U.S. Department of Health and Human Services
Office of the National Coordinator

Interoperability Roadmap Call to Action: Alleviating and Removing Barriers to Interoperable Exchange of Data for Health Within States

Program Guidance

Funding Opportunity Announcement

Fiscal Year 2015

Release/Posted Date: June 22, 2015

Application Due Date: August 24, 2015

Anticipated Award Date: September 25, 2015

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Opportunity Overview

Funding Opportunity Title: Interoperability Roadmap Call to Action: Alleviating and Removing Barriers to Interoperable Exchange of Data for Health Within States

Federal Funding Agency: Office of the National Coordinator (ONC) for Health Information Technology, U.S. Department of Health and Human Services (HHS)

Announcement Type: Cooperative Agreement

Funding Opportunity Number: NAP-AX-15-004

Catalog of Federal Domestic Assistance (CFDA) Number: 93.830

Statutory Authority: Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. No. 113-235, Division G, Title II, ("For expenses necessary for the Office of the National Coordinator for Health Information Technology, including grants, contracts, and cooperative agreements for the development and advancement of interoperable health information technology, $60,367,000.") and Title XXX, §3001(e) of the Public Health Service Act.

Approximate amount of funding available: $325,000

Anticipated number of awards: 1

Period of Performance: Two (2) years

Important Dates: The table below sets out the required submission and other useful target dates related to the Funding Opportunity Announcement (FOA).

Public FOA Release	June 22, 2015
Applications Due	August 24, 2015 at 11:59 p.m. EST
Estimated Award Announcements	September 2015
Anticipated Project Start Date	September 2015

Executive Summary

The Health Information Technology for Economic and Clinical Health (HITECH) Act, Title XIII of Division A and Title IV of Division B of the American Recovery and Reinvestment Act of 2009 (the Recovery Act) (Pub. L. 111–5), was enacted on February 17, 2009. Section 3001 of the HITECH Act, establishes and sets forth the duties of the Office of the National Coordinator (ONC). Section 3001(b) requires, in part, that ONC perform its duties "in a manner consistent with the development of a nationwide health information technology infrastructure". Section 3001(e) charges the ONC Office of the Chief Privacy Officer to coordinate with "state and regional efforts" with regards to privacy and security for health information exchange. ONC will utilize this funding opportunity announcement (FOA) to carry out its duties by awarding a cooperative agreement to convene collaboration among high-level state health policy-making officials, resulting in an in-person, expert roundtable and in-depth learning and dialog session in which states will identify state policy barriers to information exchange and document a state roadmap to facilitate a nationwide infrastructure for health information.

On January 29, 2015, ONC released "*Connecting Health and Care for the Nation: A Shared Nationwide Interoperability Roadmap Draft Version 1.0*" [1] (Roadmap). Among other things, the Roadmap identified one known barrier to nationwide interoperable exchange of health data in the "patchwork" of state privacy laws that are more privacy-protective than the Privacy Rule found in the Health Insurance Portability and Accountability Act (HIPAA). The Roadmap similarly provides that the state laws, while philosophically aligned, vary in their specific content, causing confusion among potential data exchangers such as providers or individuals. The patchwork of state laws also impedes or eliminates the ability of advanced technology to help move forward health data interoperability in compliance with applicable state or federal health information privacy laws. Ultimately, the confusion caused by the patchwork impedes interoperable exchange of data for health.[2] The Roadmap calls on ONC to brief key stakeholders, privacy advocates and Congress on findings regarding the complexity of the rules environment that impedes computable privacy, especially the diversity among more restrictive state laws that seek to regulate the same issues and concepts. This FOA begins the process stated in the Roadmap and will be furthering ONC's efforts to meet its duties to coordinate with states to address issues related to privacy, security, and data stewardship.

[1] Found at: http://www.healthit.gov/sites/default/files/nationwide-interoperability-roadmap-draft-version-1.0.pdf

[2] See Roadmap pp. 62-68 and Roadmap Appendix D.

I. Funding Opportunity Description

A. Background

Section 3001(b) of the HITECH Act established ONC to, in part, support the development of a nationwide health information technology infrastructure. As part of its work to carry out its mission, ONC published the Roadmap which summarizes ONC's findings and conclusions about what are factors are impeding the widespread interoperable, nationwide exchange of data for health. The Roadmap's content also derives from ONC's obligation to develop and to update a strategic plan for nationwide interoperable exchange of data for health. See section 3001(c)(1) of HITECH.

One of ONC's findings is that potential exchangers of data are confused about privacy laws and regulations. Specifically, the Roadmap identifies confusion about what health information one provider is permitted to disclose to other health care providers, for what purpose, whether written permissions to do so are required from the individuals reflected in the data, and if so, when. This confusion results, in part, from a diverse set of privacy laws that are enacted by states in addition to the federal health privacy law of HIPAA, not to mention organizational policies of providers which are beyond the scope of this FOA.[3] Given that the impact of variation on nationwide data exchange and confusion of potential exchangers of data are well-documented in the Roadmap,[4] ONC is taking the next step and bringing together an appropriate group of state health policy leaders in order to better understand real and perceived barriers to interoperability that are within a state's purview to address, while appropriately respecting individual privacy rights.

B. Purpose

The purpose of this funding opportunity is to create a venue or venues to engage high-level state health policy makers with health policy experts in the areas of privacy, security, and other concepts. This work will not duplicate the support already being supplied by ONC to the Centers for Medicare and Medicaid (CMS) Centers for Medicare & Medicaid Innovation State Innovation Model program (hereafter "CMMI SIM" program).[5] It will however, provide a venue in which state policy makers, including those policy makers from CMMI SIM states, can focus specifically on the impact of disparate state privacy laws as a barrier to interoperable exchange of information for health. ONC believes that providing such a venue serves two key purposes:

1. Ensure that state policy leaders develop an understanding of where state policy, or other real or perceived barriers to interoperability, may exist that are within the states' own powers to alleviate or remove. In doing so, leverage those states desiring to take

[3] Roadmap pp. 62-69 and Roadmap Appendix D.

[4] Roadmap pp. 62-69 and Roadmap Appendix D.

