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

# Guide for National Research Awards

November 2014

**MISSION STATEMENT**

**THE AMERICAN HEART ASSOCIATION IS  
BUILDING HEALTHIER LIVES,  
FREE OF CARDIOVASCULAR DISEASES AND STROKE.**

# GUIDE FOR NATIONAL AWARDS

## PREFACE

The American Heart Association (AHA) welcomes you as a recent recipient of an AHA Award. 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 the 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 National 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 National Research Programs. The research administration practices outlined in this manual cover only those Award programs outlined in this document. Acceptance of the AHA's policies is a requirement of accepting the Award. An Awardee and Institution accept the AHA's Award by signing an Award Agreement.

This guide has been prepared to assist Principal Investigators and other authorized institutional officials with the specific terms and conditions applicable to AHA 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 programs of the American Heart Association, Inc.

The AHA has implemented a web-based system, [Grants@Heart](#), to manage the Application, peer review and Awards processes. The system is accessible 24/7 from any location with internet connection. This secure site requires all users to have a username and password for access.

Help documents may be found in the Links option in the "My Dashboard" section at the top of every page in Grants@Heart. The documents are specific to the user profile you are using in Grants@Heart. The help documents are intended to assist you in navigating the Grants@Heart system.

An Award is bound by the terms and limitations under which it was activated unless otherwise indicated by the American Heart Association. AHA Awards are managed by state; please see page 24 of the guide for staff contact information.

Requests for forms, policy information and additional inquiries may be directed to: [awards@heart.org](mailto:awards@heart.org). Our mailing address is:

Awards Administration  
Division of Research Administration  
American Heart Association, Inc.  
7272 Greenville Avenue  
Dallas, Texas 75231-4596  
AHA's Home Page: [www.heart.org](http://www.heart.org)  
[Awards@heart.org](mailto:Awards@heart.org)  
Fax: (214) 706-1969

Guides are revised annually and placed on the web. Please look for an updated guide for your Award each year in December. Research information may be found at <http://my.americanheart.org/professional/research.jsp>.

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## I. AHA PROGRAM OVERVIEW

The AHA funds research broadly related to cardiovascular function and disease, stroke or to related clinical, basic science, and public health problems and all basic disciplines as well as epidemiological, community and clinical investigations that bear on cardiovascular and stroke problems. The Association grants Awards to selected Institution to support research efforts in these areas. Following are brief descriptions of programs offered by the National Center. For a detailed descriptions of the programs offered and their eligibility requirements; please visit the 'Funding Opportunities' section of the Research page on [www.my.americanheart.org](http://www.my.americanheart.org).

### A. 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 Awards, 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 National Institutes of Health (NIH) K-series Awards are not eligible.

### B. Mentored Clinical & Population Research Award

The objective of the Mentored Clinical & Population Research Award is to encourage early career investigators who have appropriate and supportive mentoring relationships to engage in high quality introductory and pilot clinical studies that will guide future strategies for reducing cardiovascular disease and stroke while fostering new research in clinical and translational science, and encouraging community- and population-based activities.

Individuals are not eligible to be the Principal Investigator for the clinical program if they hold or have held certain NIH Awards (such as RO1, R21, PO1), certain AHA Awards (Beginning Grant-in-Aid, Scientist Development Grant, Established Investigator Award, Grant-in-Aid), or Awards equivalent to any of the above (an independent investigator Award).

### C. Scientist Development Grant

The objective of the Scientist Development Grant (SDG) 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 level Award. 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.

### D. Established Investigator Award

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.

Current or past recipients of association advanced investigatorships (such as the Established Investigatorship or Established Investigator Grant) are not eligible.

### **E. Innovative Research Grant**

The objective of the Innovative Research Grant is to support highly innovative, high-risk, high-reward research that could ultimately lead to critical discoveries or major advancements that will accelerate the field of cardiovascular and stroke research.

Awards may be held concurrently with an Association Fellow-to-Faculty Transition Award, Clinical Research Program Award, Beginning Grant-in-Aid, Scientist Development Grant, Established Investigator Award or Grant-in-Aid.

### **F. Collaborative Sciences Award**

The objective of the Collaborative Science Award is to foster innovative, new collaborative approaches to research projects which propose novel pairings of investigators from at least two broad disciplines. The proposal must focus on the collaborative relationship, such that the scientific objectives could not be achieved without the efforts of at least two co- principal investigators and their respective disciplines. The combination and integration of studies may be inclusive of basic, clinical, population and/or translational research.

### **G. Mentor/AHA Mentee**

The objective of the Mentor/AHA Mentee award is to provide enhanced mentoring opportunities to early-career faculty from experts within fields of study important to their career development. Mentoring may be accomplished face-to-face, but this funding mechanism is designed to include virtual channels (teleconferences, virtual rooms, etc.) and also should include journal clubs, discussions, etc. Creativity is encouraged, and mentoring of researchers from underrepresented racial and ethnic groups in science, or from smaller universities and academic institutions, or working in a particularly difficult or emerging area of science will be particularly encouraged.

