



**ADVANCING A HEALTHIER WISCONSIN**

## **RESEARCH AND EDUCATION PROGRAM**

*Working with our partners, AHW will serve as a catalyst for positive change in the health of Wisconsin Communities. The AHW Research and Education Program is dedicated to advancing health through research and education initiatives.*

# **Award Administration Manual**

**Revised January 2014**

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# I. THE ADVANCING A HEALTHIER WISCONSIN (AHW) ENDOWMENT

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## **Mission**

Working with our partners, AHW will serve as a catalyst for positive change in the health of Wisconsin communities.

## **Vision**

A Healthier Wisconsin

## **Purpose of this Manual**

This Award Administration Manual provides information to assist with the administration of AHW Research and Education Program (REP) awards (identified as Fund 152). By acceptance of an AHW REP award, recipients agree to comply with the guidelines and procedures in this manual and its future editions.

## **About the AHW Endowment**

In 1999 Blue Cross & Blue Shield United of Wisconsin submitted an application to the State of Wisconsin's Office of the Commissioner of Insurance to become a for profit stock corporation. Under the proposed conversion, Blue Cross/Blue Shield would transfer 100 percent of its value to a new public health foundation. This foundation would sell its shares in Blue Cross/Blue Shield and split the proceeds equally between MCW and the University of Wisconsin School of Medicine and Public Health.

In March 2000, the Insurance Commissioner approved the conversion proposal with several modifications meant to provide for public participation in, and accountability for, management of the conversion funds. As a result, 35 percent of the funds generated by the proceeds of the conversion must be directed towards improving public and community health in Wisconsin. The remaining funds, 65 percent, are used for medical research and health education. Funds cannot be used to supplant resources otherwise available.

In March 2004, the full value of the Blue Cross/Blue Shield conversion was made available to MCW with an initial value of more than \$318 million. MCW invests and manages the proceeds known as the Advancing a Healthier Wisconsin Endowment fund. Income from the endowment fund is available for distribution in accordance with the Insurance Commissioner's Order and the Five-Year Plan.

The primary purpose of the Advancing a Healthier Wisconsin Endowment is to support initiatives that improve the health of the residents of the State of Wisconsin through three complementary funding areas: research, education, and public and community health. These funding areas are supported through AHW's two program offices:

The **Healthier Wisconsin Partnership Program (HWPP)**, the public and community health component of the endowment, provides a unique opportunity for community organizations and MCW faculty and staff to improve the health of the people of Wisconsin through community-academic partnerships. For more information about the Healthier Wisconsin Partnership Program, its application process and funded grants, please visit [the HWPP website](#).

The **Research and Education Program (REP)**, awards research and education project funding from the AHW endowment to leverage academic expertise and assets to promote research discoveries and educational opportunities that will translate into improvements in health. AHW REP funding in research supports basic, clinical, applied, and translational initiatives and addresses leading causes of death and disability through the development of strong interdisciplinary programs that span MCW.

Improvements in health are achieved not only through medical research but also through the training of public health practitioners and health care providers and by developing and providing public education programs focusing on health improvement and maintenance. AHW REP funding in education supports programs that address health issues of an increasingly diverse and aged population through individualized, competency based and flexible educational models that integrate basic and clinical sciences (patient centered) throughout MCW while attracting and training a diverse workforce through physician training.

From July 2004 through December 2013, AHW and the MCW Consortium committed funds totaling \$164.8 M for 311 projects to improve the public's health throughout Wisconsin.

Cheryl A. Maurana, PhD, Vice President for Strategic Outreach and Director of Advancing a Healthier Wisconsin Endowment, provides overall leadership for AHW including the AHW REP. The Research and Education Advisory Committee (REAC) is composed of senior leadership of MCW and serves as the oversight body for the REP. It is within the REAC's purview to review awards on a case-by-case basis regarding the policies and practices outlined in this manual.

The REAC members follow MCW's policy regarding conflict of interest. Any REAC member with a conflict of interest pertaining to a proposal's review and/or funding (such as a member being a principal investigator, co-investigator or department chair of a PI or co-investigator) identifies that he/she has a conflict of interest and recuses him/herself from the meeting by leaving the room.

## II. AWARD ASSISTANCE

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AHW REP staff members are available to answer any questions you may have regarding the AHW REP award management process.

**Contact:** AHW REP Office

**E-mail:** [ahw@mcw.edu](mailto:ahw@mcw.edu)

**Phone:** 414/955-4350

**Mail:** AHW Research and Education Program  
Medical College of Wisconsin  
8701 Watertown Plank Road  
P.O. Box 26509  
Milwaukee, WI 53226-0509

**Office:** Executive Suite

**AHW Website:** [www.AHWendowment.org](http://www.AHWendowment.org)

**The following information is available on the AHW website:**

- AHW Five-Year Plan
- AHW Annual Report
- MCW Consortium Minutes

We are interested in your comments and suggestions as users of this manual. Please send any questions, additional topics, or other comments regarding the award administration manual to [ahw@mcw.edu](mailto:ahw@mcw.edu).

### **III. AWARD TYPES DISCUSSED IN THIS MANUAL**

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#### **Primary Awards**

Primary awards are those awards funded directly by the AHW REP. These awards are reviewed and approved by the AHW Research and Education Advisory Committee, reviewed by the MCW Consortium, and the final funding determination is made by the MCW Board of Trustees.

