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TRAUMA SYSTEM FUND AUTHORITY

Trauma System Development



GUIDELINES AND PROCEDURES

APPROVED BY TRAUMA SYSTEM FUND AUTHORITY ON MARCH 21, 2012

1. Introduction

In 2006, the New Mexico Legislature passed House Bill 266, the Trauma System Fund Authority Act (TSFAA), in response to a 2005 Governor's Trauma Task Force study on the crisis in trauma care in New Mexico. The TSFA's mission is to sustain existing trauma centers, support the development of new trauma centers, develop a statewide trauma system and, distribute the trauma system fund created by the.

The TSFA established general guidelines for trauma system development funding use. However, the TSFA delegated the application process and the review of all applications to the Trauma Advisory and System Stakeholders Committee (TASSC). TASSC presents prioritized funding recommendations to the TSFA, which has final authority for funding allocations.

2. Definitions

Application: Contact Information – Includes amount requested, contact person, mailing address, EMS region, phone, fax, e-mail address, fiscal agent, contact name, address, phone, fax, e-mail address. (No points allotted, required element)

Application: Completeness – The extent, to which all questions are answered and the requested information and documentation is provided. (No points allotted, required element)

Application: Deadline – The date by which applications must be submitted as stated on the application.

Application: Service Area of Project – The area which the project will impact, i.e. state wide, EMS Region, County, or local area. (No points allocated, required element)

Application: Type of agency, service, organization – The type of agency, service or organization that is applying. (No points allocated, required element)

Application: Proposed Trauma System Development Project – The type of project that is being applied for, i.e. education, research, data management, equipment. (No points, required element)

Application: EMS Region Certification – Signed by the EMS Region, certification of Entity's attendance at Trauma System meetings, and reviewed by the regional office for sufficiency. (No points, required element)

Application: Project Description – Describe the project in one or two sentences. (0-10 points)

Application: Project Analysis – A detailed description of the area of improvement the project is to address, the extent to which the project is needed, including historical information, problem

statement, proposed solution. Include any additional documents that may be useful in reviewing the project (i.e. project plans, preliminary research). (0-20 points)

Application: Project Logistics – Describe in detail the steps that will be taken to complete the project, this includes a timeline for completion of the project. (0-20 points)

Application: Project Impact – Application must describe the number of direct beneficiaries of the project. Applicant must demonstrate how completion of the proposed project will result in specific measurable results and must meet the current DOH Strategic Plan objective. (0-40 points)

Application: Summary of Cost – The applicant must submit a summary of the costs, project components, anticipated cost, in-kind contribution, and total amount requested from the TSFA. (0-20 points)

E. Project cost summary: list project components and budget amounts below Administrative costs cannot exceed 10% of the project cost 20 points				
Project Components	Anticipated Cost	Matching Contributions or other funding	Actual Request (Total cost of project minus matching value from total project cost)	
	\$	\$		Total Costs
	\$	\$	-	In Kind
	\$	\$		
	\$	\$		
	\$	\$		
Total cost of project		Total In-kind funds		Actual request

Application: Detailed Budget – A detailed budget and budget narrative must be provided with the application. If purchasing equipment or supplies, a current quote page from vendors must be attached. (0-20 points)

Application: Partial Funding – A detailed and complete budget for the following possible funding amounts must be included. (0-10 points)

75% Funding

50% Funding

25% Funding

Application: Letters of Collaboration/support – A minimum of 3 letters of collaboration or support are required, and must be submitted with the application. The letters of support should include entities with whom the applicant is collaborating, and any Entity with which this project would impact. (0-20 points)

Application: Previous Year's funding– If applicant has received funding from the TSFA in previous fiscal years, describe the project, the current status and outcome. (No points, required element)

Application: Other sources of funding –Include other funding sources applied to for this project. (No points, required element)

Application: Assurances – Agreement to utilize the funds for the stated project, provide in-kind support by cash, or other in-kind contribution, comply with all application requirements of the New Mexico Department of Health, that all information contained in the application is true and correct, and agree to participate in trauma planning committees as referenced on page 2 of the application under Assurances. This must be signed by the following:

Project Coordinator

Alternate Contact Person

Authorized Signatory

Medical Director (only if required for project as per EMS Scope of Practice)

NOTE: Applications will not be accepted for review without appropriate signatures

3. Eligible Applicants

A trauma system matches the needs of the injured person to the facility with the resources to treat the patient and achieve the best possible outcome. A trauma system is an organized, pre-planned approach to caring for the severely injured patient which facilitates optimal outcomes.

