

Information *for* Biomedical Research
Institutions *and* Washington, D.C.,
Metropolitan Area Institutions
Awarded Precollege Program Grants

Precollege Science Education Program

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.

Precollege Science Education Program

HHMI has developed several initiatives in precollege science education principally to address national concerns about the level of scientific knowledge and interest in the general population, to provide teachers with research opportunities and new teaching tools, and to encourage students to choose science-related careers. This purpose is achieved by fostering linkages among schools and science education institutions to provide increased exposure to science experiences for students from preschool through 12th grade, their families, and teachers.

HHMI's Precollege Science Education Program has awarded more than \$86 million to 89 science museums, aquaria, botanical gardens, and zoos and to 76 biomedical research institutions to support innovative science education programs and to interest youngsters in science. Through this program, HHMI has also awarded more than \$16 million for science education activities in the Washington, D.C., metropolitan area and \$4.8 million for the Woodrow Wilson National Fellowship Foundation's summer institutes for high school biology teachers. The annual Holiday Lectures on Science, featuring presentations by distinguished biomedical investigators, is another HHMI initiative for young people.

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Program Policies and Procedures

TERMS AND CONDITIONS

Grant Purpose. Grants provided under this program support educational activities that are conducted or supervised by grantee institutions.

These institutions agree to use grant funds in a manner that conforms to

- the *Terms and Conditions* document and its appendixes that is signed at the time of the grant award by representatives of both the grantee institution and the Institute;
- the policies and procedures set forth in this information booklet;
- any subsequent amendments to budget allocations approved by the Institute; and
- all applicable Institute policies and procedures.

The Institute reserves the right to terminate a grant if the requirements set forth in the *Terms and Conditions* document, this information booklet, and any other requirements that the Institute may determine to be necessary are not met. If a program supported by an Institute grant (or the grant itself) is terminated at any time, any unused funds must be promptly returned to the Institute and all required reports must be submitted. In this situation, the Institute is entitled to a refund of any funds spent for purposes other than approved grant activities.

Grant Term and Payments. Grants provided under the Precollege Science Education Program usually have a term of four or five years and are paid in annual installments. Grant funds are to be spent within the original term of the grant or as soon thereafter as program goals permit. The Institute does not provide supplemental funding to grantee institutions.

As part of the Institute's annual budget process, the Institute Trustees each year authorize the

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 the Institute's next fiscal year, which begins on September 1. Grant payments in each fiscal year are contingent on this approval and also on receipt of all necessary documents and reports. The Institute may hold or delay payments if the grantee institution is out of compliance with the *Terms and Conditions* document or with Institute policies and procedures.

Use of Funds. Funds are to be used only for expenditures directly related to the activities outlined in the grantee institution's proposal and any modifications thereof, as set forth in the *Terms and Conditions* document and its appendixes and approved by both the Institute and the grantee institution. Expenses must be in keeping with the allocations specified in the approved budget.

Grantee institutions may shift modest amounts between major budget component or line items without Institute approval, provided that the program policies stated in the grant budget continue to be met. However, if a grantee institution proposes to make expenditures in a new budget component or to make shifts totaling more than 25 percent to or from any budget component, it must

- submit to the Institute via GrantsCentral a budget amendment request justifying the change (see "Report Submission," p. 5), followed by a signed hard copy; and
- obtain approval from the Institute.

If investment income is earned on an Institute grant, the income must be applied to the purposes of the grant, as specified in the completed budget form. Use of the income is subject to the same terms that govern the use of principal funds.

Grant funds may not be transferred between Institute grants. Grantee institutions may not use Institute grant funds to make grants to other public or private organizations.

Unused Funds and Grant Extensions. Grant funds not spent in the year for which they were budgeted may be carried over to the next budget year, in the same component for which they were budgeted, without prior approval. Grantee institutions may request a no-cost grant extension in one-year increments, for a maximum of two years beyond the original grant term. Such requests are made using GrantsCentral, and the electronic request must be followed by a signed hard copy. Extension requests may not be made earlier than the final year of the grant. A budget amendment allocating remaining funds for the extension period must be submitted to HHMI and approved. Grantee institutions must continue to submit annual program and financial reports to the Institute until all grant funds have been spent.

OWNERSHIP AND OTHER LEGAL CONSIDERATIONS

Title to Equipment. Equipment, including computers, acquired with Institute grant funds should be used in accordance with Institute guidelines. Equipment is for instructional purposes and not principally for research. Major equipment items are not to be acquired with grant funds. Title to equipment purchased with grant funds will be vested in the grantee institution with the express understanding that the equipment is for use at the grantee institution.

Transfer of Grant. A program director who changes institutional affiliation during the term of the grant may not apply to the Institute for transfer of the grant. In no event may a grant be transferred to another institution. All equipment purchased with grant funds is owned by the grantee institution provided that during the term

of the grant it is used for the purposes for which the grant was awarded (see “Title to Equipment,” above).

Tax and Other Legal Considerations. The grantee institution must acknowledge that it is responsible for complying with all relevant federal, state, or local laws and regulations, including those relating to receipt and disbursement of grant funds and to tax reporting and withholding requirements with respect to remuneration and stipends. The grantee institution must represent that it is an organization exempt from federal income tax. The grantee institution must notify the Institute immediately of any change or expected change in its status as an organization exempt from federal income tax.

The Institute is committed to supporting programs with an objective of broadening access to science for all persons, including women and members of underrepresented minority groups. Although some programs designed to achieve educational diversity have been the subject of legal challenges, the Institute believes that such programs can be designed and conducted so as to comply with applicable law. The grantee institution must agree that it has evaluated its Institute-funded programs and will operate them in compliance with applicable law.

ACCOUNTABILITY

Reporting. The grantee institution must provide annual narrative and financial reports on its work and progress concerning relevant program activities. Future payments on the grant, or any other precollege grant, are subject to submission of satisfactory reports.

Accounting and Audit. Grantee institutions must record the receipt of the grant, together with any expenditures related to it, in a manner that enables the Institute to verify that the funds have

been spent for the purpose for which the grant was made (e.g., in a separate ledger account).

Records pertaining to the grant (including invoices, purchase orders, and worksheets supporting allocations) and copies of reports submitted to the Institute should be retained in the grantee institution's files for at least three years after either expiration of the grant or expenditure of all grant funds, whichever occurs later. The Institute reserves the right to audit these records, or to have them audited, during the grant term or thereafter.

Representatives of the Institute may visit the grantee institution at mutually convenient times and observe the conduct of the grant-funded activities and review the administration of the grant funding.

GRANT ADMINISTRATION

Role of the Program Director. Grantee institutions must designate a program director, who is the principal contact for the Institute on grant-related matters and who serves as the liaison with the Institute's program staff for Precollege Science Education. The program director must be an employee of the grantee institution, and he or she represents those at the grantee institution who implement and administer the grant-supported program. The program director is responsible for

- receiving grant payments and arranging for disbursement of grant funds;
- administering the grant in accordance with HHMI policies and procedures;
- submitting financial and program reports in a timely manner via GrantsCentral (see "Report Submission," p. 5) and responding to any inquiries from the Institute related to these reports or to an audit of grant expenses;
- notifying the Institute of any allegations of scientific or other misconduct with respect to grant activities;

- responding to any inquiries from the Institute on any grant-related matters;
- notifying the Institute of any change in the tax or other legal status of the grantee institution; and
- obtaining Institute approval for public announcements about the grant and submitting to the Institute copies of press releases or other public announcements.

Change of Program Director. If a grantee institution wishes to designate a new program director, it must provide the Institute with a written explanation for the change, identify the new program director, and submit a copy of his or her curriculum vitae and full contact information. Requests for program director changes must be made through GrantsCentral. In the absence of a designated program director, the grantee institution is still accountable for grant funds and activities.

Change of Program Objectives or Scope. Any request for a significant change in program activities or budget allocations must be submitted in writing by the program director to the Institute's senior program officer for Precollege Science Education. As noted on page 2, grantees who wish to modify their program budgets must submit budget amendment forms via GrantsCentral and hard copy.

Role of the Financial Administrator. The grantee institution must also designate a financial administrator, who will serve as the principal contact for HHMI on financial matters related to the grant. The financial administrator is responsible for ensuring that financial reports are accurate and complete. The financial administrator, along with the program director, must sign each financial report.

The financial administrator must be designated by the grantee institution. If the grantee institution wishes to designate a different financial administrator during the term of the grant, the grantee

institution must provide HHMI with a written explanation for the change, identify the new financial administrator, and provide his or her full contact information.

Administration of Concurrent Grants. When grantee institutions are concurrently administering more than one grant, they must administer each grant separately and must submit separate annual program and financial reports for each grant. The policies and procedures set forth in the *Terms and Conditions* document, its appendixes, and this information booklet apply to all Precollege Science Education Program grants held by grantee institutions.

FINANCIAL AND PROGRAM REPORTING

Annual Reports. Unless they are notified otherwise, grantee institutions must submit annual financial and program reports to the Institute by September 14 of each grant year, usually covering the period ending on August 31 of that year. The last report is due in the September that falls (1) at the end of the grant term or (2) after all grant funds have been spent, unless otherwise specified by the Institute. Organizations administering more than one grant under the Precollege Science Education Program must submit annual reports for each grant. Grant payments for the following year will be disbursed after reports are received and approved by HHMI staff.

Report Submission. Grantee institutions must use GrantsCentral (www.hhmi.org/grantscentral) for submission of both program and financial reports (including budget amendments and no-cost grant-extension requests). Contact information for program directors and grant profile information for public dissemination should also be updated via GrantsCentral. Each program director is assigned a login ID and password, which will allow access to all Precollege Science Education Program grants under his or her direction.

The program director is responsible for the security of the access information and the use of this access information by any delegates.

