

Guide for Affiliate Awardees

MISSION STATEMENT

**THE AMERICAN HEART ASSOCIATION IS
DEDICATED TO THE REDUCTION OF DISABILITY
AND DEATH FROM CARDIOVASCULAR DISEASES
AND STROKE**

GUIDE FOR AFFILIATE AWARDEES
Regions I, II and IV Consortia

The American Heart Association (AHA) welcomes you as a recent awardee. It is a great source of pride to the AHA that you have been selected as an awardee. AHA Awardees are an integral part of an organization with a long tradition of excellence both locally and nationally. Many opportunities exist for your continued involvement with the AHA during and after the term of your award.

This guide has been prepared to assist principal investigators and other authorized institutional officials with the specific terms and conditions applicable to these awards. In accepting an award, the principal investigator and the institution assume an obligation to expend award funds for the research purposes set forth in the application and in accordance with all regulations and policies governing the research programs of the American Heart Association, Inc.

Affiliate (funding component)	Includes the following states/areas
Founders	<i>Connecticut, New Jersey New Hampshire, New York State, Maine, Massachusetts, Rhode Island and Vermont</i>
Great Rivers Affiliate	<i>Delaware, Kentucky, Ohio and Pennsylvania</i>
Greater Southeast Affiliate	<i>Alabama, Florida, Georgia, Louisiana, Mississippi, Puerto Rico and Tennessee</i>
Mid-Atlantic Affiliate	<i>Maryland, North Carolina, South Carolina, Virginia and the Nation's Capitol</i>
Midwest Affiliate	<i>Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska North Dakota, South Dakota, and Wisconsin</i>
Pacific Mountain Affiliate	<i>Alaska, Arizona, Colorado, Hawaii, Idaho, Montana, Oregon, Washington, Wyoming</i>

A description of the programs offered by affiliates can be found on the Budget Page for each award via the Online Awards Administration system at <https://home.heart.org/OLAwardsAdmin/>.

The award is bound by the terms and limitations under which it was activated unless otherwise indicated by the American Heart Association.

Questions about policies and procedures for the Founders, Midwest, and Pacific Mountain Affiliates may be directed to:

Division of Research Administration
 American Heart Association, Inc.
 7272 Greenville Avenue
 Dallas, TX 75231-4596

Phone:

Midwest Affiliate contact (214) 360-6120

Pacific Mountain Affiliate contact (214) 360-6121

Founders Affiliate contact (214) 360-6118

Fax: (214) 360-6124

E-mail: awards@heart.org

Questions about policies and procedures for the Greater Southeast, Great Rivers and Mid-Atlantic, Affiliates may be directed to:

American Heart Association

415 N. Charles St.

Baltimore, MD 21201

Phone: (410) 637-4540

Fax: (410) 637-4551

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I. DEFINITION OF TERMS

A. PRINCIPAL INVESTIGATOR

A principal investigator has scientific responsibility for the conduct of the proposed research, is on the staff of the institution in which the research is conducted, assumes major responsibility for conducting the research project and supervising such associates or assistants as required, and with the institution's fiscal officer, is responsible for the financial reporting of the grant.

B. COLLABORATING INVESTIGATOR

A collaborating investigator is an individual who contributes in a substantive way to the scientific development or execution of the project.

C. GRANTEE INSTITUTION

A grantee institution is a nonprofit organization where the basic facilities and staff for the specific research project elected by the investigator are available.

D. GRANTS/SPONSORED PROGRAMS OFFICER

The grants officer will be expected to review and approve the project budgets submitted by funded investigators at the time of award activation.

E. FISCAL OFFICER

The fiscal officer is the institutional official responsible for the financial reports as well as to supervise financial administration of the award.

F. PAYMENT RECIPIENT

A payment recipient is the person designated by the sponsoring institution to receive notices regarding payments.

G. SPONSOR

A sponsor is a senior investigator under whom the research project of a Predoctoral or Postdoctoral Fellowship will be performed. A sponsor is the administrative link with the institution. The sponsor offers whatever supervisory or collaborative assistance is necessary for the progress of the research program. A sponsor must be familiar with an applicant's area of research.

II. CONDITIONS FOR AWARD SUPPORT

A. CITIZENSHIP/VISA REQUIREMENTS

Award recipients must meet AHA citizenship criteria throughout the duration of their awards, including any authorized extension period. Awards are subject to termination if changes in citizenship/visa status no longer meet AHA requirements. It is the responsibility of the awardee's institution (as the sponsor or employer) to ensure legal verification of citizenship or visa status and compliance with AHA policy.

B. ALTERNATIVE/OVERLAPPING FUNDING

Alternative (pending or planned applications)

An application must be identified as alternative if submitted to more than one granting agency for the same or closely related project and/or in which there are duplicate budgetary requests.

Overlapping (active or approved applications)

An award must be identified as overlapping if it supports the same or closely related projects and/or in which there are duplicated budgetary requests. The applicant can accept the Association award only if he/she relinquishes the overlapping application.

In accepting an award from the American Heart Association, the principal investigator and the grantee institution assume an obligation to expend award funds for the research purposes set forth in the application and to affirm that there is no supplementary or duplicate funding for these purposes. The principal investigator and grantee institution will promptly notify the AHA of the activation of any award which is alternative or overlapping to AHA support.

After the grant application is reviewed by the Association, the alternative designation of the project or the budget cannot be changed in order to accommodate any partial alternative funding. The applicant is not allowed to adjust the scientific aims or budget of an AHA application to accommodate any overlap resulting from funding of an alternative application by another funding agency. 100% duplication between applications is not a requirement for an application to be deemed alternative or overlapping. The applicant can accept only one award if more than one is to be approved for funding. After award activation, if a subsequent funding agency eliminates all overlap (scientific and budgetary), the awardee may keep the Association award, pending review and approval by the Research Committee.

Fellowship applicants must include information regarding fellowship applications pending with any other granting agency. An investigator is not permitted to simultaneously hold a comparable award.

