



ADVANCING A HEALTHIER
WISCONSIN ENDOWMENT

HEALTHIER WISCONSIN PARTNERSHIP PROGRAM

RESPONSIVE COMPONENT COHORT 3

CALL FOR CHANGEMAKERS

AWARD ADMINISTRATION MANUAL

ADVANCING A HEALTHIER WISCONSIN (AHW) ENDOWMENT AND HEALTHIER WISCONSIN PARTNERSHIP PROGRAM (HWPP) OVERVIEW

AHW AND HWPP OVERVIEW

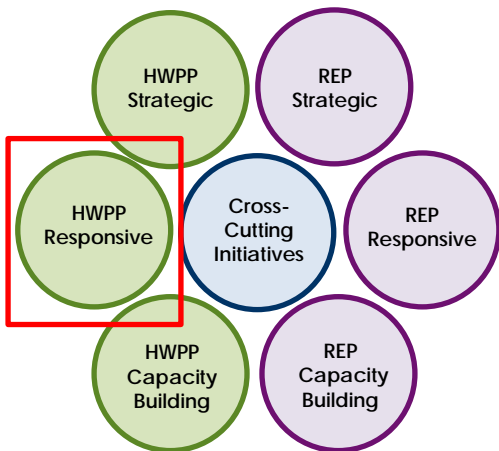
The **Advancing a Healthier Wisconsin (AHW) Endowment**, stewarded by the Medical College of Wisconsin (MCW), has a mission to work with partners to serve as a catalyst for positive change in the health of Wisconsin communities.

The **AHW Endowment’s 2014-2018 Five-Year Plan** focuses on moving from grantmaker (providing funding and monitoring and reporting on incremental health outcomes) to **changemaker** (leveraging funding and non-funding resources to build capacity, innovate and catalyze change while actively engaging with partners to achieve significant health outcomes).

AHW will invest in efforts that focus on root causes and sustainable results to more substantially transform systems and maximize impact. By focusing on outcomes, AHW expects changemaking investments to strengthen health-seeking behaviors, inform effective health policy, improve the environment that circumscribes healthy behaviors and contribute to a public health system that enhances the quality of life for all.

The AHW Endowment consists of three main programming areas:

ADVANCING A HEALTHIER WISCONSIN ENDOWMENT
MISSION
Working with our partners, AHW will serve as a catalyst for positive change in the health of Wisconsin communities
VISION
A healthier Wisconsin
PRINCIPLES
Collaboration – Supporting effective collaboration between community and MCW partners to broaden program impact throughout the state and to enhance the translation of knowledge into community practice
Transformation – Effective systemic change by emphasizing prevention, innovation and capacity-building; identifying initiatives that will enhance the health of our community through research, education and service, locally, statewide and, indirectly, nationally and internationally
Stewardship – Expecting excellence as funded projects measure and account for outcomes through effective oversight and rigorous evaluation; maximizing impact as priorities are identified, new knowledge is generated, translated, and disseminated, and additional resources are leveraged to support continued success



Healthier Wisconsin Partnership Program (HWPP) – dedicated to community-MCW academic partnerships for improved health

Research and Education Program (REP) – dedicated to advancing health through research and education initiatives

Cross-Cutting Initiatives – integrating strengths from research, education and community-academic partnerships to advance the health of Wisconsin residents

The **MCW Consortium on Public and Community Health (MCW Consortium)** serves as the board of directors for HWPP. In addition to oversight responsibility for HWPP, the MCW Consortium also serves in an advisory capacity for endowment funds allocated to REP at MCW.

HWPP CONTACT INFORMATION

Phone: 414.955.4350
Email: healthierwisconsin@mcw.edu
Website: www.mcw.edu/Advancing-Healthier-WI-Endowment.htm

Mail: Advancing a Healthier Wisconsin Endowment
 Healthier Wisconsin Partnership Program
 8701 Watertown Plank Road, Suite 2500
 PO Box 26509
 Milwaukee, WI 53226

FUNDING AGREEMENT

OVERVIEW

Each funded project is required to execute a Funding Agreement with the Medical College of Wisconsin (MCW) **before project activities and invoicing for expenses for the project can begin**. It is expected that your project will begin **January 1, 2016**. Notice of an executed Funding Agreement will be provided by the Healthier Wisconsin Partnership Program (HWPP) to the project’s primary community and MCW academic partners, who are responsible for disseminating information to and collecting information from all project partners.

INSTRUCTIONS

Each funded project is required to complete and submit the following items in order to secure an executed Funding Agreement and begin project activities. Projects are encouraged to **submit each document as it is completed** to allow sufficient time to address any concerns from HWPP. HWPP will hold completed documents until all of the documents listed below are received and finalized before advancing the Funding Agreement to the next stage of the approval process.

