



American  
Heart  
Association.

# Guide for Strategic Network Awards

December 2023

AHA MISSION STATEMENT

To be a relentless force for a world of longer, healthier lives.

## PREFACE

The American Heart Association (AHA) congratulates you on your 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 AHA Strategic Network Awards. Please refer to this guide to answer the most asked questions about procedures and policies of Research Operations and the AHA. Please note, the research operations practices outlined in this manual cover only the AHA Strategic Networks and may not apply to other AHA awards. Acceptance of the AHA's policies is a requirement of accepting the award. An Awardee and Institution accept the AHA's award by signing the AHA Award Agreement. The Terms and Conditions of the Award Agreement are available [online](#).

This guide has been prepared to assist Center Directors / Coordinating Center PI, Project Principal Investigators (Project PIs) and other authorized institutional officials with the specific terms and conditions applicable to AHA strategic network awards. In accepting the award, the Center Director / Coordinating Center PI, Project PIs, 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 an online grants management system, [ProposalCentral](#). The system is used to manage the application, peer review, and awards processes. It is accessible 24/7 from any location with internet connection. This secure site requires all users to have a username and password for access.

For system support, questions about registration, or technical issues, please contact ProposalCentral customer support hotline at 800-875-2562 (Toll-free U.S. and Canada), or +1 703-964-5840 (Direct Dial International) or by email at [pcsupport@altum.com](mailto:pcsupport@altum.com)

An award is bound by the terms and conditions under which it was activated unless otherwise indicated by the American Heart Association. Requests for forms, policy information and additional inquiries may be directed to: [StrategicAwards@heart.org](mailto:StrategicAwards@heart.org). Our mailing address is:

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Awards Administration  
Division of Research Administration  
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AHA's Home Page: <https://professional.heart.org>

AHA Research pages: <https://professional.heart.org/researchpolicies>

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## I. PROGRAM OVERVIEW

The Strategic Network Awards provide AHA an opportunity to address key strategic issues as determined by the AHA Board of Directors. This initiative is designed to produce a network of interacting institutions and scientists for collaborative and multidisciplinary research. A major component of the centers will be the interdisciplinary training of a new generation of scientists who, from their earliest experiences in research, will collaborate with other scientists through monthly meetings with established investigators and annual meetings with other investigators participating in the centers.

The AHA funded centers will attempt to accomplish the following goals:

- Accelerate generation of important, novel ideas.
- Answer significant questions addressing gaps in knowledge.
- Create important gains (developing new investigators is one such gain).
- Link research and training components through the program.
- Prioritize multidisciplinary approaches with frequent collaborative interactions.
- Demonstrate efficacy through data collection and evaluation.
- Demonstrate the effectiveness or the applicability of the findings in clinical, public health or community-based settings such as workplaces, schools, churches, or other "real-life" settings.

It is anticipated that the results of the funding and formation of these Network Awards including their structure will:

- Produce a cadre of new investigators who will energize the field and lead to the generation of an expansion of the numbers of such investigators in future years.
- Produce new research results based on the initial ideas of the Centers and on ideas generated by the interaction of the Centers and their investigators.
- Provide insights into and report on the challenges and successful mechanisms for active collaboration.
- Identify programs and policies that result in individual lifestyle modifications that reduce the risk of cardiovascular diseases and stroke.

## 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 Institution (as the Sponsor or employer) to ensure legal verification of citizenship or visa status and compliance with AHA policy.

#### 1. Center Director / Coordinating Center PI

- U.S. citizen
- Permanent Resident
- Pending Permanent Resident (must have applied for permanent residency and have filed Form I-485 with the U.S. Citizenship and Immigration Services and have received authorization to legally remain in the U.S., having filed an Application for Employment Form I-765)

#### 2. Project Principal Investigator

- U.S. citizen
- Permanent Resident
- Pending Permanent Resident (must have applied for permanent residency and have filed Form I-485 with the U.S. Citizenship and Immigration Services and have received

authorization to legally remain in the U.S., having filed an Application for Employment Form I-765)

- H1-B Visa – temporary worker in a specialty occupation
- O-1 Visa – temporary worker with extraordinary abilities in the sciences
- TN Visa – NAFTA professional
- G-4 Visa – family member of employee of international organizations and NATO

### 3. Center Fellows

- U.S. citizen
- Permanent Resident
- Pending Permanent Resident (must have applied for permanent residency and have filed Form I-485 with the U.S. Citizenship and Immigration Services and have received authorization to legally remain in the U.S., having filed an Application for Employment Form I-765)
- E-3 – Specialty Occupation Worker
- F-1 Visa – student
- G-4 Visa – family member of employee of internal organizations and NATO
- H1-B Visa – temporary worker in a specialty occupation
- J-1 Visa – exchange visitor
- O-1 Visa – temporary worker with extraordinary abilities in the sciences
- TN Visa – NAFTA professional

All awardees must meet the citizenship criteria throughout the duration of the award and provide AHA with updated status as applicable.

## B. ALTERNATIVE/OVERLAPPING FUNDING

The research projects described in the original application can have no scientific overlap with other funded work.

### 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 AHA, the Center Director / Coordinating Center PI, Project PI 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 Center Director / Coordinating Center PI, Project PIs 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

Center Directors / Coordinating Center PI and Project PIs may hold another AHA award simultaneously as long as there is no scientific or budgetary overlap between the two awards. A named Network fellow may not concurrently hold another AHA fellowship or AHA Fellow-to-Faculty Transition Award for the duration of their time as a named fellow at an AHA Network Center and/or Training Center.

