

**UNIVERSITY OF COLORADO SCHOOL OF MEDICINE (CUSOM)
CLINICAL AND OPERATIONAL EFFECTIVENESS AND PATIENT SAFETY (COEPS)
SMALL GRANTS PROGRAM POLICY & PROCEDURES**

Brief Description:	Policies and procedures regarding the awards from the COEPS Small Grants Program for QI efforts at CHCO.
Effective:	August 1, 2020
Approved by:	Daniel Hyman, MD, MMM, COEPS Small Grants Program Director
Responsible Office:	University of Colorado School of Medicine
Policy Contact:	Maggie Sommers, COEPS Small Grants Program Manager
Supersedes:	Version 3.3.21.18
Last Reviewed/Updated:	July 8, 2020
Summary of Changes:	Added policy for equipment purchases. Updated links to policies and websites.
Applies to:	COEPS Small Grants Program award recipients

I. INTRODUCTION

The CU School of Medicine (CUSOM) and Children's Hospital Colorado (CHCO) are committed to providing the highest quality of care to our patients. The existing partnership between faculty, leadership and staff has been an essential element in the many successes advancing the quality and safety of care provided at CHCO. We strive for excellence in the Institute of Medicine (IOM) Six Core Competencies for Quality Patient Care, which are: patient centeredness, interpersonal and communication skills, professionalism, systems-based practice, practice-based learning and medical knowledge. Our goal is to do the right thing for the right patient at the right time and for the right price. This grant program, now in its 9th funding cycle, encourages initiatives that put evidence into practice, implement innovative process improvements, and/or enhance skills and knowledge of healthcare providers, with the goals of improving patient safety, and/or enhancing the quality and cost-effectiveness of health care delivery. Beginning in 2017, the COEPS Small Grants Program opened to eligible resident and fellow-led projects based at CHCO. The COEPS Program will promote resident and fellow participation and leadership of quality and safety initiatives within CHCO. Secondly, this program will support and promote faculty development of skills in mentoring trainees in quality and safety innovation projects.

II. POLICY STATEMENT

A. Award Description

The COEPS Small Grants Program may award a maximum of \$25,000 to CUSOM faculty and up to \$10,000 to residents and/or fellow based at CHCO conducting QI work aimed at improving patient safety, and/or enhancing the quality and cost-effectiveness of health care delivery. The award period is one academic year, typically beginning on or around August 1st.

B. Applying for Award

For each new award year, the Request for Proposals (RFP) will be sent out to the CUSOM system (in multiple delivery methods) in February of that year. To see the full RFP, visit the COEPS Small Grants Program website.

Faculty Applicants: The guidelines state the applicants must be SOM faculty (CHCO staff and faculty from other schools can serve as Principal Investigator (PI) if partnered with SOM faculty); no funds may offset SOM/CHCO faculty (some exceptions) or staff salaries (Professional research assistants (PRA) and consultants may be paid from these funds); projects should utilize multidisciplinary approaches and make explicit use of QI methodologies when possible; the grant process will not support the development of new technologies and the application of them into medical practice (translational research); the project must include but need not be limited to CHCO clinical programs; and grantees need approval from CHCO managers/practice directors in clinical areas where the project will be conducted.

Resident/Fellow Applicants: The guidelines state the applicants must be a resident or fellow in *good standing* in a CUSOM GME accredited residency or fellowship. Applicants must provide a letter of support from a SOM faculty member with privileges at CHCO who is willing to serve as a project mentor for the project.

1. Letters of Intent (LOI) – The LOI's will be due approximately the first week of April of the award year. All LOI applications must be submitted online and will include: project goals and specific objectives; background and significance; project design (setting, population, measures and how obtained and intervention); timeline; and anticipated cost. The COEPS Small Grants Committee will meet approximately two weeks after the LOI deadline to review the proposals.

