

# Investigator Phase-out and Gift Options Policy

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## Purpose and Scope

This policy applies to Investigators at host-based sites. It describes the eligibility to receive a non-renewable phase-out appointment (i.e., a phase-out period) and the support that HHMI provides during the phase-out period, including an option for certain Investigators to receive a gift of research funding to their host institution at the end of an HHMI appointment.

## Policy

### 1. Standard 2-Year Phase-Out

#### Eligibility

In general, an Investigator with an unsuccessful HHMI scientific review will have a non-renewable phase-out period of two years before their HHMI appointment ends. This 2-year phase-out period begins at the end of the current appointment term or the first day of the month following the review, whichever date is later. If an Investigator requests an early review in their first appointment term and is not renewed, then the 2-year phase-out period shall apply and the phase-out period will begin on the first day of the month following the review, regardless of any remaining balance on the Investigator's current term. The 2-year phase-out period is intended to allow the Investigator to adjust laboratory operations prior to the scheduled cessation of HHMI research funding, including seeking new sources of research support. Investigators remain employed by HHMI during their phase-out period and continue to attend HHMI scientific meetings and otherwise participate in HHMI activities during the 2-year phase-out period.

An Investigator with or without a scheduled scientific review who plans to leave HHMI but maintain an active research program at an HHMI host institution may forego the formal review process and request a 2-year phase-out at any time. Requests for a 2-year phase-out appointment without a scientific review must be made in writing to HHMI's Vice President and Chief Scientific Officer. If the request is approved by HHMI's Vice President and Chief Scientific Officer, the 2-year phase-out period will begin at the end of the current appointment term or, if there is a scheduled review, at the end of the current appointment term or the first day of the month following the date on which the review would have occurred, whichever date is later.

#### HHMI Support for Standard 2-Year Phase-out

For Investigators who maintain an active research program at their current host institution, HHMI support during a 2-year phase-out period will include:

- The Investigator's full salary and benefits from HHMI. Salary will continue to be set based on HHMI's Lab Head Salary Scale;
- The Investigator's laboratory operations budget for the two years of the phase-out which will remain at the same level unchanged throughout the phase-out period. The budget level will be based on the level of the Investigator's laboratory operations budget at the start of the phaseout period. For clarity, for Investigators who are currently in a 2-year phase-out period as of May 1, 2024, their budget level will remain based on the level it was at the time of the non-renewal decision, and will remain at such level for the remainder of their two-year phase-out period.
- After the start of the 2-year phase-out period, the ability to carry forward up to \$500,000 of unspent laboratory operations budget funds;
- Occupancy payments to the host institution, consistent with the collaboration agreement between HHMI and the host institution; and
- If the Investigator has at least \$100,000 of unspent laboratory operations budget funds at the end of the phase-out period, the option to request these unspent funds, up to a total of \$500,000, in the form of an end-of-term gift to the host institution to support the Investigator's continued research there.

### Early Departures with Gift Option

An Investigator in a 2-year phase-out period may end their HHMI appointment early and request an early departure gift to their host institution to support their continued research, provided that at least nine months would otherwise remain in the Investigator appointment period as of the early departure date. The early departure gift would include funds in the amount of what HHMI would have paid as the laboratory operations budget (including any carry-forward funds) and base salary (for clarity, this amount includes base salary only and no amounts representing employee benefit equivalents or other compensation) for the Investigator for the number of months remaining in their 2-year phase-out period at the time of the early departure. The total gift amount is limited to \$1.5 million.

If HHMI approves a gift in connection with an early departure, HHMI will also make a separate unrestricted gift to the host institution in the amount of the occupancy payments that HHMI would have paid for the Investigator's space for the number of months remaining in the Investigator's 2-year phase-out period at the time of the early departure.