[5] See http://innovation.cms.gov/initiatives/state-innovations/ for CMMI SIM program; See http://healthit.gov/providers-professionals/state-innovation-model-health-it-resource-center for ONC resource materials.

advantage of technological advances to make documenting patient consent choices that are required by state law as easy as on-line banking is today;

2. Provide an opportunity for state policy leaders to share their experiences regarding areas where those state policy leaders observe impediments to interoperable exchange of information for health that derive from federal statutes, regulations or policies.

This is not an activity for information technology experts. This is an activity for policy-makers. To achieve the purposes of this cooperative agreement, policy must first be addressed. The development of technological approaches and solutions are outside the scope of this FOA.

To ensure that the activities focus on policy development to support health information exchange, participants convened by the successful applicant should be:

1. Representative of all major political parties;

2. From among states that have taken action from 2012-2015 to modify state policies to improve the electronic exchange of data for health, including but not limited to modification of state-enacted privacy laws;

3. From one or more states planning to, or desiring to, make policy changes within their states, and if possible in the 2016 legislative session;

4. Have sufficient state policy authority to initiate policy changes the state desires in the given represented state;

5. Have undertaken or want guidance on stakeholder engagement efforts (including consumers and providers);

6. From a state or from states that have received a CMMI SIM Implementation grant that calls for disclosure of patient-identifiable mental health data to primary care physicians for improved coordinated care particularly for the state's Medicaid population, or similar;

7. At least one state participant should be from a state that has received a CMMI SIM Design grant that calls for design of care coordination program that, when implemented, would require the disclosure of mental health information to primary care physicians for coordinated care, or that calls for the state to collect from HIPAA Covered Entities protected health information for state public health or health oversight activities; and

8. Be willing to work with their state's impacted stakeholders such as consumers and providers.

C. Scope of Services

The services sought are set forth below, and shall include deliverables stated below in their respective phases. The scope has four phases:

Phase I: Expert Roundtable: In this phase, the Awardee will convene an expert roundtable consisting of 3-5 state health policy leaders (see criteria below) and other appropriate experts, the purpose of which is to identify particular strategies and tactics that are worthy of more in-depth discussion in Phase II. Dialog may include, but not be limited to what health information the State policy leaders believe may be exchanged under applicable privacy laws and using what electronic methods; comparisons and contrasts, as understood by the State policy leaders, between the varying privacy laws' treatment of health information in certain clinical categories such as mental health or substance abuse information; and identifying tactics and methods that could be used to (1) alleviate perceived or actual confusion about privacy laws that may be impeding electronic exchange of information for health within and across/among states, or (2) remove state-created barriers to electronic exchange of information for health, when states want to remove those barriers.

Phase II: In-Depth Learning and Dialog: In this phase, the Awardee will convene, manage and facilitate an in-person learning and dialog session that will cover in-depth the topics identified during Phase I, as well as collect appropriate information for the deliverable described in Phase III. In this session, participants will delve deeply into priority issues identified in Phase I, and in a hands-on environment with an interactive dialog, identify policy approaches, issues and tactics states could implement to improve interoperable electronic exchange for health in their communities. This in-depth learning and dialog will build on the issues identified in Phase I, in part, using supportive materials and policy hypotheticals that are developed jointly by ONC and the successful applicant.

Using existing public materials from HHS, and in response to issues and needs identified by the states, ONC will supply educational materials related to federal or state health information privacy law and policy issues, or federal health information security law and policy issues to assist in developing appropriate deliverables for this Phase (ONC does not supply legal or regulatory guidance; all information supplied by ONC will be educational in nature). This Phase may also include, in collaboration with ONC, any additional dialog session between state health policy leaders and federal health policy leaders that the successful applicant and ONC agree are relevant.

The success of Phases I and II of this FOA depends on bringing the right participants to the table and having a dialogue between federal and state policy representatives to develop a meaningful path forward. Therefore, the successful applicant shall choose participants in the Expert Roundtable and the In Depth Learning and Dialog from state health policy leaders; federal policy makers other than ONC, if necessary; and leading appropriate experts that meet the following objectives. The successful applicant will provide a proposed approach of potential participants, job types/positions held, and/or qualifications/experience/knowledge/skills requirements of participants, based on the objectives stated within this FOA.

Phase III: Interoperability Roadmap for States: A key tangible deliverable of the funding opportunity is a written state-focused roadmap (State Roadmap) states can use to improve interoperability for health, or remove barriers to interoperability that exist at a state level. In Phase III, the successful applicant will compile the information from Phases I and II to develop a State Roadmap that states can follow to improve interoperability in their states on privacy,

security or other issues identified as potentially impeding the interoperable exchange of information for health. The State Roadmap will be easy to use, contain practical tactics developed in Phase II, include models and examples developed in Phase II, and be appropriately and professionally designed and produced. In this Phase, the successful applicant will collaborate with ONC to successfully rollout and communicate the publication of the State Roadmap, its usefulness, and the process by which it was created. The deliverable in this section will be posted on Healthit.Gov as a public resource, while the successful applicant remains free to use it as well for its purposes, consistent with the Intellectual Property provisions of this FOA.

Phase IV: Learning Applied and Implementation: in Phase IV, the successful applicant will support up to two states to implement the tactics and ideas from the State Roadmap those two states wish to implement. Ideally, a state choosing to implement tactics or ideas from the State Roadmap published in Phase III would be a state already re-engineering an aspect of its health care delivery system, for example, a CMMI SIM grantee. ONC will continue to collaborate and to provide necessary educational materials and support for states that choose to take action. This Phase also includes a written Implementation Report back to ONC on the outcome of those implementation(s), including any efforts by one or both of the two states to implement tactics and ideas from the State Roadmap that require state legislative action. This Implementation Report required by Phase IV shall be due to ONC by October 2016. If, by the due date of the Implementation Report, no states have been identified that wish to implement tactics and ideas from the State Roadmap, the Awardee will include in the report a discussion of the implementation efforts, barriers, and reasons why states declined to implement. Assuming that at least one state does choose to implement tactics and ideas from the State Roadmap, if that state does succeed in the implementation it chooses, the written Implementation Report should include a detailed analysis of factors leading to success as well as a discussion of challenges or barriers and lessons learned. ONC would expect to build on lessons learned for future planning and assistance to states, and to publicly highlight factors leading to success.

