

Information *for* Universities Awarded HHMI Professor Grants

*Precollege and Undergraduate Program
Science Education*

2010

HHMI

HOWARD HUGHES MEDICAL INSTITUTE

Department of Science Education

Howard Hughes Medical Institute

www.hhmi.org

The Howard Hughes Medical Institute, a nonprofit medical research organization that ranks as one of the nation's largest philanthropies, plays a powerful role in advancing biomedical research and science education in the United States. HHMI's program in biomedical research rests on the conviction that scientists of exceptional talent, commitment, and imagination will make fundamental biological discoveries for the betterment of human health if they receive the resources, time, and freedom to pursue challenging questions.

The Institute's grants program supports initiatives with the power to transform education in the life sciences for all students. Our objectives are to recruit and develop talented students who will be the future leaders of science and to promote science literacy among all students. Just as today's researchers solve complex questions by working across scientific disciplines and integrating tools from those disciplines, HHMI seeks to support precollege and undergraduate science education by integrating a variety of tools and approaches that will engage students as they make critical decisions about which career path to pursue.

HHMI PROFESSORS PROGRAM

The HHMI Professors Program is designed to stimulate, support, and empower research scientists in conveying the excitement and values of scientific research to undergraduate education and to apply their innovations to advancing science education. The program provides support to individual scientists for undergraduate science education, complementing HHMI institutional grants to colleges and universities. The objective of the HHMI Professors Program is to develop a group of science educators at research universities around the country who are leaders in research and who excel in undergraduate teaching. HHMI Professors use their own research efforts and laboratories as the nucleus for expanded activities and exciting new approaches in undergraduate science education. The program reflects HHMI's support for the research community's participation in undergraduate science education.

Grants made through the HHMI Professors Program empower research-active faculty to work more closely with undergraduates at their home institutions and develop innovative models for transmitting the excitement and values of scientific research to undergraduate education. HHMI Professors have used their grants to develop a variety of projects to energize undergraduate education and offer students new opportunities to learn modern biology in laboratory settings similar to those of research scientists. In some cases, professors have included graduate students and precollege teachers and students in their activities and extended the benefits of their programs to wider constituencies. In addition, a number of professors have leveraged their HHMI support by attracting new funds from their institutions and extramurally as well as commitments of laboratory space, equipment, and other resources.

For more information on HHMI's science education programs, go to www.hhmi.org/grants.

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TERMS AND CONDITIONS

Grant Purpose. Grants provide support of educational programs that are executed or supervised by grantee institutions. These institutions agree to use grant funds in a manner that conforms to

- the *Terms and Conditions* agreement and its appendices that are signed at the time of the grant award by representatives of the grantee institution and the Institute;
- the policies and procedures set forth in this information booklet and any further documents provided by the Institute;
- the grantee institution's original proposal to the Institute and any changes set forth in the *Terms and Conditions* and appendices;
- The Budget (Appendix B), in which the grantee institution sets forth its program budget and which is the basis for financial reports to the Institute;
- any subsequent programmatic or budgetary amendments 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* agreement or 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 submitted. As an alternative to termination, HHMI may withhold or delay payments under the grant if the grantee institution 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.

As noted in the program announcement, institutions are expected to make every effort to sustain the successful elements of Institute-supported programs after the expiration of grant funds. For example, institutions should continue to support new faculty positions that are initially funded by Institute grants.

Grant Term and Payments. Grants have a four-year term and are paid via electronic funds transfer in equal installments in September of each year over the four-year period of the grant. All subsequent payments will depend on receipt and approval of the annual financial and progress reports. All grant funds must be expended within the term of the grant. Approval of a no-cost extension permits the grantee institution to use the funds only until the end of the extension year of approval. As part of HHMI's annual budget process, HHMI's Trustees must authorize each year the continued funding of any previously approved grant. Accordingly, each grant payment and the amount of such payment are contingent on approval by HHMI's Trustees.

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

HHMI Professor grants provide support to individuals to develop science education programming. Funds may be budgeted for supporting personnel, operational expenses, and indirect costs related to grant activities. No more than 8 percent of the total award may be utilized for indirect costs.

Professors may shift modest amounts among budget components (subtotals) or line items without Institute approval, provided that the program policies stated in the grant budget continue to be met. However, if a grantee proposes to establish a new program activity or modify the cumulative budget subtotal by more than 25 percent, it must

- submit to the Institute, via GrantsCentral (see “Progress and Financial Reporting,” page 7), a budget amendment form explaining the change, followed by a PDF (portable document format) of the signed copy transmitted via email; and
- obtain official approval from HHMI.

Professors spending less than 75 percent of the annual budget for any line item will be required to explain the reason for the underspending on their annual reports. If investment income is earned on an Institute grant, the income must be applied to the purposes of the award. Use of the income is subject to the same terms that govern the use of principal funds. However, the amount of investment income received or expended should not be reported in the financial report line items to keep cumulative total expenditures in line with total grant payments. Grantee institutions may not use Institute grant funds to make grants to other public or private organizations but may enter into service contracts with such organizations.

Unused Funds and No-Cost Grant Extensions. Grant funds not spent in the year for which they were budgeted may be carried over to the next budget year in the same component for which they were budgeted without prior approval, provided that the conditions stated above in “Use of Funds” (page 2) are met. Unspent funds that remain at the end of the grant term may, with official approval from the Institute, continue to be used for the purposes for which the grant was awarded. Grantee institutions may request a no-cost grant extension in one-year increments. No-cost grant extensions must be approved by HHMI prior to the end of the grant term in order for the grantee institution to expend grant funds after the end of the grant term. Extension requests may not be made earlier than the final year of the grant. Approval of extensions to program administration and/or other program components does not confer an increase in the program administration budget. Grantee institutions must continue to submit annual progress and financial reports to the Institute until all grant funds have been spent.

Requests for grant extensions are made via GrantsCentral (see “Use of GrantsCentral,” page 9), and the electronic request must be followed by a PDF of a signed copy transmitted via email. Notification of approval will occur via e-mail.

OWNERSHIP AND OTHER LEGAL CONSIDERATIONS

Title to Equipment. All equipment, including computers, purchased with grant funds will be owned by the grantee institution, provided that during the term of the grant such equipment is used for the purposes for which the grant was awarded. If the equipment is not available for this purpose during the term of the grant, title will revert to the Institute. After the grant term, the Institute’s recommendation is that

equipment, including computers, acquired with Institute grant funds continue to be used for instructional purposes and not principally for research. After the term of the grant, the equipment may be donated by the grantee institution to other nonprofit or governmental organizations (e.g., local school districts), but it may not be sold.

Capital Projects. Grant funds may not be used for construction of new facilities. Grant funds may be used for renovations as described in the proposal and indicated in appendices to the *Terms and Conditions*—i.e., Appendix B (Budget) and Appendix C (Program Modifications or Program Budget Details)—that the Institute has approved. Support for renovations and equipment together is limited to 50 percent of the total grant amount.

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

Intellectual Property Rights. HHMI claims no ownership rights to any products, materials, inventions, or writings resulting from grant-supported activities. The grantee institution agrees that products, materials, inventions, and writings (including software) resulting from activities supported by the grant will be made available to the public on reasonable terms and on a timely basis.

Because improvement of science education depends in part on the sharing of useful educational materials such as the ones that may be developed in connection with the HHMI precollege and undergraduate science education grants, HHMI asks for the right to make the program materials broadly available to the public. This in no way restricts the ability of the grantee institution or grant recipients to distribute these materials to the public as well. Accordingly, the grantee institution hereby grants to HHMI a nonexclusive, perpetual, irrevocable right to use, store, transmit, copy, perform, display, reproduce, adapt, distribute and have distributed (through multiple tiers of distribution), and create derivative works of the educational resources and tools described herein, in whole or in part, through (1) HHMI's educational or other public websites or any other electronic media (e.g., email, blogs, podcast, RSS, etc.) and (2) in print publications or other educational and informational materials developed and distributed by HHMI in various media. HHMI's use of these educational resources and tools will be made available to the public only for educational and not-for-profit information purposes.

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

The Institute is committed to supporting programs with an objective of broadening access to science for

all people, including women and members of underrepresented minority groups. The Institute believes that such programs can be designed and conducted so as to comply with applicable law. The grantee institution represents that it has evaluated its Institute-funded programs and that it will operate them in compliance with applicable law.

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 and, by letter, of any change or expected change in its name during the grant period.

The grantee institution represents that it has been accredited by an appropriate regional accrediting body as designated by the U.S. Secretary of Education. The grantee institution agrees to notify the Institute immediately of any change or expected change in its accreditation status.

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

The *Terms and Conditions* agreement includes a number of other provisions addressing legal issues—for example, liability, modification of the *Terms and Conditions* agreement, and what provisions survive termination of the agreement. These provisions are not summarized in this information booklet. Questions about these provisions may be directed to the appropriate program officer in the Institute’s Precollege and Undergraduate Program (see “Contacting HHMI Program Staff,” page 11).

ACCOUNTABILITY

Reporting. The grantee institution must submit annual progress and financial reports on its work concerning relevant program activities. Each faculty member whose appointment was supported by the Institute should submit an annual progress report on his or her professional activities. Payments on the grant are subject to submission of satisfactory reports. All reports are to be submitted via GrantsCentral (see “Annual Progress Report,” page 7, and “Use of GrantsCentral,” page 9). HHMI reserves the right to alter the format or the content requirements of reports or other forms.

HHMI Professors and program directors are also encouraged to disseminate broadly the ideas and best practices developed through their programs. Information and resources may be distributed using HHMI’s website, Cool Science site, and other mechanisms.

Accounting and Audit. The grantee institution must record the receipt of grant funds and any expenditures in a manner (e.g., in a separate ledger account) that enables the Institute to verify that the funds were expended for the purposes for which the grant was awarded.

All pertinent records, including invoices, purchase orders, worksheets supporting allocations, and copies of reports submitted to the Institute, must be retained in the grantee institution’s files for at least three years after either the grant expires or the expenditure of all grant funds. The Institute reserves the right to audit these records, or to have them audited, during the grant term or thereafter. If, as a result of an audit, HHMI reasonably concludes that funds were spent for purposes other than approved grant activities as set forth in Grant Purpose (page 2), HHMI will be entitled to a refund of such funds.

Assessment and Site Visits. HHMI assesses grant activities through annual progress and financial reporting as well as through site visits. Representatives of HHMI may visit the grantee institution at mutually convenient times to observe the conduct of the grant-funded activities and review the administration of the grant funding.

Reporting Other Sources of Support. Grantee institutions must annually report other sources of support for the same or similar HHMI-supported activities. For example, grantee institutions must report overlapping institutional or external sources of support for activities programs that are also funded by HHMI.

GRANT ADMINISTRATION

Role of the Professor. The HHMI Professor serves as the program director who is the principal contact on grant-related matters and will be responsible for administering the grant on behalf of the institution. The program director represents those at the grantee institution who implement and administer the grant-supported program and is responsible for

- administering the grant in compliance with the *Terms and Conditions* agreement and HHMI policies and procedures;
- completing and updating HHMI forms to authorize electronic funds transfer payments as well as ensuring that grant funds are disbursed appropriately;
- supervising the grant and complying with its requirements;
- submitting financial and progress reports in a timely manner via GrantsCentral 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, accreditation, or other legal status of the grantee institution;
- obtaining Institute approval for public announcements about the grant award and submitting to the Institute copies of press releases and other public announcements;
- consulting with the Institute before using the name of HHMI for any of its program participants or activities; and
- attributing Institute financial support appropriately in any presentations or publications that derive from research or other activities funded by the grant, which includes correct use of the HHMI logo.

Each professor may expect to be invited once or twice during the grant term to the Institute's biennial meeting of precollege and undergraduate program directors. Professors may also be invited to make a

presentation or lead a workshop at the meeting. These meetings serve as a resource to both the Institute and program directors and include representatives from private and government funders and others involved in science education. In general, invitations are sent in late spring and the meeting is held in the fall.

Professors may be invited to serve in other capacities, such as on review and advisory panels.

Codirectors for HHMI Professor awards are not allowed.

Financial Administrator. The grantee institution must designate a financial administrator who has legal authority to sign the institution's financial reports and budget amendments. The financial administrator and the program director are responsible for the accuracy of all information entered in the financial reports and budget amendments.

Change of Financial Administrator Designation or Professor Information. HHMI Professor awards are not transferrable to any other faculty member (see section on Transfer of Grant to other institutions on page 4). Professors and financial administrators must update their contact information via GrantsCentral (see "Use of GrantsCentral," page 9).

Administration of Concurrent Grants. Grantee institutions that have more than one HHMI grant must administer and report on concurrent HHMI grants separately. Each HHMI grant has its own number. When corresponding with the Institute, grantee institutions with multiple undergraduate awards should refer to programs by their grant numbers. Each program director and each financial administrator, however, will use only one user ID and password assigned by the Institute to access separate reports or other information for multiple grants under his or her designation.

HHMI Professors may concurrently administer HHMI undergraduate institutional grants awards to research universities. HHMI Professors with concurrent grants must submit separate annual professor and financial reports for each grant.

RECEIPT OF GRANT PAYMENTS

Notification of electronic deposit of grant payments is sent to the HHMI Professor, who is responsible for overseeing the appropriate distribution of grant funds. The professor will confirm to HHMI receipt of payment and ensure that accounts are in place, allowing access to grant funds by the relevant faculty members and other individuals responsible for grant-supported activities.

PROGRESS AND FINANCIAL REPORTING

Annual Progress Report, Research and Outreach Opportunities, and Cool Science. The professor must submit to the Institute annual narrative and data reports on work and progress concerning relevant program activities via GrantsCentral. Progress reports cover the period from September 1 through August 31 and are due on October 31 each year of the award. For 2010 professors, the first annual progress reports are due October 31, 2011. Annual progress reports must be submitted to HHMI until all grant funds have been expended.

The professor must also submit annually, along with the annual progress report, Search for Science

Opportunities and resources appropriate for HHMI's Cool Science website, which become part of searchable databases on the HHMI public website. These forms may be updated by the grantee as necessary throughout the year. The professor should notify HHMI of any newsworthy events related to the grant, such as potential items for the "Nota Bene" section of the HHMI Bulletin. Institutions administering more than one Institute grant program must submit an annual report for each grant.

Annual Financial Report. The grantee institution must submit annual financial reports to the Institute via GrantsCentral and signed copy in PDF via email. Financial reports cover the period from September 1 through August 31 and are due on October 31 each year of the award. For awards made in 2010, the first financial report is due October 31, 2011. Institutions administering more than one HHMI grant program must submit an annual financial report for each grant.

When entering financial reporting data, GrantsCentral will request the professor to revise or explain financial data that are not consistent with HHMI policy and/or the approved grant budget or that correlate with data in the progress report when the following situations occur:

Direct Personnel Expenditures

- If personnel expenditures are indicated, list the name and role of each participant supported in corresponding lines for faculty, scientists, staff, undergraduates, graduate students, postdoctoral fellows, precollege teachers, and students.
- If other personnel expenditures are indicated, provide a description of each position, purpose, number of participants, and cost.
- If spending is less than 75 percent or greater than 125 percent of your cumulative budget for personnel, please explain.

Operational Expenditures

- If equipment and/or equipment maintenance expenditures are indicated, provide general description of each type of item purchased including number and cost. List each item over \$10,000 separately.
- If travel and meeting expenditures are indicated, provide description of travel including purpose, number, and type of participants.
- If housing expenditures are indicated, provide description of accommodations including purpose, number, and type of participants.
- If other expenditures are indicated, provide description of each expenditure and cost.
- If spending is less than 75 percent or greater than 125 percent of your cumulative budget for operational expenses, please explain.

Indirect Expenditures

- Reported cumulative spending may not exceed 8 percent of the total award.

Use of GrantsCentral. The URL for GrantsCentral is www.hhmi.org/grantscentral. Each professor and financial administrator is assigned a unique user ID and password that will allow access to all Precollege and Undergraduate Science Education Program and other HHMI program grants under his or her direction. The user is responsible for the security of the access information.

In the event the professor or financial administrator misplaces the access information, HHMI should be informed via email at any of the addresses in “Contacting HHMI Program Staff” (page 11). A new password will be issued, but the user ID will remain the same. HHMI recommends that the program director or financial administrator change the initial password upon receipt to a password that is more easily remembered.

The Institute reserves the right to alter the format or content of reports or reporting systems.

ASSESSMENT

Outcomes data will be considered in the evaluation of HHMI-funded programs and can be a significant factor in the review of future grant proposals submitted by grantee institutions. Grantees are therefore encouraged to maintain records on HHMI participants indefinitely.