C. CONCURRENT AWARDS

An individual may not hold more than one Association grant or other project support award concurrently. Exception: An investigator may hold two Association grants (Affiliate and AHA National) concurrently if:

- ? there will be no more than six months remaining on the initial award,
- ? the projects have no overlap in specific aims, and
- ? there is no budgetary overlap between the two projects.

D. SUBMISSION OF AWARD ACTIVATION FORMS

To activate an award from the AHA, the principal investigator and grantee institution must provide the AHA with the required documentation by the due date set forth in the award notice. The AHA cannot activate an award until all the documentation has been received.

E. MODIFICATION OF AWARD TERMS

The AHA reserves the right to modify the terms of its award agreement with 12 months written notice to the grantee and the sponsoring institution.

F. ETHICAL ASPECTS OF RESEARCH WITH HUMAN SUBJECTS AND ANIMALS

The ethics of experimentation with human subjects and animals has a number of implications. Above all, there is a basic obligation to the experimental subject. In addition, it is important to ensure that any tissues or cells derived from experimental subjects be handled respectfully. Circumspection in ethical areas is also important for the investigator and for the scientific community as a whole.

The American Heart Association does not fund scientific research that involves the use of human fetal tissue.

With respect to human and animal experimentation, the awardee, sponsor and department head at the sponsoring institution must affirm:

1. that the investigations involving human subjects proposed and subsequently carried out in the application have been endorsed by the committee on clinical investigation, or other clearly designated appropriate body, of the sponsoring institution; and
2. that any research involving human subjects will conform ethically with the guidelines prescribed by the National Institutes of Health (NIH) including the provision of suitable explanation to human subjects or their guardians concerning the experimental design and all significant hazards, so that they may be in a position to provide appropriate informed consent prior to the investigation; and
3. that research involving animals will conform with the current "Guide for the Care and Use of Laboratory Animals", NIH publication, DHHS/USPHS; and with federal laws and regulations; and has been approved by the Institutional Animal Care and Use Committee; and
4. that wherever applicable, the research protocol will be reviewed and approved by the institution's biohazards committee, as well as conforming to NIH guidelines.

Applicable endorsements of the project, dated within a year of the date of the award start date, must be received within 90 days of the award start date. Endorsements should specifically cite the applicant's name and project title. If the institutional endorsement does not cite the applicant's name and project title as submitted to the American Heart Association, a cover letter must be attached explaining why the endorsement is not in the applicant's name and/or why the project title does not coincide with that listed on the application.

G. STANDARDS ON FALSIFICATION OF SCIENTIFIC DATA, PLAGIARISM AND SCIENTIFIC MISCONDUCT

Set out below is the binding Standards on Falsification of Scientific Data, Plagiarism and Scientific Misconduct Policy of the AHA approved on February 19, 1993 by the AHA Board of Directors.

I. STATEMENT OF PRINCIPLE AND PURPOSE:

The American Heart Association requires highly ethical scientific behavior in all of its programs and activities. The American Heart Association endorses the principles of the Association of American Medical Colleges (AAMC) report "The Maintenance of High Ethical Standards in the Conduct of Research". This statement serves as a guideline when allegations are made or indications arise of falsification of scientific data, plagiarism, or other scientific misconduct in AHA scientific publishing, scientific sessions and conferences, or research funded by the AHA or Affiliates.

II. SUBMITTED ARTICLES AND ABSTRACTS:

A. Allegation or Indication of Scientific Misconduct

When a credible allegation is made of falsification of scientific data, plagiarism, or other scientific fraud or misconduct, or reasonable indications thereof arise in the review of an article or abstract submitted for publication or presentation, a written statement shall be provided to the submitting author(s)/scientist(s) specifying the particular concern(s) of the AHA and requesting a written response. In the absence of a timely response or in the event of a response that is deemed by the AHA as insufficient in providing a reasonable explanation for the AHA's concern, the AHA shall reject the submitted journal article or abstract. The AHA, as it deems appropriate, may advise or seek assistance from the institution(s) of the author(s)/scientist(s).

B. Responsible Party

The editor and the chairperson of the Scientific Publishing Committee are the responsible parties in the case of manuscripts submitted for publication in AHA scientific publications. The chairperson of the Scientific Sessions Program Committee and, when such is the case, the chairperson of the conference are the responsible parties in the case of abstracts submitted for publication or presentation at AHA scientific sessions and conferences. The AHA President shall be advised as deemed appropriate by the responsible parties.

III. PUBLISHED REFEREED ARTICLES AND ABSTRACTS:

A. Requests To Retract

1. When a request to retract a refereed article or abstract that has been published by the AHA is from all authors, the AHA shall retract.
2. When a request to retract a refereed article or abstract that has been published by the AHA is from less than all authors and the non-requesting author is suspected of a violation or the request to retract is from non-authors, the AHA shall retract upon a showing of "high probability" of the specifically cited violation having occurred.

Non-requesting authors -- whether or not they are the individuals suspected of a violation -- will be advised by certified mail of the request to retract and will be asked to consent or comment within a specified time limit. No reply received within the time limit will be construed as consent to retract. Should the reply be a statement of defense or argument against retraction, the decision to retract will be made upon a showing of "high probability" of the specifically cited violation having occurred.

"High probability" is a satisfactory showing to the AHA of a thorough investigation with fair and impartial procedures and investigators, with an adequate opportunity provided for the suspected scientist to explain his or her conduct, and yielding a deliberative reasonable decision based on credible evidence.

B. Format Of Retraction

A request for retraction shall be published in the appropriate AHA publication followed by a brief statement of endorsement or acceptance by that publication's editor.

C. Responsible Parties

The editor of the publication is the responsible party in consultation with the chairperson of the Scientific Publishing Committee and the AHA President. In the case of abstracts, the chairperson of the Scientific Sessions Program Committee and, when such is the case, the chairperson of the conference are responsible parties.

