MEDICAL COLLEGE OF WISCONSIN
HEALTHIER WISCONSIN PARTNERSHIP PROGRAM

Award Administration Manual
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I. INTRODUCTION

The vision of Healthier Wisconsin Partnership Program (HWPP) is to improve the health of the people of Wisconsin. HWPP advances this vision by awarding project funding and supporting community-MCW academic partnerships that focus on broad determinants of health in communities.

This Award Administration Manual provides information to assist with the preparation and administration of HWPP funded projects. All forms described in this manual are available in the Funded Project Toolbox of the HWPP’s website.

General Contact Information

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Fax: 414/955-6529

Mail: Healthier Wisconsin Partnership Program
Medical College of Wisconsin
8701 Watertown Plank Road
P.O. Box 26509
Milwaukee, WI 53226-0509

Office: Healthier Wisconsin Partnership Program
Located in the College's main building on 87th Street,
Suite 2100
Milwaukee, WI 53226

Website: http://www.mcw.edu/healthierwipartnerships.htm

E-mail: healthierwisconsin@mcw.edu

Thank you for your commitment to a healthier Wisconsin through community-MCW academic partnerships. We look forward to working with you!
II. PROJECT IMPLEMENTATION

A. OVERVIEW

Each project is required to execute a Funding Agreement with and provided by the Medical College of Wisconsin (MCW) before project activities can commence. Notice of an executed Funding Agreement will be provided by HWPP to the project’s primary partners.

B. INSTRUCTIONS FOR FUNDING AGREEMENT PACKET

Each project is required to complete and submit the following items as a complete Funding Agreement packet. The Funding Agreement packet must be submitted electronically via email and in hardcopy format delivered or mailed to the HWPP offices.

1. Funding Agreement Form (Word format):
   Designate one person in your partnership to fill in pertinent information for identified community and MCW academic partners and circulate it for review by all project partners. Persons authorized to sign the Funding Agreement may then do so (please print/photocopy additional signature pages as necessary). Electronic or copied signatures will not be accepted on the Funding Agreement. Only original signatures will be accepted. Partnerships must determine which partners are listed on the Funding Agreement, noting that only those community partner organization(s) listed on the Funding Agreement will be able to directly invoice MCW for HWPP Project expenses. HWPP uses an expense-reimbursement model for all awards.

2. IRB Approval Documentation:
   All HWPP projects are considered research. Projects must submit a copy of the IRB approval documentation certifying that the research will be conducted in compliance with the applicable ethical standards and the criteria for such research. (See section III).

3. Budget Spreadsheet (Excel format):
   Projects must submit a budget spreadsheet explicitly detailing the amount of funds for each community organization partner listed on the Funding Agreement and MCW department(s). (See section IV of this document for more information regarding allowable and unallowable costs.)

4. Budget Narrative (Word format):
   Projects must submit the Budget Narrative form that accompanied the original proposal submission (incorporating updates as appropriate), explicitly detailing the amount of funds for each community organization partner listed on the Funding Agreement and MCW department(s). (See section IV of this document for more information regarding allowable and unallowable costs.)

5. Project Workplan: (Excel format)
   Projects must submit a Workplan that outlines the projects objectives, activities, measurement plans, timeframes and person(s) responsible for the life cycle of the
award. The Workplan will track the progress of the project’s stated objectives and will be resubmitted at each reporting period for the duration of the project.

6. **Fiscal Audit:**
   Each community partner listed on the Funding Agreement is required to furnish a copy of its most recent audit. A Federal A-133 audit or an audit performed in accordance with *Government Auditing Standards* will fulfill the audit requirement. If such audits are not performed, an organization-wide audit may be provided which includes program-level testing. If an organization-wide audit is not performed, HWPP reserves the right to request and review additional documentation. HWPP requires a fiscal audit for each calendar year of the project.

7. **Updated Supplanting Re-Attestation:**
   Each community partner listed on the Funding Agreement and/or project budget must provide an updated and signed Supplanting Re-Attestation. One Supplanting Re-Attestation is submitted for MCW by the primary MCW partner (Principal Investigator - PI). The Supplanting Re-Attestation form is available for download on the HWPP website.