#### D. SUBMISSION OF AWARD ACTIVATION FORMS

To activate an award from the AHA, the Center Director / Coordinating Center PI, Project PIs and Awardee Institution(s) must provide the AHA with the required documentation by the due dates set forth in the award letter. The Center Director / Coordinating Center PI is required to submit all the forms (Award Agreement, Animal Subject Use Form, Open Science Data Plan/Opt-Out and the Project budget). The Project PIs are also required to submit these forms along with IACUC (Institutional Animal Care and Use Committee) and/or IRB (Institutional Review Board) Regulatory Approval. The fellows are not required to submit any award activation forms. The AHA cannot activate an award until all the documentation has been received. (See section III Life Cycle of an AHA Award, 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. POLICIES GOVERNING ALL AHA RESEARCH AWARDS

The following link references all AHA research policies applicable and enforceable for awardees. <https://professional.heart.org/en/research-programs/aha-research-policies-and-awardee-hub/policies-governing-all-research-awards>

#### G. 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.

#### H. 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.

#### I. 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.

#### J. AHA PROFESSIONAL MEMBERSHIP REQUIREMENT

For Award recipients starting July 1, 2018, and after, you must maintain an active AHA Professional Membership account throughout the duration of the Award. If your membership has expired, please renew today, <https://professional.heart.org/en/partners>.

#### K. 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 are 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.

Each applicant had been strongly encouraged to submit their project to the appropriate human subjects Institutional Review Board/Privacy Board and to the appropriate animal care and use committee at the time of application. Awardees will have a maximum time of three months following the original activation date to submit these and any other assurances required to be sent to the AHA. (For example, if the activation date is January 1, IRB approval, approved patient consent form, and any other assurances required to be sent to the AHA must be received prior to March 31.) If these items are not provided to the AHA within three months of the originally posted activation date, no payments will be made, and the award funding may be withdrawn by the AHA for failure to provide required award documentation.

Applicable approval letters for the Project should be active and dated within a year 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, an explanation must be included on the deliverable concern 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.

L. 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 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).

M. INTELLECTUAL PROPERTY POLICY FOR RESEARCH FUNDING

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 28, 2021.

The primary purpose of the American Heart Association, Inc. ("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. The AHA desires 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. The AHA has implemented this Intellectual Property Policy for Research Funding ("Policy") to be applicable to all AHA research funding awards except as described herein.

I. DEFINITIONS

These defined terms are used in this Policy:

"Award" is the American Heart Association funding mechanism and accompanying financial support given to a specific institution to support the research of a specific investigator(s).

"Award Agreement" means an agreement outlining the terms and conditions through which the AHA disburses research funding for an Award.

Income

"Gross Income" means all revenue and other considerations (including distributions on equity) received related to commercialization of Intellectual Property resulting, in whole or in part, from an Award.

“Net Income” means all Gross Income received related to commercialization of Intellectual Property resulting, in whole or in part, from an Award, less out-of-pocket expenses related directly to patent costs associated with the Intellectual Property. All other costs, including Unrecovered Indirect Costs and Internal Distributions, are not deductible when calculating Net Income.

“Indirect Costs” means costs incurred by an Institution that are not directly attributed to Intellectual Property, including but not limited to overhead costs and general and administrative costs. Actual Indirect Costs may or may not exceed an Institution’s published or official “Indirect Cost Rate.”

“Internal Distributions” means an Institution’s internal distributions to inventors, investigators, divisions, departments or others within the Institution.

“Unrecovered Indirect Costs” means any Indirect Costs incurred by an Institution that exceed the Indirect Costs allowed under an Award.

“Institution” is the entity (e.g., university, medical center, hospital, research institute) in which the research supported by an Award will be or was conducted as shown on an Award Agreement.

“Inventor(s)” is the investigator, author or other person working under an Award who, according to applicable law, created Intellectual Property.

“Intellectual Property” is any tangible or intangible discovery, composition of matter, method, idea, design, process, trade secret, concept, product, program, software, know-how, original work of authorship, or other intellectual property right, whether or not patented or patentable or copyrighted or copyrightable, that is conceived or reduced to practice in the performance or as a result of an Award and has an application of value such that its use, licensing, lease or sale can generate revenue or other consideration.

## II. APPLICABILITY

This Policy applies to any Award Agreement through which the AHA disburses funding for research, EXCEPT:

- Subawards of entirely federal research grant funds when such subawards contain conflicting provisions on intellectual property rights such as those imposed by federal law or the primary award terms;
- Contracts for research and development services to AHA on behalf of other entities;
- Agreements to create predefined “works for hire” deliverables under a contract with the AHA;
- Unique research awards with substantial or complex funding arrangements or designed by AHA for significant impact on a particular topic, in each case when other intellectual property rights terms are described in the notice of funding availability or equivalent invitation; and
- Any other Award specifically excluded from this Policy at AHA’s sole discretion.

Acceptance of any Award constitutes express agreement to the terms of this Policy. Except as otherwise noted herein, the terms of this Policy control in the event of a conflict between this Policy and an Institution’s or Inventor’s policy. The American Heart Association is unable to negotiate the terms of this Policy or any Award Agreement with any individual Institution or Inventor.

### III. GENERAL POLICY

- A. If an Institution receiving or disbursing AHA research funds has an established and applicable patent, intellectual property or technology transfer policy and procedure for administering intellectual property, the AHA will defer to that policy for title to intellectual property.
- B. If an Institution has no established and applicable patent, intellectual property or technology transfer policy or procedure for administering intellectual property, title to any Intellectual Property shall reside in the Institution or Inventor(s) as agreed by them. Title to any copyrightable work shall reside in the author unless and except to the extent the author has transferred ownership rights to the Institution prior to creation of the copyrightable work as allowed by applicable law.
- C. If Intellectual Property 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 will defer to the patent, intellectual property or technology transfer policy of the United States Government.
- D. An Institution shall license, lease or sell Intellectual Property in accordance with its own patent and intellectual property policies.