#### **Parent Awards**

Parent Awards are primary awards that fund sub-awards using portions of their AHW REP funding. Examples of sub-awards include pilot/seed projects and faculty recruitment awards.

#### **Sub-Awards**

Sub-awards are funded using AHW REP funds; however the direct funding source is another AHW Research and Education Award (parent award).

If you have any questions regarding award types, please contact the AHW REP at [ahw@mcw.edu](mailto:ahw@mcw.edu) or 414.955.4350.

## IV. AWARD IMPLEMENTATION

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### A. OVERVIEW

An AHW REP award number will be issued by the Controller's Office following notification of award activation (see [Section IV.B. Supplanting](#) below), and institutional approval for the use of human subjects or laboratory animals (if applicable, see [Section IV.C. Human and Animal Research Protection](#)). Pre-Awards are not allowed for AHW funded awards.

### B. SUPPLANTING

The March 28, 2000 Order of the Commissioner of Insurance requires that the AHW funds "may not be used to supplant funds or resources that are available from other sources." The MCW Consortium is required to report annually to the MCW Board of Trustees, the Wisconsin United Health Foundation, and the public on whether the AHW funds are supplanting resources otherwise available to accomplish the same purposes.

The Principal Investigator (PI) for the AHW funded award is required to execute a non-supplanting attestation form through the MCW before the award activities can commence and re-attest each time an award change is made.

#### Supplanting Definition

Supplant means to replace. The concern over supplanting focuses on replacing existing funding or planned funding, such as federal or state grants or appropriations, with AHW funds for specific grants or uses.

By way of contrast, supplement means to add to. Use of the AHW funds to supplement other financial resources is not prohibited under the Order. Matching funding and opportunities to leverage the AHW funds to obtain other sources of financial support are encouraged.

#### Compliance

To ensure compliance with the Order not to supplant, the following set of criteria is used to identify existing or available funding for each proposed award and to determine whether such existing or available funding would be replaced with financial support by AHW funds.

#### 1. Closely related grants or uses and financial resources for related grants or uses.

**Criterion:** A related grant or use includes (i) a grant or use with a similar or related purpose conducted by MCW or within the community and (ii) all grants, 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 grants and uses and financial resources for such related grants and uses will be identified and considered.

If a PI receiving AHW REP funding applies for and is awarded a new grant that is for the same or similar research that is being funded by their AHW REP award, a supplanting review

will be conducted to determine whether the new funding is supplanting or leveraging the AHW grant funds.

**2. Sources of financial resources for the grant or use.**

**Criterion:** Financial support provided by a governmental source for a grant or use within the three-year period prior to the date of the application or submittal will be identified and considered. Financial support provided by a source other than a governmental source and other than AHW funds for a grant or use within the three year period prior to the date of the application or submission will be identified and considered.

**3. Availability of Federal funding.**

**Criterion:** Consideration will be made whether Federal funding is available, including grants awarded for the grant or use, announced available funding for the grant or use, and eligibility to apply for available funding.

**4. Availability of State funding.**

**Criterion:** Consideration will be made whether state funding is available. Consideration will be made with respect to programs for which state funding has been or may be reduced due to budget cut-backs. Consideration will be made with respect to governmental mandated programs without governmental funding.

**5. Availability of MCW corporate funding.**

**Criterion:** MCW 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 will be made whether MCW corporate funds are available. Expenditures of MCW corporate funds for a grant or use during the three year period immediately prior to the application or submission for financial support by the AHW funds will be identified and considered.

**6. Availability of community funding.**

**Criterion:** Sources of community funds will be determined on a case by case basis. Consideration will be made whether community funds are available. Community financial support for a grant or use provided during the three year period immediately prior to the application or submission for financial support by the AHW funds will be identified and considered.

**7. Availability of matching funds; opportunities for leveraging.**

**Criterion:** Supplemental uses of limited term funding will be factors in the consideration process. Matching funding and opportunities to leverage the AHW funds to obtain other funding are to be encouraged.



## **8. Other factors applicable to the specific proposed grant or use.**

**Criterion:** The MCW Dean and Executive Vice President, the MCW Senior Vice President and Chief Operating Officer, the Research and Education Advisory Committee (REAC), or the MCW Consortium may identify other factors to be considered. The REAC is comprised of the MCW Dean and Executive Vice President, the Senior Associate Deans for Research and Education, Vice President for Strategic Outreach, the Senior Vice President and Chief Operating Officer, and the Chief Financial Officer.

## **C. HUMAN AND ANIMAL RESEARCH PROTECTION**

REP funding is contingent upon institutional approvals for the use of human subjects or laboratory animals. Awards funded by AHW must ensure that human and animal participants are protected during the collection of information from award participants and/or the publication or dissemination of award results.

The PI of an award must:

1. Ensure appropriate training and ongoing education necessary to protect the rights and welfare of human participants before and during the award, including maintaining compliance with all human subject policies, regulations, and reporting requirements.
2. Obtain IRB approval through a Human Research Protection Program at MCW, the Veterans Administration, or Children's Hospital of Wisconsin prior to the award commencing. Each institution has an Institutional Review Board (IRB) that evaluates awards for compliance with applicable human subject laws and regulations.
3. Be accountable for conforming to the basic regulations and policies governing animals at MCW. Obtain approval through Institutional Animal Care and Use Committee (IACUC) prior to the award commencing.