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

## **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. For detailed information regarding eligibility requirements, please see the Program Descriptions which can be found in the 'Funding Opportunities' section of the Research page on [www.my.americanheart.org](http://www.my.americanheart.org). Awards are subject to termination if changes in citizenship/visa status no longer meet AHA requirements. It is the responsibility of the Awardee 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) Funding**

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) Funding**

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 Awardee 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 Awardee Institution will promptly notify the AHA of the activation of any Award which is alternative or overlapping to AHA support.

After an 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. One hundred percent (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 Award or other Project support Award concurrently. Exception: An investigator may hold two Association Awards (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.

Any additional exceptions are noted in the Program Descriptions for the Fellow-to-Faculty Transition Award during the faculty phase and the Innovative Research Grant.

### **D. SUBMISSION OF AWARD ACTIVATION FORMS**

To activate an Award from the AHA, the Principal Investigator and Awardee Institution must provide the AHA with the required documentation by the due date set forth in the Award letter. The AHA cannot activate an Award until all the documentation has been received. (See section III Life Cycle of an AHA Award, Subsection 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 Awardee and the 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 Principal 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 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 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 endorsements 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 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 LICENSING POLICY**

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; Amended: October 27, 2011.

Though the primary purpose of the AMERICAN HEART ASSOCIATION INC. (hereinafter designated AHA) in funding scientifically meritorious research is to advance its mission, 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 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.

For the purposes of this Policy, these definitions are provided:

"Invention" is any discovery, composition of matter, method, process, product, program, software or know-how, whether or not patented or patentable or copyrighted or copyrightable, that is conceived or reduced to practice in the performance of an AHA Award and has an application of value such that its use, licensing, lease or sale can generate revenue.

"Award" is the American Heart Association funding mechanism and accompanying financial support given to a specific institution to support the work and/or training of a specific Investigator and any Co-Investigators.

"Institution" is the entity (university, medical center, hospital, research institute or any other organization) in which the work and/or training supported by AHA funding will be conducted.

"Principal Investigator" (and "Co-Investigator(s)" if applicable) is the individual(s) receiving the Award and responsible for the conduct of the research supported by an AHA Award.

"Collaborating Investigator" is an individual who contributes in a substantive way to the scientific development or execution of the Project.

"Inventor(s)" is the Investigator, Co-Investigator(s) and/or Collaborating Investigator(s) (if applicable) who made an Invention.

1. Inventions are subject to AHA's Patent, Intellectual Property, and Technology Licensing Policy as set forth below:
2. All Inventions shall be reported in writing to the AHA within 60 days of the date when the Invention is disclosed to the Institution where the work was done, and prior to any public disclosure. The report to AHA should be the initial copy of the Institution's Invention disclosure form and any subsequent versions that have substantive changes or additional information.

3. If the Institution receiving or disbursing the AHA funds that support 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 exceptions and requirements which shall control in the event of a conflict:
  - 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 Legal Counsel and science advisors, except that no AHA approval is required for title to reside in the United States Government.
  - b. Institution and Investigator(s), if appropriate, shall promptly determine whether they desire to seek patent or other statutory protection for an Invention and shall notify the AHA in writing within 60 days of the decision to seek (or not seek) such protection. The AHA also will be notified in writing within 60 days of a patent application being filed, 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 shall be abandoned without prior notification by the Institution or Inventor(s) to the AHA and offering to assign to AHA all right, title and interest 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 reasonable period of 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 cumulative net income (i.e., net of any direct out-of-pocket patenting costs) from an Invention conceived or reduced to practice from the performance of an AHA Award 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 meet appropriate diligence requirements and concrete development milestones to avoid the license terminating, and the Institution or other titleholder shall monitor performance of the licensee relative to these requirements and milestones. The Institution or other titleholder, or its designee or licensee shall take commercially reasonable steps to bring the Invention to practical or commercial application in a reasonable time period (based on type of Invention) after issuance of a patent or other clear determination of commercial value. If the Institution or other titleholder, or its designee or licensee, has not taken commercially reasonable steps 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 legal rights, the Institution or other titleholder and the AHA shall determine a course of action including but not limited to (i) the Institution or other titleholder's renegotiation of milestones with the current licensee or termination of the current license and licensing of the Invention to another licensee; (ii) a non-exclusive right to the Institution or other titleholder to practice the Invention for any non-commercial purpose; (iii) a global, exclusive or non-exclusive, non-revertible, royalty-free license to the AHA; (iv) the provision to the AHA of any additional materials necessary for regulatory filing and the technology's enablement that might be in the possession or control of the Institution or other titleholder, except for intellectual property that was not generated as a result of the AHA's assistance; or (v) any other action appropriate in the circumstances.
4. If the Institution has no established and applicable patent, intellectual property or technology transfer policy or procedure for administering Inventions, title to any Invention shall reside in the Institution or Inventor(s) as agreed by them and the Institution and Inventor(s) shall comply with all requirements in Sections 3b and 3d and the AHA shall have all rights set out in Sections 3c and 3d.