An early departure gift is only available to eligible Investigators in a 2-year phase-out who plan to continue research at an HHMI host institution and who are not otherwise terminating their appointment to take a high-level administrative position that would not be approved for an Investigator under the [Administrative Service, Leadership Role, and Salary Supplementation](#) policy, to move to another institution to which the HHMI appointment cannot be transferred under HHMI policies, or to take a position with a company that would not be approved under HHMI policies.

### Gift Terms

The following gift terms apply to any gift made to a host institution under this policy:

- In order for a gift to be made, HHMI and the host institution must agree on gift terms at least one month before the Investigator's appointment ends.
- HHMI will not pay indirect costs with respect to any such gift, nor will HHMI agree to allow the host institution to charge indirect costs against the gift.
- Gifts must be expendable by the Investigator at their discretion in support of their continued research at the host institution. At the Investigator's request, gift funds may be used to pay for the salary and benefits of the Investigator and members of their laboratory staff.
- After execution of a written gift agreement, HHMI generally will make a first gift payment within two to four weeks after the Investigator's HHMI appointment ends, followed by a final gift payment after all the obligations against the Investigator's budget have been cleared.

To request a gift, the Investigator must submit the [Gift to Host Institution form](#) on the HHMI Science Portal.

## 2. 5-Year Expanded Phase-out (No Gift Option Available)

### Eligibility and Approval Process

An expanded, non-renewable phase-out period of up to five years may be requested by HHMI Investigators who have at least two successful Investigator reviews. A transition review (i.e., a review to determine a Group Leader's or Senior Group Leader's eligibility to transition from HHMI's Janelia Research Campus to a host institution as an Investigator) is not an Investigator review for purposes of this policy. Investigators who are eligible for an expanded phase-out but elect to go through a scientific review and are not renewed will receive a 2-year phase-out period, as described above. Investigators remain employed by HHMI during their expanded phase-out period and continue to attend HHMI scientific meetings and otherwise participate in HHMI activities during the phase-out period.

An eligible Investigator may request an expanded phase-out appointment starting on the first day of the fifth year of their then-current appointment period through the date one year before the first day of the Investigator's scheduled review session (the “**Request Period**”). Requests for an expanded phase-out appointment must be made in writing to HHMI's Vice President and Chief Scientific Officer using the email template located [here](#) (the “**Initial Request**”). Upon receipt of an Initial Request from an Investigator, HHMI's Science department will email the Investigator a link to HHMI's Application Review Channel. The Investigator must upload the standard review materials for Investigator reviews, excluding the pre-recorded talk (see [Investigator Review Guidelines](#)), to the Application Review Channel within 30 days of submitting their Initial Request, or by the end of the Request Period, whichever is earlier, for a request for an expanded phase-out appointment to be complete. For example, for an Investigator with a 7-year term that starts on September 1, 2025, and ends on August 31, 2032, the first day this Investigator may request an expanded phase-out is September 1, 2029. If this Investigator is notified on May 1, 2030, that their review will be on November 5, 2031, the Investigator may request an expanded phase-out until November 4, 2030.

Notwithstanding the foregoing, Investigators who have been notified of their scientific review date as of May 1, 2024, may submit an Initial Request for an expanded phase-out at any time through the due date for submission of materials for their scheduled scientific review. These Investigators must upload the required materials to the Application Review Channel within 30 days of submitting their

Initial Request or by the due date for submission of materials for their scheduled scientific review, whichever is earlier.

If an Investigator does not submit the required materials in the Application Review Channel by their due date or the request is not approved, the Investigator may proceed with their Investigator review or request a 2-year phase-out in lieu of a review as described above.

HHMI's approval of a request for an expanded phase-out period will be based on the review of the submitted materials. If a request for an expanded phase-out is approved, the expanded phase-out period will begin at the end of the Investigator's current appointment term. If the request for expanded phase-out is denied, the Investigator may submit revised materials for the scheduled scientific review by the submission due date or within one week of receiving notice of the denial, whichever is later.

A request for an expanded phase-out (Initial Request plus submission of required materials by the deadline) is binding, and an Investigator may not change their mind after requesting an expanded phase-out.