Timelines for Each Phase

Phase	Due Date
I: Expert Roundtable	Is held no later than 4 months after the date of award
II: In-Depth Discussion and Learning	To be completed no later than 3 months after Phase I Expert Roundtable is held.
III: Deliver Interoperability Roadmap for States	Delivered to ONC no later than 90 days following the completion of the Phase II In-Depth Discussion and Learning event. An extension of up to 60 days is available from ONC on showing of good cause
IV: Learning Applied and Implementation	October 2016

II. Award Information

A. Summary of Funding

Type of Award	Cooperative Agreement
Approximate Total Funding	$325,000
Number of Awards	One
Anticipated Award Date	September 2015
Project Period Length	2 years
Estimated Start Date	September 2015

Throughout the project period, ONC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

B. Performance Evaluation

The recipient is required to cooperate with any ONC-directed program evaluation. Evaluation criteria can include, but are not limited to further inquiry by ONC based on the Implementation Report delivered in Phase IV. Recipients are required to cooperate with the ONC-directed evaluation activities, including but not limited to frank disclosure of lessons learned, successes, and unanticipated detours.

The Awardee's performance will be evaluated quarterly by ONC to ensure that the project is meeting criteria described under Scope of Services, including meeting the time frames stated therein.

C. Award Type

The funding instrument used for this program will be the cooperative agreement, an award type in which substantial ONC programmatic involvement with Awardee is anticipated during the performance of the activities. Under the cooperative agreement, ONC's purpose is to support and stimulate Awardee's activities by involvement in and otherwise working jointly with the Awardee in a partnership role; it is not to assume direction, prime responsibility, or a dominant role in the activities. Consistent with this concept, the dominant role and prime responsibility resides with Awardee for the project as a whole, although specific tasks and activities may be shared among Awardee and ONC as defined below.

Cooperative agreement is a support mechanism used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, ONC's program staff will assist, guide, coordinate, or participate in project activities to plan and implement process in a collaborative way.

III. Eligibility Information

A. Eligible Applicant

This is a non-competitive funding opportunity and is restricted to the organization designated below. Organizations not designated as such are not eligible to apply for this opportunity, and therefore should not submit an application. Applications submitted by organizations not designated below will not be considered.

Designated Organization: National Governors Association

1. Sole Source Justification

In order to be successful in the work outlined above, an applicant must have a unique blend of policy expertise and a background in convening leaders in state government to formulate innovative solutions.

The National Governors Association (NGA) is uniquely qualified to spearhead and provide policy assistance to states related to the development of a national infrastructure for health information exchange. NGA's unique relationship with senior health and health information policy leaders in executive branches of state government is unmatched by other organizations; NGA has a direct access to governors in each state, and it is the governors, in turn, who appoint and are advised by the senior health policy makers who will be engaged through this FOA. NGA has a long history of prior collaborations with parallel organizations that support state legislators and impact state policy in this area. NGA maintains substantial working relationships with state governors and other state leaders and has a lengthy track-record of brokering multi-state consensus arrangements and workable solutions across multiple content areas. NGA has proven its ability to see solutions through to widespread implementation. These traits are all critical to a successful outcome of this FOA.

Because health delivery system reform has become a crucial state activity, NGA's Center For Best Practices has a division that supports governors and their advisors on health issues. NGA runs the Center for Best Practices Health Division. This Division provides information, research, policy analysis, technical assistance and resource development for governors and their staff across a range of policy issues. Moreover, through NGA's relationships and its health initiatives, NGA has had first-hand experience with the complex health privacy rules environment that exists today for patients, providers and state health policy makers.

For example, NGA has supported prior initiatives related to improving and breaking down barriers to state health information exchange, such as the State Alliance for E-Health. Through this effort, NGA proved its ability to leverage relationships with key state health information stakeholders, such as the National Conference of State Legislatures, the National Academy for State Health Policy and the National Association of Insurance Commissioners, to promote

discussion and share information to increase the efficiency and effectiveness of health information technology initiatives. Similarly, NGA previously commissioned the 2011 technical report, "*State and Federal Consent Laws Affecting Interstate Health Information Exchange*", for the purpose of providing information to health stakeholders, including state policy leaders, focused on identifying uniform patient consent strategies and legal standards to support electronic health information exchanged. Within these initiatives, NGA worked to identify consensus-based solutions to resolve state level challenges to nationwide health information exchange and made expert use of collaborative tools and contacts to ensure input from widely dispersed state participants, uniquely positioning itself to partner with ONC to assess the current state privacy laws and issues identified by statement policy makers.

B. Cost-Sharing or Matching

None

C. Application Responsiveness Criteria

Applications that do not meet the following responsiveness criteria will be administratively eliminated and will not be sent forward for merit review:

- The application clearly addresses the project theme.
- The applicant meets the eligibility criteria as required by Section III.A, Eligible Applicants.
- The application is complete and includes the required components (Section I.B), including all elements of the program narrative needed to forward it for merit review.

D. Application Completeness Criteria

ONC will screen all applications to identify any that do not meet criteria outlined below. The application screening criteria are:

- The application is received by the deadline required under Section IV.C, Submission Dates and Times.
- The application meets the formatting and length requirements found in Section IV.B, Content and Form of Application Submission.
- The application includes specification of the geographic area and target population (estimated number of individuals and/or providers) of the project.
- Appendices and attachments are not used as a mechanism to exceed page limits of the Project Narrative.

E. Other

Applications must be submitted electronically via **http://www.grants.gov** by August 24, 2015.

The Project Narrative Section of the Application must be double-spaced, on 81/2" X 11" plain white page with 1" margins on both sides, and a font size of not less than 11.

The Project Narrative must not exceed 15 pages. Any pages over the limit will not be reviewed. NOTE: Project Abstracts do not count as part of the Project Narrative.

IV. Application and Submission Information

A. Address to Request Application Package

Application materials will be available for download at http://www.grants.gov. ONC requires full applications for all announcements to be submitted electronically through http://www.grants.gov. The applicant will be able to download a copy of the application packet, complete it off-line and then upload and submit the application electronically via: http://www.grants.gov.

APPLICATIONS WILL NOT BE ACCEPTED THROUGH ANY OTHER WEBSITE, AND WILL NOT BE ACCEPTED THROUGH PAPER MAIL, COURIER, OR DELIVERY SERVICE.

THE APPLICANT IS STRONGLY ENCOURAGED TO COMPLETE AND SUBMIT THE APPLICATION AS FAR IN ADVANCE OF THE SUBMISSION DEADLINE AS POSSIBLE. THE APPLICATION INCLUDING ALL REQUIRED ATTACHMENTS AND INCLUDED FILES FOR POTENTIAL CONSIDERATION IN THE REVIEW PROCESS MUST BE RECEIVED BY 11:59 PM EASTERN TIME ON THE DATE SPECIFIED IN SECTION IV C, BELOW.

Application procedures:

- Successful applicant must access the electronic application for this program via http://www.grants.gov. Search the downloadable application page by the Funding Opportunity Number NAP-AX-15-004 or CFDA number (93.830).
- Successful applicant should have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and register in the System for Award Management (SAM) Allow a minimum of five days to complete the SAM registration. Organizations applying for federal grants will need to be registered with the System for Award Management (SAM). You can register with the SAM online in about 30 minutes (http://www.sam.gov). 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 at http://www.sam.gov.
- Submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.
- Ensure that the application complies with any page limitation requirements described in this Program Guidance.
- After electronically submitting your application, an automatic email notification will be sent to confirm that the application was received. This notification does not provide assurance that your application was complete, only that the email was received.
- After ONC reviews the submission, a return receipt will be emailed to the Awardee contact indicating the files that were received and able to be successfully opened and read.

B. Content and Form of Application Submission

Project Abstract

The applicant shall include an abstract of the application of no more than two pages single spaced and 500 words. This abstract is often submitted to provide information to the public and Congress and represents a high-level summary of the project. The applicant should prepare a clear, accurate, and concise abstract that can be understood without reference to other parts of the application and which gives a description of the proposed project, including: the project's goal(s), objectives, overall approach (including partnerships), anticipated outcomes, products, and duration.

The Project Abstract must have a font size of not less than 11 point font.

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

Budget Forms

The applicant is required to fill out the following budget forms to include the costs associated with the proposed project activities. These forms will be submitted through grants.gov as part of the application package and will include the following:

- Application for Federal Assistance SF-424
- Budget Information for Non-Construction Programs SF-424A
- Assurances for Non-Construction Programs SF-424B
- Disclosure of Lobbying Activities SF-LLL

Please note that these forms do not replace program-specific guidance provided in this funding opportunity announcement. Additional instruction regarding budget forms can be found in Appendix A.

Project Narrative (15 pages maximum)

The application will include a narrative on the approach to using the funds to develop quality learning resources that meet the evaluation criteria described in Section V. Evaluation Criteria. The narrative must provide with an understanding of how the applicant will identify specific action steps to meet the project's objectives.

The Project Narrative must be double-spaced, on 8 ½" x 11" pages with 1" margins on both sides, and a font size of not less than 11. Smaller font sizes may be used to fill in the Standard

Forms and Sample Formats. Project narratives should be concise but complete. The Project Abstract will not be counted as part of the narrative.

The components of the Project Narrative include:

Problem Statement
Targeted Topic Areas
Proposed Approach
Collaborator Involvement
Project Management
Evaluation
Work Plan
Process for Dissemination of Learning Resources
Budget Justification

The Project Narrative is the most important part of the application because it will be used as the primary basis to determine whether or not the application meets the minimum requirements, and will serve as a primary basis for the review. The Project Narrative must provide a clear and concise description of your goals, objectives, strategy, and outcomes.

Problem Statement

This section should describe, from the applicant's perspective, the benefits of supporting states' development of their own roadmap to improve interoperable exchange of information for health as envisioned by the project.

Targeted Topic Areas

This section should describe at a high level the applicant's experience assisting state health policy leaders with health information technology issues, issues related to health privacy at a state level, as well as the applicant's experience with the issues identified in the Roadmap as appropriate for conversations with state health policy leaders.

Proposed Approach

This section should provide a clear and concise description of the approach the applicant proposes to use to and address the challenges described in the "Problem Statement." This should consist of a summary that is supported by the work plan described below, and cover topics such as: the intended method of incorporating information from robust in-person dialog into the State Roadmap, as well as applicant's understanding of privacy issues that may be of concern to states as they work to improve the interoperable exchange of health in their states. The applicant should also note any major barriers they anticipate encountering, and how their project will be able to overcome those barriers.

Collaborator Involvement

This section should describe the role and makeup of any other strategic collaborators the applicant plans to involve in implementing the approach.

Project Management

This section should include a clear delineation of the roles and responsibilities of project staff, participating, consultants and collaborating organizations, and how they will contribute to achieving the project's outcomes, as well as the nature of ONC staff resources of which the applicant anticipates taking advantage. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project's on-going progress; preparation of reports; communications with other collaborating organizations and ONC. It should also describe the approach that will be used to monitor and track progress on the project's tasks and objectives.

Evaluation

The applicant will describe how they will, as each Phase is unrolled and completed, evaluate whether the project remains on track with its timeline and its purposes.

Work Plan

The Project Work Plan should reflect and be consistent with the project narrative and budget and should cover all years of the project period. The work plan should identify important milestones and each major task or action step needed to reach those milestones (For each major task or action step, the work plan should identify timeframes involved, including start- and end-dates.

Dissemination of State Roadmap

This section should describe how the Phase II learnings and the Phase III State Roadmap will be disseminated including but not limited to marketing strategies to disseminate the State Roadmap content to applicant's membership, visual design and usability plans, and desired medium (paper, web, etc.).

Budget Narrative/Justification

The applicant is required to provide a detail proposed budget that includes the costs that would be incurred in support of the project activities. The budget narrative/justification must include the allowable costs that will be incurred in support of the cooperative agreement. Costs may not be incurred until the begin date of the award, as indicated on the official Notice of Award. Whether direct or indirect, costs must be allowable, allocable, reasonable and necessary as indicated in Title 2, Part 200,—Uniform Administrative Requirements, Cost Principles, and Audit Requirements For Federal Awards (see: http://www.ecfr.gov/cgi-bin/text-idx?SID=710366c0c4b84d722bcc2721c36fa260&mc=true&node=pt2.1.200&rgn=div5)

C. Submission Dates and Times

The deadline for the submission of applications under this Program Announcement is August 24, 2015. Applications must be submitted electronically by 11:59 p.m. Eastern Time, August 24, 2015.

Applications that fail to meet the application due date will **not** be reviewed and will receive **no** further consideration.

Grants.gov will automatically send Awardee a tracking number and date of receipt verification electronically once the application has been successfully received and validated in Grants.gov. After your application is retrieved by ONC from Grants.gov, a return receipt will be emailed to the Awardee contact. This will be in addition to the validation number provided by Grants.gov.

D. Funding Restrictions

Funds under this announcement cannot be used for the following purposes:

- To supplant or replace current public or private funding.
- To support payment of fees to external subject matter experts on these topics.
- To supplant on-going 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.

V. Application Review Information

A. Criteria

Applications will be scored based on 100 available points. Reviewers will use the following criteria to evaluate applications received in response to this solicitation.

Merit Review Criteria

The following criteria will be used to evaluate applications:

- Understanding of Project Purpose – (15 points)
- Approach, Work Plan, and Activities (25 points)
- Applicant Capabilities (20 points)
- Past Performance (10 points)
- Process for Dissemination of Learning Resources (20 points)
- Budget Justification (10 points)

Understanding of Project Purpose (15 points)

- Extent to which the applicant presents a clear understanding of the purpose and scope of the proposal to convene state policy makers for the purpose of identifying state

policy barriers to health information exchange and documenting a state level interoperability roadmap to alleviate said barriers.

Approach, Work Plan and Activities (25 points)

- Extent to which the applicant demonstrates a clear knowledge of the complexity and impact of disparate state health privacy laws and policies and has a workplan that will attain the goals of this FOA.
- Extent to which the applicant can convey a clear strategy and experience to convene high-level state health policy leaders for the purposes specified in the FOA. Other relevant items may include: the extent to which the proposed approach is feasible within the timeline; clear benchmarks for robust engagement of state policy stakeholders; an expressed timeline and work plan for creation of the final State Roadmap, and development/dissemination of the State Roadmap to state policy stakeholders. The plan must also include timelines, resources, partners, and major milestones and align with the budget.

Applicant capabilities (20 points)

- Strength of evidence that the applicant brings the critical organizational and personnel capabilities needed for successful project implementation including:
    - Demonstrated relationships with senior health and health information policy leaders, including governors, in executive branches of state government;
    - Existence of prior or active collaborations with parallel organizations that support state legislators and impact state policy related to health information exchange;
    - Demonstrated knowledge of or experience researching and documenting individual state health privacy laws and policies;
    - Demonstrated capability to convene state policy experts for in-person and virtual meetings using state of the art tools and technologies;
    - Ability to conduct, and experience providing comprehensive policy analysis, and technical assistance to governors, their executive leadership, and gubernatorial staff;

Past Performance (10 points)

- The applicant must demonstrate expertise supporting deep learning of complex policy issues with governors and policy advisor who support governors, in particular on issue of electronic health information. The applicant must demonstrate ability to successfully manage projects of similar size and ability to engage with health information and health information technology experts or industry stakeholders. The staff assigned by the successful applicant must be able to perform tasks on this Funding Opportunity Announcement (FOA) must have the expertise to be able to successfully complete the tasks and all evidence of their past work must be provided in the personnel resumes in the appendix of the applicant's proposal.

Dissemination (20 points)

- The manner in which the applicant plans to disseminate the State Roadmap and other learnings from the project and to support states which choose to use the roadmap.

Budget Narrative/Justification (10 points)

- Extent to which the proposed levels of effort of the project director, key personnel and consultants are adequate to advance the project in accordance with timelines.

- Extent to which the budget is justified with respect to the adequacy and reasonableness of resources requested, and the amount of the budget allocated to administration is minimized while still allowing coherent management of an integrated project.

- Adequate justification to support costs included in budget

B. Merit Review and Selection Process

Applications will be reviewed by staff from the ONC Office of the Chief Privacy Officer and other ONC staff with appropriate expertise. The final award decision will be made by ONC. In making this award, ONC will take into consideration: the merit of the proposed project as determined by merit review; compliance with programmatic and grants management requirements; the reasonableness of the estimated costs; geographic area; and the likelihood that the proposed program will result in the benefits expected.

C. Discussions and Award

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to the following:

(1) the budget is not appropriate or reasonable for the requirement;
(2) only a portion of the application is selected for award;
(3) the Government needs additional information to determine that the Awardee is capable of complying with the requirements in 2 CFR Part 200, Uniform Administrative Requirements; and/or
(4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

D. Anticipated Announcement and Award Dates

ONC anticipates making award announcements regarding selected application on or around September 2015.

VI. Award Administration Information

Type of Award:	Cooperative Agreement
Total Amount of Funding Available:	$325,000 (Estimated)
Number of Awards:	1
Project Period End Date:	2 years

A. Performance Evaluation

The Awardee's performance will be evaluated on a quarterly basis by ONC. Awardee will partner with ONC to establish a quarterly reporting mechanism to track and award progress towards milestones (qualitative and quantitative data). The Awardee shall submit one Final Project Report related to the overall project performance. A specific Final Project Report format will be finalized by ONC following the award date.

B. Public Material Use

Section 508-compliant materials developed through this funding will be made publicly available at the end of the project period if not released over the course of the program.

C. Intellectual Property/Copyrights

The Government reserves all rights granted by, and the recipient agrees to be bound by, Administrative Requirements, Cost Principles, and audit requirements as codified in 2 CFR Part 200 regarding rights in intangible property, 2 C.F.R. § 200.315, which is specifically incorporated herein. Generally, the recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under this award. The Government reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so. For any work owned by a third-party that was licensed by the recipient under this award, Awardee will assure that said license also reserves for the Government a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

D. Award Notices

A letter of notification will be issued, acknowledging that an award was funded. However, this does not provide authorization for the applicant to begin performance and expend funds associated with the award until the start date of the award as indicated in the notice.

E. Notice of Award

The Notice of Grant Award (NGA) is signed by the ONC Grants Management Officer. The successful applicant's Authorized Representatives will receive the NGA electronically from ONC. The NGA is considered the official authorizing award document.