### **C1. IACUC AND IRB AWARD SUBMISSION**

The eBridge system (eBridge) allows researchers to submit, track, report, and archive research activities involving human and animal research conducted at MCW. eBridge enables effective management of federal and local regulatory requirements for IRB and IACUC by monitoring the flow of information and the associated activities and tasks for all submissions. eBridge optimizes the review process for researchers and committees, delivering a complete electronic based solution from submission through approval.

For further information regarding IRB and IACUC submissions through eBridge, visit:

<http://ebridge.mcw.edu>.

## **D. FUNDING CONTINGENCIES**

AHW awards may be granted contingent upon acceptance by the PI for a reduced term or scope of work different from that proposed in the application. In such cases, the award will be established only after submission and approval of an official addendum to the application. Application addendums must specify the revised scope of work and be signed by the PI,

Department Chair, and appropriate Senior Associate Dean for Research or Education. Please consult the REP if you have questions regarding funding contingencies, or if you would like to initiate the process for submitting an official addendum.

Decisions made by the REAC are binding and appeals to funding decisions will not be considered. Concerns identified by the REAC must be addressed by PIs prior to award start dates. Funding recommendations indicating requests for changes in the award budget, requested funding amount, or award duration, will require PIs to submit a revised application cover page with appropriate signatures and revised budget forms before funding can begin.

The REAC reviews and provides funding recommendations on all REP proposals before they are advanced to the MCW Consortium on Public and Community Health for review and comment. Following the MCW Consortium review, the MCW Board of Trustees reviews the recommended AHW REP proposals, taking into consideration the comments by the MCW Consortium, and makes the final funding determinations.

## V. ALLOWABLE EXPENSES

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### A. OVERVIEW

AHW funds may be used only for direct costs necessary to carry out the approved research or education related work to achieve the approved award specific aims and objectives.

### B. TIMING

Costs directly related to the approved award must be purchased during the award period and purchased item(s) must be allocable and/or consumable during the award period. Items that are not consumed within the award period must be allocated to another funding source. This includes service/maintenance agreements that extend beyond the award period.

### C. PERSONNEL COSTS

All personnel supported by the AHW award must be justified and specific roles outlined in the budget narrative.

Faculty salaries are subject to the NIH salary cap. NIH salary cap information can be found on the NIH website at [http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm). Please also refer to the Policy Notices Section of the AHW REP Website for updates on the implementation of the NIH salary cap for AHW REP Awards (<https://ahwendowment.org/AHW/Funding-Center/Partner-Portal.htm>).

### D. COST SHARING

AHW REP funds cannot be used to cost share on another project, only direct costs associated with the identified award specific aims and objectives are funded by AHW. AHW REP Awards support personnel for their effort on the AHW funded award.

Principal Investigators, Co-Investigators, and Mentors who provide effort on an AHW REP award are subject to MCW Cost-Sharing policies. For further information see MCW's Corporate Policies and Procedures for Business and Finance: <http://InfoScope.mcw.edu/SponsoredProgramsAndAR/PoliciesAndProcedures/CostSharingPolicy.htm>. (This link leads to an internal MCW webpage for MCW personnel)

### E. ALLOWABLE COSTS

Only direct costs associated with the identified award specific aims and objectives are funded by AHW. Direct costs must be identified in the approved proposal. Costs that have **NOT** been identified and approved through the application process must be requested as a re-budget prior to being incurred or the cost is considered unallowable. See section [V.C2. Budget Changes](#) for more information on how to request a budget change.

The decision of whether a cost is direct or indirect is based on the ability to specifically identify

the cost with the award, 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.

<b>ALLOWABLE COSTS</b>		
<b>COST</b>	<b>DESCRIPTION</b>	<b>DIRECT/INDIRECT</b>
<b>Advertising</b>	Advertising for personnel recruitment, research subjects.	Direct if specifically related to the project, such as recruitment of dedicated personnel. Otherwise, indirect.
<b>Alterations and Renovations</b>	Rearrangement, alteration or renovation of facilities to expand or improve use.	Indirect – not allowable.
<b>Books, Journals and Subscriptions</b>	Books, journals and subscriptions to professional and technical publications.	Direct if specifically related to the project. Indirect if benefits education or research in general or the faculty member in general.
<b>Consultant</b>	An individual hired to perform professional, short-term services	Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.
<b>Equipment</b>	Special purpose equipment with a useful life of more than one year and a cost greater than or equal to \$3,000 used only for technical activities.  General purpose equipment with a useful life of more than one year and a cost greater than or equal to \$3,000 such as office equipment and furnishings not limited to research or technical use.	Direct.  Indirect.
<b>Honoraria</b>	A payment for services, such as a speaker’s fee is allowable. An award without services is unallowable.	Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.
<b>Internal Service Charge</b>	Operating units that use specialized equipment or technical expertise to provide goods or services for a fee (mass spectrometry, biostatistician...)	Direct – appropriate billing rates and charging practices must be followed.
<b>Maintenance and Repair</b>	Costs to keep property in efficient operating condition. Not including costs that increase property value.	Direct if the project usage can be accurately measured to allocate costs among projects. Otherwise, indirect.

<b>COST</b>	<b>DESCRIPTION</b>	<b>DIRECT/INDIRECT</b>
<b>Meals and Meeting Refreshments</b>	Meals are allowable if associated with a conference or symposium where technical information is presented. Meeting refreshments and guest meals are required to be specifically related to the project.	Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.
<b>Messenger Service</b>	Overnight delivery service or special shipping services, other than routine postage costs.	Direct if shipping samples, receiving goods for project use or other delivery of items directly related to the project work. Indirect if submitting proposals or for other administrative purposes.
<b>Office Supplies, Photocopying, Postage</b>	Office supplies are those items usually maintained in a departmental stock for general use by all staff. Office supplies generally support multiple activities of project personnel. Photocopying of documents. Routine postage costs.	Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.
<b>Professional Memberships and Dues</b>	Memberships and dues to belong to a professional or technical organization. Professional development expenses are considered unallowable.	Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.
<b>Proposal Costs</b>	Proposal preparation, including typing, copying and mailing costs for new and renewal applications.	Indirect.
<b>Recharge Center Cost</b>	The direct operating costs of a unit that provides goods and services within MCW.	Direct – appropriate billing rates and charging practices must be followed.
<b>Recruiting</b>	Recruiting and relocation costs to select a new employee.	Direct cost treatment must be specifically requested and justified in proposal. Otherwise, indirect.
<b>Rent</b>	Cost to lease space or equipment.	Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.  Direct – equipment in proportion to use on the project (see Equipment).  Indirect – administrative equipment (fax, copier).

<b>COST</b>	<b>DESCRIPTION</b>	<b>DIRECT/INDIRECT</b>
<b>Salary/Fringe for Technical and Program Personnel</b>	Personnel performing scientific or other technical work related to a project.	Direct if work performed is specifically related to the project. The direct cost charge must be based upon the percentage of effort devoted by the employee.
<b>Salary/Fringe for Administrative Personnel</b>	Departmental administration including professional and clerical staff.	<p>Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.</p> <p>Direct – administrative cost incurred for a technical purpose or related to a large, complex project.</p> <p>Indirect – routine, base level of administrative support provided to all organizational activities.</p>
<b>Telephone, fax lines and pagers</b>	Equipment and service costs for telephones, fax service and pagers.	Direct cost treatment must be specifically requested and justified in the proposal. Otherwise, indirect.
<b>Travel</b>	Transportation, lodging, subsistence and related costs for official business in accordance with organizational policy.	Direct cost treatment must be specifically requested and justified in proposal. Otherwise, indirect.
<b>Tuition</b>	Cost of classes at an educational institution.	Direct cost treatment must be specifically requested and justified in proposal. Otherwise, indirect.

**F. UNALLOWABLE COSTS**

<b>UNALLOWABLE COSTS</b>	
<b>Cost</b>	<b>Description</b>
<b>Alcoholic Beverages</b>	Alcoholic beverages are unallowable as a direct cost.
<b>Alumni Activities</b>	Alumni relations and alumni service costs.
<b>Bad Debts</b>	Losses from uncollectible accounts, collection costs and related legal costs.
<b>Commencement/Convocation</b>	Costs of ceremonies and receptions.
<b>Contingency Funds</b>	Provisions made for events that are uncertain as to actual occurrence, timing or extent.
<b>Defense, Prosecution, Claims and Appeals</b>	Unallowable.
<b>Donations and Contributions</b>	Includes gifts, memorials and purchase of tables.
<b>Entertainment</b>	Amusement, social activities, and related costs (tickets, meals, lodging and gratuities).
<b>Fines and Penalties</b>	Costs resulting from violations of laws and regulations are unallowable.
<b>Fund Raising</b>	Development activities, including solicitation of gifts and bequests, endowment drives and capital campaigns.
<b>Goods or Services for Personal Use by Employees</b>	Items or services providing direct personal benefit to employees.
<b>Investment Management</b>	Costs of investment counsel.
<b>Lobbying</b>	Attempts to influence outcomes of elections or other political actions.
<b>Losses on Project Agreements</b>	Costs in excess of available funding are unallowable as a direct cost on another project agreement.
<b>Pre-award Costs</b>	Costs incurred prior to the effective date of the project agreement are unallowable charges to the project.
<b>Public Relations and Marketing</b>	Public relations, marketing and related advertising costs intended to promote the organization or improve community relations.
<b>Scholarships and Stipends</b>	Scholarships and stipends are unallowable.
<b>Social Memberships</b>	Memberships in civic, community or social organizations.
<b>Student Activity Costs</b>	Costs of student publications and activities are unallowable.

## VI. AWARD CHANGES

### A. OVERVIEW

All AHW funds are restricted pursuant to the terms of the Order of the Commissioner of Insurance. AHW, and the awards funded through this program, are highly scrutinized and are subject to public accountability standards. These standards include an audit by the Wisconsin Legislative Audit Bureau every five years that evaluates MCW's compliance with the AHW REP's guiding policies and agreements and the Order of the Commissioner of Insurance.

As a result, AHW REP awards do not have the spending flexibility that may be common for other funding sources, making it crucial for PIs to regularly review their AHW REP award budgets/spending reports and to work with their department administrators to manage their awards **proactively**.

