Community-Academic Partnership Fund
2013 Cohort
Grant Guidelines*

Wisconsin Partnership Program

*2013 Grant Guidelines apply to grants awarded in December, 2013
I. INTRODUCTION

Created with funds from the conversion of Blue Cross/Blue Shield United of Wisconsin, the Wisconsin Partnership Program (WPP) is dedicated to improving the health and well-being of the public through investments in research, education, prevention practices and interventions, and policy development.

The WPP’s Community-Academic Partnership Fund focuses on developing community-academic partnerships—working to make Wisconsin a healthier state for all. It is designed to address the goals of the State Health Plan, Healthiest Wisconsin 2020, to improve health across the lifespan and eliminate health disparities and achieve health equity.

The WPP is guided by the 2009-2014 Five-Year Plan which describes the purpose and grant making strategies of the WPP. The Five-Year Plan is available on the WPP website, http://www.wphf.med.wisc.edu.

This manual provides important information on the agreements between WPP and Grantees, and administrative award requirements for Community-Academic Partnership Fund Grantees.

II. AGREEMENTS

A. Memorandum of Understanding (prepared by WPP staff)

Each funded project is required to execute a contractual agreement—a Memorandum of Understanding—between the Grantee, Fiscal Agent (if applicable), and the WPP providing the contract terms and conditions of the grant award.

III. REPORTING REQUIREMENTS

A. Key Personnel or Work plan Modifications

Changes involving key project personnel, for the Grantee, Fiscal Agent (if applicable) or Academic Partner, and significant work plan modifications must be requested and approved in writing by the WPP Program Officer prior to implementation of the changes. Key personnel are individuals identified either as contacts in the original application or listed in the Agreement. Examples of changes requiring approval include:

- Change in key project personnel percent effort devoted to the project decreased or increased by 25% or more annually from the level reported in either the approved application or most recent approved revision
- Key project personnel are added to or removed from the project
- Significant changes in the approved application and workplan that may have an impact on expected project outcomes

The following information must be provided in a written request:

- Description of personnel or work plan change
- Reason for change in personnel and any modifications of the approved work plan
- Resume of replacement personnel, if requested by the program officer
B. Non-Supplanting Verification

Supplanting means “to replace, to take the place of, or to supersede.” The Insurance Commissioner’s Order prohibits any funds from being awarded that will supplant funds or resources otherwise available to the Grantee from other sources for the funded project. The WPP staff completed an initial determination that no supplanting was evident during the technical review. In addition, to ensure that supplanting does not occur throughout the grant period there are three verification processes that a Grantee must complete:

- **Step 1** – Complete the Non-Supplanting Questionnaire as part of signing the Memorandum of Understanding and Grant Agreement.
- **Step 2** – Recertify that other funds have not become available or been declined as a result of the grant, which is included on the Financial Status Report (FSR) used for drawing (invoicing) grant funds.
- **Step 3** – Complete the Non-Supplanting Questionnaire on an annual basis, and at the conclusion of the grant period.

C. Health Insurance Portability and Accountability Act (HIPAA) Compliance

The HIPAA Act is a set of federal regulations protecting the privacy of an individual’s health information used in clinical practice, research, and operation of health care facilities. The Grantee shall agree to use and disclose Protected Health Information in compliance with the Standards for Privacy of Individually Identifiable Health Information (“Privacy Rule”) (45 C.F.R. Parts 160 and 164) under the Health Insurance Portability and Accountability Act of 1996. The definitions set forth in the Privacy Rule are incorporated by reference into the Memorandum of Understanding (45 C.F.R. §§ 160.103 and 164.501).

D. Financial Status Report (FSR)

A Financial Status Report (FSR) provides a summary of grant expenditures as of a specific date or period of time. A FSR is required on a quarterly basis throughout the duration of the project. The reports are due no later than thirty (30) days after the end of each quarter based on the start date of the project. In addition, a final FSR is due no later than ninety (90) days after the end of the project. The FSR form is available for download on the WPP website, [http://www.med.wisc.edu/wisconsin-partnership-program/oversight-and-advisory-committee-grantee-forms/640](http://www.med.wisc.edu/wisconsin-partnership-program/oversight-and-advisory-committee-grantee-forms/640)

E. Interim Progress Report

An interim progress report provides an update of the project goals and objectives for a specific period of time and provides one mechanism for project monitoring. Interim progress reports are due at 12-month intervals (yearly) throughout the duration of the project. These reports are due no later than thirty (30) days after the end of each 12-month period based on the start date of the project. The WPP will send a link to the web-based form in an e-mail reminder, which is sent 30 days before the report is due.