IV. AHA FUNDED SCIENTIST SUSPECTED OF VIOLATION:

A. AHA Level

1. When a credible allegation or reasonable indication of scientific misconduct by an AHA funded scientist, or applicant for AHA funding, arises and when a determination is made by the AHA that the institution has an acceptable procedure to investigate and resolve the allegation, the AHA ordinarily will allow the institution to investigate and resolve the allegation. However, the AHA reserves the right to itself conduct or call for an independent investigation resulting in findings or suggestions.
2. When the institutional procedure is found not to be acceptable or there is no institutional procedure, the AHA shall determine an appropriate course of action including, but not limited to, conducting an independent investigation, or requesting an independent investigation by a third party, making findings or recommendations, seeking restitution from the scientist or institution, notifying other funding or appropriate agencies, or requesting retractions of published articles or studies.

B. Affiliate Level

The AHA shall offer assistance to an Affiliate as appropriate and consistent with these Standards.

C. Responsible Parties

The Officers of the AHA are the responsible party in consultation with the chairperson of the Research Committee.

V. PROCEDURE:

In each of the above situations the responsible parties, in consultation with the AHA's Corporate Legal Counsel, shall determine a specific course of action based upon the particular facts and circumstances of the matter. The author(s) or scientist(s) against whom an allegation or indication of scientific misconduct arises shall be permitted a reasonable opportunity to respond or explain before the AHA takes final action in the matter. Though the intent of this Standard is to protect the reputation of the AHA and the integrity of its scientific publishing, scientific sessions, and funded research programs and activities, due regard also will be given to the protection of the reputation of the involved author(s) or scientist(s).

H. PROPRIETARY RESEARCH

While inventions and discoveries will be respected, it is not within the spirit of awards supported by the American Heart Association to pursue proprietary research.

I. PATENT, INTELLECTUAL PROPERTY & TECHNOLOGY TRANSFER POLICY

Discoveries or inventions from research performed during the term of the award will be subject to the current patent, intellectual property & technology transfer policies of the AHA as well as to the corresponding policies of the institution where the work is performed. Set out below is the binding Patent, Intellectual Property & Technology Transfer Policy of the AHA, approved by the AHA Board of Directors on October 23-24, 2002

Though the primary purpose of the AMERICAN HEART ASSOCIATION INC. (hereinafter designated AHA) in funding scientifically meritorious research is to advance its mission to reduce disability and death from cardiovascular diseases and stroke, the AHA recognizes that inventions having public health, scientific, business, or commercial application or value may be made in the course of research supported by the AHA. It is the desire of the AHA that such inventions be administered in such a manner that they are brought into public use at the earliest possible time. The AHA recognizes that this may be best accomplished through patenting, copyrighting, and/or licensing of such inventions.

"Invention" is any discovery, material, method, process, product, program, software or use, whether or not patented or patentable or copyrighted or copyrightable, that has an application of value such that its use, licensing, lease or sale can generate revenue.

1. All inventions discovered or first reduced to practice in the performance of research supported in whole or in part by the AHA shall be promptly reported in writing to the AHA when the invention is disclosed to the institution where the work was done.
2. If the institution receiving or disbursing the AHA funds which supported the invention has an established and applicable patent, intellectual property or technology transfer policy and procedure for administering inventions, the AHA will defer to that policy with the following restrictions:
 - a. Title to any invention shall reside in the institution; and title may be permitted to reside in the inventor(s) or any other person or institution with the prior written approval of the AHA, upon advice of the AHA's Corporate Legal Counsel and science advisors, except that no AHA approval is required for title to reside in the United States government.
 - b. The AHA also will be promptly notified in writing of a patent application being made, and any patent subsequently being issued, and/or of a license, lease, sale or revenue generating agreement concerning the invention prior to their execution. No patent or patent application, copyright or other intellectual property protection shall be abandoned without prior notification by the institution or inventor(s) to the AHA and giving the AHA the opportunity to take title to the invention to the extent permitted by law.
 - c. Notwithstanding any other provision of this policy, the AHA shall participate in the income derived from the invention. The AHA's participation shall be determined within one year, or a reasonably prompt time, after reporting of the invention to the AHA by mutual agreement between the institution or other titleholder, and the AHA, with the AHA's rights hereunder not being affected if such determination is not

made within said time period. The amount of the AHA's participation shall be guided by the principle that the AHA's sharing of income shall be in proportion to the AHA's portion of support for the work or research-giving rise to the invention. The AHA waives receipt of income until the royalty income (net of any direct out-of-pocket patenting costs) from the invention exceeds \$500,000.

- d. The institution or other titleholder, when it licenses an invention to another party for commercialization, shall include provisions in the license obligating the licensee to commercialize the invention in a diligent manner and include appropriate diligence requirements and milestones, and shall monitor performance of the licensee. Unless otherwise agreed with the AHA, the institution or other titleholder shall agree that, if it or its designee or licensee has not taken effective steps to bring the invention to practical or commercial application through licensing or otherwise on terms that are reasonable in the circumstances within three years, or whatever is a reasonable longer time in the circumstances, after issuance of a patent or other clear determination of commercial value in an invention which is being administered by the institution and cannot show reasonable cause why it should retain title to and all rights in the administration of the invention for a further period of time, then, if no other parties have superior rights, the AHA shall have the right to require (i) assignment of said patent or intellectual property right to the AHA; (ii) cancellation of any outstanding exclusive licenses, (iii) the granting of licenses under said patent or intellectual property right on a nonexclusive, royalty-free basis or on other terms that are reasonable in the circumstances, or (iv) other reasonable disposition of the invention rights
3. If the institution has no established and applicable patent, intellectual property or technology transfer policy and procedure for administering inventions, the AHA shall have the right to determine the disposition of the invention rights if no other parties have superior rights. In such cases, the AHA may:
 - a. Decide that a patent application should be or not be filed, or other appropriate measures be taken to protect intellectual property rights in the invention.
 - b. Release the invention to the institution, inventor(s) or their respective designee.
 - c. Submit the invention to a qualified organization for administration and licensing, such as Research Corporation Technologies.
 - d. Determine by negotiation the fair share of the royalty income to be paid to the institution, inventor(s) or other parties having a right in the invention.
 - e. License or make other arrangements for the application and use of the invention on an exclusive or non-exclusive, royalty or royalty-free basis as seems reasonable in the circumstances.
 - f. If the invention is made with the joint support of the AHA and an agency or department of the United States Government, to the extent permitted by law or otherwise and without waiving any rights of appeal or contest, the AHA may defer to the patent, intellectual property or technology transfer policy of that agency or department upon receipt of a written statement by the appropriate agency or department notifying the AHA of its policy and procedure and identifying the rights and interests of the AHA in the invention in question.
 - g. If any invention is made with the joint support of the AHA and some other health agency or funding organization, not an agency or department of the United States Government, the institution shall agree to negotiate with the AHA, the inventor(s) and that other organization for a mutually satisfactory disposition of the invention rights.
 - h. The right of the AHA to participate in revenue derived from an invention is not waived under this paragraph 3.

