

**FUTURE OF NURSING™**

Campaign for Action

AT THE CENTER TO CHAMPION NURSING IN AMERICA



# **RWJF State Implementation Program 4 Grantee Guide – February 5, 2016**

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# National Program Office Contact List

**National Program Office, RWJF State Implementation Program**  
**Center to Champion Nursing in America**  
202-434-3928 office  
[sip@aarpp.org](mailto:sip@aarpp.org)

AARP Public Policy Institute  
601 E Street, NW  
Washington, DC 20049

The National Program Office (NPO) serves as both a resource for technical assistance and as the primary monitor of project performance and management for all RWJF State Implementation Program (SIP) grantees. The NPO serves as the primary point of contact for SIP grantees.

## **Jennifer A. Peed, MSW**

Deputy Director, State Implementation Program  
202-434-3848 office  
202-317-1516 cell  
[jpeed@aarpp.org](mailto:jpeed@aarpp.org)

## **Tara Murphy, BA**

Project Specialist  
202-434-3928  
[tmurphy@aarpp.org](mailto:tmurphy@aarpp.org)

## **Patricia Farmer, RN, DNP, FNP**

CCNA Consultant  
[ccna.pfarmer@gmail.com](mailto:ccna.pfarmer@gmail.com)

# RWJF State Implementation Program Reporting Schedule

## SIP 4

### Grant Period:

November 1, 2015 through October 31, 2017

### Quarterly report due to dates (via online reporting, links sent from NPO):

May 1, 2016  
August 1, 2016  
November 1, 2016  
February 1, 2017  
May 1, 2017  
August 1, 2017

### 18-month Deliverables due date (via online reporting, links sent from NPO):

May 1, 2017

### 24-month Deliverables due date (via online reporting, links sent from NPO):

November 30, 2017

### RWJF Final Narrative Report and Financial Report due date (to [sip@aarp.org](mailto:sip@aarp.org)):

November 30, 2017

# State Implementation Program Contact Change Instructions

## Grantee Contact Information

It is important for the national program office to keep updated contact information for all relevant grantee staff. In the event that a member of the team leaves or is added, please email [sip@arp.org](mailto:sip@arp.org) with all relevant details including name, title, organization, email, and phone number.

Please note that the SIP National Program Office is only able to send official documents (including reporting templates, webinar invitations, and deliverables charts) to the Project Director, Project Co-Director, and Financial Officer. As other staff or contractors may be working on the SIP grant, from time to time it will be necessary for you to forward them necessary documentation. Alternatively, you can set up an auto-forward process in your e-mail client that redirects correspondence sent from [sip@arp.org](mailto:sip@arp.org) to other personnel.

# State Implementation Program Workplan Instructions

## Workplan Changes

The process for requesting changes to your approved workplan is to submit a proposed revision to the SIP National Program Office ([sip@arp.org](mailto:sip@arp.org)):

1. Clearly mark any modifications using the 'Tracked Changes' function.
2. Add in a brief explanation for the change, inserted directly into the workplan (also in 'Tracked Changes'). In the event a longer explanation is needed, please attach the explanation as an Appendix at the end of the workplan.

The National Program Office will review your submission and schedule additional discussion as needed. If your proposed changes have been approved, you will receive a clean and updated copy of your revised workplan as a .pdf to use as a basis for reporting going forward.

Example:

### Project Goal #1: Ensure the sustainability of the Project

Objectives	Action Steps	Target Date	Responsible Person	Deliverables	
				18-Month	24-Month
Develop new sustainable funding streams	Conduct mailings	11/15	Carly	<del>\$100,000 raised and set aside for 2017-2018 activities</del>	<u>\$100,000 raised and set aside for 2017-2018 activities</u>  <u>We were unable to schedule the meetings with the three foundations in time to meet the 18-month deliverable mark.</u>
	Create donation page on website	1/16	Satya		
	Schedule meetings with Foundations	5/16	Marissa		

# State Implementation Program Budget Change Instructions

## Budget Change Protocol

Formal budget revisions are not required for grant awards of \$500,000 or less. Your grant falls within this classification. However, for monitoring purposes, we do request that if you are making budgetary changes, you email our office with a description of the change and rationale for it. You may submit that email to **[sip@aarp.org](mailto:sip@aarp.org)**.

Additionally, you should report any budget changes and rationale in your final financial report to RWJF and include a justification for any expense greater than \$10,000 or 10% of any expense category.

# State Implementation Program Communications Resources

## Communications Resources

From time to time, you may want to bring attention to your Action Coalition's work and the Foundation's investment in your progress by making a public announcement about your grant to the media and other stakeholders and supporters in your state. However, before you send out your press release to any media outlets, your release must be approved by the National Program Office. Simply email your release to [sip@aar.org](mailto:sip@aar.org) and we will respond with approval and or changes very quickly. While we will make every effort to return your press release back to you quickly, please allow up to 2-3 business days for review.

Please also let us know if you'd like us to provide a list of media outlets in your area. We encourage you to supplement this media list with any journalists with whom you have a relationship with or who cover nursing and health care topics in your area.