5. Situations with multiple funders in addition to the AHA. The right of the AHA to participate in revenue derived from an Invention pursuant to section 3.c is not waived in these situations.
  - a. Multiple funders. If any Invention is conceived or reduced to practice from the performance of research funded by the AHA and by independent funding from another health agency or funding organization, not an agency or department of the United States Government, the Inventors and the Institution will work with the AHA to negotiate with the other agency/organization in good faith for a mutually satisfactory determination of rights to administer the Invention and determination of the fair share of the royalty or other income to be paid to the Institution, Inventor(s), AHA and other parties who independently funded such research.
  - b. Federal funders. Notwithstanding any other provisions of this policy, if an Invention is conceived or reduced to practice from the performance of research funded by the joint support of the AHA and an agency or department of the United States Government, the AHA may defer to the patent, intellectual property or technology transfer policy of the United States Government.

## **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 release 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.

Submission of the Application to the Association indicates approval and 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.

## **II. LIFE CYCLE OF AN AHA AWARD**

### **A. NOTICE OF AWARD**

After the AHA Research Committee makes funding decisions, an email will be sent to the Principal Investigator notifying him/her to log into Grants@Heart to see the outcome of his/her Application review. For a funded Project, the Grants Officer and Sponsor (on fellowships) designated in the Application will also receive an email to log into Grants@Heart to review the status of the Application.

The Principal Investigator can view the Award letter and the review comments on the outcomes page. The Award letter is also available under the Manage Award task, then View Awards in Grants@Heart.

The official start date of the Award is the earliest date and the termination date is the latest date 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. AWARD ACTIVATION FORMS

In order to activate an Award, certain documentation must be received by AHA. All forms except the Award Agreement should be submitted electronically by the Principal Investigator through the Grants@Heart within one month of Award notification. The Award Agreement requires original signatures and should be mailed to the AHA within one month of Award notification. The mail address is included in the Agreement.

AHA Awards activate twice a year on January 1 and July 1, unless otherwise specified in the Program Description.

Form	Purpose	Date due to the AHA
Acceptance Form	Indicates acceptance of the Award and contingencies/concerns of acceptance	Due 5-10 days after Award notification
Award Agreement	Contract between the AHA, the Award and Awardee Institution	Due within one month of Award notification
MeSH Research Form	Classifies the research by scientific category	Due within one month of Award notification
Subject Use Form	Identifies the subjects and sources used in the research	Due within one month of Award notification
Project Budget	Provides a detailed list of proposed Project expenses	Due within one month of Award notification
Bank Information* (submitted by Grants Officer)	Provides information for sending Award payments to the Institution	Due within one month of Award notification

\*For tax reporting purposes, the AHA is required to collect each Institution's Tax ID and filing status tax code.

## C. RESTRICTED RESEARCH SUPPORT

The American Heart Association frequently receives research-restricted gifts from sources such as private foundations, professional societies, individual donors or corporations interested in supporting Projects of excellent scientific merit.

Awardees may be offered the opportunity for their AHA Awards to be funded by a research-restricted donation. Awardees whose Projects are selected for such funding will be contacted directly by AHA staff to review these guidelines. The Research Committee suggests that all Awardees discuss the possibility of accepting such an Award with their Department Chair or other appropriate institutional officer. Acceptance of research-restricted funds is not a requirement for receipt of an AHA Award. The specific guidelines that govern these Awards will be communicated in writing to the Awardee and are summarized below.

The following guidelines have been developed by the Research Committee and are uniformly applied to all Awards selected to be funded with research-restricted dollars.

- If funded with a corporate/foundation/individual/society donation, the Awardee will be designated as an **AHA-(name of Sponsor) (name of funding mechanism)** Awardee.
- Acknowledgment of **AHA-(name of corporation/foundation/individual/society)** support in any publication or presentation resulting from this Award should be as follows: "This work was done during the term of an Award from the American Heart Association and (name of corporate/foundation/individual/society)."
- Awardees are provided an opportunity to meet with corporate/foundation/individual/society representatives as seems appropriate and beneficial. However, there will be no direction of the scientific investigation by the corporation/foundation/individual/society donor.
- Upon request, the corporation/foundation/individual/society 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 corporation/foundation/individual/society may publish the Awardee's name, Project title and institutional affiliation except in purchased media advertising.

