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[www.americanheart.org](http://www.americanheart.org)

# Guide for Grant Awardees

**MISSION STATEMENT**

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

## GUIDE FOR GRANT AWARDEES

### PREFACE

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 governs the programs currently offered by the American Heart Association. Please refer to this guide to answer the most commonly asked questions about procedures and policies of the AHA Research Programs. Acceptance of the AHA's policies is a requirement of accepting the grant. A grantee and sponsoring institution accept the AHA's grant by submitting an Award Agreement form.

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 grant funds for the research purposes set forth in the application and in accordance with all regulations and policies governing the grant programs of the American Heart Association, Inc.

Award forms are available via our Online Awards Administration system:  
<https://home.heart.org/OLAwardsAdmin/>

Requests for forms, policy information and additional inquiries may be sent to:

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

Phone: (214) 360-6120, 6118, 6121  
Fax: (214) 360-6124  
E-mail: [awards@heart.org](mailto:awards@heart.org)

AHA's Home Page: <http://www.americanheart.org>

**Guides are revised annually and placed on the World Wide Web. Please obtain a revised guide for your award each year in December. Award information may be found at [www.americanheart.org/research](http://www.americanheart.org/research)**

## TABLE OF CONTENTS

<b>PREFACE</b>	<b>Page</b>
<b>I. DEFINITION OF TERMS</b>	
A. AHA Program Overview .....	1
1. Fellow-to-Faculty Transition Award .....	1
2. Scientist Development Grant .....	1
3. Established Investigator Grant .....	1
4. Established Investigator Award .....	2
5. Grant-in-Aid .....	2
B. Principal Investigator .....	2
C. Collaborating Investigator .....	2
D. Grantee Institution .....	2
E. Grants/Sponsored Programs Officer .....	3
F. Fiscal Officer .....	3
G. Payment Recipient .....	3
<b>II. CONDITIONS FOR AWARD SUPPORT</b>	
A. Citizenship/Visa Requirements .....	3
B. Alternative/Overlapping Funding .....	3
B. Concurrent Awards .....	3
C. Submission of Award Activation Forms .....	4
D. Modification of Award Terms .....	4
E. Ethical Aspects of Research with Human Subjects and Animals .....	4
1. Humans .....	4
2. Animals .....	4
3. Biohazards .....	4
F. Standards on Falsification of Scientific Data, Plagiarism and Scientific Misconduct .....	4
G. Proprietary Research .....	6
H. Patent, Intellectual Property and Technology Transfer Policy .....	6
I. Liability .....	8
J. Investigator Financial Disclosure Policy .....	8
<b>III. LIFE CYCLE OF AN AHA AWARD</b>	
A. Notice of Award .....	8
B. Award Activation Forms .....	8
1. Acceptance Form .....	9
2. Award Agreement Form .....	9
3. Medical Subjects Heading Form (MeSH) .....	9
4. Subject Use Form .....	9
5. Lay Research Summary .....	9
6. Grantee Release Form .....	9
7. Initial Budget .....	9
B. Cooperative Research Funding .....	9
D. Location of Work .....	10
E. Percentage Effort .....	10
F. Payment Method .....	10
G. Reporting Requirements .....	10
H. Title to Equipment .....	11
I. Interruption of Award .....	11
1. Vacation .....	11
2. Absence From Work .....	11

3.	Working Leave of Absence.....	11
4.	Escrow.....	12
J.	Changes to Award.....	12
1.	Change of Principal Investigator.....	12
2.	Change of Location of Award —Institutional Transfer.....	12
3.	Change of Location of Award —Departmental Transfer.....	13
4.	Change of Project Design.....	14
5.	Change of Department Chairperson or Fiscal Officer.....	14
K.	Publications.....	14
L.	Research Publicity.....	14
M.	Early Termination or Resignation of Award.....	14
N.	Continuation of Support.....	15

