



2018/2019

Grant Management Guidelines

Contents

1) RESEARCH INTEGRITY	3
2) ETHICS AND SAFETY.....	3
3) NON-EMPLOYEE STATUS	4
4) INDIRECT COSTS	4
5) GRANTS & AWARDS HELD CONCURRENTLY.....	4
6) PARTNERED FUNDING/OVERLAP OF FUNDING.....	5
7) PATENTS RIGHTS AND COMMERCIALIZATION	5
8) FINANCIAL GAIN.....	7
9) PUBLIC INFORMATION	7
10) PRINCIPAL INVESTIGATOR/ AWARDEE: CHANGE IN STATUS	7
11) SIGNIFICANT CHANGES TO GRANT AND AWARD OBJECTIVES	9
12) LEAVES OF ABSENCE	9
12.1 PARENTAL LEAVE	9
12.2 MEDICAL OR FAMILY MEDICAL LEAVE	9
12.3 SABBATICAL LEAVE.....	9
12.4 OTHER PERSONAL LEAVE	10
13) REPORTING.....	10
13.1 GRANT-IN-AID	10
13.2 PERSONNEL.....	10
13.3 EMERGING RESEARCH LEADERS INITIATIVE (ERLI) AND CHAIR AWARDS	11
14) HEART & STROKE ACKNOWLEDGEMENT	11
15) NOTICE OF PUBLICATIONS	11
16) MARKETING AND COMMUNICATIONS	12
17) GRANT RENEWALS	12
17.1 FORFEITURE OF GIA FUNDING-RENEWALS	12
18) CLOSING/TERMINATION OF AWARDS AND APPLICATION OF CONDITIONS	12
19) FINANCIAL MATTERS	13
19.1 GENERAL.....	13
19.2 CLAIMS	13
19.3 CARRY FORWARD (WITHIN TERM OF GRANT)	13
19.4 CARRY FORWARD/NO-COST EXTENSIONS (END OF GRANT TERM)	13
19.5 CONTINUATION REQUIREMENTS:	14
19.6 FINANCIAL STATEMENT.....	14
19.7 GIA BUDGET ISSUES.....	14
20) SERVICE STANDARDS	15
20.1 GENERAL ADMINISTRATIVE QUESTIONS	15
20.2 REPORTS	15
20.3 INQUIRIES/INVESTIGATIONS OF GUIDELINE OR POLICY TRANSGRESSIONS.....	15

1) RESEARCH INTEGRITY

The primary objective of the Heart & Stroke Research Integrity Policy is to protect and defend the integrity of the research process and to deal with allegations of scientific misconduct in a timely and transparent fashion. Responsibilities of researchers, institutions and the Heart & Stroke with respect to research integrity are outlined in the (Heart & Stroke) Framework: Responsible Conduct of Research.

<http://www.hsf.ca/research/en/node/800>

As a condition of funding, all Heart & Stroke grant and award recipients agree to comply with the Principles and Responsibilities set out in that policy.

2) ETHICS AND SAFETY

Investigators must ensure all research activities comply with the following guidelines and host institution research policies, as applicable:

- Tri-Council Policy Statement: [Ethical Conduct for Research Involving Humans](#).
 - Any research involving human pluripotent stem cells must adhere to the CIHR Guidelines for Human Pluripotent Stem Cell Research (<http://www.cihr-irsc.gc.ca/e/15255.html>). The institution must notify Heart & Stroke as to the results of the review by the CIHR's Stem Cell Oversight Committee.
- In the case of laboratory animal experimentation, the guiding principles and standards enunciated by the Canadian Council on Animal Care (<http://www.ccac.ca/en/standards/guidelines>).
- Guidelines and standards for biological and chemical hazards as outlined in the Public Health Agency/Canadian Food Inspection Agency's Canadian Biosafety Standards and Guidelines (<http://canadianbiosafetystandards.collaboration.gc.ca/index-eng.php>).

