

Information *for* International Research
Scholars *and* Grantee Institutions

International Research Scholars Program

2007

HHMI

HOWARD HUGHES MEDICAL INSTITUTE

Office of Grants and Special Programs

International Research Scholars Program

The Howard Hughes Medical Institute initiated the International Research Scholars Program to further the objectives stated in its charter: “the promotion of human knowledge within the field of the basic sciences (principally the field of medical research and medical education) and the effective application thereof for the benefit of mankind.” HHMI’s International Research Scholars Program recognizes the international scope of modern biomedical research and the contributions of scientists outside the United States. The program supports non-U.S. biomedical scientists, scientific meetings for grant-supported scientists, and other international educational activities, and since its inception in 1991, has awarded 501 grants totaling over \$150 million to support the work of outstanding scientists in 43 countries. Grants are awarded to promising biomedical scientists who have made significant contributions to fundamental research—that is, to the understanding of basic biological processes or disease mechanisms. To be considered for these competitions, individuals must hold a full-time academic or research appointment at a university, medical school, or other nonprofit scientific institution. They are not permitted to have major administrative responsibilities.

Grant Terms and Conditions

2	GRANT PURPOSE	10	SCIENTIFIC MEETINGS
			10 Meetings of International Research Scholars
			10 Topic-Specific Science Meetings at HHMI Headquarters or Janelia Farm Research Campus
2	GRANT DOCUMENTATION		
3	GRANT ADMINISTRATION		
	3 Role of the Program Official		
	4 Role of the Financial Administrator	11	RESPONSIBLE CONDUCT OF RESEARCH
	4 Grant Budget		11 Laboratory Animals
			11 Laboratory Safety
			12 Research Involving Human Subjects
			12 Allegations of Scientific or Other Misconduct
5	GRANT TERM AND PAYMENTS		
	5 Grant Payments		
	5 Use of Grant Funds		
	6 No-Cost Extension		
	6 Transfer of the Grant		
	7 Termination of the Grant	12	OTHER CONSIDERATIONS
			12 Relationship with HHMI
			13 Title of Program Participants
			13 Public Announcements and Attribution
7	LEGAL CONSIDERATIONS		
	7 Title to Equipment		
	7 Compliance with Laws and Notification of Change of Status		
	7 U.S. Tax Concerns	14	CONTACT INFORMATION
	9 Intellectual Property Rights		
	9 Liability	14	HHMI INTERNATIONAL PROGRAM STAFF
9	ACCOUNTABILITY		
	9 Progress Reports		
	9 Financial Reports		
	10 Electronic Reporting		
	10 Accounting and Audit Requirements		

Grant Terms and Conditions

GRANT PURPOSE

Grants are awarded to support the research of the designated International Research Scholar (Scholar) as broadly described in the Scholar's grant application. The Scholars are expected to continue to conduct research of the same high quality that led to their selection for this highly competitive program.

The institution of the Scholar (grantee institution) must use awarded funds only for the specified grant purpose. However, HHMI recognizes the fluid nature of progress in biomedical science and the need for experienced researchers to be able to shift the focus of their scientific work to new lines of inquiry. Accordingly, the Scholar has the discretion to change the direction of the research supported by the grant from that described in the application, subject to the condition that the work remain in the area of biomedical research. Thus, within biomedical research, the Scholar may choose which avenues to pursue as progress reveals new research opportunities. It should be noted, however, that clinical trials and research on health education, health-care delivery, or health services are not eligible fields. Grant funds may not be used to defray the costs of patient care.

The grants are intended to strengthen research in the countries in which the Scholars will conduct their research. For this reason, the grantee institution and the Scholar are encouraged to use grant funds to the maximum extent possible for research activities in that country. If necessary to further the Scholar's research, grant funding may be used to visit and work in laboratories in other countries, but the Scholar must spend at least eight months of each year at his or her home institution. In geographically defined initiatives, such as those for Canada/Latin America and the Baltics/Central and Eastern Europe/Russia/Ukraine, Scholars are not permitted to accept

appointments at institutions outside the country in which the grantee institution is located. Because of U.S. tax laws, there are restrictions on the use of grant funds for activities in the United States, including travel to the United States. These restrictions are explained in "U.S. Tax Concerns" on page 7 of this booklet.

GRANT DOCUMENTATION

Grants are subject to the provisions of the *Terms and Conditions* agreement, which includes the following documents in the form of appendices as a part of the agreement:

- *Acceptance* or *Acceptance and Biographical Statement* form;
- *Budget*;
- *Shared Departmental Resources Confirmation* form;
- *Designation of Program Official* form;
- *Designation of Financial Administrator* form;
- *U.S. Tax Concerns*, which contain either a *Certification Regarding Activities in the United States* or, as appropriate, a U.S. Form W-8BEN or Form W-8EXP (see "U.S. Tax Concerns," page 7, for more information about these requirements);
- *Assurance of Compliance Regarding Laboratory Safety* (required in all cases);
- *Assurance of Compliance Regarding Use of Vertebrate Animals* (required in all cases);
- If the Scholar will use grant funds to support research on human subjects, including tissues and body fluids, both an *Assurance of Compliance for Research Involving Human Subjects* and a statement, in English, signed by an appropriate official on behalf of an Institutional Review Board (IRB) at the grantee institution

indicating approval of the treatment of human subjects in the grant-funded research (see “Research Involving Human Subjects,” page 12, for more information about the statement);

- *Bank Wire Transfer Information* form to supply information used to make grant payments;
- *Biographical and Research Abstract Information Used by HHMI* form; and
- *Photograph Usage* or *Photograph Used by HHMI* form.

GRANT ADMINISTRATION

Grantee institutions must administer grants consistently with HHMI’s requirements and policies detailed in the *Terms and Conditions* agreement and other documents, including this information booklet, provided by HHMI. Grantee institutions are responsible for establishing policies and procedures under which these funds may be used.

Before the first grant payment is made, an official of the grantee institution must sign an agreement setting forth the terms and conditions of the grant award. The grantee institution must abide by the Terms and Conditions agreement, as well as by the requirements described in this booklet and any other HHMI policies and procedures relating to the grant. Some important provisions of the Terms and Conditions agreement are summarized in this booklet.

HHMI reserves the right to visit grantee institutions and Scholars’ laboratories at mutually convenient times and to observe the conduct of the grant-funded research and review the administration of grants.

Role of the Program Official. Grantee institutions must designate a program official (*Appendix: Designation of Program Official*) who will be

responsible for administering the grant in accordance with HHMI policies and will serve as the principal contact for HHMI and for the Scholar at the grantee institution on grant-related administrative matters. With timely notification of the Scholar and HHMI, the grantee institution, through an authorized official, may designate a new program official but must notify HHMI of the change as soon as possible, providing full contact information. The Scholar may not serve as or designate the program official, even for another Scholar’s grant.

Responsibilities of the program official for administration of the grant at the grantee institution include the following:

- Receive grant payments and make arrangements for disbursement of grant funds.*
- Ensure that accounts are in place allowing access to grant funds by the Scholar and his or her department.*
- Ensure timely submission of financial reports and respond to any inquiries from HHMI related to these reports or to an audit of grant expenditures.
- Notify HHMI of resignation of the Scholar or of other circumstances that require termination or transfer of the grant.
- Notify HHMI of any change in corporate, tax, or other legal status of the grantee institution.
- Arrange to provide HHMI with appropriate U.S. tax documentation as explained in “U.S. Tax Concerns” on page 7.†
- Submit to HHMI, before release, copies of any public announcements about the award that are issued by the grantee institution.

* In countries supported by HHMI’s Moscow office, payments other than indirect costs are made directly to Scholars, to their laboratory personnel, or to vendors.

† In countries supported by HHMI’s Moscow office, Scholars themselves (and any laboratory members receiving stipend support from HHMI) are responsible for providing the necessary tax documentation.

- Respond to any inquiries from HHMI on grant-related matters.
- In consultation with the Scholar and the head of the Scholar's department (university, laboratory, or institute), provide assurance that there is a process for deciding on the expenditure of funds for shared departmental resources.
- Ensure the timely submission of progress reports, particularly the portion of the Scholar's annual progress report that summarizes the activities supported by funds for shared departmental resources.
- Notify HHMI of any allegations of scientific or other misconduct involving the grant or research using the grant funds.
- Arrange to provide a digital photo of the Scholar and associated information to HHMI, as described in *Appendix: Photograph Usage*.

Role of the Financial Administrator. Grantee institutions must designate a financial administrator (*Appendix: Designation of 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 and, along with the Scholar, must sign each financial report. With timely notification of the Scholar and HHMI, the grantee institution, through an authorized official, may designate a new financial administrator but must notify HHMI of the change as soon as possible, providing full contact information. The Scholar may not serve as or designate the financial administrator, even for another Scholar's grant.

Grant Budget. Each Scholar's application includes a five-year budget. As part of the award notice, the selected Scholar and the grantee institution are notified of the amount of the award and asked to provide a revised five-year budget (*Appendix: Budget*) for the amount awarded by

using HHMI's Web-based financial system (<http://www.hhmi.org/grantscentral>).

Guidelines for the Scholar include the following:

- Grant funds must be budgeted in U.S. dollars.
- The five-year grant amount must equal that indicated in the award letter from HHMI.
- Initially, each annual budget must equal one-fifth of the total amount for the five-year grant specified in the award letter.
- Direct Costs—Scholar's Research. These components include expenditures made in direct support of the research activities indicated in the grant proposal. The grant may be used to support usual research expenses, including expendable supplies, purchase and maintenance of equipment, computer services, travel to professional meetings, and journal subscriptions and publication costs, as well as the salaries and stipends of graduate students, postdoctoral associates, and technicians.
- Salaries. Unless the Scholar presents extenuating circumstances and obtains written permission from HHMI, no more than 50 percent of each annual budget may be used for salaries and stipends under the Direct Costs, Scholar's Research, Personnel component. HHMI awards these grants not only to foster the research of outstanding scientists but also to support the training of students and postdoctoral fellows by scientists who are leaders in their fields. In this spirit, we would expect Scholars not to use these grants for their own salaries but rather to support the training of their research personnel. If Scholars feel that it is absolutely necessary to supplement their own salaries from HHMI grant funds, they are limited to \$10,000 (U.S.) per year for this purpose.
- Direct Costs—Department Resources. In recognition of the importance of the

intellectual environment in which the Scholars conduct their research and the limited research resources often available, HHMI has established that a minimum of 20 percent of the grant must be allocated to the Scholar's department so that its general scientific environment will be enriched. Expenditures in these components should be authorized by the head of the department in consultation with the Scholar. These funds may not be used for administrative costs.

- Indirect Costs. HHMI recognizes that some additional expenses may be incurred in the administration of the grant and permits an allocation of up to 10 percent to the grantee institution for this purpose.
- Grant funds may not be used for renovations or construction of new facilities.
- Grant funds may not be used for activities in the United States unless appropriate U.S. tax documentation is provided (see "Use of Grant Funds," on this page, and "U.S. Tax Concerns," page 7, for more information).
- Unused funds for a line item in one grant year may be carried over to the same line item in subsequent grant years.

GRANT TERM AND PAYMENTS

The grant term is five years, and the grant is paid in five installments unless otherwise indicated by HHMI. The first payment is made after HHMI has received the signed *Terms and Conditions* agreement and its appendices. The remaining payments are made annually on or around the anniversary of the first payment and are contingent on the receipt by HHMI of all required documents (e.g., reports) and information from the Scholar and the grantee institution.

Grant Payments. The grant payments

- are made to the grantee institution,* which is responsible for establishing policies and procedures under which the Scholar may draw grant funds;
- are made in U.S. dollars and will be delivered as either a check sent to the designated program official or a wire transfer to a grantee institution account.* HHMI does not adjust grant payments to compensate for any fluctuation in exchange rates and does not provide supplemental funding for any reason during the grant term;
- are contingent on annual authorization by the HHMI Trustees of the grants program budget for the relevant fiscal year;
- must be expended within the term of the grant or as soon thereafter as research goals permit;
- may be terminated if the grantee institution does not comply with the *Terms and Conditions* agreement or with HHMI policies and procedures; and
- will be terminated if the Scholar's appointment at the grantee institution ends or the Scholar otherwise fails to meet one of the eligibility criteria for HHMI's International Research Scholars Program.

Use of Grant Funds. Grant funds and any investment proceeds (e.g., interest/dividends) accruing with respect to grant funds must be spent for the purpose of the grant. Grant funds are to be spent over a five-year period as indicated in the revised HHMI-approved budget. Expenditures must be in keeping with the allocations specified in the approved budget. The Scholar may shift modest amounts between major budget categories without HHMI's approval, provided that the conditions in "Grant Budget," page 4, continue to be met. If major shifts are expected, the Scholar will be required to submit a budget amendment and

* In countries supported by HHMI's Moscow office, payments other than indirect costs are made directly to Scholars, to their laboratory personnel, or to vendors.

should contact the responsible program officer for details.

Grant funds not expended in the year for which they were budgeted may be carried over to the next budget year in the same line item without prior approval. However, significant underspending requires submission of an explanation; this explanation will be subject to approval by HHMI. If HHMI does not approve, future grant payments may be reduced to adjust for the underspending.

HHMI funds may not be used to make grants to other public or private organizations and may not be used for construction of new facilities or for laboratory renovations. As noted under “Grant Purpose,” page 2, the grantee institution and the Scholar are encouraged to use the grant funds to the maximum extent possible for research activities in the country in which the grantee institution is located. Use of grant funds for activities in the United States (including travel to the United States) to further the Scholar’s research is acceptable but only if the grantee institution[†] has provided HHMI with a completed and signed U.S. Form W-8BEN or Form W-8EXP and HHMI has accepted it (see “U.S. Tax Concerns,” page 7).

Under the *Terms and Conditions* agreement, the grantee institution must take reasonable precautions to ensure that none of the grant funds will be used in support of or to promote violence, terrorist activity, or money laundering, whether directly through the grantee institution’s own activities and programs or indirectly through support of or cooperation with other persons and organizations known to support or engage in violence, terrorist activity, or money laundering. Information about U.S. Executive Orders and laws that prohibit the provision of resources and support to individuals and organizations associated with terrorism is available on the website of

the U.S. Office of Foreign Assets Control (<http://www.ustreas.gov/offices/enforcement/ofac/>). Information about money laundering is available on the Web page of the international Financial Action Task Force on Money Laundering (<http://www.fatf-gafi.org>).

No-Cost Extension. Any funds remaining at the end of the grant term may be used for the purposes for which the grant was awarded, provided that the guidelines set out in “Grant Budget,” page 4, are followed and the grantee institution receives written approval from HHMI. The Scholar and the grantee institution must continue to submit annual progress and financial reports to HHMI until all the grant funds have been expended. It is expected that the extension of the funds will be limited to a maximum of one year from the end of the original grant term. There is a possibility of an additional one-year extension but only under extenuating circumstances and with permission from HHMI.

Transfer of the Grant. A Scholar 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 Scholar leaves the grantee institution but may be willing to transfer the balance of the existing grant to the Scholar’s new institution for the remaining term of the 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 or to an individual. If a Scholar does change affiliation and HHMI is willing to transfer the grant to the new institution, the new institution must formally adopt the Scholar’s grant proposal, sign a *Terms and Conditions* agreement, designate a program official and a financial administrator to administer the grant, and otherwise accept and administer the grant on the same terms as any other grantee institution.

[†] In countries supported by HHMI’s Moscow office, Scholars themselves (and any laboratory members receiving stipend support from HHMI) are responsible for providing the necessary tax documentation.

If the Scholar changes institutional affiliation, regardless of whether a transfer of the grant has been approved as described above, any request for transfer of equipment that has been purchased with grant funds must be directed to the grantee institution from which the Scholar has departed. That grantee institution will ordinarily have title to any such equipment (see “Title to Equipment,” on this page).

Termination of the Grant. HHMI reserves the right to terminate the grant if

- the Scholar or grantee institution does not comply with the *Terms and Conditions* agreement or with HHMI policies and procedures as set forth in this information booklet and updated from time to time and published by HHMI on its GrantsCentral website;
- HHMI’s Trustees do not approve continued funding of the grant (as described in “Grant Term and Payments,” page 5); or
- the Scholar’s appointment at the grantee institution terminates or the Scholar otherwise fails to meet one of the eligibility criteria for HHMI’s International Research Scholars Program (e.g., the Scholar takes on major administrative responsibilities during the grant term), which are indicated in the eligibility checklist in *Appendix: Acceptance*.

As an alternative to termination, HHMI may hold or delay payments under the grant if the grantee institution or Scholar has not submitted satisfactory progress or financial reports or is otherwise out of compliance with the *Terms and Conditions* agreement or HHMI policies and procedures. If the grant is terminated before the end of the grant term, any unused funds must be returned to HHMI.

LEGAL CONSIDERATIONS

Title to Equipment. Title to equipment purchased with grant funds will be vested in the grantee institution, with the express understanding that the equipment is for the Scholar’s use at the grantee institution.

Compliance with Laws and Notification of Change of Status. The grantee institution has the responsibility to comply with all laws and regulations of the institution’s country and its political subdivisions, including those that relate to the receipt and disbursement of the grant funds and the withholding of taxes from salaries, stipends, and other remuneration. The grantee institution must notify HHMI immediately of any change or expected change in its tax, corporate, or other legal status under applicable laws.