#### IV. EXPENDITURE OF AWARD FUNDS

A.	Expenditures and Obligations.....	15
B.	Accounting.....	15
C.	Audit.....	16
D.	Amount of Award (Table).....	17
E.	Reduction of Award Amount.....	18
F.	Indirect Costs.....	18
G.	Rebudgeting of Funds.....	18
H.	Allowable and Non-Allowable AHA Expenditures (Table).....	18
I.	Description of Allowable and Non-Allowable Expenditures.....	19
1.	Alterations and Renovations.....	19
2.	Books/Subscriptions.....	19
3.	Collaborating and Co-Principal Investigator Salary/Fringes.....	19
4.	Computers.....	19
5.	Consultative Services.....	19
6.	Equipment.....	19
7.	Expenses in Obtaining a Visa.....	19
8.	Indirect Costs.....	20
9.	Malpractice Insurance.....	20
10.	Membership Dues.....	20
11.	Other Personnel Salary/Fringes.....	20
12.	Overhead.....	20
13.	Parking Fees.....	20
14.	Patient Care, Hospitalization, Diagnostic Laboratory Tests.....	20
15.	Patient Transportation.....	20
16.	Payment of Human Subjects.....	20
17.	Personnel Recruitment.....	20
18.	Postage — Overnight Mail.....	20
19.	Principal Investigator Salary/Fringes.....	20
20.	Publication Costs/Reprints.....	21
21.	Receptions and Meals.....	21
22.	Scientific Meetings Abroad.....	21
23.	Service Contracts.....	21
24.	Supplies.....	21
25.	Telephone — Long Distance.....	21
26.	Travel — Domestic.....	21
27.	Travel — Foreign.....	21
28.	Tuition Costs.....	21
29.	Uniforms, Wearing Apparel.....	21
J.	Carryforward of Unexpended Funds.....	21
1.	Continuing Year.....	21
2.	Extension Year.....	22
K.	Expenditures Report.....	22
L.	Deficits.....	22



## I. DEFINITION OF TERMS

### A. AHA PROGRAM OVERVIEW

#### 1. Fellow-to-Faculty Transition Award

The objective of the Fellow-to-Faculty Transition Award is to provide funding for beginning physician-scientists with outstanding potential for careers in cardiovascular and stroke research during the crucial period of career development spanning the completion of research training through the early years of the first faculty/staff position.

The Fellow-to-Faculty Transition award may not be held concurrently with another American Heart Association award (National or Affiliate). Exception: a Fellow to Faculty Transition Award recipient may apply for and receive an affiliate Beginning Grant-in-Aid or Grant-in-Aid during the faculty phase. The awardee may request only project support for these AHA grants, since the Fellow to Faculty Transition Award provides significant salary support. Current or prior recipients of a Scientist Development Grant or Established Investigator Award (National or Affiliate) are not eligible. Prior or current recipients of any NIH K-series awards are not eligible.

At application, candidate must be U.S. citizen or foreign national holding a permanent residence visa (e.g., in possession of an alien registration receipt card), temporary worker in a specialty occupation (H-1B), NAFTA professionals (TN), or temporary worker with extraordinary abilities in the sciences (O-1). Individuals with J1 visas are not eligible.

Exception: Postdoctoral applicants who are outside the U.S. at time of application, and who meet all other eligibility requirements for the Fellow-to-Faculty Transition Award, must provide visa documentation prior to award activation.

#### 2. Scientist Development Grant

The objective of the Scientist Development Grant is to support highly promising beginning scientists in their progress toward independence by encouraging and adequately funding research projects that can serve to bridge the gap between completion of the research training and readiness for successful competition as an independent investigator.

At award activation, Scientist Development Grant awardees cannot hold nor have held any other national awards. National level funding is extramural support for more than one year at a level greater than \$95,000 per year in direct costs. Additionally, an SDG and a NIH K-series award cannot be held concurrently.

Principal investigators are U.S. citizen, permanent resident, temporary worker in a specialty occupation (H-1B), NAFTA professionals (TN), temporary worker with extraordinary abilities in the sciences (O-1). J-1 visa holders may apply, but must have an H-1B or equivalent by the activation date. If the H-1B or equivalent is not received by the award activation date, the award must be relinquished.

#### 3. Established Investigator Grant (activated July 2002 and prior)

The objective of the Established Investigator Grant is to support the career development of highly promising clinician-scientists and PhD's who have recently acquired independent status by encouraging and adequately funding high quality, innovative research projects for which financial support has not been previously obtained from any other research granting agency.