Investigators must provide acceptable documentation to Heart & Stroke regarding the above. Funding is encumbered pending receipt of all required documentation. Further, in applying applicant and institutional signatures to an application, applicants are confirming to Heart & Stroke that the proposed research will not be undertaken until it has been endorsed as ethical and safe.

It is the responsibility of the Principal Investigator (PI) / awardee and the institution to ensure all required ethics and safety documents remain in place for the duration of the grant/award, including any carry-forward period. Investigators/awardee must certify this to Heart & Stroke when providing progress reports, and must notify Heart & Stroke immediately if required documentation has lapsed.

Heart & Stroke reserves the right to periodically audit any funded project during its term to ensure adherence to these ethics and safety provisions.

3) NON-EMPLOYEE STATUS

The granting of an award is deemed to establish neither an employer-employee relationship nor a partnership between the grantor and the grantee.

4) INDIRECT COSTS

The Heart & Stroke supports only the direct costs of research. No funding is to be used for indirect costs of research. The definition of indirect costs of research for the purposes of this policy is, costs which cannot be directly associated with a particular research program or operating grant including costs associated with the general operation and maintenance of facilities (from laboratories to libraries); the management of the research process (from grant management to commercialization); regulation and safety compliance (including human ethics, animal care and environmental assessment); and generic institutional/departmental taxes/tithes related to services.

5) GRANTS & AWARDS HELD CONCURRENTLY

a) GRANT-IN-AID:

PIs are allowed to hold no more than two Heart & Stroke research grants as PI and/or Co-PI at any one time.

b) NATIONAL/PROVINCIAL PERSONNEL:

Recipients may hold only one Heart & Stroke (national or provincial) award at any one time.

c) EMERGING RESEARCH LEADERS INITIATIVE (ERLI):

PIs are allowed to only hold one ERLI grant. A recipient of an ERLI grant who is also successful in obtaining an open operating grant from Heart & Stroke or another funding organization as a Principal Investigator (or co-Principal Investigator) after the start of ERLI funding will be allowed to keep the ERLI grant for the entire duration, provided there is ***no scientific or budgetary overlap with the research projects***. ERLI grant recipients are required to inform funding organizations of any newly acquired operating grants.

d) CHAIR:

Recipients may hold only one Heart & Stroke (national or provincial) award at any one time.

e) SEED/CATALYST:

PIs are allowed to hold one Seed/Catalyst grant. A recipient of a Seed/Catalyst grant who is also successful in obtaining an open operating grant from Heart & Stroke or another funding organization as a Principal Investigator (or co-Principal Investigator) after the start of the Seed/Catalyst funding will be allowed to keep the Seed/Catalyst grant for the entire duration.

6) PARTNERED FUNDING/OVERLAP OF FUNDING (Not applicable for Personnel Awards)

As part of the grant acceptance process, it will be required to identify and provide details of all funding (applied to and currently under review). The Heart & Stroke does not allow overlap/duplication of funding for approved expenses or activities in an Heart & Stroke funded grant (i.e. direct duplication). Please also note that the Heart & Stroke does not allow top-up funding for applications that have had their budgets reduced by another funding agency.

The relevant Submission Guidelines address the requirement to notify Heart & Stroke of any proposed partnered funding at the time of submission so that the Heart & Stroke can confirm the appropriateness of the partner. This requirement remains in effect through the term of a grant. Should a PI identify a funding partner, or in-kind contributor, during the term of a grant (may include funding/contribution from another funding agency or industry) this must be disclosed to Heart & Stroke immediately. The PI must advise Heart & Stroke of the degree of scientific, methodological or budgetary overlap that the new partnership represents with respect to the existing Heart & Stroke grant, and describe how they will resolve the overlap issue. Heart & Stroke may reduce its funding commitment by a corresponding amount. Total funding received from all sources for any expense to which Heart & Stroke funding applies, cannot exceed 100% of the actual Heart & Stroke approved budget/cost of the project.

