HEALTHIER WISCONSIN PARTNERSHIP PROGRAM

Improving health through community-academic partnerships

Violence Prevention Initiative

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

Phone: 414/955-4350

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. FUNDING AGREEMENT

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. Your partnership must determine which partners are listed on this 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.

INSTRUCTIONS
1. **Complete Funding Agreement:**
   As part of the VPI Call for Partnerships application process, the partnership teams have determined one lead organization that will be listed on the Funding Agreement. This organization will be the fiscal agent. Only the organization listed on the Funding Agreement is eligible to invoice MCW directly for project related expenses. Persons authorized to sign the Funding Agreement may then do so. Electronic or copied signatures will not be accepted on the Funding Agreement. Only original signatures will be accepted.

2. **Gather Documentation:**
   Append the following documents to the Funding Agreement.
   a. **Project Budget**
      Projects must submit a budget spreadsheet and narrative explicitly detailing the amount of funds for each community organization partner listed on the Funding Agreement and MCW department(s).
   b. **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. If an audit is available online, please provide the web address on letterhead, signed by the person authorized to release this information. HWPP requires and will request a fiscal audit for each calendar year of the project.
   c. **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. The Supplanting Re-Attestation form is available for download on the HWPP website.

3. **Submit the Funding Agreement:**
   Mail or deliver the complete Funding Agreement (including documents listed above) to HWPP a minimum of ten (10) business days in advance of the project’s intended start date.
Additional documentation may have been requested by HWPP. Please refer to communications from HWPP staff for additional instructions.

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 IRB for consideration.

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

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) (or approved equivalent) 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.
3. 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.

- 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></td>
</tr>
<tr>
<td>▪ Train all partners on the use of IRB protocol tools</td>
<td></td>
</tr>
</tbody>
</table>
| ▪ Update approved IRB protocol as necessary and inform all partners | *

* Additional course modules might be added at the discretion of the primary MCW partner (PI).

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

1. Community partner organization downloads and completes HWPP invoice form.
2. Community partner submits invoice to MCW through the primary MCW PI.
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).

V. 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 font 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 CHANGES

It is expected that projects will achieve their goals and objectives as stated in their approved work plan. 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 may occur.

Changes to the scope of work (goal statement) or project objectives 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.

While changes to project activities do not require submission of the Change Request Form and advance approval, it is important to keep HWPP duly informed of these adaptations and how they will not inhibit original project goals. Detail and highlight these adaptations in all Progress Reports, Site Visits and Conference Calls.

All Scope of Work Change requests are subject to full review and approval by the MCW Consortium on Public and Community Health on a case-by-case basis.

C. PERSONNEL CHANGES

Changes involving project personnel must be requested with the necessary justification to HWPP for advanced 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 by more than 5% 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 at six (6) month intervals throughout the duration of the project. HWPP defines reporting periods as July 1 through December 31 and January 1 through June 30. Progress Reports are due thirty (30) days following the completion of each six month reporting period no later than:

✓ January 31
✓ July 31

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 sixty (60) 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  
| OR     | P.O. Box 26509  
|        | Milwaukee, WI 53226-0509 |
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. Each project should anticipate hosting a minimum of one site visit during the life of their project. Site visits will be scheduled at the discretion of HWPP in collaboration with project partners. Projects may also request a visit from HWPP at any time.

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.

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 MCW Office of Public Affairs to assist your project.

It is expected 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 Youth Violence Prevention Initiative, a Special Funding Initiative of 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.