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

Association research Awards must be limited to non-profit Institutions. Such Institutions include: medical, osteopathic and dental schools, veterinary schools, schools of public health, pharmacy schools, nursing schools, universities and colleges, public and voluntary hospitals and other non-profit Institutions that can demonstrate the ability to conduct the proposed research. Applications will not be accepted for work with funding to be administered through any federal Institution or work to be performed by a federal employee with the exception of the Veterans Administration employees. The research committee should scrutinize the available resources as they relate to local, state or national needs.

Awards 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 Award funds to be administered through the Principal Investigator's sponsoring US Institution.

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

Fellow-to-Faculty Award recipients are expected to devote more than eighty percent (80%) 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, seventy-five percent (75%) full-time equivalent effort to research is required.

Scientist Development Grant, Mentored Clinical & Population Research Award, Innovative Research Grant and Collaborative Sciences Award recipients 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 and Mentor/AHA Mentee Award recipients have no minimum percent effort requirements.

#### **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 beginning July 1 and ending September 30, will be processed in October. Payments are transferred on or around the third Tuesday of the month in January, April, July and October.

Institutions are required to provide the AHA with complete bank information to facilitate payment. To avoid delays in receiving Award payments, Institutions should request an update or revision to their bank information promptly if there are changes. Requests for updates may be submitted by an Award change request for bank information in Grants@Heart.

AHA reserves the right to revise its payment schedule, as it deems necessary, at any time. Awardees and associated Institutions will be notified in advance of any changes to the schedule.

## G. REPORTING REQUIREMENTS

**Scientific Reports** — A Scientific Report is a report of the research or technical work accomplished on the Project. It is submitted by the Principal Investigator annually. Grants@Heart will send an email reminder to the Principal Investigator 30 days prior to the report due date. Reports are generally due in June or December.

**Financial Reports** — A Financial Report is the fiscal accounting of expenses related to the Project. It should be submitted annually by the Fiscal Officer and approved by the Principal Investigator. The reports are due within 90 days following the close of each Award year. Reports are generally due on April 1 or October 1. Grants@Heart will send an email reminder to the Fiscal Officer 90 days before the report due date.

**Patent Reports** – The patent report submitted to AHA should be the initial copy of the Institution’s Invention disclosure form (and any subsequent versions that have substantive changes or additional information) which details any Inventions that may have been disclosed to an Awardee Institution. The report should be submitted to AHA within 60 days of the date the Invention is disclosed and prior to any public disclosure.

Open Science Requirement (Awards beginning January 1, 2015)

**Open Science Policy:** Public Access: The AHA requires that all journal articles resulting from AHA funding be made freely available in PubMed Central within 12 months of publication. It will be the responsibility of the author to ensure this occurs.

**Open Data:** Any research data that is needed for independent verification of research results must be made freely and publically available in an AHA approved repository within 12 months of the end of the funding period (and any no-cost extension). The programs that are currently exempt include Undergraduate Fellowships, Medical Student Research Fellowships, Predoctoral Fellowships, Postdoctoral Fellowships, Mentor/AHA Mentee Awards and Mentored Clinical and Population Research Awards. Please see AHA’s Open Science Policy: [http://my.americanheart.org/professional/Research/FundingOpportunities/Open-Science-Policy-Statements-for-AHA-Funded-Research\\_UCM\\_461225\\_Article.jsp](http://my.americanheart.org/professional/Research/FundingOpportunities/Open-Science-Policy-Statements-for-AHA-Funded-Research_UCM_461225_Article.jsp).

After a scientific or financial report due date has past, Grants@Heart will send a monthly reminder to the individuals responsible for submitting the report.

Award payments may 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	Submitted by	DATE DUE TO THE AHA
Scientific Report	Principal Investigator (Award recipient)	Due annually (usually in June or December depending on the Award start date)
Financial Report	Fiscal Officer (also requires approval of the Principal Investigator)	Due annually 90 days after Award year end (usually on April 1 or October 1 depending on Award start date)
Patent Report	Principal Investigator (Award recipient)	Due within 60 days of the date the Invention is disclosed and prior to any public disclosure
Open Science Data Plan or Opt Out Request	Principal Investigator (Award recipient)	Due upon request from AHA or updates as deemed appropriate by the investigator



## H. 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 upon Award completion or termination.

## I. INTERRUPTION OF AWARD

Over the term of the Award, it is occasionally necessary or desirable for the Awardee to interrupt the work on the Award. 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 submitted to AHA 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 and/or 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 Award Period 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 Principal 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 Principal 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 Principal 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 Award funds be temporarily held in an escrow account. A delayed start or suspension of an Award already in progress may be requested. Eligible circumstances include:

- serious illness of the Principal Investigator,
- authorized military leave

- situations where an employee (i.e., Principal Investigator) might take a period of family or medical leave from an employer (i.e., Institution), such as maternity or adoption leave, leave of absence to care for an immediate family member who is seriously ill or disabled, or

These periods for holding Award funds in “escrow” are limited to 12 months.