In the event that overlap or duplication of funding is unclear or not easily resolved, Heart & Stroke will formally review the budget and research activities through its designated scientific advisors.

Heart & Stroke will not provide funds to any party which receives concurrent direct or indirect support from the tobacco industry for the duration of Heart & Stroke funding. The host institution(s) acknowledge that “support” includes, but is not limited to, receipt of a research grant or award, a contract for personal or professional services, a consulting agreement (paid or unpaid) or any other direct or indirect benefit, from the tobacco industry.

7) PATENT RIGHTS AND COMMERCIALIZATION

The Heart & Stroke’s policy regarding patent rights, commercialization and intellectual property is as follows:

- a) In these Guidelines “**Invention**” refers to any new and useful art, tools, technology, process, method, use, machine, manufacture or composition of matter or any improvements thereof created in performance of research funded in whole or in part by the Heart and Stroke Foundation of Canada (“**HSFC**”), for example, diagnostic tools, proteins and genes, drugs, and methods of treatment. “**Invention**” also includes, without limitation, improvements on inventions that are covered by patents or patent applications that were filed on the basis of research not funded by HSFC. “**Inventor**” means any individual, including the applicant for a grant (“**Applicant**”), Principal Investigator (if not the same as the Applicant) and members of the Applicant’s research team, who develops or otherwise makes an inventive contribution to the creation of an Invention.

- b) The Institution and the Principal Investigator (as defined in the Grant Agreement) shall within 30 days provide HSFC with a copy of any Invention disclosure statement or record of like effect prepared by one or both of them, and with a copy of all patent applications and patents pertaining to Inventions made by one or both of them. All information provided to HSFC under this Section 7 shall be held in confidence by HSFC.
- c) HSFC does not claim ownership of any Inventions, and HSFC's name will not appear on patent applications. Title to any Invention shall be determined by the Institution according to the Institution's established policies, procedures or other obligations, including agreements with third parties, existing at the date of grant. The Institution may transfer ownership of the intellectual property only to persons agreeing to be bound by the terms of these Guidelines. "**Owner**" means the entity and/or individual(s) that owns title to an Invention.
- d) The Institution and the Principal Investigator shall acknowledge the contributions of HSFC, by name, to their research in all non-commercial publications and broadcasts respecting Inventions. None of the Institution, the Principal Investigator or the Owner shall use the name of HSFC or any HSFC trademark or official mark in any communication in a manner which states or implies an endorsement by HSFC of any business, commercial product or service.
- e) The Owner may seek patent protection for all commercially valuable Inventions, and agrees that HSFC will participate in all proceeds to the Owner arising from the transfer, licensing or exploitation of the Inventions (the "**Proceeds**") while the patents remain pending or in force. "**Proceeds**" means any revenue received by the Owner from the licensing or commercialization of an Invention after reimbursement to the Owner of all direct costs incurred in connection with commercialization activities of the Invention. HSFC will consider waiving all or part of its share of the Proceeds where appropriate to promote the treatment, cure and control of heart disease and stroke.
- f) HSFC's share of the Proceeds shall be determined by the mutual agreement of the Owner and HSFC. If the parties are unable to agree, HSFC's share of the Proceeds will correspond with the proportion of HSFC's financial contribution to the overall costs of the research leading to and commercialization of the Invention, but in no event shall it be less than 2.5% of Proceeds. If HSFC and the Owner are unable to reach an agreement as to the calculation of such proportion, the matter shall be referred for final resolution to arbitration, in accordance with the *Arbitration Act*, S.O. 1991, as amended.
- g) HSFC may request the Owner or any successor in title to the Invention, and patents pertaining to it, to grant licences to use the Invention on a non-exclusive, royalty-free basis for academic, non-commercial research which, in HSFC's sole judgment, may lead to a treatment, cure or control for heart disease and stroke.
- h) The Owner shall require that any transfer or exclusive license of the Invention or patents pertaining thereto reserve the rights in paragraph "g)" above.

