

**Department of Health and Human Services
Office Of The Secretary Of HHS
Notice of Grant Award (NGA)**

1.RECIPIENT

SAI NUMBER:

PMS DOCUMENT NUMBER:
90HT002001

1. AWARDING OFFICE: Office of the Natl Coordinator for Health Info. Technology		2. ASSISTANCE TYPE: Coop agreement	3. AWARD NO.: 90HT0020/01	4. AMEND. NO.:
5. TYPE OF AWARD: OTHER		6. TYPE OF ACTION: New	7. AWARD AUTHORITY: ARRA, Div A Approp, Subtitle B--IT Professic	
8. BUDGET PERIOD: 02/08/2010 THRU 02/07/2014		9. PROJECT PERIOD: 02/08/2010 THRU 02/07/2014		10. CAT NO.: 93719
11. RECIPIENT ORGANIZATION: Wisconsin Department of Health and Family Services Division of Public Health 1 W. Wilson St. Madison WI 53707 7850 Karen Timberlake, Secretary, Department of Health Services			12. PROJECT / PROGRAM TITLE: Wisconsin Relay of Electronic Data (WIRED) for Health	

13. COUNTY:	14. CONGR. DIST: 00	15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR: Denise Webb
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16. APPROVED BUDGET:		17. AWARD COMPUTATION:		
Personnel.....	\$ 1,010,782	A. NON-FEDERAL SHARE.....	\$ 1,373,551	12.70 %
Fringe Benefits.....	\$ 458,895	B. FEDERAL SHARE.....	\$ 9,441,000	87.30 %
Travel.....	\$ 57,472	18. FEDERAL SHARE COMPUTATION:		
Equipment.....	\$ 0	A. TOTAL FEDERAL SHARE.....	\$ 9,441,000	
Supplies.....	\$ 40,452	B. UNOBLIGATED BALANCE FEDERAL SHARE.....	\$	
Contractual.....	\$ 7,709,375	C. FED. SHARE AWARDED THIS BUDGET PERIOD..	\$ 9,441,000	
Facilities/Construction.....	\$ 0	19. AMOUNT AWARDED THIS ACTION:		
Other.....	\$ 100,345	\$ 9,441,000		
Direct Costs.....	\$ 9,377,321	20. FEDERAL \$ AWARDED THIS PROJECT PERIOD:		
Indirect Costs.....	\$ 63,679	\$ 9,441,000		
At % of \$		21. AUTHORIZED TREATMENT OF PROGRAM INCOME:		
In Kind Contributions.....	\$ 406,988	COST SHARING		
Total Approved Budget(**)..	\$ 9,441,000	22. APPLICANT EIN: 1-396006469-C1	23. PAYEE EIN: 1-396006469-C1	24. OBJECT CLASS: 41.51

25. FINANCIAL INFORMATION:

DUNS: 036448835

ORGN	DOCUMENT NO.	APPROPRIATION	CAN NO.	NEW AMT.	UNOBLIG.	NONFED %
OS/ONC	90HT002001	75-X-0131	2010 19999SH	\$944,100		
OS/ONC	90HT002001	75-X-0131	2010 19999SJ	\$3,325,691		
OS/ONC	90HT002001	75-X-0131	2010 19999NF	\$5,171,209		

26. REMARKS: (Continued on separate sheets)

Statutory Authority: This grant award is issued under the authority of the American Recovery and Reinvestment Act, 2009 (PL 111-5), Title XIII.
By receiving funds under this award, the recipient assures that it will carry out the project/program as authorized and will comply with the terms and conditions and other requirements of this award.
The terms and conditions of this Notice of Award and other requirements have the following order of precedence if there is any conflict in what they require: (1) American Recovery and Reinvestment Act, 2009 (PL 111-5); (2) other applicable Federal statutes and their implementing regulations; (3) terms and conditions of award.

27. SIGNATURE - OS GRANTS OFFICER Vivian Walker <i>Vivian Walker</i>	DATE: 2/8/2010	28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY Karen Butler <i>Karen Butler</i>
29. SIGNATURE AND TITLE - PROGRAM OFFICIAL(S) David Blumenthal, Program Official <i>David Blumenthal</i>		DATE: 2/8/2010

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
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11. RECIPIENT ORGANIZATION:

Wisconsin Department of Health and Family Services, Division of Public Health

26. REMARKS: (Continued from previous page)

This award is subject to the HHS-Approved Standard Terms and Conditions for the American Recovery and Reinvestment Act of 2009.

See: http://healthit.hhs.gov/portal/server.pt?open=512&objID=1441&parentname=CommunityPage&parentid=42&mode=2&in_hi_userid=11113&cached=true.

Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2.

Initial expenditures of funds by the grantee constitutes acceptance of this award.

Standard Terms and Conditions: This award is subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable to you based on your recipient type and the purpose of this award.

This includes requirements in Parts I and II (available at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>) of the HHS GPS.

Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 74 or 92, directly apply to this award apart from any coverage in the HHS GPS.

Recipients are responsible for contacting their HHS grant/program managers for any needed clarifications.

Cooperative Agreement: This award is issued as a cooperative agreement, a financial assistance mechanism in which substantial ONC programmatic involvement is anticipated.

This award is subject to the awardee and collaborative requirements and responsibilities set forth in the Cooperative Agreement outlined in the program announcement under the funding opportunity EP-HIT-09-001 and are hereby incorporated by reference as special terms and conditions of this award.

Contracts: Sub-Award Notification to ONC: This award includes funds in the contractual direct cost category for the purpose of issuing sub-awards.

Prior to the execution of an agreement between the grantee and any sub-awardee, the grantee is to notify ONC of that agreement to obtain approval.

The written inter-organizational agreement must comply with all pertinent Federal regulations and policies.

The approval request to ONC will include the sub-awardee name and a categorical budget narrative.

Sub-Award Equal Treatment: The recipient must comply with 45 CFR 87, including the provision that no State or local government recipient nor any intermediate organization with the same duties as a governmental entity shall, in the selection of service providers, discriminate for or against an organization's religious character or affiliation.

Procurement: When procuring equipment, the recipient must comply with the procurement standards at 45 CFR 74.40 through 74.48 or 92.36 as applicable.

Grantees are required to perform and document some form of cost or price analysis with every procurement action.