1. **Funding Agreement Form – hard copy submission:**

Each project is required to execute a funding agreement before the project activities can begin. It’s expected your project will begin January 1, 2016. **Only the primary community partner organization and MCW partners should be included on the funding agreement.** The primary community partner organization is the only partner that may directly invoice MCW for community partner HWPP project expenses using the cost-reimbursement method.

Complete only the **shaded boxes** for the primary community partner organization and MCW partners and circulate it for review among project partners. The funding agreement requires **original signatures** by those authorized to sign legal documents for each partner, including the MCW Department Chair’s signature. **Electronic or copied signatures will not be accepted.** The hard copy funding agreement can be delivered to HWPP at:

Advancing a Healthier Wisconsin Endowment
Healthier Wisconsin Partnership Program
8701 Watertown Plank Road, Suite M3570
PO Box 26509
Milwaukee, WI 53226

2. **Community Partner Fiscal Audit – hard copy or electronic submission via D2L dropbox:**

The primary community partner organization listed on the funding agreement is required to furnish a **copy of its most recent fiscal audit**. A Federal A-133 audit or an audit performed in accordance with *Government Auditing Standards* will fulfill the fiscal audit requirement. If such audits are not performed, the community organization will need to work with HWPP staff to determine how to best meet this requirement. **HWPP requires a fiscal audit for each calendar year of the project.**

3. **IRB Approval Documentation – electronic submission via D2L dropbox:**

REMINDERS
Begin the IRB process as soon as possible
Partners are highly encouraged to meet with the IRB office staff to discuss your IRB submission

All HWPP projects are considered research. Project partners must submit a copy of the Institutional Review Board (IRB) approval documentation from MCW or Children’s Hospital of Wisconsin (CHW) certifying that the research will be conducted in compliance with the applicable ethical standards and the criteria for such research. The primary MCW academic partner will lead this process.

Please submit the IRB approval letter (PDF) via the Funding Agreement Dropbox in D2L. Other community organizations participating in the project may also have IRB requirements that must be completed before funding will be awarded.

The primary MCW academic partner is highly encouraged to contact Kathryn Gaudreau, Co-Chair of IRB Committee #5 and Director of IRB Development & Education in the Human Research Protection Office, as soon as possible to discuss the project's IRB protocol. Contact Kathryn at kgaudrea@mcw.edu or 414-955-8337. Please note, failure to secure IRB approval in a timely manner may delay the beginning of your project activities. You will not be able to invoice for expenses incurred until after the IRB certification, as well as other necessary documentation, are submitted and your funding agreement is fully executed.

4. **AHW Partnership Assessment Tool – [electronic submission via D2L survey](#):**

Complete the **AHW Partnership Assessment Tool** to collect baseline information on your partnership's synergy, leadership, administration and management, mutual benefits and drawbacks and relationship building. The tool must be **completed individually** and your responses are **submitted anonymously**. The **primary community and MCW academic partners** must complete the tool, but we highly encourage additional project partners to also participate to enhance the amount of data and information for your partnership. If additional partners require D2L access in order to complete the tool, please contact HWPP at your earliest convenience. HWPP will provide the primary partners with the aggregate outcomes for all assessments completed by your project partners to support your partnership in identifying strengths and opportunities for improvement.

5. **HWPP Technical Assistance Provider Evaluation (if applicable) – [electronic submission via D2L dropbox](#):**

Complete the HWPP Technical Assistance Provider (TAP) Evaluation form based on your partnerships work with a TAP during the Stage 3 proposal development process, if applicable. The evaluation will help HWPP to inform future capacity building and technical assistance opportunities. Only one evaluation needs to be completed on behalf of the partnership. **Please submit the completed evaluation form via the Funding Agreement Dropbox in D2L.**

6. **Additional Project Materials (if applicable) – [electronic submission via D2L dropbox](#):**

If changes to your project budget and/or Roadmap for Change are needed either due to the outcomes of the review process or due to changes in your partnership and project needs, please make any necessary changes in **red** in the original documents submitted as a part of your Stage 3 proposal.

DEADLINE

To facilitate a January 1, 2016 start date for your project, please submit the Funding Agreement documents as they are completed and **no later than December 30, 2015**. Please remain in close communication with HWPP regarding completion of the Funding Agreement documents.

HUMAN SUBJECTS RESEARCH PROTECTION

OVERVIEW

All Healthier Wisconsin Partnership Program (HWPP) projects are considered community-engaged 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 beginning. Each institution has an Institutional Review Board (IRB) that evaluates projects for compliance with applicable human subject laws and regulations.
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 protection of human subjects. Partners are responsible for ensuring that any of these additional requirements are also completed.