### IV. NOTICES AND OTHER OBLIGATIONS

- A. All Intellectual Property shall be reported in writing to the AHA within 60 days of the date when the Intellectual Property is disclosed to the Institution where the work was performed, and prior to any public disclosure. The report to AHA should include the Institution's initial invention disclosure form related to the Intellectual Property and any subsequent versions that have substantive changes or additional information.
- B. Institution and Inventor(s) shall promptly determine whether they desire to seek patent or other statutory protection for Intellectual Property and shall notify the AHA in writing within 60 days after the decision to seek (or not seek) such protection. Institution and Inventor(s) shall also notify the AHA in writing (i) within 60 days after a patent application being filed and any patent subsequently being issued, and/or (ii) prior to the execution of a license, lease, sale or revenue generating agreement concerning Intellectual Property. 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 Intellectual Property to the extent permitted by law.
- C. When an Institution or other titleholder licenses Intellectual Property to another party for commercialization, it shall (i) include provisions in the license agreement obligating the licensee to commercialize the Intellectual Property in a diligent manner and meet appropriate diligence requirements and concrete development milestones to avoid the license terminating, and (ii) 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 Intellectual Property to practical or commercial application in a reasonable time period (based on type of Intellectual Property) 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 Intellectual Property 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:

- the Institution or other titleholder's renegotiation of milestones with the current licensee or termination of the current license and licensing of the Intellectual Property to another licensee;
  - a non-exclusive right to the Institution or other titleholder to practice the Intellectual Property for any non-commercial purpose;
  - a global, exclusive or non-exclusive, non-revertible, royalty-free license to the AHA;
  - 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 Award; or
  - any other action appropriate in the circumstances.
- D. Institution, Inventor, and AHA shall promptly notify the other of any suspected infringement, misappropriation, misuse, theft or breach of confidence regarding any intellectual property rights related to any Intellectual Property when detected and shall cooperate in good faith to determine the appropriate action needed.

## V. ECONOMIC RIGHTS AND APPORTIONMENT

- A. Notwithstanding any other provision of this Policy, the AHA shall participate in the income derived from Intellectual Property as set forth below.
- B. The Institution's technology transfer officer (or equivalent) shall provide AHA with an annual report for each Award, including Intellectual Property. The annual report is due by January 31 of each calendar year after an Award has been accepted by the Institution. The annual reports shall continue for three (3) years after the expiration and/or termination of the Award. The annual report shall include a listing or description of the following information about Intellectual Property for each Award:
- All issued patents and pending patent applications;
  - All licenses, leases, sales or other revenue generating agreements;
  - All Gross Income and Net Income for each preceding calendar year;
  - The filing, publication and issuance or grant of any application for a patent or other statutory right for Intellectual Property; and
  - The latest stage of development of any product arising from Intellectual Property.
- C. Institution shall pay all costs and expenses incidental to all applications for patents or other statutory rights and all patents and other statutory rights that issue thereon.
- D. Institution shall pay the AHA annually a percentage of the Net Income derived from Intellectual Property conceived or reduced to practice in the performance or as a result of an Award, regardless of the amount of Net Income actually received, equal to AHA's portion of support (expressed as a percentage) for the work or research giving rise to the Intellectual Property. In no event shall the application of the foregoing result in either AHA or Institution receiving less than 10% of Net Income.

Payments under Section V.D. shall be made on an annual basis by January 31 of the year after the calendar year that Net Income was derived. If the Institution is unable to make payment by January 31 for any calendar year in which Net Income was derived, Institution shall inform the AHA

at least seven (7) days prior to missing a payment. If such prior notification is made timely, Institution shall have a grace period of 90 days to make the missed payment. Failure to make payment after the 90-day grace period will be deemed a breach of the applicable Award Agreement. The AHA shall have the right to audit, at the AHA's expense, the Institution's books and records related to any Award annually upon reasonable advance notice.

#### N. OPEN SCIENCE POLICIES

AHA has two open science policies. The Public Access policy addresses requirements for journal articles resulting from AHA funding, and the Open Data policy addresses sharing the factual data that is needed for independent verification of research results. Awardees must adhere to the AHA Open Science Policies, in effect at the time the Award Agreement is signed.

AHA requires preregistration for funded clinical trials and encourages preregistration for any studies that make an inferential claim from a sampled group or population, as well as studies that are reporting and testing hypotheses.

The full open science policies can be found at: [Open Science Policy Statements for AHA Funded Research - Professional Heart Daily | American Heart Association](#).

### III. LIFE CYCLE OF AN AHA AWARD

#### A. NOTICE OF AWARD

After funding decisions have been made, the Center Director / Coordinating Center PI will be contacted by either phone call or email, notifying him/her to log into [ProposalCentral](#) to see the outcome of his/her application review. The awardee can view the Award Letter on the outcomes page along with the review comments. The Award Letter is also available in Awards under Correspondence – Notes in [ProposalCentral](#).

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

To activate an award, certain documentation must be received by AHA. All deliverables including the Award Agreement Form should be submitted electronically by the Center Director/ Coordinating Center PI and Project PIs through the [ProposalCentral](#) system within one month of award notification. The Award Agreement Form requires original signatures and should be scanned and emailed to the AHA within one month of award notification. The mail address is included on the Agreement Form.

Form	Purpose	Date due to the AHA
Award Agreement Form (submit with original signatures)	Contract between the AHA, the Awardee and Awardee Institution	Due within 90 days of award notification.
Other Industry Funding	Identifies any funding the investigator has received that was not included in the application	Due within 90 days of award notification.



