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[www.professional.heart.org](http://www.professional.heart.org)

# AHA Award Guide

January 2018

**MISSION STATEMENT**

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

# AHA Award Guide

## 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 research programs currently offered by the American Heart Association. Please refer to this guide to answer the most commonly asked questions about procedures and policies of the AHA and research administration practices. Acceptance of the AHA's policies is a requirement of accepting the Award. An Awardee and Institution accept the AHA's Award by signing an Award Agreement. The Terms and Conditions of the Award Agreement are available on our website at [http://professional.heart.org/idc/groups/ahamah-public/@wcm/@sop/@rsch/documents/downloadable/ucm\\_470094.pdf](http://professional.heart.org/idc/groups/ahamah-public/@wcm/@sop/@rsch/documents/downloadable/ucm_470094.pdf).

This guide has been prepared to assist Awardees (also referred to as Principal Investigators) and other authorized institutional officials with the specific terms and conditions applicable to AHA Awards. In accepting an Award, the Principal Investigator and the Institution assume an obligation to expend Award funds for the research purposes set forth in the Application and in accordance with all regulations and policies governing the programs of the American Heart Association, Inc.

The AHA has an online grants management system, Grants@Heart. 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.

Help documents are available in the 'My Dashboard' section at the top of every page in Grants@Heart under "Links". The help documents are specific to the user role selected once the user is logged into Grants@Heart. The help documents are intended to assist the user with AHA policies, procedures and navigating the system.

An Award is bound by the terms and limitations under which it was approved unless otherwise indicated by the American Heart Association. AHA Awards are assigned to staff to manage by state. Please see page 24 of the guide for staff contact information.

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

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

Guides are updated annually if needed and placed on the web. Please look for an updated guide for your Award each year in December. Research information may be found at [http://professional.heart.org/professional/ResearchPrograms/UCM\\_316889\\_Research.jsp](http://professional.heart.org/professional/ResearchPrograms/UCM_316889_Research.jsp).

## TABLE OF CONTENTS

	Page
<b>PREFACE</b>	
<b>I. AHA PROGRAM OVERVIEW</b>	
<b>II. CONDITIONS FOR AWARD SUPPORT</b>	
A. Award Terms and Conditions.....	1
B. Citizenship/Visa Requirements.....	2
C. Alternative/Overlapping Funding.....	2
D. Concurrent Awards.....	2
E. Submission of Award Activation Forms .....	2
F. Modification of Award Terms.....	2
G. Ethical Aspects of Research with Human Subjects and Animals.....	2
H. Standards on Falsification of Scientific Data, Plagiarism and Scientific Misconduct .....	3
I. Proprietary Research .....	5
J. Patent, Intellectual Property and Technology Transfer Policy .....	5
K. Liability .....	7
L. Investigator Financial Disclosure Policy.....	7
<b>III. LIFE CYCLE OF AN AHA AWARD</b>	
A. Notice of Award .....	7
B. Award Forms and Concerns .....	8
C. Restricted Research Support.....	8
D. Location of Work .....	9
E. Percentage Effort .....	9
F. Payment Method .....	9
G. Reporting Requirements .....	10
H. Title to Equipment .....	11
I. Interruption of Award.....	11
J. Changes to Award.....	12
K. Early Termination or Resignation of Award.....	14
L. Continuation of Support.....	15
M. Publications.....	15
N. Research Publicity.....	15
<b>IV. EXPENDING AWARD FUNDS</b>	
A. Accounting.....	16
B. Audit .....	16
C. Expenditures and Obligations .....	16
D. Award Amount.....	16
E. Reduction of Award Amount .....	17
F. Fellowship Stipend and Project Support.....	17
G. Grant Program Expenditures.....	17
H. Allowable and Non-Allowable AHA Expenditures (Table).....	17
I. Description of Allowable and Non-Allowable Expenditures.....	18
J. Financial Report .....	21
K. Deficits.....	21
L. Carryforward of Unexpended Funds .....	21
M. Non-Reporting.....	22
 Awards Management by State.....	 23
Glossary.....	24

## I. AHA PROGRAM OVERVIEW

The AHA funds research broadly related to cardiovascular function and disease, stroke or to related clinical, basic science, and public health problems and all basic disciplines as well as epidemiological, community and clinical investigations that bear on cardiovascular and stroke problems. The Association approves Awards to selected Institution to support research efforts in these areas.

Following is a list of the programs offered by the Association for fiscal year 16-17 and 17-18. For detailed description of programs offered over the last seven years, please visit the 'Awards & Policies' section on the AHA Research Programs Information pages at [http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM\\_475340\\_Awards.jsp](http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM_475340_Awards.jsp).

Programs Fiscal Year 16-17	Programs Fiscal Year 17-18
<ul style="list-style-type: none"> <li>• Predoctoral Fellowship</li> <li>• Postdoctoral Fellowship</li> <li>• Clinical Health Profession Student Training Program</li> <li>• Clinical Scientist Training Program</li> <li>• Fellow-to-Faculty Transition Award</li> <li>• Mentored Clinical &amp; Population Research Award</li> <li>• Scientist Development Grant</li> <li>• Established Investigator Award</li> <li>• Grant-in-Aid</li> <li>• AHA Institutional Research Enhancement Award</li> <li>• Innovative Research Grant</li> <li>• Collaborative Sciences Award</li> <li>• Mentor/AHA Mentee</li> <li>• Merit Award</li> </ul>	<ul style="list-style-type: none"> <li>• Institutional Undergraduate</li> <li>• Predoctoral Fellowship</li> <li>• Postdoctoral Fellowship</li> <li>• Career Development Award</li> <li>• Established Investigator Award</li> <li>• AHA Institutional Research Enhancement Award</li> <li>• Innovative Project Award</li> <li>• Transformational Project Award</li> <li>• Collaborative Sciences Award</li> <li>• Merit Award</li> </ul>

Information about the AHA Strategically Focused Research Networks and the Institute for Precision Medicine is available on our web site as well as a list of the current program offerings at [http://professional.heart.org/professional/ResearchPrograms/ApplicationInformation/UCM\\_316909\\_Application-Information.jsp](http://professional.heart.org/professional/ResearchPrograms/ApplicationInformation/UCM_316909_Application-Information.jsp).