Eligible applicants include members of the continuum of care: injury prevention, emergency medical services, community hospital emergency departments, hospital-based trauma centers, hospital inpatient care, rehabilitation, and outpatient follow-up treatment.

Applicants for funding must address how proposed projects will provide support to trauma system development in New Mexico and are in alignment with the New Mexico Department of Health Strategic Plan as presented in the TSFA System Development Application appendix.

4. Funding

The TSFAA was enacted by the Legislature, and Trauma System Fund receives monies appropriated by legislature. This fund is non-reverting.

5. Summary

These grants will be made to qualified projects submitted by health/emergency facilities, pre-hospital organizations, regional entities, and non-profit organizations. More than one application may be submitted per Entity.

6. Terms & Conditions

The following terms and conditions apply to the TSFA allocation and are made part of the Memorandum of Agreement.

6.1 Grants will be made to qualified projects submitted by Entities.

6.2 The project must be completed within the fiscal year of award.

6.3 Project evaluation criteria require that the Entity must provide at least 10% cash or in-kind contributions from other resources.

7. Project Plan

Project plan is a process for stating how to complete a particular project within a certain time frame, usually with defined stages, and with designated resources.

This may include:

- a. Setting measurable objectives
- b. Identifying deliverables
- c. Making supporting plan

8. Outreach & Education

The EMS regional offices in collaboration with the New Mexico Department of Health EMSB Trauma Program will provide assistance and guidance to entities to assist with applications, submission, project planning, and project completion.

9. Application for Project Funds

All entities eligible for funding must submit a TSFA Trauma System Development Application.

Step One: Application

The TSFA Trauma System Development application can be found electronically on the DOH EMS Website, <http://www.nmems.org/>.

Step Two: Regional

All applications must be submitted to the EMS Regional Office with which the Entity is affiliated. The regional office will then sign off on the application for sufficiency, and eligibility by confirming attendance and collaboration and at regional/statewide trauma meetings.

Step Three: Submission of Application

The application must be submitted to the EMSB Trauma Program by close of business as stated in the application.

Step Four: Project Review

Once the application is received, it is logged into a spreadsheet with the following pertinent information:

1. Assigned a tracking number
2. Organization
3. Regional location
4. Regional impact
5. Brief project description
6. Amount requested
7. Project coordinator, and contact information
8. Organization Name
9. Fiscal Agent and contact information
10. Dates of importance to follow (if approved by TSFA);
 - a. Date sent for MOA internal approval
 - b. Date approval received
 - c. Date sent to Entity for original signature
 - d. Date original signature from Entity received
 - e. Date of fully executed MOA
 - f. Date fully executed MOA sent to Entity
 - g. Date of payment
 - h. Closeout date

Note: All application originals are maintained at the EMSB Trauma Program Office.

Step Five: Application Review & Scoring

It is assumed that the EMS regional offices have a clear knowledge of what projects would best serve their regional area. The regional offices are tasked with reviewing all applications that impact their regional area and all applications that have a statewide impact. Regional offices review applications in the following manner:

1. A team of five persons will review the applications pertinent to their region and review statewide applications.
2. No parties should review an application that they themselves have submitted. As such, the review members shall be made up of parties who have not personally submitted an application, or abstain from review of their application and note on a scoring sheet the reason for abstention.
3. Each of the five members will review each application objectively using the scoring tool provided by the EMSB Trauma Program.
4. Each reviewer can provide any specific comments in the lines provided.
5. On the Trauma System Development Cumulative Scoring Tool Sheet, the EMS Region leader will input all five members' scores for each application and any applicable comments.