Resident and/or Fellow-led projects must include a letter of support from the designated mentor. This letter must include:

- Relationship to resident/fellow applicant (project mentor, program director, etc.)
- Description of how faculty will provide support to applicant (e.g. plans for regular meetings, etc.)
- Provide a copy of the faculty mentor's CV

LOI's will be rated on the following criteria: importance (magnitude/scope, alignment with institutional goals), impact (expected outcomes, processes and cost), feasibility (PI and project team, resources, timeframe) and approach (QI methodology, multidisciplinary, innovative). Within two weeks, the grant committee will contact selected applicants to submit a detailed 10-page proposal due approximately the first week of June of the award year.

2. Full Grant Proposals – The grant proposals will be due approximately the first week of June of the award year. All grant applications must be submitted online. The proposal must be a maximum of 10 pages (including data and references) and include an abstract (1/2 page); goals, AIM and objectives (1/2 page); background/motivation/impact (1 page); project design and procedures (5-6 pages), including setting, target population, performance measurement, intervention, data analysis and limitations; timeline (1/2 page); itemized budget (1/2 page); quality improvement status (<1/2 page); team (<1/2 page); future plans and sustainability (1/2 page); references.

Grant proposals will be rated on the following criteria: importance (magnitude/scope, alignment with institutional goals), impact (expected outcomes, processes and cost),

feasibility (PI and project team, resources, timeframe) and approach (QI methodology, multidisciplinary, innovative). Within two weeks, the grant committee will contact all applicants regarding their proposal. The response letter will either be an approval, a conditional approval requesting follow-up information, or a denial. In the case of a conditional approval, the applicant will be asked to submit additional documentation or a revised submission due in 1-2 weeks. The committee will review the new documentation individually without convening. They will discuss the amendment via email and agree or disagree to fund the proposal. In the case of a denial, the committee will provide explanations and suggestions as necessary.

C. Award Timeline

1. The awards will start on approximately August 1 of the award year. The award time period is one year from the award date. If enough progress has been shown and time permitting, a 12-month no-cost extension may be requested. The extension can be requested by submitting the COEPS Small Grants Progress Report, which can be found on the program website. The chart below notes and approximate timeline for the entire award year.

Early February	Request for Proposals released
Early April	LOIs due
Late April	Committee review of LOIs
Late May	Full Grant applications due
Early June	Committee review meeting/request for revisions
Early July	Notification of award
Early August	Funds Disbursement
Late August	Grant Kick-Off Meeting
Bi-Annually	Final Report Presentation Meeting

D. Award Account Set-Up & Maintenance

1. The award will be a Fund 35 Gift – Academic Enrichment Fund (AEF) speedtype account, housed in a CU School of Medicine. The COEPS Small Grants Program manager will request this account using the F35 Fund Request form. The awardee will need to provide the departmental fiscal contact to the COEPS Small Grants program manager. This departmental fiscal contact must have access to CU Marketplace and/or a CU Procurement Card. This identified person must have a CU Employee ID number or a Person of Interest (POI) number. If the awardee does not know who this contact is in their department, assistance can be provided.
2. The following roles will be noted on each F35 speedtype account:
 - a. Project Principal: TBD
 - b. Project Fiscal Manager: Principal Investigator Awardee's departmental fiscal contact
 - c. Project Accountant: Shanelle Roquemore, Gift Accountant in the Office of Grants & Contracts
 - d. Speedtype Fiscal Staff:
 - i. Maggie Sommers, COEPS Small Grants Program Manager
 - ii. Awardee's departmental fiscal contact
 - iii. CUSOM Department of Pediatrics, Grants Program Director and/or Grants Program Associate Director
 - iv. Awardee may also add 1 additional fiscal staff of your choice (total of 5 allowed)

3. Each staff member on the account will be given the role of “Expense system approver/run reports”, unless “read only” status is requested. It is the responsibility of the awardee (and departmental fiscal contact) to maintain this account and ensure spending is done within CU Procurement Service Center guidelines and within the approved budget by the COEPS Small Grants Program.
4. In some cases, a CHCO G0 account may be requested with the CHCO Research Institute (RI). The purpose of a G0 account is to allow spending at CHCO without the use of a PCard or CUMarketplace. Examples of such spending would be: 1) payment for a PRA employed by CHCO, 2) payment for a consultant employed by CHCO, or 3) payment for services or supplies only available at CHCO. If an awardee desires a G0 account, the COEPS Program Manager will determine if it is appropriate, then if so, will initiate the creation of the G0 account with the Senior Post-Award Accountant within the RI.