   Email and mail (or deliver) the complete Funding Agreement packet (including documents listed above) to HWPP by **January 1, 2011**.

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### III. RESEARCH INVOLVING HUMAN SUBJECTS

#### A. OVERVIEW

All HWPP projects are considered research. Projects funded by HWPP must ensure that human participants are protected during the collection of information from project participants and/or the publication or dissemination of project results.

Projects must:

1. Obtain approval through a Human Research Protection Program at the Medical College of Wisconsin (MCW) or Children’s Hospital of Wisconsin (CHW) prior to the project commencing. Each institution has an Institutional Review Board (IRB) that evaluates projects for compliance with applicable human subject laws and regulations. In most instances, approval is secured in an expedited fashion.

2. Ensure appropriate training and ongoing education necessary to protect the rights and welfare of human participants before and throughout the duration of the project, including maintaining compliance with all MCW or CHW human subject policies, regulations and reporting requirements.

Some community partners may also have their own requirements and procedures for the protection of human subjects. Each project is responsible for ensuring that any of these additional requirements are also completed.
B. IRB APPROVAL

1. The primary MCW partner (Principal Investigator - PI) must submit a protocol application to MCW or CHW for consideration by the appropriate IRB as follows:
   - MCW IRB: If a project involves only adults (18 and over).
   - CHW IRB: If a project involves children (under 18) and adults.

2. An approval letter will be issued to the project from the respective IRB.

3. A copy of this IRB approval letter must be submitted to HWPP with the Funding Agreement.

C. TRAINING AND ONGOING EDUCATION

1. The primary MCW partner (PI) should identify all project personnel who should be trained in the use of research tools/activities.

2. Identified personnel must complete the online Collaborative Institutional Training Initiative (CITI) prior to beginning the project. CITI can be accessed from any computer via the Internet and takes approximately one hour to complete. See a tutorial and link to CITI from HWPP’s website.
   http://www.mcw.edu/healthierwipartnerships/FundingAgreement/HumanResearchProtection.htm

3. Important CITI note:
   - Community partners may complete an abbreviated CITI course, Group 6. Additional course modules might be added at the discretion of the primary MCW partner (PI).
   - All MCW partners (faculty and staff) are required to complete all sections of CITI as required in their role as MCW employees.

4. CITI Refresher:
   - Typically, CITI training needs to be updated every 24 months. The CITI Refresher will need to be completed at least once during the life of each Impact Award.
   - If 12 months lapse between HWPP awards, community partners will need to complete the CITI Refresher Course.
   - CITI Refresher Course Registration Tips can be found on the HWPP website.
D. SUMMARY OF ROLES AND RESPONSIBILITIES TO COMPLETE IRB APPROVAL

<table>
<thead>
<tr>
<th>MCW</th>
<th>Community</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ Lead and inform process of Human Protection</td>
<td>▪ Complete CITI – Group 6*</td>
</tr>
<tr>
<td>▪ Prepare and Submit IRB Protocol</td>
<td>▪ Complete CITI Refresher Course – as applicable</td>
</tr>
<tr>
<td>▪ Complete CITI – Applicable to role as MCW employee</td>
<td>▪ Notify primary MCW partner (PI) of changes needed to approved IRB protocol</td>
</tr>
<tr>
<td>▪ Identify community partners who need to complete CITI and/or CITI Refresher Course</td>
<td>▪ Comply with approved IRB protocol tools</td>
</tr>
<tr>
<td>▪ Identify additional CITI modules as necessary</td>
<td>* Additional course modules might be added at the discretion of the primary MCW partner (PI).</td>
</tr>
<tr>
<td>▪ Train all partners on the use of IRB protocol tools</td>
<td></td>
</tr>
<tr>
<td>▪ Update approved IRB protocol as necessary and inform all partners</td>
<td></td>
</tr>
</tbody>
</table>

IV. ALLOWABLE EXPENSES

Funds can only be used for direct project-specific expenses. Examples of eligible expenses include:
- Salary and benefits for personnel directly involved in the project.
- Direct expenses including, but not limited to project supplies, mileage, travel, training, etc.

