

Information *for* HHMI Professors  
*and* Their Institutions

*HHMI Professors Program*

2006

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HHMI

HOWARD HUGHES MEDICAL INSTITUTE

Office of Grants and Special Programs

# Howard Hughes Medical Institute

*www.hhmi.org*

The Howard Hughes Medical Institute is a medical research organization dedicated to biomedical research and education. Its principal objectives are the advancement of fundamental knowledge in the biomedical sciences and the application of that knowledge to alleviate disease and promote health. Through its grants and special programs, HHMI seeks to strengthen science education and biomedical research by supporting current and future leaders to advance scientific knowledge, develop educational products, and implement outstanding educational practices.

## Undergraduate Science Education Program

Grants are intended to strengthen the quality of college-level education in biology and related sciences and to attract students to research and teaching careers. Support is provided to colleges and universities and to research scientists who are active in undergraduate education. Grants to colleges and universities are used to provide undergraduates with research opportunities, attract and retain faculty, support new courses and laboratories, and create outreach programs for students and teachers at elementary and secondary schools, community colleges, and other four-year institutions. Grants made through the HHMI Professors Program support individuals and are intended to empower research-active faculty to work more closely with undergraduates at their home institutions and provide other institutions with innovative models for transmitting the excitement and values of scientific research to undergraduate education. A novel partnership between the Institute's Science and Grants programs called the Exceptional Research Opportunities (EXROP) Program provides unique research opportunities to disadvantaged students to encourage them to consider pursuing research and academic careers. For more information on the undergraduate science education program and other HHMI grant initiatives, go to [www.hhmi.org/grants](http://www.hhmi.org/grants).

## HHMI Professors Program

The 2006 HHMI Professors Program provides support to individual research scientists for undergraduate science education. An objective of this program is to develop a group of science educators at research universities around the country who are leaders in research and who excel in undergraduate teaching. A key element is that the HHMI Professors use their own research efforts and laboratories as the nucleus for expanded activities and exciting new approaches in undergraduate science education. The program reflects HHMI's support for the research community's participation in undergraduate science education.

HHMI Professors who received awards in 2002 were eligible to compete for grant renewals to continue highly successful programs, establish sustainable institutional support of new programs created with the 2002 award, or disseminate materials and strategies to the science education community. Following peer review, HHMI awarded renewals to eight 2002 Professors.

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# Grant Terms and Conditions

## GRANT ADMINISTRATION

**Grant Purpose.** Grants provide funds to support the science education activities of HHMI Professors at the grantee institutions. Grant funds must be used in a manner that conforms to

- the *Terms and Conditions* agreement that is signed at the time of the grant award by an official of the grantee institution, HHMI, and the HHMI Professor;
- the policies and procedures set forth in this information booklet and any further documents provided by HHMI;
- the HHMI Professor's original proposal submitted to HHMI;
- a program budget, which is the basis for financial reports to HHMI;
- any subsequent programmatic or budgetary amendments approved by HHMI; and
- all applicable HHMI policies and procedures.

HHMI reserves the right to terminate a grant if the requirements set forth in the *Terms and Conditions* agreement or this information booklet, and any other requirements that HHMI may determine to be necessary, are not met. If a program supported by an HHMI grant (or the grant itself) is terminated at any time, any unused funds must be promptly returned to HHMI and all required reports submitted.

**Role of the HHMI Professor.** The grantee institution agrees to administer the grant funds in accordance with the *Terms and Conditions* agreement, HHMI policies and procedures, and any further documentation provided by HHMI. The HHMI Professor will serve as the principal contact for HHMI on grant-related matters and will be responsible for administering the grant on behalf of the grantee institution.

Responsibilities of the HHMI Professor for administration of the grant include

- administering the grant in compliance with the *Terms and Conditions* agreement and HHMI policies and procedures;
- ensuring receipt of grant payments and disbursing grant funds;
- submitting financial and progress reports to HHMI by the reporting deadlines;
- responding to questions about a report's completeness or its accuracy or about an audit of grant expenses;
- ensuring that HHMI is notified of any allegations of scientific or other misconduct with respect to grant activities or any change in the tax or other legal status of the grantee institution;
- ensuring that the grantee institution obtains HHMI approval for public announcements about the grant and submits to HHMI copies of press releases or other public announcements about the grant; and
- participating in meetings, symposia, and other activities related to the HHMI Professors Program.

**Change of Program Objectives or Scope.** Significant changes in the program's objectives or scope require written approval by HHMI. Such requests should be submitted in writing and should be directed to the appropriate officer within the undergraduate program staff (see "Contacting HHMI Program Staff," page 8).

