



Grant and Award Management Guidelines

Effective as of July 1, 2025

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Heart & Stroke Grant and Award Management Guidelines

A. GENERAL INFORMATION

1. Introduction and Scope

Heart and Stroke Foundation of Canada’s (“**Heart & Stroke**”) commitment to excellence guides its research Programs¹, guidelines, and priorities. Building on this commitment, Heart & Stroke aims to support Grant and Award Recipients (“**Recipients**”) and Host Institutions, ensuring a clear understanding of the overarching requirements that govern the administration of all research Programs. All capitalised terms used but not defined herein shall have the definitions ascribed to such terms in the executed Research Grant Agreement or Personnel Award Agreement (“**Agreement**”), as applicable.

The primary objective of the **Grant and Award Management Guidelines** is to provide all Recipients and Host Institutions with a comprehensive framework for the administration and oversight of Heart & Stroke funding throughout the duration of the Grant or Award. These guidelines will be reviewed at least annually and updated as necessary. At a minimum, Heart & Stroke will be posting an updated version of the **Grant and Award Management Guidelines** on July 1 of each year, and any significant updates will be communicated to active Recipients and Host Institutions. This document applies to all currently active Heart & Stroke Grants and Awards with a start date on or after July 1, 2025.

Recipients and Host Institutions must refer to and comply with the latest version of the **Grant and Award Management Guidelines**, superseding any previous versions and must be read in conjunction with the executed Agreement and the relevant Competition Guidelines. Adherence to the applicable responsibilities and requirements outlined below is a condition for holding and/or administering Heart & Stroke funds.

2. Research Integrity

As a condition of funding, all Heart & Stroke Recipients, agree to comply with the Principles and Responsibilities set out in the [Heart & Stroke’s Research Integrity Policy](#) and the [Heart & Stroke Framework: Responsible Conduct of Research](#). The primary objective of the [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 manner. Responsibilities of Recipients, Host Institutions and the Heart & Stroke with respect to research integrity are outlined in the [Framework: Responsible Conduct of Research](#).

3. Grants & Awards Held Concurrently

- a. **GIA** - A GIA Recipient, as either Principal Investigator (“**PI**”) or Co-Principal Investigator (“**Co-PI**”), may not hold more than two (2) Heart & Stroke funded GIAs, simultaneously.
- b. **Personnel Awards** - Awardees may not hold more than one (1) Heart & Stroke Personnel Award simultaneously. Additionally, Awardees of a Heart & Stroke Postdoctoral, Doctoral or Master’s Award will not be eligible for another Postdoctoral, Doctoral or Master’s Award in future years.
- c. **Chair** - Awardees may not hold more than one (1) Heart & Stroke (*national or provincial*) Chair Award simultaneously.

4. Non-Employee Status

The funding of a Grant or Award does not establish an employer-employee relationship nor a partnership between the Heart & Stroke and the Recipient(s).

5. Indirect Costs

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.

6. Financial Gain

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

¹ Heart & Stroke research Programs include but are not limited to Grants - such as Grant-in-Aid (GIA) and other operating Grants such as Congenital Heart Disease Team Grants, Heart-Brain IMPACT Team Grants, and Research Networks of Excellence in Women’s Heart and or Brain Health – and Awards such as Personnel Awards for New Investigators (NI), Black Scholars (BSA), Indigenous Scholars (ISA), Women’s Heart & Brain Health (WPA), Postdoctoral Fellowship (PFA), and Chairs.

