

This document is provided for general, informational purposes only; it does not constitute an offer of terms and conditions for a specific grant, nor is it a solicitation for proposals or applications. amfAR reserves the right to determine on a case-by-case basis the specific terms and conditions of grants and awards offered to approved organizations, and to effect, at any time, changes to its standard terms and conditions.

## **POLICIES AND TERMS AND CONDITIONS GOVERNING RESEARCH GRANTS and FELLOWSHIPS**

### **I. INTRODUCTION: ABOUT amfAR**

amfAR, The Foundation for AIDS Research, is one of the world's leading nonprofit organizations dedicated to the support of AIDS research, prevention, and treatment education, and to the advocacy of sound AIDS-related public policy. Since 1985, amfAR has invested nearly \$260 million in support for its programs and has awarded grants to more than 2,000 research teams worldwide.

The Foundation for AIDS Research, hereinafter referred to as "amfAR" or the "Foundation," is a New York Not-for-Profit Corporation exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code and exempt from state franchise or income tax under Section 23701(d) of the New York Revenue and Taxation Code.

### **II. amfAR's RESEARCH GRANTS AND FELLOWSHIPS**

**NOTE:** From time to time, the Foundation may establish special initiatives to address specific, timely issues in HIV/AIDS research. Such initiatives may have special terms and conditions and may require pre-application, application, and review procedures that differ from those described in this policy document.

#### **A. DESCRIPTIONS**

An amfAR research grant satisfies various financial obligations incurred in the course of an HIV/AIDS-related biomedical, social or behavioral investigation. In general, a research grant is applied to direct costs of salaries and fringe benefits for professional and technical personnel, laboratory supplies and equipment, travel, and the publication of findings. Support for indirect institutional costs, *i.e.*, overhead, is limited to a maximum of 20% of total direct costs.

An amfAR fellowship is a grant that encourages the postdoctoral investigator with limited experience and demonstrated interest in the field of HIV/AIDS to redirect or to embark on a career in biomedical, social or behavioral HIV/AIDS research. An amfAR fellow must be mentored by an experienced investigator, affiliated with the same institution, who is qualified to oversee the proposed research. The fellowship grant is applied to direct costs of laboratory supplies and the fellow's salary and fringe benefits, and direct costs related to attendance at amfAR-designated professional development activities. Support for indirect institutional costs is limited to a maximum of 10% of total direct costs.

Through out this document, the term "principal investigator" may be taken to mean "fellow" and/or "mentor" when the context is equally applicable to research grants or fellowship grants.

## B. AUTHORITY TO AWARD GRANTS AND FELLOWSHIPS

Grants and fellowships are awarded by the Foundation's board of trustees, acting upon the recommendations of the program board and the Foundation's scientific advisory committee.

## C. RECIPIENTS OF GRANTS AND FELLOWSHIPS

Grants and fellowships are awarded to nonprofit institutions; they are *not* awarded to individual investigators. Accordingly, the application must bear the signature of an official authorized to sign for the institution and, if requested, the applicant institution must submit proof of its nonprofit status. Applications are neither requested nor accepted from for-profit entities.

Members of the Foundation's board of trustees may not participate as investigators in research projects funded by the Foundation. Members of amfAR's scientific advisory committee (SAC) are eligible to participate, provided they comply with Foundation policies regarding conflicts of interest.<sup>1</sup>

When a request for project support is submitted to the Foundation and also to other grant-making agencies, support from the Foundation and from another agency cannot be in duplication. (See Section III.C., "Funding.") However, the Foundation's support *may* be accepted if careful documentation demonstrates that the support from amfAR supplements support from another agency.

## D. APPLICATION PROCESS

A grant cycle is initiated by the issuance of a request for proposals (RFP), soliciting letters of intent from interested investigators. Any postdoctoral, faculty-level investigator who is affiliated with a nonprofit institution may submit a letter of intent in response to an amfAR RFP. Subsequently, a limited number of full applications are solicited.

### 1. Letter of Intent (LOI)

An LOI consists of document sets (the original set and a specified number of copies) that must be submitted on amfAR-provided forms in the quantity, form, and sequence specified by the soliciting RFP and accompanying instructions. Each set includes, but is not limited to the following:

- Face sheet: all relevant sections of which must be filled out completely.
- Peer-language abstract: no more than 200 words describing the proposed project.
- Relevance description: no more than 200 words addressing the direct relevance of the proposed research to the specific RFP.
- Biographical sketches of the principal investigator/fellow, and mentor if applicable: each no more two pages in length including the list of recent, relevant publications.
- Research plan: no more than three single-spaced pages must including background and rationale, preliminary studies, specific aims, experimental design, procedures and data analysis to be used, relating specific aims to long-term objectives, and discussing new methodologies, if any. One additional page of references may be attached.