## II. CONDITIONS FOR AWARD SUPPORT

### A. AWARD TERMS AND CONDITIONS

The AHA has established Award Terms and Conditions for accepting funding from our organization. We believe our Terms & Conditions are very liberal and favorable towards the Investigator and the Institution. To help reduce the administrative burden for our research team and legal staff, the AHA has moved to a practice of not modifying the Award Agreement Terms & Conditions for individual Institutions or Awards. The Terms and Conditions are available on our web site at [http://professional.heart.org/idc/groups/ahamah-public/@wcm/@sop/@rsch/documents/downloadable/ucm\\_470094.pdf](http://professional.heart.org/idc/groups/ahamah-public/@wcm/@sop/@rsch/documents/downloadable/ucm_470094.pdf)

The AHA reserves the right to modify the Terms and Conditions of the Award Agreement with 12 months written notice to the Awardee and the Institution.

## **B. CITIZENSHIP/VISAREQUIREMENTS**

Award recipients must meet AHA citizenship criteria throughout the duration of their Awards including any authorized extension period. For detailed information regarding eligibility requirements, please see the Program Descriptions in the 'Awards & Policies' section of the Research Programs pages at [http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM\\_475340\\_Awards.jsp](http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM_475340_Awards.jsp).

Awards are subject to termination if citizenship/visa status no longer meet AHA requirements. It is the responsibility of the Awardee Institution (as the employer or sponsoring institution) to ensure legal verification of citizenship or visa status and compliance with AHA policy.

## **C. ALTERNATIVE/OVERLAPPING FUNDING**

### **Alternative (pending or planned Applications) Funding**

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

### **Overlapping (active or approved Awards) 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 Investigator can accept the Association Award only if he/she relinquishes the overlapping Application.

In accepting an Award from the American Heart Association, the Principal Investigator and the Awardee Institution assume an obligation to expend Award funds for the research purposes set forth in the Application and to affirm that there is no supplementary or duplicate funding for these purposes. The Principal Investigator and Awardee Institution will promptly notify the AHA of the activation of any Award which is alternative or overlapping to AHA support.

After an Application is reviewed by the Association, the alternative designation of the Project or the budget cannot be changed to accommodate any partial alternative funding. The Investigator 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 Investigator can accept only one Award if more than one is approved for funding. 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.

## **D. CONCURRENT AWARDS**

An individual may not hold more than one Association Award concurrently.

Exception: An investigator may hold two Association Awards concurrently if all three apply:

- there are no more than six months remaining on the initial Award at the start date of the second Award,
- the Projects have no overlap in specific aims, and
- there is no budgetary overlap between the two Projects.

If there are additional exceptions, they will be noted on the Program Descriptions for the specific program.

## **E. SUBMISSION OF AWARD FORMS AND DOCUMENTATION**

The Principal Investigator and Awardee Institution must provide the AHA with the required award forms and documentation by the due date set forth in the Award letter as a condition of accepting the award. The AHA will not make Award payments until all required documentation have been received. (See Section III Life Cycle of an AHA Award, Subsection B for more information.)

## **F. ETHICAL ASPECTS OF RESEARCH WITH HUMAN SUBJECTS AND ANIMALS**

The ethics of experimentation with human subjects and animals has a number of implications. Above all, there is

a basic obligation to the experimental subject. In addition, it is important to ensure that any tissues or cells derived from experimental subjects be handled respectfully. Circumspection in ethical areas is also important for the Principal Investigator and for the scientific community as a whole.

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

With respect to human and animal experimentation, the Awardee, Sponsor and department head at the Institution must affirm:

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

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

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

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

### **I. STATEMENT OF PRINCIPLE AND PURPOSE:**

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

### **II. SUBMITTED ARTICLES AND ABSTRACTS:**

#### **A. Allegation or Indication of Scientific Misconduct**

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

B. Responsible Party

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

III. PUBLISHED REFEREED ARTICLES AND ABSTRACTS:

A. Requests To Retract

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

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

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

B. Format of Retraction

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

C. Responsible Parties

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

IV. AHA FUNDED SCIENTIST SUSPECTED OF VIOLATION:

A. AHA Level

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



findings or recommendations, seeking restitution from the scientist or Institution, notifying other funding or appropriate agencies, or requesting retractions of published articles or studies.

B. Affiliate Level

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

C. Responsible Parties

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

V. PROCEDURE:

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

**H. PROPRIETARY RESEARCH**

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

**I. PATENT, INTELLECTUAL PROPERTY & TECHNOLOGY LICENSING POLICY**

Inventions from research performed during the term of the Award will be subject to the current patent, intellectual property & technology transfer policies of the AHA as well as to the corresponding policies of the Institution where the work is performed. Set out below is the binding Patent, Intellectual Property & Technology Transfer Policy of the AHA, approved by the AHA Board of Directors on October 23-24, 2002; Amended: October 27, 2011.