- i) The Owner shall provide an accounting to HSFC annually, on the anniversary date of the first patent application respecting an Invention, of all Proceeds received by the Owner respecting the Invention during the preceding twelve month period. At HSFC's sole expense, HSFC shall have the right to audit the Owner's books and records relating to the Proceeds.
- j) The Institution agrees to hold harmless and fully indemnify HSFC, its officers, employees and agents from and against any and all claims, demands, or causes of action whatsoever, including without limitation those arising on account of intellectual property infringement, any injury or death of persons or damage to property caused by, or arising out of, or resulting from, the exercise or practice of the Invention by the Institution and/or the Institution's assignees or licensees.

8) FINANCIAL GAIN

The Heart & Stroke will not fund an application which results in any form of direct financial profit to investigators or individuals related to that funded research project (e.g. related to commercial interests, or the development of commercial products as an output of the research).

9) PUBLIC INFORMATION

PIs/awardees need to be aware that information regarding their research project, including host institution, department, PI/awardee name, co-principal investigator/co-applicant/team member/supervisors/mentors names, positions, credentials, project name, funding amounts, grant duration and the lay summary may be placed into the public domain or included in Heart & Stroke publications without notification. Investigators are cautioned not to disclose information that could endanger a proprietary position.

Heart & Stroke may approach industry and/or other funding sources for partial funding of Heart & Stroke funded grants. Grant information, in addition to the specifics outlined above, of funded individuals who wish to be considered will be provided to prospective/existing donors in an effort to match donor interests with existing funded projects. Successful matches would result in donor stewardship activities, inevitably involving the PI directly.

10) PRINCIPAL INVESTIGATOR/ AWARDEE: CHANGE IN STATUS

If a PI's/awardee's formal affiliation with his/her host institution terminates, Heart & Stroke funding will be suspended until documented permission from Heart & Stroke is obtained. For all research grants (not Personnel and Chair awards), the PI or his/her host institution may request that the project continue under one of the following circumstances:

- Transfer of research project administration to another Heart & Stroke eligible host organization within Canada at which the PI is formally affiliated;
- Transfer of research project administration to a senior research project team member, or another qualified individual, at the existing host institution;
- Transfer of the research project administration to a senior research project team

member, or another qualified individual, at another Heart & Stroke eligible host organization within Canada at which the proposed PI is formally affiliated.

To request documented permission from Heart & Stroke to change a PI's formal affiliation with his/her host institution, the following documentation must be sent to Heart & Stroke at least thirty (30) days in advance of the requested change.

1. A letter from the PI requesting change in formal affiliation and confirming the following information:
 - PI's reason for departure;
 - The effective date of change;
 - An interim research progress report;
 - Plans for the continuation of the research project and explanation of any impacts on the approved project plan and timeline.
2. A formal statement of account from the host organization's finance department as of the notice date. The following must be sent to Heart & Stroke as applicable -
 - New PI Common CV, list of grants and publications over the past five years, letter from the new PI demonstrating qualifications to assume research project work;
 - Letter from executive authority of the new research project host organization confirming that adequate resources and support are available for the research project to continue, as approved;
 - Confirmation that updated approval certificates, as required, for research ethics, animal care, biohazard/biosafety, and human pluripotent stem cell research, are being addressed prior to project continuation.

Upon receipt of the above information, Heart & Stroke will conduct a scientific review before rendering a decision on the continuation of the grant. Failure to address these requirements will result in project termination by Heart & Stroke.

For Personnel and Chair Awards, the awardee may request a change in supervisor/mentor and/or institution (where applicable). To request permission from Heart & Stroke for this change, the following documentation must be sent to Heart & Stroke at least thirty (30) days in advance of the requested change.