In addition, all AHW REP awards (Fund 152) are included in the MCW Strategic Investment Initiative. For more information on the MCW Strategic Investment Initiative and how this may impact your award, please visit:

<http://InfoScope.mcw.edu/accountingandfinancialreporting/FAQs/StrategicInvestments.htm>  
(This link leads to an internal MCW webpage for MCW personnel)

The AHW REP is committed to continuous quality improvement. The Program's processes, policies, practices, and forms are regularly reviewed and enhancements are implemented on an ongoing basis consistent with the recommendations of its leadership and oversight bodies. Please visit the AHW REP website regularly for the most up-to-date award management materials: <https://ahwendowment.org/AHW/Funding-Center/Partner-Portal.htm>

### B. CHANGE REQUESTS

All award changes must be approved by the AHW REP **PRIOR** to implementing any changes. No programmatic changes may be made during the final thirty (30) days of the award period. Before changes are allowed to go into effect, they must include an amended approval of the IRB, Biosafety Committee, or IACUC as appropriate.

To request a change to an award, PIs need to complete and submit the [AHW REP Change Request Form](#) with all required sections and documentation **PRIOR** to implementing any changes. The information provided will be reviewed by the AHW REP staff and the MCW Controller's Office for appropriateness of change, effect on the overall award, alignment with original award specific aims, and supplanting.

\***Sub-awards** see section [VIII.C. Sub-award Change Requests](#) for instructions on how to submit a change request.

\*\***Parent awards** see section [VIII.C. Sub-award Change Requests](#) for instructions on managing sub-award change requests.



## **B1. PERSONNEL CHANGES**

Changes involving award personnel are requested by completing and submitting an [AHW REP Change Request Form](#). A determination email will be provided to the PI from the AHW REP once a decision has been made. Changes may be implemented **ONLY AFTER** email approval from the AHW REP has been obtained.

Examples of when to complete a Change Request Form:

- When there is **ANY** change in the percent effort of award personnel (e.g., from 40% to 30% FTE);
- When there is a change in award PI (all PI changes are subject to full review and approval by the REAC on a case-by-case basis);
- When award personnel withdraw from the award; resign from the College; take a leave of absence; or are not involved in the day-to-day operations of the award for longer than 30 consecutive days; or,
- When award personnel are removed from or added to the award.

## **B2. BUDGET CHANGES**

Budget changes, or re-budgeting between major budget categories (salaries, supplies, travel, etc.) must be requested in advance of the anticipated change by completing and submitting an [AHW REP Change Request Form](#). Re-budget requests must be **prospective**; however, they cannot be made more than a year in advance. The AHW REP, in partnership with the Controller's Office, reviews all budget change requests. A determination email will be provided to the PI from the AHW REP once a decision has been made. Changes may be implemented **ONLY AFTER** email approval from the AHW REP has been obtained.

Re-budget requests must adhere to the original budget guidelines, include a detailed justification, and be evaluated for supplanting prior to approval. Line items for which expenses have been incurred cannot be deleted from the budget. Any new budget line(s), or the suspension of an approved item, must be explained in the budget table and justification sections of the Change Request Form. Revisions to personnel line items may also impact fringe benefits, therefore PIs should plan accordingly.

## **B3. FISCAL YEAR CARRY-FORWARD OF UNEXPENDED FUNDS**

Multiple-year awards may need to carryover (roll over) unexpended funds from one fiscal year to the next during the life of the award.

To adequately monitor and budget the carryover of unexpended funds, the PI should work with the appropriate department administrator to run and review the Oracle Grant Expenditure Detail Report (End User) to confirm and reconcile against outstanding invoices at the end of each fiscal year.

As part of MCW's annual budget process, all AHW REP awards are considered a part of the MCW Strategic Investment Initiative and are subject to the same procedures. Award budgets are entered into Oracle **every fiscal year** based upon the annual budget provided to the Budget Office for BASIX. As long as the carryover of funds are included in the new fiscal

year budget provided to the Budget Office, and does not exceed the total approved amount of funding available, the unexpended funds will be carried over as a normal year end process.

If the unexpended funds are not included as part of the annual budget provided to the Budget Office for BASIX, the PI must request to carryover the unexpended funds by completing and submitting an [AHW REP Change Request Form](#). Currently, there is no limit on the amount of money that can be carried forward from fiscal year to fiscal year (e.g. from FY12 to FY13). However, there is a limit to the amount of funding that can be reallocated backwards (e.g. a maximum of 20% of the FY13 budget can be reallocated to the FY12 budget). **Carry forward requests will not be accepted and/or reviewed during the month of June. PIs should plan accordingly.**

#### **B4. SCOPE OF WORK CHANGES**

It is expected that AHW REP funded awards will achieve their specified specific aims and objectives as stated in the original proposal approved by the REAC, the MCW Consortium, and the MCW Board of Trustees. AHW recognizes that award objectives may change in response to findings and discoveries over the course of a funded award. It is expected as part of the annual progress reporting process that any changes to an award's objectives are documented. Changes to an award's specific aims, however, require prior approval before implementation. Changes to award specific aims must be requested in advance by completing and submitting the [AHW REP Change Request Form](#). All scope of work changes are subject to full review and approval by the REAC on a case-by-case basis. A determination email will be provided to the PI from the AHW REP once a decision has been made. Adaptations to award work may be implemented **ONLY AFTER** email approval from the AHW REP has been obtained. PIs should detail and highlight these adaptations in all progress reports.

#### **B5. PERFORMANCE PERIOD GUIDELINES**

AHW REP awards must begin no later than six months after the approved award start date. If an AHW REP funded award has no activity (determined by expenditures against its award balance) for six consecutive months from the award start date, then the funding will be evaluated and considered for rescinding. At the six month interval, the PI may submit documentation citing exceptional circumstances. If the PI's request is deemed reasonable by the REAC, the PI will have an additional six months (one year from award start date) to resolve identified issues and begin work on the award. Failure to execute sufficient progress towards the award's specific aims and objectives will result in the release of the AHW funding commitment.