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

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

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

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

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

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

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

execution of the Project.

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

1. Inventions are subject to AHA’s Patent, Intellectual Property, and Technology Licensing Policy as set forth below:
2. All Inventions shall be reported in writing to the AHA within 60 days of the date when the Invention is disclosed to the Institution where the work was done, and prior to any public disclosure. The report to AHA should be the initial copy of the Institution’s Invention disclosure form and any subsequent versions that have substantive changes or additional information.
3. If the Institution receiving or disbursing the AHA funds that support the Invention has an established and applicable patent, intellectual property or technology transfer policy and procedure for administering Inventions, the AHA will defer to that policy with the following exceptions and requirements which shall control in the event of a conflict:
  - a. Title to any Invention shall reside in the Institution; and title may be permitted to reside in the Inventor(s) or any other person or institution with the prior written approval of the AHA, upon advice of the AHA’s Legal Counsel and science advisors, except that no AHA approval is required for title to reside in the United States Government.
  - b. Institution and Investigator(s), if appropriate, shall promptly determine whether they desire to seek patent or other statutory protection for an Invention and shall notify the AHA in writing within 60 days of the decision to seek (or not seek) such protection. The AHA also will be notified in writing within 60 days of a patent application being filed, and any patent subsequently being issued, and/or of a license, lease, sale, or revenue generating Agreement concerning the Invention prior to their execution. No patent or patent application shall be abandoned without prior notification by the Institution or Inventor(s) to the AHA and offering to assign to AHA all right, title, and interest to the Invention to the extent permitted by law.
  - c. Notwithstanding any other provision of this policy, the AHA shall participate in the income derived from the Invention. The AHA’s participation shall be determined, within one year or a reasonable period of time after reporting of the Invention to the AHA, by mutual Agreement between the Institution or other titleholder and the AHA, with the AHA’s rights hereunder not being affected if such determination is not made within said time period. The amount of the AHA’s participation shall be guided by the principle that the AHA’s sharing of income shall be in proportion to the AHA’s portion of support for the work or research giving rise to the Invention. The AHA waives receipt of income until the cumulative net income (i.e., net of any direct out-of-pocket patenting costs) from an Invention conceived or reduced to practice from the performance of an AHA Award exceeds \$500,000.
  - d. The Institution or other titleholder, when it licenses an Invention to another party for commercialization, shall include provisions in the license obligating the licensee to commercialize the Invention in a diligent manner and meet appropriate diligence requirements and concrete development milestones to avoid the license terminating, and the Institution or other titleholder shall monitor performance of the licensee relative to these requirements and milestones. The Institution or other titleholder, or its designee or licensee shall take commercially reasonable steps to bring the Invention to practical or commercial application in a reasonable time period (based on type of Invention) after issuance of a patent or other clear determination of commercial value. If the Institution or other titleholder, or its designee or licensee, has not taken commercially reasonable steps and cannot show reasonable cause why it should retain title to and all rights in the administration of the Invention for a further period of time, then, if no other parties have superior legal rights, the Institution or other titleholder and the AHA shall determine a course of action including but not limited to (i) the Institution or other titleholder’s renegotiation of milestones with the current licensee or termination of the current license and licensing of the Invention to another licensee; (ii) a non-exclusive right to the Institution or other titleholder to practice the Invention for any non-commercial purpose; (iii) a global, exclusive or non-exclusive, non-revertible, royalty-free license to the AHA; (iv) the provision to the AHA of any additional materials necessary for regulatory

filing and the technology's enablement that might be in the possession or control of the Institution or other titleholder, except for intellectual property that was not generated as a result of the AHA's assistance; or (v) any other action appropriate in the circumstances.

4. If the Institution has no established and applicable patent, intellectual property or technology transfer policy or procedure for administering Inventions, title to any Invention shall reside in the Institution or Inventor(s) as agreed by them and the Institution and Inventor(s) shall comply with all requirements in Sections 3b and 3d and the AHA shall have all rights set out in Sections 3c and 3d.
5. Situations with multiple funders in addition to the AHA. The right of the AHA to participate in revenue derived from an Invention pursuant to section 3.c is not waived in these situations.
  - a. Multiple funders. If any Invention is conceived or reduced to practice from the performance of research funded by the AHA and by independent funding from another health agency or funding organization, not an agency or department of the United States Government, the Inventors and the Institution will work with the AHA to negotiate with the other agency/organization in good faith for a mutually satisfactory determination of rights to administer the Invention and determination of the fair share of the royalty or other income to be paid to the Institution, Inventor(s), AHA and other parties who independently funded such research.
  - b. Federal funders. Notwithstanding any other provisions of this policy, if an Invention is conceived or reduced to practice from the performance of research funded by the joint support of the AHA and an agency or department of the United States Government, the AHA may defer to the patent, intellectual property or technology transfer policy of the United States Government.

#### **J. LIABILITY**

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

#### **K. INVESTIGATOR FINANCIAL DISCLOSURE POLICY/OBJECTIVITY IN RESEARCH**

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

Submission of the Application to the Association indicates approval and compliance with the requirement that an institutional administrative process be in effect to identify and resolve conflicting financial interests of the type described in Subpart 50.605(a) with respect to all Research Projects for which funding is sought from the Association.

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

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

After Applications are reviewed and funding decisions have been made, notification will be sent to the Principal Investigator indicating the outcome of their Application review is available in Grants@Heart. The Grants Officer and Sponsor (included on fellowship applications) will also receive an email to log into Grants@Heart to review

the status of the Application. Grants Officers and Sponsors are only allowed to view the final status. They cannot see the scores or review comments.