J. LIABILITY

The American Heart Association is not responsible for any claim, judgment, award, damages, settlement, negligence or malpractice arising from the research or investigation related to this award. The institution acknowledges responsibility for the conduct of research or investigations related to this award, and releases the American Heart Association from all claims or liability that may arise from the conduct of research or investigations related to this award resulting from any act or omission on the part of the institution, its employees, agents or representatives.

K. INVESTIGATOR FINANCIAL DISCLOSURE POLICY/OBJECTIVITY IN RESEARCH

Investigators and institutions are required by the American Heart Association to comply with the PHS regulations, Final Rule, 42 CFR Part 50, Subpart F, Responsibility of Applicants for Promoting Objectivity in Research. The intent is to ensure that the design, conduct, or reporting of research funded by the Association will not be biased by any conflicting financial interest of those investigators responsible for the research.

The signature of the official signing for the applicant institution on the Signature Page of the Association application indicates compliance with the requirement that an institutional administrative process be in effect to identify and resolve conflicting financial interests of the type described in Subpart 50.605(a) with respect to all research projects for which funding is sought from the Association.

III. LIFE CYCLE OF AN AHA AWARD

A. NOTICE OF AWARD

After the Research Committee makes funding decisions, a notice of award activation is sent by email to the principal investigator, the grants/fiscals officers and sponsor (on fellowships) designated in the application. The email states the award period, the dollar amount awarded, and any special conditions under which the award is made. A copy of the award notice should be retained for your files.

The initial start date of the award is the earliest and the termination date is the latest that funds may be obligated or expended. Association awards are activated on January 1 or July 1, unless otherwise specified in the application instructions or program description,.

B. LOCATION OF WORK

Awards are approved for work in accredited universities, colleges, medical and dental schools, schools of public health, accredited hospitals and laboratories, and other nonprofit research institutions where basic facilities and staff for the specific research project chosen by the investigator are available. Research cannot be conducted or administered through any federal institution or performed by a federal employee with the exception of Veterans Administration employees.

C. PAYMENT METHOD

The AHA currently pays research awards quarterly by direct deposit the month following the end of the quarter. For example, the award payment for the quarter July 1 to September 30, will be the following month, October. Payments are transferred on or around the third Tuesday of the month in October, January, April, and July.

AHA research payments are made to the sponsoring institutions. Sponsoring institutions are required to provide the AHA with complete bank information on the signature page of the Award Agreement Form to facilitate payment. Sponsoring institutions need to advise the AHA promptly of updates or changes to bank names, routing and/or account numbers.

D. REPORTING REQUIREMENTS

Progress Reports — A Progress Report is a scientific or technical report of work accomplished submitted by the principal investigator. For awards that start July 1, progress reports are due February 15 of each interim award period and on June 15 of the final year. For awards that start January 1, progress reports are due August 15 of each interim award period and on December 15 of the final year. Information and forms are available from the Online Awards Administration system at <https://home.heart.org/OLAwardsAdmin/> or from the AHA website at www.americanheart.org/research.

Expenditures Reports — An Expenditures Report is the fiscal report submitted by the institutional officer and the principal investigator annually. The reports are due within 90 days following the close of each award year, by October 1 for awards with a July 1 start date and by April 1 for awards with a January 1 start date. Information and forms are available from the Online Awards Administration system at <https://home.heart.org/OLAwardsAdmin/> or from the AHA website at www.americanheart.org/research.

Award payments will be withheld if these forms have not been received by the due dates. In addition, the final payment (or some lesser amount determined by the AHA) of the Award may be withheld until all reports have been received by the AHA. All withheld award payments revert back to the AHA if the AHA has not received all reports six months after the award period ends.

Expenditures reports are not generally required for fellowships.

E. TITLE TO EQUIPMENT

Title to equipment purchased with AHA award funds shall be vested in the institution where the principal investigator is conducting research with the explicit understanding that such equipment is for use by the principal investigator during the term of the award, which includes any authorized extension.

If the AHA approves the transfer of an award to another institution, equipment purchased with AHA funds will be transferred and title vested in the new institution for the specific use by the designated principal investigator. Permanent vesting will be in the institution of award termination.

F. INTERRUPTION OF AWARD

Over the term of the award, it is occasionally necessary or desirable for the investigator to interrupt the work on the project. Several provisions for interruption of the award exist.

1. **Vacation** — If it is not in conflict with the institution's policy, a 30-day vacation is allowed during each year of the award.
2. **Absence from work** — Awardees must promptly notify the AHA of any absence from the research project longer than 60 days, planned, unplanned or due to illness. In certain extreme cases when the awardee is unable to communicate with the AHA due to illness or accident, the department chairperson may submit the request on the awardee's behalf. The award is subject to early termination unless the absence has been requested and authorized in advance by the AHA.

A written request should be made indicating the dates of the leave, the reasons for the request and the principal investigator's intention to resume the research project. The Research Committee will review the request and determine the most appropriate course of action. The principal investigator/department chairperson will be notified of the disposition of the request.

3. **Working leave of absence** — An awardee may find that research progress is promoted or enhanced by spending a portion of the grant in another institution in this country or abroad. If the opportunity should present itself, the reasons and expectations for such a leave should be documented in the request for a working leave of absence as follows:
 - ? a letter from the investigator indicating how the proposed experience will enhance the current project or research career; place and dates involved; and facilities to be made available.
 - ? a letter of concurrence from the investigator's department chair, indicating institutional financial support during the working leave, and assurance that the investigator will return in rank to the sponsor institution.
 - ? a copy of the letter of invitation from the host scientist confirming the length of time, facilities to be made available, and the research plan.