### 2. Application

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<sup>1</sup> A SAC member is judged to have a conflict of interest if the member has a direct or indirect financial interest in a grant, *i.e.*, if he or she, or a close family member, has an institutional appointment or is an investigator, collaborator, subcontractor, and/or consultant with an investigator or institution that has a grant application or letter of intent before the committee. When a conflict is disclosed or thought to exist, the SAC member is deemed ineligible to review the proposal and may not participate or be present during the committee's discussion and subsequent vote on that proposal.

Applications are solicited from investigators whose LOIs are recommended following a review by selected members of amfAR's volunteer SAC<sup>2</sup> and other experts in the field. A full application consists of document sets (the original set and a specified number of copies) that must be submitted in the quantity, form, and sequence specified in the guidelines and instructions included with an application solicitation. In addition, a project is not considered for funding unless the full application is submitted on amfAR-designed forms (for example, a specific amfAR form for the face sheet, table of contents, abstract, etc.) including, but not limited to the following information:

- specific aims of the proposed project
- rationale and significance in relation to long-term objectives
- preliminary studies relevant to the proposed project
- experimental design and methods
- biographical and other support information for the principal investigator and key personnel
- documentation (as applicable) of the status of the applicant institution's internal review board review and, if required, a copy of the patient's informed consent document
- documentation of the status of review (as applicable) by the applicant institution's institutional animal care and use committee (IACUC), if vertebrate animals are to be used
- documentation of the status of review and approval by the applicant institution's biohazard approval committee, when relevant
- letters of agreement from individuals and institutions functioning as consultants, collaborators, or subcontractors, paid or unpaid, in a cooperative capacity that is essential to the success of the project
- a project budget that reflects a sound financial plan for the performance period

For further information on grant cycles, please write to the address at the end of this section (II). Applications and LOIs must be received at amfAR's New York office no later than the deadline specified in the RFP or the application guidelines. **Applications that arrive late, are unsigned, list a principal investigator other than the one approved during the LOI review, consist of less than the specified number of document sets, or exceed the budget or page limits, will not be accepted. No fax documents will be accepted. No application material will be returned.**

#### E. CONFIDENTIALITY

Throughout the evaluation and award process, the Foundation respects the privacy of the applicant and endeavors to protect from disclosure any confidential or proprietary information contained in a submitted proposal. However, the Foundation has in place no mechanisms to maintain or guarantee confidentiality and, as a nonprofit corporation, lacks the financial resources (1) to institute such mechanisms or (2) to accept liability for the disclosure of information. At the same time, the Foundation does not consider information on an application's project description or 'lay-language abstract' form to be confidential. The content of those forms may be made public as a description of a research project being funded by amfAR. Submission of an application for funding is deemed acceptance of these provisions.

#### F. REVIEW OF APPLICATIONS AND LETTERS OF INTENT

amfAR intends to encourage and promote HIV/AIDS research of the highest quality. Therefore, every properly prepared and submitted letter of intent or application, properly submitted in response and relevant to

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<sup>2</sup>The Foundation does not accept unsolicited applications for grants or fellowships. A letter of intent must be submitted, reviewed, and recommended before an application is solicited and accepted.

an amfAR RFP or application solicitation, is peer-reviewed by the Foundation's SAC and other experts in the field. The committee, a volunteer body of scientists who are experts in various fields of AIDS research, evaluates

- the scientific merit of the proposal
- the relevance of the research to the control of the epidemic or to the benefit of patients with AIDS or AIDS-related conditions
- the qualifications, experience, and productivity of the investigator(s), or fellow and mentor.
- the facilities available
- the likelihood of success.

The SAC makes its funding recommendations to the Foundation's program board and board of trustees. (See Section II.B, "Authority . . .") Although the SAC membership is considered public information, the composition of review panels and the identity of assigned reviewers are considered confidential and will not be released to anyone outside the Foundation. A list of active SAC members is published each year in the amfAR's annual report and is also available from the grants administration department at amfAR's New York office.

Written reviewer comments are not available for LOIs, but will be provided, at the Foundation's discretion, upon the applicant's written request.

#### G. SOURCE OF FUNDS

Funds available to the Foundation are obtained principally from private donations.

