

# Laboratory Head Transfers

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## Scope

This policy describes the circumstances under which HHMI Investigators and Freeman Hrabowski Scholars (each, an “HHMI Laboratory Head” for purposes of this policy) are eligible to request to transfer from their HHMI host institution to another institution. The policy applies to a transfer from the HHMI host institution at which the HHMI Laboratory Head is initially appointed as well as to all subsequent transfers.

## Definitions

**Offer Letter.** An Offer Letter is a document provided by the proposed new institution to the HHMI Laboratory Head describing the terms of the new institution’s offer to the HHMI Laboratory Head if the HHMI Laboratory Head transfers to the new institution. Offer Letters may specify scientific and other resources the new institution would make available to the HHMI Laboratory Head if they decided to transfer to the new institution. **HHMI Laboratory Heads should not sign an Offer Letter, provisional or final, until the HHMI VP and Chief Scientific Officer has approved the Offer Letter.**

**People Plan.** A People Plan is a brief (approximately one page) written plan that describes the HHMI Laboratory Head’s plans for ensuring that current lab members and trainees will be supported both during and after the transfer. Each HHMI Laboratory Head seeking to transfer to a new host institution must submit to HHMI a People Plan as part of their transfer request.

**Transfer Effective Date.** The Transfer Effective Date is a date that occurs after all of the requirements of this policy are satisfied and which is agreed to by HHMI’s Vice President and Chief Scientific Officer and the HHMI Laboratory Head as the effective date of the HHMI Laboratory Head’s transfer to their new host institution.

## Policy

An HHMI Laboratory Head is eligible to request to transfer from their HHMI host institution to another institution as described in this policy.

HHMI will consider proposed transfers to institutions in the United States or Puerto Rico on a case-by-case basis. Note, however, that transfers to for-profit entities, research facilities managed or operated by or for the federal government or any state or local governmental entity other than a public university, or research institutes with policies that are not consistent with HHMI’s policies (for example, policies relating to intellectual property or open-access to publications) are not permitted. Any institution that is approved as a host institution in connection with a transfer request

shall become a host institution for purposes of this policy only with respect to the HHMI Laboratory Head who requested the transfer. Any institution that is approved as a host institution in connection with a transfer request must execute a collaboration agreement with HHMI that is consistent with HHMI policies before HHMI's Vice President and Chief Scientific Officer issues the final approval of the transfer.

## **Eligibility and Timing**

**Transfers for Reasons other than Personal, Family, or Medical Reasons.** In general, an HHMI Laboratory Head who has had at least one scientific review and completed their first full term is eligible to transfer. For an HHMI Laboratory Head in their first term, the request can be initiated in advance of the HHMI Laboratory Head's first scheduled scientific review, however, the Transfer Effective Date must be after the start of the HHMI Laboratory Head's second appointment term.

**Exception for Investigators.** An Investigator who would like to transfer before their first scientific review and completion of their first full term may request an early scientific review after five years. The request to transfer can be initiated in advance of the scheduled early review but the Transfer Effective Date must be after the scientific review. In the case of an early review requested by an Investigator, the first day of the month following the Investigator's scientific review will mark the beginning of a new appointment term (renewable or non-renewable) regardless of any remaining balance on the Investigator's initial term and regardless of the Transfer Effective Date.

While there is no limit on the number of times an Investigator may transfer under this section, there must be at least seven years between each such transfer by an Investigator (as measured by the Transfer Effective Dates for the transfers). If an Investigator transfers for personal, family, or medical reasons as set forth below, there must be at least seven years before the Investigator transfers again for reasons other than personal, family, or medical reasons. Freeman Hrabowski Scholars may transfer once under this section in their second and final appointment term.