U.S. Tax Concerns. For HHMI to comply with U.S. tax rules, the grantee institution[†] must

- for each Scholar at the institution, provide HHMI with a *Certification Regarding Activities in the United States (Appendix: U.S. Tax Concerns)*, completed and signed by an authorized representative of the grantee institution, stating that no grant funds will be used for activities in the United States, including travel to the United States; or
- document that the grantee institution qualifies for a tax treaty exemption (if one is available) by providing HHMI with a completed and signed U.S. Form W-8BEN (see *Appendix: U.S. Tax Concerns*); or
- document that the grantee institution would be exempt from tax if organized in the United States by providing HHMI with a completed and signed U.S. Form W-8EXP (see *Appendix: U.S. Tax Concerns*).

If a *Certification* is signed and provided to HHMI for a Scholar and plans change so that the Scholar

[†] In countries supported by HHMI’s Moscow office, Scholars themselves (and any laboratory members receiving stipend support from HHMI) are responsible for providing the necessary tax documentation.

expects to spend some grant funds on activities in the United States, the grantee institution must inform HHMI immediately. Any future payments in support of that Scholar will then be contingent on the grantee institution's providing a completed and signed U.S. Form W-8BEN or W-8EXP (*Appendix: U.S. Tax Concerns*).

If there is more than one Scholar at a grantee institution and not all Scholars wish to certify that no grant funds will be used for activities in the United States, it is possible for the grantee institution to provide a *Certification* with respect to one or more Scholars while seeking to complete a Form W-8BEN or W-8EXP for any Scholar wishing to use grant funds for activities in the United States. If this is done, HHMI will pay grant funds to support the Scholars for whom a *Certification* has been provided. HHMI will not be able to pay grant funds to support any Scholar for whom a *Certification* has not been provided until the grantee institution[†] has submitted to HHMI a completed and signed Form W-8BEN or W-8EXP. The grantee institution must not allow a Scholar for whom a *Certification* has not been provided to use any part of grant funds paid by HHMI until the grantee institution has submitted the Form W-8BEN or W-8EXP (*Appendix: U.S. Tax Concerns*).

Once a completed and signed Form W-8BEN or W-8EXP has been provided, it can cover all future grant payments by HHMI to the grantee institution for all Scholars at the grantee institution. However, for reasons explained below, any and all previous *Certifications* provided to HHMI will no longer be valid after receipt of a completed and signed W-8BEN or W-8EXP.

The Form W-8BEN is usually used to claim exemption from U.S. tax under an income tax treaty between the United States and the grantee institution's country. Among the countries in which

HHMI supports Scholars, only Canada, the Czech Republic, Denmark, France, Germany, Hungary, Lithuania, Mexico, Russia, the Slovak Republic, South Africa, Spain, Switzerland, the United Kingdom, and Venezuela have entered into income tax treaties with the United States under which a U.S. tax exemption may be claimed. Therefore, only grantee institutions[†] in these countries can provide Form W-8BEN. To provide Form W-8BEN, a grantee institution must have a U.S. Employer Identification Number. Detailed information about how to obtain a U.S. Employer Identification Number and how to complete Form W-8BEN has been provided (*Appendix: U.S. Tax Concerns*); further questions about these steps should be directed to HHMI. If a grantee institution in a treaty country already has a U.S. Internal Revenue Service (IRS) determination letter concluding that it qualifies as an organization exempt from tax under U.S. law, the grantee institution may submit either Form W-8EXP or Form W-8BEN; in this case it may be easiest to provide Form W-8EXP with a copy of the IRS determination letter.

Grantee institutions in nontreaty countries such as Argentina, Australia, Bangladesh, Brazil, Bulgaria, Chile, Croatia, Estonia, Greece, Guinea, India, Israel, Mali, Poland, Portugal, Taiwan, Thailand, Uganda, and Uruguay must provide Form W-8EXP in order to be able to use grant funds for activities in the United States. To provide Form W-8EXP, a grantee institution must have a U.S. Employer Identification Number and either (1) a U.S. Internal Revenue Service determination letter concluding that the grantee institution qualifies as an organization exempt from tax under U.S. law or (2) an opinion of U.S. counsel concluding that the grantee institution would fit into one of the categories of organizations exempt from tax under U.S. law. Information about how to obtain a U.S.

[†] In countries supported by HHMI's Moscow office, Scholars themselves (and any laboratory members receiving stipend support from HHMI) are responsible for providing the necessary tax documentation.

Employer Identification Number or an opinion of U.S. counsel, as well as how to complete Form W-8EXP (*Appendix: U.S. Tax Concerns*), has been provided; further questions about these steps should be directed to HHMI.

If payments are made to a grantee institution that is covered by Form W-8BEN or W-8EXP, HHMI is required to report any components of those payments that could be used for U.S. activities to both the IRS and the grantee institution. U.S. Tax Form 1042 is used for this purpose. Form 1042 is for the information of the IRS. It does not mean that the grantee institution has to pay any U.S. taxes on the reported amounts.

Because of the Form 1042 reporting obligation, HHMI must keep track of the tax documentation covering each grant payment. Payments covered by a *Certification Regarding Activities in the United States* do not need to be reported on Form 1042. Payments covered by a Form W-8BEN or W-8EXP must be reported on Form 1042 to the extent that they could be used for activities in the United States. For this reason, if a grantee institution provides a Form W-8BEN or W-8EXP and wishes that form to cover a Scholar for whom a *Certification* has been submitted, the grantee institution must inform HHMI that the *Certification* (*Appendix: U.S. Tax Concerns*) for that Scholar is withdrawn. Otherwise, HHMI will not have the information it needs to meet its legal obligations.

Intellectual Property Rights. HHMI claims no rights to any inventions or writings that might result from research supported by the International Research Scholars Program. Any publication resulting from these activities, however, must provide appropriate attribution to HHMI, as noted in “Public Announcements and Attribution,” page 13.

Liability. HHMI has no liability in connection with its grant to the grantee institution, including in connection with the programs funded under the

grant or in connection with the *Terms and Conditions* agreement. The grantee institution waives any claim against HHMI arising out of or in connection with the grant, the *Terms and Conditions* agreement, or HHMI’s policies and procedures.

ACCOUNTABILITY

Progress Reports. As long as HHMI funds are being expended, each Scholar must submit a concise progress report annually by using HHMI’s Web-based reporting system. These reports are due February 28 of each year for the Canada/Latin America and the Baltics/Central and Eastern Europe/Russia/Ukraine (and its predecessor) initiatives and on October 31 of each year for the Infectious Diseases and Parasitology initiatives. The report must include a technical summary (no longer than four double-spaced pages) of research findings under the grant for the preceding year and a summary (no longer than one double-spaced page) of plans for the year ahead. It must also include, for the preceding year, a list of honors and awards received, a list of students and postdoctoral associates supported in whole or in part by the grant, a bibliography of scientific papers based on research to which the grant contributed, a list of collaborators and their affiliations, and the Scholar’s most important research findings of the year. HHMI reserves the right to alter the reporting format or to distribute or publish portions of the scientific reports provided by the Scholar.

Financial Reports. As long as HHMI funds are being expended, the grantee institution must provide HHMI with annual financial reports (in U.S. dollars) by using HHMI’s Web-based reporting system. Financial reports are due on February 28 of each year for the Canada/Latin America and the Baltics/Central and Eastern Europe/Russia/Ukraine (and its predecessor) initiatives and on October 31 of each year for the Infectious Diseases and Parasitology initiatives. The 12-month

period to be covered by a financial report will begin on the date the grant term begins or an anniversary of that date. In addition, the grantee institution must submit a final financial report of all expenses as soon as practicable after the last expenditures have been made.

Electronic Reporting. So that Scholars may have an efficient way to submit annual reports and carry out administrative functions associated with their grants, HHMI developed a unified, Web-based reporting and general administration system known as GrantsCentral (<http://www.hhmi.org/grantscentral>). Scholars must use GrantsCentral for submission of both progress and financial reports (including budget amendment and no-cost extension requests). Scholars, as well as their respective program official and financial administrator, receive a login ID and password, which allow access to his or her grant. GrantsCentral technical assistance is provided in many forms: online instructions, frequently asked questions (FAQs), glossaries, and an e-mail link.

For reports containing financial data, grantees must satisfactorily respond to expenditure validations flagged by the system before they will be allowed to submit their data to HHMI. In addition to reports submitted via the Web, printed copies with original signatures are required before HHMI considers the reports completed. Financial reports are to be signed by the Scholar and designated financial administrator. The Institute reserves the right to alter the format or content of reports or other forms.

Accounting and Audit Requirements. The grantee institution must record the receipt of the grant funds and any grant expenditures in such a form (e.g., in a separate ledger account) as to enable HHMI to verify that the funds were expended for the stated purposes of the grant. All pertinent records, including invoices, purchase orders, worksheets supporting allocations, and copies of reports submitted to HHMI, must be

retained in the files of the grantee institution for at least three years after the grant expires or after the expenditure of all grant funds, whichever comes later. HHMI reserves the right to audit these records or have them audited at any time during the term of the grant or thereafter.