#### H. PROGRAM INFORMATION

Requests for information about amfAR's program for basic research grants and fellowships; requests for inclusion on the mailing list for each RFP; and all other grant-related inquiries should be directed to the following:

**THE FOUNDATION FOR AIDS RESEARCH**  
**Grants Administration Department**  
**120 Wall Street, 13<sup>th</sup> Floor**  
**New York, NY 10005-3908 USA**

**E-MAIL:** [grants@amfar.org](mailto:grants@amfar.org)

### III. TERMS AND CONDITIONS<sup>3</sup>

#### A. PERIODS OF PERFORMANCE

amfAR research Grants are usually awarded for a term of one year; amfAR fellowships, for two years. When a proposed study can be completed in less than one year, a grant may be awarded for the shorter period, if requested by the investigator or stipulated by the scientific advisory committee (SAC).

For a fellowship or a research grant with a period of performance longer than one year, funding into the second year is contingent upon the evaluation and subsequent approval of interim financial and progress

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<sup>3</sup> The Foundation reserves the right to amend the conditions established herein and to impose special conditions as may be dictated by the research being conducted. Such conditions shall be stipulated in the notice-of-award letter or in addenda to this policy document.

reports and also upon the availability of funds. **All amfAR research grants and fellowships are contingent upon the availability of funds and are awarded without assurance of continued or subsequent support.** There is no funding commitment beyond the end date of a grant or fellowship.

#### B. RECIPIENTS OF GRANTS AND FELLOWSHIPS

Grants and fellowships are awarded to nonprofit institutions; they are *not* awarded to individual investigators. Accordingly, agreement to these grant policies and terms and conditions must be evidenced by the signature of an official authorized to sign for the institution. If requested, proof of the applicant institution's nonprofit status must be provided. Recipient organizations are required to notify the Foundation within ten business days should said nonprofit status be suspended, revoked or otherwise changed during the grant's period of performance.

**By accepting an amfAR grant or fellowship, the recipient institution agrees that it will use grant funds in compliance with all applicable anti-terrorist financing and asset control laws and regulation. The recipient institution also accepts full responsibility for the conduct of the investigation and for the acts of the investigator. Both are under the direction and control of the institution and are subject to its medical and scientific policies. Project personnel, compensated in full or in part with funds awarded by the Foundation, are employees of the recipient institution; they are not amfAR employees.**

#### C. HUMAN AND ANIMAL SUBJECTS; BIOHAZARDS

All amfAR-funded research is conducted under the oversight and direction of the recipient institution. Accordingly, the institution bears full responsibility for insuring that the research activities (*e.g.*, experiments and protocols), facilities, and employees comply with applicable federal, state, and local laws and regulations. An amfAR-funded investigation involving human or animal subjects or derivatives of such subjects, or biohazards may not initiate research activity or make expenditures until its entire protocol has been reviewed and approved in accordance with regulations established by the U.S. Department of Health and Human Services (DHHS), the U.S. Department of Agriculture (USDA), and the National Institutes of Health (NIH).

1. For projects involving human subjects, documentation of approval by the institutional review board (IRB), and a copy of the IRB-approved patient's informed consent form, if required, must be submitted to the Foundation.
2. Projects involving animal subjects must adhere to the following principles:
  - Animals are used only when no other means of obtaining scientifically valid and useful results is available;
  - Only the minimum number of animals required to obtain valid results are to be used;
  - The most appropriate and humane forms of anesthesia and euthanasia consistent with the purposes of the research are to be used; and
  - Acquisition, use, and care of animals must comply with the Animal Welfare Act, the National Research Council's *Guide for the Care and Use of Laboratory Animals*, and the DHHS, USDA, and NIH regulations mentioned above.

Documentation of approval by the institutional animal care and use committee (IACUC) must be submitted to amfAR.

3. Similarly, if an investigation requires the use of biohazards or will result in the production of biohazards, documentation of approval by the institutional biosafety committee (IBC) must

be submitted to the Foundation.

The required institutional approvals are considered certification of the grantee institution's compliance with all applicable laws and regulations and with the principles set forth above. Grantee institutions outside of the United States of America are required to provide similar institutional approvals, certifications, and assurances. No payments for a grant will be issued until all necessary approvals have been received and approved by the Foundation.

