Center for Innovation and Research

Funding Support Guidelines

Letters of Intent
Project Proposals
Pre- and Post-Award

Center for Innovation and Research
(A Partnership between Michigan State University and Sparrow Health System)

Prepared October 2015
The following is a full report from the Center for Innovation and Research.

Prepared: October 2015.

Funding Acknowledgement

This project, the Sparrow-MSU Center for Innovation and Research, is supported equally and jointly by Sparrow Health Systems and Michigan State University in order to seek new methods to improve patient care and deliver evidence-based clinical care.

To be used in conjunction with the Center for Innovation and Research Policy Manual.
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The Center for Innovation and Research organizes approximately two announcements per year for investigators to apply for seed funds that will support projects matching the Mission, Vision, and priorities of the CFIR.

The process begins with a call to investigators to submit a Letter of Intent (LOI) for innovative research projects utilizing both MSU researchers and Sparrow clinicians. The LOIs are reviewed by the CFIR Advisory Board, whose suggestions are forwarded to the CFIR Governing Board for decisions for request for full review. Investigators with strong projects are invited to apply for a Full Proposal. The proposals that are submitted are reviewed for merit. The Advisory Board selects the top proposals and makes recommendations to the Governing Board for support.

Additionally, proposals are also accepted on a rolling submission basis. Concept papers and Letters of Intent are likewise accepted on a rolling submission basis.

The following Guideline document provides further information and details on the CFIR grant process.

**Selection of Priorities for Funding Support**

Selection of Priorities for Projects for Center for Innovation and Research

The CFIR Governing Board has deemed the following areas as Priorities for Proposals for the CFIR.

**National Priorities for Health Systems**

The Institute of Medicine (IOM) acknowledges that:

• There is inadequate evidence to guide care
• There is poor health despite excessive health care spending
• The health care system needs expanded capacity
• New knowledge is needed to translate care through use of information technology (IT), systems for continuous quality improvement (QI), and patient engagement for better outcomes that can be achieved through shared decisions.

Institute of Medicine of the National Academies (2011, Institute of Medicine) *The Learning Health System and its Innovation Collaboratives, 12-15*

**CMS Center for Innovation**

• Indicates we need to test models of care that deliver quality care, better health at reduced cost.
• The IOM domains of quality are safety, effectiveness, patient centeredness, timeliness, efficiency, and equity.

**Thus the Priority Research Topics for Center for Innovation and Research Proposals Include:**

• Over-prescribing and over-ordering procedures (Choosing Wisely).
• Patient-Centered Medical Home.
• Readmission reduction.
• Coordination of Care.
• Medication Reconciliation.
• Discharge planning/Care transitions.
• Palliative care/ Timing of palliative care referrals.
• Electronic communication with patients and families.
• The use of technology to improve health care and health outcomes.
• Communication with family and patients to foster understanding of unmet needs.
• Engagement of patients and families as partners in care.
• Safe care by reducing harm from care delivery.
• Assistive mobility technology
• Reduction of disparities in access to care.
• Health disparities
• Decreasing diabetes and obesity in specific populations
• Use of ‘big data’ to inform health care, decision-making, and outcomes

The CFIR has two types of projects that are supported - Research and Translation:
Research Projects – It is anticipated that Research projects will be rapidly developed and deployed so that benefits to patients are realized within a short time cycle. Focus will be on high cost/high risk care situations, patients with multiple chronic diseases, patients in poor health states, and high cost individuals will assume a high priority. Transition care and rehospitalization studies will be considered.

Translation Projects – These projects should address an important problem or critical barrier to progress in health care by revising and refining research to be used for evidence-based practice in current settings. They should provide strong evidence of being able to transform patient care and nursing practices in the Sparrow Health System in regards to safety, quality, outcomes, and cost.

The following guidelines will be divided into Pre- and Post-Award:

**Letters of Intent (LOI) - Research and Translation**

The Letters of Intent announcement provides guidelines and information relevant to the submission of potential research and translation projects. Included in the LOI announcement are the CFIR’s Mission and Vision, priority areas of interest, team member qualifications, project descriptions, formatting guidelines, areas to be addressed, and submission criteria.

- Please see the Research and Translation Letters of Intent announcement guidelines (Appendix A). Copies of the documents are available at the CFIR office, and are also hosted on the CFIR website: [http://sparrowmsuinovations.msu.edu/](http://sparrowmsuinovations.msu.edu/).
- Letter of Intent announcements will be made via email distribution and also through the CFIR website: [http://sparrowmsuinovations.msu.edu/](http://sparrowmsuinovations.msu.edu/).
- It is recommended that Primary Investigators make an appointment with the Director of the CFIR to discuss their ideas.

**Concept Papers**

Concept papers can be 1-2 pages long. The Director will review the information and provide feedback on whether the project is eligible for CFIR support. Concept papers can be sent to Sharon.Baer@Sparrow.org.

**Letters of Intent – Review Process**

The Letters of Intent received at the CFIR office are reviewed by the CFIR Advisory Board. Specific criteria have been established for evaluating both research and translation projects.

Please see the Research Review Scoring Grids and Translation Review Scoring Grids (Appendix A). Copies of the documents are available at the CFIR office.

**Recommendation from Advisory Board**

CFIR Advisory Board members from both MSU and SHS are part of each review. Using the criteria for projects mentioned above, Letters of Intent are evaluated and scored. Based on these evaluations, those viewed as the strongest projects are sent an invitation to submit a Full Project Application.

**Pre-Award Guidelines**

**Research and Translation Proposals**

The Grant Application Instructions provide guidelines and information relevant to the submission of a full research or translation project. Included in the application instructions are requirements and information for eligibility, the funding period, general instructions and expectations, a guide for describing the project, and completing the application.

Please see the Research and Translation for Grant Proposal application instruction guidelines (Appendix B). Copies of the documents are available at the CFIR office, and are also hosted on the CFIR website: [http://sparrowmsuinovations.msu.edu/](http://sparrowmsuinovations.msu.edu/).
Review Process – Proposals

Criteria for Research Proposal Review and Criteria for Translation Proposal Review (Appendix C) are used to evaluate the submitted proposals along with review sheets for Research and Translation (Appendix C).

Copies of the documents are available at the CFIR office, and are also hosted on the CFIR website: http://sparrowmsuinovations.msu.edu/.

Review Process

• Submitted proposals are reviewed by the CFIR Advisory Board.
• The Director takes the Advisory Board’s recommendations to the CFIR Governing Board, for selection of grants to be funded.
• The number of grants funded depends on decisions, priorities, and availability of funds as deemed by the Governing Board.

Notice of Funding/Award –

When a notice of funding is received:

• An Award Letter to the Primary Investigator is provided by the CFIR Director and the Chair of the Governing Board, which includes the following information: Start and end dates of the grant, amount of funding granted, budget specifications, Intellectual Property, report submissions, and acknowledgement of funds. (Appendix D)
• The Chair of the Governing Board will notify the following individuals when the Award Letter has been signed:
  i. Director of the Center for Innovation and Research
  ii. Governing Board members
  iii. Advisory Board members
  iv. College of Communication Arts & Sciences (CAS) financial director
  v. If a grant is from an MSU Primary Investigator, the CFIR will notify the MSU Contract & Grant Administration (CGA).

Post-Award Guidelines

IRB & HIPAA information for Funded Projects:
Prior to release of funding of the award, the following issues should be addressed:
• IRB approval must be obtained and on file at the CFIR office. (IRBs from both from MSU and SHS.)
• Human Subject Training (HIPAA/IRB) Certificates for all team members must be on file at the CFIR office.
• All vendors and service contractors need to be HIPAA compliant.
• Intellectual Property issues must be resolved prior to account set-up. An Interinstitutional Agreement must be signed when appropriate.
  o Interinstitutional Agreement
    An agreement has been established between Michigan State University and Sparrow Hospital System, and possible third parties, regarding collaborative projects. Please see Appendix E.
  o Shared Principles Agreement
    Sparrow and MSU share the principles and goals with respect to research, innovation, and inter-institutional collaboration. Please see Appendix E.

Account Set-up for Funded Projects:
• The CFIR staff will coordinate with the CAS financial director and MSU’s CGA to receive an account number for the PI’s work.
• Subcontract for Sparrow – A subcontract becomes necessary when a Sparrow employee’s time/effort on a project will be included within the scope of their work at Sparrow. The subcontract will be made with Sparrow Health System. (Appendix E)
  o Subcontracts are to contain a Statement of Work (SOW), which includes a description of activities, budget, and timelines relevant to the work that Sparrow employees will be performing. (Appendix F)
  o Other contracts/subcontracts will be used with other entities.
**Post-Award Meetings**

a. **Start-Up Meeting Agenda** - A start-up meeting will be called by the CFIR director in order to review and discuss terms, conditions, space, budget and costs, staffing, timeline, etc. as well as to ensure understanding of the partnerships.

b. **Quarterly Meetings** – Quarterly meetings may be scheduled with the CFIR Director and/or the Advisory Board committee following the start-up meeting, and for the duration of funding, in order to review expenditures progress on the timeline.

c. **Close-out Meeting** – A close-out meeting will be scheduled approximately 60 days prior to the end of funding to review close out requirements.

*Close-out with MSU Budget Account*
- A meeting will occur to review spending in relation to funding and estimate whether funds will be fully expended.
- A review of the final report submission requirements and due date will take place.

**Reporting on Funded Grants**

Two major reports are due for all projects, a six-month report and a final report; however, the Governing Board and/or Advisory Board may ask for reports at other intervals.

Reports are to be provided to the CFIR at requested intervals and will be distributed to the CFIR Advisory Board and the CFIR Governing Board.

- **Reports may be requested at more frequent intervals by the Advisory Board and/or Governing Board.**

- **Six (6) Month Progress Reports:** For all funded projects, a progress report is required for release of final funds. Guidelines for submitting these reports will be provided to all grant recipients.

- **Final Reports**
  A final report of expenditures and a final scientific report must be submitted 30 days following the end of the project funding period. Unexpended funds revert to the Center for Innovation and Research.

- **Writing progress reports is the responsibility of the Principal Investigator.**
  - Sparrow Reports should be submitted to the IRB (as part of the continued review, if necessary, prior to the annual report)

Recipients will agree to complete a follow-up survey at one, three, and five years after the completion of the funding project addressing future activities and funding related to seed funds. The purpose of the survey is to track dissemination activities.

**ACKNOWLEDGEMENT OF FUNDING:** Investigators must acknowledge that this research was funded by the Michigan State University/Sparrow Health System Center for Innovation and Research. This must be on all dissemination formats, posters, manuscripts, presentations, etc.

Poster templates are available at the CFIR office, and are also hosted on the CFIR website: [http://sparrowmsuinnovations.msu.edu/](http://sparrowmsuinnovations.msu.edu/)
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*Post-Award – Policy Manual Guidelines are to be used*
Appendix A - Letters of Intent Announcements & Scoring Grids
CALL FOR CENTER FOR INNOVATION AND RESEARCH

RESEARCH SUPPORT

LETTER OF INTENT ANNOUNCEMENT

The Michigan State University/Sparrow Health System’s Center for Innovation and Research calls upon all investigators to submit a Letter of Intent for Innovative Research projects.

Mission Statement of the Center for Innovation and Research

To collaboratively transform the delivery of health care through implementation and evaluation of research promoting innovative approaches to high quality, safe care, improved patient outcomes, and lower costs.

Vision Statement of the Center for Innovation and Research

The Center will engage in nationally funded projects for the implementation and evaluation of innovative approaches for the delivery of quality, safe care. Within five years, the Center will be nationally recognized for the pursuit of a new innovative paradigm of patient care delivery.

Letters of Intent should support the Mission and Vision of the Center and be consistent with the priority areas.

Priority Areas of Interest include but are not limited to:

- Over-prescribing and over-ordering procedures (Choosing Wisely)
- Patient-Centered Medical Home
- Readmission reduction
- Continuum of care
- Coordination of care
- Medication reconciliation
- Discharge planning/Care transitions
- Palliative care/ Timing of palliative care referrals
- Electronic communication with patients and families
- The use of technology to improve health care and health outcomes
- Communication with family and patients to foster understanding of unmet needs
- Engagement of patients and families as partners in care
- Safe care by reducing harm from care delivery
- Assistive mobility technology
- Reduction of disparities in access to care
- Health disparities
- Decreasing obesity in specific populations
- Use of ‘big data’ to inform health care, decision-making, and outcomes

Priority areas of focus should be in the areas of:

NEUROSCIENCE, NURSING, AND PRIMARY CARE

Interdisciplinary partnerships with active team members from both Sparrow and MSU is a requirement.
(Active means the team member is a key contributor.)

Research Project Letters of Intent are currently accepted on a ROLLING SUBMISSION basis.

The Center for Innovation and Research will review the Letters of Intent and make selections for requests for Full Proposals. Invited applicants will submit Full Proposals approximately 4 weeks after the invitation.

Research Project Letters of Intent must be submitted electronically in WORD format.

For more information or questions, please contact The Center for Innovation and Research by email at:
Guidelines for Letter of Intent for MSU/Sparrow Center for Innovation and Research for Innovative Research Support.

**Research Project Letters of Intent (1-2 pages) should contain:**
Reviewed for Relevance to Mission and Vision and Priority Areas.

1. Aims.
2. Description of study.
3. Significance of study.
4. **Innovation.
5. Relevance to the Mission and Vision of the Center for Innovation and Research should be explained. Relationship to patient care delivery, quality, safety, outcomes, and cost should be described.
6. Relevance to Sparrow Health System.
7. **Speaks to gaps in current scientific knowledge, potential to transform care? (Safety, quality, outcomes, and cost.)
8. One-year proposal timeline.
9. List of research team and affiliation.
10. Budget Estimates – For Research Grants: not to exceed $50K. (There are no indirects.)
11. **Likelihood to lead to another proposal at Federal level. (Include PA #, RFA #, priority lists)

The study should have potential impact beyond Sparrow to the larger Health Care System.