Fellow Appointment Change Request (Including CV & documentation of Citizenship/Visa status)	AHA review and approval of fellow credentials	Due within 30 days of proposing fellow. First fellow appointment is due within 90 days of award start date. Subsequent fellows should start on or around the award start date in sequential years.
Animal Subject Use Form	Identifies the subjects and sources used in the research	Due within 90 days of award notification.
Project Budget	Provides a detailed list of proposed project expenses	Due within 90 days of award notification.
IACUC and/or IRB Regulatory Approval	Approval to conduct animal or human subject research	Regulatory Approval and Informed Consent for human subject research is due within 90 days of award notification.
Bank Information* (submitted by Grants Officer)	Provides information for sending award payments to the Institution.	Due within 90 days of award notification.
Open Data Plan/ Opt-Out Request	Confirm investigators data plan or opt-out request complies with AHA policy	Due within 90 days of award notification.

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

#### Award Concerns

The Investigator or Awardee Institution may be asked to address Award concerns or contingencies as a condition of accepting the Award. These items must be adequately addressed by the Investigator or Awardee Institution and resolved by the AHA before Award payments will be made on the approved project. The policies and provisions as specified will be binding on you as an awardee of the AHA.

#### 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 Award 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 the guidelines associated with such Awards. The AHA 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 AHA 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 corporation/foundation/individual/society) (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

AHA Strategic Awards are limited to U.S.-based non-profit institutions, including medical, osteopathic, and dental schools, veterinary schools, schools of public health, pharmacy schools, nursing schools, universities and colleges, public and voluntary hospitals and others that can demonstrate the ability to conduct the proposed research. It will not be accepted for work with funding to be administered through any federal institution or work to be performed by a federal employee, except for Veterans Administrations employees. There are no restrictions on collaborating investigators.

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 investigator's sponsoring US Institution.

#### E. PERCENTAGE EFFORT

##### SFRN Awards

There is a 20% minimum effort requirement for the Center Director, 5% minimum effort requirement for the Training Director and a 10% minimum effort requirement for Project PIs of Center projects. Director and Project PI salary requested must be proportional to the percent effort devoted to the Center.

Named fellows of the Centers at U.S. institutions must commit 75% effort to research training. Center fellows may commit a minimum of 70% effort if justification is accepted by the OAC.

##### HERN Awards

There is a 10% minimum effort requirement for the Coordinating Center PI and a 10% minimum effort requirement for Project PIs of projects. Director and Project PI salary requested must be proportional to the percent effort devoted to the Center.

Refer to the RFP for requirements on mandates for fellows and/or trainees.

## 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 April 1 to June 30, will be the following month, July. Payments are transferred on or around the third Tuesday of the month in January, April, July, and October.

Payments will be placed on hold for delinquent reports and/or deliverables, or if it is found that the Center is out of compliance with the Guidelines. Payments will be reinstated as soon as any issues are resolved. Payments on continuing grants and the final payment (or some lesser amount determined by the AHA) for terminating awards will be withheld if scientific reports or expenditures reports have not been received by the due date. All withheld award payments revert to the AHA if the AHA has not received all reports six months after the award period ends.

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 done by submitting an Award change request for bank information in [ProposalCentral](#).

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.

### SFRN Awards

Payment is made to the Center Institution. The Center Institution will be responsible for distributing funds to Project Institutions.

### HERN Awards

Each institution that is part of the Network will receive payments directly from the American Heart Association.

## G. REPORTING REQUIREMENTS

The awarded institution will maintain fiscal responsibility. The appropriate Grants/Sponsored Programs Officer and Institutional Officer should sign off on submitted reports.

Scientific Reports — Each investigator (e.g., Center Director, Coordinating Center PI and Project PIs) is required to submit a scientific report annually. An annual request for the submission of the Progress Reports will be sent by [ProposalCentral](#) 30 days prior to the deadline. The reports will be due at the end of each annual award period.

Expenditures Reports — Each investigator (e.g., Center Director, Coordinating Center PI and Project PIs) and the designated Fiscal Officer are required to submit expenditures report annually for the duration of the award and at the end of the no-cost extension. An annual request for the submission of the Progress Reports will be sent 90 days prior to the deadline. The reports will be due no later than 90 days after the end of the award period.

If a scientific or expenditures report is not submitted by the due date, [ProposalCentral](#) will send a monthly reminder to the individuals responsible for submitting the report.

Patient Recruitment Reports – For projects that have received regulatory approval and have started recruiting patients, Quarterly Patient Recruitment & Retention Reports will be due in March, June, September, and December of each award year. The reports will be completed using a template provided by AHA. Reminder emails will be sent 30 days prior to the due date.

Invention Disclosures – The 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 annually by the Technology Transfer Officer and within 60 days of the date the Invention is disclosed and prior to any public disclosure.

Open Science Policies Requirement (Awards beginning January 1, 2015)

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: The AHA requires certain applicants to include a data sharing plan with the application. Any factual data that is needed for independent verification of research results must be made freely and publicly available in an AHA-approved [repository](#) as soon as possible, and no later than the time of an associated publication or the end of the award period (and any no-cost extension), whichever comes first. Recipients of the following early-career awards are exempt from this policy: AHA Predoctoral Fellowships, AHA Postdoctoral Fellowships, and Institutional Undergraduate Student Fellowship Program. Please see AHA’s Open Science Policies: <https://professional.heart.org/en/research-programs/awardee-policies/open-science-policy-statements-for-aha-funded-research>.

Due upon request from AHA or updates as deemed appropriate by the investigator.

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 to the AHA if the AHA has not received all reports six months after the Award Period ends.

Open Science Data Plan or Opt-Out Request: The AHA requires a data plan be submitted as part of the proposal and maintained by awardees throughout the duration of the award.

Data Deposit Confirmation: The AHA requires that the Principal Investigator should submit this no later than the time of an associated publication or the end of the award period (and any no-cost extension, whichever comes first.

## H. TITLE TO EQUIPMENT

Title to equipment purchased with AHA award funds shall be vested in the Institution where the Project PI is conducting the center research project with the explicit understanding that such equipment is for use by the Project PI 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 Project PI. Permanent vesting will be in the institution upon award completion or termination.