#### D. FUNDING

All amfAR grants and awards are contingent upon the availability of funds and offered without assurance of continued or subsequent funding. When amfAR funds are awarded for a research project (usually as a grant or fellowship), those funds must be used solely for the purpose(s) stated in the application as it is submitted to and approved by the Foundation and is, subsequently, either affirmed or amended in writing by the award documents.

If a grantee organization is based outside the United States of America (U.S.A.), funds from amfAR are restricted to use outside the U.S.A. unless prior, written authorization is received from the Foundation. Requests for authorization should be sent to the Foundation's grants administration department and must include a detailed description of related expenses.

The applied use of funds from amfAR cannot be duplicated by funds from other sources. However, such support from amfAR can be used to *supplement* support from other sources, i.e., to support a distinct component (not funded by another source) of a larger project. Accordingly, a project's principal investigator and the applicant institution must diligently ensure that all information presented in an application is accurate and inclusive. Failure to provide complete and accurate information may be construed as an attempt to mislead the Foundation. It may also lead to the rejection without review of an application or to the termination of a grant or fellowship and the required return of all funds received.

#### E. INSTITUTIONAL EXPENDITURES

Indirect costs for research grants may not exceed 20% of total direct costs; for fellowships, the maximum is 10% of total direct costs. Foundation grants are not meant to cover the total cost of a proposed research project. A grantee institution is expected to provide the necessary physical facilities and administrative services, as well as other supporting services normally available at a sponsoring institution. Since indirect costs are a function of direct costs, the budget for indirect costs may not be modified, and the Foundation in no case will reimburse any indirect costs beyond the stated 20% of direct costs for research grants and 10% for fellowships. Ordinarily, the Foundation does **not** provide funds to support the direct costs of items, such as

- Telephone services (except where deemed essential to the conduct of the funded project)
- Library services
- Purchasing and binding of books and periodicals
- Office furniture, equipment, and supplies
- Foreign travel (unless directly related to the project)
- Recruiting and relocation expenses
- Nonmedical or personal services to patients
- Per diem charges for hospital beds
- Rental of facilities (except in exceptional circumstances)

- Collaborators<sup>4</sup>

On the other hand, the Foundation will consider funding items, such as

- Professional and technical assistance, including consultants<sup>5</sup> and subcontractors<sup>6</sup>
- Secretarial assistance (if deemed essential to the project's completion)
- Scientific equipment (if project-specific and deemed essential to the project's completion)
- Project-specific laboratory supplies
- Page costs for publishing in peer-reviewed scientific journals.

#### F. TRAVEL EXPENSES

Consistent with amfAR policy, travel arrangements must be at a level that affords comfort while practicing economy. Air travel is to be in coach class at the lowest reasonable commercial airfare. Grant recipients are encouraged to take advantage of discount fares for air travel through advance purchase of tickets if travel schedules can be planned in advance (e.g., for meetings and other scheduled events). Care must be taken to secure the most economical accommodations that offer reasonable comfort and proximity to meetings or other research related activities.

- Research grants:  
Travel expenses (including transportation, accommodations, registration, etc., up to a total of \$1,000) related to attendance at up to one meeting relevant to the funded project may be satisfied with grant funds.
- Fellowship grants:  
Fellowship travel funds are restricted to the support of approved costs (transportation, accommodations, registration, etc., up to a total of \$3,636) incurred for participation in amfAR-designated professional development activities. Prior approval (issued post-award) is required for fellowship travel budgets. Contact the grants administration department for details.

#### G. OWNERSHIP OF EQUIPMENT

Equipment purchased under an amfAR research grant,<sup>7</sup> including the grant's renewal or extension, is under the direction and control of the grant's principal investigator.

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<sup>4</sup> **Collaborators** are scientific and technical personnel from the grantee institution, as well as other institutions, who participate in the research project without compensation. If collaboration is critical to the completion of the project, a letter of agreement with each collaborator should be appended to the application.

<sup>5</sup> **Consultants** are highly specialized and/or technical personnel whose for-hire services are urgently, temporarily, and infrequently needed. Consultants are not employees of the grantee institution. Payment for consultants' services may be reimbursed with amfAR funds only when such services are either included in the budget of the original grant application or, in response to a written request, are subsequently approved in writing by amfAR's Grants Administration Department. A letter of agreement with each consultant should be appended to the application or to written requests for a reimbursement of consulting fees.

<sup>6</sup> **Subcontractors** are scientific or technical personnel whose specialized for-hire services are identified as essential to the completion of the project. Subcontractors are not employees of the grantee institution. Subcontracting costs must be anticipated and must be included in the budgetary part of the original grant application. A letter of commitment from each subcontractor, clearly stating the scope of the subcontractual work, the date(s) of performance, and estimated costs, must be appended to the application.