The WPP may return interim progress reports for revisions when they do not adequately describe the project’s progress or report on each of the project’s objectives, or to resolve discrepancies or questions.
Grantees must notify and receive written approval from the WPP Program Officer of modifications to project workplans and key personnel (see Section III.A.).

F. Final Report

The final report provides a summary of the outcomes from the project goals and objectives at the end of the grant period. The WPP uses final reports to evaluate the overall impact and outcomes of the entire project. The final report is due no later than ninety (90) days after the end of the project. The WPP will send a link to the web-based form in an e-mail reminder, which is sent 30 days before the report is due.

The WPP may return final reports for revisions when they do not adequately describe the project’s progress or report on each of the project’s objectives, or to resolve discrepancies or questions. Grantees must notify and receive written approval from the WPP Program Officer of modifications to project workplans and key personnel (see Section III.A.).

G. Site Visits

The WPP Program Officer may conduct site visits in conjunction with the deadlines for annual interim progress and final reports.

H. Evaluation and Midcourse Review Requirements

The WPP expects that successful applicants will cooperate with all evaluation activities, including site visits. Also, Grantee program staff may be asked to give an oral presentation to the OAC, and selected grants may be independently evaluated.

Projects that do not demonstrate or report on expected progress in achieving grant objectives may be re-evaluated for continued funding by the OAC.

I. Program Income

Program income is gross income earned by the Grantee from activities in which part or all of the costs are borne as a direct cost by the grant. Program income should be reported on the Financial Status Report (FSR).

J. Matching Funds

Matching funds include, but are not limited to, financial or human resources, overhead and other indirect expenses. Grantees are encouraged, but not required, to provide partial matching of current resources or leveraging of future resources as part of the project. Details of matching funds should be included on the Financial Status Report (FSR).

K. Financial Audit

Each funded Grantee or Fiscal Agent (if applicable) is required to provide a copy of its annual audit within 180 days of the Grantees’ or Fiscal Agents’ (if applicable) fiscal year end. A federal A-133 audit or an audit performed in accordance with Government Auditing Standards will fulfill this requirement. If such audits are not performed, an organization-wide audit may be provided which includes program-
level testing. If an organization-wide audit is not performed a specific program audit may be performed, in which case, an independent auditor is hired to perform testing for the funded project.

L. Trade Secrets and Proprietary Information

Unless otherwise required by law, the University will exercise its best effort to maintain in confidence proprietary or trade-secret information disclosed or submitted to the University by the Grantee which is designated in writing as confidential information at the time of disclosure. Please contact the WPP Program Officer for more details and instructions.

M. Publications

Grantees must acknowledge the WPP in any press releases, articles or other means of publicizing this project or its results with the following language: “Funding for this project was provided by the UW School of Medicine and Public Health from the Wisconsin Partnership Program”. The WPP requests that Grantees provide copies of any press releases, articles or other project publicity related to the funded project.

IV. BUDGETING AND PAYMENT REQUIREMENTS

A. Invoicing/Method of Payment

Funds for this project will be provided on a cost reimbursement basis based on actual expenses incurred during the project period. Request for payment should be made using the Financial Status Report (FSR) form no more than monthly and no less than quarterly. The FSR form is available for download on the WPP website, http://www.med.wisc.edu/partnership/oversight-and-advisory-committee-grantee-forms/640. Final payment at the end of the project will be made upon receipt of the following documents: Final Report, Final FSR, Final Non-Supplanting Questionnaire, and the latest annual audit report of the Grantee or Fiscal Agent (if applicable). These documents are due ninety (90) days after the end of the project.