IRB APPROVAL

1. The **primary MCW academic partner** (Principal Investigator – PI) must submit a protocol application to MCW or CHW for consideration by the appropriate IRB. HWPP will work with the MCW IRB Office on behalf of your partnership for a preliminary determination of which IRB your project should use. This determination will be emailed to the project's primary community and academic partners.
2. An approval letter will be issued to the partners from the respective IRB.
3. A **pdf copy of the initial IRB approval letter** must be submitted as a component of the Funding Agreement via the **Funding Agreement Dropbox in the project's Desire2Learn (D2L) collaboration space.**

REMINDERS

- Consider consulting IRB staff as you prepare your submission
- Clearly explain the intervention, participants and possible risks
- Use simple operational language and avoid general terms (i.e. "programs," "systems")
- Define acronyms
- Outline steps/activities involved in your project

TRAINING AND ONGOING EDUCATION

1. The primary MCW academic partner should assist project partners in identifying 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 on the Advancing a Healthier Wisconsin (AHW) Endowment website at <http://www.mcw.edu/Advancing-Healthier-WI-Endowment/Funded-Awards/Forms-and-Resources/HWPP-Award-Admin-Toolbox.htm>.
3. CITI Modules
 - a. **Community partners**, both primary and additional partners, may complete an abbreviated CITI course, Group 6. Additional course modules might be added at the discretion of the primary MCW academic partner.
 - b. 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:



- a. CITI training typically needs to be updated every 24 months through a **CITI Refresher**.
- b. Community members who have previously completed CITI training for a previous project must assure their certification is current. If 12 months lapse between HWPP awards, community partners will need to complete the CITI Refresher Course. Please see the AHW website for tips related to the CITI Refresher - <http://www.mcw.edu/Advancing-Healthier-WI-Endowment/Funded-Awards/Forms-and-Resources/HWPP-Award-Admin-Toolbox.htm>.

ROLES AND RESPONSIBILITIES TO COMPLETE IRB APPROVAL AND CITI TRAINING

MCW PARTNERS	COMMUNITY PARTNERS
<ul style="list-style-type: none"> • Lead and inform process of Human Subjects Research Protection • Prepare and submit IRB protocol • Complete CITI as applicable to role as MCW employee • Identify community partners who need to complete CITI and/or CITI Refresher Course • Identify additional CITI modules as necessary • Train all partners on the use of IRB protocol tools • Update approved IRB protocol, as necessary, in collaboration with project partners 	<ul style="list-style-type: none"> • Complete CITI Group 6 Module (additional modules might be added at the discretion of the primary MCW academic partner) • Complete CITI Refresher Course (as needed) • Notify primary MCW academic partner of changes needed to the approved IRB protocol • Comply with approved IRB protocol tools

PAYMENT PROCEDURES

OVERVIEW

Healthier Wisconsin Partnership Program (HWPP) funds can only be used for **direct, allowable project-specific expenses**, including:

- Salary and benefits for personnel for time spent on project-specific activities
- Direct expenses including, but not limited to, project supplies, mileage, travel, meeting expenses, etc.

FUNDING RESTRICTIONS

HWPP funds may **not** be used for:

- Indirect costs, such as ongoing operating expenses of an organization’s routine functions and principal programs
- Capital expenditures 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 Wisconsin
- Reimbursement solely for patient care or clinical service delivery
- Supplanting other funding resources

DIRECT, INDIRECT AND UNALLOWABLE COSTS

The decision of whether a proposed cost is direct (allowable) or indirect (unallowable) is based on the ability to specifically associate the cost with the project, rather than on the nature of the goods or services.

- **Direct Expenses** – project-specific expenses that are allowable, not a previous expense paid for through existing continued funding and included in the approved HWPP project budget
- **Indirect Expenses** – expenses related to the normal operating functions of the organization. AHW expects that an established partner organization has existing financial support and infrastructure for a facility and administrative staff to carry on its business; these expenses are unallowable for inclusion and approval in the HWPP project budget unless it can be demonstrated to be an incremental cost specifically incurred due to the project
- **Unallowable Expenses** – expenses that may not be incurred using HWPP funds

Failure to mention a specific cost category does not imply it is either allowable or unallowable.

HWPP DIRECT EXPENSES

Direct Expenses – project-specific expenses that are allowable, not a previous expense paid for through existing continued funding and included in the approved HWPP project budget

EXPENSE	DESCRIPTION
Advertising	Advertising for project-specific personnel recruitment or program participants, or for project-related awareness and education
Books, Journals and Subscriptions	Books, journals and subscriptions to professional or technical publications specifically related to the project
Consultant	Individual / organization hired to perform professional, short-term services specifically related to the project
Equipment	Tangible personal property with a useful life of one year or less and a unit cost of \$3,000 or less, including computers, office equipment, etc.; specifically related to the project
Honoraria	Payment for services, such as speaker fees, associated with a project-related conference or symposium