G0 accounts use accrual accounting, not cash accounting. This means funds are NOT transferred from the UCD speedtype account into the G0 account. The balance noted on G0 accounts is the maximum limit (i.e., the award amount) that can be spent and does not reflect the true remaining balance of the award. The RI will invoice the COEPS Program Manager on a monthly basis for reimbursement of the G0 account spending. The COEPS Program Manager will provide PI with bi-annual financial reports (or as requested) including spending items in both UCD speedtype accounts and G0 accounts. It is the responsibility of the awardee (and departmental fiscal contact) to maintain and monitor all accounts to ensure spending is done within CU Procurement Service Center guidelines, within CHCO Policy and within the approved budget by the COEPS Small Grants Program. Spending should not exceed the award amount.

E. Spending Guidelines

1. In addition to following the spending guidelines of the CU Procurement Center, the COEPS Small Grants Program has additional guidelines based on recommendations from the COEPS Small Grants Committee and the SOM Dean’s Office.
 - a. Allowed Expenses
 - i. Professional Research Assistant (PRA) / Data Manager (Add approximately 28% fringe for PRA/DM time).
 - ii. Tool Development (e.g., EPIC tools, database development, computer training and video development/training).
 - iii. Consultant (e.g., Statistician, Specialist, Contractor, Designer, etc.) (Standard statistician rates include \$120-\$125/hr. with an average of 20 hours for analysis meeting publication standards)
 - iv. Materials/Equipment (e.g., Printing materials, iPads/tablets, equipment integral to performance of program, etc.)
 - b. Not Allowed Expenses
 - i. Incentives
 - ii. Faculty salary support (this may be allowed if the faculty support is integral to the success of the QI effort)
 - iii. Travel
 - iv. Outside marketing
 - v. Food/Meetings
 - vi. Materials/Equipment or other operational costs that should be funded by the department (e.g., computer equipment for PRA)

vii. Findings dissemination (e.g., conference attendance, etc.)

2. Awardees must spend the funds according to their submitted budget. Any variance must be approved in advance. A written request must be sent to the COEPS Small Grants Director for approval prior to spending.

F. Equipment

1. If the awardee is approved to purchase equipment for their project (e.g. iPads, mannequins, monitors, etc.), the COEPS Small Grant program reserves the right to request that the awardee's home department complete the initial purchase. Once the equipment has been used in the grant, a reimbursement request should be submitted to the COEPS Small Grant Program manager. The reimbursement request must include a copy of the invoice or receipt from the initial purchase. Once the request is received, a G0 invoice will be created to reimburse the department. Note, the purchase must follow the spending guidelines of the CU Procurement Center. Not following guidelines or inability to utilize the purchased equipment as outlined in the grant proposal may result in non-reimbursement.
2. The COEPS Small Grants Program is not responsible for the maintenance of any equipment purchased with grant monies. The awardee's home department must agree to maintain all equipment once the grant cycle ends.
3. The awardee is required to obtain a letter of support from their department agreeing to the above terms.

G. Mentorship

1. A member of the COEPS Small Grants Committee will be assigned to each awardee to act as a mentor for the QI project, if requested. The goal is to foster the successful completion of the QI project in the allowable time with the best outcomes possible. There are no requirements regarding progress reports to the mentor, the mentor is available for assistance when/if needed. For resident and fellow led projects, a mentor must be designated from the home department of the applicant. The mentor must have demonstrated knowledge in QI and provide a letter of support with their commitment to guide the trainee throughout the project.

