U.S. Department of Health and Human Services

Office of the National Coordinator for Health Information Technology

Funding Opportunity Announcement

Tracking Electronic Health Record Adoption, Use, and Related Insights in U.S. Hospitals

Application Due Date: July 5, 2017

Anticipated Award Date: September 13, 2017

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Executive Summary

This funding opportunity announcement (FOA) will provide funds in the form of a sole source, single award, through a cooperative agreement between the Office of the National Coordinator for Health Information Technology (ONC) and American Hospital Association (AHA). The AHA has a series of survey tools that provide a comprehensive resource for analysis and comparison of health care industry trends in U.S. hospitals; including adoption and use of health information technology (health IT). The AHA has an ongoing data collection effort designed to capture information on the adoption and use of electronic health records, as well as users' attitudes towards electronic health records (EHR) in U.S. hospitals. Currently, the AHA is the only data source available that captures nationally representative data on the rate of interoperability among U.S. hospitals.

Interoperability is defined as the ability of a system to exchange electronic health information with and use electronic health information from other systems without special effort on the part of the user. Tracking the adoption and use of health IT, particularly interoperability, is critical to assessing the nation's progress towards achieving widespread interoperability, evaluating the effects of ONC programs, and measuring the impact of interoperability on improving the quality and cost of health care. Since 2008, the AHA and ONC have worked collaboratively to collect data for these purposes through an annual AHA Information Technology Survey (IT Supplement), a supplementary data collection that is separate from the AHA's annual general census of hospitals. The survey has enabled ONC to track health IT adoption and use, evaluate its programs, and inform policy. This survey has been used by collaborative partners and independent researchers to further the body of knowledge in health IT research.

A. Program Description/Purpose

I. Background

The Medicare Access and CHIP Reauthorization Act of 2015 (MACRA) declared it a national objective to achieve widespread exchange of health information through interoperable certified electronic health records (EHRs) technology nationwide by December 31, 2018. The 21st Century Cures Act, enacted in 2016, further defined interoperability establishing it as a national priority. These laws build upon the plan set forth in the Health Information Technology for Economic and Clinical Health (HITECH) Act to advance a nationwide health IT infrastructure to facilitate the electronic use and exchange of information and to improve the quality and efficiency of health care, among other objectives. Since 2008, ONC has partnered with the AHA to conduct a survey regarding the adoption and use of health IT in U.S. hospitals. ONC's input on the survey instrument allows the agency to track key performance measures regarding the interoperable exchange of health information by hospitals, which has direct implications on the success of federal initiatives outlined in MACRA. Continuing to track the adoption and use of EHRs and related attitudes and insights in U.S. hospitals is critical to the responsibilities of ONC. This survey will assist ONC in measuring the nation's progress in achieving widespread interoperability.

II. Purpose

Significant federal investments to accelerate the adoption of EHRs and exchange of clinical data are now in place. It is critical to continue to track the adoption and use of EHRs and related insights to: (1) ascertain the status of adoption and evaluate existing and proposed policy decisions; (2) evaluate the impact of ONC programs and related incentives for meaningful use; and (3) make resources available to ONC and external researchers to assess the effects of health IT adoption and exchange on key aspects of care, such as quality and efficiency. The data generated under this funding opportunity will enable ONC and other researchers to carry out these important activities for inpatient settings.

III. Scope of Services

This potential cooperative agreement involves data collection designed to capture information on the adoption and use of electronic health records, as well as users' attitudes towards them in U.S. hospitals. The AHA is uniquely positioned, with the necessary survey experience and membership of nearly 5,000 hospitals, to develop the survey instrument necessary to track the progress of health IT adoption and use among U.S. hospitals that ONC monitors. This survey will be developed and fielded annually for the duration of the contract. ONC will use the results of this data collection effort for public dissemination of health IT progress.

Structure and Approach

I. Cooperative Agreement Management & Work Plan

Subgoal 1.1: Initial Meeting - The recipient shall meet with ONC staff within seven (7) working days of the award of the cooperative agreement to discuss the work plan, which will include work schedule, the data collection plan, and general insights on the direction of the survey.

Subgoal 1.2: Work Plan – The recipient shall produce a draft work plan within seven (7) working days of the initial meeting that reflects the discussions from the initial meeting. ONC staff will provide comments/ of the plan within five (5) working days.

Subgoal 1.3: Final Work Plan – The recipient shall produce a final work plan within (7) working days of receipt of ONC feedback that reflects the feedback received.

II. Survey Instrument Development

The recipient shall gain insight from the Project Officer and, other applicable representatives from ONC, to help determine relevant subject matter for the given survey year. The recipient will consider this insight in the context of competing goals to both capture most relevant data and maintain data continuity across years. The recipient will update both the mailed survey instrument and a web-based version based on the insight gained from ONC representatives.

III. Survey Instrument Production and Data Collection

The recipient must:

Subgoal 3.1. Update the paper survey instrument and web-based survey
Subgoal 3.2. Mail the initial request and ask that responses be completed online or by regular mail
Subgoal 3.3. Contact non-respondents by email and telephone to encourage participation; contacted respondents are identified in the data
Subgoal 3.4. Complete and finalize data collection

IV. Data Delivery

The recipient must provide ONC with a preliminary data file and a final data file that meet data quality standards established by ONC.

Subgoal 4.1. Preliminary Data File. The recipient must provide ONC a preliminary data file when responses total roughly half the expected number of respondents.

Subgoal 4.2. Final Data File. The recipient must deliver the finalized data file in an approved format finalized in the government-approved work plan (e.g. .txt, .csv, .sas7bdat (SAS)). Accompanying the delivery must be the most relevant year of AHA general hospital census data, for the purposes of added characteristics for responding hospitals, in addition to a comprehensive data dictionary for both the general survey and the IT supplement.

Subgoal 4.3. Data Quality. The recipient must ensure all data have been properly coded and cleaned prior to delivery to ONC. For example, the data shall not contain: (1) multiple responses/codes referring to the same intended response; and/or (2) inconsistent responses across questions that do not follow the proper skip pattern (e.g. a mail-respondent reports the hospital does not have access to an exchange arrangement, but the same respondent reports, via an on-line submission that they are participating in an exchange and activity exchange data.)

V. Public Availability

The recipient must make available to the public the micro-level data at a fee schedule designed to recoup remaining costs of conducting the survey. The schedule for public availability is governed by this document's terms and conditions. The purpose of public availability is to allow independent researchers to examine health IT adoption and use, as well as its relationship in improving the quality and cost of health care.

VI. Goal Description, Standards, Schedule & Deliverable Table

The table below identifies specific milestones to support the execution of the cooperative agreement and the due date by which the milestones will be met.