7. Patent Rights and Commercialization

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 **Heart & Stroke**, 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 Heart & Stroke. "**Inventor**" means any individual, including the Recipient and members of the Recipient's research team, who develops or otherwise makes an inventive contribution to the creation of an Invention.
- b. The Host Institution and Recipient shall within 30 days provide Heart & Stroke with a copy of any Invention disclosure statement or record of like effect prepared by one or both, and with a copy of all patent applications and patents pertaining to Inventions made by one or both. All information provided to Heart & Stroke under this **Section 7** shall be held in confidence by Heart & Stroke.
- c. Heart & Stroke does not claim ownership of any Inventions, and Heart & Stroke's name will not appear on patent applications. Title to any Invention shall be determined by the Host Institution according to the Host Institution's established policies, procedures, or other obligations, including agreements with third parties, existing at the date of Grant or Award. The Host 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 Host Institution and Recipient shall acknowledge the contributions of Heart & Stroke, by name, to their research in all non-commercial publications and broadcasts respecting Inventions. None of the Host Institution, the Recipient or the Owner shall use the name of Heart & Stroke or any Heart & Stroke trademark or official mark in any communication in a manner which states or implies an endorsement by Heart & Stroke of any business, commercial product, or service.
- e. The Owner may seek patent protection for all commercially valuable Inventions and agrees that Heart & Stroke 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. Heart & Stroke 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. Heart & Stroke's share of the Proceeds shall be determined by the mutual agreement of the Owner and Heart & Stroke. If the parties are unable to agree, Heart & Stroke's share of the Proceeds will correspond with the proportion of Heart & Stroke'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 Heart & Stroke 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. Heart & Stroke may request the Owner or any successor in title to the Invention, and patents pertaining to it, to grant licenses to use the Invention on a non-exclusive, royalty-free basis for academic, non-commercial research which, in Heart & Stroke'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 Heart & Stroke 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 Heart & Stroke's sole expense, Heart & Stroke shall have the right to audit the Owner's books and records relating to the Proceeds.
- j. The Host Institution agrees to hold harmless and fully indemnify Heart & Stroke, 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 Host Institution and/or the Host Institution's assignees or licensees.

8. Open Science and Access to Research Outputs Policy

All Recipients are required to make their research outputs and findings publicly available as soon as possible but no later than twelve (12) months after project completion or final publication. To meet this requirement, applicants should become familiar with the guiding principles that enable sharing data, information, tools and resources, and that respect Indigenous data governance and sovereignty.

- [Open Science](#) is the practice of making scientific inputs, outputs and processes freely available to all with minimal restrictions. Open Science is enabled by people, technology, and infrastructure. It is practiced in full respect of privacy, security, ethical considerations, and appropriate intellectual property protection. To learn more about Open Science, applicants are encouraged to review the Federal Government's [Roadmap for Open Science](#).
- [FAIR: Findable, Accessible, Interoperable, and Reusable](#) are guiding principles to inform data management and stewardship of digital assets.
- [CARE \(Collective benefit, Authority to control, Responsibility and Ethics\)](#) are guiding principles for Indigenous Data Governance.
- First Nations [Principles of OCAP® \(Ownership, Control, Access and Possession\)](#) guide how First Nations' data should be collected, protected, used and shared.
- [ClinicalTrials.gov](#) is a database of privately and publicly-funded clinical trials around the world.
- [PROSPERO](#) is an international prospective register of protocols related to COVID-19.

Research outputs may include peer-reviewed journal publications, research data, and the results of clinical trials that will not be published in peer-reviewed journals. Research findings may be shared in ways that are culturally relevant and in formats that are functional, useful and practical to distinct needs of Indigenous (First Nations, Inuit and Métis) communities.

Indigenous Peoples share common histories and concepts; however, each community has specific methods for knowledge synthesis, translation, and exchange. For Indigenous knowledge mobilization to be successful, [meaningful and culturally safe](#), engagement with Indigenous communities is encouraged as Indigenous communities are best positioned to guide researchers towards the co-development knowledge mobilization practices that work best for their communities.

Heart & Stroke requires that all researchers supported in whole or in part through Heart & Stroke make their research inputs, processes, and 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, positive and negative 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](#).

9. Marketing and Communications

The Recipient 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. The Host Institutions are required to take an active role in publicizing funded Heart & Stroke Grants and Awards as a means of generating public support for Heart & Stroke's mission.

10. Public Disclosure of Information

Recipients need to be aware that information regarding their research project may be placed into the public domain or included in Heart & Stroke and/or funding partner(s) publications without notification. This information may include, but is not limited to: Recipient names, Host Institution, department, Co-PI / Co-Applicants / Team Members / Supervisors or Mentors' names, positions, credentials, project name, funding amounts, funding duration and the lay summary. **All 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 and Awards. Grant and Award information from the application and/or scientific reports, 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 involving the Recipient directly.