<sup>7</sup> Equipment may not be purchased under an amfAR fellowship.

During the grant's period of performance, the title to such equipment is vested conditionally in the grantee institution. At the conclusion of the performance period and, subsequently, the approval of all mandated reports (both progress reports and reports of expenditures), the title becomes fully vested in the grantee institution.

If the principal investigator's relocation necessitates a transfer of the equipment to another institution, a written request must be sent to the Foundation's grants administration department. If amfAR permits the transfer of equipment (to accompany the principal investigator and the grant itself), the Foundation sends written approval to the principal investigator, who then transfers to the new grantee institution such equipment as is movable and necessary for the continuation of the amfAR-funded research project. Title to any remaining equipment immediately becomes fully vested in the prior institution. Title to the transferred equipment is then vested conditionally in the new grantee institution, until the end of the grant's period of performance when it becomes fully vested in that grantee institution.

#### H. PAYMENTS AND PAYMENT SCHEDULES

Payments for research grants and fellowships are issued in four installments, which coincide with four equal divisions of the period of performance. Payments are contingent upon the receipt and approval of progress, and financial reports as described below and in Sections III.I and J and detailed in *Figure 1*. Payment and reporting deadlines for grants with performance periods of less than 12 months or more than 24 months will be stipulated in the notice of award.

For **all grants**, the *first payment*, which is one-fourth of the total award amount, is issued within 45 days of the receipt and approval of all required documents (*i.e.*, certifications for the use of human and animal subjects and the use of hazardous materials, in addition to a signed policy document), but no earlier than the 15<sup>th</sup> day of the fourth month of the grant's period of performance.

The second and third and final payments are issued in arrears for the difference between expenditures reported and payments to date. The *second payment* is issued within 45 days of the receipt and approval of the first interim report of expenditures and the interim progress report. The *third payment* will be issued within 45 days of the receipt and approval of the second interim report of expenditures.

The *final payment* is released within 45 days of the receipt and approval of the final progress and expenditure reports, and the post-award information form (but no earlier than the 15<sup>th</sup> day of the month immediately following the end of the approved performance period). All final reports are due no later than 90 days following the end of the grant's approved period of performance. If the total amount of expenditures incurred during the grant period is less than the total amount of payments to date, the unexpended funds must be returned to the Foundation along with the final report of expenditures. Unexpended funds cannot be carried over to a subsequent. The Foundation asks that interest earned on amfAR funds be returned with the final report of expenditures.

All awards will be paid to grantees in U.S. dollars. Payments will be issued either by check made payable to the grantee institution or, if approved by amfAR, via the electronic transfer of funds into a U.S. dollar account, opened in the name of the grantee institution. Unexpended funds must be returned to amfAR in U.S. dollars, using the same payment method by which the award was paid to the grantee institution.

#### I. ACCOUNTING RECORDS AND FINANCIAL REPORTS

The recipient institution is responsible for the use of funds to support the project described in the grant application, and for maintaining records and supporting documentation consistent with accounting practices generally accepted in the United States of America (GAAP). If requested by amfAR, these records must be



made available, at reasonable times, for inspection by amfAR staff or representatives.

Reports of expenditures (ROEs) must be made on forms provided by amfAR and must conform to the accompanying instructions. All figures must be reported in whole U.S. dollars. A financial officer who is authorized to do so on behalf of the grantee institution must certify expenditure reports.

Three ROEs are required for each grant or fellowship. (See *Figure 1* below.) The first, reporting on the first half of the performance period, is due at the end of the 7<sup>th</sup> month for one-year grants, or at the end of the 13<sup>th</sup> month for fellowships. The second, reporting on the third quarter of the performance period, is due no later than the last day of the end of the 10<sup>th</sup> month for one-year grants, or the 19<sup>th</sup> month for fellowships. The third and final ROE, reporting on the final quarter, is due no later than 90 days following the end of the performance period. Expenditure reporting requirements and deadlines for extended grants will be delineated in extension approval documents.

The Foundation is not responsible for

- expenditures which exceed the total amount of the grant or fellowship
- expenditures made before the starting date of the performance period
- obligations incurred after the period of performance has ended
- expenditures greater than the \$3,000 per-line threshold allowed for budget modifications without prior amfAR approval (applicable to budget lines other than travel)
- any unapproved costs for travel.