Task	Deliverable	Due Date
Goal 1 Cooperative Agreement & Work Plan	Overall cooperative agreement management ensures successful and timely performance by providing the technical and functional activities required by the cooperative agreement	Continuous
Subgoal1.1: Initial Meeting	Meeting minutes/summary inclusive of Work Plan discussions during initial meeting	Within seven (7) working days of the initial meeting
Subgoal 1.2: Work Plan	Draft Work Plan is appropriate for accomplishing the goals and includes the schedule, the data collection plan, and general insights on the direction of this year's survey.	Within seven (7) working days of the initial meeting; Draft work plan reflects the discussion from the initial meeting. ONC staff will provide comments/approval of the plan within five (5) working days.
Subgoal 1.3: Final Work Plan	The recipient shall produce a final work plan reflecting feedback received from ONC on the Draft Work Plan	Within (7) working days of receipt of ONC feedback, the recipient must provide a Final Work Plan that reflects the feedback received.
Goal 2: Update Survey Instrument	The recipient shall gain insight from the Project Officer and other applicable representatives from ONC to help determine relevant subject matter for the given survey year. The recipient will consider this insight to capture the most relevant data and maintain data continuity across years.	October 2017
Goal 3: Survey Instrument Production and Data Collection		
Subgoal 3.1. Update the web-based survey instrument based on product of Goal 2.	Web-based instrument enables sound data collection	October 2017

Task	Deliverable	Due Date
Subgoal 3.2. Mail the initial request to complete the survey online or by returning the completed instrument	Mail-based instrument enables sound data collection	October 2017
Subgoal 3.3. Contact non-respondents by email and telephone to encourage participation.	ONC is provided examples of AHA email follow-up to non-respondents; respondents gained through AHA follow-up are identified in the data	October 2017 – February 2018
Subgoal 3.4. Complete and finalize data collection	Final response rate exceeds 50 percent of all non-federal acute care hospitals	February 2017
Goal 4: Data Delivery		
Subgoal 4.1. Preliminary Data File	ONC receives a preliminary data file when responses total roughly half the expected number of respondents.	January 2018
Subgoal 4.2. Final Data File	Data file is delivered in an approved format and on time. Accompanying the delivery shall be the most relevant year of AHA general hospital census data, for the purposes of added characteristics for responding hospitals.	March 2018
Subgoal 4.3. Data Quality	The recipient shall ensure all data have been properly coded and cleaned prior to delivery to ONC. The data shall not contain multiple versions of "like" responses and/or obvious inconsistencies	March 2018
Goal 5: Public Availability	Data file is made available to the public at a fee schedule designed to recoup remaining costs of data collection effort	See Terms and Conditions
Note: The recipient will be expected to meet the goals and due dates listed in this table annually throughout the duration of contract.		

Performance Goals/Program Milestones

A performance goal/program milestone is a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared. The performance goals/program milestones associated with this FOA, and ensuing award, are as follows:

Project Goals

1. Successfully capture a statistically representative sample of the U.S. hospital population.
   To be consistent with past implementations, the survey instrument should have a response rate of no less than 60%. Individual questions in the survey should have a response rate of no less than 85%.

2. The survey should continue to capture trend data on key health IT measures.
   Key health IT measures include the adoption of Basic electronic health records; the adoption of functionalities that meet the criteria of the first two stages of the CMS EHR Incentive Programs; exchange of health information (i.e. laboratory results, radiology reports, medication histories, and summary of care records); the capability to find, send, receive, and use health information from sources outside the hospital, and the adoption of functionalities for patient engagement.

3. The timely release of the data.
   In order to best compare the progress of health IT adoption and use, the survey should be conducted over a similar time period each year. ONC expects the results of the data collection no later than March of the fiscal year in which the survey was administered.

B. Funding Opportunity Award Information

Key Award Parameters

Title:	Tracking Electronic Health Record Adoption, Use, and Related Insights in U.S. Hospitals
Federal Funding Agency**:**	Department of Health and Human Services Office of the National Coordinator for Health Information Technology
Announcement Type:	Cooperative Agreement
Application Type:	Non-Competing Continuation
Funding Opportunity Announcement Number:	NAP-AX-17-001
Catalog of Federal Domestic Assistance (CFDA) Number*:*	93.851
Eligible Applicants:	The American Hospital Association (AHA)
Legislative Authority:	Consolidated Appropriations Act, 2017, Pub. L. No. 115-31, Division H, Title II and Title XXX, §§ 3001 (c)(2) and 3011 of the Public Health Service Act

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Approximate Amount of Available Funding (inclusive of direct and indirect costs): $105,000

Anticipated Number of Awards:	1
Approximately Amount of Each Award:	$105,000
Project Period:	September 13, 2017 to September 12, 2021
Budget Period(s):	September 13, 2017 to September 12, 2018

Funding of future non-competing continuation awards is conditioned on the availability of funds, satisfactory progress by the recipient, and an awarding office determination that continued funding of the award is in the best interests of the Government.

Cost-Sharing Requirements: There is no cost sharing or match requirement for this award.

Program Income: In the event program income is generated, there are four potential ways in which ONC may require that a recipient apply program income as specified in the Notice of Grant Award (NGA): 1) **deduct** it from total allowable project/program costs to determine the net allowable costs on which the Federal share of costs is based; 2) **add** it to funds otherwise available for the project, generally resulting in an increase to the total approved budget; 3) use it to meet a **matching or cost sharing** requirement; or 4) a **combination** of these alternatives.

Costs paid by program income generally are subject to the applicable cost principles and other Federal requirements and must be disbursed for project purposes **before** requesting additional payments of Federal funds. In the event program income remains at the end of the award, the additional income is considered part of the award funding and must be returned to ONC.

Intergovernmental Review This program is excluded from Executive Order 12372.

I. Sole Source Justification

The AHA has an ongoing data collection effort in place designed to capture information on the adoption and use of electronic health records, as well as users' attitudes towards them in U.S. hospitals. Since 2008, ONC has supported the data collection and acquired the resulting data through a single-source cooperative agreement.

The AHA Annual Survey of Hospitals collects data from more than 6,300 hospitals through the U.S. This data is a primary resource for government agencies and has been used by the Centers for Disease Control and Prevention, the U.S. Census Bureau, and CMS. The IT Supplement currently reaches more than 3,500 hospitals in the U.S. The IT Supplement is a separate collection effort from the AHA's general census tracking survey project that has been conducted continuously since 1946.[1] Over this time span, the general census tracking survey has enjoyed an average response rate in excess of 75 percent. Such a high level of response is exceptional for a voluntary survey that includes both member and non-member hospitals. Building on the success of the general survey, the response rates for the IT Supplement have exceeded 60 percent each year since its inception, an exemplary response rate for a comparatively newer data collection effort.

As the leading acute care hospital membership organization (approximately 80 percent of non-federal acute care hospitals are members), the AHA is uniquely suited to build on the response rate successes of prior years. Its credibility and reputation as a hospital advocacy and research center are unmatched by any other organization. In addition, the AHA has more than 60 years of experience in survey development and design and effective data collection through mail-based, and now Internet-based, efforts.