Green Procurement: To mitigate the environmental impacts of acquisition of IT and other products/equipment, grantees are encouraged to: (1) participate in 'Green procurement' based on the HHS Affirmative Procurement Plan (<http://www.hhs.gov/oamp/policies/affirmativeprocurement.pdf>) and similar guidance from the Environmental Protection Agency (EPA) and the President's Council

on Environmental Quality (CEQ); (2) use electronic products that are Energy Star® compliant and Electronic Product Environmental Assessment Tool (EPEAT) Silver registered or higher when available; (3) activate Energy Star® features on all equipment when available; (4) use environmentally sound end-of-life management practices, including reuse, donation, sale and recycling of all electronic products.

Matching Requirements: Recipients are required to meet the match stipulated on the Notice of Award and referenced in PL 111-5.

Match requirements must be contributed in proportion to the expenditure of the Federal share of the total project costs.

Failure to meet match requirements can result in a proportionate reduction in the Federal share in this and future awards.

In-kind contributions made by third parties may be accepted as match provided they are adequately supported, appropriately valued, and permissible under applicable law and regulations.

Charges for such contributions must be in accordance with applicable regulations.

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26. REMARKS: (Continued from previous page)

All costs and contributions used to satisfy a match must be documented by the recipient and are subject to audit.
Program Income: Program income must be used and applied towards the match requirement.
Once matching requirement is met, ONC requires the additional cost alternative of program income which allows for the program income to further eligible project or program objectives.
Prior Approval Requests: Any prior approval request should be directed to the ONC Grants Management Office and may be sent to ONCGrants@hhs.gov.
Required Travel: Grantees are required to attend the State HIE Leadership Training and the State HIE Forum, supported by ONC.
Costs must be allocated for travel for two people to attend each event for two days each year of the project period. One will be held in Washington, DC and one will be in Chicago, IL.
Applicant's attendance is an annual requirement.
Reporting Requirements: ARRA Reporting Requirements: ARRA quarterly reports are due within 10 days after each calendar quarter on the 10th of April, July, October, and January each year of the project period.
Grantees must register with www.federalreporting.gov to submit quarterly reports.
Financial Status Reports: A Financial Status Report SF-269 long form should be submitted within 10 days after each calendar quarter to ONCGrants@hhs.gov.
This report must be consistent with the report of expenditures submitted to the payment office as evidenced in the PMS Federal Cash Transactions Report SF-272 and the ARRA quarterly report.
The SF-269 long form is available at: <http://www.whitehouse.gov/omb/grants/sf269.pdf>.
Program Progress Reports: ONC Program Progress Reports (PPR) are due semi-annually and must include the reporting elements referenced in 45 CFR 74.51 or 92.40 as applicable.
ONC will provide guidance for format and further instructions on reporting before the reports are due.
Audit Requirements: The Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) combined the audit requirements for all entities under one Act.
An audit is required for all entities which expend \$500,000 or more of Federal funds in each fiscal year.
The audits are due within 30 days of receipt from the auditor or within 9 months of the end of the fiscal year, whichever occurs first.
The audit report when completed should be sent to the Federal Audit Clearinghouse, Bureau of the Census, 1201 E 10th Street, Jeffersonville, IN 47132.
Fraud, Abuse and Waste: The DHHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements.
Such reports are kept confidential and callers may decline to give their names if they choose to remain anonymous.
Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE 330 Independence Avenue, SW, Room 5140 Cohen Building, Washington, DC 20201 e-mail htips@os.dhhs.gov 1-800-447-8477 (1-800-HHS-TIPS).
Payments for grants are made through the Division of Payment Management (<http://www.psc.gov>).
Applicant organizations are assigned a 12-digit Entity Identification Number for payment and accounting purposes.
That number is an expansion of the 9-digit Employer Identification Number assigned to an organization by the Internal Revenue Service.
PMS is administered by the Program Support Center (PSC), DHHS.
Inquiries regarding payments should be directed to <http://www.dpm.psc.gov> Division of Payment Management, P.O. Box 6021, Rockville, MD 20852, 1-877-614-5533.
RESTRICTION ON EXPENDITURES
As cited in the Notice of Award, this award is a Cooperative Agreement and is restricted allowing up to a maximum of \$944,100.00 of the federal award to be expended for planning purposes only.
Upon receipt, review and approval by ONC of the required documents, ONC will revise the NoA to

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26. REMARKS: (Continued from previous page)

remove the restriction to permit disbursement of additional funds. No additional funds may be disbursed, beyond the \$944,100.00 of the federal award without the prior written approval from the ONC. Please review the NoA carefully for full details and requirements.

FUNDS TRACKING

This award in the amount of \$9,441,000.00 is funded by three separate funding streams. \$944,100.00 is allocated for planning, \$3,325,691.00 towards nationwide inter-state HIE, and \$5,171,209.00 for sub-national/regional intra-state HIE activities. The grantee is responsible for tracking and reporting the cumulative amount expended in each of the three categories in Section 12 of the quarterly Financial Status Reports (SF-269s).

More information regarding the three separate funding streams and the eligible activities that may be charged to each category is available at:

<http://statehieresources.org/the-toolkit/grants-management/grants-management-overview/#Guidance%20for%20Reporting%20Expenditures>.

FUNDING RESTRICTION

This award, \$9,441,000.00 in federal funds is issued subject to the following special conditions:

1. Only funds allotted to planning for \$944,100.00 may be expended.
2. No federal funds may be expended or drawn down from PMS for nationwide inter-state \$3,325,691.00 or sub-national/regional intra-state HIE \$5,171,209.00 categories until the state's strategic and operational plans have been received, reviewed and a revised NoA is issued from ONC detailing the approval. Other required elements for funding can be found in the attached document accompanying this NOA, "Cohort 1 State HIE Grant General Requirements".

State Health Information Exchange Cooperative Agreement Program Guidance for Reporting Expenditures

The State Health Information Exchange Cooperative Agreement Program is providing funding to states through three separate funding streams. The grantee is responsible for tracking and reporting activities and expenditures for each funding stream. This guidance provides more detailed information on the three funding streams and the eligible program activities that may be charged to each of the three categories. The grantee may refer to the Special Terms and Conditions associated with the Notice of Award to identify the specific allocations for each funding category and reporting requirements.