Established Investigator Grant awardees who have completed or currently hold an NIH Research Career Development Award, Independent Scientist Award or an equivalent award from another organization are not eligible to apply. The grantee is expected to notify the AHA of the receipt of a career development award or other comparable award and relinquish the Established Investigator Grant.

Principal Investigators are United States citizens or foreign nationals holding one of the following visa immigration statuses: permanent resident, exchange visitor (J-1), temporary worker in a specialty occupation (H-1, H-1B), Canadian or Mexican citizen engaging in professional activities (TC or TN), temporary worker with extraordinary abilities in the sciences (O-1).

#### **4. Established Investigator Award** (activated January 2003 and after)

The objective of the Established Investigator Award is to support mid-term investigators with unusual promise and an established record of accomplishments; candidates have a demonstrated commitment to cardiovascular or cerebrovascular science as indicated by prior publication history and scientific accomplishments. A candidate's career is expected to be in a rapid growth phase.

Established Investigator Awards are not intended to supplement or duplicate currently funded work. Although the project submitted cannot have scientific overlap of aims with other funded work, it can represent a logical extension of current work. Applications from current or past recipients of Association advanced investigatorships (such as the Established Investigatorship or Established Investigator Grant) are not eligible.

Principal investigators must be United States citizens or foreign nationals holding one of the following visa immigration statuses: permanent resident, exchange visitor (J-1), temporary worker in a specialty occupation (H-1B), Canadian or Mexican citizen engaging in professional activities (TN), temporary worker with extraordinary abilities in the sciences (O-1). Noncitizens must submit proof of possession of a J-1, H-1B, TN or O-1 visa, or permanent resident status.

#### **5. Grant-in-Aid**

The purpose of the Grant-in-Aid is to encourage and adequately fund the most innovative and meritorious research projects from independent investigators.

Grant-in-Aid awards are not intended to supplement or duplicate currently funded work. The awardee is expected to notify the AHA of the receipt of an alternative award and relinquish the Grant-in-Aid.

Principal investigators are United States citizens or foreign nationals who hold an exchange visitor, temporary worker in a specialty occupation or permanent residence visa.

Award recipients must meet AHA citizenship criteria throughout the duration of their awards, including any approved extension period.

### **B. 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.

### **C. COLLABORATING INVESTIGATOR**

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

### **D. GRANTEE INSTITUTION**

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

## **E. 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.

## **F. FISCAL OFFICER**

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

## **G. PAYMENT RECIPIENT**

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

## **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.

### **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. (See section III, B for more information.)

#### **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 investigator 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 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 grant 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 grant 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.

#### B. AWARD ACTIVATION FORMS

Documentation must be submitted by the principal investigator in order to activate an award. All forms except the Award Agreement form and the Grantee Release form should be submitted electronically by the principal investigator through the Online Awards System at <https://home.heart.org/OLAwardsAdmin/> prior to the award activation date. AHA awards activate twice a year on January 1 and July 1.

Form	Purpose	Date due to the AHA
Acceptance Form	Indicates acceptance of the award and contingencies/concerns of acceptance	December for January 1 activations June for July 1 activations
Award Agreement Form (submit on paper)	Contract between the AHA, the awardee and grantee institution	Prior to January 1 or July 1, or within 30 days of an approved transfer or change of principal investigator
MeSH Research Form	Classifies the research by scientific category	Prior to activation date of January 1 or July 1
Subject Use Form	Identifies the subjects and sources used in the research	Prior to activation date of January 1 or July 1
Lay Research Summary	Describes the research in layman's terms	Prior to activation date of January 1 or July 1
Grantee Release Form (submit on paper)	Permits the AHA to share demographic information within the Association	Prior to activation date of January 1 or July 1
Initial Budget	Provides a detailed list of proposed project expenses	Prior to activation date of January 1 or July 1

#### C. COOPERATIVE RESEARCH FUNDING

The American Heart Association frequently joins in partnership with other funding sources such as local AHA affiliates, private foundations, individual donors or corporations to share support for projects of excellent scientific merit.

Please be aware that awardees may be offered the opportunity to be sponsored by an external funding source. Awardees whose projects are selected for co-sponsorship are contacted directly by AHA staff to review these guidelines. The Research Committee suggests that all awardees discuss the possibility of co-sponsorship with their Department Chair or other appropriate institutional officer in the interim. Acceptance of co-sponsorship is not a requirement for receipt of an AHA award.