In an effort to measure key components of interoperability, ONC has made it a priority to measure health care providers' ability to electronically send, receive, find, and integrate information received from outside sources. Without funding to supplement the cost of data collection, the AHA would not conduct an IT survey of this scope. ONC's input on the survey instrument also allows the agency to

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[1] American Hospital Association.http://www.ahadataviewer.com/

track key performance measures regarding the interoperable exchange of health information by hospitals. The AHA's IT Supplement is the only known source that tracks key performance measures regarding the interoperable exchange of health information by hospitals. Our national progress on interoperability also has direct implications on the success of federal initiatives such as delivery system reform and achieving "widespread interoperability" as outlined in MACRA.

Tracking and reporting on progress allows us to know where we are collectively starting from, how much progress we have made over time, and whether we have met important milestones. In addition, the AHA's IT Supplement has the capability to track specific functionalities included or under consideration for future inclusion in federal programs (such as meaningful use). ONC's ability to provide input on the content of the IT Supplement to measure interoperability and EHR functionalities is critical to informing and evaluating federal health IT policies and programs.

This survey has served the public good in that it has been the foundation of important public research on EHR adoption, as well as examining the impact EHR use has on the quality and efficiency of care in inpatient settings. Examples of such studies include Holmgren et al. 2016, Lammers et al. 2016, Walker et al. 2016, and McLaughlin et al. 2015,.[i,ii,iii,iv]

II. Proposal Criteria

Applicant must address the following in their proposal:

- How the recipient will update the survey and the web-based survey tool to collect health IT information among U.S. hospitals;
- How will the survey instrument be administered;
- How the recipient plans to achieve a statistically representative response rate;
- How the data collected will be reviewed and cleaned for quality; and
- How the data will be delivered to ONC.

III. General Funding Requirements

The application must address the following requirements:

- Adoption of electronic health records;
- Find, send, receive, and use of electronic exchange of health information;
- Adoption and use of electronic health record functionalities that correspond with the criteria for the Centers of Medicare & Medicaid (CMS) Electronic Health Record Incentive Program; and
- Delivery of data within a timely manner.

Key Dates

Milestone	Date
FOA Released	June 6, 2017
Applications Due	July 5, 2017
Anticipated Award Date	September 13, 2017
Anticipated Project Start Date	September 13, 2017

Roles and Responsibilities Under a Cooperative Agreement

The funding instrument used for this program will be the cooperative agreement, an assistance mechanism, in which substantial ONC programmatic involvement is anticipated during the project period. Under the cooperative agreement, the ONC purpose is to support and stimulate the recipients' activities by involvement in, and otherwise working jointly with, the recipient in a partnership role; it is not to assume direction, prime responsibility, or a dominant role in the activities. Consistent with this premise, the dominant role and prime responsibility resides with the recipient for the project as a whole. To facilitate appropriate involvement, during the period of this cooperative agreement, ONC and the recipient will be in contact monthly and more frequently when appropriate.

Specific tasks and activities may be shared between the recipient and ONC include, but not limited to:

- Review and approval of the work plan and all other deliverables submitted to meet the goals of the project (identified in the Deliverable Table)

- Providing tactical guidance and feedback during project execution

- Engaging with leadership of the organization, as necessary, to ensure successful execution of the cooperative agreement.

C. Eligibility Information

See Section B, Funding Opportunity Award Information, for eligibility, cost-sharing, and other key award information.

D. Application and Submission Information

Application Package

The following documents comprise, as applicable, the application package. Additional information regarding each of these documents is further provided.

- Project Abstract
- Project Narrative
- Form SF-424, Application for Federal Assistance
- Form SF-424A, Budget Information for Non-Construction Programs
- Form SF-424B, Assurances for Non-Construction Programs
- Form SF-LLL, Disclosure of Lobbying Activities
- Budget Narrative
- Letters of Commitment
- Proof of Non-Profit Status (if, applicable)
- Indirect Cost Agreement(s) – including recipient, sub-recipient, and contractors agreements (if applicable)

Appendix A, Tips for Writing a Strong Application, can be used as a resource.

The Project Narrative and Budget Narrative sections of the application must be double-spaced, on 8-1/2" X 11" plain white paper with 1" margins on all sides, and use either Cambria or Times New Roman font size of not less than 11 point. Smaller font sizes may be used to fill in the Standard Forms, exhibits, and figures, though all text in forms, exhibits, and figures must not be smaller than 8 point font.

Project Abstract

Applicants shall include a one-page abstract that is no more than 500 words. This abstract is often distributed to the public and Congress and represents a high-level summary of the project. As a result, applicant should prepare a clear, accurate, concise abstract that can be understood without reference to other parts of the application and that provides a description of the proposed project, including: the project's goal(s), objectives, overall approach, anticipated outcomes, products, and duration.

The applicant shall place the following information at the top of the Project Abstract (this information is not included in the 500 word maximum):

- Project Title
- Applicant Name
- Physical Address
- Contact Name
- Contact Phone Numbers (Voice, Fax)
- E-Mail Address
- Web Site Address, if applicable

Project Narrative

The project narrative provides is the most substantive information regarding the proposed project in a clear and concise manner. To that end, the project narrative should address the elements articulated in the Program Description/Purpose and Structure and Approach sections of this FOA. The project narrative should also align with the Performance Goals/Program Milestones and Merit Review Evaluation criteria presented in this FOA (e.g. organizational experience, past performance etc.).

The Project Narrative must be double-spaced, formatted to 8 ½" x 11" (letter-size) pages, 1" or larger margins on all sides, and a font size of not less than 11 point. The maximum length allowed for the Project Narrative is 10 pages. A Project Narrative that exceeds the 10 page limit will not be accepted. Resumes of Key Personnel, if requested, are not counted as part of the Project Narrative and are not included in the 10 page limit.

Form SF-424, Application for Federal Assistance

Appendix B provides line-by-line instructions to complete the form. Please note that the SF-424 is used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. Accordingly, when completing the form, please use the instructions in Appendix B in lieu of the standard instructions attached to SF-424.

Form SF-424A, Budget Information for Non-Construction Programs

Appendix C provides line-by-line instructions to complete the form. Please note that the SF-424A is used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. Accordingly, when completing the form, please use the instructions in Appendix C in lieu of the standard instructions attached to SF-424A. All direct and indirect costs must be allowable, allocable, reasonable and necessary.

Form SF-424B, Assurances for Non-Construction Programs

This form contains laws and other assurances applicants must comply with under the discretionary funds programs administered by the Office of the National Coordinator for Health Information Technology. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

Form SF-LLL, Disclosure of Lobbying Activities

This form contains the name and address of lobbying registrants. Please note that a duly authorized representative of the applicant organization must sign the disclosure form. Failure to complete and sign the form may result in civil penalties ranging from $10,000 to $100,000.

Budget Narrative

The budget narrative describes how the proposed budget, as articulated in the SF-424A, aligns with the applicant's project narrative. That is to ensure that costs are realistic (not artificially too low) and reasonable (not inflated) in view of programmatic requirements. Appendix D provides a template to complete the budget narrative populated with *sample* information.

When more than 33% of a project's total budget falls under a contractual expense, a detailed budget narrative/justification must be provided for each sub-contractor or sub-grantee. Applicants requesting funding for multi-year grant programs are required to provide a combined multi-year budget narrative/justification, as well as a detailed budget narrative/justification for each year of potential grant funding. A separate budget narrative/justification is also required for each potential year of grant funding requested.

The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms. The Budget Narrative must be double-spaced, formatted to 8 ½" x 11" (letter-size) pages, 1" or larger margins on all sides, and a font size of not less than 11 point.

Letters of Commitment (If Applicable)

Include letters of commitment confirming the support to the project (should it be funded) made by key collaborating organizations and agencies. Any organization that is specifically named to have a significant coordination role in carrying out the project should be considered an essential collaborator such as interstate, intrastate, and regional partners. At a minimum, the letter must explain the demonstrated commitment to the project and how they will advance coordination and collaboration among critical stakeholders. See Appendix E for an example letter of commitment.

Applicants will also provide a letter of commitment from entities that will be responsible for generating reports based on transactional data (e.g. health information service providers, technology vendors, or others). These entities should have the capacity and resources to produce required reports on adoption and use in a timely manner. See Appendix E for an example letter of commitment.

These letters should not be considered as part of the page limit. Signed letters of commitment should be scanned and included as attachments.

Proof of Non-Profit Status

Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

- A copy of a currently valid IRS tax exemption certificate.
- A statement from a state taxing body, state attorney general, or other appropriate state official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

Indirect Cost Agreement(s)

Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency. This is optional for applicants that have not included indirect costs in their budgets. Further, if any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

Application Submission Instructions

1) You must access the electronic application for this program via www.grants.gov. You can search the downloadable application page by the Funding Opportunity Announcement Number NAP-AX-17-001 or CFDA number 93.851.

2) The applicant will be able to download a copy of the application packet and complete it off-line. In order to complete the application, an organization must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. A DUNS number can be obtained via http://fedgov.dnb.com/webform and typically takes 1 to 2 business days. Please plan accordingly.

3) Completed applications are uploaded into Grants.gov. APPLICATIONS WILL NOT BE ACCEPTED THROUGH ANY OTHER WEBSITE, AND WILL NOT BE ACCEPTED THROUGH PAPER MAIL, COURIER, OR DELIVERY SERVICE.

In order to upload applications into Grants.gov:

a) An applicant must be registered in the System for Award Management (SAM), at sam.gov, which requires having a DUNS number. The SAM registration process takes 7 to 10 business days so please plan accordingly. If you have already registered with SAM, but have not renewed your registration in the last 12 months, you will need to renew your registration.

The following website depicts the SAM registration process:
http://www.grants.gov/web/grants/applicants/organization-registration.html

b) An applicant must be registered in Grants.gov which can take several days. To that end, applicants are strongly encouraged to register and test Grants.gov logins and passwords well in advance of the application deadline date. For assistance with www.grants.gov, please contact them at support@Grants.gov or 1-800-518-4726. Resources are available 24 hours a day/7 days a week.

A depiction of the Grants.gov application process can be found at
http://www.grants.gov/web/grants/applicants/apply-for-grants.html

4) After electronically submitting your application, Grants.gov will generate an email a tracking number and date of receipt verification confirming that the application was received, the date and time the application was received, and a tracking number. This notification does not ensure that your application could be opened and read -- only that the application was received.

The deadline for the submission of applications under this Funding Opportunity Announcement is 11:59 Eastern Standard Time on July 5, 2017. Applications that fail to meet the application deadline will not be reviewed and will receive no further consideration.

Restrictions on Oral Conversations

This funding announcement is subject to restrictions on oral conversations during the period of time commencing with the submission of a formal application by an individual or entity and ending with the award of the competitive funds. Federal officials may not participate in oral communications initiated by any person or entity concerning a pending application for a competitive grant or other competitive form of federal financial assistance, whether or not the initiating party is a federally registered lobbyist.

This restriction applies unless:

- The communication is purely logistical
- The communication is made at a widely attended gathering
- The communication is to or from a federal agency official and another federal Government employee
- The communication is to or from a federal agency official and an elected chief executive of a state, local, or tribal government, or to or from a federal agency official and the Presiding Officer or Majority Leader in each chamber of a state legislature
- The communication is initiated by the federal agency official

E. Application Review Information

Screening Review

Applicants that do not meet the following screening criteria will be eliminated and will not be sent forward for merit review:

- The applicant meets the eligibility criteria
- The application is received by the required deadline through http://www.grants.gov
- The application contains all required components (e.g. Project Abstract, Project Narrative, SF-424 etc.)
- The application meets the formatting and length requirements. The Project Narrative must not exceed 10 pages. The Project Abstract and resumes do not count as part of the Project Narrative length limitation.
- Appendices and attachments are not used as a mechanism to exceed page limits of the Project Narrative

Merit Review

An independent review panel, of at least three individuals, will evaluate applications that meet the screening criteria identified above. These reviewers will be experts in their field from academic institutions, non-profit organizations, and local and Federal government agencies. Reviewers will review, evaluate, and score applications, in accordance with the criteria identified below:

Criteria:

1. Discussion and Understanding of the Project – 10 points maximum

The applicant demonstrates knowledge and understanding of the adoption of EHRs and survey methodology.

2. Technical Approach – 25 points maximum

The applicant's approach is succinct and logical in format and demonstrates methods consistent with the tasks to be accomplished. The applicant proposes a clear and detailed approach for collecting and analyzing the survey data. The applicant must clearly identify an approach for verifying the accuracy of the data through audit or other approved means.

3. Personnel Qualification and Past Performance – 50 points maximum

The applicant must demonstrate and provide evidence of experience for the following. All evidence must be provided in the specific format outlined below and be submitted as an appendix to the applicant's proposal.

- 3.1: An existing data collection effort on EHR adoption with accompanying survey instrument(s) that have the capacity to track both a "basic" and "comprehensive" electronic health record as defined by Jha et al. 2009.[v]
- 3.2: The applicant must also provide evidence of their past work producing this type of reports for other clients and a list of client names and contract information.

4. Management Plan – 15 points maximum

The applicant must provide the names of staff that will be overseeing the analysis of the data and preparation of the ongoing reports.

MAXIMUM TECHNICAL SCORE = 100 POINTS

The application will be reviewed for completeness by the Office of Procurement and Grants, and for responsiveness by ONC. An incomplete application and application that is non-responsive to the eligibility criteria will not advance through the review process. The applicant will be notified that their application did not meet submission requirements.

An objective review panel will evaluate your application according to the criteria listed in the Criteria section above.

Pre-Award Risk Assessment

ONC is required to conduct a risk assessment to assess the risk posed by a potential recipient, prior to issuing an award. In doing so, ONC will take into account the applicant's financial stability, quality of management systems, history of performance, reports and findings from audits, and the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities. To facilitate this assessment, ONC may review information available in systems, such as the Excluded Parties List System, review documentation, such as previous audits, and/or desk reviews or site visits conducted from previous awards. ONC may elect not to fund applicants with management or financial instability that directly relates to the organization's ability to implement statutory, regulatory or other requirement s (45 CFR Part 75.205.)

