

# AHSC AFP Innovation Fund

## Framework and Guidelines – Year XI (2018-19)

Innovation Fund Provincial Oversight Committee

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### CHANGES FOR YEAR XI:

1. **Online Interim Report after 2 years will replace “Annual Online Report” after 1 year, for ALL projects – encouraged starting in January 2019, and required onwards in January 2020.**
2. **Final Report (including Online Final Report Summary, P3 and P4) to be renamed “Final Project Status and Accounting Report”**
3. **IFPOC to issue reminders in November about upcoming Final Project Status and Accounting Reports due in March**
4. **With the implementation of interim project reviews, Final Project Status and Accounting Report extensions should not be necessary and they will be phased out beginning with projects funded in 2019**
5. **Impactful innovation projects will be selected and facilitated for adoption, integration, and implementation in collaboration with MOHLTC**

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# AHSC AFP Innovation Fund Year XI (2018-19)

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# AHSC AFP Innovation Fund Year XI (2018-19)

## Background, Process and Framework

**PREAMBLE:** *This “Framework” document is intended to assist Governance Organizations to draft their calls for applications and Project Leads to draft their proposals.*

### Ontario AHSC AFP Innovation Fund

The Innovation Fund was established by the Alternative Funding Plan agreement between the Academic Physicians, the Ontario Medical Association (OMA) and the Ontario Ministry of Health and Long-Term Care (MOHLTC). Over \$10.5 million annually has been made available to Academic Physicians to support *the development of new and innovative approaches to health care delivery* and to provide *leadership in the dissemination of new knowledge across the healthcare system*.

All participating academic physicians are eligible to apply, and a competitive peer review process selects the most deserving projects at each Academic Health Sciences Centre (AHSC).

The Innovation Fund provides short-term (one- or two-year) seed funding to support innovative projects and to enable academic physicians to develop programs sufficiently to qualify for additional support and evaluate novel strategies to transform health care delivery in Ontario.

Projects would be deemed particularly “innovative” if they:

- Have definite potential to **impact** health care delivery
- Are **implementable** (realistic project goals)
- Have clear **measurable** metrics for success
- Offer opportunities to **translate new knowledge** into medical practice
- Are **transferable** to other institutions or regions of the province

This year, the amount available to AHSCs is now \$10,518,292, and will be available by March 31, 2019.

### 1.0 Oversight and Administration of the Innovation Fund:

The Provincial Academic Medicine Steering Committee, with the support of the AHSC AFP Governance Organizations, established the Innovation Fund Provincial Oversight Committee (IFPOC) to oversee the AHSC AFP Innovation Fund. The IFPOC includes representation from the research and innovation sector, academic medicine, government as well as the AFP Governance Organizations. Dr. Richard Weisel chairs the Committee, and Dr. Davy Cheng is Vice-Chair.

To support the dissemination of new knowledge and best evidence practices across the healthcare system, IFPOC sponsors the Innovation Fund Showcase, so far held in November 2010, 2013 and 2016. The next Showcase is being planned for November 2019. The Showcase brings together Project Leads from around the province, fostering enhanced collaborations. IFPOC also sponsors Awards for the most innovative projects that have the potential for a substantial impact on health care delivery in Ontario in various categories. Beginning in 2015, the awards were added as an annual feature in November of each year.

#### New IFPOC Initiative

In 2018, based on recommendations from past IFPOC AFP Innovation Fund Showcases, the IFPOC focused on facilitating innovation adoption by encouraging integration and implementation of IFPOC Innovation Projects in health care delivery across other Ontario institutions. IFPOC identified innovative projects which were in alignment

with MOHLTC health services research priorities and had the potential for integration and implementation. In collaboration with MOHLTC, mechanisms to support successful IFPOC projects for their “next phase” including financial support and additional partnerships were identified, linkages were offered, and connections made. After feedback from the 12 selected projects and the MOHLTC members, IFPOC will institute this Integration and Implementation Initiative for selected highly impactful projects every 3 years, in alignment with the Showcase cycle.

## **Updating IFPOC Policies**

Unfortunately, since Year I, a number of projects have failed to get off the ground for a variety of reasons. In addition, some projects have failed to spend significant portions of their allocated funds. Both of these have resulted in returns of large amounts of IF funding to the Government of Ontario – over \$1.7M to date in the past 9 years. IFPOC is implementing new interim reporting requirements in an attempt to prevent the return of any Innovation Funds to Government of Ontario.

For Year XI, we are replacing the “online annual report” with an “Online Interim Report”. The rationale is that after the first 12 months, some projects have made little progress and have spent very little of their funding, rendering a report at 12 months not very helpful. By the end of two years we hope that considerable progress has been made and if not that interventions may be possible to salvage the funding. We believe that it will be to the advantage of our Governance Organizations to report on the progress at the 2-year mark so that funds will not need to be returned at the 3 (for one year projects) or 4 (for two year projects) year mark. This new surveillance should remove the necessity for extensions of the Final Project Status and Accounting Report. Our agreement with the MOHLTC is that extensions would only be used occasionally and under exceptional circumstances. We hope that by implementing a check on use of funds and progress at the two-year mark, no projects will require extensions.

We understand that the projects may not have completed their anticipated activity by the end of the second year, but we hope that with the GO assistance, interventions will permit the Project Leads to adequately advance their project and spend their funds before the Final Project Status and Accounting Report is due within one or two years.

### **1.1 Forms and Data Input**

In 2014 IFPOC implemented a website and forms for the submission of applications for funding. Each year IFPOC has provided new policy clarifications and earlier release dates intended to streamline the Grants Administration process. After several funding cycles with the new process and new forms, only minor changes have been made to address challenges and to better meet the needs of the Governance Organizations.