A. FUNDING RESTRICTIONS

Funds may not be used for:
- Indirect costs such as ongoing operating expenses of an organization’s routine functions and principal programs.
- Facility alterations or renovations costs (tangible real property) costing $3,000 or more with a useful life of more than one year.
- Debt reduction.
- Entertainment or alcoholic beverages.
- Lobbying.
- Projects conducted outside of the State of Wisconsin.
- Reimbursement solely for patient care or clinical service delivery.
- Supplanting (See Section C – Supplanting Criteria).

B. DIRECT, INDIRECT AND UNALLOWABLE COSTS

The decision of whether a cost is direct or indirect is based on the ability to specifically identify the cost with the project, rather than on the nature of the goods and services. Failure to
mention a specific cost category does not imply it is either allowable or unallowable.

<table>
<thead>
<tr>
<th>Cost</th>
<th>Description</th>
<th>Normally Direct/Indirect</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advertising/Marketing</td>
<td>Advertising for personnel recruitment, or program participants.</td>
<td>Direct — if specifically related to the project, such as recruitment of dedicated personnel. Otherwise, indirect.</td>
</tr>
<tr>
<td>Books, Journals and Subscriptions</td>
<td>Books, journals and subscriptions to professional and technical publications.</td>
<td>Direct — books, journals and subscriptions specifically related to a project. Indirect — books, journals and subscriptions that benefit the project in general or the organization in general.</td>
</tr>
<tr>
<td>Consultant</td>
<td>An individual hired to perform professional, short-term services.</td>
<td>Direct.</td>
</tr>
<tr>
<td>Equipment</td>
<td>Tangible personal property with a useful life of more than one year and a unit cost greater than or equal to $3,000. Special purpose equipment is scientific equipment used only for technical activities. General purpose equipment includes computers, office equipment, and furnishings, which are not limited to research or technical use.</td>
<td>Direct — Special purpose equipment is allowable as a direct cost, with approval by the Healthier Wisconsin Partnership Program. Indirect — General purpose equipment is an indirect cost, unless specifically approved by the Healthier Wisconsin Partnership Program.</td>
</tr>
<tr>
<td>Honoraria</td>
<td>A payment for services, such as a speaker’s fee.</td>
<td>Direct if a payment for services. An award without services is unallowable.</td>
</tr>
<tr>
<td>Insurance</td>
<td>Insurance coverage for normal business purposes, whether provided by an external company or through a self-insurance program.</td>
<td>Normally indirect. If incurred as an incremental cost specifically for the program, then direct. Must be specifically approved by the Healthier Wisconsin Partnership Program.</td>
</tr>
<tr>
<td>Maintenance and Repair</td>
<td>Costs to keep property in efficient operating condition. Not including costs that increase property value.</td>
<td>Direct — if the project usage can be accurately measured to allocate costs among projects. Otherwise, indirect.</td>
</tr>
<tr>
<td>Meals and Meeting Refreshments</td>
<td>Meals are allowable if associated with a conference or symposium. Meeting refreshments, site visit meals and guest meals require the approval of the Healthier Wisconsin Partnership Program.</td>
<td>Direct — if specifically approved in budget, with approval by the Healthier Wisconsin Partnership Program. Otherwise, indirect.</td>
</tr>
<tr>
<td>Memberships and dues</td>
<td>Memberships and dues to belong to a professional or technical organization.</td>
<td>Direct — memberships and dues required exclusively for a particular project. Direct cost treatment must be specifically requested and justified in the proposal, and approved by the Healthier Wisconsin Partnership Program. Indirect — memberships and dues that benefit the researcher or organization in general.</td>
</tr>
<tr>
<td>Messenger Service</td>
<td>Overnight delivery service or special</td>
<td>Direct — shipping of samples, receiving goods</td>
</tr>
<tr>
<td>Cost</td>
<td>Description</td>
<td>Normally Direct/Indirect</td>
</tr>
<tr>
<td>---------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Office Supplies</td>
<td>Office supplies are those items usually maintained for general use by all staff. Such items would include pens, pencils, writing paper, file folders, letterhead, envelopes, staples, staplers and rulers. Office supplies generally support multiple activities of project personnel.</td>
<td>Direct – lab-related office supplies or office supplies purchased for specific project use. Direct cost treatment must be specifically requested and approved by the Healthier Wisconsin Partnership Program. Otherwise, indirect.</td>
</tr>
<tr>
<td>Photocopy</td>
<td>Photocopying of documents.</td>
<td>Direct – photocopying of technical material related to a particular project. Direct cost treatment must be specifically requested, and approved by the Healthier Wisconsin Partnership Program. Indirect – routine photocopying of a general business nature (employee timesheets, professional materials, general research articles).</td>
</tr>
<tr>
<td>Postage</td>
<td>Routine postage costs. (Also, see Messenger Service).</td>
<td>Direct – postage costs for large mailings or surveys. Direct cost treatment must be specifically requested, and approved by the Healthier Wisconsin Partnership Program. Indirect – routine postage costs, including general agency correspondence and mailing of proposals.</td>
</tr>
<tr>
<td>Rent</td>
<td>Cost to lease building space or equipment.</td>
<td>Normally indirect. If incurred as an incremental cost specifically for the program, then direct. Must be specifically approved by the Healthier Wisconsin Partnership Program.</td>
</tr>
<tr>
<td>Salaries and Fringe Benefits-Technical and Programmatic Personnel</td>
<td>Personnel performing scientific or other technical work related to a project.</td>
<td>Direct – work performed must specifically relate to the project. The direct cost charge must be based on the percentage of effort devoted by the employee.</td>
</tr>
<tr>
<td>Salaries and Fringe Benefits-Administrative and Clerical Personnel</td>
<td>Departmental administration, including professional and clerical staff, and central administration staff serving the entire organization.</td>
<td>Direct – administrative and clerical cost incurred for a technical purpose or related to a large, complex project. Direct cost treatment must be specifically requested and justified in the proposal, and approved by the Healthier Wisconsin Partnership Program. Indirect – routine, base level of administrative support provided to all organizational activities.</td>
</tr>
<tr>
<td>Supplies and Materials – Technical</td>
<td>Purchased materials and supplies consumed in performance of the project agreement. The cost to the project should be net of credits,</td>
<td>Direct (See Office Supplies, also.)</td>
</tr>
<tr>
<td>Cost</td>
<td>Description</td>
<td>Normally Direct/Indirect</td>
</tr>
<tr>
<td>------</td>
<td>-------------</td>
<td>-------------------------</td>
</tr>
<tr>
<td>Cost</td>
<td>Description</td>
<td>Normally Direct/Indirect</td>
</tr>
<tr>
<td>---</td>
<td>-------------</td>
<td>-------------------------</td>
</tr>
<tr>
<td>Direct/Indirect</td>
<td>discounts and rebates. Freight costs are part of supply and material costs.</td>
<td>Direct – Long distance telephone, if the charge can be specifically identified with the project. Local telephone, fax service and pagers are normally indirect, unless approved by the Healthier Wisconsin Partnership Program based on a specific program purpose or circumstance.</td>
</tr>
<tr>
<td>Freight costs</td>
<td>Freight costs are part of supply and material costs.</td>
<td>Direct if specifically approved in budget, with approval by the HWPP. Special restrictions may exist for certain costs, such as first-class airfare and foreign travel.</td>
</tr>
<tr>
<td>Telephone, fax lines and pagers</td>
<td>Equipment and service costs for telephones, fax service and pagers.</td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td>Transportation, lodging, subsistence and related costs for official business, in accordance with MCW travel policy.</td>
<td>Direct if specifically approved in budget, with approval by the HWPP. Special restrictions may exist for certain costs, such as first-class airfare and foreign travel.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Unallowable Costs</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alcohol Beverages</td>
<td>Alcoholic beverages are unallowable as a direct or indirect cost.</td>
</tr>
<tr>
<td>Alterations and Renovations</td>
<td>Specifically prohibited by OCI order.</td>
</tr>
<tr>
<td>Alumni Activities</td>
<td>Alumni relations and alumni service costs.</td>
</tr>
<tr>
<td>Bad Debts</td>
<td>Losses from uncollectible accounts, collection costs and related legal costs.</td>
</tr>
<tr>
<td>Commencement/Convocation</td>
<td>Costs of ceremonies and receptions.</td>
</tr>
<tr>
<td>Contingency Funds</td>
<td>Provisions made for events that are uncertain as to actual occurrence, timing or extent.</td>
</tr>
<tr>
<td>Defense, Prosecution, Claims and Appeals</td>
<td>Unallowable.</td>
</tr>
<tr>
<td>Depreciation</td>
<td>The cost of an asset (building or equipment) spread over the asset’s useful life.</td>
</tr>
<tr>
<td>Donations and Contributions</td>
<td>Includes gifts, memorials and purchase of tables.</td>
</tr>
<tr>
<td>Entertainment</td>
<td>Amusement, social activities, and related costs (tickets, meals, lodging and gratuities).</td>
</tr>
<tr>
<td>Fines and Penalties</td>
<td>Costs resulting from violations of laws and regulations. Unallowable.</td>
</tr>
<tr>
<td>Fund Raising</td>
<td>Development activities, including solicitation of gifts and bequests, endowment drives and capital campaigns.</td>
</tr>
<tr>
<td>Goods or Services for Personal Use by Employees</td>
<td>Items or services providing direct personal benefit to employees.</td>
</tr>
<tr>
<td>Interest</td>
<td>Indirect.</td>
</tr>
<tr>
<td>Investment Management</td>
<td>Costs of investment counsel.</td>
</tr>
<tr>
<td>Lobbying</td>
<td>Attempts to influence outcomes of elections or other political actions.</td>
</tr>
<tr>
<td>Losses on Project Agreements</td>
<td>Costs in excess of available funding are unallowable as a direct cost on another project agreement.</td>
</tr>
</tbody>
</table>
### Unallowable Costs