The Principal Investigator can view the Award letter and the review comments on the outcomes page. The Award letter is also available by navigating to the Manage Awards tab, then selecting View Awards in Grants@Heart.

The official start date of the Award is the earliest date and the termination date is the latest date that funds may be obligated or expended. Association Awards are typically scheduled to start on January 1 or July 1, unless otherwise specified in the Application instructions or on the Program Description.

## B. AWARD FORMS AND CONCERNS

In accepting an Award from the AHA, the Investigator is expected to submit forms and documentation as outlined in the Award Letter. All forms except the Award Agreement may be submitted in the AHA grants management system, Grants@Heart.

### Award Forms

Forms and requested documentation should be submitted within a month of Award notification. The Award Agreement may be submitted with electronic signatures through the AHA's e-Sign Digital Signature application. If the Award Agreement is printed, it will require original signatures and may be emailed or mailed to the AHA. The email address and mailing address are included on the Agreement.

Form	Purpose	Date due to the AHA
Acceptance Form	Indicates acceptance of the Award and contingencies/concerns of acceptance	Due 5-10 days after Award notification
Award Agreement	Contract between the AHA, the Award and Awardee Institution	Due within one month of Award notification
MeSH Research Form	Classifies the research by scientific category	Due within one month of Award notification
Subject Use Form	Identifies the subjects and sources used in the research	Due within one month of Award notification
Project Budget	Provides a detailed list of proposed Project expenses	Due within one month of Award notification
Bank Information* (submitted by Grants Officer)	Provides information for sending Award payments to the Institution	Due within one month of Award notification
Open Data Plan/Opt-Out request	Confirm investigators plan or opt-out request complies with AHA policy	If action is required, due date will be communicated to investigator

\*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 Awards to be funded by a research-restricted donation. Awardees whose Projects are selected for such funding will be contacted directly by AHA staff to review the guidelines associated with such Awards. The Research Committee suggests that all Awardees discuss the

possibility of accepting such an Award with their Department Chair or other appropriate institutional officer. Acceptance of research-restricted funds is not a requirement for receipt of an AHA Award. The specific guidelines that govern these Awards will be communicated in writing to the Awardee and are summarized below.

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

- If funded with a corporate/foundation/individual/society donation, the Awardee will be designated as an **AHA-(name of 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**

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

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

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

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

Fellowship and training awardees are expected to devote at least 80 percent of full-time work either to research or to activities pursuant to independent research (instead of administrative, clinical, or teaching responsibilities).

All other Award recipients are expected to devote an amount of time to the Project that is appropriate for achieving the aims of the original Proposal unless stated otherwise in the program description. Percentage effort on the Project may be changed during the term of the Award with prior AHA approval.

#### **F. PAYMENT METHOD**

The AHA currently pays research Awards quarterly by direct deposit the month following the end of the quarter. For example, the Award payment for the quarter beginning January 1 and ending March 31, will be processed

in April. Payments are transferred on or around the third Tuesday of the month in January, April, July and October.

The AHA will request institutional bank information for sending award payment by electronic funds transfer or direct deposit. Sending payments electronically is safer, faster and less expensive than mailing checks. To avoid delays in receiving Award payments, Institutions should request an update or revision to their bank information promptly if there are changes. Requests for updates may be submitted via a bank information Award change request in Grants@Heart.

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

## G. REPORTING REQUIREMENTS

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

Financial Reports (for grant awards) — A Financial Report is the fiscal accounting of expenses related to the Project. It should be submitted annually by the Fiscal Officer in Grants@Heart and approved by the Principal Investigator. The reports are due within 90 days following the close of each Award year and approved no-cost extension. Reports are generally due on April 1 or October 1 depending on the start date of the Award. Grants@Heart will send an email reminder to the Fiscal Officer 90 days before the report due date.

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

Open Science 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:** Any research data that is needed for independent verification of research results must be made freely and publicly available in an AHA approved repository within 12 months of the end of the funding period (and any no-cost extension). The programs that are currently exempt include Undergraduate Fellowships, Medical Student Research Fellowships, Predoctoral Fellowships, Postdoctoral Fellowships, Mentor/AHA Mentee Awards and Mentored Clinical and Population Research Awards. Please see AHA’s Open Science Policies: [http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM\\_461225\\_Open-Science-Policy-Statements-for-AHA-Funded-Research.jsp](http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM_461225_Open-Science-Policy-Statements-for-AHA-Funded-Research.jsp).

If a scientific or financial report has not been submitted to the AHA by the due date, Grants@Heart will send a monthly email reminder to the Investigator (and Fiscal Officer for a financial report) that the report is past due.

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

Report/Form	Submitted by	Date Due to AHA
Scientific Report	Principal Investigator (Award recipient)	Due annually (usually in June or December depending on the Award start date)

Financial Report	Fiscal Officer (also requires approval of the Principal Investigator)	Due annually 90 days after Award year end (usually on April 1 or October 1 depending on Award start date)
Patent Report	Principal Investigator (Award recipient) with consultation for appropriate institutional personnel	Due within 60 days of the date the Invention is disclosed and prior to any public disclosure
Open Science Data Plan or Opt-Out Request	Principal Investigator (Award recipient)	Due upon request from AHA or updates as deemed appropriate by the investigator

## H. TITLE TO EQUIPMENT

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

If the AHA approves the transfer of an Award to another Institution, equipment purchased with AHA funds will be transferred and title vested in the new Institution for the specific use by the designated Principal Investigator. Permanent vesting will be in the Institution upon Award completion or termination.

