

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

1. RECIPIENT

SAI NUMBER:

PMS DOCUMENT NUMBER:  
90HT000701

<b>1. AWARDING OFFICE:</b> Office of the Natl Coordinator for Health Info. Technology		<b>2. ASSISTANCE TYPE:</b> Coop agreement		<b>3. AWARD NO.:</b> 90HT0007/01		<b>4. AMEND. NO.:</b>		
<b>5. TYPE OF AWARD:</b> OTHER			<b>6. TYPE OF ACTION:</b> New			<b>7. AWARD AUTHORITY:</b> ARRA, Div A Approp, Subtitle B--IT Professic		
<b>8. BUDGET PERIOD:</b> 02/08/2010 THRU 02/07/2014			<b>9. PROJECT PERIOD:</b> 02/08/2010 THRU 02/07/2014			<b>10. CAT NO.:</b> 93719		
<b>11. RECIPIENT ORGANIZATION:</b> Illinois Department of Healthcare and Family Services 201 South Grand Avenue East Springfield IL 62763 0001 Barry S. Maram, Director						<b>12. PROJECT / PROGRAM TITLE:</b> The Illinois Health Information Exchange		

<b>13. COUNTY:</b>		<b>14. CONGR. DIST:</b> 00		<b>15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR:</b> Laura Zaremba			
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<b>16. APPROVED BUDGET:</b>			<b>17. AWARD COMPUTATION:</b>		
Personnel.....	\$	1,373,600	A. NON-FEDERAL SHARE.....	\$	742,003 3.79 %
Fringe Benefits.....	\$	576,912	B. FEDERAL SHARE.....	\$	18,837,639 96.21 %
Travel.....	\$	22,560	<b>18. FEDERAL SHARE COMPUTATION:</b>		
Equipment.....	\$	5,000	A. TOTAL FEDERAL SHARE.....	\$	18,837,639
Supplies.....	\$	154,100	B. UNOBLIGATED BALANCE FEDERAL SHARE.....	\$	
Contractual.....	\$	14,432,787	C. FED. SHARE AWARDED THIS BUDGET PERIOD..	\$	18,837,639
Facilities/Construction.....	\$	0	<b>19. AMOUNT AWARDED THIS ACTION:</b>		
Other.....	\$	2,272,680	\$ 18,837,639		
Direct Costs.....	\$	18,837,639	<b>20. FEDERAL \$ AWARDED THIS PROJECT PERIOD:</b>		
Indirect Costs.....	\$	0	\$ 18,837,639		
At % of \$			<b>21. AUTHORIZED TREATMENT OF PROGRAM INCOME:</b>		
In Kind Contributions.....	\$	0	COST SHARING		
<b>Total Approved Budget(**)..</b>	<b>\$</b>	<b>18,837,639</b>	<b>22. APPLICANT EIN:</b>	<b>23. PAYEE EIN:</b>	<b>24. OBJECT CLASS:</b>
			1-371320188-A2	1-371320188-A2	41.51

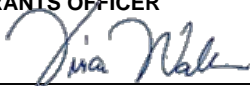
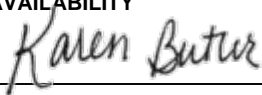

**25. FINANCIAL INFORMATION:**

DUNS: 806715629

ORGN	DOCUMENT NO.	APPROPRIATION	CAN NO.	NEW AMT.	UNOBLIG.	NONFED %
OS/ONC	90HT000701	75-X-0131	2010 19999SH	\$1,000,000		
OS/ONC	90HT000701	75-X-0131	2010 19999SJ	\$7,519,519		
OS/ONC	90HT000701	75-X-0131	2010 19999NF	\$10,318,120		

**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.

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
OFFICE OF THE SECRETARY OF HHS  
FINANCIAL ASSISTANCE AWARD**

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**11. RECIPIENT ORGANIZATION:**

Illinois Department of Healthcare and Family Services

**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](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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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](http://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](mailto: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 the expenditure of funds is restricted in the amount of \$18,837,639.00 (100%) is restricted. Upon receipt, review and approval by the Office of the National Coordinator for Health Information Technology of the

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required documents as outlined in the attachment titled "Restricted Terms and Conditions", 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 ONC.

**FUNDS TRACKING**

This award in the amount of \$18,837,639.00 is funded by three separate funding streams. \$1,000,000.00 is allocated for planning, \$7,519,519.00 towards nationwide inter-state HIE, and \$10,318,120.00 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, \$18,837,639.00 in federal funds is issued subject to the following special conditions:

1. The expenditure of ALL funds is restricted at this time.
2. No federal funds may be expended or drawn down from PMS for planning (\$1,000,000.00); nationwide inter-state (\$7,519,519.00) or sub-national/regional intra-state HIE (\$10,318,120.00) 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 documents accompanying this NoA, "Cohort 1 State HIE Grant General Requirements" and the "Conditions for Restrictions".