<table>
<thead>
<tr>
<th>Cost</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-award Costs</td>
<td>Costs incurred prior to the effective date of the project agreement are unallowable charges to the project, unless approved by the Healthier Wisconsin Partnership Program.</td>
</tr>
<tr>
<td>Proposal Costs</td>
<td>Proposal preparation, including typing, copying and mailing costs, for new and renewal applications.</td>
</tr>
<tr>
<td>Public Relations and Marketing</td>
<td>Public relations, marketing and related advertising costs intended to promote the organization or improve community relations that is not project specific.</td>
</tr>
<tr>
<td>Scholarships, Stipends and Tuition</td>
<td>Scholarships and stipends are provided to support education costs or living expenses.</td>
</tr>
<tr>
<td>Security</td>
<td>Costs to protect personnel and facilities.</td>
</tr>
<tr>
<td>Student Activity Costs</td>
<td>Costs of student publications and activities are unallowable.</td>
</tr>
</tbody>
</table>

### C. Supplanting Criteria

The March 28, 2000 Order of the Commissioner of Insurance requires that the AHW Funds (the Funds) “may not be used to supplant funds or resources that are available from other sources.” The MCW Consortium is required to report annually on “whether the Funds are supplanting resources otherwise available.” MCW must report annually the basis for the “determination that the application of the Funds does not supplant other resources that may be available to accomplish the same purposes.”

Supplant means to replace. The concern over supplanting focuses on replacing existing funding with AHW Funds for specific projects or uses. To ensure compliance with the Order not to supplant, the following set of criteria will be used to identify existing or available funding for each proposed project or use and to determine whether such existing or available funding would be replaced with financial support by the Funds.

Prior to recommending funding for community-MCW partnership projects, the MCW Consortium will assess whether other financial resources exist or are available for the project, including an assessment of whether the community partner has other financial resources available for the project. Partners must certify that no financial resources will be supplanted and provide a complete listing of current funding sources for the project, or similar current or prior projects, so that an accurate assessment of supplanting versus leveraging can be made.

The following criteria will be considered to determine whether financial support by the Funds for a proposed project or proposed use would supplant or leverage other available financial resources:

1. **Closely related projects or uses and financial resources for related projects or uses** - A related project or use includes (i) a project or use with a similar or related purpose conducted by MCW or within the community and (ii) all projects, research activities and education activities conducted by the faculty member and/or community partner within the three year period immediately prior to the application or submission. All related projects and uses and
financial resources for such related projects and uses should be identified.