The following guidelines have been developed by the Research Committee and are uniformly applied to all grantees selected for co-sponsorship of their AHA awards.

If corporately sponsored, the awardee will be designated as an **AHA-(name of sponsor) Grant** awardee.

? Acknowledgment of AHA-(name of sponsor) support in any publication or presentation resulting from this grant should be as follows: "This work was done during the term of a Grant from the American Heart Association and (name of sponsor)."

- ? Awardees are provided an opportunity to meet with corporate sponsor representatives as seems appropriate and beneficial.
- ? Upon request, the sponsor may be provided with an abstract of the application and summaries of progress, which may be circulated internally upon receipt of appropriate confidentiality assurances.
- ? The sponsor may publish the awardee's name, project title and institutional affiliation except in purchased media advertising.

Consistent with the invention and discovery policies of your institution and the AHA, which govern all funded grantees regardless of sponsorship, the corporate sponsor has the right of first discussion around potential inventions or discoveries as a result of the AHA award.

- ? The content of the co-sponsored awardee's application will be treated confidentially.
- ? There will be no sponsor direction of the scientific investigation.
- ? Awardee ideas and intellectual products will be protected through appropriate confidentiality assurances.

#### **D. LOCATION OF WORK**

Grants are awarded 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 grantee 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.

Grants for research to be performed outside the United States are limited to Principal Investigators who are United States citizens.

Awardees, who are US citizens, may request AHA approval to temporarily conduct work in foreign countries (e.g., outside US, Canada and Mexico) with AHA grant funds to be administered through the investigator's sponsoring US institution.

#### **E. PERCENTAGE EFFORT**

Fellow-to-Faculty Award recipients are expected to devote more than 80% (percent) full-time equivalent effort to research or activities directly related to their development into independent researchers, as opposed to administrative, patient care, or teaching responsibilities. During the faculty component of the award, 75% (percent) full-time equivalent effort to research is required.

Scientist Development Grant and Established Investigator Grant awardees are expected to devote an amount of time to the project that is appropriate for achieving the aims of the original proposal. Percentage effort on the project may be changed during the term of the award with prior AHA approval.

Established Investigator Award recipients have no minimum percent effort requirements.

Grant-in-Aid awardees are expected to devote a minimum of ten percent (10%) of total effort to the research project. Reductions to the minimum of ten percent require prior AHA approval.

#### **F. 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.

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.

## G. REPORTING REQUIREMENTS

Progress Reports — A Progress Report is a scientific or technical report of work accomplished submitted by the principal investigator annually by December 15 for awards with a January 1 start date, or June 15 for awards with a July 1 start date.

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 April 1 for awards with a January 1 start date and by October 1 for awards with a July 1 start date.

Reports should be submitted electronically via the AHA Online Awards Administration System at <https://home.heart.org/OLAwardsAdmin/>.

**Award payments will be withheld if these reports 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.**

TYPE OF FORM	DATE DUE TO THE AHA
Progress Report Form	December 15 for awards beginning January 1, June 15 for awards beginning July 1, or within 30 days following an early award termination
Expenditures Report Form	April 1 for awards beginning January 1, October 1 for awards beginning July 1, or within 90 days after a transfer, or early award termination

## H. TITLE TO EQUIPMENT

Title to equipment purchased with AHA grant 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 grant, which includes any authorized extension.

If the AHA approves the transfer of a grant 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 grant termination.

## I. INTERRUPTION OF AWARD

It is occasionally necessary or desirable for the grantee to interrupt the work on the grant. Several provisions for interruption of the grant exist.

- Vacation** — If it is not in conflict with the institution's policy, a 30-day vacation is allowed during each year of the grant.
- Absence from work** — Grantees 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 grantee is unable to communicate with the AHA due to illness or accident, the department chairperson can submit the request on the grantee's behalf. The grant 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. **Escrow** — 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 to the American Heart Association in writing by the principal investigator, and the request must be authorized by both the Department Head and the appropriate institutional officer. A copy of the Family and Medical Leave request and approval from the institution must be submitted to the AHA, if applicable.