#### J. PROGRESS REPORTS

All grantees must submit interim and final (*i.e.*, end-of-performance-period) progress reports. Interim progress reports are to be submitted on forms provided by the Foundation; final reports must conform to the format outlined below.

The interim report, on amfAR-provided forms, is due at the end of the 7<sup>th</sup> month for one-year grants, or the end of the 13<sup>th</sup> month for fellowships. The interim report should highlight significant findings in the first half of the performance period as well as discuss any issues that have necessitated the change of time frames or specific aims outlined in the approved research plan. Grant recipients are encouraged to contact amfAR program staff with informal reports of significant developments as they occur. Amended reporting deadlines for extended grants will be stipulated in extension approval documents.

For **all** research grants and fellowships, a final report on research accomplishments, including peer-language and lay-language abstracts (200 words each) and a post-award information form, must be submitted to the Foundation no later than 90 days following the end of the performance period. The progress report should be in narrative form, a maximum of five single-spaced pages long, and sufficiently comprehensive to describe work completed during the funding period and indicate the significance of the research findings. Reprints of published materials may **not** substitute for the final progress report on amfAR-funded studies.

A final report should include the following:

1. At the top of page one or on a cover page:
  - amfAR grant identification number
  - title of project
  - name of grantee institution

- name, degree, and title of principal investigator
  - name, degree, and title of mentor (if grant is a fellowship)
  - period of performance
2. Within the three-to-five-page narrative section:
- summarize specific aims as recorded in the original request for funding
  - outline the experimental plan used to approach project’s aims
  - explain any deviations from the original aims
  - present major findings during the period of performance
  - discuss directions for future related research
3. On the post-award information form (sent to all grantees and fellows), which must be attached to the final narrative report:
- list credited publications and manuscripts-in-preparation,<sup>8</sup> which are based on the amfAR-funded project
  - list all applications for funding by other agencies that are based on amfAR-funded findings
  - include any other comments related to the impact of amfAR funding on research plans
  - fellows are requested to discuss the impact of amfAR funding on career development including anticipated short and long-term career plans

<b>Reports</b>	<b>Type of Grant</b>	<b>Deadline</b>	<b>Related Payment</b>
<b>1<sup>st</sup> Report of Expenditures (ROE) and 1<sup>st</sup> Progress Report</b>	Research Grant	Last day of 7 <sup>th</sup> month	Second payment
	Fellowship Grant	Last day of 13 <sup>th</sup> month	
<b>2<sup>nd</sup> ROE</b>	Research Grant	Last day of 10 <sup>th</sup> month	Third payment
	Fellowship Grant	Last day of 19 <sup>th</sup> month	
<b>Final ROE, Final Progress Report and Post-Award Information Form</b>	All grants	90 days following end of performance period	Final payment

*Figure 1: Summary of reporting requirements and related payments*

#### K. FAILURE TO SUBMIT REQUIRED REPORTS

Failure to comply with the terms and conditions under which a grant or fellowship has been awarded can result in the suspension of a scheduled payment and, when justified, in the termination or eventual rescission of the grant. Among those terms and conditions is the mandatory submission of a report – a progress report, a report of expenditures, or both – by a deadline specified in this policy document (see Sections III.H, “Payments...”; III.I, “Accounting Records and Financial Reports”; III.J, “Progress Reports”). Should either the grantee institution or the principal investigator (or fellow) fail to meet a stated deadline, the payment scheduled to follow that deadline is suspended.

The grantee institution and the investigator thereafter receive written notification of the missed deadline and

<sup>8</sup> Investigators should attach copies of the listed publications, as required by the amfAR publications policy. (See Section III.N.2). Reports on unpublished research, such as manuscripts, are considered confidential information.

payment suspension and, at the same time, a revised submission deadline, which represents a last chance to file the mandated report(s). If reports are not submitted by the revised deadline, both the institution and the investigator (or fellow) are considered in violation of the terms and conditions, and the grant or fellowship is terminated effective the date of the deadline. The grantee institution shall then be allowed thirty days in which to submit a final progress report and a report of expenditures disbursed, which shall be the basis for a final payment (if due).

**If reports are not submitted by the 30-day deadline, the grant will be rescinded and all payments previously made on the grant or fellowship must be returned to the Foundation.** Failure to return payments will result in legal action to enforce the provision. Furthermore, in the absence of a final progress report, the Foundation will refer to such grants or fellowships in all documents, internal and external, by using the following (or a similar) statement: *No scientific progress by the investigator was reported for this award.*

Please be aware that once a grant has been rescinded, the submission of reports will not reinstate the grant or final payment. However, submission of an approved final progress report will (1) remove the “no progress” disclaimer, (2) allow the grantee institution to retain all funds issued to date, and (3) release any pending legal action.