To help support your media outreach efforts, we also have additional resources on the *Campaign for Action* website. Please visit the [communications resource page](#) for a wide range of resources that you can use, including template media materials, audience-specific messages, and presentation support. Below are a few resources that we think you'll find to be particularly helpful:

- o [Introduction to Traditional Media Outreach](#)
- o [Creating Effective Media Materials](#)
- o [Campaign for Action Overview PowerPoint Presentation and Template](#)

Social media and events are also great ways to spread the word about your SIP award. For help with social media, check out the [Social Media Toolkit](#), and for help with planning an event, refer to the [Event Planning Toolkit](#).

# RWJF Diversity Policy

## Diversity Policy

Diversity and inclusion are core values of the Robert Wood Johnson Foundation, reflected in our Guiding Principles. We value differences among individuals across multiple dimensions including, but not limited to, race, ethnicity, age, gender, sexual orientation, physical ability, religion and socioeconomic status. We believe that the more we include diverse perspectives and experiences in our work, the better able we are to help all Americans live healthier lives and get the care they need. In service to our mission, we pledge to promote these values in the work we do and to reflect on our progress regularly.

Consistent with RWJF values, this program embraces diversity and inclusion across multiple dimensions, such as race, ethnicity, gender, physical ability, age, sexual orientation, religion and socioeconomic status. We strongly encourage applications in support of individual candidates who will help us expand the perspectives and experiences we bring to our work. We believe that the more we include diverse perspectives and experiences in our work, the more successful we will be as we strive together to build a Culture of Health, enabling all in our diverse society to lead healthier lives, now, and for generations to come.

# State Implementation Program Resources

## Helpful Links

**SIP Grantee Resources:** Explore a wealth of other valuable resources to for SIP answers or inspiration  
<http://campaignforaction.org/sip-resources>

**Fundraising Toolkit:** The toolkit includes overview materials, resource guides and workbooks to aid Action Coalitions in their work to secure support for their programs.  
<http://campaignforaction.org/resource/fundraising-toolkit-materials>

**Fundraising Guide:** This guide seeks to help you meet your coalition's unique funding needs and to serve as a resource for identifying potential sources of funding, helping you construct a fundraising plan of action, and guiding you in how best to approach potential donors  
<http://campaignforaction.org/sites/default/files/Fundraising%20Toolkit%20for%20Action%20Coalitions.pdf>

**Diversity Toolkit:** This toolkit is part of a larger project designed to enhance diversity recruiting or fellowships at selected national program offices supported by the Robert Wood Johnson Foundation  
<http://campaignforaction.org/sites/default/files/Strategic%20Alliances%20Toolkit.pdf>

**Budget Information:** Find information concerning your Robert Wood Johnson Foundation financial reporting, report submissions and revisions.  
<http://www.rwjf.org/en/grants/grantee-resources/reporting-and-accounting-information/budget-reporting.html>

**Communications Information:** Find information on issuing press releases, logo use, publication credits, etc. <http://www.rwjf.org/en/grants/grantee-resources/legal-and-policy-information/communications-information.html>

**Reporting and Accounting Information:** Find information relating to RWJF reporting and accounting including Electronic Submission Standards.  
[http://www.rwjf.org/en/how-we-work/grants/grantee-resources/reporting-and-accounting-information.html?rid=UI8kEI\\_RQPgHn-X4z0WofVXYXWIRNIAH&et\\_cid=467311](http://www.rwjf.org/en/how-we-work/grants/grantee-resources/reporting-and-accounting-information.html?rid=UI8kEI_RQPgHn-X4z0WofVXYXWIRNIAH&et_cid=467311)

# Appendix

**RWJF Guidelines for Advocacy**

**Lobbying Guidelines from CCNA Legal Counsel**

**RWJF Guidelines for Funding and Releasing Polls and Surveys**

**RWJF Electronic Submission Standards**

# Guidelines for Advocacy

*From the Foundation's Communications and Law Departments*



Robert Wood Johnson Foundation

As a private foundation, the Robert Wood Johnson Foundation (RWJF) is prohibited from using its resources for direct lobbying or grassroots lobbying, from engaging in political activities and from making grants for such purposes. This means that you cannot use RWJF's funds, name, program names, products or other resources for lobbying or political activities. **This document is a brief summary of these restrictions. It is not intended to be construed as legal advice. Please contact your own legal counsel with specific questions of how these rules may apply to you in your capacity as an RWJF grantee.**

## WHAT ARE THE PROHIBITIONS?

Prohibited direct lobbying is a direct communication with a legislator or legislative staff that:

- refers to pending or potential legislation; and
- reflects a view on such legislation.

Prohibited grassroots lobbying is any communication with the general public that:

- refers to pending or potential legislation; and
- includes a “call to action,” which is any of the following:
  - urging contact with a legislator;
  - providing contact information for a legislator;
  - providing a petition, draft e-mail, postcard or other means to communicate with a legislator;
  - identifying a legislator as opposing pending or potential legislation, being undecided or serving on the committee to vote on the legislation; or
  - identifying a legislator as the recipient’s representative.