Please contact the AHW REP for more information on performance period guidelines and requesting a performance period adjustment.

If the specific aims and objectives of an award have been completed prior to its award end date and under budget, the unused funds will be released of the AHW funding commitment and will no longer be available to the PI.

## C. NO-COST EXTENSIONS

AHW REP awards/projects not expecting to complete activities prior to the approved end-date may apply for a 12-month no-cost extension and use of unexpended funds. No additional funds will be obligated by the AHW REP. Requests for a second 12-month no-cost extension will only be considered under exceptional circumstances.

No-cost extension requests may be submitted to the AHW REP office up to, and including, the last day of the approved award/project end-date. **Extension requests submitted after the award/project end-date will not be considered.** If a no-cost extension request is received less than 30 days prior to the award/project end-date, funds may not be available after the award end-date until a final determination is made. During this period, personnel costs related to work performed can remain on the award/project, but non-personnel expenses will be limited.

Requests for no-cost extensions must include a justification for why additional time is needed to ensure adequate completion of the originally approved project, how the additional time will be used to complete the work, and how the remaining funds will be used. The fact that unexpended funds remain at the approved end-date, is not, in itself, a sufficient justification for a no-cost extension request.

No-cost extension requests for primary and parent awards are reviewed monthly by the AHW REAC. After review and approval from the parent award PI, sub-award No-Cost Extension Requests are reviewed by the AHW REP with a final decision made by the AHW Director, unless the AHW Director considers the no-cost extension requests to be exceptional and would merit from REAC discussion. In addition to the No-Cost Extension Form, the original approved award proposal, annual progress reports, and other award documentation may be reviewed when making a determination.

**\*Sub-awards** see section [VIII. D. Sub-award No-Cost Extension Requests](#) for instructions on how to submit a no-cost extension request.

**\*\*Parent awards** see section [VIII. D. Sub-award No-Cost Extension Requests](#) for instructions on managing sub-award no-cost extension requests.

## VII. AWARD REPORTING

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### A. OVERVIEW

Due to the high public accountability standards mentioned in section [VI. A. Overview](#), the AHW REP uses the information that PIs provide in annual progress reports to monitor progress and prepare public communication pieces. These public communication pieces will be used to demonstrate the benefit derived from AHW funding to improving the health of Wisconsin residents.

There are many means used to communicate award progress between the AHW REP staff and the funded PI. This communication includes, but is not limited to, direct communication, annual progress reports, and final reports.

AHW REP is committed to continuous quality improvement. The Program processes, policies, practices, and forms are regularly reviewed and enhancements are implemented on an ongoing basis consistent with the recommendations of its leadership and oversight bodies.

### B. PROGRESS REPORTS

Progress Reports for primary and parent awards are required at 12 month intervals throughout the duration of funding. The AHW REP reporting period aligns with the MCW fiscal year and is defined as July 1 through June 30. Primary awards and parent awards will receive their individualized progress reporting materials directly from the AHW REP at the end of each applicable reporting period (FY). Sub-award reporting materials will be accessible through the AHW website: <https://ahwendowment.org/AHW/Funding-Center/Partner-Portal.htm> (see section VIII. Parent Awards and Sub-Awards for more information on sub-award

reporting requirements). Primary award progress reports are due one month following the completion of each fiscal year period; or no later than July 31. Due to the additional reporting requirements for parent awards, progress reports for parent awards are due two months following the completion of each fiscal year period; or no later than August 31.

Primary or parent awards that begin within the last quarter of the fiscal year (April-June) are not required to submit full progress reports for the first three months of the award. The PI of an award beginning within the last quarter of the fiscal year will report on progress in the following year's annual reporting period. For example, awards beginning April 1, 2012 would not report progress until the FY2013 annual reporting period covering the period between April 1, 2012 and June 30, 2013 (15 months).

Annual progress reports must be submitted electronically to the AHW REP ([ahw@mcw.edu](mailto:ahw@mcw.edu)). Failure to complete and submit annual progress reports may result in the suspension or

cancellation of funding. Questions regarding annual progress reporting or the reporting materials should be directed to the AHW REP staff.

### C. FINAL REPORTS

Primary awards and parent awards will receive their individualized final reporting materials directly from the AHW REP at the end of their award. Final Reports for primary awards and parent awards are due no later than sixty (60) days after receiving the final reporting materials from the AHW REP.

Final Reports must be submitted electronically to the AHW REP ([ahw@mcw.edu](mailto:ahw@mcw.edu)). Failure to provide a final progress report could result in ineligibility for future AHW REP funding. Questions regarding final reports, or the final reporting materials, should be directed to the AHW REP office.

### D. OPEN RECORDS REQUEST

PIs should be aware of AHW open records policies and their implications. Information submitted to AHW could be subject to open records due to the fact that the MCW Consortium is a public body.

Information regarding AHW funded awards will be available for public review via the AHW website and MCW InfoScope. This information may include: PI, proposal title, award amount, award duration, brief purpose statement, and progress toward specific aims and objectives.

With respect to requests for information on applicants and unfunded proposals, detailed information regarding applicants, such as lists of PIs and proposal related information, will not be listed.

### E. PUBLICITY

Please inform the AHW REP office of any media inquiries that your award receives so that we may connect you with the MCW Office of Public Affairs and assist you with your award's publicity.