Requests for placing Award 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.

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. A maximum of two consecutive six month increments may be requested during the term of an Award.

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. REQUESTING CHANGES TO AWARD

Requesting a change to an Award requires the Submission of a Change Request in Grants@Heart. Instructions for submitting a change request can be found in the Links option on the Grants@Heart dashboard.

1. **Change of Principal Investigator** — A change of Principal Investigator is not allowed for the Fellow-to-Faculty Transition Award, Scientist Development Grant, Clinical Research Program or Established Investigator Award. These Awards are Career Development Awards and were peer reviewed based on the qualification of the Award recipient.

In very limited circumstances the AHA Research Committee will consider a permanent change of Principal Investigator for other programs. The following documents **must** be sent to the AHA 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 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 is required to enter into a new Agreement with 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 Award. A temporary change of Principal Investigator is not allowed at any time during the Award Period.**

2. **Change of location of Award (institutional transfer)** — Transfer of an Award to another Institution requires prior approval by the Research Committee. The effective date of the transfer must be the first day of the month.

The Principal Investigator should submit all the following material to the AHA 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 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 Association for Assessment and Accreditation of Laboratory Animal Care International,(AAALAC) accreditation OR U.S. Public Health Service Animal Welfare Assurance Identification Number; and
- a copy of the Institutional Animal Care and Use Committee (IACUC) 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 Principal 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 day of the month.

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

- **Letter of Request** outlining the reasons for the transfer and indicating how the move will alter the Principal 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 Awards are made 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 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 is not able or willing to provide such support, the Awardee should contact the AHA to discuss appropriate options.

## **K. EARLY TERMINATION OR RESIGNATION OF AWARD**

1. By the Awardee — An Award may be terminated at any time by written notification to the AHA. A final Financial Report must be submitted with a check for any free and unobligated balance as soon after Award termination as possible. If additional funds are due to the Institution, payment will be made after the final Scientific Report has been submitted by the Principal Investigator and the final Financial Report has been approved by AHA staff.
2. By the AHA — An Award may be terminated by the AHA at any time within the Project period because:
  - a. the Awardee has not complied with the terms and conditions of the Award, 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 Award/institutional transfer),
  - c. of Awardee action that is inconsistent with the stated objectives of the program,
  - d. of inadequate scientific progress by the investigator
  - e. an unapproved leave of absence by AHA

Upon notification by the AHA of termination, a final Scientific Report of the work accomplished to date must be submitted, as well as a final Financial Report with a check for any unexpended award funds.

## L. 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 and the Innovative Research Grant. (See description Number 1 and 5 of the AHA Program Overview section for more information).

Award recipients must meet the eligibility requirements throughout the duration of the award.

## M. 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 are encouraged to report to the public on both the nature and objectives of their work, as well as on actual results. They are requested to acknowledge Association support in all publications resulting from work carried out during the tenure of their Award. The recommended format follows: "THIS WORK WAS SUPPORTED BY AMERICAN HEART ASSOCIATION GRANT #YYPPPP##### (AWARDEE NAME)". YY = year the award started. PPPP = 3 OR 4 letter abbreviation of the program. ### = 7 OR MORE numbers. For example 14BGIA12345678 or 14GIA1234567. The full Grant ID must be included. If more than one AHA award supported the published research, then each Award should be cited separately with the grant ID and name(s) of supported authors.

**Attribution Scope:** The scope of the research to be acknowledged depends on the Award type:

a. Career Development Awards: It is anticipated that publication of all research conducted by Awardees during the tenure of an AHA career development awards will acknowledge support by AHA, whether published during or after the term of award. Career Development Awards include Undergraduate Student Research Program Awards, Health Sciences Fellowship Awards, Pre- and Postdoctoral Fellowship Awards, Mentored Clinical & Population Research Awards, Beginning Grant-in-Aid, Scientist Development Grants, and Established Investigator Awards.

b. Research Project-based Awards: It is expected that publication of research proposed in the grant application or developed during the course of a research project-based award will acknowledge support by AHA, whether published during or after the term of award. Research project-based awards include, Grant-in-Aid, Collaborative Sciences Award and Strategically Focused Research Networks (SFRN).

## N. 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. Principal 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.