Prohibited political activities include, but are not limited to:

- endorsing political parties, candidates or platforms;
- making campaign contributions;
- issuing or distributing statements that favor or disparage a particular candidate;
- allowing a candidate or political organization to use RWJF assets or facilities;
- inviting candidates to speak at RWJF-sponsored functions; and
- linking to candidate websites.

## DEFINITIONS & SPECIAL RULES

**LEGISLATOR:** A legislator or legislative staff is any elected member or staff member of any general purpose legislative body (e.g., Congress, state legislature, city council) or any other government official if the primary purpose is influencing legislation.

**LEGISLATION:** Legislation is any action taken through a vote of Congress, any state legislature, local council or similar publicly elected legislative body or law that must be enacted by public vote. It does not include: (1) regulations of an administrative agency or body, even if the regulations implement specific legislation; or (2) the actions of special-purpose bodies, such as school boards and zoning boards.

**PAID MEDIA RULE:** A paid advertisement within two weeks of a vote on legislation may constitute grassroots lobbying without a reference to specific legislation or a call to action.

**SPECIAL RULE FOR BALLOT MEASURES:** A communication with the general public concerning a pending or potential ballot measure is lobbying if it both refers to the ballot measure and reflects a view on the measure. No call to action is needed.

# Guidelines for Advocacy

*From the Foundation's Communications and Law Departments*

## WHAT IS NOT LOBBYING?

- Discussing broad social issues without reference to specific legislation.
- Communicating about nonlegislative policies, such as regulations.
- Developing and distributing to anyone in-depth nonpartisan analysis and research materials; such materials may make reference to legislation and reflect a view, so long as they:
  1. include a full, fair and objective discussion of the relevant facts sufficient to permit the audience to form an independent opinion;
  2. are broadly distributed to persons on both sides of the issue discussed; and
  3. do not include a “call to action.”
- Providing technical assistance or testimony to a legislative or governmental body in response to a written request for technical assistance. The request should: (1) be on behalf of the governmental body or committee (not an individual official or staffer); (2) note that information provided will be distributed to all members; (3) specifically address the assistance requested; and (4) be received **BEFORE** you provide the assistance or testimony. **CHECK WITH YOUR LEGAL COUNSEL BEFORE RESPONDING TO SUCH A REQUEST TO MAKE SURE THAT THE LETTER MEETS ALL REQUIREMENTS PRIOR TO PROVIDING ASSISTANCE OR TESTIMONY.**
- Urging enforcement of existing laws or regulations.

## IF IT IS NOT LOBBYING, IS IT OK TO PROCEED?

Whether or not a communication constitutes lobbying is just a threshold question; we also rely on our grantees to employ good judgment in determining whether a communication funded by RWJF or using an RWJF brand is appropriate under the circumstances. Please take care to avoid content that is or may be construed as political campaign intervention, or communications that are likely to be considered partisan, slanderous, libelous, or discriminatory in nature, or might otherwise negatively impact the reputation of RWJF and its programs.

## IS LOBBYING OK IF WE DO IT WITH NON-RWJF FUNDS?

You must first confirm that any communication or activity is consistent with the tax rules and other laws that apply to your organization, as well as your organization’s internal policies and the requirements of other funders. **Organizations and projects that bear the RWJF name or brands associated with the RWJF name may not lobby, even with non-RWJF funds, because such activities may still be construed as lobbying by RWJF.**

# **Lobbying Basics**

Presentation by Allen Mattison  
Trister, Ross, Schadler & Gold, PLLC  
202-328-1666 • amattison@tristerross.com

## **I. Direct Lobbying**

A. Three elements of “direct lobbying”:

1. A communication directly to a legislator (or to legislative branch staff or to executive branch officials or staff involved in formulating this legislation)
2. That reflects a view
3. On specific legislation.
  - i. Specific legislation includes:
    - a. Bills that have been introduced;
    - b. Specific legislative proposals not yet introduced (e.g., “New Jersey should adopt Pennsylvania’s Healthy Food Financing Initiative”);
    - c. Budget bills;
    - d. Certain U.S. Senate treaties and confirmations of appointees.

B. This includes legislatures from Congress to city council, but not special bodies such as school boards and zoning boards.

C. Ballot measures are treated as legislation; the voters are the legislative body. So a communication to the general public that reflects a view on a ballot measure is direct lobbying, not grassroots lobbying.

D. Organizations with members are given special treatment for communications to their members. Asking an organization’s own members to contact legislators to support or oppose specific legislation is treated as direct lobbying.

## **II. Grassroots Lobbying**

A. Four elements of “grassroots lobbying”:

1. A communication to the public
  - i. e.g., speeches, advertisements, op-eds
2. That reflects a view
3. On specific legislation and
4. Includes a call to action.
  - i. Asks audience to contact a legislator;
  - ii. Identifies a legislator as being the audience’s representative;
  - iii. Provides contact information for legislator;
  - iv. Provides a vehicle for contacting the legislator (e.g., form email, petition);
  - v. Identifies a legislator’s position on the legislation as being undecided or opposing the communication’s viewpoint; *or*
  - vi. Identifies a legislator as sitting on the voting committee.