The NGA will include the amount of funds awarded, the terms and conditions of the cooperative agreement, the effective date of the award, the budget period for which support will be given, the total project period timeframe and the total approved budget.

The NGA will provide pertinent instructions and information including, at a minimum, the following:

1. Legal name and address of performing organization or institution to whom ONC has issued an award under the terms of this request for applications;
2. Title of project;
3. Name(s) and institution(s) of Project Directors (PDs) chosen to direct and control approved activities;
4. Identifying award number assigned by ONC;
5. Project period, specifying the amount of time ONC intends to support the project without requiring re-competition for funds;
6. Total amount of financial assistance approved by ONC during the project period;
7. Legal authorities under which the award is issued;
8. Appropriate Catalog of Federal Domestic Assistance (CFDA) number;
9. Applicable award terms and conditions;
10. Approved budget plan for categorizing allocable project funds to accomplish the stated purpose of the award; and
11. Other information or provisions deemed necessary by ONC to carry out its respective awarding activities or to accomplish the purpose of a particular award.

In accepting an ONC award, the Awardee 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. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

VII. Other Terms and Conditions

These special terms and conditions of the award are in addition to and not in lieu of otherwise applicable OMB administrative guidelines, HHS grant administration regulations in 2 CFR Part 200, Subparts B through D, and other HHS and ONC policy statements.

Cooperative agreements are for a period of two years. By accepting an award, the Awardee is required to abide by 2 CFR Part 200, Subparts B through D, and other HHS and ONC policy statements.

Drawdown of funding for this cooperative agreement serves as official acceptance of this cooperative agreement. If you do not plan to accept the award, please send a letter of declination to the ONC Project Officer within 30 days of receipt of the Notice of Grant Award.

A. Administrative and National Policy Requirements

The award is subject to HHS Administrative Requirements, which can be found in CFR Part 200, Subparts B through D and the Standard Terms and Conditions implemented through the HHS Grants Policy Statement (GPS) located at http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf.

B. Post-Award Reporting Requirements

All reporting requirements will be provided to the applicant of a successful application, adherence to which is a required condition of any award. In general, a successful applicant under this guidance must comply with the following reporting and review activities:

C. Audit Requirements

Awardee must comply with audit requirements of Office of Management and Budget (OMB) Uniform Guidance as codified in 2 CFR Part 200, Subpart F. Information on the scope, frequency, and other aspects of the audits can be found at http://www.ecfr.gov/cgi-bin/text-idx?SID=ed90f54836feb6a994f657188eb05e33&node=2:1.1.2.2.1&rgn=div5

The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [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 hhstips@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 reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.

D. HHS Grants Policy Statement

ONC awards are subject to the requirements of the HHS GPS that are applicable to the grant/cooperative agreement based on recipient type and purpose of award. This includes, as applicable, any requirements in Parts I and II of the HHS GPS that apply to the award, as well as any requirements of Part IV. The HHS GPS is available at http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf. The general terms and conditions in the

HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the Notice of Award).

E. Records Retention

Awardee 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 annual 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 FFR for the entire competitive segment is submitted. The Awardee must retain the records pertinent to the entire competitive segment for three years from the date the final FSR is submitted. See 2 CFR 200.333 for exceptions and qualifications to the three-year retention requirement (e.g., 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). Those sections also specify the retention period for other types of grant-related records, including indirect cost proposals and property records. See 2 CFR 200.326 for record retention and access requirements for contracts under grants.

F. Financial Status and Cash Transaction Reports

Semi-Annual expenditures must be submitted for each fiscal year during the period of performance (October 1 through September 30) 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 is submitted via the Payment Management System (PMS) every calendar quarter for the life of the grant. The report must be submitted within 30 days after the end of the quarter (January 31, April 30, July 31, and October 31). Awardee is still required to complete the FFR Cash Transaction Report via the Payment Management System each calendar quarter.

G. Performance Reports

The Awardee's performance will be evaluated on a quarterly basis by ONC. Awardee will partner with ONC to establish a quarterly reporting mechanism to track and award progress towards milestones (qualitative and quantitative data). The Awardee shall submit one Final Project Report related to the overall project performance. A specific Final Project Report format will be finalized by ONC following the award date.

H. Non-Disclosure Requirements

Because this cooperative agreement may require Awardee 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, Awardee must ensure that all its personnel (to include chief executives, directors, any consultants, or subrecipients or any other personnel that are substantially involved in the performance of this cooperative agreement) who will be personally and substantially involved in the performance of this cooperative agreement:

- Execute and submit Non-Disclosure Agreements prior to the commencement of any work on the cooperative agreement; and
- Put in place appropriate procedures for the protection of such information and must be liable to the Government for any misuse or unauthorized disclosure of such information by its personnel, as defined above.

I. Potential for Organizational and Personal Conflicts Of Interest (COI)

The term "organizational conflict of interest" means that each applicant, (to include its chief executives, directors, any consultants, or subrecipients or any other personnel that are substantially involved in the performance of this cooperative agreement) has interests in which:

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

In accordance with Section 200.112, all applicants and non-federal entities must disclose in writing any potential conflict of interest (COI) that they have with the HHS awarding agency and/or any other pass-through entities. The applicant must notify the HHS awarding agency and their respective grants management officer (GMO) when they believe a COI may exist. If after award, Awardee discovers a COI, with respect to this cooperative agreement, it must make an immediate and full disclosure in writing to the grants management officer. The disclosure must include identification of the 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 Awardee was aware of an organizational COI prior to award of the cooperative agreement and did not disclose the conflict to the GMO or becomes aware of an organizational COI after award of this cooperative agreement and does not disclose the COI within ten (10) days of becoming aware of such conflict, the Government may terminate the cooperative agreement and the Awardee will not be entitled to reimbursement of any cost incurred in performing the cooperative agreement or payment of any fee thereunder.

The rights and remedies of the Government provided in this clause must not be exclusive and are in addition to any other rights and remedies of the Government provided by law or under this cooperative agreement.

J. Cooperative Agreement Terms and Conditions of Award

The following special terms of award are in addition to, and not in lieu of, otherwise applicable OMB administrative guidelines, HHS grant administration regulations at 2 CFR Part 200, Subpart B through D, and other HHS and ONC grant administration policies.

The administrative and funding instrument used for this program will be the cooperative agreement, an "assistance" mechanism, in which substantial ONC programmatic involvement with Awardee is anticipated during the performance of the activities. Under the cooperative agreement, the ONC purpose is to support and stimulate the Awardee' activities by involvement in and otherwise working jointly with Awardee in a partnership role; it is not to assume direction, prime responsibility, or a dominant role in the activities. Consistent with this concept, the dominant role and prime responsibility resides with Awardee for the project as a whole, although specific tasks and activities may be shared among the Awardee and the ONC as defined below.

To facilitate appropriate involvement, during the period of this cooperative agreement, ONC and Awardee will be in contact monthly and more frequently when appropriate. Requests to modify or amend the cooperative agreement may be made by ONC or Awardee at any time. 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, 2 CFR Part 200, Subpart B through D, or other applicable regulation or statute to make unilateral amendments.

Cooperative Agreement Roles and Responsibilities

Office of the National Coordinator for Health Information Technology (ONC) will have substantial involvement in program awards, as outlined below:

- Technical Assistance – ONC will be responsible for providing technical assistance to Awardee in support of Phases I through IV of this project. Technical assistance will include but is not limited to expert feedback, input, and information responsive to the topics comprising the State Actions identified in the Roadmap[6], including but not limited to how the current privacy legal environment in states impacts the goal of nationwide interoperable health information exchange. Technical assistance will be accomplished by direct engagement between ONC and the Awardee, as well as by coordinating with the appropriate federal partners to provide authoritative input as necessary.
- Strategic Direction - ONC will be responsible for providing the federal input and support necessary to meet the strategic goals of this initiative, including ensuring that key deliverables, such as the State Roadmap, are consistent with the overall objectives documented in the Roadmap.
- Collaboration – To assist and support the Awardee, ONC will coordinate with critical health information and privacy law stakeholders as appropriate, such as:
    - Medicaid and Medicare Administrators
    - State Designated Entities
    - State Government HIT Leads

[6] Roadmap pg. 44

    - Relevant Federal Agencies
- Project Officers – ONC will assign a designated Project Officer to this cooperative agreement award to support and monitor the Awardee throughout the period of performance.
- Release of Funds Approval – The ONC Project Officer for this award will be responsible for requesting authorization for the release of funds for this cooperative agreement.
- Monitoring – The ONC Project Officer, in conjunction with the Grants Division, will monitor Awardee's progress under this cooperative agreement on a regular basis. This monitoring may be by phone, document review, on-site visit, other meeting and by other appropriate means, such as reviewing program progress reports and Federal Financial Reports (FFR 425). This monitoring will be to determine compliance with programmatic and financial requirements.

Awardee

Awardee retains the primary responsibility and dominant role for planning, directing and executing Phases I through IV of this proposed project as outlined in the terms and conditions of the cooperative agreement. Awardee responsibilities include:

- Requirements –Awardee must comply with all current and future requirements of the project, specified and approved by the Secretary of HHS.
- Collaboration - Awardee is required to collaborate, as necessary, with the state and federal stakeholders described in their application. Awardee is also required to collaborate with all federal stakeholders and participants identified by ONC, including the assigned Project Officer and other representatives from stakeholder federal agencies.
- Reporting – Awardee is required to comply with all reporting requirements outlined in this Funding Opportunity Announcement and the terms and conditions of the cooperative agreement to ensure the timely release of funds.

K. Standard Terms and Conditions - ONC Grants

Awardee and any subrecipient must comply with the most recent version of the HHS Grants Policy Statement. In addition, Awardee must comply with the Administrative Requirements, Cost Principles, and Audit Requirements as codified in 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subparts B-F.

The Awardee agrees that all allocations and use of funds under this award will be in accordance with the Funding Opportunity Announcement specific to this program.

The Awardee understands and agrees to comply with 31 U.S.C. 1352, "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," and will not use any Federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government.

This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to

http://www.hrsa.gov/grants/trafficking.htm. If you are unable to access this link, please contact Division of Grants at ONCGrants@hhs.gov.

Green Procurement: To mitigate the environmental impacts of acquisition of IT and other products/equipment, Awardee is encouraged to: (1) participate in "Green procurement" based on the HHS Affirmative Procurement Plan (http://www.hhs.gov/asfr/ogapa/acquisition/10-2010_hhs_affirmative_procurement_plan.doc) 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.

Requirements for the System for Award Management(SAM) and Data Universal Numbering System (DUNS) numbers: Unless your entity is exempt from the SAM requirement under 2 CFR 25.110, it is incumbent upon you, as the Awardee, to maintain the accuracy/currency of your information in the SAM until the end of the project. Additionally, this term requires your entity to review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

If your entity is authorized to make subawards under this award, you: 1) must notify potential direct subrecipients that no entity may receive a subaward from you unless the entity has provided its DUNS number to you. 2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

Semi-Annual expenditures must be submitted for each fiscal year during the period of performance (October 1 through September 30) 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. ONC will provide guidance for format and further instructions on reporting before the reports are due.

The Awardee indicates acceptance of the terms and conditions of the award and agrees to perform in accordance with the requirements of the award by requesting funds from the designated grant payment system.

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

VIII. Agency Contacts

Program Contact:	**Grant Management Contact:**
Peyton Isaac Senior Privacy Analyst Office of the National Coordinator For Health Information Technology Department of Health and Human Services 330 C Street, S.W, Room 7046-G Washington, D.C. 20201 Tel: 202-690-3910 peyton.isaac@hhs.gov	Carmel Halloun Grants Management Officer Office of the National Coordinator For Health Information Technology Department of Health and Human Services 330 C Street, S.W.; Room 6001A Washington, D.C. 20201 Tel: 202-720-2919 Carmel.Halloun@hhs.gov

IX. Other Information

Other information or provisions deemed necessary by ONC to carry out its respective awarding activities or to accomplish the purpose of a particular award.

In accepting an ONC award, the awardee 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. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Appendix A

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are 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, please use the instructions below in lieu of the standard instructions attached to SF-424 and 424A to complete these forms.

Standard Form 424

1. **Type of Submission:** (Required): Select one type of submission in accordance with agency instructions.
   •Pre-application • Application • Changed/Corrected Application – If requested, check if this submission is to change or correct a previously submitted application.