Meals and Meeting Refreshments	Meals associated with a project-related conference or symposium, meeting requirements, site visit meals and guest meals
Memberships and Dues	Memberships and dues to belong to professional or technical organizations specifically related to the project
Office Supplies	Project-related office supplies maintained for general use by all staff for use on the project, including, but not limited to, pens, pencils, writing paper, file folders, letterhead, envelopes, staples, staplers, rulers, etc. Cost to the project should be net of credits, discounts, and rebates; Freight costs are part of supply cost; Sales Tax is not. Photocopying of documents for non-routine, project-specific use
Postage / Messenger Service	Non-routine, project-specific postage costs, overnight delivery service or special shipping services, other than routine postage costs, including shipping of samples, receiving goods for project use or other delivery items that are directly related to project work
Salaries and Fringe Benefit – Technical and Program Personnel	Personnel performing project-specific scientific or other technical work based on the percentage of effort devoted by the employee
Supplies and Materials – Technical	Purchased materials and supplies consumed in performance of the project agreement; Cost to the project should be net of credits, discounts and rebates; Freight costs are part of supply and material costs; Sales Tax is not
Telephone, Fax Lines and Pagers	Equipment and service costs for telephones, fax service and pagers specifically for project use
Travel	Transportation, lodging, per diem and related costs for project-specific activities, in accordance with MCW travel policy and/or the community partner's travel policy

HWPP INDIRECT EXPENSES

Indirect Expenses – expenses related to the normal operating functions of the organization. AHW expects that an established partner organization has existing financial support and infrastructure for a facility and administrative staff to carry on its business; these expenses are unallowable for inclusion and approval in the HWPP project budget unless it can be demonstrated to be an incremental cost specifically incurred due to the project

EXPENSE	DESCRIPTION
Insurance	Insurance coverage for normal business purposes, whether provided by an external company or through a self-insurance program
Maintenance and Repair	Costs to keep property in efficient operating condition, not including costs that increase property value
Rent	Cost to lease building space or equipment
Salaries and Fringe Benefit – Administrative and Clerical Personnel	Departmental administration, including professional and clerical staff, and central administration staff serving the entire organization

HWPP UNALLOWABLE EXPENSES

Unallowable Expenses – expenses that may not be incurred using HWPP funds

EXPENSE	DESCRIPTION
Alcoholic Beverages	Purchase of alcoholic beverages
Alterations and Renovations	Brick and mortar alterations and/or renovations of facilities to expand or improve use



Alumni Activities	Alumni relations and alumni service costs
Bad Debts	Losses from uncollectible accounts, collection costs and related legal costs
Commencement / Convocation	Costs of ceremonies and receptions
Contingency Funds	Provisions made for events that are uncertain as to actual occurrence, timing or extent
Defense, Prosecution, Claims and Appeals	Costs resulting from defense, prosecution, claims and appeals expenses
Depreciation	Cost of an asset (building or equipment) spread over the asset's useful life
Donations/Contributions and Fund Raising	Includes gifts, memorials and purchase of tables at fund raising events; Costs for development activities, including solicitation of gifts and bequests, endowment drives and capital campaigns
Entertainment	Amusement, social activities and related costs (tickets, meals, lodging and gratuities)
Fines and Penalties	Costs resulting from violations of laws and regulations
Goods or Services for Personal Use by Employees	Items or services providing direct personal benefit to employees
Interest	Interest expenses
Investment Management	Costs of investment counsel
Lobbying	Attempts to influence outcomes of elections or other political actions
Losses on Project Agreements	Costs in excess of available funding are unallowable as a direct cost on another project agreement
Pre-Award Costs	Costs incurred prior to the effective date of the project agreement
Proposal Costs	Proposal preparation, including typing, copying and mailing costs, for new and renewal applications
Public Relations and Marketing	Public relations, marketing and related advertising costs intended to promote the organization or improve community relations that are not project specific
Scholarships, Stipends and Tuition	Scholarships and stipends provided to support education costs or living expenses
Security	Costs to protect personnel and facilities
Student Activity Costs	Costs of student publications and activities

SUPLANTING CRITERIA

The March 28, 2000 Order of the Commissioner of Insurance requires that the Advancing a Healthier Wisconsin (AHW) Endowment Funds (the Funds) "may not be used to supplant funds or resources that are available from other sources." The Medical College of Wisconsin (MCW) Consortium on Public and Community Health 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."

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, 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. Supplanting criteria can be found under the Application Resources section of the AHW website:



<http://www.mcw.edu/Advancing-Healthier-WI-Endowment/Apply-for-Funding/HWPP/Application-Resources.htm>.

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.

PAYMENT PROCEDURES OVERVIEW

HWPP funds for each funded project are provided through an **expense reimbursement model**. Only the primary community partner organization that is listed on the Funding Agreement may directly invoice MCW for HWPP direct project expenses.