1. A letter from the awardee to request the change and outline the reason for the change
2. A letter from the current supervisor or mentor acknowledging the change
3. A letter from the new supervisor/mentor
4. A letter from the Department Head (if applicable)
5. A new proposal, if there is a change in the proposal
6. A complete Common CV for the new supervisor/mentor
7. An updated signature page from the application form

Upon receipt of the above information, Heart & Stroke will conduct a scientific review before rendering a decision on the continuation of the award. Failure to address these requirements will result in project termination by Heart & Stroke.

11) SIGNIFICANT CHANGES TO GRANT AND AWARD OBJECTIVES

Notwithstanding standard reporting requirements, changes that **significantly alter the objectives/direction of a grant or award** must be reported immediately to Heart & Stroke. Projects with changes to their objectives will be reviewed by Heart & Stroke scientific advisors and are subject to conditions being applied, up to and including termination if deemed to deviate significantly from the original peer-reviewed and approved proposal. In the event of the termination, the PI may be requested to re-apply with a new proposal.

12) LEAVES OF ABSENCE

A PI/awardee may request a leave of absence. Heart & Stroke will consider several option(s) for the continuation of a grant/award, specifically:

- Deferring payment on the grant/award until the PI/awardee returns to work. The end date of the grant/award will be extended for the same period of time that the PI/awardee was on leave;
- Continuing the grant under the leadership of the PI, subject to the Heart & Stroke being satisfied, in writing, that adequate monitoring provisions are in place to ensure effective progress of the grant;
- Temporarily or permanently transferring the grant to another PI who possesses the required skills, resources and institutional support to provide leadership.

Specific details agreed to with Heart & Stroke regarding the leave must have the endorsement and support of the host institution, provided through a letter from the Dean.

12.1 PARENTAL LEAVE

A written request for parental leave must be received by Heart & Stroke ninety (90) days before the leave is to begin and must include the expected date of return. The length of leave must be in keeping with institutional policy. Heart & Stroke will forward a letter to the PI/awardee confirming the start and end date of the leave, and the extended end date of the grant.

12.2 MEDICAL OR FAMILY MEDICAL LEAVE

If a PI/awardee is absent for more than thirty (30) consecutive days due to medical or family medical leave, Heart & Stroke must be notified by the PI/awardee, his/her supervisor/mentor, or his/her institution. In cases where medical leave is for an indefinite period, Heart & Stroke will assess the situation annually with the PI/awardee and/or his/her institution. Such situations, and the continuation of funding, will be assessed by Heart & Stroke on a case-by-case basis.

12.3 SABBATICAL LEAVE

Written notification of sabbatical leave must be received by Heart & Stroke ninety (90) days prior to the start of the leave. Leave of up to one year is permitted. Notification must specify dates and location of the leave, a short summary of the research to be conducted and the arrangements made for maintaining and supervising the research operation overall and the project specifically. The length of leave must be in keeping with institutional policy. Heart & Stroke will forward a letter to the PI confirming the start and end date of the

sabbatical leave and the extended end date of the grant.

12.4 OTHER PERSONAL LEAVE

For periods of leave not specified above (for example, acts of God, serious personal matters), PI/awardee should provide written notification to Heart & Stroke as far in advance as is practicable. In instances where leave must occur right away, Heart & Stroke should be notified immediately. Such situations, and the continuation of funding, will be assessed by Heart & Stroke on a case-by-case basis.

13) REPORTING

13.1 GRANT-IN-AID

All reporting templates for Grant-in-Aid (GIA) are available on CIRCULink, <https://circulink.hsf.ca/grantium/index.jsf>, the Heart & Stroke's online grants management system.

- **PROGRESS REPORTS**

A satisfactory progress report must be filed with the Heart & Stroke on an annual basis no later than thirty (30) days following the one year anniversary date.

- **FINAL REPORTS**

Following completion/termination of the Award, a satisfactory final report must be filed with the Heart & Stroke within thirty (30) days. (this may be the approved *carry forward* year which extends beyond the normal term of the grant).

- **CLOSE-OUT REPORTS**

A satisfactory close-out-report must be filed with the Heart & Stroke before the first anniversary of the project completion date (this may be the approved carry forward year which extends beyond the normal term of the grant).