All requests are subject to review by AHA staff and/or the Research Committee. The outcome of the request will be communicated to the awardee. If the request is approved, all payments for the award will be suspended until the escrow period is terminated and the principal investigator resumes active research on the project.

## J. CHANGES TO AWARD

1. **Change of principal investigator** — Fellow-to-Faculty Transition Award, Scientist Development Grant, Established Investigator Grant and Established Investigator Award recipients are not permitted to request a change of principal investigator.

In very limited circumstances, Grant-in-Aid awardees may request a permanent change of principal investigator. However, the change requires prior authorization by the Research Committee. The following documents **must** be sent to the Division of Research Administration at least 60 days prior to the proposed change:

- ? A letter from the principal investigator 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 or by submitting a separate letter.

- ? A letter from the proposed principal investigator indicating willingness to accept responsibility for pursuance of the grant 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 is not allowed during an extension year of the grant. A temporary change of principal investigator is not allowed.

2. **Change of location of award (institutional transfer)** — Transfer of a grant to another 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-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 grantee 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 a grant 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 project design** — Although grants are awarded on the basis of specific research proposals, strict adherence to the proposed outlines is not demanded. In fact, the AHA encourages modification in design of projects as new research opportunities develop. One of the primary goals of the AHA's research program is to encourage and protect the academic and scientific freedom of its investigators. However, the AHA must be notified of major changes in the direction or content of the original research proposal.
5. **Change of department chairperson or fiscal officer** — The grantee 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 grant. 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 grantee will be required to submit a new agreement form when a department chairperson or fiscal officer changes.

## K. 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."**

## L. 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.

**1. Investigator Approval**

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

**2. 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.

**3. 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.

**M. EARLY TERMINATION OR RESIGNATION OF AWARD**

1. By the Grantee — A grant may be terminated at any time upon written notification to the AHA. A final Expenditures Report must be submitted with a check for any free and unobligated balance as soon after award termination as possible. If monies are to be due the institution, payment will be made after the final Progress Report has been submitted by the investigator and the final Expenditure Report has been approved by AHA staff.
2. By the AHA — A grant may be terminated by the AHA at any time within the project period because:
  - a. the grantee has not complied with the terms and conditions of the grant, as stated in the award agreement or this guide,
  - b. a change requested by the principal investigator was not approved (for example, a change of principal investigator or a change of location of the grant/institutional transfer),
  - c. of grantee action that is inconsistent with the stated objectives of the program,
  - d. 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.

**N. CONTINUATION OF SUPPORT**

An awardee may hold only one Association award at a time with the exception noted for the Fellow-to-Faculty Transition award during the faculty phase. (See section I, A, 1 for more information).

Scientist Development Grants are non-renewable. Awardees may apply for an Established Investigator Award or an affiliate Grant-in-Aid in the final year of the award.

Established Investigator Grants and Established Investigator Awards are non-renewable. Awardees may apply for an affiliate Grant-in-Aid in the final year of the award.

The National Research Program no longer offers the Grant-in-Aid program. Current Grant-in-Aid awardees may submit a new Grant-in-Aid application on a different project — not a renewal — to their local AHA affiliate in the final year of the award.

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

#### **IV. EXPENDITURE OF AWARD FUNDS**

##### **A. EXPENDITURES AND OBLIGATIONS**

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

Expenditures are considered monies paid out during the grant period.

Obligations include all commitments and liabilities entered into but not paid for during the grant 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 a grant should be in accordance with generally accepted accounting principles. Supporting records of grant 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 grant funds,
- ? reported expenditures from grants comply with the fiscal policies of the Association,
- ? proper control is maintained over equipment purchased from grant funds and
- ? grant fund balances are accorded the proper disposition.