Category 1: Planning

Congress authorized the Health Information Technology for Economic and Clinical Health Act of 2009 (the HITECH Act, part of the American Recovery and Reinvestment Act of 2009 statute), and Section 3013 authorizes funding for both health information exchange (HIE) planning and implementation activities. As required in Section 3013, the state grantee cannot expend funds on implementation until the grantee obtains ONC approval on submitted state plans as required in Section 3013.

To support these state planning activities, ONC is allocating funds to each state grantee that is receiving an award and does not currently have an approved plan. Grantees are allowed 10 percent or a maximum of \$1 million, whichever is the smaller amount, of their total award for planning expenses. However, for grantees that receive a planning allowance of less than \$200,000, ONC would consider a request for an increase above the 10% cap on a case by case basis. The additional planning funds would come from the grantee's Nationwide HIE funding stream.

All expenditures against grant funds made prior to obtaining an approved plan must be directly related to strategic and operational planning activities and must be applied to the Planning category of funding. The costs associated with the State HIT Coordinator position is an allowable expense for the Planning category during the planning phase, but the costs charged to this program should only be for the time allocated to the state's HIE project. If the State HIT Coordinator is given other responsibilities outside this project, only that portion of time used for supporting this project will be allowed.

After the state grantee has received ONC approval for their state implementation plan, any left over funding from the Planning category will be applied to the grantee's Nationwide HIE category or Sub-national/Regional HIE category for implementation activities, as appropriate. Upon receipt of ONC approval for the state implementation plan, the grantee will move into the implementation phase of the cooperative agreement and no additional costs may be charged to the Planning category. All expenses, including activities to update strategic and operational plans after initial approval, are considered 'implementation' and must be applied to either the Sub-national/Regional HIE category or the Nationwide HIE category, as appropriate.

Category 2: Sub-national/Regional (intra-state) HIE

Within the American Recovery and Reinvestment Act, Congress provided not more than and also not less than \$300 million for intra-state HIE development. This activity is interpreted by ONC to be funding for implementation and operational activities that directly enable or benefit HIE activities within the state. Because Congress provided for an exact dollar amount for this activity, each state grantee is given a specific allowance for intra-state HIE capacity development in proportion to their overall funding award. The state grantee must not spend more and must not spend less than this allowance on intra-state activities. It is difficult to provide a comprehensive list of all approved expenditures for intra-state HIE because of the myriad approaches and configurations a state may use to facilitate or develop HIE capacity

throughout a state. Therefore, ONC provides the following examples of intra-state HIE development related activities that could be applied to the Sub-national/Regional HIE category. These are for illustration purposes only and it is the responsibility of each grantee to determine and appropriately document expenditures and justifications of how and why they have allocated intra-state HIE costs.

The following are examples of possible intra-state cost allocations based on the five domains of HIE:

- **Governance** – Convene health care stakeholders to create trust and consensus on an approach for statewide HIE; provide statewide or regional oversight and accountability of HIE to protect the public interest; develop and maintain a multi-stakeholder process to ensure HIE among providers within the state is in compliance with applicable policies and laws.
- **Finance** - Identification and management of financial resources necessary to fund intra-state health information exchange; development of public and private financing for building statewide and regional HIE capacity and sustainability including, but not limited to: pricing strategies, market research, financial reporting, business planning, audits, and controls.
- **Technical Infrastructure** – The architecture, hardware, software, applications, network configurations, standards, certifications and other technological aspects that physically enable the technical services for intra-state HIE in a secure and appropriate manner.
- **Business and Technical Operations** – Activities such as procurement processing, identifying requirements, process design, functionality development, project management, help desk, systems maintenance, change control, program evaluation, and reporting for intra-state HIE.
- **Legal/Policy** – The mechanisms and structures that address legal and policy barriers and enablers related to the electronic use and exchange of intra-state health information. These mechanisms and structures include, but are not limited to: policy frameworks, privacy and security requirements for system development and use, data sharing agreements, laws, and regulations. Creation of a common set of rules and agreements to enable inter-organizational and intra-state health information exchange while protecting consumer interests.

Category 3: Nationwide (inter-state) HIE

ONC is providing an allowance for an additional amount of funding per state grantee for HIE activities that enable state participation in inter-state HIE and the Nationwide Health Information Network (NHIN). Inter-state HIE costs are those in any of the five domains listed above that are expended in order that health information is enabled to be shared across state borders between un-affiliated organizations. The grantee is responsible for ensuring that technical infrastructure development and data sharing agreement-related activities follow current NHIN specifications and requirements to be allowable within the Nationwide HIE category.

As with the intra-state Sub-national/Regional HIE category, it is difficult to provide a comprehensive list of all approved expenditures for inter-state HIE because of the various approaches and configurations a state grantee may take to implement HIE and participate in inter-state exchange and/or the NHIN. ONC provides examples below for illustration purposes only. It is the responsibility of each grantee to determine and appropriately document expenditures and justifications of how and why they have allocated inter-state HIE costs.

The following are examples of possible inter-state cost allocations based on the five domains of HIE:

- **Governance** – Participation in NHIN and/or inter-state governance activities to provide oversight and accountability of HIE to protect the public interest. Develop and maintain a multi-stakeholder process to ensure HIE across state boundaries is in compliance with all applicable states' policies and laws.

- **Finance** - Identification and management of financial resources necessary to fund, manage and control participation in the NHIN and/or inter-state health information exchange. This includes, but is not limited to: pricing strategies, market research, public and private financing strategies, financial reporting, business planning, audits, and controls.
- **Technical Infrastructure** – This domain includes costs related to the architecture, hardware, software, applications, network configurations, HHS standards, certifications and other technological aspects that physically enable the technical services for NHIN participation and/or inter-state HIE in a secure and appropriate manner. In particular, this would include the development of HIT infrastructure (e.g., servers, software, networking) directories (e.g., master patient index, provider index), and shared services (e.g., record locator services, authentication services) that follow NHIN specifications.
- **Business and Technical Operations** – Activities include but are not limited to: procurement, identifying requirements, process design, functionality development, project management, help desk, systems maintenance, change control, program evaluation, and reporting for developing, operating and maintaining participation in the NHIN and/or inter-state health information exchange.
- **Legal/Policy** – The mechanisms and structures in this domain address legal and policy barriers and enablers related to the participation in the NHIN and/or electronic use and exchange of inter-state health information. These mechanisms and structures include but are not limited to: policy frameworks, privacy and security requirements for system development and use, data sharing agreements, laws, regulations for multi-state policy harmonization activities. Create a common set of rules and agreements to enable interstate health information exchange while protecting consumer interests.