**Transfers for Personal, Family, or Medical Reasons.** There may be rare occasions when a transfer is warranted for certain personal, family, or medical reasons. The following is a non-exclusive list of circumstances that may warrant consideration of a transfer for personal, family, or medical reasons: child custody considerations, a serious medical condition of the HHMI Laboratory Head or a family member, restrictive state laws that impact reproductive healthcare, restrictions at the state level on medical care, custody or adoption rights for LGBTQ+ HHMI Laboratory Heads or family members, or a need to relocate to take care of an aging parent. An HHMI Laboratory Head who wishes to request a transfer for these reasons should contact HHMI's Director, People and Culture with responsibility for host institution sites and follow the procedures set forth below. There is no limit on the number of times or frequency of HHMI Laboratory Head transfers for personal, family, or medical reasons.

For all transfers, after all of the transfer requirements are satisfied and the Transfer Effective Date is set, HHMI will send the HHMI Laboratory Head final approval of the transfer. Except as described below, all other terms and conditions of the HHMI Laboratory Head's HHMI appointment will continue to apply at the new institution.

## **Review and Approval of Transfer Request**

HHMI's Vice President and Chief Scientific Officer must review and approve each transfer request. A decision on the transfer will be made after a careful review of relevant facts and circumstances and the materials submitted by the HHMI Laboratory Head as set out in this policy. HHMI will take into account the HHMI Laboratory Head's record of scientific achievement and plans for future research, as well as the impact of the research environments at the current and proposed new institutions on the HHMI Laboratory Head's research program, and the new institution's willingness and ability to meet HHMI's requirements for host institutions and ensure that the HHMI Laboratory Head's lab can be operated in compliance with HHMI policies.

## **Additional Requirements Applicable to HHMI Laboratory Head Transfers:**

1. An HHMI Laboratory Head will not receive final approval to transfer until there is a fully executed host collaboration agreement in place at the proposed new institution.
2. HHMI requires that the transferring HHMI Laboratory Head will be appointed as a tenure-track (or equivalent) faculty member at the new institution on or before the Transfer Effective Date. An HHMI Laboratory Head will not receive final approval from HHMI and cannot transfer until HHMI receives written confirmation from an institutional official at the proposed new institution (such as a Dean or equivalent) that such an appointment has been approved without any contingencies as of the Transfer Effective Date.
3. The HHMI Laboratory Head's salary at the new site will be based on HHMI's lab head salary structure, which takes into account geographic region, among other factors. If the location of the proposed institution would result in a lower salary on the salary structure, the HHMI Laboratory Head's salary will not be reduced at the time of transfer but will remain unchanged until such time as an increase is warranted based on the salary structure for the new location.
4. An Investigator in a non-renewable, phase-out appointment may request a transfer but only if the Transfer Effective Date is at least 12 months before the end of their non-renewable appointment. For additional details see [HHMI's Investigator Phase-out and Gift Options policy](#).
5. A Freeman Hrabowski Scholar in their second, non-renewable appointment may request a transfer but only if the Transfer Effective Date is at least 12 months before the end of their non-renewable appointment.
6. Except as otherwise set forth in this policy, an HHMI Laboratory Head's transfer shall not extend or change the HHMI Laboratory Head's appointment term.

## **Procedures for Requesting a Transfer**

In the rare cases where a transfer is requested for certain personal, family, or medical reasons, the HHMI Laboratory Head should first contact the Director, People and Culture for host institution

sites and submit to the Director any requested documentation. The Director of People and Culture will present a recommendation to the Vice President and Chief Scientific Officer. The final decision regarding whether the HHMI Laboratory Head is eligible to transfer will be made by the Vice President and Chief Scientific Officer. If the Vice President and Chief Scientific Officer determines that the HHMI Laboratory Head is eligible to transfer, the HHMI Laboratory Head must follow the rest of the procedures, and meet all of the requirements, set forth in this policy.

Following notification of eligibility to transfer in cases of transfer requests for certain personal, family, or medical reasons, and as initial steps in all other situations addressed in this policy, HHMI Laboratory Heads must take the following steps to request a transfer.

