

## Research Policies

### Research at Institutions Other Than the Host Institution (SC-740)

#### Policy and Scope

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This policy applies to HHMI investigators at host-based sites. It does not apply to Group Leaders at HHMI's Janelia Research Campus.

HHMI appoints and employs investigators at host institutions around the country. HHMI investigators and other laboratory staff employed by HHMI are required to assign to HHMI all inventions arising from their research activities. HHMI's collaboration agreements with its host institutions obligate HHMI to assign HHMI's interest in inventions made by HHMI employees to the host, and carefully allocate roles and responsibilities relating to an investigator's research among HHMI and the host institution (for example, responsibility for lab safety and regulatory compliance, which resides with the host institution).

From time to time, investigators are presented with opportunities to engage in research activities at an institution other than their host institution. While HHMI generally prefers that investigators conduct their research program at their host institutions, HHMI recognizes that there may be circumstances in which unique scientific or professional opportunities will be available to the investigator by conducting research at another location. These opportunities can take a variety of forms, including second laboratories, sabbaticals, and other visiting researcher arrangements. HHMI believes that these arrangements can have enormously positive effects on the investigator's research program and science generally. At the same time, however, they also can have implications for the investigator's relationship with HHMI and for HHMI's relationship with the investigator's host institution and the other institution where the investigator proposes to conduct research. Any arrangements where an investigator will be away from his or her HHMI laboratory for extended periods also raise special concerns for HHMI about how ongoing research in the investigator's HHMI laboratory will be managed in the investigator's absence. Consequently, it is important for HHMI to review and approve any proposed arrangements relating to the conduct of research at institutions other than at the investigator's host institution as provided in this policy.

This policy does not apply under the following circumstances:

- When an investigator is assigned space in two different locations at the same host institution.
- When an investigator is visiting another institution on a short-term basis (i.e., for less than three months) for the purpose of engaging in activities at the other institution that do not involve supervision of an independent laboratory (for example, to use a piece of equipment or other resources, to learn a technique, to do field work, or to take or teach a course), and either the other institution does not require the investigator to execute an agreement granting rights in intellectual property to the other institution, or the investigator does not anticipate developing any intellectual property at the other institution.
- When an investigator is visiting a collaborator's laboratory and does not have his or her own space or funding at the collaborator's institution, and either the collaborator's institution does not require the investigator to execute an agreement granting rights in intellectual property to the collaborator's institution or the investigator does not anticipate developing any intellectual property at the collaborator's institution.
- When an investigator is visiting HHMI's Janelia Research Campus.

- When an investigator is on sabbatical from his or her host institution at another institution and the other institution does not require the investigator to execute an agreement regarding ownership of intellectual property, no separate requirements under this policy apply but the investigator must comply with the requirements of HHMI's [Sabbatical Leave for Investigators](#) policy.
- When an investigator who is a physician engages in patient care at another institution.

## Key Terms

### Second Lab

HHMI considers as a proposal to establish a second lab any request by an investigator to supervise research at another location while the investigator concurrently maintains his or her laboratory at the investigator's host institution without interruption of the investigator's teaching and other obligations to his or her host institution.

### Sabbatical Leave

HHMI considers as requests for sabbatical leave any request by an investigator to conduct research either at the investigator's host institution or at another location during a specified period without teaching and other host institution obligations. In addition, any other arrangements that are designated by the investigator's host institution as sabbatical leave are subject to HHMI's requirements for sabbaticals. Proposals to take sabbatical leave from the investigator's host institution to conduct research at, or otherwise relocate to, a second site are subject to both the requirements of HHMI's policy on [Sabbatical Leave for Investigators](#) and the requirements of this policy.

### Visiting Researcher Arrangements

HHMI considers as Visiting Researcher Arrangements any proposal by an investigator to engage in research activities (for any length of time) outside of the investigator's host institution, if the other institution requires the investigator to execute an agreement granting rights in intellectual property to the other institution and if the proposal is not a proposal to establish a second lab or take sabbatical leave, as described above.

## HHMI Review of Proposals to Conduct Research Outside of the Investigator's Host Institution

This section of the policy describes HHMI's requirements and review procedures for all proposals to conduct research outside of the investigator's host institution that are within the scope of this policy. Specific requirements or procedures applicable to proposals to establish a second laboratory, to conduct research at another location while on sabbatical leave from the investigator's host institution, or to engage in a Visiting Researcher Arrangement are described in the next sections of the policy. Please note that any proposal to spend 25 percent or more time over the course of a year engaged in research at a location other than the investigator's HHMI laboratory requires prior written approval from HHMI's Vice President and Chief Scientific Officer, regardless of the nature of the arrangement.