F. Federal Award Administration Information

Award Decisions

The final award decision will be made by the National Coordinator for Health Information Technology taking into consideration several factors such as the results of the merit review process, results of the pre-award risk assessment, compliance with programmatic and grants management requirements; the reasonableness of the estimated costs, available funding, geographical dispersion, program priorities; and the likelihood that the proposed project will result in the benefits expected. All applicants will receive a summary of the objective review panel's assessment of the application's strengths, weaknesses, and score.

Notice of Grant Award

Successful applicants will receive a letter of notification acknowledging that an award was funded, but does not provide authorization for the applicant to begin performance and expend funds associated with the award.

Following this notice, successful applicants will receive a Notice of Grant Award (NGA). The NGA will include, at a minimum, the following:

- Legal name and address of the organization or institutions to whom ONC has issued an award
- Award number assigned by ONC
- Project period, specifying the amount of time ONC intends to support the project without requiring re-competition for funds
- Total amount of financial assistance approved by ONC during the project period
- Budget period, specifying the increments in which the project will be funded, subject to the availability of funds
- Applicable award terms and conditions
- Performance goals, indicators, milestones, or expected outcomes (such as outputs, or services performed or public impacts of any of these) with an expected timeline for accomplishment

The successful applicant's Authorized Representatives will receive the NGA electronically from ONC. The recipient accepts the award by drawing down funds. By accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are to be incorporated into the award by reference. Failure to comply with these requirements may result in suspension or termination of the awards and/or ONC's recovery of award funds.

Terms and Conditions

Incorporated by Reference

The NGA is subject to, by reference, the terms and conditions incorporated in the following documents:

- 45 CFR, Part 75—Uniform Administrative Requirements, Cost Principles, and Audit Requirements For HHS Awards
  http://www.ecfr.gov/cgi-bin/text-idx?SID=06a0b0411d1520fae5e2799030e64ebf&node=pt45.1.75&rgn=div5

- HHS Grants Policy Statement
  https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Specific terms and conditions, incorporated by reference above, are further delineated below due to their importance in terms of integrity, achieving programmatic objectives, and/or sound financial stewardship of federal funds.

Performance Reporting

ONC Program Progress Reports (PPR) are due semi-annually. The PPR will address, to the extent applicable:

- degree to which performance goals were attained (actual performance versus targeted performance)
- data source and validation method for performance measures
- opportunities to address performance deficiencies
- accomplishments
- next steps
- challenges
- barriers
- recommendations to address challenges and barriers

ONC will provide specific guidance regarding the content and format of the PPR before the reports are due.

Financial Reporting

Expenditures must be reported, on a semi-annual basis, using the SF-425, Federal Financial Report (FFR). Reports are due to HHS no later than April 30 of each year the award is active for funds expended between October and March, and no later than October 31 for funds expended between April and September. The semi-annual FFR will be submitted using the Online Data Collection (OLDC) system. ONC will not accept reports sent directly to the ONC Grants mailbox.

The FFR Cash Transaction Report, a subset of the SF-425, Federal Financial Report, is submitted via the Payment Management System (PMS) every calendar quarter for the life of the award. The report must be submitted within 30 days after the end of the quarter (January 31, April 30, July 31, and October 31).

Federal Funding and Accountability and Transparency Act of 2006

The Federal Funding Accountability and Transparency Act of 2006 (Transparency Act), includes a requirement for recipients of Federal grants to report information about first-tier sub-awards and executive compensation under Federal assistance awards issued in FY2011 or later. All recipients of ONC grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at www.fsrs.gov on all sub-awards over $25,000.

Federal Awardee Performance and Integrity Information System (FAPIIS)

As of January 1, 2016, recipients of Federal grants and cooperative agreements are subject to new mandatory disclosure requirements. Recipients that have Federal contracts, grants, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose in FAPIIS, semiannually, any information about criminal, civil, and administrative proceedings for the most recent five-year period in connection with the award or performance of a grant, cooperative, agreement, or procurement contract from the Federal Government. All information posted in FAPIIS on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

Funding Restrictions

Funds cannot be used for the following purposes:

- To supplant or replace current public or private funding
- To supplant ongoing or usual activities of any organization involved in the project
- To purchase or improve land, or to purchase, construct, or make permanent improvements to any building
- To reimburse pre-award costs

Conflict of Interest

The term "organizational conflict of interest" means that the applicant, including its chief executives, directors, consultants, sub recipients, or any other personnel that are substantially involved in the performance of this assistance agreement, has interests which:

- May diminish its capacity to give impartial, technically sound, objective assistance and advise in performing this tasks;
- May otherwise result in a biased work product under this assistance agreement; or,
- May result in an unfair competitive advantage to itself or others.

In accordance with Section 75.112 of Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards, all applicants and non-federal entities must disclose, in writing, any potential conflict of interest (COI) that they have with the awarding agency and/or any other pass-through entities. The applicant shall notify the ONC grants management officer (GMO) when they believe an actual or potential COI may exist.

If, after award, a recipient discovers a COI, with respect to the assistance agreement, it shall make an immediate and full disclosure in writing to the ONC GMO. The disclosure shall include identification of the actual or potential conflict, the manner in which it arose, and a description of the action the awardee has taken, or proposed to take, to avoid, eliminate, or neutralize the conflict.

In the event the recipient was aware of an organizational COI, prior to award of the assistance agreement, and did not disclose the conflict to the GMO, or becomes aware of an organizational COI

after award of this assistance agreement and does not disclose the COI within ten (10) days of becoming aware of such conflict, the Government may terminate the assistance agreement and the recipient shall not be entitled to reimbursement of any costs incurred in performing the assistance agreement.

The rights and remedies of the Government, under this term and condition, shall not be exclusive and are in addition to any other rights and remedies provided to the Government under law, regulation, or any other available enforcement mechanism.

Non-Disclosure Requirements

The federal award may require the recipient to have access to information relating to any and all aspects of grants management operations that may be of a technical, legal, sensitive and/or confidential nature and which may be the sole property of the U.S. Government. To mitigate risks associated with such access, the recipient shall ensure that all its personnel, including chief executives, directors, consultants, sub recipients, or any other personnel substantially involved in the performance of this award sign a non-disclosure agreement prior to the commencement of any work on the award.

In addition, recipient shall put in place appropriate procedures for the protection of such information and shall be liable to the Government for any misuse or unauthorized disclosure of such information by its personnel.

The rights and remedies of the Government, under this term and condition, shall not be exclusive and are in addition to any other rights and remedies provided to the Government under law, regulation, or any other available enforcement mechanism.

Mandatory Disclosures

In accordance with Section 75.113, Mandatory Disclosures, of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures can result in any of the remedies described in Section 75.371 of the Uniform Requirements including suspension or debarment.

Records Retention

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of three years from the date the final FFR is submitted. For awards where the FFR is submitted at the end of the competitive segment, the three-year retention period will be calculated from the date the final FFR, for the entire competitive segment, is submitted.