B. POST AWARD / GRANT INFORMATION

11. Encumbrances and Release of Funds: GIA & Personnel Awards only

At the time Heart & Stroke extends a Grant or Award offer, the funds will be encumbered pending receipt of all required documentation and/or confirmations as outlined in the Offer Letter. All encumbrances will be reviewed prior to releasing funds.

It is Heart & Stroke's expectation that **all encumbrances outlined in the Offer Letter** (*Agreement, overlap, ethics, revised lay summary, operating funds, other, as applicable*) **will be cleared by:**

- **The Award funding start date for Personnel Awards**
- **The first anniversary of the Grant start date for GIA**

If this expectation is not met, then Heart & Stroke will follow up with the Recipient to confirm the status of clearing the encumbrances and have them reconfirm their commitment to the Grant or Award.

! Failure to address the encumbrance requirements in a timely manner may result in the revocation of the Grant or Award by Heart & Stroke.

12. Ethics and Safety

Recipients must ensure all research activities comply with the following guidelines and the Host Institution research policies, as applicable:

- Tri-Council Policy Statement: [Ethical Conduct for Research Involving Humans](#).
- [Good Clinical Practice \(GCP\)](#)
- [Good Laboratory Practice \(GLP\)](#)
- Any research involving human pluripotent stem cells must adhere to the CIHR [Guidelines for Human Pluripotent Stem Cell Research](#). 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](#).
- 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](#).
- [TCPS2 \(2022\) – Chapter 9: Research Involving the First Nations, Inuit, and Métis Peoples of Canada](#)

Further, by inputting applicant and institutional signatures to an application, applicants are confirming that the proposed research will not be undertaken until endorsed as ethical and safe. Heart & Stroke reserves the right to periodically audit any funded project during its term to ensure adherence to these ethics and safety provisions.

It is the responsibility of the Recipient and the Host Institution to ensure all required ethics and safety documents remain in place for the duration of the Grant or Award, including any carry-forward period where applicable. Recipients must certify this to Heart & Stroke when providing progress reports and must notify Heart & Stroke immediately if required documentation has lapsed.

For GIA only – PIs must provide acceptable documentation to Heart & Stroke regarding the above. Funding is encumbered pending receipt of all required documentation, as noted in Section [11](#).

13. Financial Matters

New Grants or Awards and continued funding are conditional on the availability of adequate funds to Heart & Stroke. Heart & Stroke reserves the right to amend the stipend for Personnel Awards, and to amend any budget item and/or its associated stated budget limit for GIA and other Grants in response to changing economic conditions. Continuation of a Grant or Award will be at the discretion of Heart & Stroke on a case-by-case basis.

Heart & Stroke reserves the right to audit the Grant or Award 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.

! Failure to submit the progress report will result in Heart & Stroke holding payments. Please refer to Section 15.

13.1 GIA Claims

The GIA Program is claims-based, and expenses are ideally to be submitted at least quarterly. Heart & Stroke will issue an annual general reminder of claim deadlines to PIs and their Host Institutions by mid-May each year. **Final claims are due to Heart & Stroke by July 31st of each year.**

Please see **Section 24** for more details.

13.2 Other Grants, Personnel Awards Stipends and Continuation Requirements

Heart & Stroke will release all other Grants operating funds, and Personnel Award stipends based on the executed Agreement. Continuation of payments is conditional based on receiving progress reports.

For Personnel Awards, and Chair Awards please refer to the relevant competition 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.

14. Leaves of Absence

A Recipient may request a leave of absence. 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. It is the expectation that a Recipient or Supervisor or Host Institution will inform Heart & Stroke for any reasons necessitating absence from work exceeding thirty (30) successive days as applicable.

Heart & Stroke will consider several option(s) for the continuation of a Grant or Award, as applicable:

For all Grants & Awards

- a. Deferring payment(s) on the Grant or Award until the Recipient returns to work. The end date of the Grant or Award will be extended for the same period of time that the Recipient was on leave;

For all GIA and Other Grants Only

- b. Continuing the Grant under the leadership of the Nominated Principal Investigator (“**NPI**”) or PI, subject to the Heart & Stroke being satisfied, in writing that adequate monitoring provisions are in place to ensure effective progress of the Grant;
- c. Temporarily or permanently transferring the Grant to another NPI or PI who possesses the required skills, resources, and institutional support to provide leadership.