**Administration of Concurrent Grants.** An HHMI Professor may concurrently administer HHMI undergraduate institutional grants awarded to research universities. Each HHMI grant has its own number and must be administered separately. HHMI Professors with concurrent grants

must submit separate annual progress and financial reports for each grant. When corresponding with HHMI, HHMI Professors with multiple undergraduate awards should refer to programs by their grant numbers.

## GRANT TERM AND PAYMENTS

Grants awarded to 2006 HHMI Professors have a four-year term and are paid in equal annual installments. HHMI Professors renewal awards provide funding for up to four years but no less than two. Grant funds are to be spent within the term of the grant or as soon thereafter as program goals and activities permit. As part of HHMI's annual budget process, HHMI Trustees each year are asked to authorize the continued funding of previously approved grants. Accordingly, all grant payments must be approved by the Trustees each August when they consider the grants program budget for HHMI's next fiscal year, which begins on September 1. Grant payments in each fiscal year are contingent on this approval and on approval of all necessary documents and reports submitted by grantees.

**Use of Funds.** Funds are to be used only for expenditures directly related to the activities outlined in the grant proposal and in a manner consistent with the *Terms and Conditions* agreement. Expenses should be in keeping with the allocations specified in the budget submitted after the award is made. In some circumstances, modest amounts may be shifted among line items in the budget, provided that the grantee remains in compliance with HHMI policies regarding the grant budget. If investment income is earned on an HHMI grant, the income must be applied to the purposes of the award, as specified in the *Terms and Conditions* agreement. Use of the income is subject to the same terms that govern the use of principal funds. Grantee institutions may not use HHMI grant funds to make grants to other

public or private organizations. Up to 8 percent of the total award may be applied to indirect costs.

**Receipt of Grant Payments.** All grant payments are made by check to the grantee institution. Checks are sent to the HHMI Professor, who is responsible for forwarding the payment to the appropriate grantee institution office. The HHMI Professor must ensure that accounts are in place, allowing access to grant funds by grantee institution personnel who are responsible for grant-supported activities.

**Unused Funds and No-Cost Grant Extensions.** Grant funds not spent in the year for which they were budgeted may be carried over to the next budget year without prior approval, provided that the conditions stated above in "Use of Funds" are met.

Unspent funds that remain at the end of the grant term may, with written approval from HHMI, continue to be used for the purposes for which the grant was awarded.

HHMI Professors may request a no-cost extension in one-year increments for a maximum of two years beyond the original grant term. Extension requests may not be made earlier than the final year of the grant. In special circumstances that provide compelling justification, HHMI will consider a further extension for a maximum of one year. HHMI Professors must continue to submit progress and financial reports to HHMI until all grant funds have been spent. HHMI Professors must submit a completed grant extension form, which can be requested from HHMI. Notification of approval will be provided via e-mail.

## OWNERSHIP AND OTHER LEGAL CONSIDERATIONS

**Title to Equipment.** All equipment, including computers, purchased with grant funds will be owned by the grantee institution, but only on

condition that during the term of the grant, such equipment is used for the purposes for which the grant was awarded (i.e., it is available for use by the HHMI Professor as contemplated in the grant proposal). If the equipment is not kept available for this purpose during the term of the grant, title will revert to HHMI. HHMI recommends that after the grant term, equipment, including computers, acquired with HHMI grant funds continue to be used for instructional purposes and not principally for research. After the term of the grant, the equipment may be donated by the grantee institution to other nonprofit or governmental organizations (e.g., local school districts), but it may not be sold.

**Capital Projects.** Grant funds may not be used for construction of new facilities.

**Transfer of Grant.** An HHMI Professor who wishes to change institutional affiliation before the end of the grant term should contact HHMI to discuss his or her situation. HHMI will terminate the existing grant agreement when the HHMI Professor leaves the grantee institution but may be willing to transfer the balance of the existing grant to the HHMI Professor's new institution for the remaining term of the existing grant. HHMI will decide on an individual basis whether the grant may be transferred in this way. HHMI will not transfer a grant to a for-profit institution, an institution outside the United States, or an individual. If an HHMI Professor does change affiliation and HHMI is willing to transfer the grant to the new institution, the new institution must formally adopt the HHMI Professor's grant proposal, sign a *Terms and Conditions* agreement, and otherwise accept and administer the grant on the same terms as any other HHMI Professors Program grantee institution.