2. **Sources of financial resources for the project or use** - Financial support provided by a governmental source for a project or similar use within the three year period prior to the date of the application or submittal should be identified. Financial support provided by a source other than a governmental source for a project or similar use within the two year period prior to the date of the application or submission should be identified.

3. **Availability of Federal funding** - Consideration should be made whether Federal funding is available, including grants awarded for the project or use, announced available funding for the project or use and eligibility to apply for available funding.

4. **Availability of State funding** - Consideration should be made whether State funding is available. Consideration should be made with respect to programs for which state funding has been or may be reduced due to budget cut-backs. Consideration should be made with respect to governmental mandated programs without governmental funding.

5. **Availability of College corporate funding** - College corporate funds are derived from tuition, the academic enrichment fund assessment on clinical revenue, facilities and administrative fees paid under federal grants, investment income on working capital and unrestricted philanthropy. Consideration should be made whether College corporate funds are available. Expenditures of College corporate funds for a project or use during the two year period immediately prior to the application or submission for financial support by the Funds should be identified.

6. **Availability of community funding** - Sources of community funds will be determined on a case by case basis. Consideration should be made whether community funds are available. Community financial support for a project or use provided during the two year period immediately prior to the application or submission for financial support by the Funds should be identified.

7. **Availability of matching funds; opportunities for leveraging** - Supplemental uses and limited term funding will be factors in the consideration process. Matching funding and opportunities to leverage the Funds to obtain other funding are to be encouraged.

8. **Other factors applicable to the specific proposed project or use** - Either the Dean and Executive Vice President, the Senior Vice President for Finance and Administration or the MCW Consortium may identify other factors to be considered.
V. PAYMENT PROCEDURES

A. OVERVIEW

Funds for each project are provided on an expense reimbursement model. Only those community partner organization(s) listed on the Funding Agreement may directly invoice MCW for HWPP project expenses.

B. SUMMARY OF ROLES AND RESPONSIBILITIES FOR PAYMENT PROCEDURES

<table>
<thead>
<tr>
<th>MCW</th>
<th>Community</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ The primary MCW partner (Principal Investigator - PI) serves as the main point of contact for project invoices.</td>
<td>▪ Only community partner organization(s) listed on the Funding Agreement may invoice MCW directly.</td>
</tr>
<tr>
<td>▪ The primary MCW partner (PI) has staff within his/her MCW Department to facilitate the processing of payments.</td>
<td>▪ Invoices must be submitted using the Healthier Wisconsin Partnership Invoice Form available via download from the HWPP website.</td>
</tr>
<tr>
<td>▪ The primary MCW partner (PI) has a Standing Purchase Order established by his/her Department and provides this number to community partners.</td>
<td>▪ It is a requirement that community partner organization(s) invoice for direct allowable project-related costs not less than monthly but at least quarterly.</td>
</tr>
<tr>
<td>▪ In order to be reimbursed, primary MCW partners must certify that all expenditures are appropriate, reconcile with the approved project budget and are in accordance with the guidelines set forth by HWPP.</td>
<td>▪ In order to be reimbursed, community partner organization(s) must certify that all expenditures are appropriate and are in accordance with the guidelines set forth by HWPP.</td>
</tr>
<tr>
<td></td>
<td>▪ The final invoice must be signed, marked as “Final” and must be submitted within sixty (60) days of the end of the award period. No invoices will be considered for payment after the submission of the final invoice.</td>
</tr>
<tr>
<td></td>
<td>▪ MCW reserves the right to request and review additional documentation for any payment requests submitted.</td>
</tr>
</tbody>
</table>
C. INVOICING

1. Community partner organization downloads and completes HWPP invoice form.
2. Community partner sends/delivers signed invoice to the MCW Primary Partner.
3. Primary MCW PI reviews, approves and forwards to respective department staff for processing through MCW Accounts Payable.
4. Payment remitted to Community partner organization(s).

VI. PROJECT CHANGES

A. OVERVIEW

The terms of the Funding Agreement may only be modified or amended by a written addendum signed by an authorized representative of each community partner listed in the executed Funding Agreement and the primary MCW partner (PI).

All project changes need to be approved by HWPP in advance of the changes being made. No Project Change Requests may be made during the final thirty (30) days of the award period.