Additional Information for Grantees:

Principles of Cost Allocations

Cost allocability (cost principles) as referenced in the OMB Circulars A-87 for state governments and A-122 for non-profits apply to these awards. The circulars are available at:

<http://www.whitehouse.gov/omb/rewrite/circulars/a087/a087-all.html> and
http://www.whitehouse.gov/omb/circulars_a122_2004/.

Both circulars indicate that a cost is allocable to a particular cost objective, project service, or other activity, in accordance with the relative benefits received. Therefore, in the case of a cost that benefits both intra-state and inter-state HIE efforts, the grantee may charge the cost in proportion to the benefits received to the intra-state and inter-state HIE efforts.

Allowable Costs

Notwithstanding the allocation of costs, allowable costs are those listed for this cooperative agreement as described in the FOA.

STATE HIE GRANT GENERAL REQUIREMENTS

The following are requirements that State HIE Grant Recipients are to meet in order to release restriction of funds. The required documentation described within each requirement must be submitted to and reviewed by ONC program staff for approval. Further guidance will be provided on the reporting of requirement fulfillment.

ID#	<i>Requirements - These requirements reflect the actions/accomplishments expected of recipients to comply with the Terms and Conditions of this Notice of Award. Many of these items are required components of the state's strategic or operational plans. For states that submitted state strategic and/or operational plans as part of the cooperative agreement application but that do not meet the FOA plan requirements, these dates are indicated in red.</i>	<i>FOA References - Most requirements are mapped to a category outlined in the State HIE Cooperative Agreement Program Funding Opportunity Announcement. Where applicable, these references are included below (page numbers reference the MS Word version of this announcement available on the ONC Website).</i>
Governance		
G.1	By 5/1/2010 (5/1/2010), recipients are required to identify for ONC the designated state Government HIT Coordinator who will interact with the federally funded state health programs and also the HIE activities within the state.	<i>State Government HIT Coordinator – The state government has appointed a State Government HIT Coordinator who is a state official and will coordinate state government participation in HIE. The Strategic Plan shall identify the state Government HIT Coordinator. The plan shall also describe how the state coordinator will interact with the federally funded state health programs and also the HIE activities within the state. (pp. 23, 52)</i>
G.2	By 3/15/2010, prior to submitting the strategic and operational plans to ONC, recipients are required to submit their approach to developing (revising) their strategic and operational plans through broad-based stakeholder collaboration in a transparent manner that fosters buy-in and trust.	<i>Governance Structure - Establish a governance structure that achieves broad-based stakeholder collaboration with transparency, buy-in and trust. (p.12)</i>
G.3	By 8/31/2010 (4/30/2010), recipients are required to submit as part of the strategic or operational plan to ONC an approach to a governance structure and the make-up of their governing body, including a list of stakeholder participants and a description of their roles.	<i>Governance Structure - Establish a governance structure that achieves broad-based stakeholder collaboration with transparency, buy-in and trust. (p.12)</i>

STATE HIE GRANT GENERAL REQUIREMENTS

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G.4	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, content that outlines the oversight and accountability mechanisms to protect the public interest (e.g., transparency policies).</p>	<p><i>Oversight and Accountability – Establish oversight and accountability mechanisms to protect the public interest. (p.12)</i></p>
G.5	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a framework for the recipient to align with the emerging nationwide HIE governance.</p>	<p><i>Alignment with National HIE Governance – Account for the flexibility needed to align with emerging nationwide HIE governance. (p.12)</i></p>
Finance		
F.1.	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, an analysis of how the State may use state purchasing power to enhance the demand for care coordination and information exchange. This analysis should include information on what the process and timeframe would be to implement each identified approach.</p>	<p><i>Business Plan – Develop a path to sustainability including public/private financing mechanisms. (p.12)</i></p>
F.2	<p>By 2/10/2011 (or one year from start date specified in the Notice of Award), recipients are required to update their strategic and operational plans annually to update their plans on sustainability to ONC that includes a business plan with feasible public/private financing mechanisms for ongoing information exchange.</p>	<p><i>Sustainability Plan - Develop a path to sustainability including a business plan with feasible public/private financing mechanisms for ongoing information exchange. (p.52)</i></p>
Technical Infrastructure		

STATE HIE GRANT GENERAL REQUIREMENTS

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T.1	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, an approach for how existing regional and state level efforts will be leveraged and resources that can advance HIE, such as master patient indices, health information organizations (HIOs), NHIN, and the Medicaid Management Information System (MMIS).	<i>Identify and Leverage Resources – Leverage existing regional and state level efforts and resources that can advance HIE, such as master patient indices, health information organizations (HIOs), NHIN, and the Medicaid Management Information System (MMIS). (p.12)</i>
T.2	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a statewide technical architecture based on stakeholder input and consensus that supports statewide HIE.	<i>Technical Infrastructure - Develop or facilitate the creation of a statewide technical infrastructure that supports statewide HIE. (p.12)</i>
T.3	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, content to show that the planned technical architecture for statewide HIE leverages the appropriate HHS-adopted standards and certifications for health information exchange.	<i>Interoperability and Certification – Technical infrastructure leverages the appropriate HHS adopted standards and certifications for health information exchange. (p.53-54)</i>
T.4	By 8/31/2010 (4/30/2010), recipients are encouraged to submit, as part of the strategic or operational plan to ONC, content to show that the planned technical architecture for statewide HIE aligns with NHIN core services and specifications.	<i>Federal Healthcare Provider Exchange Architecture – Technical architecture aligns with NHIN core services and specifications. Encouraged but not required. (p.56)</i>
T.5	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, content to show that the planned technical architecture for statewide HIE considered web-enabled state level directories that would support standards-based directory queries, including health care provider directories, health plan directories, and licensed	<i>Technical Infrastructure – The state considers the use of shared directories and technical services to leverage economies of scale and enable nationwide health information exchange consistent with nationwide guidance. (p.13)</i>

