

Information *for* HHMI-NIBIB
Interfaces Initiative Grants

Graduate Science Education Program

2005

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.

HHMI-NIBIB Interfaces Initiative for Interdisciplinary Graduate Research Training

The primary goal of this new initiative is to train a cadre of Ph.D. scientists who possess the knowledge and skills to conduct interdisciplinary research at the interface between the biomedical sciences and the physical science, computational, engineering, or mathematical disciplines. It represents an innovative new partnership between the Howard Hughes Medical Institute and the National Institute of Biomedical Imaging and Bioengineering at the National Institutes of Health that takes advantage of the different strengths of the two organizations. Additional information about the initiative and the program announcement can be found at www.hhmi.org/interfaces.

Program Policies and Procedures

2	TERMS AND CONDITIONS	6	RECEIPT OF GRANT PAYMENTS
2	Grant Purpose		
2	Grant Term and Payments		
2	Use of Funds		
3	Unused Funds and No-Cost Grant Extensions	6	PROGRESS AND FINANCIAL REPORTING
		6	Annual Progress Report
		6	Annual Graduate Student Report
4	OWNERSHIP AND OTHER LEGAL CONSIDERATIONS	7	Annual Financial Report
		7	Use of GrantsCentral
4	Title to Equipment		
4	Capital Projects	7	OTHER MATTERS
4	Transfer of Grant	7	Public Announcements and Attribution
4	Intellectual Property Rights	7	Titles of Program Participants
4	Tax and Other Legal Considerations	8	Responsible Conduct of Research
		8	Relationship with HHMI
5	ACCOUNTABILITY		
5	Reporting	8	CONTACTING PROGRAM STAFF
5	Accounting and Audit		
5	GRANT ADMINISTRATION		
5	Role of the Program Director		
5	Program Directors' Meeting		
6	Change of Program Director or Co-Program Director Information		
6	Change of Program Objectives or Scope		
6	Administration of Concurrent Grants		

Program Policies and Procedures

TERMS AND CONDITIONS

Grant Purpose. Grants provide support of graduate 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, including its appendixes, that is signed at the time of the grant award by representatives of the grantee institution and HHMI;
- the policies and procedures set forth in this information booklet and any further documents provided by HHMI;
- the grantee institution's original proposal to HHMI;
- The electronically submitted budget (a signed copy of which is included as part of the *Terms and Conditions* agreement), in which the grantee institution sets forth its program budget and which is the basis for financial reports to HHMI;
- any subsequent programmatic or budgetary amendments approved by HHMI; and
- all applicable HHMI policies and procedures.

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

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 HHMI Interfaces grants.

Grant Term and Payments. Grants have a three-year term and are paid in annual installments. Grant funds are to be spent within the term of the grant or as soon thereafter as program goals permit. HHMI does not provide supplemental funding to grantee institutions.

As part of HHMI's annual budget process, HHMI's Trustees each year are asked to authorize the continued funding of previously approved grants. Accordingly, all grant payments must be approved by the Trustees each August when they consider the Grants program budget for HHMI's next fiscal year, which begins on September 1. Grant payments in each fiscal year are contingent on this approval and on approval of all necessary documents and reports submitted by grantees.

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

Grantee institutions may shift modest amounts among budget components or line items without Institute approval, provided that the program policies stated in the budget guidelines continue to be met. However, if a grantee institution proposes to establish a new program activity or increase the cumulative budget subtotal by more than 25 percent, it must

- submit to HHMI, via GrantsCentral (see "Use of GrantsCentral," page 7), a budget

amendment form justifying the change;
and

- obtain approval from HHMI.

See Figure 1 for an example.

If investment income is earned on an Institute grant, the income need not be reported to HHMI but must be applied to the purposes of the award, as specified in the *Terms and Conditions* agreement. Use of the income is subject to the same terms that govern the use of principal funds. Grantee institutions may not use Institute grant funds to make grants to other public or private organizations.