SCIENTIFIC MEETINGS

Meetings of International Research Scholars.

Scholars are expected to participate in HHMI-sponsored scientific meetings held specifically for all active Scholars. These meetings are intended to facilitate the exchange of ideas, stimulate new research, and provide an opportunity for collaborative endeavors. Scholars will present results of their research at these meetings, which will also be attended by members of HHMI's research and grants management staffs. A written abstract (300 words) summarizing the Scholar's research findings for the previous year is due before such meetings. The abstract will be used in the proceedings of HHMI's meetings for International Research Scholars and will be posted in HHMI's Web-based International Research Scholars program directory. The meeting date and abstract format will be announced when the meeting invitation is issued. Travel and travel-related expenses incurred by the Scholar in attending all these HHMI meetings will be borne by HHMI and will not be drawn from grant funds. Scholars are normally required to book their air travel through HHMI's Travel Office so that HHMI can pay the airfare costs directly. HHMI will also provide funding for travel expenses other than airfare (e.g., local transportation, airport parking fees).

Topic-Specific Science Meetings at HHMI Headquarters or Janelia Farm Research Campus.

During the term of the five-year grant, the Scholar will be invited to attend topic-specific meetings with HHMI investigators at the Institute's facilities in the Washington, D.C., area (either HHMI headquarters in Chevy Chase, Maryland, or

HHMI's Janelia Farm Research Campus in Ashburn, Virginia). To conserve research funds in the grant, travel expenses for Scholars' participation in an Institute scientific meeting are not charged to the grant but instead are covered in the Grants Program administration budget. Scholars will be sent a memorandum describing how to make travel arrangements for attendance at such meetings. Scholars are normally required to book their air travel through HHMI's Travel Office so that HHMI can pay the airfare costs directly. Scholars will be reimbursed for travel expenses other than airfare (e.g., local transportation, airport parking fees) upon submission of a completed *Travel and Other Business Expense Report* form to HHMI, accompanied by receipts as required. In all cases, reimbursement is in U.S. dollars. No adjustments will be made for fluctuations in exchange rates.

A Scholar must not use grant funds to engage in activities in the United States before or after an HHMI-sponsored scientific meeting unless his or her institution[†] has provided HHMI with a Form W-8BEN or W-8EXP as described in "U.S. Tax Concerns," page 7. Relevant travel costs may be divided between HHMI and another organization. Appropriate receipts must be submitted with the travel expense report form, along with an explanation of the cost sharing.

RESPONSIBLE CONDUCT OF RESEARCH

Scholars are expected to conduct research according to the highest scientific and ethical standards and in compliance with all applicable government regulations and grantee institution policies regarding humane care and use of laboratory animals, laboratory safety, and protection of human research subjects. To serve as guidance, a book describing the required standards and the Web

addresses of relevant websites are provided at the time of the award.

Laboratory Animals. With regard to humane care and use of laboratory animals, the Scholar is expected to adhere to the general principles discussed in the *Guide for the Care and Use of Laboratory Animals*, published by the National Academies Press and available at <http://www.nap.edu/readingroom/books/labrats>.

Laboratory Safety. With regard to laboratory safety, the Scholar is expected to adhere to the following guidelines:

- for working with animals, the National Research Council's *Occupational Health and Safety in the Care and Use of Nonhuman Primates (2003)*, available at <http://www.nap.edu/openbook/030908914X/html/index.html>;
- for handling infectious agents, the World Health Organization's *Laboratory Biosafety Manual*, available at <http://www.who.int/csr/resources/publications/biosafety/Labbiosafety.pdf>;
- for handling hazardous chemicals, the general guidance provided by the National Research Council's *Prudent Practices in the Laboratory: Handling and Disposal of Chemicals* (supplied to the Scholar); and
- for physical containment requirements for research involving recombinant DNA molecules, the guidelines provided under Sections II and III and Appendix H of the U.S. Department of Health and Human Services' *Guidelines for Research Involving Recombinant DNA Molecules*, available at <http://www4.od.nih.gov/oba/rac/guidelines/guidelines.html>, or comparable national guidelines.

[†] In countries supported by HHMI's Moscow office, Scholars themselves (and any laboratory members receiving stipend support from HHMI) are responsible for providing the necessary tax documentation.