14.1 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 start date of the leave and the expected date of return
- That Recipient will be the primary caregiver for the child
- That during the leave, Recipient will not be engaged in any studies/research activities or employed in any capacity.

Additionally, a letter from the department head providing their approval for the leave and confirming the dates of the leave, is required. The length of leave must correspond with institutional policy.

Heart & Stroke will forward a letter to the Recipient confirming the start and end date of the leave, and the extended end date of the Grant or Award. Approved parental leaves are granted on the basis that they are unpaid by Heart & Stroke.

14.2 Medical or Family Medical Leave

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

14.3 Sabbatical Leave: All Grants and NI Awards only

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. The 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 correspond with institutional policy. Heart & Stroke will forward a letter to the Recipient confirming the start and end date of the sabbatical leave and the extended end date of the Grant or Award.

14.4 Other Personal Leave

For periods of leave not specified above (for example, serious personal matters), the Recipient 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.

15. Reporting

All Recipients are required to submit an annual written report with a financial report jointly, as outlined in the table below (for NI the *Financial Report* refer to the 'Additional Funding'). For GIA and Personnel Awards, templates are available for submission online on [CIRCULink](#). For other Grants, and Chairs, templates are on Heart & Stroke's [website](#) under "*Post-Award Administration*", or sent directly via email, with the expectation that completed reports must be emailed to research@heartandstroke.ca.

Program	Financial Report ²	Progress Report ³	Final Report ⁴	Closeout Report ⁵	Method
Grant-in-Aid	✓	✓	✓	✓	CIRCULink
Personnel Awards*	✓	✓	✓	x	CIRCULink
Other Grants	✓	✓	✓	x	Via Email
Chairs	✓	✓	✓	x	Via Email
Professorships	✓	✓	✓	x	Via Email

* For Personnel Awards funded prior to 2024, the reporting templates are sent to Recipients via email.

Heart & Stroke may follow-up for additional Grant or Award reporting (in particular, publications) during the Grant or Award period. **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.**

! For more specific details on reporting and timelines, please refer to the executed Agreement.

16. Notice of Publications

Heart & Stroke must be notified in advance of the publication date of any major publications and/or press releases arising from research funded by the Heart & Stroke by email at: research@heartandstroke.ca.

A list of all publications and presentations must be submitted with each progress and final report. To facilitate the implementation of the Heart & Stroke's program for knowledge transfer and exchange, and to demonstrate accountability for use of research funding.

17. Funding Support Acknowledgement

A Recipient must acknowledge the support of Heart & Stroke, and partner(s), where applicable, in all scientific publications and presentations related to their Grant or Award with the following wording: "*Funding for this project is provided by the Heart and Stroke Foundation of Canada (and partner(s) name(s), where applicable).*" For exact details, please refer to the executed Agreement.

² A Financial Report is a document that outlines the financial status and expenditures of a Grant or Award.

³ A satisfactory Progress Report laying out results accomplished must be filed on an annual basis.

⁴ A satisfactory Final Report laying out the project's final outcome(s) must be filed following completion or termination of the Grant or Award, (for GIA and other Grants, this may be the approved *carry forward* year which extends beyond the normal term of the Grant).

⁵ For GIA only, a satisfactory Close-out-Report laying out any further outcome or positive impacts that may be influencing changes to policy or practice in the line of research funded by the GIA must be filed 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).

18. Significant Changes to Research Objectives

Changes that significantly alter the objectives/direction or scope of a Grant or Award must be reported immediately to Heart & Stroke, notwithstanding standard reporting requirements. 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 initial peer-reviewed and approved application including the original research proposal. In the event of termination, the Recipient may be requested to re-apply with a new proposal.

19. Carry Forward and No-Cost-Extensions (NCE)

Carry Forward and No-Cost-Extensions are not permitted for Personnel Awards. Please refer to **Section 14** for eligible leaves.

For **GIA and other Grants**, please refer to the following:

19.1 Carry Forward (Within Term of Grant)

Unspent annual funds within the term of the Grant remain available to the NPI or PI without obtaining permission from Heart & Stroke to carry them forward to the next year. No carry-forward or 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 Offer Letter.

