OF THE UNIVERSITY OF VERMONT'S CODE OF CONDUCT AND ETHICAL STANDARDS. FOR A COPY OF THE FULL CODE, PLEASE VISIT go.uvm.edu/codeofconduct

Code Statement

The University of Vermont is committed to continually strengthening its ethical culture. From the University's motto of "Studiis et Rebus Honestis" (Integrity in Theoretical and Practical Pursuits) to our values stated in "[Our Common Ground](#)", we are all expected to perform our jobs and to conduct business in an ethical and compliant manner. All University personnel have a shared responsibility to the University, to those we serve, to our community and to each other.

Reason for the Code

The Code of Conduct and Ethical Standards ("Code") is a tool to help you comply with legal and regulatory requirements and with University policies and procedures. The Code is designed to help you make ethical choices when and if you are faced with a difficult decision or situation.

Applicability of the Code

The full Code applies to all University of Vermont personnel. Personnel includes, but is not limited to, faculty, staff, volunteers, student employees, and individuals hired or contracted to perform a function that is generally associated with an employment relationship (*i.e.*, temporary employee, student employees). This Code also applies to all those attending a UVM hosted, sponsored or internal event.

What is Wrongdoing?

Real or suspected violations of legal and regulatory requirements (laws, acts, statutes, regulations), policies and procedures, and/or professional standards.

Fraudulent or dishonest conduct resulting in violation of law or University policy.

Compliance Reporting System

The University has established a robust compliance reporting system made up of several reporting mechanisms. For more information on available reporting mechanisms, review the [Whistleblower Policy: Reporting, Protections, & Non-Retaliation](#) policy.

Non-Retaliation

The University prohibits retaliation or retribution for a good faith report, for supporting a person who files a good faith report, or for participating in an investigation of a report. Refer to the [Whistleblower Policy: Reporting, Protections, & Non-Retaliation](#) policy for more information.

Questions related to the daily operational interpretation of the Code or this brochure should be directed to:

Director of Compliance Services and Chief Privacy Officer
Office of Audit, Compliance and Privacy Services
(802) 656-3086

compliance@uvm.edu

The President is the official responsible for the interpretation and administration of the Code.

THE CODE

CODE OF CONDUCT AND ETHICAL STANDARDS

SUMMARY BROCHURE

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Principles and Standards

The intent of the code is to communicate the principles and standards that have been identified as most relevant to the University's stated values and to the compliance program recognizing that UVM's policies and procedures extend beyond those identified in this code.

Creating a Respectful Campus Environment

Under state and federal statutes, it is illegal to discriminate based on race, color, national origin, religion, sex, disability, certain Veterans, age, citizenship status and genetic information. The State of Vermont also prohibits discrimination based on sexual orientation, gender identity and related characteristics, place of birth, ancestry, veteran status, HIV status, and discrimination on the basis of age as to persons 18 and older.

Sexual Harassment and Misconduct

The University of Vermont, including its Schools and Colleges, seeks to maintain a safe learning, living, and working environment. To that end, all forms of Sexual Harassment and Sexual Misconduct, which includes, but is not limited to, attempted and completed acts of Sexual Assault, Relationship Violence, Gender-Based Stalking, and Sexual Exploitation, or facilitation thereof, are strictly prohibited and will not be tolerated. The University also prohibits retaliation against an individual for making a good faith report of conduct prohibited under this Policy, as well as individuals providing information, participating in the investigation of any such report, or otherwise being involved in the process of responding to, investigating, or addressing allegations of Sexual Harassment and Misconduct. More information can be found [here](#).

Privacy and Security of Confidential Information

At UVM, we recognize the importance of protecting the privacy and security of confidential information. Some of this information is legally protected. Some of it is sensitive and, for a variety of reasons, needs to be kept confidential. Whether it is legally required or just the right thing to do, the University takes this responsibility very seriously and demonstrates its commitment through its Information Security and Privacy Programs. Everyone has a responsibility to maintain the privacy and security of confidential or sensitive information. Protection of this information can greatly reduce the risk of the misuse of information or a breach.

Freedom of Expression

While our mission is dedicated to free expression and facilitation of the exchange of ideas, we need to balance that with our need to ensure that University endorsement is not improperly attributed and that University resources and facilities are used in a manner consistent with policy and campus safety.

Conflicts of Interest and Conflicts of Commitment

If you, or a member of your immediate family, has (or could have) a personal or financial interest that affects independent judgment as it relates to University duties OR it could result in personal gain or advancement at the expense of the University, you may have a conflict of interest. If you engage in external activities that significantly interfere with your ability to perform your UVM duties or are reasonably expected to interfere with your ability to perform your UVM duties, you may have a conflict of commitment. In both cases, the agreement, arrangement or activity could be prohibited.

Protecting University Assets and Appropriate Use of University Resources

Everyone has a responsibility to make sure that University resources are not wasted or used inappropriately. Stealing, committing fraud, bribing, and providing kickbacks are all examples of inappropriate use of University resources and are all violations of the law, University policy and the Code. We must all do our part to protect University resources.

Research

The University of Vermont is committed to fostering an environment in which the highest ethical standards in the conduct of research are followed. The primary responsibility for maintaining such standards of honesty in the pursuit and dissemination of knowledge rests with the faculty, their collaborating staff members, and students. An individual engaged in research is prohibited from engaging in Research Misconduct.

Creating a Safe and Healthy Campus

A safe and healthy campus refers to both environmental safety (i.e., buildings, grounds) and personal safety. When it comes to a safe and healthy campus, we are equally responsible for how we behave as well as how we treat others. If you ever feel unsafe or if you see or hear about unsafe conditions on campus or in your workplace or on campus, let someone know. Contact anyone listed under the resources section of the [Code](#). If you ever feel that you are in immediate danger, call 911.