

Information *for* Physician-Scientist Early
Career Awardees *and* Institutions

Graduate and Medical Education Programs

2009

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.

Physician-Scientist Early Career Award

Basic discovery and translation of new research-based knowledge into practice are important for the advancement of medicine and public health. To provide a pathway to careers in academic biomedical research, HHMI supports medical and dental students for one or two years of full-time research in two programs, the HHMI-NIH Research Scholars Program and the HHMI Research Training Fellowships for Medical Students (see www.hhmi.org/grants/individuals). To further the likelihood that participants in these programs will successfully establish a research career, HHMI has developed the Physician-Scientist Early Career Award to provide early research support for selected alumni of the two programs. The award provides \$375,000 over a five-year period.

Information on this program and eligibility requirements is available at www.hhmi.org/grants/individuals/earlycareer.html.

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Program Policies and Procedures

TERMS AND CONDITIONS

Awardees and their institutions (referred to as “grantee institutions”) agree to use grant funds provided under this program in a manner that conforms to

- the *Terms and Conditions* document that is signed by representatives of HHMI and the grantee institution; and
- the policies and procedures set forth in this information booklet.

Awardees and grantee institutions are urged to review the information in this booklet carefully and to consult it before calling HHMI with any questions.

Grantee institutions are responsible for complying with all relevant laws, including those relating to the receipt and disbursement of grant funds from HHMI. This includes responsibility for any reporting or withholding of funds as required by federal, state, or local laws and regulations.

HHMI reserves the right to terminate an award if the requirements set forth in the *Terms and Conditions* document and this information booklet are not met. If an award is terminated, all required reports must be submitted, and unused and uncommitted funds must be promptly returned.

Awardees are expected to engage in research activities consistent with their proposals to HHMI. Awardees who are considering making significant changes in their research activities in a way that is not consistent with their proposals are expected to discuss their situations in advance with HHMI.

The *Terms and Conditions* agreement includes a number of provisions addressing legal issues that are not summarized in this information booklet—for example, liability, modification of the *Terms and Conditions* agreement, and what provisions survive termination of the agreement. Questions about these provisions may be directed to the

appropriate program officer in HHMI’s Graduate and Medical Education Programs (see “Contacting HHMI Program Staff,” page 9).

LOCATION OF AWARD

The awardee’s employment and research must be located at an academic or nonprofit research institution in the United States. The awardee may use these grant funds to engage in research away from the grantee institution (including a non-U.S. research institution) during the award term if such an arrangement would further the awardee’s research. Unless the awardee formally transfers to another institution, payments are still made to the original grantee institution, and the grantee institution remains accountable for all grant funds and reporting.

AWARD ADMINISTRATION

Grantee institutions are required to designate an administrative official, a financial administrator, and a payment administrator for this program (the same person may be designated for all three roles, if appropriate). HHMI must be promptly notified if there is a personnel change in any of these roles. Please notify HHMI by sending an e-mail to earlycareer@hhmi.org. (See “Change of Administrative Official, Financial Administrator, or Payment Administrator,” page 8.)

If there is more than one awardee at a grantee institution, the same people should be designated for these roles on all the awards.

Administrative Official. The *administrative official* is the principal point of contact for awardees, the financial administrator, the payment administrator, and HHMI staff about any nonfinancial matters relating to this program. Responsibilities include administering the program consistent with

policies set forth in the *Terms and Conditions* document and this information booklet. The administrative official also confirms dates for award completions and resignations and keeps track of any leave requests and approved leave.

Financial Administrator. The *financial administrator* is the primary contact for HHMI, the administrative official, the payment administrator, and awardees on all financial matters relating to this program. In addition, the financial administrator is responsible for completing and submitting the annual financial report for every HHMI awardee at his or her respective institution. Reports to HHMI are due on October 31 each year. If this responsibility is shared at any given grantee institution, the financial administrator has the final responsibility for submitting the report to HHMI and is the person to whom HHMI will come with questions.

Payment Administrator. The *payment administrator* has the sole responsibility of receiving the annual payment on behalf of active HHMI awardees and disbursing those funds accordingly. This includes providing a copy of the payment letter (which includes funding details and other key information) and the enclosure listing each awardee included in the payment to the appropriate offices at the grantee institution.

HHMI will notify the awardee of the names and roles of the administrative official, financial administrator, and payment administrator. The awardee should direct questions about awardee matters to the appropriate person at the grantee institution before contacting HHMI.

Terms and Conditions Document. A *Terms and Conditions* document must be signed for each awardee at a grantee institution. The *Terms and Conditions* document and an HHMI grant ID number for each award are transmitted to an official at the grantee institution. This official must arrange for signing the *Terms and Conditions*

document on behalf of the grantee institution. The *Terms and Conditions* document incorporates by reference the policies and procedures detailed in this information booklet.