19.2 Carry Forward and NCE (End of Grant Term)

At end of the Grant term, the NPI or PI may request to carry forward of unspent funds for one additional year beyond the approved term of the Grant. The NPI or PI must request permission in writing from Heart & Stroke 30 days prior to June 30 in the final year of the Grant term. If the request is approved, written permission will be given by Heart & Stroke to carry forward unspent funds remaining to the subsequent Grant year.

When a carry forward and no-cost extension is Granted, all expenses must be finalized by the end of the extension i.e., by June 30 of that year. The final claim would be due by July 31 of that year. The annual Progress Report would be required by July 31st 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 Scientific Review Committee (SRC) will be required.

20. Conditions for Closing and Termination

20.1 Closing of Grants and Awards

Heart & Stroke will close an Award, GIA or other Grant once the funding duration has expired, and all required documentation has been received (*this may include an approved year of carry forward of funds beyond the normal term*).

20.2 Termination of Grants and Awards

A Grant or Award may also be terminated, or special conditions may be applied to it, when one or more of the following circumstances occur, as applicable:

- a. The Recipient no longer holds an eligible position at a Heart & Stroke eligible institution;
- b. A Recipient has failed to make appropriate arrangements to move a Grant or Award to a new institution, or transfer its leadership, as applicable (*see Section 21 below*);
- c. Program requirements are not met (i.e., unsatisfactory progress, research work not consistent with the original proposal objectives in the initial peer-reviewed and approved, late progress reports, discontinuation of a partner's contribution, encumbrances not cleared in a timely manner);
- d. 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 SRC Executive Chair and Vice-Chair.

21. Change in Status: Principal Investigator, Awardee and Host Institution

If a Recipient's formal affiliation with their Host Institution terminates, Heart & Stroke funding will be suspended until documented permission from Heart & Stroke is obtained. Heart & Stroke will conduct a scientific review before rendering a decision on the continuation of the Grant or Award. Failure to address the requirements outlined will result in funding termination by Heart & Stroke.

For all research Grants and Awards, the Recipient and their Host Institution may request that the project continue under one of the following circumstances, as applicable:

21.1 Changes in Status: All Grants and NI Awards only

Transfer of research project administration to another Heart & Stroke eligible Host Institution within Canada at which the Recipient is formally affiliated.

To request permission from Heart & Stroke to change a NPI or PI's formal affiliation with their Host Institution, the following documentation must be sent to Heart & Stroke at least thirty (30) days in advance of the requested change. The following must be sent to Heart & Stroke as applicable:

- a. A letter from the NPI or PI requesting change in formal affiliation and confirming the following information:
 - NPI or 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;
 - The name, position and affiliation of the new PI (*if/when applicable only for GIA*)
- b. A formal statement of account from the Host Institution's finance department as of the notice date.
- c. Letter from executive authority (*i.e. Dean, Department Head, etc.*) of the current research project Host Institution confirming the NPI or PI's transfer and that the research project transfer is approved.
- d. Letter from executive authority (*i.e. Dean, Department Head, etc.*) of the new research project Host Institution confirming that adequate resources and support are available for the research project to continue, as approved.
- e. A new executed Agreement is to be signed by the new research project Host Institution and NPI or PI.

21.2 Changes in Status: GIA and Other Grants Only

I. Transfer of research project administration to an eligible senior research project team member, or another qualified individual, at the existing Host Institution;

II. Transfer of the research project administration to an eligible senior research project team member, or another qualified individual, at another Heart & Stroke eligible Host Institution within Canada at which the proposed PI is formally affiliated;

In addition to the above required documents in **Section 21.1**, the below documentation is required from the NPI or PI only as applicable:

- f. 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;
- g. New PI Heart & Stroke Biosketch, list of Grants and publications over the past five years, letter from the new PI demonstrating qualifications to assume research project work;

! Changes in the status of other-named personnel (i.e., co-applicants) on a Grant, after it has been reviewed and awarded, are not permitted apart from removing them from the Grant entirely.

21.3 Changes in Supervisor or Mentor: Personnel Awards and Chairs Only

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:

- a. A letter from the Awardee to request the change and outline the reason for the change;
- b. A letter from the current supervisor or mentor acknowledging the change;
- c. A letter from the new supervisor/mentor;
- d. A letter from the Department Head (*if applicable*);
- e. A new proposal (*if there is a change in the original proposal*);
- f. A complete Heart & Stroke Biosketch for the new supervisor/mentor;
- g. An updated signature page from the application form.