Working leaves of absence may not exceed 12 months in duration.

4. **Delayed Start/Escrow** — In very limited circumstances, the investigator may request that an award remain active, yet have the payments placed on hold for a period of time. For occasions such as family and medical leave or authorized military leave, the principal investigator of an AHA award may request that grant funds be temporarily held in an "escrow" account. These circumstances include the same reasons an employee (i.e., investigator) might take a period of family or medical leave from an employer (i.e., institution). Examples are maternity or adoption leave, leave of absence to care for an immediate family member who is seriously ill or disabled, medical leave due to personal illness or disability, or authorized military leave. These periods for holding grant funds in "escrow" are limited to 12 months.

Requests for placing grant funds in escrow must be submitted in writing by the principal investigator to the American Heart Association. The request should include a compelling rationale why the escrow is necessary. The department chairperson should co-sign the letter indicating concurrence with the escrow request.

The Research Committee will review the request and a notice of disposition will be provided to the principal investigator. The principal investigator will be expected to share the escrow disposition notice with the appropriate institutional officers. If an escrow is approved, it will be available in six-month increments, starting in either January or July. A maximum of two consecutive six month increments may be requested during the term of an award.

G. REQUESTING CHANGES TO AWARD

1. **Change of principal investigator or fellowship sponsor** – In very limited circumstances, Grant-in-Aid awardees may request a permanent change of principal investigator or a fellow may request a permanent change of sponsor. The change requires prior authorization by the Research Committee. Changes in Principal Investigator for career development awards (including but not limited to, Predoctoral and Postdoctoral Fellowships, Beginning Grant-in-Aid and Scientist Development Grants) are prohibited.

To request a change of PI or sponsor, the following documents **must** be sent to the Division of Research Administration at least 30 days prior to the proposed change:

- ? A letter from the principal investigator or fellow indicating the reason for the change, the effective date of the change, how the research project will be altered, if at all, and a statement of the proposed principal investigator's current role and activities in the research project.
- ? The department chairperson should indicate concurrence by signing the original principal investigator's letter of request.
- ? A letter from the proposed principal investigator or sponsor indicating willingness to accept responsibility for pursuance of the research project. A current curriculum vitae and bibliography must accompany this letter.

The request to change the principal investigator will be considered by the Research Committee. If approved, the new principal investigator would be required to submit a new agreement form to the AHA. If the change is not approved, the award will terminate on the date the original principal investigator ceases work on the project.

A change of principal investigator on a Grant-in-Aid is not allowed during an extension year of the grant.

A temporary change of principal investigator or sponsor is not allowed.

2. **Change of location of award (institutional transfer)** — Transfer of an award to another institution requires prior approval by the Research Committee. Some affiliates do not allow transfers outside of the geographical boundaries of the affiliate. The effective date of the transfer must be the first of the month.

The principal investigator should submit all the following material to the Division of Research Administration at least 60 days prior to the proposed transfer:

- ? **A letter of request** outlining the reasons for the transfer and indicating how the move will alter the Investigator's research plans, if at all. Concurrence should be indicated by the co-signatures of the present department chairperson and fiscal officer, or each can send separate letters.
- ? **Letters of approval** from the proposed department chairperson indicating that adequate facilities and assistance will be provided, as well as willingness of the institution to administer the award; a co-signature of the fiscal officer of that institution should be obtained.
- ? **Institutional assurances are required:**

If the research involves the use of human subjects, the following must be provided:

- ? documentation of proof of endorsement of the investigations by the committee on clinical investigation, or other clearly designated appropriate body of the sponsoring institution; and,

- ? an assurance that any research involving human subjects will conform ethically with the guidelines prescribed by the National Institutes of Health (NIH) including the provision of suitable explanation to human subjects or their guardians concerning the experimental design and all significant hazards, so that they may be in a position to provide appropriate informed consent prior to the investigations; and,
- ? a copy of the consent form to be provided to human subjects if it differs from the one submitted with the original application.

If the research involves the use of animals, the following must be provided:

- ? documentation of proof of the institution's unqualified AAALAC accreditation OR U.S. Public Health Service Animal Welfare Assurance Identification Number; and
- ? a copy of the Institutional Animal Care and Use Committee approval of the project.

If the research involves the use of biohazards, the following must be provided:

- ? documentation that the research protocol has been reviewed and approved by the institution's biohazards committee, and
- ? documentation that the research protocol conforms to NIH guidelines.

If the investigator is not able to provide the appropriate assurances with respect to the use of human subjects, animals or biohazards, a transfer to that institution will not be approved.

The Research Committee will review the request and a notice of disposition will be sent to the principal investigator, fiscal officer and department chairperson at the current institution and, if the transfer is approved, the notice of disposition will also be provided to the fiscal officer and department chairperson at the new institution.

A change of location will not be permitted during an extension year.

3. **Change of location of award (departmental transfer)** — Transfer of an award to another department within the principal investigator's institution requires prior approval by the Research Committee. The effective date of the transfer must be the first of the month.

The principal investigator should submit all the following material to the Division of Research Administration at least 60 days prior to the proposed transfer:

- ? **A letter of request** outlining the reasons for the transfer and indicating how the move will alter the Investigator's research plans, if at all. Concurrence should be indicated by the co-signature of the present department chairperson.
- ? **Letters of approval** from the proposed department chair indicating that adequate facilities and assistance will be provided, as well as willingness of the institution to administer the award; a co-signature of the fiscal officer should be obtained only if the fiscal officer will change.

The Research Committee will review the request and a notice of disposition will be sent to the principal investigator, fiscal officer and department chairperson.

4. **Change of department chairperson or fiscal officer** — The awardee must inform the Association if there is a change of department chairperson and/or fiscal officer. The new chairperson and/or fiscal officer should send a letter to the AHA indicating willingness to assume administrative and/or fiscal support for the award. If the new department chair or fiscal officer are not able or willing to provide such support, the awardee should contact the AHA to discuss appropriate options.