## I. INTERRUPTION OF AWARD

During the term of the award, it may become necessary or desirable for the awardee to interrupt the work on the award. Several provisions for interruption of the award exist.

Vacation — If it is not in conflict with the Institution's policy, a 30-day vacation is allowed during each year of the award.

Absence from work — Awardees must promptly notify the AHA of any absence from the Center and/or 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 the AHA indicating the dates of the leave, the reasons for the request and the Investigator's intention to resume the research project. The AHA will review the request and determine the most appropriate course of action. The researcher and/or Department Chairperson will be notified of the disposition of the request.

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 Center Director / Coordinating Center PI and/or Project PI 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.

Escrow — In very limited circumstances, the Project PI 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 Center Director / Coordinating Center PI and/or Project PI may request that award funds be temporarily held in an escrow account. A suspension of an award already in progress may be requested. Eligible circumstances include:

- serious illness of the Center Director / Coordinating Center PI or Project PI,
- situations where an employee (i.e., Project PI) 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
- authorized military leave.

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 Center Director / Coordinating Center PI and/or Project PI. 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 AHA will review the request and a notice of disposition will be provided to the Center Director/ Coordinating Center PI and/or Project PI. The 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 OAC. 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 Project PI resumes active research on the project.

## J. REQUESTING CHANGES TO AWARD

Requesting a change to an Award requires the submission of a Change Request and/or specific Deliverable Type Request and should be submitted from the Awards Deliverable Dashboard in [ProposalCentral](#).

Requests will be reviewed by AHA staff and the OAC will provide external oversight in an advisory capacity to the Centers and Project Awards.

1. Change of Principal Investigator — A change of Center Director / Coordinating Center PI is not allowed during the term of the award period. Exceptions to this would be allowed only for extreme circumstances (e.g., severe illness, disability, or death). In very limited circumstances the AHA and OAC will consider a permanent change of Project PI. The following documents must be sent to the AHA at least 60 days prior to the proposed change:
  - A letter from the Center Director / Coordinating Center PI and Project PI 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 Project PI's current role and activities in the center research project
  - The department chairperson should indicate concurrence by signing the above letter of request or by submitting a separate letter.
  - A letter from the proposed Project PI 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 Project PI will be reviewed by the OAC. If the change is not approved, the Award will terminate on the date the original Project PI ceases to work on the Project.

A change of Project PI is not allowed during an extension year of the Award. A temporary change of Project PI is not allowed at any time during the Award Period.

2. Change of Training Director - In very limited circumstances the AHA and OAC will consider a permanent change of Training Director. The following documents must be sent to the AHA at least 60 days prior to the proposed change:
  - A letter from the Center Director indicating the reason for the change, the effective date of the change, how the training program will be altered, if at all, and a statement of the proposed Training Director's current role and activities in the center or the institution's mentoring program.

- The department chairperson should indicate concurrence by signing the above letter of request or by submitting a separate letter.
- A letter from the proposed Training Director indicating willingness to accept responsibility for pursuance of the training program. A current curriculum vitae must accompany this letter.

The request to change the Training Director will be reviewed by AHA Staff and the OAC. If the change is not approved, the center must provide an alternate candidate.

A change of Training Director is not allowed during an extension year of the Award. A temporary change of Training Director is not allowed at any time during the Award Period.

3. Request for SFRN Co-Center Director – All requests for SFRN Co-Center Directors must be written into the application and peer reviewed. Any requests made after funding decisions must be submitted in writing, reviewed, and approved by the AHA and OAC.
4. Request for SFRN Deputy Roles – All requests for SFRN Deputy Directors or Deputy PIs must be written into the application and peer reviewed. Any requests made after funding decisions must be submitted in writing, reviewed, and approved by the AHA and OAC.
5. Change of location of Award (institutional transfer) — Centers are not transferable to another institution. If a Project PI needs to transfer to a new institution, a request must be made in writing prior to the transfer. The transfer must be approved in advance by the AHA and OAC. The effective date of the transfer should be the first of the month.

The Project PI should submit all the following material to the AHA 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 OAC 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.

6. Change of location of Award (departmental transfer) — Transfer of a research project to another department within the Project PI's Institution requires prior approval by the AHA. The effective date of the transfer should be the first of the month.

The Project PI 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 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 AHA will review the request and a notice of disposition will be sent to the Project PI, Fiscal Officer, and department chairperson.

7. Change of Project design — Although Awards are made based on 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.

8. 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 by submitting a deliverable within the award to request a change in personnel. The new chairperson and/or Fiscal Officer should upload a letter to the deliverable 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. RESEARCH OUTPUTS

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. AHA also encourages use of preprint servers. This allows for rapid communication of new findings and can benefit the research community and the public by accelerating the pace of discovery.

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. It is the responsibility of the Awardee, the sponsor and the Institution to ensure that AHA support is properly acknowledged in all references to research outputs (including but not limited to oral or poster presentations, news releases, interviews, publications, data, code, preprints, preregistration, blogs, and podcasts) resulting from work carried out during the tenure of their Award. To enable the accurate evaluation of outcomes from AHA research investments, it is critical that acknowledgements mention AHA as the funding organization, as well as the specific grant ID number or grant DOI and the names of each author supported by each AHA Award. The recommended format follows:

"THIS WORK WAS SUPPORTED BY AN AWARD FROM THE AMERICAN HEART ASSOCIATION GRANT # (OR GRANT DOI)\_\_\_\_\_ / AWARDEE NAME / AWARD YEAR."

The full award ID must be included. If more than one AHA award supported the published research, then each Award should be cited separately with the Award ID or the grant DOI and name(s) of supported authors. AHA requires funded Clinical Trials to publish their Trial ID in all publications resulting from the work.