Grantee institutions should note that funds for assessment and direct administrative costs pertaining to all grant components are to be placed in the two budget components, program assessment and program administration, respectively. Funds for program administration may not exceed 10 percent of the total program budget or expenses. Grant funds budgeted for construction or modification of facilities will be carefully reviewed and must be appropriate in the context of the entire budget.

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 written approval from HHMI, 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 for a maximum of two years beyond the original grant term. Extension requests may not be made earlier than the final year of the grant. Please note that approval of extensions to program administration and/or other program components should not confer an increase in the program administration budget. Grantee institutions must continue to submit annual progress and financial reports to HHMI until all grant funds have been spent.

Requests for grant extensions are made via GrantsCentral (see “Use of GrantsCentral,” page 7). Notification of approval will occur via e-mail.

**FIGURE 1
EXAMPLE OF PROPOSED BUDGET AMENDMENT**

In this example, the grantee institution’s budget for the budget component Curriculum and Educational Resources is listed in the “Approved budget subtotal” row of the table.

	Year 1	Year 2	Year 3	Total
Approved budget subtotal	\$50,000	\$50,000	\$50,000	\$150,000
Proposed budget amendment subtotal	\$50,000	\$90,000	\$50,000	\$190,000

At the end of Year 1, the grantee institution has spent \$50,000 per year, as initially projected, but foresees spending \$90,000 in Year 2. Since the grantee is about to start Year 2 and expenses for Years 1 to 3 will be \$190,000 (i.e., \$40,000, or 27 percent, more than the \$150,000 originally projected for Years 1 to 3), a budget amendment must be formally requested of HHMI.

OWNERSHIP AND OTHER LEGAL CONSIDERATIONS

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

Capital Projects. Grant funds may be used for construction of new facilities only if previously approved by HHMI. Grant funds may be used to expand and update educational facilities as described in the grant application and indicated in appendixes to the *Terms and Conditions*. Again, grant funds budgeted for construction or modification of facilities will be carefully reviewed and must be appropriate in the context of the entire budget.

Transfer of Grant. In special circumstances, the grant may be transferred to the collaborating institution on the award. However, a program director who changes institutional affiliation during the term of the grant may not apply to HHMI for transfer of the grant. Please note that the grantee institution is required to notify HHMI of a change in program director (see "Change of Program Director and Co-Program Director Information," page 6).

Intellectual Property Rights. HHMI claims no ownership rights in the results of grant-supported activities, which may include products, materials, inventions, or writings. However, the grantee institution agrees that the results of grant-supported activities will be made available to the public on reasonable terms and on a timely basis. In the event that the grantee institution fails to make the

results of grant-supported activities available to the public on reasonable terms and on a timely basis, HHMI reserves the right to do so itself. The grantee institution has an obligation to provide HHMI with copies or samples of the results of grant-supported activities, on request by HHMI, as reasonably necessary for HHMI to exercise this right.

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

HHMI is committed to supporting programs with an objective of broadening access to science for all persons, including women and members of underrepresented minority groups. Although some programs designed to increase educational diversity have been the subject of legal challenges, HHMI 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 HHMI-funded programs and that it will operate them in compliance with applicable law.

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

HHMI does not assume any liability or responsibility for incidents or accidents involving grant program participants (whether on travel, in the laboratory or classroom, or otherwise).

The *Terms and Conditions* agreement also includes a number of other provisions addressing legal issues—for example, liability, modification of the *Terms and Conditions* agreement, and what provisions survive termination of the agreement.

These provisions are not summarized in this information booklet. Questions about these provisions may be directed to the appropriate program officer in HHMI's Graduate Science Education Program (see "Contacting Program Staff," page 8).

ACCOUNTABILITY

Reporting. The grantee institution must submit annual progress and financial reports on its work concerning relevant program activities. Payments on the grant are subject to submission of satisfactory reports. All reports are to be submitted via GrantsCentral (see "Progress and Financial Reporting," page 6, and "Use of GrantsCentral," page 7).

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 HHMI to verify that the funds were expended for the purposes for which the grant was awarded.

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

GRANT ADMINISTRATION

Role of the Program Director. Grantee institutions must designate a program director to serve as the principal contact for HHMI and the liaison with HHMI. The program director represents those at the grantee institution who implement and administer the grant-supported program and is responsible for

- receiving grant payments and arranging for disbursement of grant funds;

- 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 HHMI related to these reports or to an audit of grant expenses;
- notifying HHMI of any allegations of scientific or other misconduct with respect to grant activities;
- responding to any inquiries from HHMI on any grant-related matters;
- notifying HHMI of any change in the tax or other legal status of the grantee institution; and
- obtaining HHMI approval for public announcements about the grant award and submitting to HHMI copies of press releases or other public announcements.

Program directors may be invited to serve in other capacities for HHMI, such as on review or advisory panels.

Program Directors' Meeting. Program directors and co-program directors are expected to attend HHMI Interfaces program directors' meetings. A program director may also be invited to make a presentation or lead a workshop at the meeting. These meetings serve as a resource to both HHMI, program directors and co-directors, and may include representatives from private and government funders and others involved in graduate science education. The initial Interfaces program directors' meeting will be held June 26–28, 2006, at HHMI headquarters in Chevy Chase, Maryland. Additional information about this meeting will be provided. There will be at least one more meeting before the Phase II competition hosted by NIBIB that Interfaces program directors will be expected to attend.

Change of Program Director or Co-Program Director Information. Program directors and co-program directors must update their contact information via GrantsCentral (see “Use of GrantsCentral,” page 7). If a grantee institution wishes to designate a new program director, a responsible official of the grantee institution (senior to the program director) should provide HHMI with a written explanation for the change and identify the new program director, who will be issued a GrantsCentral login ID and password and who must submit his or her curriculum vitae and full contact information via GrantsCentral. The same process must be followed for a change in co-program director.

Change of Program Objectives or Scope. Any request for a significant change in program activities or budget allocations should be submitted electronically via GrantsCentral (see “Use of GrantsCentral,” page 7). The program director should also send an e-mail requesting the change to HHMI’s program officer for the Interfaces Initiative.

Administration of Concurrent Grants. Several grantee institutions are concurrently administering graduate and other program grants awarded in different competitions. Each grant has its own number and must be administered separately.

Institutions with concurrent grants must submit separate annual progress and financial reports for each grant. Each program director, however, will use only one login ID and password assigned by HHMI to access separate reports or other information for multiple grants under his or her designation. When corresponding with HHMI, grantee institutions with multiple awards should refer to programs by their grant numbers.

RECEIPT OF GRANT PAYMENTS

All grant payments are sent to the program director, who is responsible for forwarding the payment to the appropriate office. The program director must 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. The grantee institution must submit to HHMI annual reports on its work and progress concerning relevant program activities via GrantsCentral. Progress reports cover the period from January 1 through December 31 and are due February 1; a final report is due at the end of the grant term or after all grant funds have been spent.

The grantee institution should submit any newsworthy events related to the grant, such as potential items for the “Nota Bene” section of the *HHMI Bulletin*, via Hot Items. These reports may be updated by the grantee as necessary throughout the year.

Institutions administering more than one HHMI grant program must submit an annual report for each grant. For Interfaces Initiative awardees, the first progress report is due February 1, 2007.

Annual Graduate Student Report. HHMI is interested in tracking the careers and assessing the long-term contributions of graduate students whose appointments are supported with HHMI grant funds. These graduate students should submit annual reports on their work and progress via GrantsCentral, and HHMI requests that they continue to submit the reports annually even after the terms of the grants supporting them have expired. Graduate student reports are due February 1.

Annual Financial Report. The grantee institution must submit annual financial reports to HHMI via GrantsCentral. Financial reports cover the period from January 1 through December 31 and are due February 1; a final report is due when the grant expires or after all grant funds are spent.