**Intellectual Property Rights and Educational Resources.** HHMI claims no ownership rights in the results of grant-supported activities, which

may include products, materials, inventions, or writings. However, it is extremely important to HHMI that the results of grant-supported activities be made available to the public (e.g., on the HHMI website) on reasonable terms and on a timely basis, and HHMI expects the grantee institution and HHMI Professor to act accordingly. The grantee institution has an obligation to work with HHMI in good faith to ensure that the results of grant-supported activities are made available to the public on reasonable terms and on a timely basis. Educational resources (such as a course syllabus, animation, or textbook) developed by the HHMI Professors will be made available to the public on the HHMI website and distributed in other educational and informational materials. HHMI Professors or appropriate institutional representatives will be asked sign a release form permitting HHMI to post their HHMI-supported materials and resources on HHMI's website.

**Tax and Other Legal Considerations.** The grantee institution is responsible for complying with all relevant federal, state, or local laws and regulations, including those relating to receipt and disbursement of grant funds from HHMI and to tax reporting and withholding requirements with respect to remuneration and stipends.

HHMI is committed to supporting programs with the objectives of broadening access to science for all people, including women and members of underrepresented minority groups. However, some programs designed to achieve educational diversity have been the subject of recent legal challenges and judicial opinions. HHMI is firmly committed to these objectives and believes that such programs can be designed and conducted to withstand legal challenge. The grantee institution must assure HHMI that it has evaluated its HHMI-funded programs and will operate them in compliance with applicable law.

The grantee institution must notify HHMI immediately of any change or expected change in its status as an organization exempt from federal income tax and, by letter, of any change or expected change in its name during the grant period.

HHMI does not provide any health insurance or other benefits to individuals supported by or participating in HHMI grant programs, and HHMI does not assume any liability or responsibility for incidents or accidents involving grant program participants (whether on travel, in the laboratory or classroom, or otherwise).

The *Terms and Conditions* agreement also includes a number of other provisions addressing legal issues—for example, liability, modification of the *Terms and Conditions* agreement, and what provisions survive termination of the agreement. These provisions are not summarized in this information booklet. Questions about these provisions may be directed to the appropriate program officer in HHMI’s Undergraduate Science Education Program (see “Contacting HHMI Program Staff,” page 8).

## ACCOUNTABILITY

**Science and Other Meetings.** The HHMI Professors will periodically meet with HHMI staff and others for exchange and cross-fertilization of program ideas. In addition, the HHMI Professors will be invited to attend HHMI’s annual science meetings appropriate to their disciplines and might be requested to make presentations about their grant-supported activities during these meetings.

**Reporting.** The HHMI Professor must submit annual progress and financial reports on his or her work and progress concerning relevant grant activities. Payments on the grant are subject to submission of satisfactory reports. Reports are typically submitted electronically via HHMI’s Web-based management system, GrantsCentral. Each HHMI

Professor is assigned a unique login ID and password, which will allow access to GrantsCentral ([www.hhmi.org/grants/grantscentral](http://www.hhmi.org/grants/grantscentral)). The HHMI Professor is responsible for the security of the access information and the use of the access information by anyone receiving it from him or her.

In addition to submission of the financial or progress reports or requests via the Web, signed hard copies are sometimes required before HHMI considers the transactions final. HHMI reserves the right to alter the format or the content requirements of reports or other forms.

HHMI Professors are also encouraged to disseminate broadly the ideas and best practices developed through the program, including via HHMI’s website or other mechanisms.

**Progress Reports.** Each year, the HHMI Professor must also provide concise progress (narrative and data) reports on program activities. HHMI will provide additional information, deadlines, and procedures with respect to reporting. HHMI reserves the right to alter the reporting format. Annual progress reports must be submitted to HHMI until all grant funds have been expended.

**Financial Reports.** The HHMI Professor must submit an annual financial report to HHMI. HHMI will provide additional information, deadlines, and procedures with respect to financial reporting. The HHMI Professor must use HHMI’s GrantsCentral financial reporting mechanism. HHMI reserves the right to alter the reporting format. Annual financial reports must be submitted to HHMI until all grant funds have been expended.

**Accounting and Audit Requirements.** The grantee institution must record the receipt of grant funds and any expenditures in a manner (e.g., in a separate ledger account) that enables HHMI to verify that the funds were expended for the purposes for which the grant was awarded. All pertinent records, including invoices, purchase

orders, worksheets supporting allocations, and copies of reports submitted to HHMI, must be retained in the grantee institution's files for at least three years after either the grant expires or the expenditure of all grant funds. HHMI reserves the right to audit these records, or to have them audited, during the grant term or thereafter.