## L. RESEARCH PUBLICITY

Public understanding and support of cardiovascular and cerebrovascular 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.

## M. EARLY TERMINATION OR RESIGNATION OF AWARD

1. By the Awardee — An award 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 due to the Institution, payment will be made after the final Scientific Report has been submitted by the Center Director / Coordinating Center PI and/or Project PI and the final Expenditures 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 Form or this guide,
  - b. a change requested by the Center Director / Coordinating Center PI or Project PI was not approved (for example, a change of Project PI 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. of an unapproved leave of absence by AHA.

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 Scientific Report of the work accomplished to date.

## 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 be in accordance with generally accepted accounting principles. Supporting records of award expenditures must be in sufficient detail to clearly indicate the nature of expenditures. The Financial Officer of the Institution agrees to make accounting records of disbursements available to the AHA upon due notice.

## C. AUDIT

The AHA may make periodic fiscal audits to determine that:

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

## D. REDUCTION OF AWARD AMOUNT

Awards may be reduced at the time of peer review of the application. If the 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 re-budgeted from the Project PI's salary category to project support. AHA reserves the right to reduce the award amount during the term of the award.

## E. 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 operating expenses may be charged up to ten percent (10%) of the total expenditures each year on Awards at the Awardee institution. Any subcontract awardee institution (if applicable) is allowed institutional indirect costs up to ten percent (10%) of the total expenditures of the subcontract. The Awardee institution may not charge indirect costs on the direct costs of a subcontract.

## F. 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 specific category.

Prior authorization is required for re-budgeting the following items:

- Re-budgeting of grant funds for the purchase of a piece of equipment totaling more than 25% (or \$10,000 whichever is the lessor of the two amounts) of the annual project support budget.
- Re-budgeting from one project to another.

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

G. ALLOWABLE AND NON-ALLOWABLE AHA EXPENDITURES (TABLE)

If an expense is not specifically indicated in the table, please contact AHA.

CATEGORY OF EXPENSE	ALLOWABLE ON AHA AWARDS
Alterations and Renovations	Only if essential, prior AHA approval is required
Books, Subscriptions	No
SFRN Center Director Salary/Fringe	Yes, up to \$50,000 per year
Co-Investigator Salary/Fringes	Yes, to be taken from Project Budgets
Computers	Yes
Consultative Services	May be requested prior to payment of said consultant.
Equipment	Yes, prior AHA approval required for over 25% (or \$10,000, whichever is the lesser amount) of the annual project support.
Expenses in Obtaining or Maintaining a Visa	No
Indirect Costs	Up to 10% of total annual expenditures.
Malpractice Insurance	No
Membership Dues	Only AHA membership dues are allowed.
Other Personnel Salary/Fringes	Yes, however personnel with doctorate degrees not listed on the initial budget or original application must be approved by the OAC.
Overhead (Postage, Rent, Lights, Office Furniture, Telephone, etc.)	See Indirect Costs
Parking Fees	May be requested in writing prior to payment for research patients and/or research personnel that are required to travel between study sites to complete recruitment and/or study visits.
Patient Care, Hospitalization, Diagnostic Laboratory Tests	No
Patient Transportation	May be requested prior to payment.
Payment of Human Subjects	May be requested prior to payment.
Personnel Recruitment	No
Project PI Salary/Fringes	Yes, commensurate with percent effort devoted to the project.
Postage — Overnight Mail related to project	Yes, the name of the carrier used should be listed on the financial report.
Publication Costs and Reprints	Yes
Receptions and Meals	No, unless otherwise approved at award activation.
Scientific Meetings Abroad	Yes, with prior approval
Service Contracts	Yes
Subcontracts	May be requested.
Supplies	Yes
Telephone — Long Distance related to project	Yes, must be listed as Long Distance on the expenditures report.
SFRN Training Director Salary/Fringes	Yes, to be taken from the \$50K allowed for Center Director
Travel — Domestic or Foreign	Yes, including travel to an AHA Semi-Annual Meeting(s) and Annual Meeting(s).

Tuition Costs	No
Uniforms, Wearing Apparel	No

#### H. 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. SFRN Center Director Salary/Fringe  
SFRN Center Directors may receive salary and fringe from the award up to \$50,000 per award year. If the Center Director is also the PI on one of the research projects, he/she may receive salary/fringe from the project as well. The Center Director may also serve as the Training Director. If an individual other than the Center Director serves as the Training Director, this \$50,000 per year limit remains, and the available funds should be allocated as appropriate to cover the efforts of these individuals.
4. Co-Investigator, Co-Project PI, Collaborating Investigator Salary/Fringes  
Co-Investigators, Co-Project PIs, Collaborating 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 Project Budgets.
5. Computers  
Computer purchases are permitted over the term of the award per project. Purchases more than \$5,000 will require the inclusion of a detailed budget justification. The principal investigator must submit a written request/justification for the purchase of the computer/software and the approximate cost. The AHA will review the request and a notice of disposition will be sent to the principal investigator.
6. 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 AHA will review the request and a notice of disposition will be sent to the awardee.
7. 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 Project PI 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%) or \$10K (whichever is the lesser amount) of the budgeted project support in any fiscal year requires prior AHA approval. The Project PI must submit a written request/justification for the purchase of the

equipment and the approximate cost. This request should be co-signed by the Center Director / Coordinating Center PI and the Financial / Fiscal Officer at the institution. The AHA will review the request and a notice of disposition on the request will be sent to the principal investigator.

8. Expenses in Obtaining or Maintaining a Visa  
Expenses associated with obtaining or maintaining a temporary or permanent visa for personnel to work on the grant are prohibited.
9. 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. Institutional indirect costs for physical plant costs may be charged up to ten percent (10%) of the total expenditures each year on awards. Indirect cost 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.
10. Malpractice Insurance  
The premiums for malpractice insurance are not permitted.
11. Membership Dues  
Awardees are allowed to pay AHA membership dues. Membership dues to other organizations are prohibited.
12. 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 percentage 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 within 30 days of proposing the individual.  
  