*Please include the following information in your Letter of Intent: Project title, Name of Primary Investigator (PI) with credentials, PI email, PI office phone number, and an alternate phone number.*

*Please electronically submit Letters of Intent to: Sharon.Baer@Sparrow.org*

*Receipt of all documents will be confirmed via e-mail.* If no response has been received within two days after the application deadline, send an e-mail to: Sharon.Baer@Sparrow.org or call 517-364-5730.

- **Documents that are incomplete or not prepared according to the instructions will not be reviewed and will be returned.**

**Priority Criteria for Review**

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Guiding Statements for the Selection of Priorities for Research Projects

**National Priorities**

http://www.iom.edu/Activities/Quality/%7Emedia/Files/Activity%20Files/Quality/VSRT/Core%20Documents/ForEDistrib.pdf

Institute of Medicine of the National Academies (2011, Institute of Medicine) *The Learning Health System and its Innovation Collaboratives, 12-15*

**CMS Center for Innovation Priorities**

http://webcache.googleusercontent.com/search?q=cache:6TzMPexr2vUJ:innovation.cms.gov/about/index.html+CMS+Center+for+Innovation+Priorities,+indicates+we+need+to+test+models+of+care&cd=1&hl=en&ct=clnk&gl=us
### Center for Innovation and Research

(A Partnership between Michigan State University and Sparrow Health System)

**Review Research Scoring Grid**

Center for Innovation & Research Letter of Intent

(Check one for each category)

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<thead>
<tr>
<th>Category</th>
<th>Name of Reviewer:</th>
<th>Date:</th>
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<tbody>
<tr>
<td><strong>Name of PI:</strong></td>
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<tr>
<td><strong>Category</strong></td>
<td><strong>Ratings</strong></td>
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<tr>
<td>Poor</td>
<td>Fair</td>
<td>Good</td>
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<tr>
<td>5</td>
<td>4</td>
<td>3</td>
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</tbody>
</table>

1. **Significance** to patient care: (Delivery, Safety, Quality outcomes, Cost)

1a. Relevance to Mission & Vision of Center

2. **Innovative** (transformative for care)

3. Approach, Description, Measures, Innovation, Sample, Outcome, Recruitment, Retention,

4. **Investigators/Research team** – interdisciplinary - MSU/Sparrow Active members

5. **Likelihood that will lead to funding at national federal level.**
   (Details are to be specified)

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**Most Important**

**RECOMMEND FOR FULL PROPOSAL:** (please highlight choice in yellow)

- YES
- NO

Strengths:

Weaknesses:

Recommendations for Investigator:

<table>
<thead>
<tr>
<th>Score - Descriptor</th>
<th>Additional Guidance on Strengths/Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - Exceptional</td>
<td>Exceptionally strong with essentially no weakness, innovative and strong team</td>
</tr>
<tr>
<td>2 - Very Good</td>
<td>Strong but with numerous weaknesses, innovative</td>
</tr>
<tr>
<td>3 - Good</td>
<td>Some strengths but with moderate weaknesses</td>
</tr>
<tr>
<td>4 - Fair</td>
<td>Few strengths with numerous weaknesses. Not an innovation.</td>
</tr>
<tr>
<td>5 - Poor</td>
<td>Numerous weaknesses. Not an innovation.</td>
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</table>

CFIR Guidelines – draft 11/20/15
CALL FOR CENTER FOR INNOVATION AND RESEARCH

TRANSLATION AND IMPLEMENTATION LETTER OF INTENT ANNOUNCEMENT

The Michigan State University/Sparrow Health System’s Center for Innovation and Research calls upon all investigators to submit a Letter of Intent for Innovative Translation projects.

Mission Statement of the Center for Innovation and Research
To collaboratively transform the delivery of health care through implementation and evaluation of research promoting innovative approaches to high quality, safe care, improved patient outcomes, and lower costs.

Vision Statement of the Center for Innovation and Research
The Center will engage in nationally funded projects for the implementation and evaluation of innovative approaches for the delivery of quality, safe care. Within five years, the Center will be nationally recognized for the pursuit of a new innovative paradigm of patient care delivery.

Letters of Intent should support the Mission and Vision of the Center and be consistent with the priority areas.

Priority Areas of Interest included but not limited to:
- Over-prescribing and over-ordering procedures (Choosing Wisely)
- Patient-Centered Medical Home
- Readmission reduction
- Continuum of care
- Coordination of care
- Medication reconciliation
- Discharge planning/Care transitions
- Palliative care/ Timing of palliative care referrals
- Electronic communication with patients and families
- The use of technology to improve health care and health outcomes
- Communication with family and patients to foster understanding of unmet needs
- Engagement of patients and families as partners in care
- Safe care by reducing harm from care delivery
- Assistive mobility technology
- Reduction of disparities in access to care
- Health disparities
- Decreasing obesity in specific populations
- Use of ‘big data’ to inform health care, decision-making, and outcomes

Priority areas of focus should be in the areas of:

NEUROSCIENCE, NURSING, AND PRIMARY CARE

Interdisciplinary partnerships with active team members from both Sparrow and MSU is a requirement.
(Active means the team member is a key contributor.)

Translation Project Letters of Intent are currently accepted on a ROLLING SUBMISSION basis.

The Center for Innovation and Research will review the Letters of Intent and make selections for requests for Full Proposals. Invited applicants will submit Full Proposals approximately 4 weeks after the invitation.

Translation Project Letters of Intent must be submitted electronically in WORD format.

For more information or questions, please contact The Center for Innovation and Research by email at: Sharon.Baer@Sparrow.Org or by calling 517-364-5730.
Guidelines for Letter of Intent for MSU/Sparrow Center for Innovation and Research for Innovative Translation Support.

**Translation Project Letters of Intent (1-2 pages) should contain:**
Reviewed for Relevance to Mission and Vision and Priority Areas.

1. Objectives.
2. Description of study – Practice question.
3. Significance of study/Strength of Evidence.
4. **Innovation.**
5. Relevance to the Mission and Vision of the Center for Innovation and Research should be explained. Relationship to patient care delivery, quality, safety, outcomes, and cost should be described.
6. Relevance to Sparrow Health System.
7. **Speaks to potential to transform care? (Safety, quality, outcomes, and cost.)**
10. Barriers to Implementation.
12. List of team and affiliation.
13. One-year proposal timeline.
14. Budget Estimate – not to exceed $25K. (There are no indirects.)

The study should have potential impact beyond Sparrow to the larger Health Care System.

*Please include the following information in your Letter of Intent: Project title, Name of Primary Investigator (PI) with credentials, PI email, PI office phone number, and an alternate phone number.*

*Please electronically submit Letters of Intent to:* Sharon.Baer@Sparrow.org

*Receipt of all documents will be confirmed via e-mail.* If no response has been received within two days after the application deadline, send an e-mail to: Sharon.Baer@Sparrow.org or call 517-364-5730.

- **Documents that are incomplete or not prepared according to the instructions will not be reviewed and will be returned.**

**Priority Criteria for Review**

---

**Guiding Statements for the Selection of Priorities for Translation Projects**

**National Priorities**
http://www.iom.edu/Activities/Quality/~/media/Files/Activity%20Files/Quality/VSRT/Core%20Documents/ForEDistrib.pdf
Institute of Medicine of the National Academies (2011, Institute of Medicine) *The Learning Health System and its Innovation Collaboratives*, 12-15

**CMS Center for Innovation Priorities**
http://webcache.googleusercontent.com/search?q=cache:6TzMPexr2yUJ:innovation.cms.gov/about/index.html+CMS+Center+for+Innovation+Priorities,+indicates+we+need+to+test+models+of+care&cd=1&hl=en&ct=clnk&gl=us
### Review Translation Scoring Grid

**Center for Innovation & Research Letter of Intent**

*(Check one for each category)*

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<td>4. Approach, Description, Measures, Innovation, Sample, Outcome, Recruitment, Retention, Timelines, Analysis Plan</td>
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<td>5. Evaluation Plan of Effectiveness of Implementation.</td>
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<td>6. <strong>Investigators/Research team</strong> – interdisciplinary - MSU/Sparrow Active members Capacity to write grant &amp; carry out study.</td>
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<td>7. <strong>Likelihood that will lead to additional funding</strong> (details are to be specified) or can be translated and broadly implemented</td>
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**Most Important**

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**Weaknesses:**

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Appendix B – Grant Proposal Guidelines
2014 Research Support Proposal

APPLICATION INSTRUCTIONS

Application Submission Due: ____________

Applications must be submitted electronically in WORD format* to:
The Center for Innovation and Research by email at:
Sharon.Baer@Sparrow.Org

*Your application in its entirety (to include Biosketches, Letters of Support, etc.) may be scanned into a PDF file; however, the following pages must also be submitted in Word: Abstract Page, Purpose and Specific Aims/Innovation Page, and Pages 2-7.
RESEARCH PROPOSAL GUIDELINES

DEADLINE DATES:
• Proposals due: Date to be determined each semester.

PURPOSE OF GRANT:
The purpose of the Center for Innovation and Research is to support health care delivery research that will affect patient outcomes, safety, quality and cost. Research projects may include pilot or feasibility studies or a new area of research. The research must address the Mission and Vision of the Center of Innovation and Research.

All research grant awards are up to $50,000. Grants target specific areas of focus.

There are no indirects.

The intent of these funds are to obtain preliminary work to lead to federal level funding (NIH, NSF, DOD).

Training grants, marketing, staffing, or equipment purchase grants will not be supported. These funds are not to be used for instrument development nor developing software apps.

ELIGIBILITY:
The principal investigator must actively be a clinician or researcher from MSU or Sparrow. Active team members must be from each site. (Consultants are not generally considered active key personnel.) Funding preference will be given to research projects that focus on health care quality, patient outcomes (including safety), and cost. Outcome variables must be specific and clear, and questions or Aims clear.

FUNDING PERIOD:
The maximum funding period is one (1) year from the receipt of the award notification. “No cost” extensions will not be permitted. Funding will be given in two increments. The second part of the funds will be awarded only after a receipt of 6 month report demonstrating progress.

GENERAL INSTRUCTIONS:
• All projects should have a scientist as a co-investigator who has an established track record of independent (extramural) research funding. The team must include investigators from MSU and Sparrow.
• One of the goals of the Center for Innovation and Research is to develop partnerships of researchers/clinicians at MSU and Sparrow who can go on to submit grant proposals for external/extramural funding. (National Institute of Health [NIH], Agency for Healthcare Research and Quality [AHRQ], Department of Defense [DoD], National Science Foundation [NSF], Blue Cross Foundation, Heart Failure Society of America, American Lung Association, and other Foundations.)
• Partners from MSU and Sparrow need to have a specific and active role and not just be a consultant or receive an honorarium. They need to be an integral, active, and on-going team member.
• Consultants can be included; they just do not count as the desired partnership.
• Data should be stored on a secure network drive with appropriate back-up and intrusion protection.
• Patient data for CFIR research must be kept for three (3) years, and the CFIR must retain a copy of the data. Ownership of the data resides with the CFIR.
  o Patient consents should be kept in a locked location. Locked files are available at the CFIR office.
  o Consents must be filed and locked in a separate location from other data.
  o Other information, separate from the patient consents, can also be stored in locked files in the CFIR office.
  o Hard Copy/Patient Consents

EXPECTATIONS FOR RECIPIENTS
Two major reports are due for all projects, a six-month report and a final report.
ADDITIONAL REPORTS

Reports are to be provided to the CFIR at requested intervals and will be distributed to the CFIR Advisory Board and the CFIR Governing Board.

- **Reports may be requested at more frequent intervals by Advisory Board and/or Governing Board.**

- **Six (6) Month Progress Reports:** For all funded projects, a progress report is required for release of final funds. Guidelines for submitting these reports will be provided to all grant recipients.
  - Writing progress reports is the responsibility of the Principal Investigator. Reports should be submitted to the Center for Innovation and Research for their office files.
  - Sparrow Reports should be submitted to the IRB (as part of the continued review, if necessary, prior to the annual report)

Six (6) month Progress Reports are to include the following information:
  - Date of report.
  - Timeline progress.
  - Report on activities in statement of work and details on status of project.
  - Budget spending progress.
  - Summary of achieving Specific Aims.
  - Barriers to implementing study.

- **Final Reports**
  - A final report of expenditures and a final scientific report must be submitted 30 days following the end of the project funding period. Unexpended funds revert to the Center for Innovation and Research.
    - Narrative Report – Writing the required narrative report is the responsibility of the Principal Investigator.
    - Financial Report – MSU will prepare the final financial report. The Administrative Assistant will receive a copy of the financial report for review prior to submission to the study sponsor.
    - Reports should be submitted to the Center for Innovation and Research for their files.

Recipients will agree to complete a follow-up survey at one, three, and five years after the completion of the funding project addressing future activities and funding related to seed funds. The purpose of the survey is to track dissemination activities.

**ACKNOWLEDGEMENT OF FUNDING:** Investigators must acknowledge that this research was funded by the Michigan State University/Sparrow Health System Center for Innovation and Research. This must be on all dissemination formats, posters, manuscripts, presentations, etc. Poster templates are available at the CFIR office, and are also hosted on the CFIR website: [http://sparrowmsuinnovations.msu.edu/](http://sparrowmsuinnovations.msu.edu/).

**INSTRUCTIONS FOR COMPLETION OF THE APPLICATION:** Please see the CFIR Website for the Application Instruction Packet information at [http://sparrowmsuinnovations.msu.edu/](http://sparrowmsuinnovations.msu.edu/)

*Please use the provided formats of the attached templates to complete these sections.*

**COVER PAGE:**
- Name of the applicant(s).
- Team of Investigators with Institutional affiliation for each person identified.

**ABSTRACT:**
Provide the following information on the project: (*See Forms Section*)
- At the top of the abstract page, list the title of the project. Limit to 75 characters.
- The abstract should be limited to one page (500 words), using a 1 inch or ½ inch margin. Indicate the number of words in the abstract at the bottom of the page.
- Name of the applicant(s).
- Team of Investigators with Institutional affiliation for each person identified.
• Purpose/Specific Aims/Innovations.
• Rationale/Significance of Study.
• Approaches, Design, Setting, Sample, Methods. Outcomes should be specified.
• Future Funding Opportunity, be specific.

PROPOSAL:
Format:
• The narrative (Purpose/Specific Aim through Data Analysis) is not to exceed 6 single-spaced typewritten pages using a 12-point font (preferably Times New Roman, Arial, or Courier)
• Half-inch margins top/bottom, right, and a ¾ inch left margin.
• The consistent use of one format (American Psychological Association [APA], American Medical Association [AMA], etc.) for the text, citations and reference list is required.
• Please number all pages of the narrative.

PRESENT THE PROJECT NARRATIVE INFORMATION IN THE FOLLOWING ORDER:

TITLE OF PROJECT. Limit to 75 characters.
Purpose/Specific Aims. (SEE FORMS SECTION)
• Purpose and Specific Aims. Clearly state the purpose of the study and list specific aims in numerical sequence. This needs to be in the form of research questions or research aims, not goals and objectives of projects that are not research in nature.
• Innovation: How will this transform Care? Evidence that this deals with a gap in existing science. (SEE FORMS SECTION)
  • Describe how the project challenges existing paradigms or clinical practice; addresses an innovative hypothesis or critical barrier to progress in the field. Describe how the project develops or employs novel concepts, approaches, methodologies, tools or technologies. The service /care recipients need to be in the Sparrow Health Care System. At this point we cannot support community projects.

Background Significance, Rationale, and Review of Literature Approach – (SEE FORMS SECTION, Proposal Pages 2-7).
• The research will contribute to the understanding of human responses and to advances in science or clinical practice. Description should indicate effect on patient outcomes, cost, and quality of care.
• The research should present a succinct, focused, and critical review and synthesis of the literature that provides rationale for need of the study and lack of current evidence.
• The research should identify how the study will address a knowledge gap and contribute to the patient care at Sparrow Health system

Preliminary Work.
Describe any previous research on the topic that has been done by the PI or research team and provide preliminary findings to demonstrate how this is the next step.

Approach, Methods and Design. Use the following subheadings:
• Design. Describe the research design in detail.
  • Indicate if the project is a pilot study and the need for a pilot study. Some reasons for conducting a pilot study include: feasibility, protocol development, safety determination.

• Sample and Settings. Describe the number and type of participants and all sampling and assignment procedures. Provide evidence that patients are available and would participate is important. Indicate the rationale for the sampling process and sample size. Eligibility criteria should be specified. If a power analysis was conducted to justify the sample size, include the results of this analysis.

• Describe the process for recruitment of participants. Identify potential problem areas and include alternative strategies. Provide a rationale for the use of the selected setting(s) and patient population.
Experimental Variables (experimental and quasi-experimental designs). Describe the independent and dependent variables in sufficient detail to allow evaluation of its strength of the measure and clinical soundness. Outcomes and measures have to be clear. A more complete description of the intervention or experimental manipulation may be appended for further clarification. Existing and validated measures should be used.

Instruments. List and describe all instruments and measures, and include a discussion of the validity and reliability of each or other psychometric properties. Describe the scoring methods. Append a copy of all instruments.

Data Collection Schedule and Procedures. Describe how and when data will be collected and any procedures for data collection.

Data Analysis and Interpretation. Describe the statistical or analytic techniques that will be used to answer each research question of the project. Include the name of the statistical support person and their role.

OTHER COMPONENTS OF THE PROPOSAL SUBMISSION PROCESS: (Not part of the 6-page narrative)

Research Priorities and Implications for Practice and Research, (SEE FORMS SECTION)

Describe how the project addresses the Priorities of the Center for Innovation and Research.

- Describe the implications for quality, patient care outcome, cost, and safety.
- Describe how this project will provide the groundwork for seeking additional funding in the future.

Future Funding (SEE FORMS SECTION)

- Be specific and detailed about funding source, including institutes and/or foundations, RFA number or Program announcement number, or page of instructions and strategic plan. Identify future research that may develop from this project. What is the potential for garnering future, extramural support?
- Detail fully how completion of this project will lead to further extramural funding or support, inventions and/or intellectual property, or other benefits to Sparrow and MSU.

Provide 1-2 paragraphs addressing each of the following areas:

- Research on Human/Animal Subjects. The principal investigator must obtain approval from an Institutional Review Board (IRB) or Animal Welfare Committee if the proposed project pertains to human or animal research. The IRB must be registered with the office for Human Research Protections, DHHS and the assurance identification number must be provided as instructed in the application submission process. If approval has been received, list the approval date and upload the approval letter. If approval is pending, indicate this in the appropriate place in the submission process and upload proof of submission to the IRB.

- Describe how informed consent will be obtained and steps taken to protect participants’ rights or the welfare of animals. Identify any potential risks associated with participation in the project.

- Women, Children and Minority Inclusion in Clinical Research. The inclusion of women, children and minorities must be addressed in developing a research design appropriate to the scientific objectives of the study. Provide information on the composition of the proposed study population in terms of sex/gender and racial/ethnic group. Provide a rationale for selection of such subjects.

- Facilities and Resources (Environment). Describe the facilities and resources available to carry out the project at all research sites, e.g., computers, statistical and data management support, access to patients, if relevant.

APPENDICES (Not included as part of the 6-page narrative)

- Reference List. The reference list should follow the format chosen for the project narrative (APA, AMA, Chicago, etc.).

- Timetable for Accomplishing the Work.
The project should be confined to a maximum of one year. Please include a time line with details for benchmarks. The timetable should reflect a realistic work schedule so the project can be completed within the funding period as no “no cost” extensions are permitted. Include milestones. All major activities should be on the timeline.

- **Mandatory Letters of Support:**
  - Partners from MSU and Sparrow need to have a specific and active role and not just be a consultant or receive an honorarium. They need to be an integral, active, and on-going team member.
  - Consultants can be included; they just do not count as the desired partnership.
  - Include letters of support from key administrators and consultants, as necessary, about time and fund allocation.
  - Letters of support should document access to performance sites and research participants, institutional resources committed to the project, and matching funds, if any.
  - Any consultants should describe their role and involvement with the research project.
  - Salary Support or in-kind Personnel. [If requesting salary support for the PI or Co-PI, submit a letter from the individual’s immediate supervisor] that gives assurance that release time will be provided from existing job responsibilities.
  - The period of release time must be specified. The percentage of release time must reflect and discuss the percentage of salary support requested in the budget and/or in-kind personnel contributions.
  - Provide a letter from an appropriate administrator that shows effort will be supported.
  - If there is going to be a change in the kind of personnel used in a department (a new type of personnel), a letter of support from the Department Manager must be supplied.

- **Biographical Sketches for All Key Personnel.** *(SEE FORMS SECTION)*
  - (INVESTIGATORS) Use the PHS Form 398 (6/09) biographical sketch form. Submit a biosketch for the PI and any key participants, e.g., all co-investigator(s), consultant(s), clinician collaborators and mentors. Each biosketch is limited to 2-4 pages. Note that the biosketch personnel statement needs to include the contributions (role) of that person to the grant proposal. (Consultants and statisticians)
  - Name the one individual who is primarily responsible for implementing this proposal and for reporting. Enter your position and institutional address.

- **Instrument(s).** Include all instruments or interview schedules that will be used to collect data. Include any letters of permission to use a copyrighted instrument.

**BUDGET:**
The budget should not exceed $50,000.00. There are no indirects. Other sources of support must be indicated to assure that funding to support the project’s activities, which are in excess of the grant funding, will be met and will not hinder the completion of the project.

The budget must be consistent with the role of the team member and not their current salary. Ex: If their role is as an interviewer, payment will be at the interviewer level, not that of a unit manager.

**The Center for Innovation and Research will not support:**
- Payment of tuition
- Publication costs
- Journal subscriptions or books
- Travel costs to professional meetings
- Software app development
- Institutional indirect costs
- Travel for conference attendance or presentation
- Preparation of posters
- Educational Training
- Equipment purchase, except in situations where that will support better patient outcomes and is central to the proposal. Equipment must be justified and directly related to care.
- Marketing or advertising
• Licenses

• **Total Budget Requested.** The budget requested should not exceed $50,000.00. See the section entitled “Line Item Budget and Budget Justification”. The budget should be planned for one year. Please provide the details of the budget plan.

• **No funds will be released until Institutional Review Board [IRB], Institutional Animal Care and Use Committee [IACUC], or other approvals have been confirmed.** If these are intellectual property areas of concern, these will need to be resolved before the proposal is submitted if possible. Funding will not occur until resolved.

**Budget Justification/Line Item Budget:** *(See Forms Section)*

The justification is a description that includes a justification for all itemized expenses including personnel. Each section of the justification should: (1) list the specific items or project personnel noted below, (2) describe why the items or personnel are essential to the conduct of the study, and (3) include any cost calculations.

One line item budget may be submitted for the entire project or separate budgets are permitted from each performance site. Consortium or contractual arrangements and costs should be itemized. Items labeled as miscellaneous will not be funded. The line item budgets may include the following:

**Personnel:** These funds are not to support summer salaries or salaries to carry over staff while other funding is being sought.

• A description of the activities and role of each person involved in the research project including the principal investigator, co-investigators, consultants, research assistants, secretaries, data collection and data management staff, statistician, etc. Include the percentage of time devoted by each person. If a percentage of any person’s time is to be supported by the institution/another grant or as “in-kind”, indicate and explain in the justification of the budget request for the position.

• All research project personnel, consultants. Include the name, position, % time devoted to project, fringe benefit percent and amount, total fringe requested, and total salary requested.

• Vendors and services, such as survey centers and transcription services, must be HIPAA certified.

• Funds for Sparrow personnel will be provided to Sparrow.

• Subcontracts:
  - Subcontracts with Sparrow may be the mechanism used to pay Sparrow personnel when they are involved.
  - Under those circumstances, a Statement of Work (SOW) will be prepared for those personnel covered in the subcontract.
  - In addition, a Protocol Statement should be attached, which can come from the IRB document.
  - Subcontracts will not be made to companies or vendors that are not registered with Michigan State University and Sparrow Hospital.

**Supplies:**

• Details are needed. Supplies are defined as items with a unit cost of $500 or less. Examples include: photocopying, telephone, postage, computer time, paper, envelopes, transcription machines, cassette tapes, floppy disks, etc.

**Equipment:** Details and Specs are needed.

• Equipment requests should not represent a major portion of the budget or the only budget item. The narrative for equipment requests should: (1) identify the availability of matching funds, if any, or other funds that will contribute to the purchase of the item, (2) explain why the item is absolutely essential to the study, (3) Ownership of the item at the completion of the study will be individually assessed, but will belong to Sparrow or MSU.

• Equipment is defined as items with a unit cost greater than $500.

**Travel:**

• Only travel for data collection and study costs will be considered. Specify the purpose, personnel involved, distance, number of trips, mode of travel, and cost of travel.

• **Conference travel and expenses will not be supported since this is only a one-year project and findings before the end of the project are unlikely.**

**Software:**

• Request purchase of software only if the institution does not provide it. Include the name, version number, and unit cost.
• Development of software apps is not the intended use of these funds.

**Other Expenses:**
• Do not list the expenses as miscellaneous. These must be listed specifically, i.e., lab fees or supplies, lab assays, standardized testing, or reimbursement of study participants.

**Other Support:**
• Identify the total amount of other sources of funding for the study. Specify source, amount and funding period.
• Identify any additional funding that has already been awarded for the proposed study, including any funding obtained by a co-investigator. Explain how the work supported by other sources is different from the present request. Overlaps in funding are generally not funded.

**Pending Funding:**
• If there is other pending funding for the proposed project, identify the amount, agency, and date the funding is expected to be initiated, if awarded. If no additional funding is available or pending for the project, write “Not Applicable” in this section of the narrative. The USPHS Form 398 Page entitled, “Other Support” may be submitted.

**Total Funds Requested** – there are no indirect funds.

**FORMS**  — see CFIR Website, Resources Tab, for complete document of Grant Application Instructions with forms:  [http://sparrowmsuinnovations.msu.edu/](http://sparrowmsuinnovations.msu.edu/)
APPLICATION INSTRUCTIONS

Application Submission Due: ____________

Applications must be submitted electronically in WORD format* to:
The Center for Innovation and Research by email at:
Sharon.Baer@Sparrow.Org

*Your application in its entirety (to include Biosketches, Letters of Support, etc.) may be scanned into a PDF file; however, the following pages must also be submitted in Word: Abstract Page, Purpose and Specific Aims/Innovation Page, and Pages 2-7.
TRANSLATION PROJECTS OVERVIEW

1) THE PRACTICE QUESTION.
   b. List objectives or aims of the translation project for direct patient care.
   c. Determine appropriateness and feasibility to your desired practice setting and describe how patient care will be improved.
   d. Describe the overall strategy and protocol in detail for how it will be implemented. Create an action plan and consider cost and resources, disruption to patient care flow. List specific activities that are needed to be translated into practice.
   e. Describe changes in the system that will need to be made to implement. Is the system ready?
   f. Describe the current status/practice that will be changed. What is the significance for patient care and how will you document improvement from current practices?
   g. What are the threats and barriers to implementation?
   h. Provide evidence that unit administrators and managers will support implementing the protocol.

2) IMPACT ON PATIENT, NURSES, SYSTEM (Outcomes)
   a. How will outcomes be measured? Include description of tools or instruments to be used as well as patient outcomes, quality improvement, cost, and safety. Data will need to be collected on outcomes. Pre-measures should be compared with post outcomes.

3) List team members to be involved. Include a responsibility chart. Who is responsible for implementing each component? What team members are involved?

4) Provide a detailed evaluation plan to determine the value for the patient, staff and system.

5) Include timelines for the project.

TRANSLATION PROPOSAL

DEADLINE DATES:
• Proposals due: Date to be determined each semester

PURPOSE OF GRANT:
The purpose of the Center for Innovation and Research is to support the translation of innovative health care delivery research that will affect patient outcomes, safety, quality and cost. The translation project must address the Mission and Vision of the Center of Innovation and Research and Sparrow Health System. The strong evidence should be from clinical trials that have efficacy documented.

All translation grant awards are up to $25,000.

There are no indirects.