2. **Type of Application:** (Required) Select one type of application in accordance with agency instructions.
   •New • Continuation • Revision

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier:** Leave this field blank

5a. Federal Entity Identifier: Leave this field blank

5b. Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award (grant) number.

6. **Date Received by State:** Leave this field blank.

1. **State Application Identifier:** Leave this field blank.

2. **Applicant Information:** Enter the following in accordance with agency instructions:

a. **Legal Name:** (Required): Enter the name that the organization has registered with the Central Contractor Registry. Information on registering with SAM may be obtained by visiting the Grants.gov website.

b. **Employer/Taxpayer Number (EIN/TIN):** (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service.

c. **Organizational DUNS:** (Required) Enter the organization's DUNS or DUNS+4 numbers received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.

d. **Address:** (Required) Enter the complete address including the county.

e. **Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the project.

f. **Name and contact information of person to be contacted on matters involving this application:** Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.

9. Type of Applicant: (Required) Select the applicant organization "type" from the following drop down list.
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 Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)

10. Name of Federal Agency: (Required) Enter Office of the National Coordinator

11. Catalog of Federal Domestic Assistance Number/Title: The CFDA number can be found on page one of the Program Announcement.

12. Funding Opportunity Number/Title: (Required) The Funding Opportunity Number and title of the opportunity can be found on page one of the Program Announcement.

13. Competition Identification Number/Title: Leave this field blank.

14. Areas Affected By Project: List the largest political entity affected (cities, counties, state etc.).

15. Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project.

16. Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. 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 12th district, and NC-103 for North Carolina's 103rd 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.

17. **Proposed Project Start and End Dates:** (Required) Enter the proposed start date and final end date of the project. Therefore, if you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.

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.

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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 1/3rd of the amount of Federal funds being requested (the amount in 18a). For a full explanation of ONC's match requirements, see the information in the box below. For sub-item 18f, enter only the amount, if any, which is going to be used as part of the required match.

NOTE: **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 DHHS 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-awardees 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?** Check c. Program is not covered by E.O. 12372

20. **Is the Applicant Delinquent on any Federal Debt?** (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

21. **Authorized Representative:** (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. 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.)

Standard Form 424A

NOTE: 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 one year budget.

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL Federal costs in column (e) and total non-Federal costs (including third party in-kind contributions and any program income to be used as part of the awardee 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 contractual, detailed Budget Narratives/Justifications must be provided for each sub-contractor or sub-awardee. **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.**

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. 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-awardee (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/awardee staff. Do not include the costs 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.

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 break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

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, 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 awardees, "equipment" is non-expendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit or as indicated in negotiated IDC agreement with cognizant federal agency. 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 sub-awardees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

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.

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/awardee intends to delegate more than 33% of a project's total budget to the contractual line item, the applicant/awardee must provide a completed copy of Section B of the SF-424A Budget Categories for each sub-contractor or sub-awardee, and separate Budget Narrative/Justification for each sub-contractor or sub-awardee for each year of potential grant funding.**

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.. 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 work plan. Describe the types of activities for staff development costs.

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 DHHS 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-awardees 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

Line 12: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Keep in mind that if the match requirement is not met, Federal dollars may be reduced.

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.

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.

Standard Form 424B - Assurances

This form contains assurances required of applicants 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.

a. Certification Regarding Lobbying

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

b. Other Application Components

Survey on Ensuring Equal Opportunity for Applicants

The Office of Management and Budget (OMB) has approved an HHS form to collect information on the number of faith-based groups applying for a HHS grant. Non-profit organizations, excluding private universities, are asked to include a completed survey with their grant application packet. Attached you will find the OMB approved HHS "Survey on Ensuring Equal Opportunity for Applicants" form. Your help in this data collection process is greatly appreciated.

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

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.

Budget Narrative/Justification, Page 1 – Sample Format with EXAMPLES

NOTE: These are sample costs as to how they should be reflected in the template, and are suggested to offer guidelines when applicants are completing their budget justifications.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$40,000	$5,000		$45,000	Project Administrator (name) = .3FTE @ $50,000/yr = ... $15,000 ($10,000 = Federal; $5,000 = Non-Federal cash) Project Director (name) = 1FTE @ $30,000 = ... $30,000 (Federal) **TOTAL: $45,000**
Fringe Benefits	$12,600	0	0	$12,600	Fringes on Project Staff @ 28% of salary. (Federal) FICA (7.65%)= ..... $ 3,442 Health (12%) =..... $ 5,400 Dental (5%) = ... $ 2,250 Life (2%) =..... $ 900 Workers Comp Insurance (.75%) = ... $ 338 Unemployment Insurance (.6%) = ... $ 270 **TOTAL: $12,600**

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Travel	$4,120	$1,547		$5,667	Travel to 2 Annual Awardee Meetings: (Federal) Airfare: 1 RT x 2 people x $750/RT x 2 = ... $3,000 Lodging: 2 nights x 2 people x $100/night x 2 = ... $ 800 Per Diem: 2 days x 2 people x $40/day x 2 = ... $ 320 **TOTAL: ..... $4,120** Out-of-Town Project 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 **TOTAL: $1,547**
Equipment	0	0	0	0	No equipment requested
Supplies	$1,340	$2,160		$3,500	Laptop computer for use in client intakes = $1,340 (Federal) Consumable supplies (paper, pens, etc.) $100/mo x 12 months = ... $1,200 (Non-Federal cash) Copying $80/mo x 12 months = ... $ 960 (Non-Federal cash) **TOTAL: $3,500**
Contractual	$150,000		$50,000	$200,000	Contracts to A,B,C direct service providers (name providers) contractor A = ... $75,000 (Federal) contractor B = ... $75,000 (Federal) contractor C =..... $50,000 (Non-Federal In-Kind) **TOTAL: $200,000**

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Other	$1,250	$2,000		$3,250	Local conf registration fee (provide conference name = ... $ 200 (Non-Fed cash) Printing brochures (25,000 @ $0.05 ea) =..... $ 1,250 (Federal) Postage: $150/mo x 12 months =..... ..... $ 1,800 (Non-Fed cash) **TOTAL..... $3,250**
TOTAL	**$209,310**	**$10,707**	**$50,000**	**$270,017**	

Budget Narrative/Justification — Sample Template

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					