- B. Exception: A mass media advertisement that runs two weeks before a committee or floor vote on “highly publicized” legislation may be grassroots lobbying even without a call to action. It is presumed to be grassroots lobbying if it is:
  - 1. A paid advertisement that appears in the mass media
  - 2. Within two weeks of legislation that is very prominent in the public conversation,
  - 3. That reflects a view on the general subject of the legislation, and either
  - 4. Refers to the legislation or asks people to contact legislators on that general subject.
- C. Calling an organization’s own members to ask *others* to engage in direct lobbying is treated as grassroots lobbying.

### **III. Excluded From Definitions of Lobbying**

- A. The following categories of activity are excluded from being treated as lobbying. But note that costs for educational materials are presumed to count as grassroots lobbying if the materials are used for grassroots lobbying within six months of being produced.
- B. **Activities without the elements identified in section I(A) and II(A)**
  - 1. Contacts with executive branch officials or staff who do not participate in formulating legislation.
  - 2. Contacts with executive or legislative branch officials on non-legislative action.
  - 3. Contacts with the general public that do not include a call to action (and are not advertisements on highly publicized legislation)
- C. **Nonpartisan Analysis, Study or Research.** A “sufficiently full and fair exposition” of a matter so as to enable the recipient to form an independent opinion. The report may state a viewpoint on the matter but not a direct call to action. (Identifying a legislator’s position on the legislation or identifying the legislator as sitting on the voting committee is permissible; urging the public to call the legislator will disqualify the report from this exception). The report must be broadly disseminated.
- D. **Examination/Discussions of Broad Social, Economic and Similar Problems.** Materials that neither refer to specific legislation nor include a direct call to action.
- E. **Response to Request from Legislative Body for Technical Advice or Assistance.** Request must be written, from a committee or legislative body (not a single legislator) and the response must be available to all members of requesting body. May advocate a viewpoint, if the request specifically asks for opinions or recommendations.
- F. **Self-Defense.** Direct (not grassroots) contacts with legislative branch about possible legislative actions that could affect group’s existence, powers, duties, tax-exempt status or deductibility of contributions to group.

**NOTE: This document is not legal advice. Consult legal counsel before undertaking advocacy activity or any communication described in this document.**

## RWJF Guidelines for Funding and Releasing Polls and Surveys<sup>i</sup>



### Requirements for RWJF Release of Poll and Survey Data:

Robert Wood Johnson Foundation

- Compliance with standards for polls and surveys and appropriate disclosure requirements described below.
- Completion of two forms describing (1) survey design and (2) survey results.
  - **Note: Links to both forms and additional instructions will be emailed to the project director 30 days after the grant award date.**
- Grantees should complete the form describing their survey design at least 30 days before their survey enters the field: <http://www.rwjf.org/content/rwjf/en/surveyguidelines>

Use of the terms “poll” or “survey” should be used only to describe work that has met the standards below. Those studies that do not meet these standards cannot be described as RWJF-funded polls or surveys. Focus groups and qualitative research are NOT considered polls or surveys, and should not be presented as such. Please see language below for additional information.

### Standards for Polls and Surveys:

To provide reliable and objective information that meets the highest standards for scientific integrity and adheres to our principles, RWJF-funded polls and surveys must conform to the Code of Professional Ethics and Practices of the American Association for Public Opinion Research (AAPOR). Consistent with the AAPOR Code, RWJF-funded polls and surveys should:

- Identify the name(s) of the lead researcher(s), their organizational affiliation(s), and all sponsors/funders of the research.
- Employ research tools and methods suitable for the topics and questions being investigated.
- Fully describe the survey methodology used to conduct the research in sufficient detail to allow others to understand and critique the research (see disclosure requirements below).

### Disclosure Requirements for Polls and Surveys:

When releasing results of RWJF-funded polls or surveys, researchers are required to disclose information regarding the research methodology. Specifically, disclosure information must include (either in the release or through easy access to an appendix or full methodology report):

- Name of the sponsor/funder of the survey and the organization that conducted the data collection.
- Questionnaire or survey tool (at minimum, question wording for the results being released).
- Identification of the population under study.
- Description of the sample used including: type of sample (probability or non-probability), sample frame used, sample selection criteria, eligibility or screening requirements, total sample size and subgroup sample sizes (if appropriate).

- Method, dates, and location of data collection.
- Response rate and indication of which AAPOR response rate calculation is used for probability samples or participation rate for non-probability samples.
- Estimated sampling error (for probability samples).
- Description of any post-data collection weighting that was done including source of weighting parameters and variables used for weighting.
- Contact information for readers, in case there are additional methodological questions.

**Disclosure requirements for opt-in surveys and polls (non-probability based, online and other modes):**

AAPOR recommends that researchers fully disclose the methods through which respondents were selected and clearly indicate that respondents self-selected into the sample and were not randomly selected from the full population of interest. AAPOR recommends the following wording for use in online and other surveys conducted among self-selected individuals:

*"Respondents for this survey were selected from among those who have [volunteered to participate/registered to participate in (company name) online surveys and polls]. The data [have been/have not been] weighted to reflect the demographic composition of [target population]. Because the sample is based on those who initially self-selected for participation [in the panel] rather than a probability sample, no estimates of sampling error can be calculated. All sample surveys and polls may be subject to multiple sources of error, including but not limited to sampling error, coverage error, and measurement error."*

**Disclosure requirements for focus groups/qualitative research:**

RWJF does not require specific standards of adherence for qualitative research; however the following suggestions are meant to guide current practice.