STATE HIE GRANT GENERAL REQUIREMENTS

ID#	Requirements - These requirements reflect the actions/accomplishments expected of recipients to comply with the Terms and Conditions of this Notice of Award. Many of these items are required components of the state's strategic or operational plans. For states that submitted state strategic and/or operational plans as part of the cooperative agreement application but that do not meet the FOA plan requirements, these dates are indicated in red.	FOA References - Most requirements are mapped to a category outlined in the State HIE Cooperative Agreement Program Funding Opportunity Announcement. Where applicable, these references are included below (page numbers reference the MS Word version of this announcement available on the ONC Website).
	clinical laboratories.	
T.6	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, content to show the state has considered provider and patient authentication services.	<i>Technical Infrastructure – The state considers the use of shared directories and technical services to leverage economies of scale and enable nationwide health information exchange consistent with nationwide guidance. (p.13)</i>
<i>Business and Technical Operations</i>		
B.1	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, an approach to provide technical assistance as needed to HIOs and others developing HIE capacity within the state.	<i>Technical Assistance to HIOs - Provide technical assistance as needed to Health Information Organizations and others developing HIE capacity within the state. (p.13)</i>
B.2	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a plan that indicates how recipients will align with the State Medicaid HIT Plan (SMHP). The recipient must also confirm that the State Medicaid Director (SMD) approves Medicaid content in the HIE Strategic and Operational Plans as a required sign-off. Additionally, recipients are required to submit as part of the strategic or operational plan to ONC a plan that indicates how recipients will align with and leverage as appropriate the Public Health agency's existing initiatives and future plans. The recipient must also confirm that the State Public Health Administrator approves the proposed content in the HIE Strategic and Operational Plans as a required sign-off.	<i>Medicaid and Public Health Alignment - Coordinate and align efforts to meet Medicaid and public health requirements for HIE & meaningful use criteria. (p.13)</i>

STATE HIE GRANT GENERAL REQUIREMENTS

ID#	<p>Requirements - These requirements reflect the actions/accomplishments expected of recipients to comply with the Terms and Conditions of this Notice of Award. Many of these items are required components of the state's strategic or operational plans. For states that submitted state strategic and/or operational plans as part of the cooperative agreement application but that do not meet the FOA plan requirements, these dates are indicated in red.</p>	<p>FOA References - Most requirements are mapped to a category outlined in the State HIE Cooperative Agreement Program Funding Opportunity Announcement. Where applicable, these references are included below (page numbers reference the MS Word version of this announcement available on the ONC Website).</p>
B.3	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, an approach for monitoring and plan for remediation of the actual performance of HIE throughout the state.</p>	<p><i>Monitoring Capacity - Monitor and plan for remediation of the actual performance of HIE throughout the state. (p.13)</i></p>
B.4	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a staffing plan that will show how staff will be established and maintained to effectively operate statewide HIE functions.</p>	<p><i>Staffing – Establish and maintain adequate staff to effectively operate statewide HIE functions. (p.54)</i></p>
B.5	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a communications plan that outlines the recipient's strategy to effectively communicate with key stakeholders and the health community.</p>	<p><i>Communications – Effectively communicate with key stakeholders and the health community. (p.37)</i></p>
Legal / Policy		
L.1	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, an outline of the legal framework under which the recipient will facilitate health information exchange.</p>	<p><i>Harmonization – Identify and harmonize legal and policy requirements that enable appropriate HIE. (p.13)</i></p>
L.2	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a plan to establish a statewide policy framework that allows for incremental development of HIE policies over time.</p>	<p><i>Statewide Policy Framework – Establish a statewide policy framework that allows incremental development of HIE policies over time. (p.13)</i></p>
L.3	<p>By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a process that ensures appropriate safeguards are in place to assure that state HIE participants adhere to legal and policy</p>	<p><i>Enforcement – Implement enforcement mechanisms that ensure appropriate safeguards are in place and adherence to legal and policy requirements. (p.13)</i></p>

STATE HIE GRANT GENERAL REQUIREMENTS

ID#	Requirements - These requirements reflect the actions/accomplishments expected of recipients to comply with the Terms and Conditions of this Notice of Award. Many of these items are required components of the state's strategic or operational plans. For states that submitted state strategic and/or operational plans as part of the cooperative agreement application but that do not meet the FOA plan requirements, these dates are indicated in red.	FOA References - Most requirements are mapped to a category outlined in the State HIE Cooperative Agreement Program Funding Opportunity Announcement. Where applicable, these references are included below (page numbers reference the MS Word version of this announcement available on the ONC Website).
	requirements, including a robust risk mitigation process.	
L.4	By 2/10/2011, (or one year from start date specified in the Notice of Award) recipients are required to update their strategic and operational plans annually to address the implementation and evaluation of policies and legal agreements related to HIE.	<i>Implementation and Evaluation – Policies and legal agreements are implemented and evaluated as a part of annual program evaluation. (p.13)</i>
L.5	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, an analysis of the barriers, resources and opportunities for overcoming low participation in information exchange that hinders the ability of providers to meet the HIE meaningful use criteria. The recipient should include as part of their evaluation an analysis of regulations and policies and the potential use of state purchasing power.	<i>State Roles – States are to use their authority, programs and resources to remove barriers and create enablers for HIE. (p.8)</i>
L.6	Within three months of ONC approval of the State Plan, the recipient must begin executing their plan to remove regulatory and policy barriers identified in the analysis conducted under L.5 and also use regulatory authority to advance standards compliance and trading partner participation in HIE.	<i>State Roles – States are to use their authority, programs and resources to remove barriers and create enablers for HIE. (p.8)</i>
Outcomes and Performance Measures		
O.1	By 8/31/2010 (4/30/2010), recipients are required to submit, as part of the strategic or operational plan to ONC, a plan to monitor and maintain a targeted degree of participation in	<i>Outcomes and Performance Measures – Monitor and maintain a targeted degree of participation in HIE enabled state level technical services. (p.31)</i>