#### **For Governance Organizations, the required elements are:**

##### FORMS FOR UPLOADING:

- G1 - Funding Request
- G2 - Substitution Request
- G3 - Policy Confirmation

##### FORMS TO BE ENTERED MANUALLY ONLINE:

- Online Project Summary - Key information from P1 into online system - Online “Project Summary”  
- only for NEW projects – not for year 2 of existing projects.
- Online Interim Report - Key information is also requested at the end of two years (known as “Interim Online Report”) for ALL projects
- Online Final Report Summary - Key information from P3 and P4 into online system (Required for completion of Final Project Status and Accounting Report)

#### **For Applicants, the required elements are:**

##### FORMS TO BE PROVIDED TO GOVERNANCE ORGANIZATIONS PRIOR TO DEADLINES

- P1 - Project Proposal
- P2 - Proposal Budget

- P3 - Final Narrative Report (Part 1 of Final Project Status and Accounting Report)
- P4 - Final Budget and Financial Statement (Part 2 of Final Project Status and Accounting Report)
- P5 - Conversion Request - Where Applicable (from one to a two-year project)
- D - Declaration for Substitution (only if you are a contingency project being activated)

## 2.0 INNOVATION FUND 2018 –2019 Timeline

### ***June 1, 2018***

IFPOC issues “Framework” document to Governance Organizations, and all Forms are available at ifpoc.org

### ***November, 2018 - date TBD***

“Annual” Innovation Fund Awards are announced

### ***November 23, 2018***

IFPOC issues reminder of upcoming March 31 2019 Final Project Status and Accounting Report deadlines.

### ***December 1, 2018***

AFP Governance Organizations upload G3 (information about guidelines and procedures) to IFPOC (required ONLY if any changes have been made since Year X)

### ***December 1, 2018***

IFPOC issues call for nominations for participation in Showcase 2019

### ***December 1-31, 2018***

AFP Governance Organizations nominate for Showcase participants (and Awards) with final nominations due to IFPOC by January 9, 2019.

### ***January 9, 2019***

All AFP Governance Organizations upload G1. Those AFP Governance Organizations submitting funding requests for NEW (not renewal) projects (and any contingency project) will upload P1 and P2 for each new Year 9 project.

### ***January 14 - February 8, 2019***

IFPOC reviews proposals and submits to the GOs questions or concerns about eligibility or whether the proposals meet the requirements established by IFPOC or the individual Governance Organizations. The AFP Governance Organizations will respond to IFPOC with explanations or the submission of alternate proposals.

### ***February 13, 2019***

IFPOC meets for Annual Review of Project Proposals.

### ***February 14 - 28, 2019***

IFPOC makes recommendations to AMSC for distribution of 2018- - 2019 (Year XI) AHSC AFP Innovation funds.

### ***March 31, 2019***

MOHLTC distributes Innovation Fund allocations to each AHSC AFP Governance Organization, on the basis of proposals approved for funding by the IFPOC and AMSC

### ***June 1, 2019***

IFPOC issues “Framework” document to Governance Organizations, and all Forms are available at ifpoc.org

### ***November 13 or 14, 2019 - Date TBD:***

Innovation Fund Showcase 2019 event - and IF Awards 2019 announced

### 3.0 Provincial Funding, Approval, and Accountability Processes

#### 3.1 Funding

Funding will be allocated on the following basis, as set out by the Academic Medicine Steering Committee (AMSC) and approved by the AHSC AFP Governance Chairs:

- Each AHSC AFP has been allocated a portion of the available Innovation Funds in fiscal 2018 - 2019, based on a minimum \$100,000 base allocation to each Governance Organization, with the remaining funds distributed to each Governance Organization (GO) based on the number of Full-Time Equivalents (total FTEs participating in AFP) at each AHSC
- AHSC AFP funding is allocated only for approved projects and cannot be employed for any other purpose. Carry-overs are not permitted. Funding may not be allocated by Governance Organizations for unspecified purposes and cannot be moved between projects.

##### 3.1.1 IFPOC Policy on Substitutions and Unspent Funds:

Contingency projects, substitutions, terminations, and changes to Project Leads

##### **Funding Period**

1. Funding for each accepted project begins from April 1<sup>st</sup> (after funds are forwarded to the institutions from the MOHLTC) and the project leaders have until March 31<sup>st</sup> of the following year to initiate their project and to begin to spend their funds.

##### **Annual Review**

2. Each project should be reviewed annually by their Governance Organization to determine whether (1) the project has made acceptable progress on its program and (2) the project has spent any of its funds

##### **Contingency Projects and Substitutions**

3. Each Governance Organization is invited to submit 0, 1 or 2 “contingency” projects for prior approval in case any of their priority projects do not get started in a timely fashion.
4. If no “contingency” projects have been previously reviewed by IFPOC, no substitutions may be made for that year in the future.
5. If a project did not make acceptable progress and has not spent any of its funds after Year 1, the Governance Organization may request that IFPOC permit a substitution of that project with a “contingency project” which had been previously reviewed and approved by IFPOC.
6. To obtain approval for a substitution, the Governance Organization must submit Form G2 that describes the reason for the lack of progress of the unsuccessful project and Form D from the contingency project stating that it will be able to initiate its project immediately (within three months) and that it will be able to complete the project with the funds available from the unsuccessful project within the original timeframe (1 or 2 years from April 1<sup>st</sup>).

##### **Interim Review**

7. Each project should be reviewed annually by their Governance Organization and at the end of two years, an ONLINE PROGRESS REPORT should be filled in.
8. However, if funds have been spent by any project but if the Governance Organization identifies concerns about the progress, they should consider remedial actions including if necessary a change in project lead so that the project is not in default at the time of the Final Accounting. If however, remedial actions are unsuccessful, then the project may be terminated and the remaining funds returned to the Government of Ontario and IFPOC notified. In addition, the GO should indicate on the interim report what remedial steps are being taken or confirmation to IFPOC that the project is returning an amount of funds (P4).
9. Under exceptional circumstances, if a project is unable to proceed at any time during the granting period (1 or 2 years), and if the Governance Organization makes a compelling explanation to IFPOC, then the project may still be substituted with a contingency project provided the unsuccessful project has not spent any of its funds.
10. No substitutions may be made if any Innovation Fund money has been spent on an “unsuccessful” project.

##### **Change in Project Lead**

11. If a “Project Lead” cannot continue to lead a project before the Final Project Status and Accounting Report is submitted, a co-Lead, or another qualified AHSC AFP physician can be substituted after approval has been granted by IFPOC. If a Project Lead is unable to continue to lead a project, then another Project Lead

can assume that position provided that the new Project Lead is either designated as participating in the original application, or has adequate qualifications. All substitution requests must be submitted in an email to IFPOC, stating that the replacement project lead is a qualified AHSC AFP physician and has been approved by the GO. All substitutions must be approved by IFPOC.