Qualitative research can be conducted in a wide variety of ways. When reporting results of qualitative research, the researcher should disclose the following information:

- Clearly indicate that the research is qualitative in nature and therefore results are not representative of any larger population of interest.
- Specify what type of research was done (e.g., focus groups, in-depth interviews via phone or in-person, cognitive interviews).
- Indicate when and where the research was conducted.
- Indicate who sponsored/funded/conducted the research.
- Indicate the number of interviews completed or number of participants.
- Describe how participants were selected to participate.

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<sup>i</sup>These standards are consistent with our Guiding Principles and are based on the AAPOR standards, the Polling Standards of the *New York Times* and *ABC News*' Polling Methodology and Standards updated in 2010, [http://www.aapor.org/Standards\\_and\\_Ethics.htm](http://www.aapor.org/Standards_and_Ethics.htm).

# Electronic Submission Standards



*For Reports and Grant Products*

## INTRODUCTION

The Robert Wood Johnson Foundation has created a system for electronic submission of reports and other products from its grants and contracts (herein after called awards) that will allow us to stay current with your work and to post your important products on our website, [www.rwjf.org](http://www.rwjf.org), on a timely basis.

Effective immediately, only reports and products from grantees and program contractors (herein after called grantees) that meet the criteria specified in this document should be submitted electronically. Please comply with the instructions detailed here to ensure your documents are processed appropriately.

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# Electronic Submission Standards

*For Reports and Grant Products*

## GENERAL INSTRUCTIONS

Email electronic versions of reports and award-funded products to RWJF using the email address [grantreports@rwjf.org](mailto:grantreports@rwjf.org).

When submitting narrative and financial reports, **you must include the award ID** in the subject line of the email followed by the word Report. When submitting products, include the award ID in the subject line of the email followed by the word Product.

- Only submit materials that fit into our specified categories. Refer to the Submitting Narrative and Financial Reports, and Product Descriptions sections below for details.
- Name files according to the RWJF standards. **Each name must include the award ID.** Refer to Report Naming Standards and Product Naming Standards sections below for details.
- You can include multiple reports or products produced during one grant/contract in a single email, but the total size of the email should not exceed 10 megabytes. (See below for how to handle larger files.)
- Only submit materials from a single award ID per email. If you have more than one award for which you are submitting documents, send separate emails for each award.
- Do not mail hard copies of materials you have sent electronically, except for book chapters where RWJF would like both a PDF of the chapter, *and* the book in which the chapter appears.

A color PDF is the appropriate format for most written products. Refer to [Acceptable File Formats](#) for details.

- Include only one document in each electronic file. Do not create a PDF that contains more than one product.
- Whenever possible, include the award ID on the document.
- If a file cannot be opened by the Foundation, you will receive an email from [grantreports@rwjf.org](mailto:grantreports@rwjf.org) with instructions regarding how to resubmit it.
- If the file is too large (more than 10 megabytes), you have two options:
  - Zip the file and send it by email to [grantreports@rwjf.org](mailto:grantreports@rwjf.org).
  - Send it on a flash drive, CD, or DVD to the RWJF address below, with the award ID on a label on each piece. Do not write directly on the CD or DVD. Flash drives, CDs, and DVDs will not be returned.

Program Records  
Robert Wood Johnson Foundation  
P.O. Box 2316  
Princeton, NJ 08543-2316

## **Electronic Submission Standards**

*For Reports and Grant Products*

- For products that cannot be sent electronically (e.g., a book, artwork, plaque, sculpture), put the award ID on a Cover Page for each of the items and send them to this same address.

If you have any questions or problems, please communicate with your program financial analyst or program office contact. Do not send correspondence to [grantreports@rwjf.org](mailto:grantreports@rwjf.org) as you will not receive a reply.

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## Electronic Submission Standards

*For Reports and Grant Products*

### ACCEPTABLE FILE FORMATS

Narrative and financial reports and products should be submitted in file formats that are non-editable, such as PDF, as much as possible. Files will also be accepted in the formats listed below. If a file is received by RWJF in a format that is not supported, it will be returned to you for conversion to a supported format.

File Type	Extension(s)
Audio	aac, m4a, mp3, mpeg4, wav, wma
Compressed File Format	zip
Image	bmp, gif, jfif, jpe, jpeg, jpg, pip, pjp, pjpeg, tif, tiff
MS PowerPoint	pot, potm, potx, ppam, pps, ppsm, ppsx ppt, pptm, pptx
Portable Document Format	pdf
Shockwave	swf
Video	avi, mpe, mpeg, mpegv, mpg, mpv, vbs, wmv, mp4

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# Electronic Submission Standards

*For Reports and Grant Products*

## SUBMITTING NARRATIVE AND FINANCIAL REPORTS

### *Report Naming Standards*

Name the file “gggggdddypp.ext,” where:

- ggggg = award ID
- ddd = document type (see table below for abbreviations)
- yy = year number of grant, for documents submitted annually with same name (e.g., budget year 2 = y2)
- pp = period number, for documents submitted periodically (e.g., first 6 months of award = p1)
- .ext = file extension

Example: An award (ID 55522) produces an Annual Narrative Report in its first year. The file would be named 55522ANRY1.pdf. In year 2, it produces a Final Narrative Report. The file would be named 55522FNR.pdf.