The awardee will be required to submit a new agreement form when a department chairperson or fiscal officer changes.

H. EARLY TERMINATION OR RESIGNATION OF AWARD

By the Awardee — An award may be terminated at any time upon written notification to the AHA. For grants, a final Expenditures Report must be submitted with a check for any free and unobligated balance as soon after award termination as possible. In the event a fellowship terminates early, any payment for salary or stipend will be prorated through the end date of the award. If monies are due to the institution, payment will be made after the final Progress Report has been submitted by the awardee and the final Expenditure Report (for grants) has been approved by AHA staff.

By the AHA — An award may be terminated by the AHA at any time within the project period because:

1. the awardee has not complied with the terms and conditions of the award, as stated in this guide,
2. a change requested by the principal investigator was not approved [for example, a change of location of the award (institutional transfer) or a change of principal investigator],
3. of awardee action that is inconsistent with the stated objectives of the program, or
4. of inadequate scientific progress by the investigator.

Upon notification by the AHA of termination, a final Expenditures Report must be submitted with a check for any free and unobligated balance, as well as a Progress Report of the work accomplished to date.

I. CONTINUATION OF SUPPORT

An applicant may submit one application to National Research programs per deadline and one application to Affiliate Research programs per deadline. Information about upcoming application deadlines can be found on our Web site at www.americanheart.org/research.

Fellows promoted to faculty/staff appointments – Recipients of postdoctoral fellowship awards may apply for an Association grant in the final year of the fellowship. Postdoctoral fellowship awardees must resign the fellowship if promoted to a staff or faculty position during the fellowship. Since the fellowship is considered a training award, a staff or faculty appointment cannot be held. (The exceptions are MD's or MD/PhD's with clinical responsibilities who hold a title of instructor or similar due to their patient care responsibilities but who devote at least 80% full-time effort to research training.) An awardee may defer the date of promotion in order to complete the fellowship.

The AHA will not consider requests for supplemental funds to cover a deficit on an award.

J. PUBLICATIONS

Since awards are made possible through voluntary contributions by the public, research results of all Association awards should be made available to the public promptly either by presentation before scientific societies or by publication in scientific journals. When completed, the results of research should be made freely available through their submission for publication in sufficient detail to allow a reader to repeat or to alter the procedure used.

Awardees should be encouraged to report to the public on both the nature and objectives of their work, as well as on actual results. They should be requested to acknowledge Association support in all publications resulting from work carried out during the tenure of their award as follows:

"THIS WORK WAS SUPPORTED BY AN AWARD FROM THE AMERICAN HEART ASSOCIATION."

K. RESEARCH PUBLICITY

Public understanding and support of cardiovascular research requires continuous reporting of the nature, objectives and results of investigative work. Investigators are urged to cooperate in such reporting. It is understood, however, that although such reporting is voluntary, it must conform to policies and procedures approved by the AHA. The following principles and procedures are followed by the AHA in publicizing investigators and studies supported through the AHA research program.

? **Investigator Approval**

All publicity must have advance approval of the awardee and the AHA. Premature release of research results can be misleading.

? **Timing of Release**

The results of an awardee's work shall not be released for publication by the AHA in the mass media before results have been published in a scientific journal or presented by the awardee at an appropriate scientific meeting.

? **Method of Release**

All publicity on AHA-sponsored research should be released to the mass media through the AHA. The media may interview the awardee, who is free to answer such inquiries, but the awardee is advised to do so subject to the condition stated in the timing section above. In all instances, the awardee must advise the AHA of his or her communications with the media.

IV. EXPENDITURE OF AWARD FUNDS

A. EXPENDITURES AND OBLIGATIONS

Expenditures and obligations must be made during the award year for which funds are allocated by the Association.

Expenditures are considered monies paid out during the award period.

Obligations include all commitments and liabilities entered into but not paid for during the award period (based on purchase orders, invoices, or other evidence of liability consistent with accounting and purchasing procedures of the grantee institution).

B. ACCOUNTING

Financial administration of an award should be in accordance with generally accepted accounting principles. Supporting records of award expenditures must be in sufficient detail to clearly indicate the nature of expenditures. The financial officer of the institution agrees to make accounting records of disbursements available to the AHA upon due notice.

C. AUDIT

The AHA may make periodic fiscal audits to determine that:

- ? accounting and fiscal procedures followed by the grantee institution provide safeguards for receipt and expenditure of award funds,
- ? reported expenditures from awards comply with the fiscal policies of the Association,
- ? proper control is maintained over equipment purchased from award funds and
- ? award fund balances are accorded the proper disposition.

D. REDUCTION OF AWARD AMOUNT

Awards may be reduced at the time of peer review of the application. If the AHA reduces the award, the information will be included in the award notification.

E. FELLOWSHIP AWARD STIPENDS AND PROJECT SUPPORT

The Association permits supplementation of the fellow's stipend. The stipend from the AHA plus the amount supplemented may not exceed 100% of the salary established by the institution for the fellow. The awarded stipend from the AHA must be used for the salary of the AHA approved fellow.

If project support is approved for the award, the funds may not be paid to the fellow as stipend. The funds must be used for allowable expenditures as indicated by the affiliate and program description.

F. REBUDGETING OF GRANT FUNDS

Funds may be rebudgeted between approved categories of the budget to enable an awardee maximum flexibility in pursuing a project. Such changes must be within established limits for specific category.

Prior authorization is required for rebudgeting the following items:

- ? Rebudgeting of award funds for the purchase of a piece of equipment costing more than \$10,000.
- ? If allowed by funding component, rebudgeting of award funds for computers and components of computer systems (including software) beyond the expense of \$5,000 requires prior AHA approval. Please consult the program description or contact Research Awards Administration.

Expenditures and obligations are limited to the amount awarded for each fiscal period. All other rebudgeting must be consistent with the allowable amounts for salary and project support. Deficit balances are not allowed.