### 3.2 Application, Review, and Reporting Process

- Individual AHSC AFP Governance Organizations will issue to their Participating Physicians a request for proposals along with the Year XI Framework for projects seeking support through the AHSC AFP Innovation Fund.
- Each AHSC AFP Governance Organization, according to the Framework and Competitive Peer Review Process and Review Criteria set out below, will establish a common and transparent competitive peer review process to adjudicate and rank proposals being considered for support with Innovation Funds.
- Selection committees will choose the best proposals for their institution. From among those, IFPOC specifically requests that Selection Committees and Governance Organizations give priority to projects that could impact health care delivery beyond their institution and/or could be adapted across the province.
- Governance Organizations are asked to submit some information online. A **G3 Policy Confirmation is not due this year**, and is only required every 3 years unless any of the relevant policies have changed.
- All Governance Organizations are required to submit a G1 form annually through ifpoc.org – if they are submitting new projects or not.
- If new projects are being submitted, the relevant P1 and P2 forms must also be uploaded. These must be submitted by each Governance Organization “as is” and not further copied, scanned or PDFed. Applicants are asked to fill in P1 and P2 for submission by their Governance Organizations – found at ifpoc.org. These fillable forms must be downloaded and saved, before being filled in. Please do not alter these forms or they will be rejected.
- Governance Organizations are asked to fill in Online Interim Reports for ALL year projects using the online form by March 31<sup>st</sup>, two years after the project has been approved for funding.

#### 3.2.1 Local budgetary and conflict of interest policies and guidelines: G3

(Required every three years – or sooner if changes are made)

All **AFP Governance Organizations should have submitted a G3 - Policy Confirmation** on December 1, 2017. If there have been any changes since then, please submit a new G3 by Dec 1, 2018 for review and approval.

#### 3.2.2 Existing Funding Confirmation: G1

(Required annually)

**Even if a Governance Organization is not submitting NEW projects for funding, we ask that they complete Form G1 annually** to indicate that previously approved projects are on track and eligible for second year funding according to the GO-approved guidelines. G1 will also confirm support for funding and related policies. During this process, we recommend that GOs ascertain whether or not projects still in their first year have spent any of their funds.

#### 3.2.3 Online Interim Report – NEW\*\* (replaces Annual Online Report)

**Beginning in March 2019, we encourage all GOs fill out an “ONLINE INTERIM REPORT”**, for ALL projects two years after funding has been granted. This **short online form** will indicate that each previously approved

project is on track, and has spent some of its budget. This report is due by March 31<sup>st</sup> two years after funding has been awarded. Beginning in March 2020, this form will be required for each project.

### 3.2.4 New Funding Requests: Form G1, P1, and P2

Project Leads must submit their project proposals to their AHSC AFP Governance Organization using the Forms **P1 and P2 (available at the bottom of the home page: <https://ifpoc.org/>. Scanned, copied, or PDFed documents are not acceptable.**

- Governance Organizations may only submit funding requests to IFPOC for 1 or 2 years. **Any requests for funding additional years of any projects will be declined.**
- **Governance Organizations may only submit funding requests to IFPOC that add up to their maximum amount allowable** in any single funding year. The **total funding request on G1** for all projects in any year may not be an amount higher than the allocation allowable from the Ministry (but the amount may be lower). The online forms will calculate the amounts, and reject any G1 that requests funding beyond that which is allowable from the Innovation Fund. At an individual project level, it is essential that the project budgets and financial reports (P2 and P4) are clear about how much funding is provided by IFPOC, and how much of that funding is spent. GOs are not required to report any earned interest on funds provided.
- Governance Organizations are asked to indicate on G1 that they have reviewed and approved all NEW proposals submitted to the IFPOC for funding according to the provincial framework and according to the process they had previously submitted for approval by IFPOC contained in their G3.
- AFP Governance Organizations will submit individual Project Proposals (P1 and P2) recommended for funding to the IFPOC in January. The IFPOC will then evaluate each proposal recommended for funding and will ensure that all proposals are consistent with the provincial framework and locally defined guidelines.
- Governance Organizations may recommend any level of AHSC AFP Innovation funding for individual projects, with the proviso that the total level of funding from the Innovation Fund for such projects may not exceed the per annum allocation of AHSC AFP Innovation Funds to their own Governance Organization. Supplementary funding may be provided for each project from other sources, but the Governance Organization must ensure that such funds are available before the project is recommended for funding.
- Use of Innovation Funds for physician remuneration may not exceed current OMA Per Diem rates (see Appendix I) whether or not this remuneration is for actual clinical activity.
- If Innovation Funds are being used to support physician remuneration, and if any changes to these policies are being made, Governance Organization should provide this information to the IFPOC using G3.
- On Form G1, Governance Organizations are asked to confirm that the budget of each project submitted for funding has been carefully reviewed and is in compliance with their Governance Organization policies and guidelines.

#### **Contingency Projects**

- Governance Organizations are invited to submit **0, 1 or 2 additional projects**, in their order of preference (which will not be included in the calculation of “allowable funding”), as “contingency” projects, for pre-approval by IFPOC. These will not be funded immediately, but could step in to take the place of a previously approved and funded project from that same funding year should a recommended project not be successful for any reason (such as unable to receive ethics or other approvals). This movement of funds will only be allowed if a) the projects are from the same funding year, and b) **if NONE of the Innovation Fund monies have been spent.**



### 3.2.5 Innovation Fund Provincial Oversight Committee Review

- The IFPOC may ask for further details and/or clarification regarding any proposal at its discretion.
- The IFPOC may not delay the transfer of funds from the MOHLTC to Governance Organizations, but may request that funds not be released by Governance Organizations to support a particular proposal until the IFPOC is satisfied with the clarification sought.
- Governance Organizations will monitor and be accountable for funding received through the AHSC AFP Innovation Fund. Governance Organizations are required to review all funded projects annually to ensure that they are on track and worthy of continued funding (where appropriate). Governance Organizations are particularly encouraged to review previous year's projects to ensure they have begun their work and to see if any funds have been spent. This is especially important in view of the March 31 deadline for substitutions, which can only take effect if no funds have yet been spent.

### 3.2.6 Reporting: Interim and Final Reporting

- Each project's "Final Project Status and Accounting Report" contains three elements: a P3 (Final Narrative Report – provided by the Project Lead) a P4 (Final Budget and Financial Statement – provided by the Project Lead), and an Online Final Report Summary – to be filled in online by the GO that confirms amounts spent/unspent and abstract of final results.

Project Leads are required to submit Forms P3 (Final Narrative Report) and P4 (Final Budget and Financial Statement) to their own Governance Organization for review and if approved, the Governance Organizations are required to submit them to IFPOC. Each final report is due within two years after the funding term of the project.

- Since Year 5, Project Leads and Governance Organizations have been required to submit their FINAL PROJECT STATUS AND ACCOUNTING REPORTS (P3 and P4 and Online Final Report Summary) to IFPOC within 2 years of the end of the term of their project funding period (e.g. 1-year projects funded in March 2013 must submit final reports by March 2016, and 2-year projects funded in March 2013 must submit final reports by March 2017). Many projects may not have completed all of the aims of the original proposal. However, we request that a report which documents the progress made and the amounts spent be provided 2 years after the end of the funding period. All projects are required to submit their Final Project Status and Accounting Report at the end of this two-year period and any unspent funds must be returned to the Ontario Government. For any projects that have not provided a report, the Governance Organizations will be asked to provide an explanation along with a financial accounting of funds spent to date to IFPOC and the Ministry, and any unspent funds for those projects will be subject to return to the Province.
- For projects reporting before the end of their term date (within the first year for one-year projects, and within the first two years for two-year projects), Governance Organizations are asked to contact the system administrator at the IFPOC.ORG website for special instructions for uploading "early" reports.

#### **Online Interim Report (Governance Organization)**

- The Governance Organization should review all projects. Project Leads should provide evidence to their Governance Organization that the project has been initiated and is working towards its goal before second year funds are approved. Governance Organizations, through G1, are asked to confirm that they have reviewed each project after its first year, and must confirm this yearly, whether or not they are seeking funding for NEW projects. They will also be asked to fill in an "Online Interim Report" (NEW\*\*) for all projects at the conclusion of year two – due no later than March 31.

## FINAL PROJECT STATUS and ACCOUNTING REPORT:

### Online Final Report Summary (Governance Organization)

- The Governance Organization should first complete the Online Final Report Summary by answering five questions for each project: the amount provided by the IF, spent, and unspent (if any); approval by Governance Organization; and a project abstract which must be inserted for each project. If there are unspent funds, the Governance Organization must check a box to indicate that the MOHLTC has been advised, and the unspent funds returned. Then upload each P3 and P4. NEW\*\* - Annually, IFPOC will issue a reminder in November about Final Reports coming due March 31<sup>st</sup> of the following year

### P3 and P4 – Final Project Status and Accounting Report (Project Lead)

- Project Leads are required to provide a detailed final narrative report (P3) that includes a project summary and a detailed separate budget and financial statement (P4). The Project Leads requesting funding for more than one year are required to provide an annual progress report to their own Governance Organization which may then report the progress to IFPOC. Project Leads must submit P3 and P4 through their Governance Organization to IFPOC at the completion of the funding agreement – within 60 days of completion of the project, and no more than two years beyond the end of the funding term – whether the project is completed or not.
- When submitting P3 and P4 for each project, Governance Organizations are required to fill in the online “Final Report Summary”.

### NEW\*\* Extension Requests

Extension requests will be phased out entirely beginning in January 2019 for projects funded in 2019 and beyond (Year XI). In the meantime, and only under exceptional circumstances, requests for extensions to projects funded prior to 2019 may be considered for approvals but only if received at least two months prior to the project's original due date and subject to IFPOC approval. Any requests for extensions for projects funded and approved prior to Year XI will be considered on an individual and exceptional basis by IFPOC, and should be made via email to Sarah Garson ([sgarson@garsonconsulting.com](mailto:sgarson@garsonconsulting.com)) and/or Judy Carroll ([carrolljudy93@gmail.com](mailto:carrolljudy93@gmail.com)).

### 3.3 Intellectual Property and Project Information

The Innovation Fund Provincial Oversight Committee has established the following policy for the dissemination of Innovation Fund information:

- i. Ownership of the Intellectual Property will remain with the Institution and/or Project Lead.
- ii. Once a project has been **approved** for funding, **the name and contact information of the Project Lead, the total amount of Innovation Fund funding, as well as the abstract (located on page 2 of Form P1) will be made public** either by IFPOC or the Government of Ontario.
- iii. Once a project is **complete** and its final report has been submitted and approved, **the name and contact information of the Project Lead, the final amount of Innovation Fund funds spent, as well as the abstract (located on page 2 of Form P3) will be made public** by IFPOC through our website [ifpoc.org](http://ifpoc.org) or the Government of Ontario.
- iv. Any further details regarding a project will be released to interested parties only with the agreement of the Project Leads.

## 4.0 Eligibility Criteria

- The “Project Lead” for each proposal must be a Participating Physician, as defined in the AHSC AFP Agreement.
- Innovation Funds should be used to support the human resources and infrastructure necessary to implement, test and/or evaluate new concepts and modes of health care delivery. In general, the funds are not intended for equipment; however, the innovative use of equipment could form the basis of a project. Funding may not be used to defray the cost of implantable medical devices or drug trials. While this funding is clearly intended to support innovative clinical care to patients, it is not intended as a substitute for perceived inadequacies in either the OHIP fee schedule or individual institutional funding.
- The Innovation Fund was intended to support projects with funding for **up to 2 years**. Additional funding for the project beyond 2 years should be sought from sources other than IF.
- Each AHSC should **provide either a clear definition of “innovation” for their institution on G3**, or indicate that the IFPOC definition is being used. Each individual proposal should reference that definition and indicate why the project is innovative for that institution and each Governance Organization should indicate that each project conforms to its definition of innovation.
- The IFPOC will review each application. Those projects that do not conform to the Provincial Framework or do not meet the criteria established by the Governance Organization will be returned to the Governance Organization for revision, or the Governance Organization will be invited to replace that project with another application during the review process that year and no later than the end of March.

### 4.1 Scope of Projects Eligible for Funding

Innovative, promising and deserving projects are eligible to receive funding through the Innovation Fund across a wide scope of areas of focus including but not limited to:

- Patient education and enablement
- Continuity of care
- Process improvement models to improve efficiencies, patient safety and quality of care
- Support/collaboration from AHSCs to community hospitals, LHINs and other services in their region
- Remote access to care
- Knowledge transfer across AHSCs and the broader health care system

In order to facilitate IFPOC’s ability to provide “leadership in the dissemination of new knowledge”, the Innovation Fund particularly encourages projects that address the current health system priorities including: mental health and addictions; patient safety; effectiveness of health care delivery; home and community care; indigenous health; quality improvement; sustainability; social determinants of health; health system funding reform; better care pathways for pregnant women; and, cost– benefit comparisons.

For 2018 - 2019, based on experience in the first ten years of this Fund, the following are examples of projects that were judged to be less innovative by IFPOC and have not been approved:

- Stand-alone databases
- Drug or other industry related projects
- Projects designed to evaluate a new device / drug in which there is significant industry sponsorship

## 5.0 Evaluation of Project Proposals

### 5.1 Competitive Peer Review Process

Each AHSC AFP Governance Organization will establish a competitive peer review process that invites expressions of interest from across the AHSC and results in funding recommendations that are based on demonstrated merit, not equity. For example, the allocation of Innovation Funds on a per FTE basis at individual AHSCs would not be supported. Governance Organizations are encouraged to include one or more representatives on their peer review committee from outside of their AHSC Governance Organization, to support an objective review process.

### 5.2 Review Criteria

The assessment of proposals by each Governance Organization competitive peer review committee should continue to be guided by the above, and should be based on the following criteria:

**a. *Potential impact***

- Potential impact within and beyond the local institution and the academic community: the likely significance of the project in generating and transferring new knowledge and beneficial results beyond the project participants.
- Potential to improve understanding in the project's subject field: presence of a documented and coherent knowledge translation strategy for exchanging information generated by the project beyond the project participants.

**b. *Proposal merit***

- Innovative and original idea(s)/objectives
- The applicants should indicate why the proposal is innovative for their institution or constituency
- Well-written and focused proposal
- Comprehensive relevant performance metrics that can be used at the end of the first year (and any subsequent years) of funding
- Appropriateness and relevance to scope of Innovation Fund
- Feasibility and viability of project, including consideration of budget costs

**c. *Team strengths***

- Experience and skills of the project team - track record; historical productivity and impact; the inclusion of early career investigators; likelihood that this team can complete the Innovation project being proposed; time and availability to commit to the project; and, collaborative arrangements with colleagues if applicable

**d. *Assessment***

- What are the metrics for evaluation?
- What are the timelines and when do you expect to see progress?
- What kinds of progress do you expect?
- How will you judge whether or not your project has been a success?

**e. *Priority***

- IFPOC requests that review committees and Governance Organizations give priority to projects which have the potential to impact health care delivery in multiple institutions or across the Province
- If two projects otherwise have equal priority, the Selection Committees and Governance Organizations are asked to give priority to projects that could impact health care delivery beyond their institution and/or could be adopted across the province.

IFPOC Members will consider the proposals submitted for funding based on a number of guiding criteria:

- *Assessment*: clear and measurable outcomes indicating that the project will improve health care delivery
- *Merit*: distinctly “innovative”
- *Potential impact*: the project can be translated to clinical practice and impacts health care delivery
- *Strength*: quality of proposal and participants
- *Scope*: the potential to impact health care delivery in multiple institutions across the Province

### 5.3 Common Scale for Evaluation

Each Governance Peer Review Committee should use a single evaluation scale for evaluating, rating and ranking its proposals. The CIHR Merit Review Scale is one such example.

### 5.4 Relevance Review

Governance Organization Competitive Peer Review Committees may evaluate proposals for relevance in relation to previously identified health care priorities for their particular institution (if applicable, as entered on G3).

### 5.5 Process Integrity

The integrity of the Innovation Fund competitive peer review process, like others, will be dependent on shared principles of confidentiality and conflict of interest.

#### ***Confidentiality:***

- All information contained in expressions of interest should be considered strictly confidential. The applications and any discussions related to them may not be used for any purpose beyond that for which they were originally intended. Outside of their group deliberations, peer review committee members must not discuss expressions of interest with other parties.

#### ***Conflict of Interest:***

- Governance Organizations, review committees, and Project Leads are expected to be aware of, and to manage, any conflict of interest situation within the peer review committee.
- AFP Governance Organizations are being asked to confirm with IFPOC how potential conflicts of interest will be managed at their institution (G3).
- Governance Organizations must make every effort to ensure that the decisions of its peer review committee are fair, objective and transparent, and that the peer review process is communicated broadly to practice plans and Participating Physicians. Peer review committee members may be assessed to have a conflict of interest if they, or an individual Participating Physician they represent, submit an Innovation project proposal for consideration by the peer review committee. Peer review committee members deemed to have a conflict of interest on this basis shall be excused from discussions and decisions of the peer review committee as they pertain to project proposals for which the conflict of interest exists. Each member should attempt to avoid adversely influencing competing applications.

## 6.0 Acknowledgements and Contacts

Should Project Leads (or Governance Organizations) wish to acknowledge Innovation Fund as the source of funding for their projects at conferences, on posters, in publications, or on websites, the correct acknowledgement is as follows:

***“... was supported by the Innovation Fund of the Alternative Funding Plan for the Academic Health Sciences Centres of Ontario.”***

For information about IFPOC, the Innovation Fund, its framework and/or process, please visit IFPOC.ORG to download forms, for FAQs and to use contact links, or to contact us directly:

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# AHSC AFP Innovation Fund Year XI (2018-19)

## Appendices

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Please find attached **within this Framework** the following related documents:

For Governance Organizations:

Appendix A: AFP Governance Organization Process Details regarding:

- a) Policies and Procedures (G3)
- b) Funding Confirmation and new Funding Requests (G1)
- c) Reporting (NEW\*\* Online Interim Reports, Online Final Report Summary, P3, and P4)
- d) Substitutions (G2 and D)

For Innovation Fund Applicants:

Appendix B: Applicant Process Details regarding:

- a) Proposals and Budgets (P1 and P2)
- b) Reports and Budgets (P3 and P4)
- c) Declaration for Substitution (D)

For Governance Organizations and Innovation Fund Applicants:

Appendix C: OMA per diem Guideline

Please find **located at IFPOC.ORG** by clicking on <https://ifpoc.org/> the following 9 related documents:

|                               |  |
|-------------------------------|--|
| FUNDING REQUEST:              | G1   |
| SUBSTITUTION REQUEST:         | G2   |
| POLICY CONFIRMATION:          | G3   |
| PROJECT PROPOSAL:             | P1 (one for HAHSO, one for NOAMA, one for AMOSO, and a generic one for all the others) |
| PROJECT BUDGET:               | P2   |
| FINAL REPORT:                 | P3   |
| FINAL BUDGET:                 | P4   |
| REQUEST FOR YEAR 2 FUNDING    | P5 (for certain Governance Organizations)  |
| DECLARATION FOR SUBSTITUTION: | D  |

## AHSC AFP Innovation Fund Year XI (2018-19)

### AHSC AFP Governance Organization Process Details

Each project, once approved by IFPOC, is assigned a unique identifier. This coding system allows IFPOC and the Project's Governance Organization to track all projects and document their progress to date, funding allocated, and reporting. **In any communications with IFPOC regarding a specific project, please use this IFPOC identifier so that we can quickly identify the project in question.**

In order to most efficiently fill in any of our forms, we recommend you use Adobe Reader. If you don't currently have Adobe Reader, speak to your IT manager, or it can be downloaded for free at [adobe.com](http://adobe.com) or:

Windows: <http://www.adobe.com/support/downloads/product.jsp?platform=windows&product=10>.

Mac: <http://www.adobe.com/support/downloads/product.jsp?platform=macintosh&product=10>.

#### FORMS:

**G1 – Funding Request**

**G2 – Substitution Request**

**G3 – Policy Confirmation**

**P5 – Request to Add Year 2 funding for existing one year**

These forms are intended as tools to support the management and administration of the Innovation Fund. Each of these forms is now provided to you online at IFPOC.ORG. We ask that you submit these by filling out a few selected online fields and then uploading each to the Innovation Fund website.

### 1.0 About Funding Request Form G1

The Funding Request Form has two purposes:

- a) To confirm that previously funded projects are on track and should receive their second year funds
- b) To confirm that projects selected by the Governance Organization have been reviewed and approved by the relevant hospital and university.

We ask that you please upload this form by **January 9, 2019** at the same time as you upload your project proposals P1 and P2. If you are also submitting "contingency" projects, we ask that you upload these project proposal files at the same as well. Please note that a G1 is required annually from EACH Governance Organization, regardless of whether or not they are submitting new projects for funding.

#### 1.1 Notes About Project Proposals P1 and P2

Based on our past experiences, when projects contain significant information technology components, the Chief Information Officers (CIOs) of their institution can facilitate the activity of the projects. Therefore, **we encourage Project Leads to advise their CIOs if their projects are deemed to have significant IT components** (integrated into proposal P1 for applicants). Likewise, Governance Organizations are requested to ensure that their institutional IT staff review and approve proposals before sending project proposals to IFPOC for funding (integrated into G1).



## 2.0 About Policy Confirmation Form G3

Policy Confirmation confirms a Governance Organization's: selection process, conflict of interest guidelines, definition of innovation (if different or more specific than those of IFPOC), and health care priorities (if you have any for Innovation Fund). Please upload the G3 by **December 1, 2018 if there have been any changes.**

## 3.0 About Online Interim Reports

Beginning in January 2019, IFPOC will no longer require "annual online reports" for two-year projects. Instead, this will be replaced by an "Online Interim Report" for ALL (one and two year) projects... and will be required at the end of the second year after initial approval and funding.

### 3.1 Governance Organization Responsibilities

Governance Organizations are required to review each project at the two-year mark to ensure it is on track for completion. This new "Online Interim Report" will work to ensure that projects extensions are no longer required of projects funded by Innovation Fund.

GOs will be asked to

- a) confirm that projects have been reviewed and are "on track" to completion as per original proposal
- b) inform IFPOC how much funding was i. approved ii. Flowed to date to project lead, and iii. Has been spent to date by the Project lead.
- c) If the GO has concerns about the ability of a project to proceed, they are encouraged to institute remedial actions so that the projects moves toward completion and spends it funds before the Final Project Status and Accounting Report is due. Changes to the project lead and/or other personnel may be necessary for the project to complete spending of the funds.

## 4.0 About Final Project Status and Accounting Reports – Online Final Report Summary, P3 and P4

Governance Organizations are responsible for oversight of projects within their own institutions. Forms P3 and P4 should be sent by Project Leads to their Governance Organization for review before submission to IFPOC. Once approved by the Governance Organization, a short ONLINE FINAL REPORT SUMMARY should be completed by the Governance Organization that includes: indication of approval of P3 and P4 by Governance Organization; amount of Innovation Fund funding received, spent and unspent (if any); a project abstract, copied and pasted from page 2 of FORM P3, and finally a check box to indicate that MOHLTC has been notified if funds remain unspent and are required to be returned. Once this step has been completed, the project P3 and P4 will be able to be uploaded.

If any funds remain unspent, we ask that the GO to contact the MOHLTC to inform them of the amount, the project it relates to, and the method of repayment to Treasury of Ontario and copy IFPOC.

### 4.1 Final Project Status and Accounting Report – on time required

In order to meet the requirements of the Government of Ontario and the Auditor General, it is imperative that Final Project Status and Accounting Reports (all 3 sections) are submitted on time. After the deadline passes, in the absence of details about how the funding was spent, the IFPOC will assume that the project has not spent any funds, and the entire amount originally provided will need to be returned the Treasurer of Ontario. Please ensure that reports regarding the project as well as use of the funds are prepared and submitted by the deadline. IFPOC will begin contacting GOs in November about Final Project Status and Accounting Reports due at the end of March.

## 5.0 About Substitutions, G2, and D

Although substitutions may be made, we anticipate that they will be rarely implemented. The rules for substitutions are as follows:

### 5.1 Project Lead Substitutions

If a “Project Lead” cannot continue to lead a project before the Final Project Status and Accounting Report is submitted, a co-Lead, or another qualified AHSC AFP physician can be substituted subject to approval by IFPOC. A physician might be deemed qualified should they: be designated as participating in the original application, or have adequate qualifications, and they must be a Participating Physician, as defined in the AHSC AFP Agreement.

Process:

- Governance Organizations are asked to communicate in email to IFPOC with details about the rationale and plan for keeping the project on time and within budget.
- IFPOC will review the request within two weeks, and if approved, will ask the Governance Organization to update the project files with the relevant personal information for the new Project Lead.

### 5.2 Project-for-Project Substitutions (G2 and Form D)

Each Governance Organization is invited to submit up to 2 “contingency” projects annually to IFPOC for prior approval in case any of their priority projects do not get started in a timely fashion.

Substitutions will **not** be permitted:

- a) If no “contingency” projects have been previously reviewed by IFPOC,
- b) If any Innovation Fund money has been spent

Process:

- Once Form G2 and the corresponding Form D have been uploaded to the system, Governance Organizations may expect to receive a decision from IFPOC within two weeks regarding the substitution.
- After approval by IFPOC, and if Governance Organizations have directed IFPOC to do so, IFPOC will list the old project as inactive and the new project will be listed as active.

# AHSC AFP Innovation Fund Year XI (2018-19)

## Applicant Process Details – Proposals and Final Reporting

Proposals should be submitted electronically to your own Governance Organization using the P1 and P2 forms that can be located at <https://ifpoc.org>. All elements are required in order to be eligible for consideration.

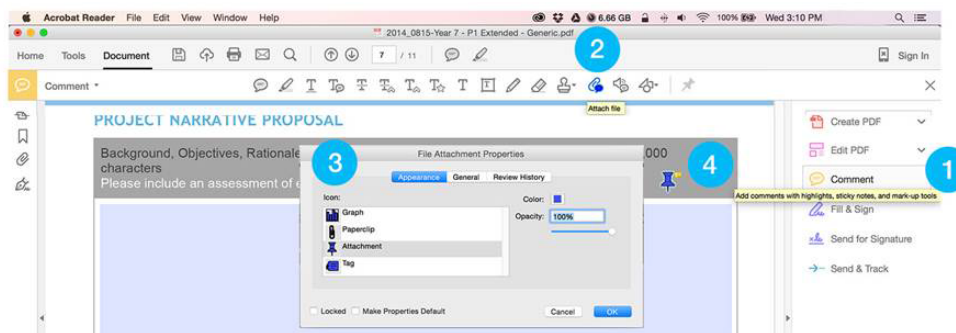
### 1.0 About Project Proposals (P1 and P2)

A complete Project Proposal consists of two documents: the Project Proposal P1 and the Project Budget P2. In order to be eligible for funding, both elements must be included in the submission to your Governance Organization.

You may include up to 2 pages of support documentation (including references or letters of support) on the P1 Form. Should you wish to include these, up to 2 pages may be copied and pasted into the P1 Form. Each Governance Organization will be asked to submit P1 and P2 to IFPOC no later than January 9, 2019. Governance Organizations will not be permitted to upload projects that do not include both elements.

If you wish, you may include tables and figures in the P1 and P3. However, there are strict character limitations on all sections of the forms, and the use of tables and figures will reduce the space available for text. Some Governance Organizations have elected not to permit the use of attachments, but if allowed, to add tables and figures, please first download the appropriate form and save as a PDF. Then,

### IFPOC ATTACH FILE INSTRUCTIONS



- 1 Click the “Comment” button on the right side menu to attach file
- 2 Click the “Attach file” button and place it on your document
- 3 Browse and select your file. Click OK.
- 4 Right-click “Attach file” icon to “Save embedded file to disk” or double-click to open

## 2.0 Form P1

Form P1 will ask you:

- Identify projects with a **significant IT component** (we encourage applicants to advise or seek input from their CIO or IT representative as early in the proposal preparation stage as possible. This can provide welcome support and advice to applicants before they receive funding, as well as support afterwards).
- Provide a **brief summary** of the proposed project in **non-technical language** – which will become the abstract for your project available on the public Innovation Fund website.
- What is the **length of the project** (one year or two years)?
- **How much funding is being requested** from the Innovation Fund for the project each year, and in total?
- What is the **full value of funding** required (if different than above) for the project?
- Identify 5 key words that define your project, in order of importance. Please select from among the list of indicators for focus, methodology and outcomes. This will be used to identify your project in the searchable Innovation Fund database.
- Provide a narrative proposal that includes objectives of the project, impact on knowledge translation, collaborators, approach and work plan, timelines, metrics to measure success, and project funding.

### 2.1 About the Narrative Proposal

(5 pages of space will be available in P1)

#### 2.1.1 Pages 1 and 2

***Background, objectives, rationale, significance, and justification for the innovative nature of the project and an assessment of outcomes***

This section should provide a concise description of the objectives and question(s) to be addressed **that will allow reviewers without technical or specialty expertise in that area** to understand the importance, feasibility and relevance of the project. This section should also address: existing research, knowledge and practice in this area; importance and likely outcome of the research; and, relevance to patients and the health care system in general. For example:

- Describe the “Innovation” and why it is innovative for your institution
- What issue does the proposed research address within the eligible areas of scope?
- What evidence is there that this issue is important from a broad system perspective?
- How will the research results be used and to whom will they be applicable?
- How broadly relevant will they be? Will the results of the project potentially lead to sustainable changes in practice, process and/or education?
- What are the plans or opportunities for knowledge translation or dissemination of the project outcomes and to improve health care in Ontario?
- To what extent does this proposal support leadership in the dissemination of new knowledge across the healthcare system?

#### 2.1.2 Page 3

##### ***Team***

This section should include the names and affiliations of the team members, with a brief statement of their roles, experience, area(s) of expertise, whether any are early career investigator physicians, time commitment and planned contributions to the project.

**Approach and work plan**

This section should provide a description of the approach to be used as well as a detailed project work plan.

2.1.3 Page 4**Timeline**

This section should provide a target start date, target completion dates for significant steps (milestones) leading to the proposed outcomes, and target finish date for the project.

**Metrics to evaluate outcome of the project**

This section should outline in detail what the anticipated outcomes would be and how the outcomes will be measured. It should provide a list of measurable milestones (outcomes) upon which the team will periodically report (at the end of the project if a one-year project, and annually if the funding is for two years). How will the Project Leaders determine if the project was successful?

Please indicate:

- What will you measure to determine success?
- How will you measure it?
- What is the expected benefit and how will it be measured?

2.1.4 Page 5**Project funding**

The project team should identify all current sources of additional funding for the proposed Innovation Fund project, as well as applications for funding currently in progress.

**Any other relevant information**

The project team should identify any other relevant information.

2.1.5 Pages 6 and 7 (optional)**List of References and/or Support from Partners**

A brief list of references and/or support from other partners may be included.

**Note regarding priority:** Project Leads are reminded that IFOPC has requested review committees and Governance Organizations to give priority to projects which have the potential to impact health care delivery in multiple institutions or across the Province. If two projects otherwise have equal priority, the Selection Committees and Governance Organizations are asked to give priority to projects that could impact health care delivery beyond their institution and/or could be adapted across the province.

**3.0 Form P2**

Form P2 will ask you to describe and justify all requested budget expenditures, and:

- To include sufficient detail to allow for an assessment of the eligibility of these budget expenditures, including remuneration levels for physician and non-physician costs (such as compensation for non-physician team members).
- To specify the contributions (cash, in-kind, other) of any other funders/contributors.
- How much funding are you requesting from the Innovation Fund for the project each year, and in total?
- What is the **full value of funding** required (if different than above) for the project?

#### 4.0 Form D

D is a declaration by Project Leads whose projects were selected as “alternates” or contingency projects during the initial round of any given competition. If these Projects Leads are later invited to proceed with their project, they must first fill in Form D for review and approval by their Governance Organization and by IFPOC.

The declaration itself is intended to demonstrate to the IFPOC that the Project Lead is:

- **Ready to begin** the project within the next three months
- Prepared to complete the project within the **same timeframe** as the project being replaced
- Able to complete the project **using the Innovation Fund money available** from the project being replaced

#### 5.0 Forms P3 and P4 – Final Reporting

A complete Final Project Status and Accounting Report from the Project Lead consists of two documents: the Final Narrative Report P3, and the Final Budget and Financial Statement P4. Both elements must be included in the reporting to your Governance Organization.

This Final Project Status and Accounting Report needs to be submitted to IFPOC by your Governance Organization by March 31 of the year report is due. Please submit your final report your AHSC AFP Governance Organization as soon as possible so that they can do their own internal review and approvals before submitting to IFPOC. All Final Project Status and Accounting Reports must be received by IFPOC within 2 years after the end of the term of Innovation Funding (e.g. Projects receiving one year of funding in March 2013 must report by March 2016, and Projects receiving two years of funding in March 2013 must report by March 2017) – whether or not you have finished the project. At the end of this period, regardless of status of the project, a report is required and unspent funds must be returned.

Please note that the reporting requirement, Final Project Status and Accounting Report includes these three elements: the Online Final Report Summary (provided by your Governance Organization), the Final Narrative Report (P3) and the Final Budget and Financial Statement (P4). Governance Organizations will not be permitted to upload final reports that do not include these three elements.

# AHSC AFP Innovation Fund Year XI (2018-19)

## OMA per Diem Guidelines<sup>1</sup>

**Please note:** If permitted in your institution, physician compensation is eligible for funding based on the time involved at a rate no higher than the OMA per diem rates whether or not remuneration is for actual clinical activity (see attached Appendix “C”)

**Use of funds:** Innovation Funds may be used to compensate participating physicians for evaluating the quality of existing or new health care services, to enable the development of new models of health care delivery, and to optimize health care delivery within the framework of the current health care system.

### OMA – Claim Guidelines JANUARY 1, 2018

Honorarium and out-of-pocket expenses may be claimed by members participating in OMA related business meetings per the Financial Matters Policy summarized below:

- OMA Council & Board of Directors
- CMA Council: Delegates appointed by the Board
- Committees, Subcommittees, Task Forces and Working Groups: established according to policy and subject to funding.
- Section, Medical Interest Group, Branch Society and District: meetings other than their Annual General Meeting.
- Others: meetings in which members take part on the request of, and are responsible to, either Council or the Board of Directors.

#### 1. HONORARIUM

##### A. Rates for Meeting, Teleconference, and Travel Honorarium:

| OMA Honorarium Basic Rates  | Meeting Attendance<br>(hourly rate only used for meetings up to 2 hours) |               | Teleconference | Travel      |
|-----------------------------|--|---------------|----------------|-------------|
|                             | Hourly rates   | Half Day Rate | Hourly Rate    | Hourly Rate |
| Days served since January 1 |  |               |                |             |
| Up to 15                    | \$116  | \$407.50      | \$116          | \$116       |
| 15.5 to 25                  | \$142  | \$497.50      | \$142          | \$142       |
| More than 25                | \$164  | \$572.50      | \$164          | \$164       |

##### B. Honorarium for Meetings:

| Meeting duration   | Basis for honorarium |
|--|----------------------|
| 0.5 to 2.0 hours   | Hourly               |
| 2.5 to 4.5 hours   | One half-day         |
| 5.0 to 9.5 hours   | One full day         |
| More than 9.5 hours<br>(on same calendar day)                      | Three half-days      |
| Teleconferences and travel are calculated to the nearest half hour |                      |

- Members will be paid at the highest tier for all days served during the calendar year, retroactively if necessary.
- Members of designated bodies and Committee chairs will be paid a premium rate of 25% for meetings of the designated body to reflect time spent outside formal meetings which would not otherwise be paid

**C. Honorarium for Travel:**

- Travel honorarium is payable in half-hour increments, at the same hourly rate as meeting time, for time spent travelling to and from an eligible meeting for any round trip of one-half hour or more (see table).
- Eligible travel time starts when the member leaves his/her home or office and ends when he/she returns (excluding the time spent in eligible meetings). Travel honorarium is not payable for time spent on personal activity of any nature. Members must schedule their travel as close in time as reasonably possible to the start and end of the meeting.
- If a member chooses other than the most efficient means of travel, travel honorarium will be paid as an allowance reflecting normal travel time by the most efficient means for that trip.

**2. OUT-OF-POCKET EXPENSES****A. Hotel Accommodation:** Limited to the negotiated OMA rate (plus tax) at the base hotel designated by the Board of Directors.

- The designated hotel for 2018 is InterContinental Toronto Yorkville and the rates are: January 1 to March 31 and December 1 to 31 - \$248 plus applicable taxes; April 1 to November 30 - \$269 plus applicable taxes.
- When a meeting is held in a hotel, members who stay in the meeting hotel will be reimbursed up to the negotiated OMA rate for that hotel.
- An allowance of \$100 per night may be claimed as a guest in a private home in lieu of hotel.

**B. Meal Allowance:**

- Reasonable cost of meals required during the member's absence from home. Maximum daily expense is \$80 including gratuity and taxes.

**C. Personal Expenses:**

- Not responsible for expenses of spouses, except where specifically allowed in the Financial Policy.
- Not responsible for entertainment and other items of a personal nature such as laundry, personal telephone calls, in-room and bar charges (including in-room bar). Please omit these items from your claim or indicate your reason for considering them an OMA responsibility.
- Essential laundry and pressing may be claimed if 3 or more consecutive days of business are required without the opportunity to return home.
- Caregiving reimbursement: Maximum reimbursable amount based on Ontario minimum wage will be \$64 for each half day of meeting time and \$104 for each full day of meeting time.

**3. NOTES - Claim Submission Deadlines, Cancelled Meetings and Issuing T4 for tax returns:**

- Claims for reimbursement of expenses and honorarium will be honoured if received no later than 6 months from the date of the meeting.
- Claims for meeting honoraria will be honoured when a scheduled meeting has been cancelled provided the cancellation was beyond the member's control and the member incurred financial loss beyond his/her capacity to mitigate.

<sup>1</sup> ONTARIO MEDICAL ASSOCIATION, MEMBER HONORARIUM & EXPENSE CLAIM – JANUARY 1, 2018