**D. AMOUNT OF AWARD (TABLE)**

<b>Program</b>	<b>Fellow-to-Faculty Transition Award</b>	<b>Scientist Development Grant</b>	<b>Established Investigator Grant</b> (activated July 2002 and prior)	<b>Established Investigator Award</b> (activated January 2003 or after)	<b>Grant-in-Aid</b>
<b>Grant Duration</b>	Up to 5 years	Up to 4 years	Up to 4 years	Up to 5 years	Up to 3 years
<b>Total Annual Grant Amount</b>	<u>Training portion:</u> \$65,000 per year for 1-3 years of training, no indirect costs. <u>Faculty portion:</u> \$132,000 per year for 2-3 years, <u>including</u> 10% indirect costs.	\$65,000 <u>including</u> 10% indirect costs	\$75,000 <u>including</u> 10% indirect costs	\$100,000 including 10% indirect costs	\$71,500 <u>including</u> 10% indirect costs
<b>PI Salary/ Fringes and Indirect Costs</b>	<u>Training portion:</u> Up to \$50,000/yr or NIH scale maximum, no indirect costs. <u>Faculty portion:</u> Up to \$90,000/yr, and 10% indirect costs of the total annual award.	Up to \$30,000 for Principal Investigator salary/fringes, and 10% indirect costs of the total annual award	Up to \$35,000 for Principal Investigator salary/fringes, and 10% indirect costs of the total annual award	Use of funds is unrestricted in accordance with institutional and AHA policies.	Up to \$32,500 for Principal Investigator salary/fringe
<b>Project Support</b>	<u>Training portion:</u> Up to \$10,000/yr project support, and \$5,000/yr mentor support <u>Faculty portion:</u> Up to \$25,000/yr project support, and \$5,000/yr mentor support	At least \$35,000 for project support	At least \$40,000 for project support	Use of funds is unrestricted in accordance with institutional and AHA policies. Indirect costs not to exceed 10%.	Up to \$32,500 for project support and 10% indirect costs of the total annual award
<b>Maximum Award Amount</b>	<b>\$593,000</b>	<b>\$260,000</b>	<b>\$300,000</b>	<b>\$500,000</b>	<b>\$214,500</b>

## E. REDUCTION OF AWARD AMOUNT

Awards may be reduced at the time of peer review of the application. If the project support portion of the budget was reduced, and the reduction lowers the project support levels below the minimum requirements, the AHA will revise project support budget resulting in the maintenance of the required minimum of project support. Funds will be rebudgeted from the Principal Investigator's salary category to project support.

## F. INDIRECT COSTS

The Association will permit up to ten percent (10%) of the total grant expenditures each year to be used to defray indirect cost expenses related to the awards. (Exception: indirect costs are not allowed during the fellowship research training phase of Fellow-to-Faculty Transition Awards).

Indirect costs charges are for the use of the grantee institution and may be taken only at the time an amount is properly charged to the grant.

## G. REBUDGETING OF FUNDS

**Prior authorization** is required for rebudgeting the following items:

- ? Rebudgeting of grant funds for the purchase of a piece of equipment totaling more than twenty-five percent (25%) of the annual project support budget.
- ? Rebudgeting of grant funds for computers and components of computer systems (including software) beyond a one-time expense of \$5,000, requires prior AHA approval.

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 except under the following special circumstances. A Principal Investigator in a national research program may submit a request to carry a deficit balance under special circumstances (e.g., purchase of equipment). The request must be submitted in advance of incurring the deficit balance and must be reviewed by the AHA Research Committee before a deficit balance is incurred.

## H. ALLOWABLE AND NON-ALLOWABLE AHA EXPENDITURES (TABLE)

<b>Category of Expense</b>	<b>Allowable on AHA Awards</b>
<b>Alterations and Renovations</b>	Only if essential, prior AHA approval is required
<b>Books, Subscriptions</b>	No
<b>Co-PI Salary/Fringes</b>	No
<b>Computers</b>	Yes, prior AHA approval required for over \$5,000
<b>Consultative Services</b>	May be requested
<b>Equipment</b>	Yes, prior AHA approval required for over 25% of annual project support
<b>Expenses in Obtaining a Visa</b>	No
<b>Indirect Costs</b>	Up to 10% of total annual expenditures
<b>Malpractice Insurance</b>	No
<b>Membership Dues</b>	No
<b>Other Personnel Salary/Fringes</b>	Yes, personnel with doctorate degrees must be approved by AHA
<b>Overhead (Postage, Rent, Lights, Office Furniture, Telephone, etc.)</b>	See Indirect Costs
<b>Parking Fees</b>	No
<b>Patient Care, Hospitalization, Diagnostic Laboratory Tests</b>	No
<b>Patient Transportation</b>	May be requested