CUMULATIVE SCORING TOOL

Category	#1	#2	#3	#4	#5
A. Project description (Max 10)					
B. Project analysis (Max 20)					
C. Project logistics (Max 20)					
D. Project impact (Max 40)					
E. Project cost summary (Max 20)					
F. Detailed budget (Max 20)					
G. Partial funding plan (Max 10)					
H. Letters of Collaboration / Support (Max 20)					
Project overview (Max 60)					
TOTAL SCORES					

6. The EMS Region leader will rank the applications from the region, and rank the statewide applications indicating;
 - a. Funding recommendations
 - i. Full
 - ii. None
 - iii. Partial
 - b. Regional priority

7. The EMS Region leader will submit this scoring tool summary to the EMSB Trauma Program by the date specified.
8. The EMS Region leader will choose one person to present the recommendations to the Trauma Advisory and System Stakeholder Committee Review Team made up of the following:
 - a. Chair of Trauma Advisory and System Stakeholder Committee
 - b. Trauma Systems Manager
 - c. One person recommended by each regional office who is not associated with that office (3 person's total).
9. The Trauma Advisory and System Stakeholder Committee Review Team will review the recommendations from each regional office, and make some of their own. These recommendations will then be presented to the Trauma System Fund Authority in June prior to the next fiscal year.

Step Six: TSFA Presentation and Review

The results and analysis of the review committee shall be documented on the rating form according to the criteria and points assigned. The scores will be averaged, ranked, summarized, and presented to the TSFA. All timely applications shall be presented to and considered by the TSFA. The TSFA shall consider the following:

- a. The qualifying project is important to the overall needs for the community of the submitting applicant.
- b. The proposed project is ready for immediate commencement.
- c. The applicant has the ability to secure financing from other sources.

The ability of the TSFA to make awards of grants under the Act is contingent upon the existence of sufficient funds in the TSFA Fund. TSFA's decision as to whether or not sufficient funds are available shall be accepted by the applying Entity and shall be final.

The TSFA shall meet at the call of the Chairman at least once each calendar year (usually June) at a duly called meeting to consider all timely submitted applications. Should the TSFA determine that it is necessary, the TSFA may call additional meetings to consider applications that have been submitted. Any action to make a grant by the TSFA must be by majority vote of the nine voting members, as defined by the TSFA Regulations NMAC 7.27.9

Step Seven: Communication

General communication by telephone, email or United States Postal Services is acceptable. If there is a particular need, a decision on communication methods will be made on an individual basis.

Written notification on Entity letterhead must be received by the Bureau prior to the next regularly scheduled Trauma System Fund Authority, or prior to the end of the fiscal year, if the Entity is:

- Unable to meet deliverables,
- Requesting funding re-allocation,
- Requesting changes to SOW

At the discretion of the Trauma System Fund Authority or the Bureau, the Bureau may send a certified letter to assure receipt of documents pertaining to the Entity's MOA.

10. Scope of Work (SOW)

The Department of Health has standardized the requirements for the SOW.

The SOW in a contract consists of the tasks, deliverables and due dates that need to be completed by the Entity. The SOW differs depending on the project.

The SOW will include:

1. Where services will be performed
2. Performance Measures from the "Current" DOH Strategic Plan
3. Compensation (including Task Number, Deliverables, Budget Amount and Reporting Category/Project ID for each Task).

Information in all SOW's will be based on the application and the detailed project plan submitted.

The SOW in the Memorandum of Agreement (MOA) must be sent by the EMSB Trauma Program to the Office of General Council (OGC) to be reviewed.

11. Epidemiology and Response Division Approval (ERD)

The EMSB Trauma Program will submit to the ERD a contract approval form, and the MOA with a complete SOW to the contract specialist at the ERD. The MOA is then reviewed for completeness, format and TSFA budget.

12. MOA Execution

EMSB Trauma Program will mail the reviewed MOA to the Entity. The Entity must;

1. Review the MOA for completeness, format, and budget
2. Sign and date the signature page

3. Initial all MOA pages on the bottom right hand corner
4. Return to the EMSB Trauma Program to attain all other signatures for MOA execution.

NOTE: The Entity cannot complete any work until the MOA has been fully executed by the Department of Health.