#### L. EXTENSIONS WITHOUT ADDITIONAL FUNDS

The end date of a research grant may be extended without additional funds for up to one year. The Foundation will consider extending the period of performance upon receipt of a written request from the project’s principal investigator. The request must be countersigned by an official of the grantee institution and must be submitted prior to the grant’s scheduled expiration. **An updated interim progress report of two pages or less must be submitted with a request for an extension.** The Foundation’s grants administration department, in consultation with senior program officers or staff, issues approval for extensions.

#### M. BUDGET MODIFICATIONS

Budget modifications of up to \$3,000 per line item (for personnel, consultant costs, equipment, supplies and materials, or other direct costs), except those that increase or decrease any line by 50% or more, may be made without prior written approval.

Modifications (1) that any increase or decrease a budget line by more than \$3,000, (2) of any amount that increase or decrease a line item by 50% or more, or (3) of any amount on the travel line must have **prior written approval** from amfAR’s grants administration department.

Funds from the fellowship travel line may in no case be re-allocated to other budget lines. The total amount allocated to the travel line for a research grant may in no case be greater than \$1,000.

Expenditures in excess of the stated thresholds or limitations will be disallowed by the Foundation and deducted from the final payment. **There are no exceptions to this policy.**

When a budget modification approval is required, the principal investigator should send a written request to the grants administration department. That request must:

- identify the line items and the dollar amounts to be debited and credited to effect the budget modification;
- state clearly the potential benefits of the modification to the completion of the investigation;
- note why funds are available within the line item to be debited

## N. SITE VISITS

The Foundation reserves the right to schedule at least one site visit during a project's period of performance or within six months of its end date. The primary purposes of a site visit are to

- facilitate interaction between amfAR and the grantee institution, that is, between amfAR's program and administrative staff and the grantee institution's project staff, financial and administrative staff, and other research participants;
- allow amfAR program staff to evaluate the project's research progress and activities;
- to enable amfAR program staff to give technical assistance to principal investigators and fellows, if necessary; and to
- allow amfAR administrative staff to audit financial and administrative records for the project.

## O. PRODUCTS DEVELOPED UNDER AN amfAR-FUNDED AWARD

### 1. Copyrights

The principal investigator and/or the grantee institution shall hold all legal responsibility pertaining to the production, distribution, and any action resulting from the use of original materials developed through an amfAR-funded research project. The principal investigator/fellow and/or the grantee institution shall defend and hold amfAR harmless from any claims and charges resulting from said materials, including their production and distribution.

### 2. Publications

Publications resulting from research conducted as part of an amfAR-funded project must contain an acknowledgment, *e.g.*, "This work was supported (in whole or in part) by grant number \_\_\_\_\_ from amfAR, The Foundation for AIDS Research." Specific acknowledgement requirements stipulated in award notices or subsequent documents and shall have full force and effect as if included herein. The grantee institution or the project's principal investigator is asked to provide the Foundation with four reprints of publications within two weeks of the publication date.

Identification with The Foundation for AIDS Research shall be made when an amfAR-funded research project is referenced in or the subject of a general press release and/or an item in a campus or institution publication.

### 3. Patents

If a grantee institution or a principal investigator applies for a patent on any discovery first reduced in fact to practice in the course of an amfAR-funded research project, the principal investigator agrees to provide the Foundation with written notice of the patent application. If letters of patent are issued for that discovery, the successful applicant will again notify the Foundation in writing. In addition, the grantee institution and the principal investigator will grant amfAR the right to refer to the application and letters of patent in materials disseminated by the Foundation.

## P. TRANSFER OF AWARD TO NEW INSTITUTION AND/OR INVESTIGATOR

Occasionally, a situation arises in which a grant is transferred to a different investigator because the original principal investigator dies or is incapacitated for an extended period of time; or, a grant is transferred to a different institution because the principal investigator accepts a position at another institution and wishes to transfer the grant to that institution.

When the transfer request is caused by death or lengthy incapacitation, an authorized official of the grantee institution should notify the Foundation in writing. That letter should be countersigned by the proposed new

principal investigator, whose up-to-date curriculum vitae should be enclosed with the letter.