#### 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 Awardee Institution).

##### B. ACCOUNTING

Financial administration of an Award should comply 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 the following:

- accounting and fiscal procedures followed by the Awardee Institution provide safeguards for receipt and expenditure of Award funds,
- reported expenditures for 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. AMOUNT OF AWARD (TABLE)

Program	Award Duration	Total Award Amount (including Indirect Costs)	PI Salary/ Fringes	Project Support	Maximum Award Amount
<b>Fellow-to-Faculty Transition Award</b>	Up to 5 years	<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 2-4 years, <u>including</u> 10% indirect costs	<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.	<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	<b>\$593,000</b>

<b>Mentored Clinical &amp; Population Research Award</b>	Up to 2 years	\$77,000 including 10% indirect costs	Up to 50 percent (\$35,000) of the direct costs including \$5,000 mentor support	Up to 100% of Award total including 10% indirect costs	<b>\$154,000</b>
<b>Scientist Development Grant</b>	Up to 4 years	\$77,000 including 10% indirect costs	Up to \$35,000 for Principal Investigator salary/fringe	At least \$35,000 for Project support	<b>\$308,000</b>
<b>Established Investigator Award</b>	Up to 5 years	\$80,000 including 10% indirect costs	Use of funds is unrestricted in accordance with institutional and AHA policies.	Use of funds is unrestricted in accordance with institutional and AHA policies.	<b>\$400,000</b>
<b>Innovative Research Grant</b>	Up to 2 years	\$75,000 including 10% indirect costs	Up to 50% of the total annual Award.	Up to 100% of Award total including 10% indirect costs	<b>\$150,000</b>
<b>Collaborative Sciences Award</b>	Up to 3 years	\$250,000 including 10% indirect costs	Up to \$125,000 per year for salary and fringe of the co-principal investigators,	At least \$102,273 for project support	<b>\$750,000</b>
<b>Mentor/AHA Mentee</b>	3 years	\$15,000 - \$20,000 (for 2 – 3 mentees respectively)	Funds may be used to cover a portion of the mentor's salary and fringe benefits, and/or to cover travel costs with mentee		<b>\$60,000</b>

For complete Program Descriptions, visit

[http://my.americanheart.org/professional/Research/AwardsManagement/Awards-Management\\_UCM\\_316911\\_SubHomePage.jsp](http://my.americanheart.org/professional/Research/AwardsManagement/Awards-Management_UCM_316911_SubHomePage.jsp).

Scroll down the page and select the Award activation start date for the desired Program Description.

#### **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**

Indirect costs (may also referred to as Facilities and Administrative, F&A costs or overhead) are real costs incurred by the Institution in support of sponsored activities but cannot be directly identified with a specific Award or contract. If allowed by the 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 charges are for the use of the Awardee Institution and may be taken only at the time an amount is properly charged to the Award.

(Exception: indirect costs are not allowed during the fellowship research training phase of Fellow-to-Faculty Transition Awards).

#### **G. REBUDGETING OF FUNDS**

Funds may be re-budgeted between approved categories of the budget to enable an Awardee maximum flexibility in conducting a Project. Such changes must be within established limits for each category.

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

- Rebudgeting of Awards funds for the purchase of a piece of equipment totaling more than twenty-five percent (25%) of the annual Project support budget.
- Rebudgeting of Awards 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)

If an expense type is not specifically mentioned in the Program Description, please contact Awards Administration.

<b>CATEGORY OF EXPENSES</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>	May be requested, prior AHA approval required and within specified limits
<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>	Yes, ONLY for AHA membership dues.
<b>Other Personnel Salary/Fringes</b>	Yes, personnel with doctorate degrees must be approved by AHA
<b>Overhead</b>	Up to 10% of total annual expenditures
<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 \$3,000 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 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-Investigator Salary/Fringes

Collaborating Investigators, Co-Investigators and other participants with faculty appointments may receive personal salary from the Award with prior AHA approval. The funds for salary must be allocated from the amount allowed for PI salary and fringe.

### 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

For the purpose of AHA Awards, equipment is defined as any 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. 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 with acosts that exceeds 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 Award is prohibited.

### 8. Indirect Costs

Indirect costs (also referred to as Facilities and Administrative or F&A costs) are real costs incurred by the Institution in support of Sponsored activities but cannot be directly identified with a specific Award or contract. If allowed by the 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 charges are for the use of the Awardee Institution and may be taken only at the time an amount is properly charged to the Award.

### 9. Malpractice Insurance

The premiums for malpractice insurance are not permitted.

**10. Membership Dues**

Beginning January 2012, AHA membership dues for the Awardee are allowed. Membership dues to other 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. Salary amounts and percent effort to the Project will be monitored for appropriateness.

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 Application budget, 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 with faculty appointments may receive salary from the Award with prior approval from the AHA. If approved, the funds must be allocated from the amount available for Principal Investigator salary and fringe.

**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, telephone, rental of office or laboratory space, furniture and other routine expenses are not permitted to be charged separately to the Award.