13. Disbursement of Funds

The State's assets must be managed through the effective management and administration of the grants from the TSFA Fund.

NMAC 7.27.9.8 DUTIES OF THE BUREAU: On behalf of the Department, the Bureau shall provide administrative and staff support to the Authority, including the administration and distribution of the fund, pursuant to oversight by the Authority in conformance with the Act and this rule."

Safeguarding will be accomplished by: (1) recognizing and recording all transactions; (2) assuring that resources are expended only for authorized purposes; (3) complying with legislation, rules and regulations; (4) establishing accountability; and (5) ensuring that all processes are completed in a timely fashion.

To safeguard assets, monies must be disbursed using only the methods and procedures authorized by state law, rules and regulations. The following guidelines are meant as guidelines. However, deviation from these procedures would be considered by DFA as poor accounting practices (see §12-6-5, NMSA 1978 which requires poor accounting practices to be reported in an agency's audit report)

All disbursements of State monies from the TSFA Fund shall be made through the use of one of the following:

- 1) Payment Vouchers/Warrants – These documents are used for the majority of monies disbursements on a reimbursement basis only.
- 2) Direct Payment to Vendor – Available for projects on a negotiated basis.

14. Payment of Project Expenses & Reporting

14.1 Grants. In an effort to standardize the process for requests for payment for grants under the Act, please follow these guidelines when preparing your documentation for submittal to the EMSB Trauma Program for processing:

- 14.1.1 Requests for payment must include an itemized invoice, in date sequence, for materials received and work performed. (No Invoice can pre-date the date of execution for the MOA.)

- 14.1.2 Requests for payment must reference the MOA number (located at the top right corner of the MOA);
- 14.1.3 Supporting documentation must accompany the invoice, including a copy of the invoice from the vendor and a copy of the cancelled check made payable to the billing party (a copy of both sides of the check is required). If you are unable to provide a copy of the bank endorsement on the back side of the check, then a copy of the bank statement will suffice. Please highlight the check number and the amount of the check. Payment shall be made upon receipt of a detailed, certified, invoice from the Entity, accompanied by a quarterly report that contains a statement of account, budget activity report, and a narrative progress report of activities. Therefore, all invoices must include the Request for Payment/Quarterly Report Form. This form will provide an update to EMSB Trauma Program on the project's status, percentage of completion, reference to performance measures addressing accomplishments during that particular billing period;
- 14.1.5 Invoices for projects funded will be processed per DOH protocol and may take up two weeks; and
- 14.1.6 The Entity will provide for strict accountability of all receipts, disbursements and Statement of Account/Budget Activity Report/Narrative Quarterly Progress Report of activities. The Entity will preserve such records for at least three (3) years following the final expenditure under the MOA.

15. Reallocation

The TSFA may consider projects that were not completed in the fiscal year allocated to complete the project. The TSFA may consider a 6 month reallocation of funding on a case-by-case basis. Entities requesting a reallocation must submit written notification to the EMSB Trauma Program at least 45 days in advance of the project end date.

The written notification submitted by the Entity must:

1. Provide full justification for why the project will not be completed in the allotted time.
2. Provide information clearly indicating all executable project deliverables completed.
3. Provide information clearly indicating project costs to date and payments made.
4. Provide a specific plan of action for the completion of all outstanding executable project deliverables within the 6 month reallocation time.

5. Provide a specific budget indicating the project amount spent to execute deliverables completed.
6. Provide an anticipated budget for the completion of all outstanding project deliverables.
7. Provide a timeline of completion for the reallocation period.

Along with submitting information requesting a reallocation, the Entity shall be required to attend and present its request at the TSFA meeting. The project manager should be prepared to respond to questions from members of the TSFA.

16. Project Close-Out

All Projects are required to be formally closed-out by the TSFA. A close-out report must be submitted by the Entity with the final disbursement request. The close-out report shall include a narrative description of the project's accomplishments, final project disposition, and a project close-out Financial Status Report.

Revision and Approval

	Committee Approvals	Date of Approval
1 st Revision	TASSC, TSFA	03/2013