## I. INTERRUPTION OF AWARD

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

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

A written request should be submitted to AHA indicating the dates of the leave, the reasons for the request and the Principal Investigator's intention to resume the Research Project. The Research Committee will review the request and determine the most appropriate course of action. The Principal Investigator and/or department chairperson will be notified of the disposition of the request.

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

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

4. **Delayed Start/Escrow** — In very limited circumstances, the Principal Investigator may request that an Award remain active, yet have the payments placed on hold for a period of time.

For occasions, such as family and medical leave or authorized military leave, the Principal Investigator of an AHA Award may request that Award funds be temporarily held in an escrow account. A delayed start or suspension of an Award already in progress may be requested. Eligible circumstances include:

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

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

Requests for placing Award funds in escrow must be submitted to the American Heart Association in writing by the Principal Investigator, and the request must be authorized by both the department head and the appropriate institutional officer. A copy of the Family and Medical Leave request and approval from the Institution must be submitted to the AHA, if applicable.

The AHA Leadership will review the request and a notice of disposition will be provided to the Principal Investigator. The Principal Investigator will be expected to share the escrow disposition notice with the appropriate institutional officers. If an escrow is approved, it will be available in six-month increments. A maximum of two consecutive six-month increments may be requested during the term of an Award.

All requests are subject to review by AHA staff and/or the Research Committee. The outcome of the request will be communicated to the Awardee. If the request is approved, all payments for the Award will be suspended until the escrow period ends and the Principal Investigator resumes active research on the Project.

## J. CHANGES TO AWARD

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

### 1. **Change of Principal Investigator or Sponsor on a Fellowship Award**

A change of Principal Investigator is not allowed for career development awards or career recognition awards. These Awards were peer reviewed and based in part on the individual qualifications of the Award recipient.

In very limited circumstances the AHA Research Committee will consider a permanent change of Principal Investigator for research project-based awards, such as the Grant-in-Aid or Innovative Research Grant or a Sponsor on a fellowship award. The following documents **must** be sent to the AHA Division of Research Administration at least 60 days prior to the proposed change:

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

The request to change the Principal Investigator or Sponsor will be considered by the Research Committee. If



approved, the new Principal Investigator is required to submit a new Award Agreement with the AHA. If the change is not approved, the Award will terminate on the date the original Principal Investigator ceases work on the Project.

**A change of Principal Investigator is not allowed during an extension year of the Award.**

**A temporary change of Principal Investigator or Sponsor is not allowed at any time during the Award Period.**

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

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

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

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

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

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

- documentation of proof of the Institution's unqualified Association for Assessment and Accreditation of Laboratory Animal Care International, (AAALAC) accreditation OR U.S. Public Health Service Animal Welfare Assurance Identification Number; and
- a copy of the Institutional Animal Care and Use Committee (IACUC) approval of the Project.

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

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

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

The Research Committee will review the request and a notice of disposition will be sent to the Principal

Investigator, Fiscal Officer and department chairperson at the current Institution and, if the transfer is approved, the notice of disposition will also be provided to the Fiscal Officer and department chairperson at the new Institution.

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

3. **Change of location of Award (departmental transfer)** — Transfer of an Award to another department within the Principal Investigator's Institution requires prior approval by the Research Committee. The effective date of the transfer must be the first day of the month.

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

- **Letter of Request** outlining the reasons for the transfer and indicating how the move will alter the Principal Investigator's Research Plans, if at all. Concurrence should be indicated by the co-signature of the present department chairperson.
- **Letters of Approval** from the proposed department chair indicating that adequate facilities and assistance will be provided, as well as willingness of the Institution to administer the Award; a co-signature of the Fiscal Officer should be obtained only if the Fiscal Officer will change.

The Research Committee will review the request and a notice of disposition will be sent to the Principal Investigator, Fiscal Officer and department chairperson.

4. **Change of Scientific Direction** — Although Awards are made based on the specific research Proposal, 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 approval is required for major changes in the direction or content of the original research Proposal.
5. **Change of department chairperson or Fiscal Officer** — The Awardee must inform the Association if there is a change of department chairperson and/or Fiscal Officer. The new chairperson and/or Fiscal Officer should send a letter to the AHA indicating willingness to assume administrative and/or fiscal support for the Award. If the new department chair or Fiscal Officer is not able or willing to provide such support, the Awardee should contact the AHA to discuss appropriate options.

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

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

Upon notification by the AHA of termination, a final Scientific Report of the work accomplished to date must be submitted, as well as a final Financial Report with a check for any unexpended award funds. Fellowship projects will be prorated for the time the award was active. Grant projects will be paid based on authorized funds to cover allowable expenses incurred within the period the award was active.

## L. CONTINUATION OF SUPPORT

An Awardee may hold only one Association Award at a time except as noted in Section II.C. of this guide.

Award recipients must meet the award requirements throughout the duration of the award. For example, Predoctoral Fellowship recipients that earn their doctoral degree must relinquish the fellowship when their degree is conferred.

Postdoctoral Fellows promoted to faculty/staff appointments during the award term must resign. Since the fellowship is considered a training Award, a faculty or staff appointment cannot be held. (The exceptions are MD's or MD/PhD's with clinical responsibilities who hold a title of instructor or similar due to their patient care responsibilities but who devote at least 80% full-time effort to research training.) An Awardee may defer the date of promotion to complete the fellowship.