The intent is to use these funds to submit additional funding for other sources such as foundations, dissemination or implementation grants.

Training, staff development, educational grants, marketing, staffing, or equipment purchase grants will not be supported. Translation projects should be directly related to the delivery of patient care.
ELIGIBILITY:
The principal investigator must actively be a clinician or researcher from MSU or Sparrow. Active team members must be from each site. (Consultants are generally not considered active key personnel.) The team has to show clear evidence of working together. Funding preference will be given to translation projects that focus on health care quality, patient outcomes (including safety), and cost. Outcome variables must be specific and clear, and processes for implementation must be clear.

FUNDING PERIOD:
The maximum funding period is one (1) year from the receipt of the award notification. “No cost” extensions will not be permitted. Funding will be given in two increments. The second part of the funds will be awarded only after a receipt of 6 month report demonstrating progress. The intent is that a grant for further funding occur.

GENERAL INSTRUCTIONS:
 Should have a scientist as a co-investigator who has an established track record of independent (extramural) research funding. The team should include investigators from MSU and Sparrow. One of the goals of the Center for Innovation and Research is to develop partnerships of researchers/clinicians at MSU and Sparrow. If not going for extramural funding, include a description of how, if successful, this can be implemented broadly in the Sparrow Health System. It is important to have statistical support to know that the data meets scientific rigor.
 We cannot support community projects at other institutions or with other agencies.
 Partners from MSU and Sparrow need to have a specific and active role and not just be a consultant or receive and honorarium. They need to be an integral active and ongoing team member.
 Consultants can be included; they just do not count as the desired partnership.
 Data should be stored on a secure network drive with appropriate back-up and intrusion protection.
 Patient data for CFIR research must be kept for three (3) years, and the CFIR must retain a copy of the data. Ownership of the data resides with the CFIR.
  o Patient consents should be kept in a locked location. Locked files are available at the CFIR office.
  o Consents must be filed and locked in a separate location from other data.
  o Other information, separate from the patient consents, can also be stored in locked files in the CFIR office.
  o Hard Copy/Patient Consents

INSTRUCTIONS FOR COMPLETION OF THE APPLICATION: Please see the CFIR Website for the Application Instruction Packet information at http://sparrowmsuinnovations.msu.edu/

*Please use the provided formats of the attached templates to complete these sections and follow page limits.

COVER PAGE:
 Name of the applicant(s).
 Team of Investigators with Institutional affiliation for each person identified.

ABSTRACT:
Provide the following information on the project: (See Forms Section)
 At the top of the abstract page, list the title of the project. Limit to 75 characters.
 The abstract should be limited to one page (500 words), using a 1 inch or ½ inch margin. Indicate the number of words in the abstract at the bottom of the page.
 Practice Questions or Objectives.
 Strong Existing Evidence to be Translated, show Strength of Evidence.
 Significance to Practice and Patient Outcomes.
 Rationale/Significance of Study.
 Approaches, Detailed Action Plan, Design, Setting, Methods. (Protocol for Implementation.)
 Potential for Future Broad-Scale Implementation at Sparrow.
PROPOSAL:
Format:
• The narrative (Purpose/Practice Questions through Data Analysis) is not to exceed 6 single-spaced typewritten pages using a 12-point font (preferably Times New Roman, Arial, or Courier)
• Half-inch margins top/bottom, right, and a ¾ inch left margin.
• The consistent use of one format (American Psychological Association [APA], American Medical Association [AMA], etc.) for the text, citations and reference list is required.
• Please number all pages of the narrative.

PRESENT THE PROJECT NARRATIVE INFORMATION IN THE FOLLOWING ORDER:

TITLE OF PROJECT. Limit to 75 characters.

Purpose/Specific Aims. (SEE FORMS SECTION)
• Purpose and Specific Aims. Clearly state the purpose of the study and list objectives in numerical sequence.
• Practice Question
• Innovation: How will this transform Current Care? Evidence that this deals with a gap in existing science. (SEE FORM, NEXT PAGE)
  • Describe how the application challenges and seeks to shift current or existing clinical practice at Sparrow paradigms by utilizing novel approaches or methodologies, or interventions. Describe how refinement, improvement, new application of approaches to care processes, or interventions, will be proposed.

Background Significance, Rationale, and Review of Literature Approach – (SEE FORMS SECTION, Proposal Pages 2-7).
• The description should indicate the effect on patient outcomes, safety, cost, quality of care, impact on nurses and system.
• Describe how the project will address an important problem or a critical barrier to direct patient care.
• Explain how, if the objectives of the project are achieved, patient care will be improved, and/or clinical practice will be improved or transformed.
• Describe how successful completion of the objectives will change the methods, technologies, treatments, services, or interventions that drive patient care, i.e. quality, patient engagement, safety, cost, and outcomes. Clearly articulate the strength of the evidence.
• Identify how the study will contribute to the change or improvement of patient care at Sparrow Health System.

Evidence.
• Describe previous evidence on the topic that has been done in clinical trials, what has worked, and what have been the outcomes (summary of evidence). Is it feasible? How will clinical care be improved? Describe patient outcomes.
• Is it built on strong research evidence? Is evidence provided for translation? Provide strong evidence of benefit.
• The service /care recipients need to be in the Sparrow Health Care System

APPROACH, METHODS AND DESIGN. Use the following subheadings:
• Design. Describe the action plan in detail (a protocol): threats and barriers to implementation/ Plan for Implementation. Protocol to be followed to translate and then implement in practice.
• Sample. Describe the number and type of participants. Provide evidence that patients are available and would participate. Eligibility criteria should be specified.
• Describe the process for implementation with nurses and patients. Provide a rationale for the use of the selected setting(s) and patient population. How will fidelity of the protocol be assured?
- **What adverse events might occur?** What will be required of the practicing nurses, and what changes in the unit/staffing, etc. will be needed to implement?

- **Intervention characteristics.** What is the intervention? Describe the protocol. What is the primary outcome? Will need pre and post measures to show improvement over current practice. Describe the strength of the outcomes measure.

- **A more complete description of the intervention may be appended for further clarification.**

- **Measures.** List and describe all data collection measures, and include a discussion of the validity and reliability of each or other psychometric properties. Append a copy of all assessment measures and citation of use in clinical practice. Existing and validated measures are to be used. Rationale for use of measure should be included.

- **Data Collection Schedule and Procedures.** Describe how and when data will be collected and procedures for data collection and protection of patients. What is the source of the data? What patient record data will be collected?

- **Data Analysis and Interpretation.** Describe the statistical or analytic techniques that will be used to address each objective or practice question of the project. Include statistical support person and role.

- **Team.** Each team needs to have clinicians and researchers. Include a responsibility chart. (At least one team member from MSU and one from Sparrow.) Team members must be actively involved in the project.

- **Staff needed/Who are the team members?** What will be the change in requirements for staffing or staffing needed?

- **Implement Research-Tested Interventions** (previously tested in clinical trials) Is it used broadly in clinical practice elsewhere? Interventions should have the potential to be more widely (than one unit) disseminated within the Sparrow Health System. What barriers do you anticipate?

- **Protocol for implementation should be included (may be in appendix).**

- **Evaluation Plan.** How will success be determined? Specify outcomes for cost, quality, and safety.

**OTHER COMPONENTS OF THE PROPOSAL SUBMISSION PROCESS:** (Not part of the 6-page narrative)

**Priorities and Implications for Practice and Research.** *(See Forms section)*
Describe how the project addresses the Priorities of the Center for Innovation and Research and Sparrow Health System.
- Describe the implications for quality, patient care outcome, cost, and safety.

**Future Dissemination.** *(See Forms section)*
- Detail fully how completion of this project will lead to other benefits to Sparrow and MSU.

**Provide 1-2 paragraphs addressing each of the following areas:**
- **Research on Human/Animal Subjects.** The principal investigator must obtain approval from an Institutional Review Board (IRB) or Animal Welfare Committee if the proposed project pertains to human or animal research. The IRB must be registered with the office for Human Research Protections, DHHS and the assurance identification number must be provided as instructed in the application submission process. If approval has been received, list the approval date and upload the approval letter.
Describe how informed consent will be obtained and steps taken to protect participants’ rights or the welfare of animals. Identify any potential risks associated with participation in the project.

**Women, Children and Minority Inclusion.** Provide information on the composition of the proposed study population in terms of sex/gender and racial/ethnic group. Provide a rationale for selection of such subjects.

**Facilities and Resources (Environment).** Describe the facilities and resources available to carry out the project at all research sites, e.g., computers, statistical and data management support, access to patients, if relevant.

### APPENDICES (Not included as part of the 6-page narrative)

- **Reference List.** The reference list should follow the format chosen for the project narrative (APA, AMA, Chicago, etc.). Should include evidence activities describing trials.

- **Timetable for Accomplishing the Work.**
  - The project should be confined to a maximum of one year. Please include a time line with details for benchmarks. The timetable should reflect a realistic work schedule. No “no cost” extensions are permitted. All major activities should be described on the timeline.

- **Mandatory Letters of Support:**
  - Partners from MSU and Sparrow need to have a specific and active role and not just be a consultant or receive an honorarium. They need to be an integral, active, and on-going team member.
  - Consultants can be included; they just do not count as the desired partnership.
  - Include letters of support from key administrators and consultants, as necessary, about time and fund allocation.
    - Letters of support should document access to performance sites and research participants, institutional resources committed to the project, and matching funds, if any.
    - Any consultants should describe their role and involvement with the research project.
    - Salary Support or in-kind Personnel. If requesting salary support for the PI or Co-PI, submit a letter from the individual’s immediate supervisor that gives assurance that released time will be provided from existing job responsibilities.
    - The period of release time must be specified. The percentage of release time must reflect and discuss the percentage of salary support requested in the budget and/or in-kind personnel contributions.
    - Provide a letter from department chair or supervisor that shows effort will be supported.
    - If there is going to be a change in the kind of personnel used in a department (a new type of personnel), a letter of support from the Department Manager must be supplied.

- **Evidence Tables**
  - Optional, but could be in appendix to document evidence.
  - Using evidence tables will help to prepare literature reviews for translation projects. Please see the CFIR website for examples of evidence tables (listed under the Resource section): http://sparrowmsuinnovations.msu.edu/

- **Biographical Sketches for All Key Personnel. (SEE FORMS SECTION)**
  - (INVESTIGATORS) Use the PHS Form 398 (6/09) biographical sketch form. Submit a biosketch for the PI and any key participants, e.g., all co-investigator(s), consultant(s), clinician collaborators and mentors. Each biosketch is limited to 2-4 pages.
  - Note that the biosketch personnel statement needs to include the contributions (role) of that person to the grant proposal. (Consultants and statisticians)
• Name the one individual who is primarily responsible for implementing this proposal and for reporting. Enter your position and institutional address.

• **Instrument(s)/Measure(s).** Include all instruments or measures that will be used to collect outcome data.

**BUDGET:**
The budget should not exceed $25,000.00. There are no indirects. Other sources of support must be indicated to assure that funding to support the project’s activities, which are in excess of the grant funding, will be met and will not hinder the completion of the project.

The budget must be consistent with the role of the team member and not their current salary. Ex: If their role is as an interviewer, payment will be at the interviewer level, not that of a unit manager.

**The Center for Innovation and Research will not support:**

• Payment of tuition
• Publication costs
• Journal subscriptions or books
• Travel costs to professional meetings
• Software app development
• Institutional indirect costs
• Travel for conference attendance or presentation
• Preparation of posters
• Educational Training
• Equipment purchase, except in situations where that will support better patient outcomes and is central to the proposal. Equipment must be justified and directly related to care.
• Marketing or advertising
• Licenses

• **Total Budget Requested.** Budget requested should not exceed $25,000.00. See the section entitled “Line Item Budget and Budget Justification”. For one year. We need the details.

• **No funds will be released until Institutional Review Board [IRB], Institutional Animal Care and Use Committee [IACUC], or other approvals have been confirmed.** If these are intellectual property areas of concern, these will need to be resolved before the proposal is submitted if possible. Funding will not occur until resolved.

**BUDGET JUSTIFICATION/ LINE ITEM BUDGET:** *(See Forms section)*
The justification is a description that includes a justification for all itemized expenses including personnel. Each section of the justification should: (1) list the specific items or project personnel noted below, (2) describe why the items or personnel are essential to the conduct of the study, and (3) include any cost calculations.

One line item budget may be submitted for the entire project or separate budgets are permitted from each performance site. Consortium or contractual arrangements and costs should be itemized. Items labeled as miscellaneous will not be funded. The line item budgets may include the following:

**Personnel: These funds are not to support summer salaries or salaries to carry over staff while other funding is being sought.**

• A description of the activities and role of each person involved in the research project including the principal investigator, co-investigators, consultants, research assistants, secretaries, data collection and data management staff, statistician, etc. Include the percentage of time devoted by each person. If a percentage of any person’s time is to be supported by the institution/another grant or as “in-kind”, indicate and explain in the justification of the budget request for the position.

• All research project personnel, consultants. Include the name, position, % time devoted to project, fringe benefit percent and amount, total fringe requested, and total salary requested.

• Vendors and services, such as survey centers and transcription services, must be HIPAA certified.
Funds for Sparrow personnel will be provided to Sparrow.

Subcontracts:
- Subcontracts with Sparrow may be the mechanism used to pay Sparrow personnel when they are involved.
- Under those circumstances, a Statement of Work (SOW) will be prepared for those personnel covered in the subcontract.
- In addition, a Protocol Statement should be attached, which can come from the IRB document.
- Subcontracts will not be made to companies or vendors that are not registered with Michigan State University and Sparrow Hospital.

Supplies:
- Details are needed. Supplies are defined as items with a unit cost of $500 or less. Examples include: photocopying, telephone, postage, computer time, paper, envelopes, transcription machines, cassette tapes, floppy disks, etc.

Equipment:
- Details and Specs are needed.
- Equipment requests should not represent a major portion of the budget or the only budget item. The narrative for equipment requests should: (1) identify the availability of matching funds, if any, or other funds that will contribute to the purchase of the item, (2) explain why the item is absolutely essential to the study, (3) Ownership of the item at the completion of the study will be individually assessed, but will belong to Sparrow or MSU.
- Equipment is defined as items with a unit cost greater than $500.