PAYMENT PROCEDURES ROLES AND RESPONSIBILITIES

PRIMARY MCW ACADEMIC PARTNER	PRIMARY COMMUNITY PARTNER
<ul style="list-style-type: none"> Serves as main point of contact for project invoices Staff members within the primary MCW academic partner's department facilitate processing of payments Provides Standing Purchase Order number, established by MCW Department, to primary community partner Certifies all expenses invoiced for are appropriate, reconciled with the approved project budget and in accordance with HWPP guidelines 	<ul style="list-style-type: none"> Only community partner able to invoice MCW directly Submits invoices using the HWPP Invoice Form available in the Content section of the project's Desire2Learn (D2L) collaboration space Invoices only for direct, allowable, approved project-related expenses not more than monthly but at least quarterly Certifies that all expenses are appropriate and in accordance with HWPP guidelines Marks the final invoice as "Final" and submits within sixty (60) days of the end of the award period; No invoices will be considered for payment after submission of the final invoice MCW reserves the right to request and review additional documentation for any payment requests submitted Please keep documentation for 5 years after project has closed

INVOICING

1. Primary community partner that is listed on the Funding Agreement downloads and completes the **HWPP Invoice Form** available in the Content section of the project's D2L collaboration space
2. Primary community partner sends/delivers the signed invoice to the primary MCW academic partner who reviews, approves and forwards the invoice to respective department staff for processing through MCW Accounts Payable
3. Primary MCW academic partner accesses the invoice through Oracle for final approval
4. Payment is remitted directly to the primary community partner organization

REMINDERS

Stay current with all invoicing – submit invoices **no more than monthly but at least quarterly**

Maintain **ALL** supporting documentation for **ALL** expenses invoiced to the project for 5 years after project has closed

AUDITS

1. **Annual Fiscal Audits**

The primary community partner organization listed on the Funding Agreement is **required** to furnish an annual financial audit to MCW, the cost of which must be borne by the community partner organization. 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, the community partner organization will need to work with HWPP staff to determine how to best meet this requirement. Please **submit the financial audit** via the Primary Community Partner Annual Fiscal Audit Dropbox in the project’s D2L collaboration space or mail/deliver to HWPP. HWPP requires a fiscal audit for the primary community partner organization for each calendar year of the project.

2. **Legislative Audit Bureau (LAB) Audit**

REMINDERS
Maintain ALL supporting documentation for ALL expenses invoiced to the project

The Legislative Audit Bureau (LAB) performs a program and financial audit on behalf of the State of Wisconsin every five (5) years. This audit is a requirement by the Order of the Commissioner of Insurance dated March 28, 2000. All HWPP projects that are active, partially or in whole, during the audit period are eligible for selection by the LAB.

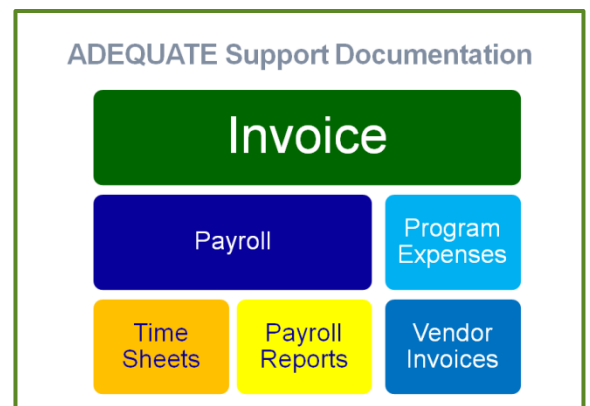
3. **Medical College of Wisconsin (MCW) Sub-Recipient Audit**

The objective of the sub-recipient audit conducted by MCW is to gain a satisfactory level of confidence that the invoices presented to, and paid by, MCW under the auspices of HWPP fulfill the requirement of direct expenses related to the goal/objectives of the award as approved for funding by the MCW Consortium and MCW Board of Trustees.

To facilitate the LAB audit and MCW sub-recipient audit processes, **all HWPP projects must retain adequate support documentation for project-related expenses**. The purpose of support documentation is to support the invoices submitted to MCW for reimbursement of direct expenses incurred in connection with the HWPP project. Document methodologies used and obtain and keep support documentation for **every** direct expense on **every** invoice submitted to MCW for reimbursement for a **period of not less than five (5) years from the date of the submission of the final invoice**. The primary community partner organization is responsible for obtaining support documentation from any additional community partners for their portion of submitted invoices.

Adequate support documentation may include:

- Salary support that personnel on the project were paid (i.e. a pay voucher showing gross salary and deductions). The best support is the Payroll register or time sheets.
- Level of effort supporting that personnel provided services on dates invoiced. The best support is a time sheet including a supervisor’s signature and identifying that the work was specifically related to the project award, if time is divided.
- Fringe benefit support providing the methodology for determining the rate (i.e. FICA, insurance costs) or a letter of F&A Rate approval from the Federal Government.
- Non-salary/fringe expenses supported through documentation from a third party (i.e. vendor invoices, cash receipts, credit card statements). Supporting documentation for mileage invoiced to the project can be a mileage reporting form identifying the project-related travel and the mileage rate used to calculate the expense.
- Allocable expenses (i.e. copying, postage) must include documentation of the methodology used to allocate the expenses. Do not allocate expenses based on FTE; the expenses need to be directly related to the project, not the personnel.