For programs, such as the Scientist Development Grant, Grants-in-Aid, etc. that require the investigator to have a faculty appointment at an institution/organization, the investigator must maintain the appropriate appointment for the duration of the award. The award may not be put on hold while the investigator searches for a faculty appointment.

## M. PUBLICATIONS

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

Awardees are encouraged to report to the public on both the nature and objectives of their work, as well as on actual results. They are requested to acknowledge Association support in all publications resulting from work carried out during the tenure of their Award. The recommended format follows: "THIS WORK WAS SUPPORTED BY AMERICAN HEART ASSOCIATION GRANT #YYPPPP##### (AWARDEE NAME)". YY = year the award started. PPPP = 3 OR 4 letter abbreviation of the program. 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 and name(s) of supported authors.

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

1. Career Development Awards: It is anticipated that publication of all research conducted by Awardees during the tenure of an AHA career development awards will acknowledge support by AHA, whether published during or after the term of award. Career Development Awards include Undergraduate Student Research Program Awards, Health Sciences Fellowship Awards, Pre- and Postdoctoral Fellowship Awards, Fellow-to-Faculty Transition Awards, Mentored Clinical & Population Research Awards, Beginning Grant-in-Aid, Scientist Development Grants, and Established Investigator Awards.
2. Research Project-based Awards: It is expected that publication of research proposed in the grant application or developed during the course of a research project-based award will acknowledge support by AHA, whether published during or after the term of award. Research project-based awards include, Grant-in-Aid, Innovative Research Grant, Collaborative Sciences Award and Strategically Focused Research Networks (SFRN).

## N. RESEARCH PUBLICITY

Public understanding and support of cardiovascular research requires continuous reporting of the nature, objectives, and results of investigative work. Investigators are urged to cooperate in such reporting. It is understood, however, that although such reporting is voluntary, it must conform to policies and procedures

approved by the AHA. The following principles and procedures are followed by the AHA in publicizing studies and investigators supported through the AHA research program.

**1. Principal Investigator Approval**

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

**2. Timing of Release**

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

**3. Method of Release**

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

## IV. EXPENDING AWARD FUNDS

### A. ACCOUNTING

Financial administration of an Award should comply with generally accepted accounting principles. Supporting records of Award expenditures must be in sufficient detail to clearly indicate the nature of expenditures. The Fiscal Officer of the Institution agrees to make accounting records of disbursements available to the AHA upon due notice.

### B. AUDIT

The AHA may make periodic fiscal audits to determine the following:

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

### C. EXPENDITURES AND OBLIGATIONS

Award expenses and purchases must be made during the approved Award Period for which funds are allocated by the Association. The Association will not cover expenditures incurred outside the authorized Award Period. Expenditures and obligations are limited to the amount awarded for each fiscal period.

Expenditures are considered monies paid out during the Award Period. All award expenses must be directly related to the approved AHA project.

Obligations include all purchases entered into but not paid for during the approved Award Period (based on purchase orders, invoices, or other evidence of liability consistent with accounting and purchasing procedures of the Awardee Institution).

### D. AWARD AMOUNT

Annual Award Amounts and totals vary by program and may vary by funding cycle. For a complete list of Program Descriptions with specific award limits for PI salary/fringe and project support, please visit

[http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM\\_475340\\_Awards.jsp](http://professional.heart.org/professional/ResearchPrograms/AwardsPolicies/UCM_475340_Awards.jsp). Scroll down the page, select the Award start date and the appropriate Program.

#### **E. REDUCTION OF AWARD AMOUNT**

Awards may be reduced at the time of peer review of the Application. If the budget is reduced, an Award Concern will be added to the Award Acceptance form notifying the investigator of the reason for the change.

#### **F. FELLOWSHIP PROGRAMS STIPEND AND PROJECT SUPPORT**

The Association permits supplementation of the fellow's stipend. The stipend from the AHA award plus the amount supplemented may not exceed 100% of the salary established by the Institution for the fellow. The Awarded stipend from the AHA must be used for the salary of the AHA approved fellow. Supplementation from another fellowship or training Award is prohibited.

If Project support is approved for the Award, the funds may not be paid to the fellow as stipend. The funds must be used for allowable expenditures as indicated in the Program Description. If an expense type is not specifically mentioned in the Program Description or the following tables, please contact Awards Administration.

Financial Reports are not typically required on fellowship programs since the awards are primarily stipend. If the award terminates early, the payments will be prorated to cover the time the award was active. If there are questions regarding final payment on an award, the Award staff may request a report with award expenditures. Indirect costs are not allowed on fellowship programs.

The Project support for continuing Fellowship Awards may be carried over from year to year without AHA approval. No-cost extensions are not allowed for Fellowship Awards. Funds remaining at the end of the approved Award period should be returned to the AHA.

#### **G. GRANT PROGRAMS EXPENDITURES**

##### **Re-budgeting Funds**

To allow Investigators maximum flexibility on grants, funds may be re-budgeted between allowable categories of the budget without AHA approval. Such changes must be within the specified limits for each category.

Deficit balances are not allowed except under the following special circumstances. A Principal Investigator on a grant may submit a request to carry a deficit balance under special circumstances (e.g., purchase of equipment). The request must be submitted in advance of incurring the deficit balance and must be reviewed by AHA Leadership before a deficit balance is incurred.

##### **Indirect Costs**

Indirect costs (may also referred to as Facilities and Administrative, F&A costs or overhead) are real costs incurred by the Institution in support of sponsored activities but cannot be directly identified with a specific Award or contract. If allowed by the program, institutional indirect costs for physical plant costs may be charged up to ten percent (10%) of the total expenditures each year on Awards. Indirect costs charges are for the use of the Awardee Institution and may be taken only at the time an amount is properly charged to the Award.