#### HHMI Support for Expanded Phase-out

For Investigators who receive approval for an expanded phase-out period and maintain an active research program at their current host institution, HHMI support during the phase-out period will include:

- The Investigator's full salary and benefits from HHMI. Salary will continue to be set based on HHMI's Lab Head Salary Scale;
- The Investigator's laboratory operations budget for the five years of the phase-out, which will remain at the same level unchanged throughout the phase-out period; The budget level will be based on the level of the Investigator's laboratory operations budget at the start of the phase-out period. For clarity, for Investigators who are currently in an expanded phase-out as of May 1, 2024, their budget level will remain based on the level it was at the time of the approval of their expanded phase-out and will remain at such level for the remainder of their phase-out period.
- After the start of the expanded phase-out period, the ability to carry forward up to \$500,000 of unspent laboratory operations budget; and
- Occupancy payments to the host institution, consistent with the collaboration agreement between HHMI and the host institution.

HHMI's support will end at the conclusion of an expanded phase-out with no option to receive any unspent funds in the form of a gift to the host institution.

Investigators in an expanded phase-out period are not eligible for an early departure gift.

### **3. Transfers**

#### Transfers

Under HHMI's [Laboratory Head Transfers policy](#), an Investigator in a phase-out period may request to transfer to another host institution provided that at least 12 months will remain in the Investigator's HHMI appointment following the transfer. If an Investigator's request to transfer is approved, HHMI's support during the phase-out period will be as described above in Section #1 or #2, as applicable. Depending on the timing of the transfer, part of the Investigator's budget may be needed for residual activities at the current host institution, and the rest of the budget can be used for activities at the new host institution. For an Investigator in a 2-year phase-out, any end-of-term gift will be made to the Investigator's new host institution in accordance with the Gift Terms set forth above.

#### Transfer with Early Departure and Gift Option

An Investigator in a 2-year phase-out who wishes to transfer and then end their HHMI appointment early and request an early departure gift must request this option through the [Gift to Host Institution form](#) at least three months before the proposed transfer date. In this situation, the transfer must be completed not less than twelve months before the end of the phase-out period. If a transfer will not be completed at least twelve months before the end of the phase-out period, the Investigator is not eligible for an early departure gift but can request a standard end-of-term gift as described in Section 1 of this policy.

After the transfer is complete, an Investigator may request to end their HHMI appointment early and request an early departure gift. Such early departure gifts following a transfer will only be considered if there are at least nine months remaining in the phase-out period at the time of the early departure. Once a transfer has been executed, no mechanism will remain for the previous host institution to receive a gift payment from the Investigator's unspent budget or to receive occupancy fees. An early departure gift made following a transfer will be made to the new host institution in accordance with the Gift Terms set forth above and subject to the early departure gift limit of \$1.5 million.

### **4. Reasonable Accommodation**

If an Investigator believes that they need an accommodation due to a disability, due to pregnancy, childbirth, or a related medical condition, or due to religious practice or belief, the Investigator should make a request to HHMI's Director of People and Culture with responsibility for host institution sites (Yury Metelski, [metelskiy@hhmi.org](mailto:metelskiy@hhmi.org), 301-215-8977). HHMI's Director of People and Culture will engage in an interactive process with the Investigator and Science to address the request for accommodation in a manner consistent with HHMI policy and applicable laws.

## Related Procedures, Forms, and Policies

- [Laboratory Head Transfers Policy](#)
- [Investigator Review Guidelines](#)
- [Gift to Host Institution form on HHMI Science Portal](#)
- [Administrative Service, Leadership Roles, and Salary Supplementation Policy](#)
- [Reasonable Accommodation Procedure](#)

## Contact

Any questions about HHMI's Investigator Phase-out and Gift Options Policy may be raised with the [Senior Director-Scientific Officer](#) or [HHMI attorney](#) responsible for the site.

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