Personnel with faculty appointments may receive personal salary from the award with prior approval from the AHA. If approved, the funds must be allocated from the amount available for Project PI salary and fringe.
13. Overhead  
Overhead, also referred to as indirect costs, may be charged up to ten percent (10%) of the total expenditure 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.
14. Parking Fees  
AHA policy prohibits use of AHA grant funds for parking fees for award personnel. However, parking fees can be requested to reimburse patients enrolled in a research project and/or research personnel that are required to travel between study sites to complete recruitment and/or study visits. The AHA will review the request and a notice of disposition on the request will be sent to the principal investigator.
15. 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.

16. Patient Transportation

The cost of transporting patients to laboratories for special investigative tests may be requested. The principal investigator must submit a written request/justification for the payment of the patient transportation and the approximate cost. The AHA will review the request and a notice of disposition will be sent to the principal investigator.

17. Payment of Human Subjects

Unbudgeted expenditures for payment of human subjects may be requested. The request must give the unit cost per subject and the procedure to be used, and the investigator should submit a copy of the approved consent form for use in the investigation. The AHA will review the request and a notice of disposition on the request will be sent to the principal investigator.

18. Personnel Recruitment

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

19. Postage — Overnight Mail

Overnight mail charges directly related to the project are permitted. These items should be identified on the expenditures report as “overnight mail” or by listed the carrier used – e.g., FedEx.

20. Principal Investigator Salary/Fringes

Award policies allow some salary and fringe benefits for the SFRN Center Director and Project PI to be budgeted. The Center Director salary/fringe is limited to \$50K direct cost per year. Project PI salary/fringes must be consistent with the percent of investigator’s total effort devoted to the research project, within specified AHA limits.

21. Publication Costs and Reprints

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.

22. Receptions and Meals

The costs of receptions and/or meals are not permitted unless otherwise approved at award activation or scientific Semi-Annual and Annual Meetings.

23. Scientific Meetings Abroad

Costs of registration, travel, and attendance at scientific meetings in foreign countries are allowed but will require a detailed budget justification.

24. 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.

25. Subcontracts

If a subcontract arises between the Center institution and an outside entity, the Director must notify the AHA immediately. A copy of the subcontract should be forwarded to the AHA for review and appropriateness. Once all parties have agreed to the subcontract, a signed copy should be forwarded to the AHA for reference. The expenses associated with a subcontract must

be approved by the AHA. If the subcontracting entity takes 10% Indirect Costs as a portion of the subcontract, the Center institution cannot take an additional 10% on top of these indirect costs.

26. 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.

27. Telephone — Long Distance

Long Distance charges directly related to the project are permitted.

28. SFRN Training Director Salary/Fringes

Training Directors may receive personal salary from the award with prior AHA approval. A maximum of \$50,000 per year to cover effort associated with Center Leadership (i.e., Center Director, which requires 20% effort and Training Director, which requires 5% effort). The Center Director may also serve as the Training Director. If an individual other than the Center Director serves as the Training Director, this \$50,000 per year limit remains, and the available funds should be allocated as appropriate to cover the efforts of these individuals.

29. Travel — Domestic or Foreign

Travel expenditures may not 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. Funds may be used to cover the cost of registration for scientific meetings (domestic or foreign), transportation, meals, and lodging.

Semi-Annual and Annual Meetings

The purpose of semi-annual meetings is to share results across the network and identify and act on potential collaborative opportunities. A major component of the Centers will be their ability to implement a successful program for the interdisciplinary training of a new generation of scientists and to collaborate. All key Center personnel (Center Director / Coordinating Center PI, Training Director, Project PIs and Fellows) will be expected to attend both the Semi-Annual and Annual Meetings.

Centers may use award dollars to pay for travel to two required face-to-face (as feasible), network wide meetings and other meetings where research is presented. AHA will only host an annual meeting in the Fall for all active Strategic Networks.

It is anticipated that the awarded Centers will host the semi-annual meeting on a rotating basis in the Spring for their Network. Hosting refers to who will pay, organize the meeting (meeting space, dates, meals, providing the best hotel accommodations near meeting location, etc.), and prepare the agenda for the semi-annual meeting. Travel funds have been budgeted annually on the Center award, which can also be used for hosting their Network's semi-annual meeting.

30. Tuition Costs

Tuition costs or laboratory fees for work leading to an academic degree cannot be charged against research funds. Costs associated with training postdoctoral fellows as part of their fellowship are permitted with approval from AHA.

31. Uniforms, Wearing Apparel

The cost of uniforms and other wearing apparel is prohibited.



## I. CARRYFORWARD OF UNEXPENDED FUNDS

In their final year, awardees may request up to a maximum twelve-month extension to use a portion of or all unexpended funds. The amount of the carryover must be within the permitted dollar limitations listed 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 and no more than \$10,000 at the end of an Award Period and if the Project PI is continuing the research, these funds may be carried forward to the next fiscal year without advance approval. This action can be implemented when requesting this deliverable type within the Awards dashboard in [ProposalCentral](#).

If the Center Director / Coordinating Center PI and/or Project PI is interested in carrying over an amount greater than \$10,000, the investigator must provide a *strong* written justification, indicating the reason the funds were not spent and the investigator's plan for spending the funds the following year if the carryover is approved. Each request will be reviewed on a case-by-case basis. The expectation is the approved carryover plus the next year's budget will be fully expended in the next budget period. The investigator should not intentionally conserve funds to request a no-cost extension. If the funds are not expended during the period, the AHA may request a return of the unexpended balance for that budget period. Award funds must be used for expenses directly related to the approved AHA research project.