**13. Parking Fees**

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

**14. 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.

**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 Principal 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**

Award 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 the Principal Investigator's total effort devoted to the Research Project, within specified AHA limits.

If salary is requested for Collaborating Investigator(s) or other participants with faculty appointments, the funds must be budgeted from the amount specified for Principal Investigator salary and fringe.

**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 Award, 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 Award 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, such as: 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 \$3,000 for each Award year. Includes travel to Mexico and Canada. Travel expenditures may not be in conflict with existing policies of the Awardee 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, Awardees 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 Financial 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 \$10,000 or less at the end of an Award 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 Financial Report form.

If the Principal 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 with the Financial Report form (90 days after the close of the Award year – April 1 or October 1). The AHA will review the request and a notice of disposition will be sent to the Principal Investigator.

2. **Extension Year** — If there is an 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 Award was made. This action can be implemented by selecting the appropriate option on the Financial Report form. Amounts up to the minimum extension carryover of \$500 must be returned to the AHA with the Financial Report. Unexpended funds of less than \$10 may be retained.

A Principal Investigator must obtain prior approval from AHA, if the Principal Investigator is interested in carrying over an amount greater than \$10,000 into an extension year. The Principal Investigator must submit a request in writing with the final Financial Report form (90 days after the close of the Award year – April 1 or October 1). The Research Committee will review the request and a notice of disposition of the request will be sent to the Principal Investigator.

## K. FINANCIAL REPORT

Financial reports should be submitted no later than 90 days after the close of each annual Award 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. All financial Report forms should be submitted in the Grants@Heart system.

The Fiscal Officer of the Awardee Institution should include all costs (not to exceed the authorized award amount) charged to the Award during the reporting period on the Financial Report.

**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 Financial 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 note that the research administration guidelines outlined in this manual apply only to the Award programs indicated in this document.**

If you have questions or need clarification of any Award policies, please contact AHA Research Awards Administration at [awards@heart.org](mailto:awards@heart.org)

Awards Administration  
Division of Research Administration  
American Heart Association, Inc.  
7272 Greenville Avenue  
Dallas, Texas 75231-4596  
[www.heart.org](http://www.heart.org)  
[awards@heart.org](mailto:awards@heart.org)  
Fax: (214) 706-1969

## AWARDS MANAGEMENT BY STATE

<b>State</b>	<b>Contact Name</b>	<b>State</b>	<b>Contact Name</b>
Alabama	Research Administration (214) 360-6120	Montana	Susan Mokhtari (650) 259-6725
Alaska	Susan Mokhtari (650) 259-6725	Nebraska	Denny Jacob (214) 360-6119
Arizona	Susan Mokhtari (650) 259-6725	Nevada	Susan Mokhtari (650) 259-6725
Arkansas	Denny Jacob (214) 360-6119	New Hampshire	Micah Moughon (214) 360-6114
California	Susan Mokhtari (650) 259-6725	New Jersey	Micah Moughon (214) 360-6114
Colorado	Denny Jacob (214) 360-6119	New Mexico	Denny Jacob (214) 360-6119
Connecticut	Micah Moughon (214) 360-6114	New York	Micah Moughon (214) 360-6114
Delaware	Dianne Cooper (410) 246-6721	North Carolina	Research Administration (214) 360-6120
District of Columbia	Dianne Cooper (410) 246-6721	North Dakota	Denny Jacob (214) 360-6119
Florida	Research Administration (214) 360-6120	Ohio	Dianne Cooper (410) 246-6721
Georgia	Research Administration (214) 360-6120	Oklahoma	Denny Jacob (214) 360-6119
Hawaii	Susan Mokhtari (650) 259-6725	Oregon	Susan Mokhtari (650) 259-6725
Idaho	Susan Mokhtari (650) 259-6725	Pennsylvania	Dianne Cooper (410) 246-6721
Illinois	Sandra Morgan (214) 360-6104	Puerto Rico	Research Administration (214) 360-6120
Indiana	Sandra Morgan (214) 360-6104	Rhode Island	Micah Moughon (214) 360-6114
Iowa	Denny Jacob (214) 360-6119	South Carolina	Research Administration (214) 360-6120
Kansas	Denny Jacob (214) 360-6119	South Dakota	Denny Jacob (214) 360-6119
Kentucky	Sandra Morgan (214) 360-6104	Tennessee	Sandra Morgan (214) 360-6104
Louisiana	Denny Jacob (214) 360-6119	Texas	Denny Jacob (214) 360-6119
Maine	Micah Moughon (214) 360-6114	Utah	Susan Mokhtari (650) 259-6725
Maryland	Dianne Cooper (410) 246-6721	Vermont	Micah Moughon (214) 360-6114
Massachusetts	Micah Moughon (214) 360-6114	Virginia	Micah Moughon (214) 360-6114
Michigan	Sandra Morgan (214) 360-6104	Washington	Susan Mokhtari (650) 259-6725
Minnesota	Sandra Morgan (214) 360-6104	West Virginia	Dianne Cooper (410) 246-6721
Mississippi	Denny Jacob (214) 360-6119	Wisconsin	Sandra Morgan (214) 360-6104
Missouri	Denny Jacob (214) 360-6119	Wyoming	Denny Jacob (214) 360-6119

## **GLOSSARY**

### **Definition of Key Terms**

**Affiliate:** The national AHA is made up of seven regional Affiliates, each with geographic areas consisting of several states. Affiliates contribute to the support and oversight of AHA Awards.