Travel:
- Only for data collection and study costs will be considered. Specify the purpose, personnel involved, distance, number of trips, mode of travel, and cost of travel.
- Conference travel and expenses will not be supported since this is only a one year project and findings before the end are unlikely.

Software:
- Request purchase of software only if the institution does not provide it. Include the name, version number, and unit cost.
- Development of software apps is not the intended use of these funds.

Other Expenses:
- Do not list as miscellaneous. These must be listed very specifically, i.e., lab fees or supplies, lab assays, standardized testing, or reimbursement of study participants.

Other Support:
- Identify total amount of other sources of funding for the study. Specify source, amount and funding period.
- Identify any additional funding that has already been awarded for the proposed study, including any funding obtained by a co-investigator. Explain how the work supported by other sources is different from the present request. Overlaps in funding are generally not funded.

Pending Funding:
- If there is other pending funding for the proposed project, identify the amount, agency, and date the funding is expected to be initiated, if awarded. If no additional funding is available or pending for the project, write “Not Applicable” in this section of the narrative. The USPHS Form 398 Page entitled, “Other Support” may be submitted.

Total Funds Requested – there are no indirect funds.

EXPECTATIONS FOR RECEPIENTS
Two major reports are due for all projects, a six-month report and a final report.

ADDITIONAL REPORTS
Reports are to be provided to the CFIR at requested intervals and will be distributed to the CFIR Advisory Board and the CFIR Governing Board.
- Reports may be requested at more frequent intervals by Advisory Board and/or Governing Board.
Six (6) Month Progress Reports: For all funded projects, progress report is required for release of final funds. Guidelines for submitting these reports will be provided to all grant recipients.

- Writing progress reports is the responsibility of the Principal Investigator. Reports should be submitted to the Administrative Assistant for the Center for Innovation and Research files.
  - Sparrow Reports should be submitted to the IRB (as part of the continued review, if necessary, prior to the annual report)

Six (6) month Progress Reports are to include the following information:

- Date of report.
- Timeline progress.
- Report on activities in statement of work and details on status of project.
- Budget spending progress.
- Summary of achieving Specific Aims.
- Barriers to implementing study.

Final Reports:

- A final report of expenditures and a final scientific report must be submitted 30 days following the end of the project funding period. Unexpended funds revert to the Center for Innovation and Research.
  - Narrative Report – Writing the required narrative report is the responsibility of the Principal Investigator.
  - Reports should be submitted to the Center for Innovation and Research for their files.
  - Financial Report – MSU will prepare the final financial report. The Administrative Assistant will receive a copy of the financial report for review prior to submission to the study sponsor.

Recipients will agree to complete a follow-up survey at one, three, and five years after the completion of the funding project addressing future activities and funding related to seed funds. The purpose of the survey is to track dissemination activities.

ACKNOWLEDGEMENT OF FUNDING: Investigators must acknowledge that this research was funded by the Michigan State University/Sparrow Health System Center for Innovation and Research. This must be on all dissemination formats, posters, manuscripts, presentations, etc. Poster templates are available at the CFIR office, and are also hosted on the CFIR website: http://sparrowmsuinnovations.msu.edu/.

FORMS — see CFIR Website, Resources Tab, for complete document of Grant Application Instructions with forms: http://sparrowmsuinnovations.msu.edu/
Appendix C – Proposal Review Criteria & Review Sheets for Research and Translation Projects
Criteria for Research Proposal Review

Definitions of Criteria for Review

Overall Assessment. Reviewers will provide an overall assessment of the project in consideration of the following review criteria.

1) **Significance.** a) Does the project address an important problem or a critical barrier to progress in health care? b) If the aims of the project are achieved, how will scientific knowledge, technical capability, and/or clinical practice be improved or transformed? c) How will successful completion of the aims change the methods, technologies, treatments, services, or interventions that drive the delivery of health care i.e. quality, safety, cost, outcomes? d) Does the proposed project have commercial potential to lead to a marketable product, or transform the care process????

2) **Investigator(s).** a) Are the PD/PIs, collaborators, and other researchers well suited to the project? Does the project include investigators from MSU and Sparrow? Do they have appropriate experience to carry out the project? b) Do they demonstrate an ongoing record of research or related practice?? c) If the project is collaborative, do the investigators have complementary and integrated expertise?

3) **Innovation.** a) Does the application challenge and seek to shift current research or existing clinical practice paradigms by utilizing novel concepts, approaches or methodologies, instrumentation, or interventions? b) Are the approaches or methodologies, instrumentation, or interventions to one focus area or novel in a broad sense? c) Is a refinement, improvement, or new application of approaches or methodologies, instrumentation, or interventions proposed? Why is the proposal Novel???

4) **Approach.** a) Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific aims of the project? b) Are potential problems, alternative strategies, and benchmarks for success presented? c) If the project is in the early stages of development, will the strategy establish feasibility and will particularly risky aspects be managed? Is there an analysis plan? Are milestones clear? Metrics to measure the outcome exist and are applied and are well developed already tested for validity and reliability? Recruitment plan is described. Attrition expectation is addressed. There is clear articulation of the criteria and measureable goals to ensure that success will be evaluated.

5) **Environment.** a) Will the scientific environment in which the work will be done contribute to the probability of success? Are the institutional support, equipment and other physical resources
available to the investigators adequate for the project proposed? Will the project benefit from unique features of the environment, subject populations, or collaborative arrangement?

6) **Protections for Human Subjects.** The committee will evaluate the justification for involvement of human subjects and the proposed protections from research risk relating to their participation according to the following five review criteria: 1) risk to subjects, 2) adequacy of protection against risks, 3) potential benefits to the subjects and others, 4) importance of the knowledge to be gained, 5) data and safety monitoring for clinical trials, 6) If the project involves clinical research, are the plans for 1) protection of human subjects from research risks, and 2) inclusion of minorities and members of both sexes/genders, as well as the inclusion of children, justified in terms of the scientific goals and research strategy proposed?

**Inclusion of Women, Minorities, and Children.** When the proposed project involves clinical research, the committee will evaluate the proposed plans for inclusion of minorities and members of both genders, as well as the inclusion of children.

**Vertebrate animals.** The committee will evaluate the involvement of live vertebrate animals as part of the scientific assessment according to the following five points: 1) proposed use of the animals, and species, strains, ages, sex, and numbers to be used; 2) justifications for the use of animals and for the appropriateness of the species and numbers proposed; 3) adequacy of veterinary care; 4) procedures for limiting discomfort, distress, analgesic, anesthetic, and tranquilizing drugs and/or comfortable restraining devices; and 5) methods of euthanasia and reason for selection if not consistent with the AVMA Guidelines on Euthanasia.

**Budget and Timeline.** Reviewers will consider whether the budget and the requested period of support are fully justified and reasonable in relation to the proposed research.
RESEARCH PROPOSAL REVIEW SHEET

Name of PI: ____________________________  Name of Reviewer: ______________________________

You are being asked to evaluate the scientific merit of this application, similar to an NIH review. We are requesting your comments no later than ______________.

As a reviewer, you are being asked to consider, score and comment on the following NIH funding criteria. Please assign a score between 1 (exceptional) and 9 (poor) for each section. Comments may be provided on a separate sheet of paper or within the body/margins on the application, whichever is easiest for you.

| Score Key: | 1 – 3 = High Impact | 4 – 6 = Moderate Impact | 7 – 9 = Low Impact |

Section One: Significance for improving health care delivery (patient outcomes, safety, quality cost)

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Section Two: Investigator(s), Include Principal Investigator and Research Team

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Section Three: Innovation transform care? Goes beyond existing science?

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Section Four: How is this study consistent with Vision and Mission of Center for Innovation and Research?

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**Section Five: Approach detailed as to methods, measures, source of data, outcome variables?**

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**Section Six: Environment - Where will the study be done and support of setting to participate?**

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**Section Seven: Potential for Future Funding Lists RFA, PA, and priorities of agency**

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**Section Eight: Budget**

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**OVERALL IMPACT to transform patient care.**

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Thank you for your willingness to assist us by providing an objective, unbiased critique of this work.

Please return this cover sheet along with your comments to Sharon Baer via fax at (517) 364-5735, or email at Sharon.Baer@Sparrow.org. Call Sharon at (517) 364-5730 if you have questions.
Criteria for Translation Proposal Review

Definitions of Criteria for Review

Overall Assessment. Reviewers will provide an overall assessment of the project in consideration of the following review criteria.

1) Significance. Objectives need to be clear. a) Does the project address an important problem or a critical barrier to direct patient care? b) If the objectives of the project are achieved, how will patient care be improved, and/or clinical practice be improved or transformed? c) How will successful completion of the objectives change the methods, technologies, treatments, services, or interventions that drive patient care, i.e. quality, patient engagement, safety, cost, outcomes? Is strength of the evidence articulated clearly?

2) Investigator(s). a) Are the PD/PIs, collaborators, and other researchers well suited to the project? Does the project include involved investigators from MSU and Sparrow? Do they have appropriate experience to carry out the project? b) If the project is collaborative, do the investigators have complementary and integrated expertise as team members?

3) Innovation. a) Does the application challenge and seek to shift current or existing clinical practice at Sparrow paradigms by utilizing novel concepts, approaches or methodologies, or interventions? b) Is a refinement, improvement, or new application of approaches or methodologies, or interventions proposed? Is it built on strong research evidence? Is evidence provided for translation? We need strong evidence of benefit and a clear, detailed protocol of what will be done.

4) Approach. a) Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific objectives of the project? b) Is there a clear action plan? c) Are potential problems, alternative strategies, and benchmarks for success presented? d) Will particularly risky aspects be managed? Is there an analysis plan? Are milestones clear? Metrics to measure the outcome exist and are applied and are well developed already tested for validity and reliability? Include patient outcomes, practices, and system outcomes. Barriers are addressed. There is clear articulation of the criteria and measurable goals to ensure that success will be evaluated, and how will you know it is an improvement from current practice?

5) Environment. a) Are the institutional support, equipment and other physical resources available for the project proposed?
6) **Clear Evaluation Plan** to determine effectiveness on cost, quality, safety, and patient outcomes.

7) **Protections for Human Subjects.** The committee will evaluate the justification for involvement of human subjects and the proposed protections from research risk relating to their participation according to the following five review criteria: 1) risk to subjects, 2) adequacy of protection against risks, 3) potential benefits to the subjects and others, 4) importance of the knowledge to be gained, 5) data and safety monitoring for clinical trials, 6) If the project involves clinical research, are the plans for 1) protection of human subjects from research risks, and 2) inclusion of minorities and members of both sexes/genders, as well as the inclusion of children, justified in terms of the scientific goals and research strategy proposed?

**Budget and Timeline.** Reviewers will consider whether the budget and the requested period of support are fully justified and reasonable in relation to the proposed research. See exclusions for budget support.
Translation Proposal Review Sheet

Name of PI: ____________________________   Name of Reviewer: ______________________________

You are being asked to evaluate the translation merit of this application. We are requesting your comments no later than ______________.

As a reviewer, you are being asked to consider, score and comment on the following criteria. Please assign a score between 1 (exceptional) and 9 (poor) for each section. Comments may be provided on a separate sheet of paper or within the body/margins on the application, whichever is easiest for you.

Score Key:
1 – 3 = High Impact   4 – 6 = Moderate Impact   7 – 9 = Low Impact

| Section One: Significance for improving health care delivery. Clear practice question and objectives. (patient outcomes, safety, quality cost) |
|---|---|---|
| Strengths | • | Score: _____ |
| Weaknesses | • |

| Section Two: Investigator(s), Include Principal Investigator and Research Team |
|---|---|
| Strengths | • |
| Weaknesses | • | Score: _____ |

| Section Three: Innovation to transform care at Sparrow? Is it clear how it changes current care and impact on patient outcomes? |
|---|---|
| Strengths | • |
| Weaknesses | • | Score: _____ |

| Section Four: How is this study consistent with Vision and Mission of Center for Innovation and Research? |
|---|---|
| Strengths | • |
| Weaknesses | • | Score: _____ |

| Section Five: Strength of evidence for research to be translated or applied. Protocol for implementation, clearly specified. |
|---|---|
| Strengths | • |
| Weaknesses | • | Score: _____ |
Section Six: Approach detailed as to methods, feasibility, threats to implementation, data to be collected, measures, source of data, outcome variables (cost, quality, safety)?

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Section Seven: Environment - Where will the study be done, threats to patient care flow, and support of setting to participate? Clear that unit administrators are supportive.

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Section Eight: Evaluation Plan: Discuss how success is measured, outcomes on patients. Comparison with pre-existing baseline outcomes.

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Section Nine: Budget and Timeline

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Section Ten: Potential for Future broad implementation within the Sparrow System.

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Score: xxxxxxxxxxxxx

OVERALL IMPACT to transform patient care. Impact on patient, nurses, system.

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Total Score: _____

Thank you for your willingness to assist us by providing an objective, unbiased critique of this work.

Please return this cover sheet along with your comments to Sharon Baer via fax at (517) 364-5735, or email at Sharon.Baer@Sparrow.org. Call Sharon at (517) 364-5730 if you have questions.
Appendix D – Grant Award Letter
Dear ____________________.

RE: __________________________________________

The review of the application has been completed by the Center for Innovation and Research reviewers. Attached please find our combined review. Please review these comments and use them to make your study stronger.

**Based upon the recommendations of the Advisory and Governing Boards, we are pleased to inform you that we will fund this project effective ____________.** The funding goes from ____________ to ____________. Subject to Institutional Review Board approvals at Michigan State University and Sparrow Health System to protect Human Subjects, we will grant you $______.00 which must be solely used for the purpose of the project entitled __________________________________________________________.

As a recipient of the Center for Innovation and Research’s support, you are bound to the policies and procedures of both Sparrow Health System and Michigan State University.