The WPP requires documentation supporting the amount requested for reimbursement on each FSR submission, with the exception of a cash advance. Supporting documentation should include:

- Detailed general ledger from the Grantee or Fiscal Agent (if applicable) accounting system:
  - Based on project cost accounting
    - Each project can be identified in the accounting system separately (i.e. Fund 100=Project A; Fund 200=Project B))
  - Based on expense code by budget line item
    - An expense code is expanded to identify each project (i.e. Salary code 1000-1=Project A; Salary code 1000-2=Project B)
  - Based on an alternative method
    - Manual recording
- Under the category of Consultant and Contracts, an invoice from the vendor detailing the services provided, number of hours, and hourly rate or contract price.

Beyond a detail general ledger and invoicing for all consultants and contracts, the WPP does not need actual invoices for other budget line item categories, however, the WPP reserves the right to request and review additional documentation for any payment requests submitted.
B. Advances

The Grantee may request a cash advance of up to three months of the annual budget, which would be adjusted at the end of the project. The request should be completed using the Financial Status Report (FSR) form. This request cannot be fulfilled unless all required documents (MOU, Non-Supplanting Questionnaire and IRB forms) have been completed and submitted.

C. Re-budgeting

Re-budgeting between major budget categories (personnel, travel, equipment, supplies, contracts, and other costs) in excess of 10% of the total annual project budget must be requested and approved in writing by the WPP Program Officer. Re-budgeting between major budget categories under 10% require communication (via email) with the WPP Program Officer. All budget changes require written justification which addresses the specific benefit provided to the project by the budget change, the dollars involved in the change and any effect on the approved work plan. The written request must also be supported by a revised budget form, which is available from the WPP Accountant.

D. Carry Forward for Multi-Year Grant Awards

Unspent grant funds may automatically carry forward from one year to the next. It is best to discuss your carry forward funds with the WPP accountant to reconcile your budget.

E. Request for No Cost Extension

Grantees may ask for a one-time extension of the original end date of the grant of up to twelve (12) months, if additional time is required to complete the original scope of work. Grantees may not request extensions solely for the purpose of using the unliquidated balances. Requests greater than 25% of the grant award require approval by the Oversight and Advisory Committee (OAC). Requests should be made in writing to the WPP Program Officer at least 30 days in advance of the original end date, and must include the reason for the extension, description of scope of work to be completed, and plans for expenditures of unliquidated funds. The written request will be followed by a phone discussion with the WPP Program Officer to determine approval status.

F. Allowable and Non-allowable Grant Expenses (Recipients and Sub-Recipients)

The WPP has specific policies on allowable and non-allowable expenses for the projects it funds. In general, non-allowable expenses are consistent with Federal policies on allowable and unallowable expenses. Examples of non-allowable expenses include alcoholic beverages, fines, and donations.

The WPP has also has developed policies on expenses that are not normally allowable, but may qualify as allowable under specific circumstances and with specific permission from the WPP. In general, these expenses would normally be considered indirect costs, costs that are not specifically identifiable to the funded project but are general overhead of the recipient organization. Examples of normally indirect costs include building rental or depreciation, general administrative functions and basic telephone and internet service. These expenses may be deemed allowable only if they can be directly associated with the specific funded project. In deciding to approve these expenses, the WPP will evaluate the direct applicability of the expenses to the project and the methodology to allocate the expenses.
To review a list of allowable and non-allowable grant expenses, go to the WPP website or discuss with our staff accountant.

V. HUMAN SUBJECTS REQUIREMENTS

The Academic Partner takes the primary lead in obtaining an IRB review.

The UW Health Sciences Institutional Review Board (IRB) provides a preliminary review all Community-Academic Partnership Fund grants prior to the project start date. A recommendation is made and communicated to both Community (Grantee) and Academic Partners (faculty) regarding next steps related to IRB submission.

To ensure that research projects conform to ethical and regulatory standards governing the conduct of human subjects research, funded projects must agree to obtain approval or exemption from an Institutional Review Board (IRB) for any activities deemed “research” and/or involving human subjects. An exempt determination (if applicable) or an approval letter (of activities deemed “research”) will be required for these projects before the Memorandum of Understanding and Grant Agreement can be executed. If applicable, annual renewal approval letters are required for continued funding.

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

All projects that include the use of human subjects will be required to maintain compliance with all UW IRB human subject policies, regulations, and reporting requirements throughout the duration of the project.