<b>Payment of Human Subjects</b>	May be requested
<b>Personnel Recruitment</b>	No
<b>PI Salary/Fringes</b>	Yes, within specified limits
<b>Postage — Overnight Mail related to project</b>	Yes
<b>Publication Costs and Reprints</b>	Yes
<b>Receptions and Meals</b>	No
<b>Scientific Meetings Abroad</b>	No
<b>Service Contracts</b>	Yes
<b>Supplies</b>	Yes
<b>Telephone — Long Distance related to project</b>	Yes
<b>Travel — Domestic</b>	Yes, up to \$2,000 per year
<b>Travel — Foreign</b>	May be requested
<b>Tuition Costs</b>	No
<b>Uniforms, Wearing Apparel</b>	No

## I. DESCRIPTION OF ALLOWABLE AND NON-ALLOWABLE EXPENDITURES

### 1. Alterations and Renovations

Use of grant 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 grant 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

Computer purchases are permitted up to an expense of \$5,000 over the term of the award. Purchases in excess of \$5,000 will 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 grant period, which includes any authorized extension period.

Purchase of a piece of equipment where costs exceed twenty-five percent (25%) of the amount budgeted for project support in any fiscal year 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 grant is prohibited.

**8. Indirect Costs**

Institutional indirect costs for physical plant costs may be charged up to ten percent (10%) of the total expenditures each year.

**9. Malpractice Insurance**

The premiums for malpractice insurance are not permitted.

**10. Membership Dues**

Membership dues to organizations are prohibited.

**11. Other Personnel Salary/Fringes**

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 grant 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.

**12. Overhead**

Overhead, also referred to as indirect costs, may be charged up to ten percent (10%) of the total expenditures each year. 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 grant.

**13. Parking Fees**

AHA policy prohibits use of AHA grant funds for parking fees.

**14. Patient Care, Hospitalization, Diagnostic Laboratory Tests**

AHA policy prohibits use of AHA grant 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.

**15. 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.

**16. 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.

**17. Personnel Recruitment**

The cost of advertising to recruit personnel for a research project is prohibited.

**18. Postage — Overnight Mail**

Overnight mail charges directly related to the project are permitted.

**19. Principal Investigator Salary/Fringes**

Grant policies 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.

**20. Publication Costs and Reprints**

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 grant, which includes any authorized extension period.

**21. Receptions and Meals**

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

**22. Scientific Meetings Abroad**

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

**23. Service Contracts**

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

**24. 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.

**25. Telephone — Long Distance**

Long Distance charges directly related to the project are permitted.

**26. Travel — Domestic**

Expenditures for domestic travel are limited to \$2,000 for each grant year. Includes travel to Mexico and Canada. 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. Carryover of any unexpended travel allowances to subsequent years is not allowed. Unexpended travel funds should be rebudgeted to other allowable project support categories or returned to the Association.

**27. 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.

**28. Tuition Costs**

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

**29. Uniforms, Wearing Apparel**

The cost of uniforms and other wearing apparel is prohibited.

**J. CARRYFORWARD OF UNEXPENDED FUNDS**

In their final year, grantees 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. (These dollar limitations are below.) Funds remaining at the end of an authorized extension year must be returned to the AHA. **A second extension year is not allowed.**

1. **Continuing Year** — If there is a free and unobligated balance of funds of not less than \$100 nor more than \$10,000 at the end of a grant period 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 \$10,000, 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 (April 1, after the close of the grant year). The Research Committee will review the request and a notice of disposition will be sent to the principal investigator.

2. **Extension Year** — If there is a free and unobligated balance of funds inclusively between \$500 and \$10,000 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 grant 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 \$10,000 must be returned to the AHA with the Expenditures Report.

If the investigator is interested in carrying over an amount greater than \$10,000 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 (April 1, after the close of each grant year). The Research Committee will review the request and a notice of disposition of the request will be sent to the principal investigator.

## K. EXPENDITURES REPORT

Reports should be submitted no later than 90 days after the close of each annual grant period, 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. Expenditures Report forms and instructions are available via the AHA's online awards administration system at <https://home.heart.org/OLAwardsAdmin/>.