PROJECT CHANGES

OVERVIEW

All project change requests 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. Project change requests may affect the project budget, personnel and/or Roadmap for Change. The terms of the Funding Agreement may only be modified or amended by a written addendum signed by authorized representatives of the primary community partner organization and the primary MCW academic partner.

To request a project change, partners must complete the **Project Change Request Form** available in the Content section of the project's Desire2Learn (D2L) collaboration space. The completed form and any accompanying changes to the project budget and/or Roadmap for

Change must be submitted via the **Project Change Request Dropbox** in the project's D2L collaboration space. Change requests must be submitted and approved **prior to implementing the change**. 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 the change, affect on the overall project and alignment with the original project goals.

By submitting any changes, the primary community partner and primary MCW academic partner attest that the information provided is accurate, complete and current. Additionally, submission via the project's D2L collaboration space attests that each partner agrees to the changes requested, agrees to perform responsibilities as described within the request and certifies that the funds are not supplanting funds or resources available from other sources. Failure to submit appropriate requests in a timely manner may delay project funding.

CHANGES TO SCOPE OF WORK AND PROJECT ROADMAP FOR CHANGE

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

To request a change to the project's approved Roadmap for Change, complete the **Project Change Request Form** available in the Content section of the project's D2L collaboration space, including all questions regarding the Roadmap for Change and justification for the change requested. Additionally, make the changes, as described in the form, in **red** in the **"Next Change" tab of the current approved Roadmap for Change** available in the Content section of the project's D2L collaboration space. Submit the completed form and accompanying Roadmap for Change via the **Project Change Request Dropbox** in the project's D2L collaboration space.

All change requests for the Roadmap for Change are subject to full review and approval by HWPP staff and, on a case-by-case basis, the MCW Consortium on Public and Community Health. **Changes may not be implemented prior to receiving approval from HWPP.**

PROCESS

Complete the Project Change Request Form on behalf of your whole partnership

Detail any changes in **red** in the project budget and/or Roadmap for Change

Requests must be submitted via the **Project Change Request Dropbox in the project's D2L collaboration space a minimum of ten (10) business days** prior to the anticipated date the change is to be effective

No change requests may be made during final thirty (30) days of the project period

Changes may not be implemented until email approval of the change has been received from HWPP

CHANGES TO PROJECT PERSONNEL

Changes involving project personnel must be requested with the necessary justification to HWPP for **approval in advance of the change taking effect**. Examples of personnel changes requiring approval include, but are not limited to:

- A current project personnel changes percent effort devoted to the project by decreasing or increasing from the level reported in the current approved budget (i.e. from 30% FTE to 40% FTE)
- The nature or percent of a current project personnel appointment at their respective organization changes
- A current 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 for longer than thirty (30) consecutive days in accordance with the Roadmap for Change
- Project personnel are added to or removed from the project

To request a personnel change:

- Complete the **Project Change Request Form** available in the Content section of the project's D2L collaboration space, including all questions regarding the personnel change and any associated budget changes (i.e. salary and fringe)
- Make the changes, as described in the form, in **red** in the **"Next Change" tab of the current approved project Budget** available in the Content section of the project's D2L collaboration space; If adding new project personnel, add the individual as their own line item in the budget
- Submit the completed form and accompanying budget via the **Project Change Request Dropbox** in the project's D2L collaboration space

All personnel change requests are subject to full review and approval by HWPP staff and the MCW Controller's Office. **Changes may not be implemented prior to receiving approval from HWPP.**

CHANGES TO PROJECT BUDGET

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 **approval in advance of the change taking effect**. A budget change request **may not exceed 20% of the total award amount**.

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 in the Description of Expenses column.

1. **Budget Changes**

Budget changes requiring advanced approval include, but are not limited to:

- Additional line items are needed
- A new deliverable or cost must be added to an existing line item
- Partners anticipate that existing costs in a line item will increase by more than 5% of the total project budget and/or will result in overspending of the category for a given project year
- Re-budgeting between line items is needed

To request a budget change:

- Complete the **Project Change Request Form** available in the Content section of the project's D2L collaboration space, including all questions regarding the budget change, specifically **why the change is needed to support approved project activities and why funds are available for the change**

- Make the changes, as described in the form, in **red** in the “Next Change” tab of the current approved **Project Budget** available in the Content section of the project’s D2L collaboration space
- Submit the completed form and accompanying budget via the **Project Change Request Dropbox** in the project’s D2L collaboration space

2. **Carry Forward of Unexpended Funds**

Multiple year projects may need to carry forward (roll over) unexpended funds from year to year (defined as a twelve (12) month period) during the Period of Performance stated in the Funding Agreement. The amount of funds requested for 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 primary MCW academic partner must work with their department administrator to run the *Oracle Grant Expenditure Detail Report (End User)* to confirm and reconcile against the General Ledger posting of all invoices.