Use of funds shall be in accordance with the approved grant budget and justification. Any deviations from this must meet approval of the Director of the Center for Innovation and Research. You may make transfers between or among budget categories without prior written approval, provided that (a) the total dollar amount of all changes of any single budget category is less than 15% of the amount in that category; (b) the transfer will not increase or decrease the total budget; and (c) the transfer will not materially change the nature, performance level or scope of the project. All other budget changes require prior written approval from the Director of the Center for Innovation and Research.

- The Center for Innovation and Research does not pay indirect costs.
- Ordering of services and supplies or processing payment should be processed through your departmental staff. A subaccount number will be assigned to your grant.
- Intellectual Property discussion and rights need to be determined and agreed upon in writing prior to the release of funds (patent, copyright, etc.).
- Upon full execution of this award letter, the CFIR’s fiscal office (College of Communication Arts & Sciences) will begin the eTransmittal process for your project and will initiate any subcontracts connected with your award. Once the award is through the transmittal process, it is up to the unit
of the PI to manage the funds and ensure that they are expended in-line with the approved budget. This includes management of all HR actions (appointments, time approvals, cost redistributions) and financial processes associated with the award. The CFIR’s financial office will have oversight of the project’s accounts and will be able to answer any questions that may arise.

- Scott Gascon:
  - smg@msu.edu
  - 517-355-9585
- Robert Nakfoor:
  - nakfoor2@msu.edu
  - 517-432-7206

Following initiation of the grant on ______________ the grantee shall submit a six (6) month report detailing progress and use of funds to the Director of the Center for Innovation and Research. This will be due no later than ______________. The financial reports will show actual expenditures reported as of the date of the report against the approval line-item budget. Financial records pertaining to the grant must be maintained in accordance with generally accepted accounting principles.

The final report is due no later than thirty days from the project end date.

Any publications or presentations shall acknowledge the source of funds as the MSU/Sparrow Center for Innovation and Research, and a copy should be provided to the Center for Innovation and Research.

All collected data, products, and materials are the property of the CFIR and the MSU/Sparrow partnership.

The PI shall provide a written programmatic report within 30 days of the end of the grant. Reports should describe the success toward achieving the grant purposes and any problems or obstacles encountered. Please note any publications or presentations.

- You are required to notify the Director of the Center for Innovation and Research if there are any changes in your plans.
- Please contact the Center for Innovation and Research at your earliest convenience to schedule a start-up meeting.

Congratulations on this award, and we look forward to working with you!

__________________________________________  ______________
Prabu David, PhD  Date
Dean, College of Communication Arts & Sciences, Michigan State University
Chair, Governing Board, Center for Innovation and Research

__________________________________________  ______________
Shelia R. Cotten, PhD  Date
Director, Center for Innovation and Research

I accept the terms and conditions as outlined in this acceptance letter.

__________________________________________  ______________
Name  Date
cc:
Appendix E – Shared Principles Agreement and Interinstitutional Agreement
SHARED PRINCIPLES FOR RESEARCH, INNOVATION, AND INTER-INSTITUTIONAL COLLABORATION

THIS AGREEMENT, "SHARED PRINCIPLES FOR RESEARCH, INNOVATION, AND INTER-INSTITUTIONAL COLLABORATION" ("Agreement"), is entered into as of the first day of September, 2013 ("Effective Date") by and between SPARROW HEALTH SYSTEM and EDWARD W. SPARROW HOSPITAL ASSOCIATION (collectively "Sparrow") and MICHIGAN STATE UNIVERSITY, for its College of Human Medicine ("MSU") (individually, a "Party"; collectively, the "Parties").

RECITAL

WHEREAS, Sparrow and MSU wish to develop and jointly adopt (a) a set of principles to guide future collaborative research projects and other forms of collaboration undertaken by the parties, and (b) a contractual framework to serve as a guide for terms governing intellectual property, publication, and confidentiality in future collaborative research projects.

NOW, THEREFORE, it is mutually agreed as follows:

1. **Shared Principles.** Sparrow and MSU share the following principles and goals with respect to research, innovation, and inter-institutional collaboration:

   - To discover, preserve, and disseminate knowledge;
   - To contribute to the education and training of scholars, scientists, and students;
   - To promote the public availability of the results of research conducted at the institutions and the use of such results for the public benefit, including utilization through commercial development;
   - To recognize and protect the rights and privileges of researchers at our institutions;
   - To recognize and protect the rights and welfare of human subjects participating in research;
   - To advance outreach, engagement, and economic development activities to serve our communities;
   - To encourage academic, governmental, and commercial entities to support and collaborate in research conducted at our institutions; and
   - To recognize and respect each institution’s unique and meaningful contributions to research and innovation.

2. **Contractual Framework.** Sparrow and MSU agree that the implementation of the "Shared Principles" in future collaborative projects is best served by the following terms in the areas of intellectual property, publication, and confidentiality. The Parties note that these terms (subsections A., B., and C.) are not intended to be implemented through the Agreement, but to serve as a template for provisions that will be included in future agreements covering specific collaborative projects. In the event of any conflict between the provisions of this Agreement and the provisions of a separate agreement between the Parties governing a specific collaborative project, the provisions of such separate agreement shall control with respect to such project. Sparrow and MSU understand that certain future collaborative projects may also involve third parties, each with its own intellectual property and confidential
information which must be considered in the provisions of the specific collaboration agreement. Wherever possible, this Agreement will serve as the starting point for specific provisions between Sparrow and MSU with appropriate modifications that reflect the rights of and obligations to third party collaborators.

A. Intellectual Property

Ownership. Ownership of intellectual property generated during collaboration shall vest in the institution(s) whose employees conceived, reduced to practice, authored, or created the intellectual property. With respect to patentable works, inventorship shall be determined in a manner consistent with United States patent law. With respect to copyright works, authorship shall be determined in a manner consistent with United States copyright law. Intellectual property created solely by employees of one Party during the collaboration shall be owned by that Party ("Sole IP"). Intellectual property created jointly by employees of both Parties during the collaboration shall be owned jointly by both Parties ("Joint IP") subject to the terms described below.

Sole IP. Each Party shall have exclusive control over the management, protection, and licensing of its Sole IP. In particular cases and when agreed to in advance, the Parties may agree to provide each other with a non-exclusive, royalty-free license to practice a Party’s Sole IP for non-commercial purposes in connection with the collaboration or a particular field of research in which the Parties regularly collaborate.

Joint IP. Patent costs and licensing revenue from Joint IP shall be shared equally by the Parties. By separate agreement (based on the Parties’ standard Inter-Institutional IP Agreement, a copy of which is attached hereto as Exhibit A), the Parties will mutually agree as to which Party will take the lead responsibility for the prosecution, enforcement, and licensing of Joint IP arising from the collaborative project to which the agreement applies, including, without limitation, the percentage of royalties that the Party responsible for the prosecution of Joint IP may retain before the calculation and distribution of the other Party’s royalty share, which shall in no case exceed five percent (5%). In projects where MSU and Sparrow collaborate with a third party, the rights of and obligations to the third party shall be reflected in the Inter-Institutional IP Agreement applicable to that collaborative project.

B. Public Disclosure of Collaborative Research Results and Attribution

Public Disclosure of Collaborative Research Results. The Parties agree that their respective employees and students shall have the right to publicly disclose, by publication, presentation, or otherwise, in accordance with scholarly practice in the academic community, the results of the Parties’ collaborations. However, to protect both “Confidential Information” (as defined in Section C) of the Parties that may be disclosed during collaboration and Joint IP resulting from a collaboration, the Parties may agree as follows:

• Each Party shall provide to the other for review in advance of the disclosure a copy of each proposed article, presentation, or other public disclosure by its employee(s) or student(s) which includes the result(s) of the collaboration;

• The purpose of the review by the other Party shall be to determine (a) whether the proposed public disclosure includes the reviewing Party’s Confidential Information, and (b) whether the proposed public disclosure would adversely affect the Parties’ ability to secure legal protection for any Joint IP resulting from the collaboration;
• Each Party will provide the proposed public disclosures to the other Party at least (90) days in advance of the date of proposed public disclosure;

• The review of proposed public disclosure for the purposes noted above shall be limited to thirty (30) days;

• If a Party reasonably determines that a proposed public disclosure contains a Party’s Confidential Information, the Party may require the Confidential Information to be removed from the proposed public disclosure; and

• If a Party reasonably determines that the proposed public disclosure would adversely affect the Parties’ ability to secure legal protection for any Joint IP resulting from the collaboration, the Party may request that the public disclosure be delayed by a maximum of sixty (60) days from the date of that determination in order to give the Parties the opportunity to secure legal protection for the Joint IP.

Attribution. Each Party agrees that it will advise its employees and students who participate in collaborations between the Parties of their duty to acknowledge the contributions of the other Party, and the employees of the other Party, in all publications, presentations, and other public disclosures arising out of the collaboration, consistent with standard academic practice for authors of scientific or scholarly publications.

C. Confidential Information

Definition. The Parties agree that “Confidential Information,” as understood and/or defined in any particular collaboration, shall generally be limited to confidential or proprietary information of a Party that is disclosed in oral, written, graphic, or electronic form to the other Party and marked as “confidential” (or, if delivered orally, confirmed in writing delivered within five (5) business days after such oral disclosure to be information intended by the disclosing Party to be confidential). The Parties acknowledge and agree with the general presumption that collaborative research results are not Confidential Information. The Parties further agree that Confidential Information shall exclude that portion of such information that: (a) was already known to the receiving Party, other than under an obligation of confidentiality, at the time of disclosure by the disclosing Party; (b) was generally available to the public or otherwise in the public domain at the time of its disclosure to the receiving Party; (c) became generally available to the public or otherwise part of the public domain after its disclosure to the receiving Party and other than through any wrongful act, fault, or negligence of the receiving Party; (d) is subsequently lawfully disclosed to the receiving Party by a third party; (e) is independently discovered or developed by the receiving Party without the aid, application, or use of the disclosing Party’s Confidential Information; or (f) is required to be disclosed by law, legal process, government agency, or court order.

Duration of Non-disclosure Obligations. The Parties agree that non-disclosure obligations shall be reasonably time-limited. The Parties acknowledge that MSU is subject to Freedom of Information Act (“FOIA”); and this Agreement shall be subject to FOIA.

3. HIPAA Compliance. The Parties acknowledge that Sparrow and MSU through its designated hybrid entity are each a “Covered Entity” for purposes of Health Insurance Portability and Accountability Act, including the Standards for Privacy of Individually Identifiable Health Information found at 45 CFR Parts 160 and 164 subparts A and E, the Standards for Electronic Transactions and Code Sets found at 45 CFR Part, and the Security Standards found at 45 CFR Parts 160 and 164 subparts A and C (“HIPAA”). The Parties agree to comply with HIPAA to the extent HIPAA is applicable hereunder.
4. **Term and Termination.** This Agreement shall be effective on the Effective Date and shall continue in effect for a period of five (5) years. This Agreement may be terminated earlier by mutual written agreement of the Parties or by either Party for any or no reason upon thirty (30) days' prior written notice to the other Party. The term of this Agreement may be extended only by the mutual written agreement of the Parties. The termination of this Agreement shall have no effect on any other agreements entered into by the Parties covering specific collaborative projects, including Inter-Institutional IP Agreements, unless otherwise agreed to in writing by the Parties.

5. **General Provisions**

   A. **Notice.** Any notice, offer, demand or communication required or permitted to be given under any provision of this Agreement shall be deemed to have been sufficiently given or served for all purposes if delivered in person or sent by registered or certified mail, postage and charges prepaid, to the address of the Parties as set forth below.

   B. **Severability.** In the event that any provision of this Agreement is held to be illegal or unenforceable, such provision of this Agreement shall be deemed severed from this Agreement and shall not affect the legality or enforceability of the remaining provisions of this Agreement unless either Party is unable to perform without such provision or unless such omission would be destructive of the intent of the Parties.

   C. **Governing Law.** This Agreement shall be construed and enforced in accordance with, and governed by, the law of the state of Michigan.

   D. **Entire Agreement.** This Agreement constitutes the entire agreement of the Parties with respect to the subject matter of this Agreement. There are no promises, terms, conditions, or obligations, other than those contained herein and this Agreement shall supersede all previous communications, representations, or Agreements, either verbal or written, between the Parties hereto.

   E. **Amendments.** No amendment or modification to this Agreement shall be effective unless the same is in writing and signed by both Parties. Amendments to this Agreement shall be effective as of the date stipulated therein.

   F. **Assignability.** Neither Party may assign its rights or obligations under this Agreement except with the written consent of the other Party. Any attempted assignment in violation of this provision shall be null and void.

   G. **Reference Headings.** Headings used in this Agreement are for convenience of reference only and shall not be used to interpret this Agreement.

   H. **No Third Party Rights.** This Agreement is intended solely for the benefit of MSU and Sparrow, and it shall not be construed to create any benefits for or rights in any other person or entity, including patients, employees and their representatives.

   I. **Force Majeure.** Any failure or delay by a party in the performance of its obligations under this Agreement shall not be deemed a default provided that such failure or delay could not have been prevented by reasonable precautions and cannot be circumvented by the non-performing party through the use of alternate sources or other means to the extent such failure or delay is caused by fire, flood, earthquake, elements of nature or acts of God, court order, public utility failures, acts or war, terrorism, civil disorder or similar causes beyond the reasonable control of such party and without the
fault or negligence of such party ("Force Majeure Event"). Nothing in this section shall be construed as
entitling a party to any delay due to labor disputes with its employees. The party affected by the Force
Majeure Event shall advise the other party in reasonable detail of the event as promptly as possible and
keep the other party reasonably apprised of progress in resolving the event.

J. Non-discrimination. In connection with the performance of services under this
Agreement, the Parties agree to comply with the provisions of the Elliott-Larsen Civil Rights Act, PA 453
of 1976, as amended, the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973 and the
Age Discrimination Act of 1975, and specifically agree not to discriminate against an employee or
applicant for employment with respect to hire, tenure, terms, conditions, or privileges of employment
because of a disability that is unrelated to the individual's ability to perform the duties of a particular job
or position, or because of race, color, religion, national origin, age, sex, height, weight, or marital status.

K. Waiver. Waiver of any part of this Agreement shall not be a waiver of any other part, nor
shall any waiver of a breach of this Agreement in whole or in part constitute a waiver of any other
succeeding breach.

[remainder of this page intentionally left blank]
IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the date(s) set forth below.

MICHIGAN STATE UNIVERSITY

By: 
Title: Director, Contract and Grant Administration
Date: 11/30/2012

SPARROW HEALTH SYSTEM and
EDWARD W. SPARROW HOSPITAL ASSOCIATION

By: 
Title: Executive Vice President and Chief Operating Officer
Date: 10/20/12
EXHIBIT A

INTERINSTITUTIONAL AGREEMENT

This Agreement is dated and effective as of the last date of signature ("Effective Date"), and is by and between MICHIGAN STATE UNIVERSITY (hereinafter "MSU") having an address at 325 East Grand River Ave, East Lansing MI 48823 and SPARROW HEALTH SYSTEM and EDWARD W. SPARROW HOSPITAL ASSOCIATION, non-profit corporations and having their principal offices at 1215 East Michigan Avenue, Lansing Michigan 48912 (hereinafter collectively "INSTITUTION").

[In collaborative projects between MSU and Institution which may also include a third party, the rights and obligations of the third party should be considered and included in this agreement. Provisions will consider the third party funding or other in-kind contributions to the project, use of background intellectual property of the third party, contributions to payment of patent prosecution expenses for any Joint IP by the third party, and other project-specific relevant items. Wherever possible, this template should serve as the guiding principle for the agreement.]

Article I
Background

1.1 Investigators of both MSU and INSTITUTION have jointly invented technology entitled "_________________________" ("Invention"), MSU Technology Number ____________, and INSTITUTION technology number ____________.

1.2 MSU and INSTITUTION ("Parties", or, individually, "Party") desire that MSU administer their respective undivided interests in Invention subject to the terms and conditions of this Agreement.

1.3 MSU and INSTITUTION desire that Invention be successfully and diligently commercially developed and used for the public benefit.

1.4 The purpose of this Agreement is to establish the mutual rights and obligations of the Parties with respect to the Invention.

Article II
Definitions

2.1 "Inventor(s)" shall mean ______________________, either collectively or individually.

2.2 "Patent Rights" shall mean any U.S. patent application (including provisional applications) that might be filed on the Invention, any continuations, divisions, continuations-in-part, and any patents which issue on said application including patents of addition, reissue, or re-examination, as well as any foreign counterparts and any patents which issue thereon.
2.3 “Royalties” shall mean any payments received from licensing or optioning Patent Rights including but not limited to license issue and maintenance fees, minimum royalties, earned royalties, milestone payments, equity and the like, but shall not include payments received for reimbursement of Patent Prosecution Expenses.

2.4 “Patent Prosecution Expenses” shall mean all documented, out-of-pocket expenses incurred by MSU for the preparation, filing, prosecution, and maintenance of Patent Rights.

2.5 “Licensing Expenses” shall mean any reasonable, documented out-of-pocket expenses (exclusive of staff salaries and other fixed costs) incurred by MSU in the marketing and licensing of Patent Rights.

2.6 “Administrative Fee” shall mean a fee equal to ___ percent (___ %) of Royalties to be retained by MSU in consideration of its efforts to administer and license Patent Rights.

2.7 “Net Royalties” shall mean Royalties less (a) the Administrative Fee, (b) any unreimbursed Patent Prosecution Expenses, and (c) any unreimbursed Licensing Expenses.

Article III
Provision and Maintenance of Patent Rights

3.1 Subject to and conditioned on MSU compliance with the restrictions and obligations contained in this Agreement, INSTITUTION grants to MSU the exclusive right to file, prosecute, and maintain Patent Rights. All patent applications filed and patents issued within Patent Rights shall be made in the name of INSTITUTION and MSU, and if such applications are jointly owned, each of which shall have an undivided interest therein.

3.2 MSU shall instruct its patent counsel to provide INSTITUTION with all serial numbers and filing dates, as well as copies of patent applications, office actions and other correspondence that MSU or its patent counsel receives from the U.S. Patent and Trademark Office (“USPTO”), or corresponding foreign patent registration office, with respect to the Patent Rights, and to provide INSTITUTION with copies of all of MSU’s proposed filings with the USPTO, or corresponding foreign patent registration office, with respect to the Patent Rights, including copies of all issued patents. Copies of the above material shall be provided promptly so that INSTITUTION shall have an opportunity to comment.

3.3 MSU and INSTITUTION shall share Patent Prosecution Expenses and Licensing Expenses not reimbursed by licensees: fifty percent (50%) by MSU and fifty percent 50%) by INSTITUTION.

3.4 MSU shall consult with INSTITUTION regarding filing foreign patent applications, and if INSTITUTION notifies MSU in writing that INSTITUTION is not willing to support its share of Patent Prosecution Expenses in any foreign country or region, it will so notify MSU in advance. By so doing INSTITUTION will not be responsible for any such foreign Patent Prosecution Expenses and will thereby relinquish any right to receive Royalties resulting from such foreign filings in such country or region.
3.5 If MSU anticipates the possibility of any extraordinary expenses arising from the preparation, filing, or prosecution of Patent Rights, MSU shall inform INSTITUTION and discuss a mutually acceptable course of action prior to incurring such expenses.

3.6 MSU shall not abandon the prosecution of any patent application (except in favor of a continuation or continuation-in-part application) or abandon maintenance of an issued patent without notifying INSTITUTION in writing at least sixty (60) days in advance of any applicable deadline and allowing INSTITUTION to prosecute such patent application or maintain such issued patent. INSTITUTION may then elect to continue prosecution of such patent application or maintenance of such patent at INSTITUTION's own expense. MSU thereby relinquishes any right to Royalties resulting from such patent application or patent.

3.7 INSTITUTION shall cooperate fully regarding patent filing, prosecution, and maintenance of patent applications and patents under the Patent Rights by promptly executing such documents as MSU may reasonably request. Each Party shall bear its own costs in connection with its cooperation with the other Party under this Section 3.7.

3.8 MSU shall submit to INSTITUTION itemized invoices for fifty percent 50%) of Patent Prosecution Expenses not reimbursed by licensees on a quarterly basis and INSTITUTION shall reimburse MSU within thirty (30) days of date of invoice. If INSTITUTION fails to reimburse MSU within such thirty (30) day period and fails to repair such default within thirty (30) days from the receipt of a second notice from MSU, MSU may construe such default as termination on the part of INSTITUTION pursuant to Section 6.2 of this Agreement.

3.9 Infringement. In the event that a Party becomes aware of the infringement of any patent under the Patent Rights within or outside the United States, it shall notify the other Party in writing. The Parties shall mutually agree as to whether and in what manner to enforce the rights of the Parties, whether by appropriate legal proceeding or otherwise, including without limitation, the settlement or abandonment of any claim either Party may have against any third party, and the sharing of costs related to any agreed upon enforcement action. Each Party shall have the right to independent counsel at its own expense. Any sums recovered with respect to any such action shall be applied first to reimburse out-of-pocket expenses incurred by MSU and/or INSTITUTION relating to the enforcement action, and the remaining sums shall be deemed Royalties hereunder and shall be shared by the Parties as set forth in Article V below. In any infringement suit instituted to enforce the Parties' rights in the Patent Rights pursuant to this Agreement, all Parties shall, at the request and expense of the Party initiating such suit, cooperate in all reasonable respects and, to the extent possible, have its employees testify when reasonably requested and make available relevant records, papers, information, and samples.

Article IV

Licensing the Patent Rights

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Inter-Institutional Agreement  
[Insert Institution Name]
4.1 Subject to and conditioned on the rights reserved in this Article IV, and MSU compliance with the restrictions and obligations contained in this Agreement, INSTITUTION grants to MSU the exclusive right to negotiate, execute, and administer license agreements for Patent Rights.

4.2 MSU hereby agrees to use reasonable efforts to license the Patent Rights in a commercially reasonable manner and in furtherance of the public interest. The mere failure of MSU to consummate a licensing arrangement(s) shall not be deemed a breach of MSU's obligations hereunder. If INSTITUTION becomes aware of a licensing opportunity for the Patent Rights, INSTITUTION agrees to notify MSU of such opportunity.

4.3 MSU shall provide INSTITUTION with copies of all signed license and option agreements and all extensions thereof and amendments thereto.

4.4 MSU shall be responsible for administering all license and option agreements to the mutual benefit of the Parties and shall keep INSTITUTION informed of licensee progress.

4.5 Representations and Disclaimers. INSTITUTION represents that, as of the Effective Date, INSTITUTION has not granted any licenses to the Invention other than ______________. MSU represents that as of the Effective Date, MSU has not granted any licenses to the Invention other than to the U.S. Government. EXCEPT AS EXPRESSLY SET FORTH IN THIS AGREEMENT, TO THE FULLEST EXTENT PERMITTED BY APPLICABLE LAW, MSU AND INSTITUTION DISCLAIM ALL EXPRESS OR IMPLIED CONDITIONS, REPRESENTATIONS AND WARRANTIES; INCLUDING WITHOUT LIMITATION ANY IMPLIED WARRANTIES OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, OR NON-INFRINGEMENT.

4.6 Notwithstanding any other provisions of this Agreement, INSTITUTION and MSU expressly reserve the right to make, use, and practice the subject matter of Patent Rights for its internally-administered programs of teaching, research and public service.

4.7 Neither MSU nor INSTITUTION shall exercise their respective rights to grant any licenses of the Patent Rights except in accordance with the terms and conditions of this Agreement.

Article V
Royalties and Payments

5.1 In consideration of its efforts to administer and license Patent Rights, MSU shall first receive ______ percent (%) of Royalties as an Administrative Fee.

5.2 MSU shall then deduct from Royalties any Patent Prosecution Expenses and Licensing Expense not being reimbursed by a licensee. If INSTITUTION has partially reimbursed MSU for some Patent Prosecution Expenses not being reimbursed by the licensee, both MSU and INSTITUTION shall be reimbursed on a pro rata basis.

5.3 INSTITUTION shall receive fifty percent (50%) of Net Royalties and MSU shall receive fifty percent (50%) of Net Royalties.
5.4 MSU and INSTITUTION shall each be responsible, and solely responsible, for distributing to their respective inventors such share of Net Royalties attributable to the Inventions according to each Party's royalty-sharing policy.

5.5 If reimbursement is received from a third party for Patent Prosecution Expenses that have already been partially reimbursed by INSTITUTION, MSU and INSTITUTION shall both be reimbursed for such Patent Prosecution Expenses on a pro rata basis.

5.6 MSU shall distribute Net Royalties to INSTITUTION bi-annually within thirty (30) days after January 1st and July 1st for the preceding six (6) month period. With such distribution, MSU shall provide a financial accounting showing Royalties received during the six (6) month period, Patent Prosecution Expenses, any reimbursements by licensees, Licensing Expenses, and the share of Net Royalties owed INSTITUTION.

Article VI
Termination

6.1 Unless earlier terminated as provided herein, this Agreement shall terminate upon the last to expire patent included within Patent Rights or upon the abandonment of all Patent Rights.

6.2 Should either Party be in material breach of this Agreement and such breach is not cured within thirty (30) days after receiving written notice thereof from the non-breaching Party, the non-breaching Party may terminate this Agreement at any time by written notice to the breaching Party; and the breaching Party shall not share in any Royalties from the licensing of Patent Rights received after the effective date of such termination.

6.3 Either Party may terminate this Agreement ("Terminating Party") upon sixty (60) days written notice to the other Party ("Non-Terminating Party") but in any event not less than sixty (60) days prior to the date on which any pending action needs to be taken to preserve Patent Rights. The Terminating Party shall still be responsible for its portion of Patent Prosecution Expenses and Licensing Expenses incurred prior to termination and shall continue after termination to cooperate with the Non-Terminating Party as required to prosecute and maintain the Patent Rights.

6.4 The Terminating Party shall relinquish its rights to share in Royalties received from licensing the Invention and Patent Rights after the effective date of termination, and the Non-Terminating Party may administer any existing and future licenses without accounting to the Terminating Party.

6.5 Nothing herein shall be construed to release either party from any obligation or liability that accrued prior to the effective date of termination. The provisions set forth in Sections /4.5 = Representations and Disclaimers; 5.4 = Both parties responsible for distributing to their respective inventors; 5.6 = Distribution of Net Royalties with reports; 6.3 = How to terminate; continue to cooperate; 6.4 = Rights after termination; 6.5 = Continue obligations prior to agreement; survival of provisions; Article VII = miscellaneous/, and any other provisions that by their nature are intended to survive, shall survive termination or expiration of this agreement.

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[Insert Institution Name]
Agreement. Termination of this Agreement shall not affect any license agreement or option agreement for the Patent Rights executed prior to the effective date of termination, and such license agreement or option agreement shall continue in full force and effect.

Article VII
Miscellaneous

7.1 Third Party Funding. The Parties shall each be responsible, and solely shall be responsible, for giving the respective funding sources such notices, reports, and communications as may be required under the terms of the agreement(s) with such funding sources.

7.2 Assignment. During the term of this Agreement, neither Party will assign its interest in this Agreement, the Patent Rights, or the Invention without the prior written consent of the other Party.

7.3 Integration. This Agreement contains the entire understanding of the parties with respect to the subject matter hereof and supersedes all prior or contemporaneous statements, understandings, representations, or agreements, written or oral, by or between the Parties regarding the subject matter.

7.4 This Agreement and may be amended or modified only by mutual written agreement by the Parties executed by an authorized representative of each Party.

7.5 Governing Law. This Agreement shall be interpreted in and according to the substantive laws of the State of Michigan, without reference to its conflicts of laws provisions, except that the scope and validity of any patent application or patent will be governed and enforced by the laws of the applicable country of the patent application or patent.

7.6 Enforcement. The provisions of this Agreement are separable and in the event that any of its provisions are determined to be invalid or unenforceable by a court of competent jurisdiction, such invalidity or unenforceability shall not in any way affect the validity or enforceability of the remaining provisions. No waiver by either Party hereto of any breach or default of any provision of this Agreement shall be deemed a waiver as to any subsequent and/or similar breach or default of that or any other provision.