As noted in “Grant Documentation,” page 2, HHMI’s compliance forms regarding laboratory safety (*Appendix: Assurance of Compliance Regarding Laboratory Safety*) and the use of vertebrate animals (*Appendix: Assurance of Compliance Regarding Use of Vertebrate Animals*) must be submitted before grant funds can be disbursed.

Research Involving Human Subjects. Scholars are expected to adhere to the standards set forth in the following documents:

- the World Medical Association’s Declaration of Helsinki, 1964 and 1975, available at <http://www.wma.net/e/policy/b3.html>;
- the U.S. National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research’s report entitled *Ethical Principles and Guidelines for the Protection of Human Subjects of Research* (also known as the *Belmont Report*), available at <http://www.nihtraining.com/ohsr/site/guidelines/belmont.html>; and
- the U.S. Department of Health and Human Services’ regulations concerning protection of human subjects (Title 45 CFR 46), available at <http://www.nihtraining.com/ohsr/site/guidelines/45cfr46.html>.

In addition, if the Scholar plans to conduct grant-supported research on human subjects, including tissues and body fluids, the grantee institution must submit both a compliance form (*Appendix: Assurance of Compliance for Research Involving Human Subjects*) and a document showing institutional approval of the proposed research protocols and mechanisms for obtaining informed consent, including provisions for appropriate medical treatment upon diagnosis of illness. This document must be signed by an appropriate institutional official representing an Institutional Review Board (IRB) convened by the grantee institution and must indicate the membership composition of the IRB. Members of the IRB

must attest to the moral and ethical treatment of human subjects considered for inclusion in the studies proposed by the Scholar, regardless of whether these individuals participate in the studies. Note that HHMI may be willing to waive the IRB requirement if no IRB review/approval requirement would apply to the research if it were conducted in the United States with National Institutes of Health funding. A Scholar should contact HHMI if he or she wishes to request such a waiver.

If the Scholar does not initially intend to conduct grant-supported research on human subjects but his or her research program changes so that such research is planned, *the grantee institution must complete a compliance form* (*Appendix: Assurance of Compliance for Research Involving Human Subjects*) *and provide a signed IRB statement before any grant funds are used for research on human subjects.*

Allegations of Scientific or Other Misconduct.

In the unlikely event that an allegation of scientific or other misconduct is brought against a researcher under the grant, he or she will be subject to the procedures in place at the grantee institution. If an allegation of misconduct is made, a responsible institution official must notify HHMI’s vice president for grants and special programs of the allegation, the procedures that will be followed, and the outcome of any inquiries arising from the allegation.

OTHER CONSIDERATIONS

Relationship with HHMI. HHMI’s relationship with the Scholars and the grantee institutions or any persons at these institutions involved in research or activities supported by the grants is solely one of financial support. There is no employer-employee or principal-agent or any similar relationship between HHMI and a Scholar or between HHMI and any organization or person

involved with the grant, including the grantee institution, the Scholar, and any technical personnel, postdoctoral associates, students, or other personnel in the Scholar's laboratory. HHMI does not assume responsibility for activities supported by the grant, for project results, or for their interpretation. Neither party to the *Terms and Conditions* agreement is granted any authority to act on behalf of or represent the other party for any purpose.

Title of Program Participants. The grantee institution may use the name of HHMI in designating programs or their participants. However, HHMI uses certain titles for its employees, such as investigator and associate, and other HHMI grant programs support professors and fellows. These titles should not be used when referring to faculty members, students, and others supported through the International Research Scholars Program.

Public Announcements and Attribution. HHMI will announce the grant awards under this program and expects that the grantee institutions may also wish to make a public announcement of the awards. The grantee institution must submit to HHMI any proposed announcement relating to the grant before release and coordinate the release of the announcement with HHMI. In addition, a copy of any press release or other

announcement relating to the grant must be provided to HHMI.

HHMI expects the Scholar to continue to contribute to the advancement and dissemination of scientific knowledge by publishing the results of grant-supported research in peer-reviewed scientific journals. The grantee institution is wholly responsible for the conduct of research and the publication of results within its own established guidelines. In any publication based on research supported by the grant, HHMI's support must be acknowledged. The format of the acknowledgment should be similar to the following:

The research of Janel/John Doe was supported in part by an International Research Scholars grant from the Howard Hughes Medical Institute.

HHMI also requires attribution concerning its role as the funding source in any materials (e.g., core facility brochures) based on or describing grant-supported activities.

In any reports, articles, or other documents regarding the International Research Scholars program, the full name "Howard Hughes Medical Institute" must be used. HHMI is a medical research organization, not a foundation, and must not be referred to as a foundation in any context.

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