IMPORTANT

All of the following changes are executed via electronic forms and processed via e-mail. All partners must be publicly copied on transmitting e-mails. By submitting any of the following changes, community and MCW partners attest that the information provided is accurate, complete, and current. E-mails attest that each partner agrees to the changes requested, agrees to perform responsibilities as described within the request, and certifies that the funds being requested are not supplanting funds or resources available from other sources. Failure to submit appropriate requests in a timely manner may delay project funding.

Complete and submit the Change Request Form with all required sections and documentation prior to implementing any changes. Please respond to all questions. You may use as many pages as necessary, but please be as concise as possible in your responses. The information provided by your partnership will be reviewed by HWPP staff and the MCW Controller’s Office for review of supplanting issues, appropriateness of change, affect on overall project and alignment with original project goals.
Process:

- Complete the Project Change Form on behalf of whole Project.
- If the change affects the project budget, changes to the budget spreadsheet must be indicated in **Red** using the tab indicated as Next Change.
- Submit the Project Change Request a minimum of **ten business days** prior to the anticipated date the change is to be effective.
- E-mail the completed Project Change Form, budget narrative and budget spreadsheet (when applicable) to healthierwisconsin@mcw.edu.
- Attest that all partners have reviewed this change request by publicly copying all partners on the e-mail.
- Changes may not be implemented until e-mail approval of the change has been received from HWPP.

**B. SCOPE OF WORK AND WORKPLAN CHANGES**

It is expected that projects will achieve their objectives as stated in their approved workplan. **Only under significant circumstances will changes to the project scope (goal statement) be considered.** However, due to the dynamic and evolving nature of community-MCW academic partnership projects, HWPP understands that minor adaptations to project objectives and activities might occur.

Changes to the Workplan (including goal statement) must be requested for advance approval by completing and submitting the Change Request Form, with all required sections and documentation, prior to implementing any changes.

All Workplan changes are subject to full review and approval by the HWPP staff and, on a case-by-case basis, the MCW Consortium on Public and Community Health.

**C. PERSONNEL CHANGES**

Changes involving project personnel must be requested with the necessary justification to HWPP for **advance approval**. Examples of changes requiring approval include:

- Change in a project personnel percent effort devoted to the project decreased or increased from the level reported in either the application or the most recent report of a change (e.g., from 40% to 30% FTE);

- The nature or percent of a project personnel appointment at their respective organization changes;

- A project personnel withdraws from the project; resigns from the recipient organization; takes a leave of absence from the organization for any reason; or is not involved in the
day-to-day operations of the project longer than 30 consecutive days in accordance with the project plan; or,

✓ Project personnel are deleted or added to the project.

D. BUDGET CHANGES

The total allowable expenses and Period of Performance for each project is noted in the Funding Agreement. Expenditures are limited to the amount awarded and budgeted for each project year. Changes to the budget must be requested with the necessary justification to HWPP for advanced approval and are not to exceed 20% of the total approved budget. HWPP will provide an e-mail determination to the project partners. Changes may not be implemented until the e-mail approval has been made.

Line items for which expenses have been incurred cannot be deleted from your budget following a change. The line item must show the actual expenses incurred as of the date of the revision. Any new line item(s) or the suspension of an approved item should be explained in your budget narrative.

Revisions to personnel line items may also change the approved amount for fringe benefits. The proposed fringe benefit amount should be recalculated and stated in the budget narrative section.

Changes requiring advanced approval include, but are not limited to:

1. Categories

✓ Budget changes or re-budgeting between major budget categories (salaries and wages, supplies, travel, etc.) will be considered and must adhere to the original budget guidelines.

✓ When the need arises for additional line items, and/or when you anticipate spending in excess of any approved budget category per project year.

2. Carry-Forward Unexpended Funds During Period of Performance

Multiple-year projects may need to carry forward (roll over) unexpended funds from year to year (defined as a 12-month period) during the Period of Performance stated in the Funding Agreement. The amount of funds being requested to carry forward to the next fiscal period may not exceed 20% of the total award amount.

To adequately inform the need to carry forward unexpended funds, all invoicing must be up to date and the project’s MCW-academic partner must work with their department’s administration to run the *Oracle Grant Expenditure Detail Report (End User)* to confirm and reconcile against the General Ledger posting of all invoices.
✓ Submit (via e-mail attachment) the Carry Forward Unexpended Funds form available via download from the HWPP website.