7.7 Notices. Any notice or payment required to be given pursuant to the provisions of this Agreement will be in writing, will reference this Agreement, and will be deemed to have been properly given when: (a) delivered personally; (b) sent by confirmed facsimile; (c) five (5) days after having been sent by United States mail, registered or certified, return receipt requested, postage prepaid; or (d) one (1) day after deposit with a commercial overnight carrier, with written verification of receipt. All communications will be sent to the following addresses, or another address as may be designated in writing by the parties from time to time during the term of this Agreement:

If to MSU: MSU Technologies
Attn: Executive Director
325 E. Grand River Ave.

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[Insert Institution Name]
7.8 Use of Names. Neither Party may use the name or trademarks of the other Party in any way for advertising, publicity, or promotional materials, without the express written consent of the other Party, provided, however, that MSU has the right to state that it has entered into an agreement with INSTITUTION for purposes of licensing the Patent Rights and to use INSTITUTION's name within license agreements and option agreements negotiated pursuant to this Agreement.

7.9 Headings. The headings used herein are for reference and convenience only and shall not enter into the interpretation hereof.

7.10 Counterparts. This Agreement may be executed in duplicate counterparts, which taken together shall constitute one single agreement between the parties.

[remainder of this page intentionally left blank]
IN WITNESS THEREOF, the parties hereto have duly executed this Agreement on the dates indicated.

MICHIGAN STATE UNIVERSITY

NOT FOR SIGNATURE
By: ___________________________ Date: _____________________
Name: ___________________________
Title: ___________________________

INSTITUTION

SPARROW HEALTH SYSTEM AND EDWARD W. SPARROW HOSPITAL ASSOCIATION

NOT FOR SIGNATURE
By: ___________________________ Date: _____________________
Name: ___________________________
Title: ___________________________
Appendix F – Post-Award Subcontract for Sparrow Reimbursement/Statement of Work (SOW) Sample
SAMPLE

SUBCONTRACT BETWEEN

MICHIGAN STATE UNIVERSITY AND SPARROW HEALTH SYSTEM

This Subcontract is entered into as of the last date of signing by an authorized representative, and is by and between the Board of Trustees of Michigan State University, at 301 Administration Building, East Lansing, Michigan 48824 (“MSU”), and Edward W. Sparrow Hospital (“Subcontractor”). The purpose of this Subcontract is to provide assistance to MSU.

Subcontractor and MSU may be also referred to individually or collectively as “Party” or “Parties.”

I. GENERAL

Subcontractor agrees to exercise its Best Efforts in conducting the activities in accordance with its Statement of Work incorporated into this Subcontract as Attachment A (“SOW”). The SOW is not subject to change in the absence of a written amendment submitted and executed through the mutual consent of both MSU and Subcontractor.

II. DEFINITIONS AND CONTACT INFORMATION

A. Grant - All monies provided as consideration by MSU to the Subcontractor for Project use or distribution not to exceed _____________ ($XX,XXX.00).

B. MSU Subcontract Administrator – The following is designated as the contact to address contractual matters:

   Name of CFIR Director
   Center for Innovation and Research
   1200 E. Michigan Avenue, SPB 305
   Lansing, MI 48912
   Phone; 517-364-5730
   cfir@msu.edu

C. MSU Project Leader - The following person is designated as the MSU project leader and principal investigator for Project matters only; [s]he does not have the authority to agree to any Subcontract section changes:

   Name, Co-Investigator
   Michigan State University
   Title
   East Lansing, MI 48824
   Phone #
   Email

D. Project – all activities performed by Subcontractor in accordance with the requirements and expectations of the SOW.

E. Subcontractor Administrator – The following person is designated as the principal administrator who manages the Project on behalf of the Subcontractor:

   Joe Ruth
   Executive Vice President/Chief Operating Officer- Sparrow Hospital
   Sparrow Professional Building
   1200 E. Michigan Ave, Suite 600
   Lansing, MI 48912
   Phone: 517-364-5000
   Email: Joe.Ruth@sparrow.org

F. Subcontractor Project Leader - The following person is designated as the Subcontractor project leader and principal investigator for Project matters on behalf of the Subcontractor:

   (Project Leader Information)
III. PERIOD OF PERFORMANCE

The period of performance for this Subcontract is **July 1, 2014** through and including **June 30, 2015**. Upon expiration of the period of performance, this Subcontract will not be renewed in the absence of a written amendment signed by the Parties.

IV. PROJECT REPORTING REQUIREMENTS

A. MSU has the right to be advised at all times as to the progress of the activities of the Project. To assure this, the Subcontractor will promptly provide written and verbal reports or other information (1) when requested by the MSU Project Leader and (2) by the date(s) agreed upon by the MSU Project Leader and Subcontractor Project Leader which allow MSU to comply with its deliverables and reporting obligations.

V. INVOICING AND FINANCIAL REPORTING

A. Subcontractor payments will be made upon their submission of invoices for approval by MSU. Subcontractor will submit its invoice no more often than monthly for the period of performance, and each invoice will indicate the actual expenditures, not encumbrances, incurred during this period.

B. If MSU does not provide the form(s) to be used for invoicing purposes, Subcontractor can use its general invoicing format so long as that format reports the: (1) expenditures incurred during the period of performance for which it is invoicing, (2) expenditures to date, (3) balance remaining for each budget line item, and (4) certification as to truth and accuracy of invoice.

All invoices must reference account #AN100002. Failure to include this information may delay processing by MSU.

C. The invoices, with any accompanying documents, are to be sent by Subcontractor to the MSU Subcontract Administrator for review and approval. Subcontractor shall provide MSU with documentation to substantiate its invoice upon request of MSU.

D. Subcontractor shall submit its final invoice and financial report by no later than 30 days from the end of the period of performance marked "FINAL". The final invoice shall report final expenditures incurred by Subcontractor and shall contain a summary of expenses by budget category. In no event shall the final billing of funds exceed the Grant amount specified in Article II of this Subcontract.

VI. CHANGES TO THE SUBCONTRACT

A. Changes to any section or part of this Subcontract must be: (1) agreed upon by written amendment, (2) signed by individuals authorized to sign on behalf of their respective party, and (3) submitted for review and approval before the proposed effective date of the change. Requests for changes to the Subcontract shall be directed to the MSU Subcontract Administrator.

B. Changes to the Project shall be indicated and confirmed by written agreement signed by the Parties, the MSU Subcontract Administrator, and the Subcontractor Project Leader.

VII. TERMINATION

A. Either Party may terminate this Subcontract if it is that Party's decision that termination is in its best interests. Termination in the terminating Party's best interests may be with or without cause or reasons due to the non-terminating Party. The terminating Party will provide no less than thirty (30) day written notice to the non-terminating Party and will provide the reason(s) for its termination at the time notice is given. Such notice will be by certified mail. The notice period will begin the day of receipt of the notice by the non-terminating Party. An exception to the 30 day notification period is if MSU is unable to provide that amount of time due to a termination of the prime agreement.
B. Upon giving, or receiving, of the notice of termination, both Parties will make all reasonable efforts to end expenditures under this Subcontract during the notice period. Upon the end of the notice period, MSU, upon receipt of Subcontractor’s invoice, will reimburse the Subcontractor for all expenditures and non-cancelable commitments incurred by the Subcontractor under this Subcontract up to the date of notice of termination. If MSU has provided Grant funds in excess of the Subcontractor’s expenditures and non-cancelable commitments, such excess shall be returned to MSU.

C. Subcontractor will provide MSU final progress and financial reports detailing the findings of the Project made to the date of termination.

D. In no event will Subcontractor be reimbursed more than what it would have received under this Subcontract if the Project had been completed.

VIII. FISCAL RECORDS

A. Subcontractor agrees to implement or maintain all management and fiscal safeguards required by generally recognized standard accounting procedures for contract and grant administration. Additional requirements, if any, will be stated in this Subcontract or by written amendment.

B. All documentation regarding the expenditures incurred by Subcontractor will be retained for a period of not less than three (3) years from the termination date of this Subcontract, the final payment by MSU to the Subcontractor, or the termination of the Prime Agreement, whichever is later. If, prior to the expiration of the retention period, any audit is begun or a claim or litigation is instituted against the Parties, or any state or federal agency or department related to the Parties or this Subcontract, then Subcontractor shall maintain the documents until the litigation, audit findings, or claim has been finally resolved.

C. Subcontractor will make these documents available in the event of an audit by MSU or the state or the federal government and their authorized agents.

D. Upon request by MSU, Subcontractor shall refund any amount determined by an audit conducted pursuant to this Subcontract to be an unallowable expenditure, subject to Subcontractor’s right to establish allowability of such expenditure under this Subcontract.

IX. INSURANCE/INDEMNIFICATION

A. Subcontractor shall procure and maintain during the performance of this Subcontract the minimum insurance required by law in the jurisdiction where the work will be performed.

B. Subcontractor assumes any and all risks of personal injury and property damage attributable to the acts or omissions of Subcontractor and its officers, employees, and agents. MSU assumes any and all risks of personal injury and property damage attributable to the acts or omissions of MSU and its officers, employees, and agents.

X. MISCELLANEOUS

A. The heading of the sections in this Subcontract are for convenience only and shall not be used to construe or interpret the scope or intent of the Subcontract or in any way affect the same.

B. The parties will attempt to resolve any dispute arising under this Subcontract by mutual consent. If a dispute between MSU and Subcontractor arises that cannot be or is not addressed by this Subcontract and its attachments, then the terms and conditions of the Prime Agreement shall govern resolution of the dispute.

C. The Subcontractor shall not subcontract any of its responsibilities unless it obtains prior written approval from the MSU Subcontract Administrator.

D. The Subcontractor’s performance and relationship to MSU under this Subcontract is as an independent contractor.

E. The individuals signing below certify that they have the legal authority to sign on behalf of their respective party to this Subcontract.
F. Any use of human subjects or live vertebrate animals by the Parties in the performance of this Subcontract shall comply with all applicable laws and governmental regulations including, but not limited to, the Federal Food, Drug and Cosmetic Act, as amended (the “Act”) and regulations promulgated thereunder, the FDA regulations governing the protection of human subjects and regulations governing clinical investigators, 45 CFR Part 74 or 45 CFR Part 92 as applicable, and medical information in accordance with the patient authorization/informed consent and applicable law.

G. It is agreed by the Parties that this Subcontract constitutes the entire agreement between them, and that there are not any understandings or covenants between these two parties of any kind, expressed or implied, oral or written, which have not been set forth in this Subcontract.

I. If any provision of this Subcontract, or the application of any provision to any person or circumstance, is found invalid or unenforceable by a court of competent jurisdiction or statute, the remainder of this Subcontract shall be unaffected and will be valid and enforceable.

J. All information designated at the time of disclosure, in writing, by a party as confidential (“Confidential Information”) shall not be used by any other party other than for purposes of this Agreement. Each party agrees to treat Confidential Information received from another party with the same degree of care with which it would treat its own Confidential Information of a similar nature and further agrees not to disclose such Confidential Information to a third party without prior written consent of the disclosing party, for a period of three (3) years following disclosure. The foregoing obligations of non-disclosure do not apply to Confidential Information which: (a) is in the public domain at the time of disclosure or becomes publically available through no fault of the recipient; (b) was known to the receiving Party prior to disclosure; (c) was received from a third party not under an obligation of confidence to the disclosing Party; (d) is developed by the recipient without reference to the Confidential Information; or (3) is required to be disclosed by law. In addition, no Confidential Information involving individual patient data or medical records may be disclosed by either party at any time without appropriate patient authorization or consent as required by law.

K. Neither party may use the name of any other party in any advertising or other form of publicity without the written permission of the other party whose name is to be used.

FOR MICHIGAN STATE UNIVERSITY:                           FOR THE SUBCONTRACTOR:

Signed by: __________________________                          Signed by: __________________________

Date: _________________, 2014                             Date: _________________, 2014
EXHIBIT A

STATEMENT OF WORK

Subcontractor’s (Sparrow Hospital) [Position Title] (time allotted to project ex: .25 FTE) will work closely with the Subcontractor Project Leader and MSU’s Project Leader with primary responsibility to collect and manage data for the Grant Title study.

Specifically, the [Position Title] will conduct the study in accordance with the attached Protocol (Exhibit B), MSU’s written instructions and all laws and regulations applicable to the performance of the study. In the event that MSU’s written instructions are inconsistent with the Protocol, the Protocol approved by the IRB shall take precedence.

**Position:**

The following activities will be done:

- 
- 
- 

**Position:**

The following activities will be done:

- 
- 

**Recruitment Goal:**

**Budget:** See attached

**Budget Justification:** See attached

**Timeline:** See attached

**Participating Sites:**
EXHIBIT B

PROTOCOL FOR THE STUDY

To include Procedures for what will be done (often can come from IRB forms).

Project Description (Abstract)

Procedures

Subject Population

Risks and Benefits for subjects

How will subject’s privacy be protected?

Does the project involve protected health information as defined by HIPAA?

Consent Procedures

Estimated Duration of Project
*SAMPLE*

STATEMENT OF WORK
(Date Range)

Subcontractor’s (Sparrow Hospital) [Position Title] (time allotted to project ex: .25 FTE) will work closely with the Subcontractor Project Leader and MSU’s Project Leader with primary responsibility to collect and manage data for the Grant Title study.

Specifically, the [Position Title] will conduct the study in accordance with the attached Protocol (Exhibit B), MSU’s written instructions and all laws and regulations applicable to the performance of the study. In the event that MSU’s written instructions are inconsistent with the Protocol, the Protocol approved by the IRB shall take precedence.

Specific Responsibilities include:

- Participating in and completing the research assistant orientation.
- Observing and categorizing alarm types and nursing interventions according to the research assistant Orientation and Protocol.
- Documenting and coding alarm types and interventions on the data collection tool.
- Entering data into the data base.

Recruitment Goal: Data will be collected in multiple four hour blocks of observation with no less than 12 blocks of time pre intervention and no less than 24 blocks of time post intervention.

Budget: $XX,XXX.XX (see Appendix A: Budget Justification)

Participating Sites: Sparrow Hospital
Please refer to the CFIR Policy Manual for further information.