HWPP will notify the primary partners as the carry forward opportunity approaches. To request a carry forward:

- Complete the **Carry Forward of Unexpended Funds Request Form** available in the Content section of the project’s D2L collaboration space, including justification of the specific benefit provided to the project by the carry forward, specifically **why all funds were not expended during the current project year and how funds will be reallocated and used to accomplish the approved project activities in the next fiscal period(s)**
- Make the changes, as described in the form, in **red** in the “Next Change” tab of the **Carry Forward Budget** available in the Content section of the project’s D2L collaboration space, including adjusting the spreadsheet so that the ending fiscal year represents **actual expenses incurred** and future fiscal years reflect the **reallocation of carry forward funds**
- Submit the completed form and accompanying budget via the **Carry Forward Request Dropbox** in the project’s D2L collaboration space

3. **No Cost Time Extension**

If a partnership is unable to complete the proposed work prior to the original project end date, a no cost time extension may be requested. The request must be made between **90 and 180 days prior to the project end date and may not exceed 20% of the total award amount nor six additional months** past the original end date.

To request a no cost time extension:

- Complete the **No Cost Time Extension Request Form** available in the Content section of the project’s D2L collaboration space, including justification for the request, specifically **why project activities need to be extended and funds are available and how the time extension and funds will be used to achieve the original approved project activities**
- Make the changes, as described in the form, in **red** in the “Next Change” tab of the **No Cost Time Extension Budget** available in the Content section of the project’s D2L collaboration space; the final fiscal year amounts should be adjusted to represent the combined total of the final expenditures for that fiscal year and additional amounts to be expended during the extension period
- Submit the completed form and accompanying budget via the **No Cost Time Extension Request Dropbox** in the project’s D2L collaboration space

All budget change, carry forward and no cost time extension requests are subject to full review and approval by HWPP staff and the MCW Controller’s Office. **Changes may not be implemented prior to receiving approval from HWPP.**

PROJECT REPORTING

OVERVIEW

HWPP uses several tools to assess project progress including regular communication with project partners, progress reports, cohort meetings, site visits, conference calls and final reports. These tools are subject to change throughout the award period. Updates will be released through the project’s Desire2Learn (D2L) collaboration space and email communication from HWPP with the primary community and MCW academic partners. Funded projects will undergo an annual assessment by the Medical College of Wisconsin (MCW) Consortium on Public and Community Health (MCW Consortium) of progress toward achieving their overall project plans, which may have an impact on continued funding during the remainder of the project period.

PROGRESS REPORTS

Progress reports are required in the **7th month of each 12 month period** and must be **completed using the project’s Roadmap for Change document**.

Prior to the progress report deadline, HWPP staff will post the project’s **progress report template** in the Content section of the project’s D2L collaboration space. Partners must work together to complete the **Progress Report tab** identifying and describing their progress to date during the project period and reporting on project-specific data to date based on the approved milestones and indicators. Partners must also complete the **Leveraging and Dissemination tab** describing any funds or resources leveraged to date during the project period and any dissemination activities and materials produced. The completed progress report must be submitted via the **Progress Report Dropbox** in the project’s D2L collaboration space.

REMINDER
Complete the blue shaded boxes following the instructions in the column header
Complete the narrative questions at the top of the Progress Report tab providing detail for project aspects not otherwise included in the progress report
Refer back to the project Change Statement, Activities, Measurement Plans, Timeframes and Milestones and Indicators to adequately describe progress to date

Following submission of the progress report, HWPP will review the submitted report and, if necessary, work with partners to schedule a conference call to discuss the progress report. Any follow-up discussion is meant to ensure that the progress report adequately represents project progress to date and that HWPP accurately represents the project’s progress in communication with stakeholders. The primary community and MCW academic partners are required to participate in any follow-up discussion; however, we encourage participation by all of your project’s partners.

An **annual assessment** for adequate progress of your project will occur by the MCW Consortium following each progress report. The purpose of the assessment is to:

- Assure accountability and provide oversight to each project
- Assure progress toward the stated project plan per the approved project Roadmap for Change
- Take note of project accomplishments and share any new knowledge acquired

If the MCW Consortium determines that progress or outcomes are not adequate, the MCW Consortium reserves the right to request additional reports, reduce or terminate funding or shorten the funding period.