G. TABLE AND DESCRIPTION OF ALLOWABLE AND NON-ALLOWABLE AHA EXPENDITURES

Please consult the program description for limits outlined by the affiliate for expenses that can be charged to the award. If an expense is not specifically indicated in the program description, please contact Awards Administration.

Category of Expense	Allowable on AHA Awards
Alterations and Renovations	Only if essential, prior AHA approval is required
Books, Subscriptions	No
Co-PI Salary/Fringes	No
Computers	Yes, if allowed by the affiliate
Consultative Services	May be requested
Equipment	Yes, prior AHA approval required
Expenses in Obtaining a Visa	No
Fringe Benefits/Health Insurance (on fellowship awards)	Yes, up to \$1,000 toward health insurance costs
Indirect Costs	Yes, if allowed by the affiliate and program
Malpractice Insurance	No
Membership Dues	No
Other Personnel Salary/Fringes	Yes, if allowed by the affiliate and program
Overhead (Postage, Rent, Lights, Office Furniture, Telephone, etc.)	No
Parking Fees	No
Patient Care, Hospitalization, Diagnostic Laboratory Tests	No
Patient Transportation	May be requested
Payment of Human Subjects	May be requested
Personnel Recruitment	No
PI Salary/Fringes	Yes, if allowed by the affiliate and within specified limits
Postage — Overnight Mail related to project	Yes
Publication Costs and Reprints	Yes, if allowed by the affiliate and within specified limits
Receptions and Meals	No
Scientific Meetings Abroad	No
Service Contracts	Yes
Supplies	Yes
Telephone — Long Distance related to project	Yes
Travel — Domestic	Yes, if allowed by the affiliate and program and within specified limits

Travel — Foreign	May be requested
Tuition Costs	No
Uniforms, Wearing Apparel	No

1. Alterations and Renovations

Use of award funds may be requested for limited laboratory alterations or renovation of existing facilities, but only when essential to the proposed research project. The principal investigator must submit a written request/justification for alterations and/or renovation and the approximate cost. The Research Committee will review the request and a notice of disposition on the request will be sent to the principal investigator.

2. Books and Subscriptions

The purchase of books and subscriptions to journals cannot be made with award funds.

3. Collaborating Investigator, Co-Principal Investigator Salary/Fringes

Collaborating investigators, co-principal investigators, co-investigators and other participants with faculty appointments cannot receive personal salary from project funds.

4. Computers

If allowed by the affiliate, the investigator may purchase computer equipment. Purchases of computers and related equipment in excess of set limits or not specified as allowable in the program description require prior AHA approval. The principal investigator must submit a written request/justification for the purchase of the computer/software and the approximate cost. The Research Committee will review the request and a notice of disposition will be sent to the principal investigator.

5. Consultative Services

Specialized consultative services from individuals may be requested. Individuals with or without doctoral degrees may be employed as consultants on a part-time basis when the project clearly requires these special services. The principal investigator must submit a written request/justification for the use of the services and the approximate cost. The Research Committee will review the request and a notice of disposition will be sent to the principal investigator.

6. Equipment

Equipment is defined as an item which has a primary function related to the research project and will ordinarily have a usable life expectancy of over one year, costing \$100 or more (office furniture, typewriters, word processors, etc., are not considered to have primary function to the research project). Equipment purchases must be made clearly indicating that the principal investigator will use such equipment for at least six months during the award period, which includes any authorized extension period.

Purchase of a piece of equipment requires prior AHA approval. The principal investigator must submit a written request/justification for the purchase of the equipment and the approximate cost. The Research Committee will review the request and a notice of disposition on the request will be sent to the principal investigator.

7. Expenses in Obtaining a Visa

Expenses associated with obtaining a temporary or permanent visa for personnel to work on the award is prohibited.

8. Fringe Benefits/Health Insurance (on fellowship awards)

On fellowship awards, the Association provides up to \$1,000 for health insurance costs. If your institution does not provide health insurance or it is not prohibited by your institution, you may use the \$1000 to seek outside health coverage. You must be able to provide proof of coverage to your institution to receive the designated funds.

9. Indirect Costs

If allowed by the affiliate and program, institutional indirect costs for physical plant costs may be charged up to ten percent (10%) of the total expenditures each year on awards. Indirect costs are not allowed on fellowships.

10. **Malpractice Insurance**
The premiums for malpractice insurance are not permitted.
11. **Membership Dues**
Membership dues to organizations are prohibited.
12. **Other Personnel Salary/Fringes** (for grants only)
Professional and nonprofessional personnel with or without doctorate degrees may be budgeted (including fringe benefits at the institutional rate). Advance approval is required for personnel with doctoral degrees. Total amounts and percents of time will be monitored for appropriateness to the project.

If postdoctoral personnel salary/fringes were budgeted but not named in the original application, a curriculum vitae and bibliography of the individual must be submitted to AHA as soon as the individual is named.

If no postdoctoral salary/fringes were budgeted in the original application, prior approval is required for utilizing award funds for this purpose. The principal investigator must submit a request indicating the amount of salary to be paid, amount of time to be spent on the project, and a curriculum vitae and bibliography of the individual.

Personnel, other than Principal Investigators, with faculty appointments cannot receive personal salary from the award.
13. **Overhead**
If allowed by the affiliate and program, overhead, also referred to as indirect costs, may be charged up to ten percent (10%) of the total expenditures each year on awards. Charges for standard postage meter, rental of office or laboratory space, furniture and other routine expenses are not permitted to be charged separately to the award. Overhead is not allowed on fellowships.
14. **Parking Fees**
AHA policy prohibits use of AHA award funds for parking fees.
15. **Patient Care, Hospitalization, Diagnostic Laboratory Tests**
AHA policy prohibits use of AHA award funds for services paid on a fee basis, such as diagnosis, medical and surgical treatment, laboratory studies, hospitalization, drugs or related services when those services are primarily for clinical care and not uniquely in support of the research project.
16. **Patient Transportation**
The cost of transporting patients to laboratories for special investigative tests may be requested. The principal investigator must submit a written request/justification for the payment of the patient transportation and the approximate cost. The Research Committee will review the request and a notice of disposition will be sent to the principal investigator.
17. **Payment of Human Subjects**
Unbudgeted expenditures for payment of human subjects may be requested. The request must give the unit cost per subject and the procedure to be used, and the investigator should submit a copy of the approved consent form for use in the investigation. The Research Committee will review the request and a notice of disposition on the request will be sent to the principal investigator.
18. **Personnel Recruitment**
The cost of advertising to recruit personnel for a research project is prohibited.
19. **Postage — Overnight Mail**
Overnight mail charges directly related to the project are permitted.
20. **Principal Investigator Salary/Fringes**

If allowed by the affiliate and program, award policies may allow some salary and fringe benefits for the principal investigator to be budgeted. The principal investigator salary/fringes must be consistent with the percent of investigator's total effort devoted to the research project, within specified AHA limits.