Tracking of Persons Supported by the Grant. Grantees are required to track undergraduate researchers, future faculty members (graduate students and postdoctoral fellows), and new faculty for as long as possible beyond the term of the grant. Programs that include student participation in independent or course-related research should track participant progress in science (e.g., academic achievement, majors and degrees earned, post-baccalaureate outcomes). Programs that involve participation by graduate students or postdoctoral fellows should track long-term outcomes. Programs that include outreach activities to precollege populations should track participation and outcomes for K–12 students and teachers.

Surveys. Grantees providing undergraduate research experiences are required to participate in one or two national assessment surveys, as appropriate, directed by Dr. David Lopatto at Grinnell College and supported by HHMI. Students involved in non-course-based research should participate in the Survey of Undergraduate Research Experiences (SURE). The publication of the first findings of SURE may be found by searching under the keyword “SURE” in CBE—Life Sciences Education, the online journal of the American Society for Cell Biology (www.lifescied.org). Students involved in course-based research should participate in the Course-Related Undergraduate Research Experiences. Additional information about how to participate in these studies, including an update on the studies’ findings, will be provided at the program directors’ meetings.

OTHER MATTERS

Public Announcements and Attribution. The Institute will make announcements about HHMI Professor grant award activities and anticipates that the grantee institution also may wish to make announcements. HHMI expects that the grantee institution will coordinate future press releases or announcements in advance with the Institute; HHMI pledges to do likewise.

An acknowledgment of Institute financial support must appear in any presentations or publications that

derive from research or other activities funded by the grant. The Institute requires attribution of its role as the funding source in any materials (e.g., publications and curriculum materials such as educational software) that are based on or that describe grant-supported activities.

In any reports, articles, or other documents acknowledging the HHMI Professors Program, the full name “Howard Hughes Medical Institute” must be used on first reference. The Institute is a medical research organization and must be described as such. It should not be described as a foundation in any context. A suggested format for the acknowledgment follows:

This program was supported in part by a grant to [professor name] at [grantee institution name] from the Howard Hughes Medical Institute through the Precollege and Undergraduate Science Education Program.

The Institute has provided the grantee institution with an electronic copy of the HHMI logo. The grantee institution agrees to not make any alterations to the HHMI logo and only use the HHMI logo in materials (e.g., poster presentations and websites) that were developed or otherwise supported with HHMI funds. The grantee institution should consult with the Institute with any questions about the use of the HHMI logo.

Titles of Program Participants. When using the name of HHMI for program activities, the name of the grantee institution should precede the HHMI name (e.g., State University–HHMI Student Researchers). However, HHMI uses certain titles for its employees, such as Professor, Investigator, Associate, Fellow, and Scholar. These titles should not be used in conjunction with HHMI’s name when referring to faculty members, students, and others supported through the Precollege and Undergraduate Science Education Program. The title of HHMI Professor should be used only for individuals supported under the HHMI Professors Program, which is a part of HHMI’s Precollege and Undergraduate Science Education Program. The grantee institution should consult with HHMI before using the name of HHMI for any of its program participants or activities (see “Contacting HHMI Program Staff,” page 11).

Responsible Conduct. Activities sponsored by the grantee institution for the purposes of the grant must be conducted in a responsible manner. Grantee institution personnel and participants supported by the grant are expected to conduct program activities according to the highest scientific and ethical standards and in compliance with all applicable government laws and regulations and grantee institution policies, including those regarding protection of human research subjects, humane care and use of laboratory animals, and laboratory safety.

In the event that an allegation of misconduct is brought against personnel or a participant in a grant-funded program, he or she will be subject to the procedures in place at the grantee institution. If an allegation of misconduct is made against the participant or personnel in a grant-funded program or the grantee institution, a responsible institution official must notify HHMI’s vice president for science education (in confidence unless otherwise agreed by the responsible institution official) of the allegation, the procedures that will be followed, and the outcome of any inquiries and/or investigations arising from the allegation.

Relationship with the Institute. The relationship established under this program between HHMI and the grantee institution or any persons at the grantee institution involved with the grant-supported research or activities is solely one of financial support. There is no employer–employee or principal–agent

or similar relationship created under this program. Neither party to this agreement is granted any authority to act on behalf of or represent the other party for any purpose.

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

CONTACTING HHMI PROGRAM STAFF

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

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