COHORT MEETINGS

All funded projects are required to attend **one (1) in-person grantee cohort meeting each award year** during the project period to:

- Participate in bidirectional learning
- Share challenges, successes and lessons learned related to their multi-sector partnership and grassroots policy, environmental or systems change strategy



- Network with other engaged entities
- Meet with HWPP staff to review project progress and award administration

The **primary community and MCW academic partners are required to attend** and associated travel costs must be included in the proposed project budget. Additional project partners may attend as available and at the discretion of the partnership. HWPP will provide exact dates and agendas for the cohort meetings in advance of the meeting so that primary partners can be sure to make attendance a priority and be prepared for the meeting discussions.

SITE VISIT

HWPP looks forward to the opportunity to see first-hand the work being accomplished by funded projects through **site visits**. The site visit is an opportunity for the **larger project partnership** to:

- Show HWPP staff aspects the project as it occurs in the community
- Share how their project is advancing beyond the information in the progress reports
- Identify successes and challenges in implementing the project plan
- Discuss other issues important to the project

The site visit can be conducted at a location of the partners' choosing and is often hosted by one of the participating community partner organizations, allowing HWPP to meet with the partners in the community that the project is impacting.

HWPP Responsive component funded projects should anticipate hosting a minimum of **one (1) site visit** during the project period. 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 community and MCW academic partners are required to participate in the site visit; however, participation by all project partners is encouraged as available.

CONFERENCE CALLS

HWPP will provide support and guidance to the project partners throughout the project period. HWPP staff will organize conference calls with project partners, as needed, to address any questions regarding the administration of your HWPP award. Conference calls may cover updates on invoicing, IRB, potential project change requests, project publicity and other topics, as appropriate.

FINAL REPORT

A **final report** is due no later than **thirty (30) days after the project end date**. Partners must complete the Final Report and Leveraging and Dissemination tabs in the project's final report template available in the Content section of the project's D2L collaboration space. The completed final report must be submitted via the **Final Report Dropbox** in the project's D2L collaboration space.

Partners will also need to complete the **Final Report Signature Form**. The form must be signed by authorized persons representing the primary community partner and primary MCW academic partner. A scanned copy of the signed form must be submitted via the **Final Report Dropbox** in the project's D2L collaboration space.

Supplementary documentation and project dissemination materials may be emailed to HWPP at healthierwisconsin@mcw.edu or mailed to:

Advancing a Healthier Wisconsin Endowment
Healthier Wisconsin Partnership Program
8701 Watertown Plank Road, Suite 2500
P.O. Box 26509
Milwaukee, WI 53226-0509



POST-AWARD FOLLOW-UP

Partners receiving funding through the HWPP Responsive Component will be expected to **report on continued outcomes, sustainability of the project and/or partnership and any expansion of the project beyond the original community** at regular intervals beyond the project period. HWPP will follow-up with the primary community partner and primary MCW academic partner at regular intervals following the project end date for a brief discussion and/or form to be completed detailing any project or partnership related activities since the submission of the final report.

CAPACITY BUILDING OPPORTUNITY

Funded projects will have the opportunity to receive customized technical assistance on strategies to improve health with a specific focus on grassroots policy, environmental and systems change provided through external consultants. HWPP pre-approved **Technical Assistance Providers (TAPs)** will be available to work with funded project partnerships to enhance specific partner-identified aspects of their proposal, partnership capacity and the overall project plan. Each partnership will have up to ten (10) hours total during the project period to engage with one or more TAPs of the partnership's choosing based on availability on a first come, first serve basis.

To request TAP assistance, partners must complete the **Technical Assistance Providers Funded Project Request Form** available in the Content section of the project's D2L collaboration space. To identify the appropriate TAP(s) for your partnership, please review the current **HWPP Technical Assistance Provider List** available in the Content section of the project's D2L collaboration space. The completed TAP Funded Project Request Form can be submitted to via the **Final Report Dropbox** in the project's D2L collaboration space and HWPP staff will follow-up with the primary partners and the TAP to coordinate the initial communication.

PUBLICITY

HWPP regards publicity as an opportunity to increase awareness of funded project work and would like to collaborate with project partners on these efforts. It is anticipated that various media venues will host information about HWPP-funded project activities through general press announcements, proactive stories or media queries. HWPP would like to have copies of these to share with HWPP stakeholders in support of your project. Please feel free to contact your Responsive Program Officer, Maureen Busalacchi at musalacchi@mcw.edu 414-955-4327 to coordinate efforts with AHW.

HWPP may also highlight the work and outcomes of your project. Photos and videos often provide a better representation of your work. MCW policy requires use of the **HWPP Photo Consent Form** for all pictures used in MCW communications. The form is available via the HWPP Funded Project Forms section of the AHW website and in the Content section of the funded project's D2L collaboration space.

Publicity should identify the AHW Endowment at MCW as the funder using the following statement:

This project is funded [in part or wholly (choose one)] by the Advancing a Healthier Wisconsin Endowment at the Medical College of Wisconsin.