45 CFR Part 75.361 provides exceptions and qualifications to the three-year retention requirement. For example, if any litigation, claim, financial management review, or audit is started before the expiration of the three-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken. This section also specifies the retention period for other types of grant-related records, including indirect cost proposals and property records. See 45 CFR 75.335for record retention and access requirements for contracts under grants.

Modifications

Modifications and/or amendments to the cooperative agreement must be effective upon the mutual agreement of both parties, except where ONC is authorized under the Terms and Conditions of award, 45 CFR Part 75, or other applicable regulation or statute to make unilateral amendments.

Audit Requirements

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards, Subpart F, Audit Requirements sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of non-Federal entities expending Federal awards. In general, a non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit. Subpart F provides further guidance including the manner in which expenditures are determined, the distinction between a single audit and a program-specific audit, frequency of audits, and roles and responsibilities in the conduct of audits.

Additional Terms and Conditions

1. Release(s) of Data

The recipient and ONC are authorized to publicly release survey data collected by the recipient immediately following delivery of the survey data to ONC for the purposes of public communications and report generation; provided, however, that the party intending to disclose the survey data ensures that the other party to the cooperative agreement (i.e., the non-disclosing party) has full access to any data forming the basis for a such a release. Furthermore, data to be so used shall be identified to the other non-disclosing party at least three days prior to the first release (from the most recent IT Supplement) to: (a) ensure factual accuracy and (b) to obtain the views of the non-disclosing party with respect to whether such release might implicate broader program goals, such as acceptability for publication in peer-reviewed journals of articles analyzing the data. The obligation to give prior notice of use of survey data shall expire 6 months from the date on which ONC receives the finalized IT supplement and accompanying general survey. Once specific data has been disclosed publicly, all remaining restrictions and/or prior notice requirements relating to use of that data are waived as to either party.

2. ONC Embargo Period and Availability of Data for Purchase

At least three days prior to the first release of data from the most recent IT Supplement, ONC will inform the recipient they can prepare the IT Supplement for public purchase via the standard recipient

distribution mechanisms. Data will be available at the time of, but not before, first release. Should no release by ONC occur in 6 months from the date ONC receives the finalized IT Supplement and accompanying general survey, data will be made available for public purchase at that date.

3. Guidelines for Reportable Data

ONC will use data from the IT Supplement to promote the adoption of electronic health records and public understanding of the state of HIT in hospitals by geographies. ONC will generate reports using recipient data and share them with ONC contractors and recipients assisting in the effort to accelerate electronic health record adoption. In addition, ONC will make national, state, and/or regional data on hospitals and their use of electronic health records available to the public through an online dashboard and other tools.

However, the ONC will not publicly disclose the names or any other characteristics of individual hospitals without prior authorization from the recipient unless required to do so by law. In addition, the ONC will not report aggregated data for any geographic area that is not derived from at least five respondents who comprise at least 50 percent of potential respondents in a region without prior authorization from the recipient unless required to do so by law. These data will include:

- Measures of Electronic Health Record Adoption (e.g. "basic' electronic health records)
- Measures created by the ONC/research partners to assess Hospital readiness and intent for participation in the HHS' Meaningful Use Program
- Measures key components of interoperability, such as a health care providers' ability to electronically send, receive, find, and integrate information received from outside sources
- Commonly reported characteristics of Hospitals including size, ownership, region, teaching status, and system membership

Unless required by law, the public reporting of data/characteristics not referenced above requires approval by the recipient. The recipient will provide a decision to the ONC within five days of a disclosure request. The purpose of this clause is to ensure the ONC will not publish data that would in sum compromise the market value of the IT Supplement or would violate the terms of use agreed to by responding hospitals, unless required to do so by law. In instances in which disclosure is required by law, ONC will notify the recipient about the required disclosure in a timely manner.

4. Research Collaboration

ONC shall be permitted to disclose and extend use of recipient-generated data to contractors and research collaborators engaged in other ONC initiatives beyond this cooperative agreement, whose assigned duties reasonably require such disclosure and use, but only to the extent necessary to enable such individuals to reasonably perform their duties assigned by ONC. ONC will take appropriate measures by instruction, agreement, or otherwise to ensure compliance with this agreement. ONC will notify the recipient in a timely manner if files are transferred under this provision.

G. Points of Contact

ONC Grants Management Officer
Carmel Halloun
330 C Street, S.W.; Washington, D.C. 20201
oncgrants@hhs.gov

ONC Grants Management Specialist
Yolonda Thompson-Teagle
330 C Street, S.W.;
Washington, D.C. 20201
oncgrants@hhs.gov

ONC Project Officer
Christian Johnson
330 C Street, S.W.;
Washington, D.C. 20201
oncrequest@hhs.gov

ONC E-Mail Address
In addition, a separate ONC e-mail address has been established for this cooperative agreement to which all comments and inquiries can be directed. The e-mail address is oncrequest@hhs.gov. Please include "Funding Opportunity Announcement for Tracking Electronic Health Record Adoption, Use, and Related Insights in U.S. Hospitals" in the subject line.

DUN and Bradstreet
http://www.dnb.com/
800.234.3867

System for Award Management (SAM) Customer Support
https://www.sam.gov
Federal Service Desk -- http://www.fsd.gov
866-606-8220

Grants.Gov Customer Support
Questions regarding Grants.gov registration and submission, downloading or navigating forms
Contact Center Phone: 800-518-4726
Email: support@grants.gov

HHS Office of the Inspector General
The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS or 1-800-447-8477) for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to mhhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201. Such information is treated as sensitive and complainants may decline to give their names if they choose to remain anonymous.

Appendix A

Tips for Writing a Strong Application

Include DUNS Number. You must include a DUNS Number to have your application reviewed. To obtain a DUNS number, access http://www.dunandbradstreet.com or call 1-866-705-5711. Please include the DUNS number in item 8c on the application face page.

Keep your audience in mind. Reviewers will use only the information contained in the application to assess the application. Be sure the application and responses to the program requirements and expectations are complete and clearly written. Do not assume that reviewers are familiar with the lead recipient organization. Keep the review criteria in mind when writing the application.

Prepare early. Start preparing the application early. Allow plenty of time to gather required information from various sources.

Follow the instructions in this guidance carefully. Place all information in the order requested in the guidance. If the information is not placed in the requested order, you may receive a lower score.

Be brief, concise, and clear. Make your points understandable. Provide accurate and honest information, including candid accounts of problems and realistic plans to address them. If any required information or data is omitted, explain why. Make sure the information provided in each table, chart, attachment, etc., is consistent with the proposal narrative and information in other tables.

Be organized and logical. Many applications fail to receive a high score because the reviewers cannot follow the thought process of the lead recipient or because parts of the application do not fit together.

Be careful in the use of attachments. Do not use the attachments for information that is required in the body of the application. Be sure to cross-reference all tables and attachments to the appropriate text in the application.

Carefully proofread the application. Misspellings and grammatical errors will impede reviewers in understanding the application. Be sure that page limits are followed. Limit the use of abbreviations and acronyms, and define each one at its first use and periodically throughout application. Make sure you submit your application in final form, without markups.