When the request is caused by a principal investigator's anticipated transfer to another institution, the investigator should write to the Foundation grants administration department, expressing intent to transfer the grant and requesting approval to do so. The letter should carry an official endorsement by the original grantee institution attesting to its willingness to relinquish the grant, and it should propose a termination date for the original award. Also, the letter should include a list of equipment to be transferred, if any.

Concurrently, the principal investigator should initiate a letter from the proposed grantee institution to the Foundation, indicating the new institution's willingness to accept and administer the grant. In addition, the new grantee institution must submit the face page and the budget sheets of an amfAR grant application. However, payments to the new grantee institution will not be initiated until amfAR has approved a financial report, namely, the final report of expenditures, from the prior grantee institution.

amfAR's grants administration department sends written approval for every transfer of a grant, as appropriate, to both the original and the new grantee institutions and to both the original and the new principal investigators. **Each transfer of an amfAR grant or fellowship is at the discretion of the Foundation. All transfers are subject to review by the Foundation and are not routinely approved. The Foundation is not obligated to justify a decision to not approve a request for transfer.**

#### Q. RELINQUISHMENT OF AWARD

Should a grantee institution be required by a principal investigator's departure or lengthy absence from the institution or for other reasons wish to relinquish an amfAR grant or fellowship prior to the end of the performance period, written notice to the Foundation is required. This notification should be signed by the principal investigator and by an authorized official of the grantee institution. In addition, a final report of expenditures (ROE), prepared on forms provided by amfAR, should be received by the Foundation within 90 days of the revised termination date. No obligations incurred after the termination date will be reimbursed, and any funds not expended must be returned to the Foundation with the final ROE. Also, the Foundation asks that interest earned on amfAR funds be included in the funds returned with the ROE.

#### R. SUSPENSION OF AWARD

The Foundation reserves the right to suspend any award (research grant or fellowship) for any reason at any time during that award's period of performance. If a grant or fellowship is suspended, expenditures against that award may not be incurred during the time of suspension. amfAR's primary reason for suspending an award is to give the principal investigator and/or the grantee institution an opportunity either to resolve organizational and programmatic issues related to a project's implementation or to address policy violations of the award's terms and conditions.

When an award is suspended, amfAR's grants administration department sends written notification of the suspension to the project's principal investigator and to officials of the grantee institution. The letter of notification details the exact reason(s) for suspension, the issues to be addressed, the information and documentation required for reinstatement of the award (including submissions that meet the terms and conditions of award), and the deadline for submission of all necessary documentation.

On or immediately after the deadline, amfAR reviews the documentation submitted by the grantee institution and the principal investigator to determine whether the terms and conditions of award have been met. Thereafter, a final determination is made either to reinstate or to terminate the research grant or fellowship. As stated in the Foundation's notification-of-suspension letter, failure to provide the required documentation by the specified deadline results in the automatic termination of a grant or fellowship.

S. TERMINATION OF AWARD

The Foundation reserves the right in its sole discretion to terminate any award (whether research grant or fellowship) for any reason at any time during that award’s period of performance. Principal reasons for the termination of a research grant or fellowship include but are not limited to:

- failure to provide the required information for reinstatement of a suspended award;
- failure to make adequate progress during the period of performance, as confirmed by interim progress reports that are not approved; or
- direct violation of any terms and conditions of award, two of which (failure to submit a final report of expenditures and failure to submit a final progress report) result in termination of the award in its entirety, requiring thereafter the return of all funds paid on the award (see Section III, K, “Failure to Submit Required Reports”).

By accepting an amfAR research grant or fellowship, the grantee investigator/fellow, fellowship mentor and the grantee organization agree to comply with the terms and conditions of award and, when policy violations occur, to abide by the Foundation’s directives. Once amfAR terminates a grant or fellowship and provides written notification to the grantee investigator or fellow and to the grantee institution, termination of the award is final and is not subject to further review by the Foundation.

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I hereby acknowledge that I have read, understand and agree to the grant terms and conditions specified in amfAR’s *Policies and Terms and Conditions Governing Research Grants and Fellowships*.

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Signature of the Principal Investigator/Fellow

Date

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Print or type name and title and phone number of the Principal Investigator / Fellow

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Signature of the Institution Official

Date

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Print or type name and title and phone number of the Institution Official

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Signature of authorized amfAR Grants Administration Officer

Date

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Print or type name and title and phone number of the Signature of the amfAR Grants Administration Officer

amfAR Grant ID # \_\_\_\_\_

FOR REVIEW ONLY