13.2 PERSONNEL

All Personnel awards reporting templates are available at: <http://www.hsf.ca/research/en/node/18> . Completed reports must be emailed to research@heartandstroke.ca.

- **PROGRESS REPORTS**

A satisfactory progress report must be filed with the Heart & Stroke on an annual basis no later than thirty (30) days following the one year anniversary date.

- **FINAL REPORTS**

Following completion/termination of the Award, a satisfactory final report must be filed with the Heart & Stroke within thirty (30) days.

- **CLOSE-OUT REPORTS**

A satisfactory close-out-report must be filed with the Heart & Stroke before the first anniversary of the project completion date.

13.3 EMERGING RESEARCH LEADERS INITIATIVE (ERLI), CHAIR AWARDS AND SEED/CATALYST

All awards reporting templates are available at: <http://www.hsf.ca/research/en/node/18> .
Completed reports must be emailed to research@heartandstroke.ca.

- **PROGRESS REPORTS**

A satisfactory progress report must be filed with the Heart & Stroke on an annual basis no later than thirty (30) days following the one year anniversary date.

- **FINAL REPORTS**

Following completion/termination of the Award, a satisfactory final report must be filed with the Heart & Stroke within thirty (30) days.

- **CLOSE-OUT REPORTS**

A satisfactory close-out-report must be filed with the Heart & Stroke before the first anniversary of the project completion date.

If reports are not submitted in the timeframes specified, Heart & Stroke payments will be suspended and subsequent Heart & Stroke applications will not be permitted until such time as reporting is up-to-date.

Grantees should be aware that the Heart & Stroke may follow-up for additional grant reporting (in particular, publications) during the grant period.

14) HEART & STROKE ACKNOWLEDGEMENT

A PI/awardee must acknowledge the support of Heart & Stroke as well as all identified award funding partners in all scientific publications and presentations related to their award. In addition, a copy of publications and presentations must be submitted with each progress and final technical report.

15) NOTICE OF PUBLICATIONS

To facilitate the implementation of Heart & Stroke's program for knowledge and exchange, Heart & Stroke requests that it be notified thirty (30) days in advance of the publication date of any major publications and/or press releases arising from research projects funded by Heart & Stroke.

15.1 OPEN ACCESS POLICY

Heart & Stroke requires that all researchers supported in whole or in part through Heart & Stroke make their research outputs publicly available as soon as possible but no later than twelve (12) months after the final publication or availability of results. In this policy, Heart & Stroke defines research outputs as peer-reviewed journal publications, research data, and the results of clinical trials that will not be published in peer-reviewed journals. Compliance with the *Open Access to Research Outputs* policy is a condition of acceptance of all Heart & Stroke research funding. Please see Heart & Stroke's Open Access to Research Outputs available at: <http://www.hsf.ca/research/en/hsf-open-access-research-outputs-policy-guidelines>.

16) MARKETING AND COMMUNICATIONS

In this increasingly difficult economic climate, raising funds to support research is becoming progressively more difficult. More than ever, we need to let our donors and the public know that their donations are being used to support world class research. Funded researchers are critical to explaining to the public the role of research in increasing heart health and reducing the burden of heart disease and stroke. PIs/awardees and their institutions should expect to be called upon to assist and/or collaborate with Heart & Stroke in its marketing and communications efforts to enable continued support for its mission. This may be in the form of presentations, funding announcements, photo opportunities, advocacy, media interviews, media releases and other communication vehicles.

The PI/awardee and the host institution will provide Heart & Stroke with the opportunity to participate in related media releases, press conferences, and other media or stakeholder communications activities as a joint partner, and will provide Heart & Stroke with sufficient notice of such activities in order to engage in the planning and development phase, and to incorporate a quotation from Heart & Stroke in any media releases.

Heart & Stroke also requires that host institutions take an active role in publicizing awarded Heart & Stroke grants/awards as an additional means of generating public support for Heart & Stroke's mission.