Send only reports included in this table.

Report Document Types	Name Abbreviation	File Naming Example
<b>Narrative Reports</b>		
Annual	ANR	55522ANRY2.ext
Periodic (interim, semi-annual, progress)	PNR	55522PNRY2P1.ext
Final (with or without a bibliography)	FNR	55222FNR.ext
Summative	SUM	55222SUM.ext
<b>Financial Reports</b>		
Annual	AFR	55222AFRY1.ext
Periodic	PFR	55222PFRY1P3.ext
Final	FFR	55222FFR.ext
Due Diligence (Audited Financials, 990s)	DDR	55222DDR.ext
Expenditure Responsibility Report of Income	ROI	55222ROIY2.ext
Expenditure Responsibility—Private Foundation Statement	PFS	55222PFSY3.ext

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## Electronic Submission Standards

*For Reports and Grant Products*

### SUBMITTING PRODUCTS

RWJF requests that grantees share with RWJF award-funded products that contain learning and policy information that advance the field and the mission or strategies of the Foundation, including those products that have the ability to increase learning or the potential to drive change in health and health care in the United States. Examples of products requested include data charts, research findings, results, conclusions, and recommendations, as well as products that recognize, promote, award, or raise awareness of the project or program's results, findings, or impact.

Send only products that are deliverables from your award to [grantreports@rwjf.org](mailto:grantreports@rwjf.org). Please do not send other products you created that are not the result of or findings from the award-funded project or program.

Products must be assigned one of the following product types:

- Articles
- Books and Chapters
- Communications, Promotion, and Official Correspondence
- Presentations, Proceedings, and Testimony
- Reports
- Tools and Training Materials

See [\*Product Descriptions\*](#) section for details.

If you have other products you think your program officer would like to see, send them to him or her directly.

- Submit your products as soon as you complete them
  - Do not wait for your next reporting cycle.
  - Do not include products as part of your Annual or Final Narrative Reports.
  - If you find, when completing your Annual Narrative Report or Final Narrative Report, that you have not sent a product to us, send it as soon as you can.
  - If you subcontracted some of the work and products resulted, treat them as your own products, and submit them if they meet the submission criteria.
  - Include any product created for your project or program by a communications firm paid directly by RWJF.
  - Submit published versions to replace manuscripts as they become available.
  - Send products that are completed or published after the award closes. Follow the same procedures as if the award were active. There is no need revise your Bibliography or Final Narrative Report.

## Electronic Submission Standards

*For Reports and Grant Products*

- Whenever possible, submit electronic versions of products, each in its own PDF file, by email to [grantreports@rwjf.org](mailto:grantreports@rwjf.org).
- If your project is managed by an outside RWJF program office, also send the emails with attached products to your contact at the program office as well as to [grantreports@rwjf.org](mailto:grantreports@rwjf.org).
  - Do not send any materials created by the program office, even if the materials were slightly modified for your site or use; RWJF will receive these materials directly from the program office.
  - Do not send an email to your program financial analyst, program officer, or communications officer when you submit your products. They will be automatically notified when your materials are received.

Do not send duplicate versions of products—especially news releases or poster presentations—when the core content is the same.

Please follow the rules below for what to submit and what not to submit. Name the products according to the naming standards. Send in acceptable formats.

### *Product Naming Standards*

Name the file “gggggGPddd\_nn.ext,” where:

- ggggg = award ID
- GP = grantee/contractor product
- ddd = document type (see tables below for abbreviations)
- nn = number of files in the category. This will equal 01, unless more there is more than one (quantity) of this product type.
- .ext = file extension

Example: A grant/contract (ID 55522) produces three journal articles. The files would be named 55522GParticle\_01.pdf; 55522Gparticle\_02.pdf; and 55522Gparticle\_03.pdf.

**Contractors:** Please use the terminology GP before products even though you are working under a contract.

# Electronic Submission Standards

For Reports and Grant Products

## PRODUCT DESCRIPTIONS

Send **only** products included in the following tables.