Print out and carefully review an electronic application to ensure accuracy and completion. When submitting electronically, print out the application before submitting it to ensure appropriate formatting and adherence to page limit requirements. Check to ensure that all attachments are included before sending the application forward.

Ensure that all information is submitted at the same time. We will not consider additional information and/or materials submitted after your initial submission, nor will we accept e-mailed applications or supplemental materials once your application has been received.

Appendix B

Instructions - SF-424, Application for Federal Assistance

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (*) and are also specified as "Required" in the instructions below.

Item	Field Name	Information
1.	Type of Submission:	(Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • Changed/Corrected Application - Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.
2.	Type of Application:	(Required) Select one type of application in accordance with agency instructions. • New - An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	Date Received:	Leave this field blank. This date will be assigned by the Federal agency.
4.	Applicant Identifier:	Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.
5a.	Federal Entity Identifier:	Enter the number assigned to your organization by the federal agency, if any.
5b.	Federal Award Identifier:	For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.
6.	Date Received by State:	Leave this field blank. This date will be assigned by the state, if applicable.
7.	State Application Identifier:	Leave this field blank. This identifier will be assigned by the state, if applicable.

Item	Field Name	Information
7.	State Application Identifier:	Leave this field blank. This identifier will be assigned by the state, if applicable.
8.	Applicant Information:	Enter the following in accordance with agency instructions:
	a. Legal Name:	(Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.
	b. Employer/Taxpayer Number (EIN/TIN):	(Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
	c. Organizational DUNS:	(Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.
	d. Address:	Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).
	e. Organizational Unit:	Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.
	f. Name and contact information of person to be contacted on matters involving this application:	Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)

Item	Field Name	Information
10.	Name Of Federal Agency:	(Required) Enter the name of the federal agency from which assistance is being requested with this application.
11.	Catalog Of Federal Domestic Assistance Number/Title:	Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12.	Funding Opportunity Number/Title:	(Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	Competition Identification Number/Title:	Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
14.	Areas Affected By Project:	This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
15.	Descriptive Title of Applicant's Project:	(Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
16.	Congressional Districts Of:	15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation - 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
17.	Proposed Project Start and End Dates:	(Required) Enter the proposed start date and end date of the project.

Item	Field Name	Information
18.	Estimated Funding:	

(Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

Applicants should review matching principles contained in 2 CFR 200.306 before completing Item 18. All budget information entered under item 18 should cover the upcoming budget period. For sub-item 18a, enter the federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least *[cite percentage or fraction]* of the amount of federal funds being requested (the amount in 18a). For sub-item 18f, enter only the amount, if any, which is will be used as part of the required match.

There are two types of match: 1) non-federal cash and 2) non-federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered matching funds. Generally, most contributions from sub-contractors or sub-grantees (third parties) will be non-federal in-kind matching funds. Volunteered time and use of facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations. Examples of non-federal cash match include budgetary funds provided from the applicant agency's budget for costs associated with the project.

Indirect charges may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with HHS requirements. If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

19.	Is Application Subject to Review by State Under Executive Order 12372 Process?	(Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
20.	Is the Applicant Delinquent on any Federal Debt?	(Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
21.	Authorized Representative:	To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

Appendix C

Instructions - SF-424A, Budget Information for Non-Construction Programs

Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a two year budget.

Section A Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL federal costs in column (e) and total nonfederal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B Budget Categories

Column 3: Enter the breakdown of how you plan to use the federal funds being requested by object class category (see instructions for each object class category below).

Column 4: Enter the breakdown of how you plan to use the non-federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 3 and 4) by object class category.

Separate Budget Narrative/Justification Requirement

You must submit a separate Budget Narrative/Justification as part of your application. When more than 33% of a project's total budget falls under a contractual expense, a detailed budget narrative/justification must be provided for each sub-contractor or sub-grantee. Applicants requesting funding for multi-year grant programs are required to provide a combined multi-year budget narrative/justification, as well as a detailed budget narrative/justification for each year of potential grant funding. A separate budget narrative/justification is also required for each potential year of grant funding requested.

In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. Cost breakdowns, or justifications, are required for any cost of $1,000 or more. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-federal cash as well as, sub-contractor or sub-grantee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

Line 6a: Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the cost of consultants. Consultant costs should be included under 6h, Other. In the Budget Narrative/Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the Budget Narrative/Justification.

Some Points to Consider:

- ♦ Is the basis for determining each employee's compensation described (annual salary and % time devoted)?
- ♦ Is each position identified by title/responsibility?
- ♦ Are time commitments and the amount of compensation stated and reasonable?
- ♦ Are salary increases anticipated during the grant period and are they justified (COLA, etc.)?
- ♦ Are any personnel costs unallowable?
  - o Dual Compensation
  - o Federal Employee

Line 6b: Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate. In the Justification: Provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Some Points to Consider:

- ♦ Is the amount specified as a separate line item?
- ♦ Is each type of benefit indicated separately or does the organization have an approved fringe benefit rate?
- ♦ Are fringe increases contemplated during the grant period?
- ♦ Are any fringe costs unallowable?

Line 6c: Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel - this should be included in line 6h. In the Justification: Include the total number of trips, destinations, purpose, and length of stay, subsistence allowances and transportation costs (including mileage rates).

Line 6d: Equipment: Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e. In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its subgrantees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Some Points to Consider:

- ♦ Are equipment items specified by unit and cost?
- ♦ Is the request reasonable and allowable under the project?
- ♦ Does the organization have a procurement policy in place?
- ♦ Is a lease vs. purchase study necessary (vehicles, large items of equipment)?
- ♦ Are purchases distinguishable from rentals?

Line 6e: Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d. In the Justification: Provide general description of types of items included.

Some Points to Consider**:**

- Are supplies listed separately?
  - Office
  - Training
  - Research
  - Other types of supplies
- How was cost determined?
- Is the basis for the cost reasonable? Monthly estimates are sufficient
- Are costs consistently treated?

Line 6f: Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those, which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals or consultants on this line. In the Budget Narrative/Justification attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. Whenever the applicant/grantee intends to delegate more than 33% of a project's total budget to the contractual line item, the applicant/grantee must provide a completed copy of Section B of the SF 424A Budget Categories for each sub-contractor or sub-grantee, and separate Budget Narrative/Justification for each sub-contractor or sub-grantee for each year of potential grant funding.

Some Points to Consider:

- Is the type of each service to be rendered described?
- For Consultants/Individuals
  - Is an hourly, daily or weekly base rate given?
  - Are rates allowable, justified, reasonable and comparable to market?
- Is the total amount for any contract in excess of $150,000?
  - Is procurement method described?
  - If the contract is not competitively bid, has a sole source justification been provided?

Note: The competitive process must be used if goods and services will be provided through a contract (e.g., vendor or consultant). All costs associated with contracts should be included in this category. Sub awards are made to entities carrying out part of the program effort, goals and objectives. Sub awards are to be listed individually in the "Other" cost category.

Line 6g: Construction: Leave blank since construction is not an allowable cost under this program.