H. Progress Meetings and Reports

1. Progress meetings will be held as needed. The progress meetings will consist of final reports from past awardees (see section H) and brief updates from current awardees. Attendance is not mandatory, but if you are unable to attend, we ask that you send an alternative project team member in your place.
 - a. The purpose of these progress meetings is to learn from others' challenges and accomplishments, to share common goals and interests, to see the overlap between varying QI projects, to promote collaboration and to provide assistance for challenges regarding the completion of the QI project.
2. The award time period is one year. If sufficient progress has been made, then the awardee may apply for a 12-month no-cost extension. To apply for this extension, complete the COEPS Small Grants Progress Report [here](#), including an update on the progress to date and plans for the remaining time. A copy of this form can be found on the program website.

I. Final Reports & Dissemination

1. At the end of the award period, a report-out presentation will be due. This can be done by providing a PowerPoint presentation to the committee at one of the bi-annual final report meetings.
2. We highly encourage dissemination of the outcomes to both internal departments and to national societies and publications. The COEPS Small Grants Program encourages awardees to present their findings whenever possible, to promote the importance of a program like this. The successful completion of these funded QI projects will help ensure that this program will continue for future awardees.

J. Residual Funds

1. At the end of the award period, any unspent funds will be returned to the COEPS Small Grants Program for use toward future award cycles.

K. Personnel Changes

1. If there is a change to the project leader during the award period, the current leader must contact the COEPS Small Grants Program Director and inform him/her of the decision. The new project leader must assume all responsibilities of the original awardee. To extend grant fund use to the new PI, the following actions must occur:
 - a. Current PI schedules a transition with him/herself, the new PI and the COEPS Small Grants Program Manager.
 - b. Progress to date, current challenges and future plans must be discussed in detail.
 - c. The new PI will sign the COEPS Policy & Procedures acknowledgement statement.

III. DEFINITIONS

CHCO – Children’s Hospital Colorado
 CEPS – Clinical Effectiveness and Patient Safety
 COEPS – Clinical and Operational Effectiveness and Patient Safety
 CUSOM – University of Colorado School of Medicine
 DM – Data Manager
 IOM – Institute of Medicine
 LOI – Letter of Intent
 PI – Principal Investigator
 PRA – Professional Research Assistant
 QI – Quality Improvement
 RFP – Request for Proposals
 RI – Research Institute
 SGP – Small Grants Program
 SOM – School of Medicine
 UCH – University of Colorado Hospital

IV. RELATED POLICIES, FORMS AND OTHER RESOURCES

- A. University of Colorado related Policies and Guidelines - [Equipment](#); Procurement Service Center additional [policies](#).
- B. Forms – See the [Forms](#) page of the website for a complete listing of all program forms.

C. Other Resources

1. The COEPS Small Grants Program encourages you to visit our [webpage](#). The website includes a brief description of the program and upcoming meetings/deadlines, a listing of the committee members, a listing of the previously awarded projects by year, and a forms page.
2. [CCTSI Biostatistics, Epidemiology, and Research Design \(BERD\)](#) is available as a resource for statistical analysis. Please contact the CCTSI Administrative Offices at 720 848 7100 or visit the [Small Grants Consulting](#) page for more information.
3. The [Institute for Healthcare Improvement \(IHI\)](#) has resources to help with the QI project design and implementation, as well as several other helpful resources and tools.

V. HISTORY

- A. The UCH CEPS Small Grants Program was started by the CU School of Medicine Dean's Office in 2007. Since its inception, this program has awarded over \$1,000,000 for over 60 projects. The sister program at Children's Hospital Colorado was started in 2012, after the success of the UCH program was evident. The work from these QI projects has been invaluable to the hospital and its patients. Many awardees have received national recognition for their work. A listing of the past funded projects can be found on the program website.

VI. ACKNOWLEDGEMENT STATEMENT

I have read about the content, requirements and expectations of the COEPS Small Grants Program Policies & Procedures. I have received a copy of this document (paper or electronic) and agree to abide by the policy guidelines as a condition of the COEPS Small Grant award. I understand if I have questions, at any time, regarding this policy or the expectations of the grant award, I will contact the COEPS Small Grants Program Director, Dr. Daniel Hyman, or the COEPS Small Grants Program Manager, Heather Hallman.

Please read the COEPS Small Grants Program Policies & Procedures carefully before signing the acknowledgement statement.

Project Lead Signature:

Date: