

WHAT IT MEANS TO BE AN HHMI INVESTIGATOR

- **Purpose of Investigator Program:** The HHMI investigator program rests on the conviction that identifying scientists of exceptional talent, commitment, and imagination and providing them with resources, time and freedom to pursue challenging questions will result in important biological discoveries for the betterment of human health.
- **HHMI Affiliation and Support.** Investigators receive flexible research budgets from HHMI and considerable administrative support from dedicated staff at HHMI headquarters and local HHMI offices. As part of a small community of outstanding researchers, investigators also have regular opportunities to interact with their colleagues at meetings and workshops held at HHMI headquarters or the newly opened Janelia Farm Research Campus.
- **Employment.** Investigators become employees of HHMI but retain their appointment at their current university, hospital, or research institute (their host institution). The rights and responsibilities of the host institution with respect to HHMI are spelled out in a legal document called a collaboration agreement
- **Faculty status.** Tenured faculty retain tenure at their host institution, and tenure-track faculty proceed through the tenure process in the normal fashion.
- **Length of term.** Investigators are appointed for an initial term of five years and upon successful scientific review are renewed for additional terms of five years. If a review is unsuccessful, an investigator is supported for a phase-out period, typically two additional years.
- **Budgets.** Budgets are determined by the Vice President and Chief Scientific Officer and are subject to the approval of HHMI's President and Trustees. Initial budgets for a cohort of investigators tend to be similar. Over time, budgets become more individualized.
- **Grants.** Most HHMI investigators are also PIs on one or more NIH or other federal or non-federal grants. Because HHMI does not employ graduate students at host institutions, investigators typically pay graduate student stipends from federal grants. HHMI does not have the ability to "backstop" or replace funding from federal grants that are not renewed.
- **Investigator salaries.** These are set by HHMI by considering the salaries of colleagues at the same institution at the same career stage and of similar scientific stature. Annual merit increases are established by HHMI. When an investigator is promoted to a new academic rank (Assistant to Associate Professor, Associate to Full Professor), the Vice President and Chief Scientific Officer determines the appropriate salary adjustment in consultation with the host institution.
- **Salary supplements.** HHMI must pay 100% of an investigator's salary. Salary supplementation (e.g., for administrative positions or patient care) is not permitted; this includes receipt of any salary from NIH or other grants.
- **Research staff salaries.** Those technicians or other research staff who become HHMI employees have their salary set by the investigator, subject to HHMI salary guidelines. The investigator is responsible for annual performance reviews and recommending a merit salary increase within the range prescribed by HHMI. Employees receive their benefits, including health insurance and retirement, from HHMI.
- **Postdoctoral associates.** Investigators set the salary for HHMI-employed postdoctoral associates within the range permitted by HHMI. Associates receive health insurance and other benefits from HHMI. Associates may be appointed for a maximum of 6 years, which includes any previous postdoctoral experience.
- **Indirect costs.** HHMI does not pay indirect costs, but instead makes payments to the host institution for occupancy of an investigator's research and office space and certain other expenses.

- **Transfer of an HHMI appointment.** Investigators who change institutions prior to their first scientific review (5 years) must resign from HHMI. After successful scientific review, an investigator may transfer to another HHMI host institution as detailed in HHMI's transfer policy. Only one transfer is permitted over the course of an HHMI investigatorship.
- **Administrative duties and teaching.** HHMI investigators must spend at least 75% of their time on research. The other 25% can be spent on related professional activities such as administration, service, teaching, and (subject to a 36-day aggregate annual limit) consulting. Investigators anticipating taking on new administrative responsibilities, such as department chair, division head, or director of a center or institute, must contact the Vice President and Chief Scientific Officer for prior approval.
- **Consulting.** HHMI investigators cannot sign any agreement to consult for a for-profit entity unless the agreement has been reviewed by HHMI's Office of the General Counsel and approved by HHMI's Science Department. HHMI considers consulting to include any type of service to a company, including activities as a founder, service on advisory boards and attendance at corporate meetings or seminars. HHMI investigators may not serve as officers of for-profit companies and, except in narrow circumstances, may not serve as directors. HHMI investigators may not conduct or direct research for companies. HHMI may also need to review and approve non-profit consulting if the non-profit entity requests that the HHMI investigator sign an agreement covering such matters as assignment of intellectual property or publication restrictions. The appointment of a researcher as an investigator generally is not made until his or her consulting arrangements with companies have been brought into compliance with HHMI policies.
- **Industrial funding of research.** Industrial funding of research is not allowed; however, unrestricted gifts from a company for support of an investigator's research may be approved after review by the Office of the General Counsel and the Science Department. The appointment of a researcher as an investigator cannot proceed while the researcher has any company funding for his or her laboratory.
- **Collaborations with industry.** Unfunded collaborations with industry colleagues are permitted if documented by an agreement that has been reviewed by the Office of the General Counsel and approved by the Science Department. An investigator may not consult for and collaborate with a given company simultaneously.
- **Stock holdings.** Investigators are restricted to holding less than a "significant" (usually a maximum of 5%) ownership interest in any company with which they have a consulting relationship. For this purpose, investigators are considered to own stock or options held by family members. Investigators may not own any stock in companies with which they have a current collaboration involving clinical research. Stock ownership in a company with which an investigator wishes to collaborate on other types of research will be reviewed by the Office of the General Counsel in consultation with the Science Department. HHMI policies provide special rules for start-up companies. The appointment of a researcher as an investigator cannot proceed until stock holdings in companies for which he or she consults are consistent with HHMI policies.
- **Intellectual property and patents.** As the employer, HHMI owns any intellectual property rights (IPR) developed by its investigators and other employees. HHMI assigns any IPR back to the host institution in exchange for a share of any license fees or royalty income, and HHMI shares responsibility for patent costs. HHMI retains an institute-wide right to use for research purposes any IPR developed in its laboratories. Distributions of royalty income to inventors are generally not affected by HHMI's involvement, since HHMI defers to the relevant host institution's policy on determining the amount and timing of such distributions.
- **Sharing published research materials, software, and databases.** HHMI policy requires its investigators to share published research materials (including transgenic mice), software, and data.