Institutions administering more than one Institute grant program must submit an annual financial report for each grant. For Interfaces Initiative awardees, the first financial report is due February 1, 2007.

Use of GrantsCentral. The GrantsCentral URL is www.hhmi.org/grantscentral. Each program director is assigned a login ID and password that will allow access to Graduate Science Education programs and other HHMI program grants under his or her direction. The program director is responsible for the security of the access information. *In the event the program director or faculty member misplaces the access information, HHMI should be informed via e-mail (see “Contacting Program Staff,” page 8). A new password will be issued, but the login ID will remain the same. HHMI recommends that the program director or new faculty member change the initial password upon receipt to a password that is more easily remembered.*

For reports or requests encompassing data submission, the grantee institution’s representative handling the submission must satisfactorily respond to data-validation issues flagged by the system before he or she will be allowed to submit the data to HHMI.

In addition to submission of the initial budget via the Web, signed hard copies of the budget are required before HHMI considers the transaction final. Hard copies of the financial and progress reports are not required. Instead, the program director consents to HHMI’s requirement that these reports be submitted in electronic form and confirms that the electronic signature on the report using the unique login ID and password has the

same force and effect as a written signature. HHMI reserves the right to alter the format or content of reports or other forms.

OTHER MATTERS

Public Announcements and Attribution.

HHMI will announce the Interfaces Initiative awards and expects that the grantee institution also may wish to announce the award publicly. These announcements should be coordinated with HHMI by calling Jennifer Donovan at (301) 215-8859. HHMI must review all announcements by the grantee institution before release, and the grantee institution must provide HHMI with copies of all press releases and other announcements. Public announcements by grantee institutions must not be made before HHMI and NIBIB formally announce the awards.

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

All references to HHMI’s role as funder must use the full name “Howard Hughes Medical Institute.” HHMI is a medical research organization, not a foundation, and should not be referred to as a foundation in any context. A suggested format for the acknowledgment follows:

This program was supported in part by a grant to [grantee institution name] from the Howard Hughes Medical Institute through the Interfaces Initiative.

Titles of Program Participants. HHMI uses certain titles for its employees, such as investigator, group leader, and associate, and several Institute programs support fellows or scholars. These and similar titles should not be used in conjunction

with HHMI's name in referring to faculty members, students, and others supported through the Interfaces Initiative. In addition, the title of HHMI professor should not be used other than for faculty members supported by HHMI through the HHMI professors program. The grantee institution may otherwise use the name of HHMI in designating programs or their participants. The title of HHMI trainee may be used for graduate students supported by this grant. Any reference to funds received through this award should specify the association with the HHMI Interfaces Initiative.

For general advice about designating programs or their participants, grantee institutions should contact the appropriate program officer in HHMI's Graduate Science Education Program (see "Contacting Program Staff," this page).

Responsible Conduct of Research. Activities sponsored by the grantee institution for purposes of the grant must be conducted in a responsible manner. Individuals conducting research underwritten by grant funds are expected to conduct research according to the highest scientific and ethical standards and to comply with all applicable laws, regulations, and policies regarding the protection of human research subjects, the humane care and use of laboratory animals, and laboratory safety.

If an allegation of scientific misconduct is brought against a researcher whose work is supported through a grant from HHMI's graduate program, the researcher will be subject to the procedures in place at the grantee institution. The grantee institution must notify HHMI's vice president for grants and special programs of the allegation, the procedures that will be followed to inquire into the allegation, and the outcome of these inquiries.

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

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

CONTACTING PROGRAM STAFF

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

Maryrose Franko, Ph.D.
Senior Program Officer, Graduate
Science Education
Howard Hughes Medical Institute
Office of Grants and Special Programs
4000 Jones Bridge Road
Chevy Chase, MD 20815-6789
Telephone: 301.215.8880
Fax: 301.215.8888
frankom@hhmi.org