STATE HIE GRANT GENERAL REQUIREMENTS

ID#	<p>Requirements - These requirements reflect the actions/accomplishments expected of recipients to comply with the Terms and Conditions of this Notice of Award. Many of these items are required components of the state's strategic or operational plans. For states that submitted state strategic and/or operational plans as part of the cooperative agreement application but that do not meet the FOA plan requirements, these dates are indicated in red.</p>	<p>FOA References - Most requirements are mapped to a category outlined in the State HIE Cooperative Agreement Program Funding Opportunity Announcement. Where applicable, these references are included below (page numbers reference the MS Word version of this announcement available on the ONC Website).</p>
	HIE-enabled state-level technical services.	
O.2	By 2/10/2011 (or one year from start date specified in the Notice of Award), recipients are required to update their strategic and operational plans annually to address statewide HIE alignment with other federal programs.	Alignment with ARRA – Statewide HIE efforts are aligned with other federal programs. (p.30, 52, 54)
O.3	For each year of award, the recipient must participate in the nationwide HIE program evaluation.	Required Performance Reporting - states to monitor their own progress and submit data that is to be aggregated across recipients to provide ONC with a national view of progress across the program. (p.31)
Planning		
P.1	By 8/31/2010 (4/30/2010), recipients are required to submit their strategic and operational plans (State Plan) to ONC	State Plans – State are to obtain approval for strategic and operational plans to qualify for implementation funding. (p.14)
P.2	By 8/31/2010 (4/30/2010), recipients are required to submit evidence of stakeholder endorsement of the strategic and operational plans, which may be established through voting of participants or through letters of endorsement and commitment to participate in or support the state-level HIE strategic and operational plans.	Governance Structure - Establish a governance structure that achieves broad-based stakeholder collaboration with transparency, buy-in and trust. (p.12)
Training and Technical Assistance		
N.1	Recipients are required to participate in NHIN Governance Training. Further guidance will be provided by ONC.	
N.2	Recipients are required to review updates to the statewide HIE toolkit modules as new guidance is announced. Further guidance will be provided by ONC.	Guidance – States are required to follow ONC provided guidance when available. (pgs. 10, 11, 12, 15, 21, 31, 33, 41, 42, 43, and 44)

State HIE Standard Terms and Conditions

Statutory Authority

The terms and conditions of this Notice of Award and other requirements have the following order of precedence if there is any conflict in what they require: (1) American Recovery and Reinvestment Act, 2009 (P.L. 111-5); (2) other applicable Federal statutes and their implementing regulations; (3) terms and conditions of award.

Initial expenditures of funds by the grantee constitutes acceptance of this award.

This grant award is issued under the authority of the American Recovery and Reinvestment Act, 2009 (P.L. 111-5), Title XIII. By receiving funds under this award, the recipient assures that it will carry out the project/program as authorized and will comply with the terms and conditions and other requirements of this award.

This award is subject to the HHS-Approved Standard Terms and Conditions for the American Recovery and Reinvestment Act of 2009. See:

http://healthit.hhs.gov/portal/server.pt?open=512&objID=1441&parentname=CommunityPage&parentid=42&mode=2&in_hi_userid=11113&cached=true. Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2.

Standard Terms and Conditions

This award is subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable to you based on your recipient type and the purpose of this award. This includes requirements in Parts I and II (available at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>) of the HHS GPS. Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 74 or 92, directly apply to this award apart from any coverage in the HHS GPS. Recipients are responsible for contacting their HHS grant/program managers for any needed clarifications.

This award is issued as a cooperative agreement, a financial assistance mechanism in which substantial ONC programmatic involvement is anticipated. This award is subject to the awardee and collaborative requirements and responsibilities set forth in the Cooperative Agreement outlined in the program announcement under the funding opportunity EP-HIT-09-001 and are hereby incorporated by reference as special terms and conditions of this award.

Sub-Award Notification to ONC

This award includes funds in the contractual direct cost category for the purpose of issuing sub-awards. Prior to the execution of an agreement between the grantee and any sub-awardee, the grantee is to notify ONC of that agreement to obtain approval. The written inter-organizational agreement must comply with all pertinent Federal regulations and policies. The approval request to ONC will include the sub-awardee name and a categorical budget narrative.

Sub-Award Equal Treatment

The recipient must comply with 45 CFR 87, including the provision that no State or local government recipient nor any intermediate organization with the same duties as a governmental entity shall, in the selection of service providers, discriminate for or against an organization's religious character or affiliation.

Procurement

When procuring equipment, the recipient must comply with the procurement standards at 45 CFR 74.40 through 74.48 or 92.36 as applicable. Grantees are required to perform and document some form of cost or price analysis with every procurement action.

To mitigate the environmental impacts of acquisition of IT and other products/equipment, grantees are encouraged to: (1) participate in "Green procurement" based on the HHS Affirmative Procurement Plan (<http://www.hhs.gov/oamp/policies/affirmativeprocurement.pdf>) and similar guidance from the Environmental Protection Agency (EPA) and the President's Council on Environmental Quality (CEQ); (2) use electronic products that are Energy Star® compliant and Electronic Product Environmental Assessment Tool (EPEAT) Silver registered or higher when available; (3) activate Energy Star® features on all equipment when available; (4) use environmentally sound end-of-life management practices, including reuse, donation, sale and recycling of all electronic products.

Matching Requirements

Recipients are required to meet the match stipulated on the Notice of Award and referenced in P.L. 111-5. Match requirements must be met in proportion to its expenditure of the Federal share of the total project costs. Failure to meet match requirements can result in a proportionate reduction in the Federal share in this and future awards.

In-kind contributions made by third parties may be accepted as match provided they are adequately supported, appropriately valued, and permissible under applicable law and regulations. Charges for such contributions must be in accordance with applicable regulations. All costs and contributions used to satisfy a match must be documented by the recipient and are subject to audit.

Program Income

Program income must be used applied towards the match requirement. Once matching requirement is met, ONC requires the additional cost alternative of program income which allows for the program income to further eligible project or program objectives.

Prior Approval Requests

Any prior approval request should be directed to the ONC Grants Management Office and may be sent to ONCGrants@hhs.gov.

Required Travel

Grantees are required to attend the State HIE Leadership Training and the State HIE Forum, supported by ONC. Costs must be allocated for travel for two people to attend each event for two days each year of the project period. One will be held in Washington, D.C. and one will be in Chicago, IL. Applicant's attendance is an annual requirement.

Reporting Requirements

ARRA Reporting Requirements

ARRA quarterly reports are due within 10 days after each calendar quarter on the 10th of April, July, October, and January each year of the project period. Grantees must register with www.federalreporting.gov to submit quarterly reports.