It is expected that various media venues will host information about award activities, either through general press announcements, proactive stories, or media queries to the College. The AHW REP office would like to have copies of these to add to your award file and to share with AHW stakeholders. **Please notify the AHW REP office within 30 days of all press releases.**

Please append the following statement to any AHW Award publicity: *This award is funded [in part or wholly] by the Research and Education Program Fund, 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 award's publicity at 414/456-4744.**

## VIII. PARENT AWARDS & SUB-AWARDS

### A. GUIDELINES FOR PARENT & SUB-AWARDS

Parent awards are primary awards that fund separate projects (sub-awards) using portions of their AHW REP funding. Examples of sub-awards include pilot/seed projects and faculty recruitment awards.

Parent awards are responsible for making sure that all funded sub-awards comply with AHW REP funding guidelines and restrictions. All sub-awards receiving AHW REP funds must comply with the policies and practices reflected in this Award Administration Manual and consistent with MCW Corporate Policies: <http://InfoScope.mcw.edu/mcwcorporatepolicies.htm> (This link leads to an internal MCW website for MCW personnel).

All change requests and no-cost extension requests for both parent awards and sub-awards must comply with the guidelines outlined in section [VI. Award Changes](#) of this manual. In addition, parent awards and sub-awards are required to comply with the following guidelines and special considerations.

### B. PARENT AWARD GUIDELINES FOR FUNDING SUB-AWARDS

#### B1. PRE-AWARD PHASE

##### **i. Faculty Eligibility**

Faculty with full-time or full professional effort status at the Medical College of Wisconsin are eligible to serve as principal investigators (PI) for AHW REP funding. Adjunct and part-time faculty are not eligible to apply for AHW REP funding. Please plan accordingly when preparing your sub-award application materials.

##### **ii. Sub-Award Application Materials (e.g. Pilot Awards, Seed Awards, and KL2)**

The materials used to solicit, review, and select pilot, seed, and/or KL2 sub-award recipients should be submitted to the AHW REP office for review and approval **BEFORE** the application materials are publicly released/issued.

- Sub-award application materials should include AHW REP Faculty Eligibility requirements.
- Sub-award application materials and selection criteria should reflect AHW funding priorities as outlined in the [AHW Five Year Plan](#).
- Sub-award applicants should clearly outline their specific aims and objectives in their proposals. If sub-award(s) are funded, these specific aims and objectives will be used by both the parent award PI and the AHW REP office to review progress.
- The selection process for pilot, seed, and/or KL2 sub-awards should include a competitive peer-review process.

- Sub-award applicants (PIs and Co-Investigators) must complete and submit a non-supplanting attestation form as part of the application process.

Questions regarding sub-award application materials should be directed to the AHW REP office. A template used to review sub-award application materials is available upon request.

**Please allow at least 4 weeks for this review and plan accordingly.**

**iii. Faculty Recruitment Sub-Awards**

In an effort to generate the broadest possible pool of candidates, the College is committed to open and fair faculty recruitment practices. All faculty recruitment efforts funded by AHW REP funds should be coordinated by a search committee made up of stakeholders; the size of these committees varies with each position. Search Committee Chairs can contact the Office of Faculty Affairs at [facultyaffairs@mcw.edu](mailto:facultyaffairs@mcw.edu) for more information.

Faculty recruitment sub-awards should include a narrative component that outlines the specific aims and objectives of the funded sub-award. These specific aims and objectives will be used by both the parent award PI and the AHW REP office to review sub-award progress.

**iv. Non-Supplanting Review**

After sub-award candidates are identified, but before funding can be established, the sub-awards must be reviewed for supplanting. To accomplish this, the parent award is responsible for having the selected sub-award PIs and Co-Investigators complete the AHW Non-Supplanting Attestation Form. The Parent award must then forward these forms with the application materials to the Controller's Office to perform the supplanting review and determination.

All sub-awards must pass the supplanting review process in order to be considered for funding. Please see section [IV.B: Supplanting](#) of this manual for information on supplanting criteria.

**v. Sub-Award Award Letters**

Award letters issued to sub-award recipients should comply with AHW REP requirements and identify AHW REP as the funding source. All sub-award letters should include information related to AHW REP reporting requirements, guidelines, and restrictions. Sample sub-award letters can be found in the Funding Center, Partner Portal area on the AHW website: <https://ahwendowment.org/AHW/Funding-Center/Partner-Portal.htm>.

### **Sub-Award Documentation**

Upon issuing an award letter, parent award administrators should submit a final application packet for the newly funded sub-award to AHW REP office. The minimum documentation required of sub-award applications includes the following:

- Award Letter
  - Sent from the parent award PI to the sub-award PI
- Final sub-award application materials (*as defined by the parent award RFP/solicitation for applications and approved by AHW REP*), may include the following:
  - Face page
  - Abstract
  - Statement of purpose
  - Research Plan
  - C.V. or biographical sketch
  - Budget table
  - Budget justification narrative
  - Non-supplanting attestation

Please submit only **FINAL** materials. The AHW REP will only reference the final documentation for reporting purposes. Budget documents, for example, should contain only final, revised figures as awarded.

### **B2. SUB-AWARD DURATION**

The sub-award funding period cannot exceed the end date of the parent award. Please plan accordingly when developing application materials and awarding funding.