Exception: Indirect costs are not allowed during the fellowship training phase of Fellow-to-Faculty Transition Awards.

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

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

<b>Expense Types</b>	<b>Allowed</b>
Alterations and Renovations	No
Books, Subscriptions	No
Collaborating Investigator Salary/Fringes	Yes
Computers	Yes
Consultative Services	May be requested, AHA approval required
Data Network chargebacks	No
Equipment	Yes
Expenses in Obtaining a Visa	No
Indirect Costs	Yes, up to 10% of total annual expenses reported
Malpractice Insurance	No
Membership Dues	Yes, ONLY for AHA Professional Membership
Other Personnel Salary/Fringes	Yes
Overhead	Yes, up to 10% of total annual expenses
Parking Fees	No
Patient Care, Hospitalization, Diagnostic Laboratory	No
Patient Transportation	Yes
Payment of Human Subjects	Yes
Personnel Recruitment	No
PI Salary/Fringes	Yes
Postage — Overnight Mail related to Project	Yes
Publication Costs and Reprints	Yes
Receptions and Meals	No
Service Contracts	Yes
Subcontracts	Yes, with prior AHA approval
Supplies	Yes
Telephone — Long Distance related to Project	Yes
Travel — Domestic or Foreign	Yes
Tuition Costs	No
Uniforms, Wearing Apparel	No

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

### **1. Alterations and Renovations**

Use of Award funds may be requested for limited laboratory alterations or renovation of existing facilities, but only when required to execute the approved AHA Research Project. The Principal Investigator must submit a written request/justification in advance for alterations and/or renovation and the approximate cost. The Research Committee will review the request and a notice of disposition on the request will be sent to the Principal Investigator.

### **2. Books and Subscriptions**

The purchase of books and subscriptions to journals cannot be made with Award funds. Subscriptions to electronic journals, books and other publications are not permitted.

### **3. Collaborating Investigator, Co-Investigator Salary/Fringes**

Collaborating Investigators, Co-Investigators and other participants with faculty appointments may receive personal salary from the Award. See program description for specified limits.

### **4. Computers**

The Principal Investigator may purchase computers, notebooks, smart devices and related equipment computer equipment. Software and downloads that are essential to the project are allowed. The AHA considers these items to be equipment and will be vested with the institution of record at award termination.

### **5. Consultative Services**

Specialized consultative services from individuals may be requested. Individuals with or without doctoral

degrees may be employed as consultants on a part-time basis when the Project clearly requires these special services. The Principal Investigator must submit a written request/justification for the use of the services and the approximate cost. The AHA Leadership will review the request and a notice of disposition will be sent to the Principal Investigator.

**6. Data Network/Internet Services**

Expenses related to digital telecommunication or infrastructure are not allowed as direct grant expenses.

**7. Equipment**

For the purpose of AHA Awards, equipment is defined as any item which has a primary function related to the Research Project and will ordinarily have a usable life expectancy of over one year, costing \$100 or more. Equipment purchases must be made clearly indicating that the Principal Investigator will use such equipment for at least six months during the Award Period, which includes any authorized extension period.

**8. Expenses in Obtaining a Visa**

Expenses associated with obtaining a temporary or permanent visa for personnel to work on the Award is 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. If allowed by the program, institutional indirect costs for physical plant costs may be charged up to ten percent (10%) of the total expenditures each year on Awards. Indirect costs charges are for the use of the Awardee Institution and may be taken only at the time an amount is properly charged to the Award.

**10. Malpractice Insurance**

The premiums for malpractice insurance are not permitted.

**11. Membership Dues**

AHA Professional Membership dues for the Awardee are allowed. Membership dues to other organizations and other staff 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. Salary amounts and percent effort to the Project will be monitored for appropriateness.

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

If no postdoctoral salary/fringes were budgeted in the Application budget, prior approval is required for utilizing Award funds for this purpose. The Principal Investigator must submit a request indicating the amount of salary to be paid, amount of time to be spent on the Project, and a curriculum vitae and bibliography of the individual.

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

**13. Overhead**

Overhead, also referred to as indirect costs, may be charged up to ten percent (10%) of the total expenditures each year. Charges for standard postage meter, telephone, rental of office or laboratory space, furniture and other routine expenses are not permitted to be charged separately to the Award.

**14. Parking Fees**

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

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

AHA policy prohibits use of AHA Award funds for services paid on a fee basis, such as diagnosis, medical

and surgical treatment, laboratory studies, hospitalization, drugs or related services when those services are primarily for clinical care and not uniquely in support of the Research Project.

**16. Patient Transportation**

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

**17. Payment of Human Subjects**

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

**18. Personnel Recruitment**

The cost of advertising to recruit personnel for a Research Project is prohibited.

**19. Postage — Overnight Mail**

Overnight mail charges directly related to the Project are permitted.

**20. Principal Investigator Salary/Fringes**

Award policies allow some salary and fringe benefits for the Principal Investigator to be budgeted. The Principal Investigator salary/fringes must be consistent with the percent of the Principal Investigator's total effort devoted to the Research Project, within specified AHA limits.

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

**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 Award, which includes any authorized extension period.

**22. Receptions and Meals**

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

**23. Scientific Meetings Abroad**

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

**24. Service Contracts**

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

**25. Subcontracts**

Subcontracts for work to be done by another individual or organization, on the approved AHA project, may be requested. If the subcontracting organization includes 10% Indirect Costs as a portion of the subcontract, the Awardee Institution cannot take an additional 10% on top of these indirect costs. Indirect costs can only be charged once on the subcontract expenses.