17) GRANT RENEWALS

Grant renewals are not automatic. Please refer to the appropriate submission guidelines for more details (as applicable).

17.1 FORFEITURE OF GIA FUNDING-RENEWALS

If a PI applies for a GIA renewal earlier than the final year of his/her active GIA, he/she immediately forfeits all remaining years of the active GIA, except the current year.

18) CLOSING/TERMINATION OF AWARDS AND APPLICATION OF CONDITIONS

For GIA and other grants, Heart & Stroke will close an award when the full grant term has expired (this may include an approved year of carry forward of funds beyond the normal term).

In consultation with the PI and host institution, a grant may also be terminated, or special conditions may be placed upon it, when one or more of the following circumstances occur:

- The PI no longer holds an eligible position at an Heart & Stroke eligible institution;
- A PI has failed to make appropriate arrangements to move a grant to a new institution, or transfer its leadership (see "PI Change in Status" section);
- Program requirements are not met (e.g., unsatisfactory progress, research work not consistent with proposal objectives, late progress reports, discontinuation of a partner's contributions)
- Any verified transgression related to research integrity or ethical misconduct.

Decisions regarding termination (including effective date), or special conditions, will be made by Heart & Stroke in consultation with the Scientific Review Committee (SRC).

For Personnel and Chair Awards, Heart & Stroke will close the award when the term has ended and all documentation has been received.

19) FINANCIAL MATTERS

19.1 GENERAL

Each year, new awards and continued funding are conditional on the approval of the Heart & Stroke Board of Directors at its sole discretion on an annual basis, and on the availability of adequate funds to the Heart & Stroke. Heart & Stroke reserves the right to amend the stipend for Personnel Awards, and for GIA and other grants any budget item, and/or its associated stated budget limit in response to changing economic conditions. Continuation of an award will be at the discretion of the Heart & Stroke on a case-by-case basis.

Final claims are due to Heart & Stroke by July 31st of each year. Heart & Stroke will issue a general reminder of grant claim deadlines to awardees and their institutions by mid-May each year.

19.2 CLAIMS

Documentation/receipts for GIA research expenses are to be submitted to the Financial Services Department of the PI's/awardee institution which, in turn, is responsible for invoicing the Heart & Stroke for all expenses claimed against their award. For GIAs, funds are to be used for the actual expenses of the investigation only. Ideally claims should be submitted to Heart & Stroke on a quarterly basis.

Expenditures in excess of the amount of the approved award are not the responsibility of the Heart & Stroke, nor are expenses incurred prior to the start date of the grant, or following the closure of the grant.

For other grants not listed above, please see the conditions found in the award notification letter.

19.3 CARRY FORWARD (WITHIN TERM OF GRANT)

Amounts unspent within the term of the grant remain available to the PI without obtaining permission from the Heart & Stroke to carry them forward to the next year. No carry-forward/transfer of funds will be permitted from one grant to a different grant. Carried forward amounts remain tied to the original budget categories in which they were awarded as outlined in the decision letter.

19.4 CARRY FORWARD/NO-COST EXTENSIONS (END OF GRANT TERM)

The Heart & Stroke will only permit carry-forward of unspent funds for one additional year beyond the approved term of the award. For example, if a PI was awarded a 3-year grant from July 1, 2014 to June 30, 2017, and had work or expenses associated with the project beyond June 30, 2017, the PI must request permission in writing from Heart & Stroke 30 days prior to June 30, 2017 to carry-forward the unspent funds to the next year. If the request is approved, written permission would be given by Heart & Stroke to carry forward

unspent funds remaining as of June 30, 2017, to the 2017-2018 grant year.

In addition, all expenses must be finalized prior to June 30, 2018. The final claim would be due by July 31st, 2018. An annual Progress Report would be required by July 31st, 2017 and the timing of the Final and Close-Out Reports would be adjusted to match the new grant completion timing.