An investigator interested in conducting research outside of his or her host institution as described in this policy should take the following steps:

1. Inform your [Scientific Officer](#) of the proposal. Except under the circumstances identified in the previous section as outside the scope of this policy, an investigator should inform his or her

- [Scientific Officer](#) of any proposal to conduct research away from the investigator's host institution six (6) to nine (9) months in advance of the proposed start date.
2. After discussing the proposal with your [Scientific Officer](#), complete the appropriate request form on the [HHMI Investigator Portal](#): (a) [HHMI's Request to Establish a Second Lab](#) form, (b) [HHMI's Request for Sabbatical Leave](#) form, or (c) [HHMI's Request for Visiting Researcher Arrangement](#) form. Request forms should be submitted as soon as possible, and at least three months in advance of the proposed start date. HHMI's Vice President and Chief Scientific Officer considers the information provided on the form in deciding whether to approve a request to engage in research activities at an institution other than the investigator's host institution.
  3. As soon as possible, ask whether you, your host institution, and/or HHMI will be required to sign any agreement with the other institution relating to the proposed arrangements, and provide contact information to your [HHMI attorney](#) for someone at the other institution. If the other institution requires an agreement, or the arrangement is one for which HHMI requires an agreement as discussed below, then HHMI's Vice President and Chief Scientific Officer may give preliminary approval of the arrangement in concept, and defer formal HHMI approval until a mutually acceptable agreement has been negotiated. The following requirements apply to any agreement relating to investigator research outside of the investigator's host institution:
    - a. HHMI investigators are required to assign rights in inventions made in the course of their research to HHMI, and HHMI generally has an obligation to assign its rights in intellectual property developed by its investigators to the investigator's host institution.
    - b. Agreements must provide for HHMI to have a retained research use license to any inventions made by an investigator at the other site, similar to the research use license retained by HHMI in its agreement with the host institution. This is important to ensure that the investigator will be able to proceed with his or her research when the investigator returns to the investigator's host institution laboratory.
    - c. HHMI generally will defer to the decisions of the investigator's host institution regarding arrangements for sharing licensing proceeds arising from intellectual property developed by the investigator at another institution, as long as the arrangements reflect the investigator's status as an HHMI employee and are otherwise consistent with the requirements of HHMI's collaboration agreement with the investigator's host institution.
    - d. HHMI will not approve arrangements that shift responsibility to HHMI in areas that would be the responsibility of the host institution if the research were conducted there, such as laboratory safety and compliance with legal requirements relating to the conduct of research.
  4. HHMI will not approve your request and you may not begin conducting research at a location other than your host institution until HHMI has reviewed and approved any required agreement.

### **Special Requirements/Second Laboratories**

HHMI will consider requests to establish a second lab in circumstances where an investigator believes that a second lab arrangement will provide unique scientific opportunities for the investigator's research that are available only by maintaining both the investigator's host lab and a second lab at another academic or other nonprofit institution. Second lab arrangements at for-profit institutions or U.S. federal or state government facilities are not permitted.

Any investigator who wishes to establish a second lab must follow the steps described above under **HHMI Review of Proposals to Conduct Research Outside of the Investigator's Host Institution** and the following special requirements:

1. An investigator may not conduct research at a second laboratory until a written agreement acceptable to HHMI, the investigator's host institution, and the second lab site has been executed. The second lab agreement will cover the responsibilities of the investigator at the second institution, laboratory space, research support and reimbursement of personal expenses of the investigator while conducting research at the second site, intellectual property, and responsibility for safety and legal compliance with research requirements applicable to the investigator's research at the second site. In all cases, the written agreement must allow investigators to assign rights in intellectual property developed at the second site to HHMI, and must reflect that HHMI will assign its rights in any such intellectual property to the investigator's HHMI host institution. The agreement may provide for a reasonable arrangement for sharing licensing proceeds that may arise from any such intellectual property, consistent with the HHMI/host institution collaboration agreement.
2. An investigator must spend at least 75 percent of his or her time at the investigator's host site, unless HHMI has approved otherwise.
3. An investigator may receive reimbursement for reasonable travel expenses, and reasonable expenses for meals and lodging, but an investigator generally is not allowed to receive supplemental compensation from the second institution.
4. Any arrangements between the primary HHMI host institution and the second lab institution relating to intellectual property created by the investigator in his or her second lab must provide for HHMI's retained research use license consistent with the research use license retained by HHMI in its agreement with the host institution, and for HHMI's right to share in licensing revenue associated with intellectual property developed in the second lab in a manner acceptable to HHMI.
5. An investigator may not receive company funding to support research in the investigator's second laboratory unless the second laboratory is at an institution that is an HHMI host institution. Proposed company funding arrangements in second labs that are at HHMI host institutions may be submitted to HHMI for approval and must satisfy the following requirements:
  - a. the arrangement must be consistent with HHMI's [Company Funding Arrangements](#) policy, provided that the second lab institution fulfills all of the obligations placed on the host institution in the company funding policy, except the conflict of interest analysis, which will be handled as described in Section 5b, below.
  - b. the proposal must be reviewed under the applicable conflict of interest policies of both the investigator's HHMI host institution and the host institution where the second lab is located. In other words, the proposed company funding arrangement must be consistent with any applicable conflict of interest policies of both the investigator's HHMI host institution and the second lab institution.
  - c. a second lab agreement may reflect that the investigator's primary HHMI host institution and the second lab institution are responsible for working out the flow of intellectual property rights from the primary HHMI host institution to the second lab institution and, if applicable, to the company funder.
6. An investigator should promptly notify HHMI if the circumstances supporting HHMI's approval of a second lab arrangement change, for example, if an investigator intends to start spending more time in his or her second lab than originally expected, if the scientific justification for the second lab changes, or if staffing or funding levels in the second lab significantly increase from the investigator's original expectations.
7. Arrangements for second labs that do not have a time limitation generally will be reviewed by Vice President and Chief Scientific Officer at least every three years to determine whether the scientific justification for the second lab still exists and that the arrangements are consistent with the second lab agreement and with HHMI policies.

## Special Requirements/Sabbaticals at Other Institutions

Any investigator who wishes to conduct research away from the investigator's host institution while on sabbatical leave must follow the steps described above under **HHMI Review of Proposals to Conduct Research Outside of the Investigator's Host Institution**, the requirements of HHMI's [Sabbatical Leave for Investigators](#) policy, and the following special requirements:

1. HHMI does not require a written agreement with an institution that is hosting an investigator while the investigator is on sabbatical leave from his or her host site. However, unless HHMI agrees otherwise in advance, if the other institution requires that the investigator sign an agreement, then the agreement must be reviewed and approved by HHMI before the investigator signs the agreement or commences activities at the other site. HHMI's final approval of the proposed sabbatical will be deferred until HHMI has reviewed and approved any such agreement.
2. An investigator may receive reimbursement for reasonable travel expenses, and reasonable expenses for meals and lodging, but an investigator generally is not allowed to receive supplemental compensation from the other institution while on sabbatical leave. If HHMI has approved salary supplementation payments to compensate an investigator for administrative services provided to the investigator's host institution, the investigator can continue to receive the payments while on sabbatical leave if the investigator continues to perform administrative services for the host institution while on sabbatical leave.
3. HHMI will consider requests to conduct research at a company while on sabbatical leave from the investigator's host institution but investigators should be aware that negotiating intellectual property and other terms in connection with such requests may present substantial challenges and will likely require considerable lead time.
4. Requests to receive company funding to support research at an academic or nonprofit institution other than the investigator's host institution while the investigator is on sabbatical leave are subject to the same requirements as set forth above in Section 5b relating to company funding in second labs.

## Special Requirements/Visiting Researcher Arrangements

HHMI does not require a written agreement for Visiting Researcher Arrangements (i.e., when an investigator conducts research away from his or her host institution for three months or more under arrangements that are not second lab arrangements or research while on sabbatical leave from his or her host site). However, if an investigator is required to sign an agreement granting rights in intellectual property to another institution in connection with any such Visiting Researcher Arrangement, and the investigator anticipates developing intellectual property at the other institution, then regardless of the length of the visit, the agreement must be reviewed and approved by HHMI before the investigator signs the agreement or commences research at the other site. Accordingly, it is very important for investigators to inquire whether they will be asked to sign an agreement relating to research at another location, and to provide any such agreement to the investigator's [HHMI attorney](#) for review as soon as possible, and in advance of the start date of the proposed arrangement, if the investigator anticipates developing intellectual property at the other institution.

Investigators requesting approval to conduct research at locations other than their host institutions should be mindful that it can take as long as three or four months (or longer in the case of companies or foreign institutions) to negotiate agreements that take into account the investigator's status as an HHMI investigator, particularly if the agreements include provisions relating to intellectual property developed by the investigator. If an investigator is required to enter into an agreement relating to research at another

location, HHMI's final approval of the proposed arrangement will be deferred until HHMI has reviewed and approved any such agreement.

If you have questions about any aspects of this policy, please contact your [Scientific Officer](#) or your [HHMI attorney](#).

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