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

**Quarterly payments on continuing grants 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. All withheld award payments revert back to the AHA if the AHA has not received all reports six months after the award period ends.**

## L. DEFICITS

The principal investigator and the fiscal officer cannot expend funds in excess of the amount awarded for each year. Deficit balances are NOT ALLOWED except under the following special circumstances. A Principal Investigator in a national research program may submit a request to carryover a deficit balance in special instances (e.g., purchase of equipment). The request must be submitted in advance of incurring the deficit balance and must be reviewed by the AHA Research Committee before a deficit balance is incurred. .

Please contact Research Awards Administration at [awards@heart.org](mailto:awards@heart.org) if you have questions or need clarification of award policies.

## INDEX

### -A-

Absence from Work 11  
Acceptance Form 8  
Accounting 15  
Allowable and Non-Allowable  
Expenditures (table) 17  
Alterations and Renovations 18  
Alternative Funding 3  
Amount of Award 16  
Audit 15  
Award Activation Forms 8-9

### -B-

Books/Subscriptions 18

### -C-

Carryforward of Unexpended Funds 20  
Change of Principal Investigator 12  
Changes to Award 12-14  
Change of Location of Award 12-13  
Collaborating Investigator 2  
Collaborating Investigator Salary/Fringes 17, 18  
Computers 17, 18  
Concurrent Awards 3  
Consultative Services 17, 18  
Continuation of Support 15  
Cooperative Research Funding 9

### -D-

Deficits 21  
Department Chair, Change of 13  
Diagnostic Laboratory Tests 17, 19

### -E-

Early Resignation or Termination 14  
Effort, Percent of 10  
Equipment, 17, 18  
Title to 11  
Escrow 11  
Established Investigator Award 2, 10, 15, 16  
Established Investigator Grant 1, 10, 15, 16  
Ethical Aspects 4  
Expenditures and Obligations 15  
Expenditures  
Allowed and Not Allowed 17-20  
Expenditures Report 10, 21  
Expenses in Obtaining a Visa 17, 18  
Extension of Grant 21

### -F-

Fellow-to-Faculty  
Transition Award 1, 10, 15, 16  
Fiscal Officer 3  
Fiscal Officer, Change of 13

### -G-

Grant-in-Aid 2, 10, 15, 16  
Grantee Institution 2

### -H-

Hospitalization 17, 19

### -I-

Indirect Costs 16, 17, 18  
Interruption of Award 11  
Investigatory Financial Disclosure  
Policy 8

### -L-

Liability 8  
Location of Work 9

### -M-

Malpractice Insurance 17, 19  
Membership Dues 17, 19  
Method of Payment 10  
Modification of Award Terms 3

### -N-

Notice of Award 8

### -O-

Other Personnel Salary/Fringes 17, 19  
Overhead 17, 19

### -P-

Parking Fees 17, 19  
Patent, Intellectual Property &  
Technology Transfer Policy 6-8  
Patient Care 17, 19  
Patient Transportation 17, 19  
Payment of Human Subjects 17, 19  
Payment Method 10  
Payment Recipient 3  
Percentage Effort 10  
Personnel Recruitment 17, 19  
Plagiarism 4-6  
Postage — Overnight Mail, 17, 19  
Principal Investigator 2  
Principal Investigator, Change of 12  
Principal Investigator Salary/Fringes 16, 17, 19  
Project Design, Change of 13  
Progress Reports 10  
Proprietary Research 6  
Publications 14  
Publication Costs 17, 20  
Publicity 14

### -R-

Rebudgeting of Funds 17  
Receptions and Meals 17, 20  
Reduction of Award Amount 17  
Reporting Requirements 10  
Reprints 17, 20  
Research Publicity 14  
Resignation 14

**-S-**

Scientific Meetings Abroad 18, 20  
Scientist Development Grant 1, 10, 15, 16  
Service Contracts 18, 20  
Standards on Falsification of Scientific Data,  
Plagiarism, and Scientific Misconduct 4-6  
Submission of Award Forms 3  
Supplies 18, 20

**-T-**

Telephone — Long Distance 18, 20  
Termination of Award  
By the Grantee 14  
By the AHA 14  
Title to Equipment 11  
Transfer of Award 12-13  
Travel  
Domestic 18, 20  
Foreign 18, 20  
Tuition Costs 18, 20

**-U-**

Uniforms, Wearing Apparel 18, 20

**-V-**

Vacation 11

**-W-**

Working Leave of Absence 11