**Application:** a written request submitted to AHA for funding consideration. May also be referred to as “**Submission**” or “**Proposal**.”

**Award:** the AHA funding mechanism and accompanying financial support given to a specific Institution to support the work and/or training of a specific Principal Investigator and any Co-Investigators.

**Award Period:** the period of the Award; it includes the start date and the end date of the Award and is stated in the notification letter sent by the AHA to the Awardee or Institution.

**Awardee:** the recipient of an Award; often the Principal Investigator.

**Career Development Award:** a funding mechanism intended to foster the research careers of scientists who have demonstrated unusually high potential to make important contributions in the biomedical, behavioral, and clinical sciences. These programs are peer reviewed based on the merits of the proposed research project with significant consideration given to the qualification of the applicant’s and his/her promise for an exceptional research career. Examples of Career Development Awards include, Predoctoral Fellowships, Postdoctoral Fellowships, and Scientist Development Grants.

**Co-Investigator:** an investigator assisting a Principal Investigator with an Award and is also responsible for the conduct of the research supported by an AHA Award.

**Collaborating Investigator:** an individual who contributes in a substantive way to the scientific development or execution of the Project.

**Fellowship:** Awards which allow an individual to obtain training in basic or clinical research. Research Fellowship awards should be made to support individuals who intend to pursue a scientific research career. Stipends awarded by the Association should be commensurate with institutional compensation guidelines. Academic assignments and clinical functions should be permitted only on a limited basis. Applicants for Postdoctoral Fellowships must hold an M.D., Ph.D., or equivalent domestic or foreign degree at the time the award is activated.

**Fiscal Officer:** the institutional official responsible for the financial reports as well as supervises financial administration of the Award.

**Grants Officer:** the institutional official expected to review and approve an Application (inclusive of Project budgets) being submitted to AHA for consideration. The Grants Officer submits the Application to AHA (via Grants@Heart) on behalf of the Principal Investigator and the Institution.

**Grants@Heart:** A web-based system to manage the Application, peer review and Awards processes.

**Institution:** the entity (university, medical center, hospital, research institute or any other organization) in which the work and/or training supported by AHA funding will be conducted.

**Invention:** any discovery, composition of matter, method, process, product, program, software or know-how, whether or not patented or patentable or copyrighted or copyrightable, that is conceived or reduced to practice in the performance of an AHA Award and has an Application of value such that its use, licensing, lease or sale can generate revenue.

**Inventor(s):** the Principal Investigator, Co-Investigator(s) and/or Collaborating Investigator(s) (if applicable) who made an Invention.

**Principal Investigator** (and “**Co-Investigator(s)**” if applicable): the individual(s) receiving the Award and responsible for the conduct of the research supported by an AHA Award. May also be referred to as “**Awardee.**”

**Program Description:** a description of the research programs offered by AHA. Program Description also includes funding limits and eligibility requirements.

**Project:** the research effort or activity that is associated with an AHA-funded research Award given to an Institution to support the work or training of an Investigator or Co-Investigator. May also be referred to as “**Research Project.**”

**Proposal:** a written request submitted to AHA for funding consideration. May also be referred to as “**Application**” or “**Submission.**”

**Protocol:** formal design of an experimental investigation that outlines the process from beginning to end. Typically includes sections such as specific aims, background and significance, preliminary studies, research design and methods, ethical aspects of proposed research. May also be referred to as “**Research Plan.**”

**Research Project:** the research effort or activity that is associated with an AHA-funded research Award given to an Institution to support the work or training of an Investigator or Co-Investigator. May also be referred to as “**Project.**”

**Research Plan:** formal design of an experimental investigation that outlines the process from beginning to end. Typically includes sections such as specific aims, background and significance, preliminary studies, research design and methods, ethical aspects of proposed research. May also be referred to as “**protocol.**”

**Submission:** a written request submitted to AHA for funding consideration. May also be referred to as “**Application**” or “**Proposal.**”

**Sponsor (Mentor):** a senior Principal Investigator under whose guidance 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.

**Sponsor (Visa):** in this context a Sponsor is a person or entity that assists an investigator in the process of obtaining or maintaining a visa.



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