An HHMI Laboratory Head's request to transfer should be submitted in writing to HHMI's Vice President and Chief Scientific Officer with the following materials:

1. A letter from the HHMI Laboratory Head requesting the transfer and explaining the underlying scientific rationale for the transfer. The People Plan should be included with the letter.
2. A copy of the proposed new institution's Offer Letter. **The HHMI Laboratory Head should not sign the Offer Letter until the terms and conditions therein have been approved by HHMI's Vice President and Chief Scientific Officer.** All agreements between the HHMI Laboratory Head and the proposed institution must be disclosed in writing to HHMI and are subject to approval (or request for revision) by HHMI. A complete Offer Letter will include:
  - a statement of all anticipated institutional appointments and affiliations including the tenured or tenure-track academic position to which the transferring HHMI Laboratory Head will be appointed and the date on which the tenured or tenure-track appointment will be active with no institutional contingencies. This appointment date must be the same as or precede the Transfer Effective Date;
  - an acknowledgment that HHMI is responsible for setting the HHMI Laboratory Head's salary and benefits;
  - a description of non-research activities (e.g., patient care, teaching and service to the institution);
  - a description of any administrative service, including management and other leadership roles, of the HHMI Laboratory Head at their new host institution and any compensation paid by the new institution to the HHMI Laboratory Head for the services. All administrative services and compensation must be approved as set forth in HHMI's [Administrative Service, Leadership Roles, and Salary Supplementation policy](#).
  - a detailed summary of all personal financial arrangements (for example, housing allowance, loan arrangements, tuition benefits). The documentation for any such arrangements is expected to specify whether the proposed arrangements are generally offered, in type and magnitude, to faculty of similar rank and distinction being recruited to that institution. One-time payments by an institution to an

HHMI Laboratory Head for committing to join a faculty are not allowed;

- a description of professional and financial support for research, including a commitment to cover the cost of moving the HHMI Laboratory Head and laboratory personnel (if applicable), as well as laboratory equipment and laboratory materials; and
- a description of the proposed laboratory space, proposed renovations (if any), a commitment to pay for any such renovations, and the expected date of completion.

### Provisional Approval

After HHMI's Vice President and Chief Scientific Officer reviews the required documentation and provisionally approves the request to transfer, HHMI will provide a provisional approval letter to the HHMI Laboratory Head, copying the institutional official responsible for the Offer Letter. **The HHMI Laboratory Head may sign an institution's Offer Letter that has been reviewed and approved for compliance with HHMI policies only after receipt of this provisional approval letter.**

### Transfer Effective Date and Approval

HHMI's Vice President and Chief Scientific Officer will issue a final approval letter no later than one month in advance of the Transfer Effective Date. HHMI's Vice President and Chief Scientific Officer will not issue final approval for the transfer until the proposed institution and HHMI have signed a collaboration agreement, the Transfer Effective Date is established, and the HHMI Laboratory Head's tenured or tenure-track appointment is confirmed as set forth above. The Transfer Effective Date is expected to correspond closely to the date of the lab's physical relocation as well as the start of the tenure-track faculty appointment at the host institution. The HHMI Laboratory Head can only start to conduct research at their new host institution as of the Transfer Effective Date.

### Lab Closure

If acceptable to the institution from which an HHMI Laboratory Head is transferring, HHMI will allow the HHMI Laboratory Head to retain a lab at that institution for up to six (6) months after the Transfer Effective Date. The HHMI Laboratory Head should coordinate closely with the [Senior Director-Scientific Officer](#) (for Investigators), [Senior Director-Scientific Program Officer](#) (for Freeman Hrabowski Scholars), and Science Operations Manager for their current and new host institutions, as well as People and Culture, to develop and implement their transfer and People Plans.

## Related Procedures, Forms and Policies

- [Investigator Phase-Out and Gift Options Policy](#)
- [Administrative Service, Leadership Roles, and Salary Supplementation Policy](#)

## Contact

Any questions about HHMI Laboratory Head transfers may be raised with the [Senior Director-Scientific Officer](#), [Senior Director-Scientific Program Officer](#), or [HHMI attorney](#) responsible for the site.

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