## ASSESSMENT

**Student Tracking.** HHMI Professors whose programs include student participation in independent or course-related research are strongly encouraged to track the postbaccalaureate outcomes of the students. HHMI will provide a tracking instrument to be completed and submitted annually by each HHMI Professor. Outcomes data will be considered in the evaluation of HHMI-funded programs and will be a significant factor in the review of future grant proposals submitted to HHMI. HHMI Professors are therefore encouraged to maintain these records for an extended period.

**Tracking of Graduate Students and Postdoctoral Fellows.** HHMI is interested in tracking the careers and assessing the long-term contributions of graduate student and postdoctoral fellows who are supported with HHMI grant funds. HHMI will provide tracking forms as part of the annual progress reports.

**Surveys.** HHMI Professors providing undergraduate research experiences are encouraged to participate in one or two national assessment surveys, as appropriate, directed by Dr. David Lopatto at Grinnell College and supported by HHMI. One survey is called Survey of Undergraduate Research Experiences (SURE). The publication of the first findings of SURE may be found by searching under the keyword "SURE" in *CBE—Life Sciences Education*, the online journal of the American Society for Cell Biology ([www.lifescied.org](http://www.lifescied.org)). The

other survey is called Course-Related Undergraduate Research Experiences (CURE). Additional information about how to participate in these studies can be found at [www.grinnell.edu/academic/psychology/faculty/dl/sure&cure](http://www.grinnell.edu/academic/psychology/faculty/dl/sure&cure).

## OTHER MATTERS

### Public Announcements and Attribution.

HHMI announces the HHMI Professors Program awards and anticipates that the grantee institution also may wish to announce its award publicly. These announcements are coordinated with HHMI by contacting Jennifer Donovan at (301) 215-8859 or [donovanj@hhmi.org](mailto:donovanj@hhmi.org). HHMI must review all announcements by the grantee institution before release, and the grantee institution must provide HHMI with copies of all press releases and other announcements.

An acknowledgment of HHMI financial support must appear in any publications that derive from research or other activities funded by the grant. HHMI requires attribution of its role as the funding source in any materials (e.g., publications and curriculum materials such as educational software) that are based on or that describe grant-supported activities. Acknowledgments must not appear to suggest that any individual has a grant from HHMI; grants are awarded to the institution in support of the HHMI Professor. All references to HHMI's role as funder must use the full name "Howard Hughes Medical Institute." HHMI is a medical research organization, not a foundation, and should not be referred to as a foundation in any context. The following is a suggested format for the acknowledgment:

*This program was supported in part by a grant to [name of grantee institution], in support of [name of HHMI Professor], from the Howard Hughes Medical Institute through the HHMI Professors Program.*

**Titles of Program Participants.** HHMI uses certain titles for its employees, such as investigator and associate, and several HHMI programs support fellows or scholars. These and similar titles should not be used in conjunction with HHMI's name in referring to undergraduates, graduate students, postdoctoral researchers, and others supported through the HHMI Professors Program. The grantee institution may otherwise use the name of HHMI in designating programs or any individuals supported by the grant or participants in the program, in particular in the title of HHMI Professor. Any reference to funds received through this award should specify the association with the HHMI Professors Program.

**Responsible Conduct of Research.** Activities sponsored by the grantee institution for purposes of the grant must be conducted in a responsible manner. HHMI Professors and any other grantee institution individuals conducting research underwritten by grant funds are expected to conduct research according to the highest scientific and ethical standards and to comply with all applicable laws, regulations, and policies regarding the protection of human research subjects, the humane care and use of laboratory animals, and laboratory safety. If an allegation of scientific misconduct is brought against a researcher whose work is supported through a grant from the HHMI Professors Program, the researcher will be subject to the procedures in place at the grantee institution. The grantee institution must notify HHMI's vice president for grants and special programs of the allegation, the procedures that will be followed to inquire into the allegation, and the outcome of these inquiries.

**Relationship with HHMI.** The relationship established under this program among HHMI, the HHMI Professor, and the grantee institution or any persons at the grantee institution involved with the program of grant-supported activities is solely one of financial support. There is no employer-employee, principal agent, or any other relationship created under this program. HHMI does not assume responsibility for activities supported by the grant, for project results, or for their interpretation.

## **CONTACTING HHMI PROGRAM STAFF**

Reports, requests, notifications, inquiries, and other correspondence should be directed to:

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Telephone: (301) 215-8872  
Fax: (301) 215-8888

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