For reports or requests involving data submission, grantees must satisfactorily respond to issues flagged by the system before they will be allowed to submit their data to HHMI (see “Rules Governing Grant Expenses,” below). In addition to reports or requests submitted via GrantsCentral, signed hard copies are sometimes required before HHMI considers the transactions final. The Institute reserves the right to alter the format or content of reports or other forms.

RULES GOVERNING GRANT EXPENSES

These rules governing grant expenses are effective June 2007. Program directors will be notified of any subsequent changes. The rules must be followed when annual financial reports are being entered. Explanations and amendments must be provided via GrantsCentral.

When an initial budget, a financial report, or a budget amendment is submitted, GrantsCentral automatically flags the following financial issues:

- more than 10 percent of the budget is allocated or spent on program administration or assessment;
- an entry in any equipment line equals or exceeds \$5,000;
- expenses to date in a component are 25 percent greater than the budget to date in that component;
- an expense that exceeds \$5,000 is entered in a line item that has no budget;
- expenditures are significantly under budget;
- total expenses to date exceed the total budget to date by more than 20 percent;
- this is the final year of the grant and the balance does not equal zero.

Please contact the program staff for further information on any item.

OTHER MATTERS

Public Announcements and Attribution. The Institute will announce grants under the Precollege Science Education Program. It is anticipated that grantee institutions may also wish to publicly announce their grants. These announcements should be coordinated with the Institute by contacting Jim Keeley at (301) 215-8858 or keeleyj@hhmi.org. All announcements should be reviewed by the Institute before release, and grantee institutions should provide the Institute with copies of all press releases and other announcements about the grant.

Institute financial support must be acknowledged in any materials or publications that derive from activities funded by the grant. All references to the Institute's role as funder must use the full name "Howard Hughes Medical Institute." The Institute is a medical research organization, not a foundation, and should not be referred to as a foundation in any context. A suggested format for acknowledgments follows:

This program is supported by a grant to [name of institution] from the Howard Hughes Medical Institute through the Precollege Science Education Program.

Titles of Program Participants. The Institute's name may be used in designating programs supported by the grant or participants in those programs. However, the Institute uses certain titles for its employees, such as investigator and associate, and several Institute programs support HHMI professors, fellows, and scholars. These titles should not be used in conjunction with the Institute's name when referring to programs or their participants. Examples of appropriate titles are

- Howard Hughes Medical Institute high school science scholars; and
- Howard Hughes Medical Institute summer teacher-researchers.

For general advice about designating programs or their participants, grantee institutions should contact the Institute's program staff for Precollege Science Education.

Responsible Conduct. Grantee institutions must conduct grant-supported activities responsibly. Individuals conducting research should comply with all applicable laws, regulations, and institutional policies regarding the protection of human research subjects, the humane care and use of laboratory animals, and laboratory safety.

In the event that an allegation of scientific or academic misconduct is brought against anyone whose work is supported through a grant from the Institute's Precollege Science Education Program, the person(s) will be subject to the procedures in place at the grantee institution. If an allegation of scientific or academic misconduct is made, a responsible institution official must notify the Institute's vice president for grants and special programs about the allegation, the procedures that will be followed to inquire into it, and the outcome of these inquiries.

Intellectual Property Rights. The Institute claims no rights to any products, materials, inventions, or writings that may result from grant-supported activities. Any publications resulting from such activities should acknowledge Institute support, as noted above. To benefit the educational community, products, materials, inventions, or writings (including software) resulting from activities supported by the grant must be made available to the public on reasonable terms and on a timely basis.

Relationship with the Institute. The relationship established under this program between the Institute and the grantee institution or any people 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.

The Institute does not assume responsibility for activities supported by the grant, for project results, or for their interpretation.

FREQUENTLY ASKED QUESTIONS AND IMPORTANT UPDATES

What are the budget components or major categories?

In the precollege program, these are Student Activities, Teacher Professional Development, Graduate Student and Postdoctoral Fellows Activities, Family and Community Outreach, Multi-component and Other Activities, Program Administration, and Program Assessment.

What situations require a budget amendment?

A budget amendment is required for a major change in program activities—i.e., a significant deviation from the originally approved proposal or budget. This is quantified as spending more than 125 percent of the budget to date for a component or spending in a component that had no budget. If you expect spending or program changes that may require a budget amendment, please discuss this with your HHMI program officer. If a budget amendment is required as a result of a financial report submission, you will be notified.

When do I request a budget amendment?

Budget amendments should be requested before the expenditures. You will be required to submit a budget amendment if your current expenditure report indicates one is necessary.

I have money left over from my first grant year. Do I need permission to carry it over to the next year?

No, you may continue to spend in the same line items as originally budgeted. If you are dramatically underspent, GrantsCentral will require an explanation when you submit your expense report. If this is the last year of your original grant term, you may not carry over money without an extension.

How do I change the program director?

Log on to GrantsCentral, and under “General Administration,” choose “Miscellaneous Updates” and then “Change Program Director.” Please note that the electronic request must be followed by a written request from the institution’s director or other responsible official and a CV for the new program director.

CONTACTING HHMI PROGRAM STAFF

Requests, notifications, inquiries, and other correspondence should be directed to:

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