Product Type: Articles	
Description	Composition on a specific topic, forming an independent part of a journal, newspaper, magazine, or internet publication, written by project or program staff, and focused on the award-funded project/program
What to Submit	<ul style="list-style-type: none"> <li>• Journal articles and abstracts</li> <li>• Magazine, newspaper, and newsletter articles on methodology, results, findings, lessons, or recommendations of the project/program written by project or program staff</li> <li>• Opinion pieces, including: editorial, commentary, letter(s) to the editor, or similar products that provide facts, lessons, or recommendations gained through the award-funded activity</li> <li>• Special issue or supplement</li> <li>• Manuscripts submitted for publication</li> </ul>
What NOT to Submit	<ul style="list-style-type: none"> <li>• Journal, magazine, newspaper, or newsletter articles not focused on results, findings, or recommendations</li> <li>• Opinion pieces, including: editorial, commentary, letter(s) to the editor, or similar content that does <i>not</i> include facts, lessons, or recommendations</li> <li>• Manuscript of an article that is already published. Instead, submit the published article.</li> <li>• Works in progress</li> </ul>
Special Instructions	<p><b>Published article:</b> In the body of the email, include the journal title and year of publication.</p> <p><b>If a PDF of the published article is unavailable:</b> In cases where an actual document isn't available, provide a link to it, with the citation, in a PDF. A DOI (digital object identifier) link is preferred (if one is made available by the publisher), as they are more stable.</p>
Document Type	GParticle
File Naming Example	55222GParticle_01.ext

## Electronic Submission Standards

*For Reports and Grant Products*

Product Type: Books or Chapters	
Description	When published, the book will have an ISBN or Library of Congress number, or the chapter will be part of a book with an ISBN or Library of Congress number; either publication should be derived from work done under the award-funded project/program.
What to Submit	<ul style="list-style-type: none"> <li>• Books, including manuscripts if not yet published</li> <li>• Book chapters, including manuscripts if not yet published</li> </ul> <p><i>See Special Instructions, below, for published books and book chapters.</i></p>
What NOT to Submit	<ul style="list-style-type: none"> <li>• If a book is already published, do not send the manuscript. <i>See Special Instructions, below.</i></li> <li>• If the chapter is already published, do not send the manuscript. <i>See Special Instructions, below.</i></li> <li>• Work in progress</li> </ul>
Special Instructions	<p><b>Published book:</b> Mail a physical copy of the book, and include a Cover Page providing the award ID to the address below.</p> <p><b>Published chapter:</b> Email a PDF of the published chapter, with the cover and title page of the book in which it was published. Also mail a physical copy of the book in which it was published, and include with it a Cover Page providing the award ID.</p> <p><b>Use the following mail address:</b>            Program Records            Robert Wood Johnson Foundation            P.O. Box 2316            Princeton, NJ 08543-2316</p>
Document Type	GPbookchpt
File Naming Example	55222GPbookchpt_01.ext

## Electronic Submission Standards

For Reports and Grant Products

Product Type: Communications, Promotion, and Official Correspondence	
Description	Materials from the award-funded project/program to communicate its findings, results, recommendations, or solutions to the media and broader public, and to advocate for change
What to Submit	<ul style="list-style-type: none"> <li>• Advertisements</li> <li>• Awardee profiles</li> <li>• Blogs with findings, results, or recommendations.</li> <li>• Documentaries about the project/program, both general and educational</li> <li>• Media kits about the results, findings, results, lessons, or recommendations</li> <li>• News releases, including press and video, about the results, findings, results, lessons, or recommendations</li> <li>• Official correspondence directly related to grant deliverables (examples include, but are not limited to: comments submitted to any local, state, or federal agency concerning rule-making/regulatory issues, letters to agencies requesting enforcement actions related to existing laws, letters directed to corporations requesting changes to corporate practices)</li> <li>• Photographs of activities supported by the project/program with signed photo releases for those pictured, and a copyright release to RWJF from the photographer</li> <li>• Print or internet coverage (<i>see Special Instructions, below</i>)</li> <li>• Project or program website URLs</li> <li>• Television and radio coverage, including interviews with project/program staff</li> <li>• Promotional materials that have a substantial educational purpose and create awareness of the project/program</li> <li>• Videos or audio files for items appearing on external websites such as YouTube that have a substantial educational purpose and create awareness of the project/program</li> </ul>
What NOT to Submit	<ul style="list-style-type: none"> <li>• Announcements of grant/contract awards or hiring of personnel</li> <li>• Awards, plaques, and certificates</li> <li>• Responses to blog entries</li> <li>• Brochures</li> <li>• Multiple copies of the same internet, radio, or TV coverage</li> <li>• Newsletters</li> <li>• Photographs without releases from those pictured and copyright release from the photographer</li> <li>• Photographs of meetings or photographs that are too dark or small to be viewable</li> <li>• Posters, brochures, or other materials of a promotional nature that do not have a substantial education purpose or create awareness of the project/program</li> <li>• Video and audio files that do not have a substantial educational purpose or create awareness of the project/program</li> <li>• T-shirts, mugs, pens, or other promotional give-away items</li> </ul>

## Electronic Submission Standards

*For Reports and Grant Products*

Special Instructions	<p><b>Website URL:</b> Include the URL of the project/program’s website in an email to <a href="mailto:grantreports@rwjf.org">grantreports@rwjf.org</a></p> <p><b>Interviews:</b> Include in the body of the email the name of the person interviewed and the date of the interview.</p> <p><b>Digital images:</b> Include in the body of the email the general subject matter, names of people in the photograph, location, date taken, photographer name, and contact information. Be sure to include a signed release from each person in the image, along with a signed copyright release form from the photographer.</p> <p><b>Print or internet coverage:</b> Make a selection of the coverage you think is most important (if similar coverage ran in different publications, only include one example). RWJF considers newspapers in dateline cities and state capitals to be important news sources. Scan it, save it as a PDF document, and send it as the product type Print or Internet Coverage.</p> <p>Create a Cover Page for this coverage that lists all the coverage by date order as follows: “Title of the article,” Name of the newspaper or other publication, date it appeared (month, day, year).</p>
Document Type	GPcomm
File Naming Example	55222GPcomm_01.ext