21. Publication Costs and Reprints

If allowed by the affiliate and within specified limits. Reasonable expenditures in connection with publication of results of research, including research information services and library services, and for purchase of reprints are acceptable charges during the term of the award, which includes any authorized extension period.

22. Receptions and Meals

The costs of receptions and/or meals are not permitted.

23. Scientific Meetings Abroad

Costs of registration, travel and attendance at scientific meetings in foreign countries are prohibited (see Travel – Foreign below).

24. Service Contracts

The cost of service contracts for maintenance of equipment is limited to the term of the award or the approved extension period. Charges under a service contract should be reported for each applicable fiscal period.

25. Supplies

In general, supplies are items which are consumable, expendable or of low unit cost, and are directly related to the functioning of the research project. The following are examples: chemicals, glassware, small pieces of equipment costing less than \$100, etc.

26. Telephone — Long Distance

Long Distance charges directly related to the project are permitted.

27. Travel — Domestic

Expenditures for domestic travel are allowed including travel to Mexico and Canada. Please review your affiliate program description amounts. Travel expenditures may not be in conflict with existing policies of the grantee institution. Use of travel funds is not confined to the principal investigator and may be utilized by other personnel involved in the research project. Travel expenditures may include airfare, hotel costs, meeting registration fees, etc. Carryover of any unexpended travel allowances to subsequent years is not allowed. Unexpended travel funds may be rebudgeted to other allowable project support categories or returned to the Association.

28. Travel — Foreign

Foreign travel is defined as travel to all countries outside the United States, Canada and Mexico. Use of funds for foreign travel may be authorized only if essential to the project. Travel funds are not to be used to participate in scientific meetings abroad. The Principal Investigator must submit a written request/justification for the foreign travel and the approximate cost. The Research Committee will review the request and a notice of disposition on the request will be sent to the principal investigator.

29. Tuition Costs

Tuition costs or laboratory fees for work leading to an academic degree cannot be charged against research funds.

30. Uniforms, Wearing Apparel

The cost of uniforms and other wearing apparel is prohibited.

H. CARRYFORWARD OF UNEXPENDED FUNDS

Fellowship Awards:

The project support for continuing fellowship award may be carried over from year to year without AHA approval. An extension year is not allowed for fellowship awards.

If allowed by the funding component, the fellow may reapply through the AHA's competitive application process for a third year of funding. Please check the AHA Web site for more information.

Grants:

1. **Continuing Year** — If there is a free and unobligated balance of funds of not less than \$100 nor more than \$5,000 at the end of an award year and if the principal investigator is continuing the research, these funds may be carried forward to the next fiscal year without advance approval. This action can be implemented when selecting the appropriate option on the Expenditures Report form. Amounts in excess of \$10 up to the minimum carryover of \$100 must be returned to the AHA with the Expenditures Report.

If the investigator is interested in carrying over an amount greater than \$5,000, prior approval from the AHA is required. The principal investigator must submit a request in writing when the Expenditures Report form for each year is submitted (October 1 or April 1, after the close of the award year). The Research Committee will review the request and a notice of disposition will be sent to the principal investigator.

In their final year, award recipients (except fellows) may request a twelve-month extension to use a portion of or all unexpended funds by so indicating by selecting the appropriate item on the Expenditures Report Form. The amount of the carryover must be within the permitted dollar limitations. Funds remaining at the end of an authorized extension year must be returned to the AHA. **A second extension year is not allowed.**

2. **Extension Year** — If there is a free and unobligated balance of funds inclusively between \$500 and \$5,000 at the end of the final fiscal period, such funds may be carried forward without advance approval to a twelve-month extension period if utilized for the purpose for which the award was made. This action can be implemented by selecting the appropriate option on the Expenditures Report form. Amounts up to the minimum extension carryover of \$500 and amounts in excess of \$5,000 must be returned to the AHA with the Expenditures Report.

If the investigator is interested in carrying over an amount greater than \$5,000 into an extension year, this will require prior approval from the AHA. The principal investigator must submit a request for this in writing when the final Expenditures Report form is submitted (October 1 or April 1, after the close of each award year). The Research Committee will review the request and a notice of disposition of the request will be sent to the principal investigator.

I. EXPENDITURES REPORT

Expenditures reports are generally not required for fellowships.

An Expenditures Report Form must be submitted annually for grants. Reports should be submitted no later than 90 days after the close of each award year (October 1 or April 1 depending on the award start date) or no later than 90 days after an authorized transfer of the award or early award termination. Reports submitted at the termination of an authorized extension period must be accompanied by a check for the balance of any unexpended funds. Unexpended funds of less than \$10 may be retained.

The fiscal officer of the grantee institution should include all costs charged to the award on the Expenditures Report. Principal investigator salary/fringes associated with this project must be reported.

Quarterly payments on new and continuing awards and the final payment (or some lesser amount determined by the AHA) for terminating awards will be withheld if Expenditures Reports have not been received by the due date.

J. DEFICITS

The principal investigator and the fiscal officer cannot expend funds in excess of the amount awarded for each year. Under no circumstances will the AHA allocate additional funds to cover a deficit.

Please contact Research Awards Administration at awards@heart.org if you have questions or need clarification of award policies.