If an investigator is experiencing an issue(s) that is causing the progress on the project to stall or to be slowed, they should include this information in their carryover justification. It is important that investigators meet project milestones and have a plan to manage the work to be completed on the approved project.

Our grants management system, [ProposalCentral](#), does not have a mechanism for investigators/fiscal officers to indicate how they want to handle an unspent balance. As a result, the investigator/institutional officer may be asked to indicate their plan for the remaining balance (e.g., do you plan to retain the balance or return it). The investigator/fiscal officer may add a note to the expenditures report in ProposalCentral indicating their plan.

2. Extension Year — If there is an unobligated balance of funds at the end of the final fiscal period and the Center Director / Coordinating Center PI and/or Project PI is interested in carrying this amount over into an extension year; this will require prior approval from the AHA. The Center Director / Coordinating Center PI and/or Project PI must provide a strong written justification including an explanation for why the funds were not spent during the life of the grant and how the funds will be spent in the extension year, along with a detailed breakdown. This request must be submitted in conjunction with the final Expenditures Report. The AHA will review the request and a notice of disposition of the request will be sent to the Center.

If a request is not approved, AHA will request a refund. If it is the final payment, the payment will be adjusted or cancelled. Reasons AHA may disapprove a request:

1. If the investigator indicates they saved money to ask for a no-cost extension.
2. If the investigator indicates they want to use the funds to generate data for another grant application.
3. If the investigator used the same explanation that was used in prior years.

## J. EXPENDITURES REPORT

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.

The Fiscal Officer of the Awardee Institution should include all costs charged to the award on the Expenditures Report.

Quarterly payments and/or 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 to the AHA if the AHA has not received all reports six months after the Award Period ends.

## K. DEFICITS

The awardee and/or the fiscal officer cannot expend funds more than the amount awarded for each fiscal year. The awardee 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 before a deficit balance is incurred.

Deficit balances are NOT ALLOWED for any other circumstances.

## L. NETWORK FELLOWS AND/OR TRAINEES

The AHA will track all Network Fellows. Refer to the RFP for requirements on fellows and/or trainees.

Prior approval of a CV and documentation of citizenship/visa status of the proposed fellow and/or trainees within 30 days prior to anticipated start date. Fellows and/or trainees cannot hold a faculty/staff position any time during their two-year fellowship. (Exception: M.D. or M.D./Ph.D. applicants with clinical responsibilities who hold the title of instructor or similar due to their patient care responsibilities.)

If a fellow and/or trainees leaves the institution for any reason, the AHA must be notified immediately so that an appropriate solution can be found in a timely manner.

For institutions that wish to pay fellows and/trainees more than the amount per year allocated in the RFP, funds may be allocated from a Project budget or from outside sources as long as percent effort is maintained.

If the Network salary/fringe for a fellow and/or trainee exceeds the minimum per the RFP, contact the designated AHA Research Manager for further guidance.

### Fellow and/or Trainee Leave of Absence

If a fellow and/or trainee takes leave (e.g., maternity leave, short term leave, etc.), their institution will manage the process of this leave, in conjunction with AHA staff.

- If a fellow and/or trainee takes leave for an extended period of 12 weeks or longer, at the discretion of the institution, the fellow and/or trainee may either complete their fellowship at a later date or work with the institution to set an end date based on the time they were on leave (i.e., extending the fellowship for 12 weeks).
- Upon returning after leave, the fellow and/or trainee is expected to maintain the minimum percent effort towards research training as required by the RFP.

- The fellow and/or trainee's salary/fringe are allocated per the published RFP. If there is a break due to leave, the institution will have the flexibility to manage this internally. If the fellowship is extended due to leave, the funds may be managed more closely to ensure the fellow receives salary during the extension.

Any areas not addressed above should be directed to your AHA Research Manager.

#### M. END-OF-NETWORK EXPECTATIONS

##### Network Collaborative Publication

Each Strategic Network will be expected to submit a publication to an AHA Journal (e.g., JAHA, CIRC) describing the outcomes of the Network. The timing for this should be no later than 90 days after ALL Centers have completed their projects at the end of the award. The objective is to showcase the important research results from the network, as well as successes of the postdoctoral training program. Here are a few suggested formats:

- The publication could be structured to highlight the successes of the Network ranging from scientific discovery, fellow outcomes, collaborations, and challenges overcome.
- Methods paper including: 1) statement of the problem/issue/topics addressed, (2) awarded centers focused on 'xyz' and collaborated to accomplish 'abc', (3) include published work and promote the scientific outcomes. Since this publication is an expectation of AHA leadership, AHA will work with the scientific publishing staff and journal editors to assist authors.

Reference to AHA journals: <https://professional.heart.org/en/journals>

Center Directors / Coordinating Center PI will be expected to be available for interviews and the review of the End of Research Narrative Report that will be written by a science writer and designed by AHA to display the impact and the need of this focused area. It will be important to have the Network Collaborative Publication finalized so the title and focus can be incorporated within this final report.

##### Final Lay Summary Report

Each investigator will be expected to provide a non-scientific summary at or below a tenth-grade level within annual progress report. Within this report, please address the same questions presented within the application (e.g., 1. What was the major problem addressed by this study; 2. What specific questions were asked and how were they answered? Please do not list your specific aims - this is a brief overview targeted for a lay audience; 3. What was the potential overall impact of this work on the mission of the AHA?). The intent is to focus on any outcomes/findings.

##### Final Reporting Requirements

Final reporting including scientific progress and expenditures reports will need to be completed prior to the release of the reserve payment for this award.

If you have questions or need clarification on any Award policies, please contact AHA Strategic Awards Team at [StrategicAwards@heart.org](mailto:StrategicAwards@heart.org).