Line 6h: Other: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits); non-contractual fees and travel paid directly to individual consultants; local transportation (all travel which does not require per diem is considered local travel); postage; space and equipment rentals/lease; printing and publication; computer use; training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs. In the Justification: Provide a reasonable explanation for items in this category. For individual consultants, explain the nature of services provided and the relation to activities in the project. Describe the types of activities for staff development costs.

Some Points to Consider:

- Are items listed by major type (space rental, printing, phone, maintenance, etc.)?
- Are all costs justified, reasonable and allowable?
- Is there a reasonable basis for costs?
- List each sub award and amount of award
- Provide description of activities to be performed
- Describe method used to select the sub award and type of agreement to be awarded
- Provide a separate budget and budget narrative for each sub award

Note: Costs for contractual arrangements (vendors, consultants) should be budgeted in the "Contractual" cost category.

Line 6i: Total Direct Charges: Show the totals of Lines 6a through 6h.

Line 6j: Indirect Charges: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency.

Budget Narrative/Justification: State governments should enter the amount of indirect costs determined in accordance with HHS requirements. An applicant that will charge indirect costs to the grant must enclose a copy of the current indirect cost rate agreement. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

Line 6k: Total: Enter the total amounts of Lines 6i and 6j.

Line 7: Program Income: As appropriate, include the estimated amount of income, if any, you expect to be generated from this project. Program income must be used as additional program costs and cannot be used as match (non-federal resource).

Section C Non-Federal Resources - Not applicable

Section D Forecasted Cash Needs - Not applicable.

Section E Budget Estimate of Federal Funds Needed for Balance of the Project
Line 20: Section E is relevant for multi-year grant applications, where the project period is 24 months or longer. This section does not apply to grant awards where the project period is less than 17 months.

Section F Other Budget Information
Line 22: Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs. Include a copy of your current Indirect Cost Rate Agreement.

Line 23: Remarks: Provide any other comments deemed necessary.

Appendix D

Budget Narrative/Justification Template (with SAMPLE information)

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel Salary	$40,000	$5,000	--	$45,000	♦ Project Administrator Jane Doe = .3FTE @ $50,000/year = $15,000 $10,000 = Federal funds and $5,000 = non-federal cash ♦ Project Director John Smith = 1FTE @ $30,000/year = $30,000 Federal funds **TOTAL: $45,000**
Fringe Benefits	$12,600	0	0	$12,600	Fringes benefit rate is 28% of salary as follows. All Federal Funds FICA (7.65%)= $3,442 Health Insurance (12%) = $5,400 Dental Insurance (5%) = $2,250 Life Insurance (2%) = $900 Workers Comp Insurance (.75%) = $338 Unemployment Insurance (.6%) = $270 **TOTAL: $12,600** ($45,000 * 28%)

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Travel	$4,120	$1,547	--	$5,667	♦ Travel to two annual recipient meetings: All Federal funds. Airfare: 2 people x 2 trips $750/per round trip = $3,000 Lodging: 2 nights per trip x 2 people x $100/night x 2 trips = $800 Per Diem: 2 days per trip x 2 people x $40/day x 2 trips = $320 **Subtotal: $4,120** ♦ Out-of-town site visits. Non-federal cash. Car mileage: 3 trips x 2 people x 350 miles/trip x $.365/mile = $767 Lodging: 3 trips x 2 people x 1 night/trip x $50/night = $300 Per Diem: 3 trips x 2 people x 2days/trip x $40/day = $480 **Subtotal: $1,547** **TOTAL: $5,667**
Equipment	0	0	0	0	No equipment requested
Supplies	$1,340	$2,160	--	$3,500	♦ Laptop computer for use in client intakes – Federal Funds = $1,340 ♦ Consumable supplies (paper, pens, etc.) – Non-federal cash $100/mo x 12 months = $1,200 ♦ Copying – Non-federal cash $80/mo x 12 months = $960 **TOTAL: $3,500**
Contractual	$150,000	--	$50,000	$200,000	Contracts to A,B,C Contractor A to deliver supplies – Federal funds = $75,000 Contractor B to print materials – Federal funds= $75,000 Contractor C for logistical support– Non-Federal = $50,000 **TOTAL: $200,000**

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Other	$11,250	$2,000	--	$13,250	♦ Subaward to ABC to conduct training – Federal funds = $10,000 ♦ Printing brochures – Federal funds (25,000 @ $0.05 each) = $1,250 ♦ Registration fee for annual ABC conference – Non-federal cash = $200 ♦ Postage – Non-Federal Cash ($150/mo x 12 months) = $1,800 **TOTAL** **$3,250**
Indirect Costs	$12,000	$1,000	$1,000	$14,000	♦ Rent – Federal funds ($1,000/mos. x 12 months) = $12,000 ♦ Utilities – Non-federal cash = $1,000 ♦ Administrative Support – Non-Federal In-Kind 100 hours x $10/hour = $1,000 **TOTAL** **$14,000**
TOTALS	**$231,310**	**$11,707**	**$51,000**	**$294,017**	

Appendix E

Letter of Commitment Template

Dr. David Rucker, M.D.
National Coordinator for Health Information Technology
Department of Health and Human Services
330 C. Street, 7th Floor, Office 7009A, S.W.
Washington, DC 20201

Date

Dear Dr. Rucker,
(Name of organization/group submitting the letter) is very interested in addressing (insert the issue being addressed by the grant application) and (state why the issue is a concern).

(State knowledge of proposal, knowledge of agency submitting proposal, and encouragement of funding entity to provide resources to address issue identified above).

(State that the need to address the issue is significant and how other resources to address the need are insufficient to address or impact the need).

(Specifically state how your organization will support this project-through assistance with meeting matching requirements, board/commission participation, advocacy etc.).

(Describe your capacity and resources to produce required deliverables or services for the applicant)

(State how the organization will coordinate with appropriate partners to ensure efficient and effective use of grant funds).

(Conclude with general statement of confidence in and support for the organization seeking assistance, based on past experience with the applicant entity, reputation for effectiveness).

(Provide the following information for the point of contact in the supporting organization).
Name
Title
Agency
Division (if applicable)
State
Address
Phone
Fax Number
Email

[i] Holmgren AJ, Patel V, Charles D, Adler-Milstein J. US hospital engagement in core domains of interoperability. Am J Manag Care. 2016 Dec 1;22(12):e395-e402.

[ii] Meaningful use of electronic health records and medicare expenditures: evidence from a panel data analysis of U.S. health care markets, 2010-2013. Health Serv Res. 2016 Aug 22.

[iii] Walker DM, Mora AM, Scheck McAlearney A. Accountable care organization hospitals differ in health IT capabilities. Am J Manag Care. 2016 Dec;22(12):802-807.

[iv] McLaughlin CG, Lammers E. Geographic variation in health IT and health care outcomes: A snapshot before the meaningful use program began. Healthc (Amst). 2015 Mar;3(1):18-23.

[v] Jha AK, DesRoches CM, Campbell EG,Donelan K, Rao SR, Ferris TG, et al. Use of electronic health records in U.S. hospitals. N Engl J Med. 2009;360(16):1628-38.