## Electronic Submission Standards

For Reports and Grant Products

Product Type: Presentations, Proceedings, and Testimony	
Description	Materials produced in connection with sponsored meetings or workshops about the award-funded project/program, as well as presentations and testimony given elsewhere.
What to Submit	<ul style="list-style-type: none"> <li>• Poster presentations about the results, findings, and recommendations of the project/program</li> <li>• Proceedings or summary of a sponsored meeting or workshop</li> <li>• Testimony containing research findings from the project/program and/or results/recommendations from implementation of the project/program, submitted with a Testimony Reporting Coversheet available at <a href="http://www.rwjf.org/content/dam/files/rwjf-web-files/GranteeResources/RWJF_TestimonyCoversheet.pdf">http://www.rwjf.org/content/dam/files/rwjf-web-files/GranteeResources/RWJF_TestimonyCoversheet.pdf</a></li> <li>• Video recordings for sponsored conferences only</li> </ul>
What NOT to Submit	<ul style="list-style-type: none"> <li>• Audio recordings of conferences, workshops, and webinars</li> <li>• Conference or workshop agendas</li> <li>• Conference evaluations or survey forms</li> <li>• Conference handouts (e.g. journal articles, biographies of speakers)</li> <li>• Materials related to the logistics of the event, such as lists of attendees or room layouts</li> <li>• Materials that report on activities peripheral to the results of the award-funded project/program</li> <li>• Presentation slides with and without notes</li> <li>• Testimony <i>not</i> accompanied by a Testimony Reporting Coversheet</li> </ul>
Special Instructions	<ul style="list-style-type: none"> <li>• <b>Proceedings and Summaries of Meetings:</b> In the body of the email, include the URL if proceedings/summary is available online</li> <li>• <b>Testimony:</b> Submit with a Testimony Reporting Coversheet available at <a href="http://www.rwjf.org/content/dam/files/rwjf-web-files/GranteeResources/RWJF_TestimonyCoversheet.pdf">http://www.rwjf.org/content/dam/files/rwjf-web-files/GranteeResources/RWJF_TestimonyCoversheet.pdf</a>. RWJF will not accept testimony submitted without the Coversheet.</li> </ul>
Document Type	GPmeeting
File Naming Example	55222GPmeeting_01.ext

## Electronic Submission Standards

*For Reports and Grant Products*

Product Type: Reports	
Description	Analysis, synthesis, evaluation, research findings, results of the work, conclusions, recommendations, strategy, lessons learned, data analysis of the award-funded project/program
What to Submit	<ul style="list-style-type: none"> <li>• Background papers prepared for discussion at a sponsored conference or workshop held by the grantee or other organizations (whether compiled in published form or not)</li> <li>• Case studies</li> <li>• Charts and chartpacks, including maps</li> <li>• Evaluation reports</li> <li>• Fact sheets</li> <li>• Issue, policy, and research briefs</li> <li>• Literature reviews</li> <li>• Reports and monographs and their executive summaries (if published separately)</li> <li>• Survey and poll reports</li> <li>• Survey instruments</li> <li>• Syntheses</li> <li>• Theses</li> </ul>
What NOT to Submit	<ul style="list-style-type: none"> <li>• Annual reports of the organization that received the award</li> <li>• Raw data</li> </ul>
Special Instructions	<ul style="list-style-type: none"> <li>• <b>Data tapes:</b> Email the status of the tape's preparation for the Inter-university Consortium for Political and Social Research (ICPSR) at the University of Michigan and the URL information. Do not send the tape to RWJF.</li> <li>• <b>Published item:</b> In the body of the email, include the year of publication and title of the publication.</li> <li>• <b>Unpublished item:</b> In the body of the email, state Not to be distributed.</li> </ul>
Document Type	GPreport
File Naming Example	55222GPreport_01.ext

## Electronic Submission Standards

*For Reports and Grant Products*

Product Type: Toolkits	
Description	Materials created by the award-funded project/program and used to instruct or deliver educational content it created
What to Submit	<ul style="list-style-type: none"><li>• Evaluation tool or document giving instruction or guidance about how to perform evaluations</li><li>• Guides, manuals</li><li>• Toolkits, tool boxes</li><li>• Training materials or educational software</li></ul>
What NOT to Submit	<ul style="list-style-type: none"><li>• Curriculum and class materials</li><li>• Generic, common knowledge, compilations of previously published material</li><li>• Multiple copies of identical materials provided at different locations</li><li>• Training class satisfaction surveys</li></ul>
Special Instructions	In the body of the email, describe the contents of the materials and the intended audience
Document Type	GPtoolkit
File Naming Example	55222GPeducation_01.ext

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