Appendixes to the *Terms and Conditions* document are used to designate the administrative official, financial administrator, and payment administrator.

Transfer of Award to Another Institution.

Awardees who are transferring to another institution may transfer their awards only if (1) the new institution is eligible and (2) HHMI approves in advance in writing. The request letter, which may be sent by e-mail (earlycareer@hhmi.org), must name the awardee's proposed new institution and department, specify the reason(s) for the change, and provide a transfer timetable. Transfer requests will be considered on a case-by-case basis. The awardee is responsible for informing the awardee officials, financial administrators, and payment administrators at both institutions involved in the transfer.

If HHMI approves the transfer of an award, the original grantee institution must refund to HHMI any unused and uncommitted funds remaining from grant payments no later than one month after the effective date of the transfer. HHMI will normally transfer the funds to the new grantee institution.

An awardee may study or engage in research away from the grantee institution during part of the award term if such an arrangement would further the awardee's research. This is not considered a change of grantee institution or a transfer of the award. The grantee institution remains responsible for compliance with all grant terms.

RESEARCH ACTIVITIES

Publications. Awardees are wholly responsible for the conduct of research and the preparation of

research results for publication within the guidelines established by their grantee institutions. One copy of all publications derived from research carried out during the award term must be provided to HHMI in print or PDF format. An acknowledgment of HHMI support must appear in any publication that is funded in part or wholly by this award. A suggested format for the acknowledgment follows:

Jane/John Doe is/was a Howard Hughes Medical Institute Medical Physician-Scientist Early Career Awardee.

Awardees should promptly notify HHMI about forthcoming publications as soon *as a manuscript is accepted* so that HHMI can use this information in its print or Web publications.

Responsible Conduct of Research. Awardees are expected to conduct their research in compliance with all applicable laws, regulations, and policies regarding protection of human research subjects, humane care and use of laboratory animals, and laboratory safety.

Allegation of Scientific Misconduct. If an allegation of scientific misconduct is brought against an awardee, the awardee 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 both the allegation and the procedures that the grantee institution will follow to inquire into the allegation. HHMI's vice president for grants and special programs must be notified of the outcome of these inquiries, which may affect the awardee's continued eligibility under this program.

AWARD TERM

Duration of Award Term. The award is provided over a five-year period. The grant term begins on August 1, 2009, and, unless terminated earlier, ends on July 31, 2014. Awardees must be engaged

in research for at least 70 percent of their total professional effort for each award year. Support must be used within the five-year grant term, except in the case of an approved leave of absence (see "Temporary Interruption of Award," page 5). In this case, the award term will be extended for a period equal to the length of the HHMI-approved leave.

Academic Position During Award Term. If the awardee is not currently in a tenure-track position, the awardee must provide a letter from his or her institution stating that he or she will hold a permanent full-time tenure-track or equivalent faculty position within a year of activation of the award. The institution letter should be sent to the program officer at the address provided on page 9.

Continuation of Award. Continuation of the award beyond the initial year of support is contingent on satisfactory completion of an annual progress report, which will be submitted by the awardee (see "Awardee's Annual Progress Report," page 7).

TERMINATION OF AWARD

Awardees who terminate award-related activities at grantee institutions before the expected end of the award term are considered to have resigned. Awardees must notify HHMI (preferably by e-mail to earlycareer@hhmi.org), the administrative official, the financial administrator, and the payment administrator in writing of their intention to resign the award, the effective date of the resignation, and the reason for the resignation. Awardees who terminate research at their grantee institutions before completion of the award term are considered to have resigned.

Interruptions resulting from serious illness, disability, long-term family care, military service, jury duty, or other approved leave do not constitute a resignation (see "Temporary Interruption of Award," page 5). The grantee institution may

hold award funds, which are to be used by the awardee on return to award activities.

For an awardee who resigns or otherwise terminates research within the first six months of an award year, any unused and uncommitted balance of grant payments must be refunded to HHMI within two months of the resignation or termination.

TEMPORARY INTERRUPTION OF AWARD

Research under the award is expected to be continuous. However, a leave of absence will normally be approved for serious illness, disability, long-term family care (e.g., birth or adoption of a child, serious illness of a family member, or death of a family member), military service, and jury duty. Arrangements should be consistent with the policies of the grantee institution. Other requests will be considered on a case-by-case basis. *Awardees on approved leave will not receive support from HHMI during that period;* however, provisions may be made for reservation of an award (or the balance of it) and for reinstatement of the unused portion at a later date.

Awardees are responsible for notifying the administrative official as soon as they become aware of the need to take leave from their research and for requesting leave from HHMI as soon as it has been approved by the grantee institution.

Awardees must make their requests in writing (hard copy) before the start of a period of leave or as soon as possible thereafter. The letter requesting leave must indicate

- the reason leave is requested;
- the expected period for which leave is requested; and
- the arrangements that have been made with the grantee institution for this period.

Illness, Disability, or Long-Term Family Care.

In the event of serious illness, disability, or long-

term family care (e.g., birth or adoption of a child, serious illness of a family member, or death of a family member) that prevents full-time research activity, the grantee institution is responsible for making arrangements that are consistent with its general policies for dealing with such events. Generally, HHMI will approve such leave.

Military Service or Jury Duty. A brief interruption of an award for authorized military service or training or for certain activities in lieu of service with the regular armed forces will be permitted. Leave for jury duty will also be permitted.

Other Leave. A leave of absence for other reasons, for a period generally not to exceed one year, may be granted, depending on the particular circumstances. Requests will be considered on a case-by-case basis, and in most cases HHMI will follow the policy set by the grantee institution with respect to granting leave.

AWARD PAYMENT

The award will provide \$375,000 over a five-year period. Continuation of the award beyond the initial year of support is contingent on satisfactory completion of an annual progress report, which will be submitted by the awardee (see “Awardee’s Annual Progress Report,” page 7). Other payment contingencies include approval of HHMI’s Trustees for each payment; continued compliance by the awardee and grantee institution with grant terms, including reporting requirements; and continuation of the awardee’s faculty status at the grantee institution (except in the case of an approved transfer).

Payment Mechanism. HHMI provides funds to the grantee institution, which then directly disburses the funds to awardees according to a procedure established by the grantee institution. Awardees should contact the financial administrator for information about the grantee institution’s established procedure for accessing the funds.

HHMI makes payments in support of each awardee to the grantee institution in annual installments of \$75,000. Grant payments are ordinarily made in July. Payments, along with the names of awardees covered by the payments, are sent to the designated payment administrator (the administrative official and financial administrator are courtesy copied).

Payments are suspended for awardees on approved leave.

Use of Funds. The award must be used for direct research expenses (e.g., supplies, technical support, or equipment). No indirect costs are provided with this award, because it is meant to foster the acquisition of grants that do pay such costs.

The award may not be used to replace or supplement the salary of the awardee, mentors, or other faculty. It may not be used to replace start-up costs or research support that would otherwise be provided by the institution or department or other institutional unit.

The award may only be used to support research efforts, not postgraduate training or research toward an advanced degree or certification. However, awardees may share laboratory space with other researchers or be mentored by more senior faculty.

Funding from Other Sources. Awardees may obtain funds from other sources for research that is the same as or similar to the research conducted under this award, as long as there is no conflict with meeting HHMI's terms and conditions.

Funds Remaining at the End of the Award Year or Term. Funds not expended in the year for which they were budgeted may be carried over to the next year without approval from HHMI. Funds remaining at the end of the award term may be used for the awardee's research, with the agreement of the administrative official.

OWNERSHIP AND OTHER LEGAL CONSIDERATIONS

Title to Equipment. All equipment, including computers, purchased with award funds will be owned by the grantee institution, but only on condition that during the term of the award such equipment is used for the purposes for which the award was granted. If the equipment is not kept available for this purpose during the term of the award, title will automatically revert to and vest in HHMI. After the award term, HHMI's recommendation is that equipment, including computers, acquired with Institute grant funds continue to be used for research.

Intellectual Property Rights. HHMI claims no rights to any products, materials, inventions (or associated patents), or writings that might result from research supported by its awards. Awardees should be aware, however, that the federal government or other parties may acquire such rights through other support for particular research.

Tax Matters. 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 award funds from HHMI and to tax reporting and withholding requirements.

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.

Accounting and Audit. The grantee institution must record the receipt of awardee funds, together with any expenditures related to the awardee, in a manner (e.g., in a separate ledger account) that enables HHMI to verify that the funds received have been expended for the purposes for which the award was granted. Records pertaining to each award, along with copies of relevant financial

reports submitted to HHMI, must be retained in the grantee institution's files for three years after completion of the award and must be provided to HHMI upon request. HHMI is entitled to audit these records during and after the term of the award or to have an audit conducted by independent auditors.

REPORTING: AWARDEE'S RESPONSIBILITIES

Current Name and Address. For the duration of the award period, the awardee must provide current mailing addresses (institutional and home), an e-mail address, telephone numbers (institutional and home), and the name and address of a permanent contact person (someone who is likely at any time to know the awardee's current address). Once the award term begins, the awardee must notify HHMI promptly, preferably by e-mail (earlycareer@hhmi.org), of any name or mailing address change, as well as of any change in the name or address of the permanent contact.