Financial Status Reports

A Financial Status Report SF-269 long form should be submitted within 10 days after each calendar quarter to ONCGrants@hhs.gov. This report must be consistent with the report of expenditures submitted to the payment office as evidenced in the PMS Federal Cash Transactions Report SF-272 and the ARRA quarterly report. The SF-269 long form is available at: <http://www.whitehouse.gov/omb/grants/sf269.pdf>.

Program Progress Reports

ONC Program Progress Reports (PPR) are due semi-annually and must include the reporting elements referenced in 45 CFR 74.51 or 92.40 as applicable. ONC will provide guidance for format and further instructions on reporting before the reports are due.

Audit Requirements

The Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) combined the audit requirements for all entities under one Act. An audit is required for all entities which expend \$500,000 or more of Federal funds in each fiscal year. The audits are due within 30 days of receipt from the auditor or within 9 months of the end of the fiscal year, whichever occurs first. The audit report when completed should be sent to the Federal Audit Clearinghouse, Bureau of the Census, 1201 E. 10th Street, Jeffersonville, IN 47132.

Fraud, Abuse and Waste:

The DHHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Such reports are kept confidential and callers may decline to give their names if they choose to remain anonymous. Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE 330 Independence Ave., SW, Room 5140 Cohen Building, Washington, DC 20201 e-mail htips@os.dhhs.gov 1-800-447-8477 (1-800-HHS-TIPS).

Payments for grants are made through the Division of Payment Management (<http://www.psc.gov>). Applicant organizations are assigned a 12-digit Entity Identification Number for payment and accounting purposes. That number is an expansion of the 9-digit Employer Identification Number assigned to an organization by the Internal Revenue Service. PMS is administered by the Program Support Center (PSC), DHHS. Inquiries regarding payments should be directed to <http://www.dpm.psc.gov> Division of Payment Management, P.O. Box 6021, Rockville, MD 20852, 1-877-614-5533.

RESTRICTION ON EXPENDITURES

As cited in the Notice of Award, this award is a Cooperative Agreement and is restricted allowing up to a maximum of \$944,100.00 of the federal award to be expended for planning purposes only. Upon receipt, review and approval by the Office of the National Coordinator for Health Information Technology of the required documents, ONC will revise the NoA to remove the restriction to permit disbursement of funds. No funds may be disbursed without the prior written approval from the ONC. Please review the NoA carefully for full details and requirements.

FUNDS TRACKING

This award in the amount of \$9,441,000.00 is funded by three separate funding streams. \$944,100.00 is allocated for planning, \$3,325,691.00 towards nationwide inter-state HIE, and \$5,171,209.00 for sub-national/regional intra-state HIE activities. The grantee is responsible for tracking and reporting the cumulative amount expended in each of the three categories in Section 12 of the quarterly Financial Status Reports (SF-269s).

More information regarding the three separate funding streams and the eligible activities that may be charged to each category is available at: <http://statehierresources.org/the-toolkit/grants-management/grants-management-overview/#Guidance%20for%20Reporting%20Expenditures>.

FUNDING RESTRICTION

This award, \$9,441,000.00 in federal funds is issued subject to the following special conditions:

1. Only funds allotted to planning for \$944,100.00 may be expended.

2. No federal funds may be expended or drawn down from PMS for nationwide inter-state (\$3,325,691.00) or sub-national/regional intra-state HIE (\$5,171,209.00) categories until state's strategic and operational plans have been received, reviewed and a revised NoA is issued from ONC detailing the approval. Other required elements for funding can be found in the attached document accompanying this NoA "Cohort 1 State HIE Grant General Requirements"

Department of Health and Human Services
Standard Terms and Conditions
American Recovery and Reinvestment Act of 2009
Division A Funds
Revised July 6, 2009

1. HHS Standard Terms and Conditions

HHS grantees must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions contained in applicable Department of Health and Human Services (HHS) Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable, unless they conflict or are superseded by the following terms and conditions implementing the American Recovery and Reinvestment Act of 2009 (ARRA) requirements below. In addition to the standard terms and conditions of award, recipients receiving funds under Division A of ARRA must abide by the terms and conditions set out below. The terms and conditions below concerning civil rights obligations and disclosure of fraud and misconduct are reminders rather than new requirements, but the other requirements are new and are specifically imposed for awards funded under ARRA. Recipients are responsible for contacting their HHS grant/program managers for any needed clarifications.

2. Recipient Reporting

Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act") and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in section 1512(c) using the reporting instructions and data elements that will be provided online at www.FederalReporting.gov and ensure that any information that is pre-filled is corrected or updated as needed.

3. Preference for Quick Start Activities

In using funds for this award for infrastructure investment, recipients shall give preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the date of the enactment of ARRA. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit. (ARRA Sec. 1602)

4. Limit on Funds

None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

5. ARRA: One-Time Funding

Unless otherwise specified, ARRA funding to existent or new awardees should be considered one-time funding.

6. Civil Rights Obligations

While ARRA has not modified awardees' civil rights obligations, which are referenced in the HHS' Grants Policy Statement, these obligations remain a requirement of Federal law. Recipients and subrecipients of ARRA funds or other Federal financial assistance must comply with Title VI of the Civil Rights Act of 1964 (prohibiting race, color, and national origin discrimination), Section 504 of the Rehabilitation Act of 1973 (prohibiting disability discrimination), Title IX of the Education Amendments of 1972 (prohibiting sex discrimination in education and training programs), and the Age Discrimination Act of 1975 (prohibiting age discrimination in the provision of services). For further information and technical assistance, please contact the HHS Office for Civil Rights at (202) 619-0403, OCRmail@hhs.gov, or <http://www.hhs.gov/ocr/civilrights/>.

7. Disclosure of Fraud or Misconduct

Each recipient or sub-recipient awarded funds made available under the ARRA shall promptly refer to the HHS Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. The HHS Office of Inspector General can be reached at <http://www.oig.hhs.gov/fraud/hotline/>

8. Responsibilities for Informing Sub-recipients

Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any special CFDA number assigned for ARRA purposes, and amount of ARRA funds.

9. Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5)(Recovery Act) as required by

Congress and in accordance with 45 CFR 74.21 and 92.20 "Uniform Administrative Requirements for Grants and Agreements", as applicable, and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.

(d) Recipients agree to require their sub-recipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor sub-recipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office.