No further term extensions are permitted except in exceptional circumstances. In such cases, scientific review by the SRC will be required. No-cost extensions (end of grant term) do not apply to National/Provincial Personnel awards.

19.5 CONTINUATION REQUIREMENTS:

For National/Provincial personnel awards, Chair awards and ERLI grants please refer to the relevant submission guidelines for starting/continuing the award and the requirements of holding/submitting an operating grant at the same time as holding a National/Provincial personnel award or ERLI grant.

19.6 FINANCIAL STATEMENT

Heart & Stroke reserves the right to audit the grant financial accounts to confirm that funds were spent for approved purposes in support of the project goal and objectives, and to require the reimbursement of funds not used for approved purposes.

19.7 GIA BUDGET ISSUES

19.7.1 Shifting line items within a GIA budget

It is recognized that PIs are in the best position to determine how the funds made available can best serve the advancement of their research. Therefore, up to \$10,000 in funding may be shifted between budget categories within the approved budget without prior approval from Heart & Stroke, though such changes must be reflected and justified in the Annual Financial Report to Heart & Stroke (**please see special provisions regarding equipment and travel below**). For shifts above \$10,000, PIs must seek prior written approval from Heart & Stroke, who will then consult with the SRC Budget Review Committee (BRC).

19.7.2 Publications

Publications are an allowable Grant-In-Aid expense and the Heart & Stroke will provide support for the duration of the award.

The amount that is awarded for publications will be found in the final awarded budget.

Please see Heart & Stroke's Open Access policy for details.

<http://www.hsf.ca/research/en/hsf-open-access-research-outputs-policy-guidelines>

19.7.3 Equipment

The approved budget amount for research equipment cannot be adjusted during the term of the grant. In the event that equipment needs change during the term, permission must be obtained from Heart & Stroke 30 days prior to changes being made to alter a) the amount to be spent and/or b) the equipment to be purchased.

Research equipment is defined as any item (or interrelated collection of items comprising a

system) that meets these three conditions: non-expendable tangible property; useful life of more than one year, and; a cost of \$2,000 or more. Equipment purchased through a grant becomes vested at the institution. Heart & Stroke does not pay for the maintenance of equipment unless in the proposed budget.

19.7.4 Travel

The final awarded budget amount for travel cannot be adjusted during the term of the grant, without prior written approval by Heart & Stroke. Travel to attend conferences/meetings to disseminate results of the research and/or for the purpose of advancing the work related to the completion of the project will be eligible expenses for the duration of the award.

20) SERVICE STANDARDS

The Heart & Stroke strives to maintain a high level of service, transparency, equity and fairness in any/all issues regarding the management of grants that it funds.

20.1 GENERAL ADMINISTRATIVE QUESTIONS

A PI, awardee, or institution can expect to have general administrative questions regarding Heart & Stroke grants and awards responded to within three (3) business days.

20.2 REPORTS

A PI /awardee can expect to receive communication from Heart & Stroke within sixty (60) business days if any issues of concern are identified with a submitted grant report (e.g. progress, final, close-out).

20.3 INQUIRIES/INVESTIGATIONS OF GUIDELINE OR POLICY TRANSGRESSIONS

A Heart & Stroke award recipient can expect to have **inquiries** and **investigations** related to Heart & Stroke guideline or policy transgressions addressed within two to seven months, respectively, of Heart & Stroke being notified. They can also expect confidentiality regarding the situation to be maintained, unless for reasons of institutional or Heart & Stroke policy or law, information must be disclosed publicly or to the appropriate authorities.

The Heart & Stroke Framework: Responsible Conduct of Research

<http://www.hsf.ca/research/en/node/800> outlines in detail the responsibilities and corresponding policies for researchers, institutions and Heart & Stroke that together help support and promote a positive research environment. It also sets out the process to be followed by Heart & Stroke, institutions and researchers when addressing allegations of breaches of Heart & Stroke policies.

For assistance with any issues or questions regarding these guidelines, contact research@heartandstroke.ca.