### **C. SUB-AWARD CHANGE REQUESTS**

All sub-award change requests must comply with the guidelines outlined in section [VI: Award Changes](#) of this manual.

In addition, a PI of an AHW REP sub-award is responsible for the following:

- E-mailing the completed [Change Request Form](#) to the PI of the parent award for review and approval prior to submitting the request to the AHW REP.

**Please note:** Approval must be received from the AHW REP **BEFORE** any changes may be implemented.

### **D. SUB-AWARD NO-COST EXTENSION REQUESTS**

Sub-award no-cost extension requests must comply with the guidelines outlined in section [VI. D: No-Cost Extensions](#) of this manual.

In addition, parent award PIs are responsible for monitoring all funded sub-awards and their timelines. If the PI of a sub-award anticipates that he/she may not complete the work by the



sub-award end date, he/she must first get approval from the PI of the parent award and then work with the parent award administrators to request a no-cost extension by completing an [AHW REP No-Cost Extension Form](#).

Sub-award no-cost extensions cannot exceed the end date of the parent award.

Parent awards are responsible for making sure that all funded sub-awards comply with AHW funding guidelines and restrictions.

## **E. SUB-AWARD ANNUAL PROGRESS REPORTING**

### **E1. KL2 and Seed/Pilot Sub-Awards**

KL2 sub-awards and seed/pilot sub-awards funded by the AHW REP do not need to complete annual progress reports. KL2 sub-awards and seed/pilot sub-awards **ONLY** complete a final report.

### **E2. Faculty Recruitment Sub-Awards**

PIs of faculty recruitment sub-awards funded by the AHW REP are required to complete an annual progress report for faculty recruitment sub-awards. Completed forms should be submitted to the parent award PI for review and submission to the AHW REP.

The Annual Progress Report Form for Faculty Recruitment Sub-Awards is available on the following AHW webpage: <https://ahwendowment.org/AHW/Funding-Center/Partner-Portal.htm>.

Sub-award annual progress reporting materials should be compiled in conjunction with the parent award's annual progress reporting materials and submitted to the AHW REP office ([ahw@mcw.edu](mailto:ahw@mcw.edu)). It is expected that the PI of the parent award has reviewed and approved all sub-award annual progress reporting materials.

**If for any reason faculty recruitment sub-awards are unable to complete** the Annual Progress Report Form for Faculty Recruitment Sub-Awards, the PI of the parent award should contact the REP office to request an extension. Failure to provide an annual progress report, as required, may result in the suspension or cancellation of funding.

## **F. SUB-AWARD FINAL REPORTING**

All sub-awards, including KL2, seed/pilot, and faculty recruitment sub-awards, funded by the AHW REP should complete and submit a sub-award final report to the PI of the parent award within sixty (60) days of the sub-award's end date.

Sub-award Final Reporting Materials are available on the following AHW webpage: <https://ahwendowment.org/AHW/Funding-Center/Partner-Portal.htm>.

Sub-award final reporting materials should be compiled in conjunction with the parent award's progress reporting materials and submitted to the AHW REP office ([ahw@mcw.edu](mailto:ahw@mcw.edu)). It is expected that the PI of the parent award has reviewed and approved all sub-award final reporting materials.

**If for any reason sub-awards are unable to complete** the final report within 60 days of award completion, the PI of the parent award should contact the REP staff to request an extension. Failure to provide a final progress report, as required, could result in ineligibility for future AHW funding.

## IX. SUBCONTRACTS

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### A. DEFINITION

Subcontracts are an award of financial support from MCW to a qualified organization, institution, or individual that will assist, or will provide an intellectual contribution to the award, by carrying out a portion of the award/project scope of work.

### B. INITIATING A SUBCONTRACT

The MCW Grants and Contracts Office (GCO) is responsible for issuing PI requested subcontracts to collaborating institutions, organizations, or individuals after an award is funded by the AHW REP, as specified in the approved proposal budget and budget justification or in an approved AHW REP Change Request. Subcontract requests are initiated by the MCW PI or department staff, and are sent to the GCO staff member who supports the department for processing and execution.

Grants and Contracts website: <http://www.mcw.edu/Grants-Contracts-Office.htm>

To initiate a subcontract request, PIs should first determine which submission method (eBridge or paper forms) fits the awarded grant and follow the steps outlined in the Request for Subcontract Initiation Guide. This GCO Resource document can be found here:

<http://www.mcw.edu/FileLibrary/Groups/ResearchResources/GCO/SubcontractInitiation.pdf>

To request the initiation of a subcontract, PIs need to complete and submit to the GCO the Request for Subcontract Initiation Form. This GCO form can be found on the GCO website under Other Forms in the Forms section: <http://www.mcw.edu/FileLibrary/Groups/ResearchResources/GCO/RequestSubcontractInitiationFo.doc>.

## **X. AUDIT INFORMATION**

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AHW awards are subject to the annual Medical College of Wisconsin Financial Audit. In addition, every five years, the Medical College of Wisconsin's Advancing a Healthier Wisconsin (AHW) participates in a program audit as required by the State of Wisconsin Office of the Commissioner of Insurance. The next AHW program audit will be for the calendar years 2009-2013. This program audit is conducted by the Legislative Audit Bureau (LAB) of the State of Wisconsin. The REP is a component of the AHW Program. As part of this program audit, award recipients should be advised that their award may be selected for review. If your award is selected for review, please contact the AHW REP staff for more information and guidance.