**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, such as: 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. 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.

**29. Tuition Costs**

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

**30. Uniforms, Wearing Apparel**

The cost of uniforms and other wearing apparel is prohibited.

**J. FINANCIAL REPORT**

For grant programs, the financial reports should be submitted no later than 90 days after the close of each annual Award Period and approved no-cost extension period, or no later than 90 days after an authorized transfer of the Award or early Award termination. Final reports submitted at the end or early termination of an award must be accompanied by a check for the balance of any unexpended funds. Unexpended funds of less than \$10 may be retained/written off by the Institution. All financial Report forms should be submitted in the Grants@Heart system.

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

**K. DEFICITS**

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

The AHA will not consider requests for additional funds to cover a deficit on an Award.

**L. CARRYFORWARD OF UNEXPENDED FUNDS**

For grant programs, funds remaining at the end of each award year may be carried over per the following guidelines.

- 1. Interim Award Year** — If there is an unexpended balance of funds of \$10,000 or less at the end of an Award year and if the Award is approved for additional year(s), these funds may be carried forward to the next award year without advance approval. This action can be implemented by selecting the appropriate option on the Financial Report form.

If the unexpended balance is greater than \$10,000, AHA approval is required. The Principal Investigator must submit a written request or a Carryover Change Request in Grants@Heart. The AHA will review the request and a notice of disposition will be sent to the Principal Investigator.

- 2. Final Award Year** — If unexpended funds at the end of the final award period are less than \$10, the institution may retain/write off the amount. Amounts between \$10 and \$500 should be returned to the AHA with the Financial Report.

If the unexpended balance is between \$500 and \$10,000, the Investigators may request up to a twelve-month extension to use a portion or all unexpended funds without prior AHA approval. This action can be completed by selecting the appropriate option on the Financial Report form.

If the remaining balance is greater than \$10,000, the Principal Investigator must obtain prior approval from

AHA to carryover the balance into an extension year. The Principal Investigator must submit a written request or enter a No-cost Extension Change Request in Grants@Heart. This can be done at the end of the final award year or at the time the final Financial Report is submitted (90 days after the Award year end date). The AHA will review the request and a notice of disposition of the request will be sent to the Principal Investigator.

**A SECOND EXTENSION YEAR IS NOT ALLOWED.** Funds remaining at the end of an authorized extension year must be returned to the AHA. The funds may only be used to support the approved AHA project.

#### **M. NON-REPORTING**

Quarterly payments on active Awards and the final payment (or some lesser amount determined by the AHA) for terminating Awards may be withheld if Financial 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 ends.**

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

## AWARDS MANAGEMENT BY STATE

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<b>State</b>	<b>Contact Name</b>	<b>State</b>	<b>Contact Name</b>
Alabama	Catina Clayton	Montana	April Ciesla
Alaska	April Ciesla	Nebraska	April Ciesla
Arizona	April Ciesla	Nevada	April Ciesla
Arkansas	Catina Clayton	New Hampshire	Dianne Cooper
California	April Ciesla	New Jersey	Dianne Cooper
Colorado	April Ciesla	New Mexico	April Ciesla
Connecticut	Dianne Cooper	New York	Rachel McEnany
Delaware	Dianne Cooper	North Carolina	Dianne Cooper
District of Columbia	Dianne Cooper	North Dakota	April Ciesla
Florida	Catina Clayton	Ohio	Dianne Cooper
Georgia	Catina Clayton	Oklahoma	April Ciesla
Hawaii	April Ciesla	Oregon	April Ciesla
Idaho	April Ciesla	Pennsylvania	Dianne Cooper
Illinois	Catina Clayton	Puerto Rico	Catina Clayton
Indiana	Catina Clayton	Rhode Island	Dianne Cooper
Iowa	Catina Clayton	South Carolina	Catina Clayton
Kansas	April Ciesla	South Dakota	April Ciesla
Kentucky	Dianne Cooper	Tennessee	Dianne Cooper
Louisiana	Catina Clayton	Texas	April Ciesla
Maine	Dianne Cooper	Utah	April Ciesla
Maryland	Dianne Cooper	Vermont	Dianne Cooper
Massachusetts	Rachel McEnany	Virginia	Dianne Cooper
Michigan	Catina Clayton	Washington	April Ciesla
Minnesota	Catina Clayton	West Virginia	Dianne Cooper
Mississippi	Catina Clayton	Wisconsin	Catina Clayton
Missouri	Catina Clayton	Wyoming	April Ciesla

## **GLOSSARY**

### **Definition of Key Terms**

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

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

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

**Association-wide:** The AHA research program is available to eligible investigators throughout the United States. Funding opportunities are no longer restricted by geographical area.

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

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

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

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

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

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

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

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

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

**Institutional Assurances:** the documentation from the institution that the investigator has approval to conduct research involving humans (IRB - Institutional Review Board) and/or animals (IACUC – Institutional Care and Use Committee).

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

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

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

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

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

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

**Protocol:** see Institutional Assurances

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

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

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

**Sponsor (Mentor):** a senior Investigator under whose guidance the Research Project of a Predoctoral or Postdoctoral Fellowship will be performed. A Sponsor is the administrative link with the Institution. The Sponsor offers whatever supervisory or collaborative assistance is necessary for the progress of the research program. A Sponsor must be familiar with an applicant’s area of research.

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