Awardee's Annual Progress Report. Each year, a progress report must be submitted to HHMI via the Annual Progress Report (APR) component of the Web portal GrantsCentral (www.hhmi.org/grantscentral). HHMI will send awardees the Web address for GrantsCentral, their user IDs and passwords to log into the system, and the date the report is due.

Completion of Award. At the end of the award term, awardees must provide final progress reports and submit career update reports via GrantsCentral (www.hhmi.org/grantscentral). It is especially important for HHMI to know about an awardee's new position and affiliation and any new contact information (professional address, telephone number, and e-mail address).

Career Updates by Former Awardees. In accepting the award, awardees agree to update HHMI at least annually after the award term about any new

position, affiliation, or contact information (especially an e-mail address). This reporting is done through the Alumni Update component of GrantsCentral (www.hhmi.org/grantscentral). The information helps HHMI assess the effectiveness of the program and inform former awardees about relevant HHMI programs.

Alumni Network. HHMI has developed an alumni network to encourage networking and collaboration, foster professional development, and enhance a sense of community among current and former fellows and awardees across all HHMI graduate programs. Please use the Alumni Update section of GrantsCentral (www.hhmi.org/grantscentral) to keep your e-mail address current because we will be periodically contacting our alumni. If you are interested in serving as a representative from your program or geographical area, contact us by e-mail at alumni@hhmi.org.

Notification of Change in Awardee Status. Awardees are responsible for notifying HHMI and their administrative officials, financial administrators, and payment administrators regarding changes in status (see "Transfer of Award to Another Institution," page 3; "Termination of Award," page 4; and "Temporary Interruption of Award," page 5).

REPORTING: GRANTEE INSTITUTION'S RESPONSIBILITIES

Annual Financial Reports. The *financial administrator* at the grantee institution must submit annual financial reports (via GrantsCentral at www.hhmi.org/grantscentral) by October 31 to cover all awardees who have received any HHMI support during the preceding 12-month reporting period (August 1 through July 31). For new grantee institutions, the first reports will be due October 31 of the year following notification of the awards. The financial administrator should

collaborate with the appropriate office at the grantee institution and ensure the timely completion and return of the reports to HHMI. New financial administrators will be notified by HHMI of the Web address and their user IDs and passwords for accessing GrantsCentral. Financial administrators are expected to keep a record of their user IDs and passwords in order to complete their financial reports each year.

Change in Nonprofit Status. The *financial administrator* must notify HHMI immediately of any change or expected change in the grantee institution's status as a nonprofit organization exempt from federal income tax.

Change of Administrative Official, Financial Administrator, or Payment Administrator. A written request to HHMI from one of these three individuals must provide the name and title of a new administrative official, financial administrator, or payment administrator; the effective date of the change; mail and express delivery addresses; telephone and fax numbers; and an e-mail address. The person submitting the request must also provide his or her name, title, and telephone number. The request must be made by sending an e-mail to earlycareer@hhmi.org.

OTHER MATTERS

Meeting of Medical Fellows, Research Scholars, and Early Career Awardees. To foster mentoring relationships with HHMI medical fellows and HHMI-NIH research scholars who are engaged in their initial or second year of research training, early career awardees are expected to attend this annual awardee meeting held at HHMI headquarters in spring 2010. HHMI will cover reasonable expenses for travel and meals related to attendance at the meeting and accommodations will be provided. Information about this meeting and other networking opportunities throughout the award term will be sent to awardees.

Relationship with HHMI. HHMI's relationship with the awardee and the grantee institution is solely one of financial support of the awardee. No employer-employee or principal-agent relationship is created through participation in the awardee program. HHMI assumes no responsibility for the research activities supported by the awardee program or for research findings or their interpretation.

In addition, HHMI assumes no liability or responsibility in connection with any awardee, other than the responsibility for making award payments in accordance with HHMI's policies and procedures. For example, HHMI assumes no liability or responsibility to any awardee or the awardee's dependents for any compensation for injury, disability, or death of the awardee during the term of the award or during travel to or from the grantee institution; and HHMI assumes no liability or responsibility for the payment of compensation for an awardee's involvement in any accident or incident that causes injury to other persons or damage to property (whether on travel, in the laboratory or classroom, or otherwise).

The offer and acceptance of an award do not obligate either the awardee or HHMI in any way with regard to employment or service of any kind in the future.

Public Announcement and Attribution. The grantee institution may make a public announcement of an award. A copy of any press release or public announcement should be provided to HHMI.

In any reports, articles, or documents regarding HHMI's Physician-Scientist Early Career Award, 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.

**CONTACTING HHMI
PROGRAM STAFF**

Correspondence and inquiries regarding HHMI's Physician-Scientist Early Career Award should be directed to:

Anh-Chi Le, Ph.D.

Program Officer

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