WHO Needs to Report

With a couple of exceptions, as articulated further in this paragraph, recipients of Office of the National Coordinator (ONC) awards funded under the ARRA are required to submit data for grants, loans, and federally awarded contracts on a quarterly basis. Contractors are not required to report if invoices have not been submitted, but recipients of federal grants must report even if no funds have been received or spent during the quarter. Recipients of grant awards under \$25,000 are also not required to report.

Please contact the Reporting.gov Service Desk with questions:

- Phone: 877-508-7386
- TTY: 877-881-5186
- Email: Support@FederalReporting.gov
- Chat: [LivePerson Online Support](#)

Prime recipients (primary awardee or legal entity receiving a grant, contract, or cooperative agreement from an awarding agency) must report quarterly; this responsibility may be delegated to subrecipients (subgrantees). Prime recipients are encouraged to designate an ARRA recipient reporting coordinator to address questions and issues that may arise across the organization's grant programs.

Additional Information: See [FederalReporting.gov User Guide](#): Chapter 7: Report Submission Overview

HOW is Reporting Conducted

FederalReporting.gov is the central government-wide data collection system for Federal Agencies and recipients of Federal awards under Section 1512 of the ARRA. This system is used to submit reports, review reports and access guidance concerning quarterly ARRA reporting. FederalReporting.gov offers three reporting options to recipients (Excel, online, or XML) and includes [templates](#) to facilitate data entry.

Additional Information: [FederalReporting.gov User Guide](#)

REGISTRATION Requirements

Agency users, prime recipients, and subrecipients who have been delegated the authority to report must, register with FederalReporting.gov for a Federal Reporting PIN (FRPIN). The FRPIN is a nine-digit number provided to recipient Points of Contact (POC) enabling access to FederalReporting.gov. To obtain a FRPIN, log onto FederalReporting.gov and click "Request FRPIN." **All recipients must register within 10 business days of receiving an award and should notify their ONC Project Officer, via email, upon registering.** At the same time, if applicable, recipients should also provide the ONC Project Officer the contact information for their designated ARRA recipient reporting coordinator. In order to register, recipients must:

- Provide an email address
- Provide a Data Universal Number System number ([DUNS Number](#)) (If DUNS registration has yet to be completed, allow 24-72 hours to receive a newly issued DUNS number)
- Register in [CCR](#) (Central Contractor Registration). The FRPIN will be sent to the organization's CCR POC.

Additional Information: [Top 10 Tips for Federal Reporting.gov](#), [FederalReporting.gov User Guide](#) See Chapter 3: User Registration and FRPIN Request

Office of the National Coordinator for Health Information Technology
Tip Sheet for ARRA Recipient Reporting (January 2010 Version 1.0)

WHEN Does Reporting Occur

Recipient reporting on ARRA funding happens quarterly, based on the Federal fiscal year calendar. Reporting on awards issued within FY2010 Quarter 2 (January 1, 2010 through March 31, 2010) takes place during the month of April according to the phases delineated below. These dates are based on the schedule for the October 2009 reporting period and may be subject to change in the April 2010 reporting period.

Phase	Days	Action	Timeline
1	Day 1 through Day 10	Recipients and designated subrecipients enter data into FederalReporting.gov.	April 1, 2010 through April 10, 2010
2	Day 11 through Day 21	Prime recipients review data submitted by subrecipients and work with subrecipients to make corrections. Awarding agencies may view submitted reports. The system will lock for corrections on midnight on the 21st, thereby allowing agencies to provide comments on reports.	April 11, 2010 through April 21, 2010
3	Day 22 through Day 29	Awarding agencies review reports and provide comments. Prime and Sub Recipients make corrections in response to comments identified by the agency.	April 22, 2010 through April 29, 2010
4	Day 30	Reports are posted on Recovery.gov.	April 30, 2010

Additional Information: See [FederalReporting.gov User Guide](#): Chapter 7: Report Submission Overview

WHAT Information Is Reported

The Office of Management and Budget (OMB) has created a Recipient Reporting Data Model providing guidance and examples for reporting on the required information. Reporting periods begin with the “Issue Date” on the Notice of Award and should include data through the end of the federal fiscal quarter. Subsequent reporting periods should reflect data on a cumulative basis.

Additional Information: [OMB’s Recipient Reporting Data Model](#)

PREPARING for Reporting

On December 18, 2009, OMB issued a memorandum providing updated guidance on data quality, non-reporting, and job estimates. The guidance provides recipients information needed to help ensure the accuracy and timeliness of their reports and, furthermore, offers insight regarding the manner in which reports will be reviewed by agencies. The primary information needed to conduct reporting is: the Notice of Award, application submitted in response to the Funding Opportunity Announcement (Federal Assistance Standard Form 424 (SF-424) and Standard Form 424A Budget Information – Non-Construction Programs (SF-424A)), the budget narrative approved by ONC, and Evidence supporting jobs created and jobs retained.

Additional Information: [OMB Memorandum M-10-08](#)

HHS RECOVERY ACT RECIPIENT REPORTING READINESS TOOL

HHS has developed a Recipient Readiness Tool to ensure that accurate reporting is conducted on all ARRA awards. The tool includes a four-step process providing grant-specific information to assist recipients in preparing data for reporting:

1. Enter recipient DUNS number OR click on State or Territory for list of HHS grantees
2. Select organization's name
3. Select award title or grant program award
4. Review and copy grant award data into the organization's recipient report or format for FederalReporting.gov data entry

For assistance utilizing the Readiness Tool, contact the Help Desk Mon.-Fri. from 8 a.m. to 8 p.m. EST:
Email: [Readiness Help](#) Telephone: 866-814-5703

Additional Information: [Recipient Readiness Tool](#)

CONSEQUENCES for Not Reporting

In accordance with the Notice of Award and memoranda issued by OMB, failure to report is a violation of the terms and conditions outlined in the Notice of Award.

Additional Information: [OMB Memorandum M-10-05](#) and [OMB Memorandum M-10-08 \(Part 1\)](#)

FURTHER GUIDANCE and RESOURCES

In addition to the aforementioned resources, the following resources are available:

- [Sample reports](#) available at HHS.gov/recovery
- [OMB Reporting Guidance](#)
- OMB's [Webinars](#) on Federal Reporting.gov and OMB's [FAQs](#)
- Grants Management Specialist and Project Officer