✓ Justify changes in a clear, complete and convincing manner. The justification must address the specific benefit provided to the project by the carry-forward, including the reason why all funds were not expended during the current project year.

✓ Attach the current approved budget spreadsheet. In the ‘Next Change Tab’, adjust your spreadsheet so that the most recently past fiscal year represents actual expenses incurred. The requested changes should be indicated in red for the past fiscal year and future fiscal years being impacted.

✓ Attach the current approved budget narrative. Update your narrative so that the requested changes are indicated in red for the past fiscal year and future fiscal years being impacted.

3. No-Cost Time Extension and/or Carry-Forward After Period of Performance

The MCW Consortium on Public and Community Health has determined no extensions of time or use of funds will be allowed beyond the performance period documented in the executed Funding Agreement.

VI. PROJECT REPORTING

A. OVERVIEW

HWPP uses several tools to assess project progress including regular communication with project partners, progress reports, site visits, conference calls and final reports. These tools are subject to change. Updates will be released through the HWPP website. Funded projects will undergo an annual assessment of progress toward achieving proposed outcomes which may have an impact on future funding.

B. PROGRESS REPORTS

Progress Reports are required in the (9th) month of each 12 month period. Progress Reports must be e-mailed to healthierwisconsin@mcw.edu on the form provided by HWPP. To assure that project partners have reviewed and approve of activities as detailed in the Progress Report, all community and MCW partners must be publicly copied on the transmitting e-mail. No paper copy of the Progress Report is required.
C. Final Report

The Final Report is due no later than thirty (30) days after the end of the project.

The Final Report must be e-mailed to healthierwisconsin@mcw.edu on the form provided by HWPP. To assure that project partners have reviewed and approve of activities as detailed in the Final Report, all community and academic partners must be publicly copied on the transmitting e-mail. **In addition, a paper copy of the Final Report must be submitted to HWPP with signatures (original or electronic).**

**Mailed**

Healthier Wisconsin Partnership Program  
Medical College of Wisconsin  
8701 Watertown Plank Road  
P.O. Box 26509  
Milwaukee, WI 53226-0509

**OR**

**Hand-Delivered**

Healthier Wisconsin Partnership Program  
Located in the College’s main building on 87th Street  
Suite 2100  
Milwaukee, WI 53226

Supplementary documentation may be e-mailed to HWPP or mailed/delivered to the above address.

D. Site Visits

In addition to the progress reports, HWPP looks forward to the opportunity to see first-hand the work being accomplished across Wisconsin through site visits. Development projects should anticipate hosting a minimum of one site visit during the life of their project. Impact projects should anticipate hosting a minimum of two site visits during the life of their project. Site visits will be scheduled at the discretion of HWPP in collaboration with project partners. Project partners may also request a visit from HWPP at any time. The primary project partners are required to participate in the site visit, however, we encourage participation by all of your project’s partners as available.

E. Check-in Calls

HWPP will provide support and guidance to the project partners through the lifecycle of the project. HWPP staff will organize conference calls with project partners as needed to see if there are any questions regarding the administration of your HWPP award. Conference calls may cover updates on invoicing, IRB, potential project changes, project publicity and any other topics as necessary. The primary project partners are required to participate in the conference call, however, we encourage participation by all of your project’s partners as available.
F. Publicity

HWPP regards publicity as an opportunity and would like to collaborate with project partners. Please inform HWPP of any media inquiries that your project receives so that we may connect you with the MCW Office of Public Affairs to assist your project.

It is anticipated that various media venues will host information about project activities, either through general press announcements, proactive stories, or media queries to community partners or to MCW. HWPP would like to have copies of these to add to your project file and share with HWPP stakeholders.

Please append the following statement to any project publicity:

This project is funded [SELECT ONE – in part or wholly] by the Healthier Wisconsin Partnership Program, a component of the Advancing a Healthier Wisconsin endowment at the Medical College of Wisconsin.

Please feel free to contact MCW’s Office of Public Affairs for assistance with coordinating your project’s publicity, (414) 955-4700.