C. GRANT-IN-AID (GIA) SPECIFIC PROGRAM INFORMATION

22. Forfeiture of GIA Funding-Grant Renewals

Grant renewals are not automatic. Please refer to the relevant Competition Guidelines for more details (as applicable). If a PI applies for a GIA renewal earlier than the final year of his/her active GIA, all remaining years of the active GIA, except for the current year, are immediately forfeited.

23. Partnered Funding and Overlap of Funding

As part of the Grant acceptance process, PIs (and Co-PIs) are required to identify and provide details of all funding applied to and currently under review. Heart & Stroke does not allow overlap/duplication of funding for approved expenses or activities in a Heart & Stroke funded Grant (i.e. direct duplication). Heart & Stroke does not allow top-up funding for applications that have had their budgets reduced by another funding agency. In addition, Heart & Stroke does not permit an applicant to hold a GIA that is similar or comparable to another operating Grant from another funding agency.

23.1 Partnered Funding

The relevant Competition Guidelines address the requirement to notify Heart & Stroke of any proposed partnered funding at the time of submission so that 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.

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.

23.2 Overlap of Funding

Heart & Stroke does not provide any funding if there is partial or proportional budgetary overlap with another funding agency or Award as the Foundation has reviewed and adjudicated each application in its entirety. Therefore, no budget amendment/alteration by the applicant is permitted after application submission. All committee decisions will be final.

If an application has overlap with another project, then the applicant will have to accept one offer or the other. If the PI wishes to make changes to resolve the overlap portion of the application (this is not permitted), they are encouraged to re-submit an application for the next competition.

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.

24. Claims

Invoices/receipts for GIA research expenses are to be submitted to the financial services department of the PI's institution which, in turn, is responsible for invoicing Heart & Stroke for all expenses claimed against the Grant. **Claims should be submitted to Heart & Stroke on a quarterly basis (Q1 being Jul 1 – Sep 30).** Funds are to be used for the actual expenses of the investigation only.

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

24.1 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.

For shifts above \$10,000, PIs must seek prior written approval from Heart & Stroke to re-allocate funds.

The request should include the following information for Heart & Stroke to review:

- a. The exact categories and amount you wish to re-allocate funds to and from
- b. Explanation of changes that occurred and justification for re-allocating funds
- c. Describe any future impacts this may have on project, including timeline(s)
- d. Any additional information/documentation to help facilitate approval

Please see special provisions regarding ‘Equipment’ Section [24.3](#) and ‘Travel’ Section [24.4](#) below.

24.2 Publications

Publications are an allowable GIA expense, and the Heart & Stroke will provide support for the duration of the Grant. The amount for publications will be found in the final approved budget. Please see Heart & Stroke’s [Open Access Policy](#) for details.

24.3 Equipment

The final approved budget 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. A cost quotation must accompany the request to Heart & Stroke.

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 within the proposed budget.

24.4 Travel

The final approved budget 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 Grant.

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D. HEART & STROKE ADMINISTRATION

25. Service Standards

Heart & Stroke strives to maintain a high level of service, transparency, equity and fairness in any/all issues regarding the management of funded Grants and Awards.

25.1 General Administrative Questions

A Recipient, or Host Institution can expect to have general administrative questions regarding Heart & Stroke Grants and Awards responded to within three (3) business days.

25.2 Reports

A Recipient can expect to receive communication from Heart & Stroke within sixty (60) business days if any issues of concern are identified with a submitted Grant or Award report (i.e. progress, final, close-out). For more details about ‘Reporting’, refer to **Section 15**.

25.3 Inquiries/Investigations of Guideline or Policy Transgressions

A Recipient can expect to have **inquiries** and **investigations** related to Heart & Stroke guidelines or policy transgressions addressed within two to seven months, respectively, of Heart & Stroke being notified. They can also expect confidentiality 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 [Responsible Conduct of Research](#) outlines in detail the responsibilities and corresponding policies for researchers, Host 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, Host Institutions and researchers when addressing allegations of breaches of Heart & Stroke policies.

For assistance with any issues or questions regarding these guidelines, please refer to the [FAQ](#) or contact research@heartandstroke.ca.