CDC: UNP Program Name: MPEEC Agreement Number: 3924519015

FY25

GRANT AGREEMENT

BETWEEN

THE STATE OF ILLINOIS, DEPARTMENT OF CHILDREN AND FAMILY SERVICES (DCFS)

AND

THE UNIVERSITY OF CHICAGO

The parties to this Grant Agreement (Agreement) are the State of Illinois (State), acting through the undersigned agency (Grantor) and THE UNIVERSITY OF CHICAGO (Grantee) (collectively, the "Parties" and individually, a "Party"). The Agreement, consisting of the signature page, the parts listed below, and any additional exhibits or attachments referenced in this Agreement, constitute the entire agreement between the Parties. No promises, terms, or conditions not recited, incorporated or referenced herein, including prior agreements or oral discussions, are binding upon either Grantee or Grantor.

PART ONE – The Uniform Terms

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PART TWO – Grantor-Specific Terms

PART THREE – Project-Specific Terms

CDC: UNP   Program Name: MPEEC   Agreement Number: 3924519015

The Parties or their duly authorized representatives hereby execute this Agreement.

Department of Children and Family Services | THE UNIVERSITY OF CHICAGO

B[redacted]

Signature of Heidi E. Mueller, Director | Signature of Authorized Representative

By: [redacted]

Signature of Designee

Date: 9/5/2024

Printed Name: April A. Woerner

Printed Title: Contracts' Manager

Designee

Date: 9/5/2024

Printed Name: Aytek Oto, MD, MBA

Printed Title: Chief Physician, Dean for Clinical Affairs

E-mail: aoto@bsd.uchicago.edu

By: ______

Signature of Second Grantee Approver, if applicable

Date: ______

Printed Name: ______

Printed Title: ______

Second Grantee Approver
(optional at Grantee's discretion)

If this Agreement is in the amount of $250,000 or more in a fiscal year, or order against a master contract in the amount of $250,000 or more in a fiscal year, this Agreement shall not be binding and enforceable until it is also approved and signed in writing by the General Counsel and the Chief Financial Officer of the Department in accordance with 30 ILCS 105/9.02.

By: **See attached $250K memo**

Signature of Second Grantor Approver, if applicable

Date: ______

Printed Name: Brian L. Dougherty

Printed Title: General Counsel

Second Grantor Approver

By: **See attached $250K memo**

Signature of Third Grantor Approver, if applicable

Date: ______

Printed Name: Kiersten Neswick

Printed Title: Chief Financial Officer

Third Grantor Approver

PART ONE – THE UNIFORM TERMS

ARTICLE I
DEFINITIONS

1.1. Definitions. Capitalized words and phrases used in this Agreement have the meanings stated in 2 CFR 200.1 unless otherwise stated below.

"Allowable Costs" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Award" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Budget" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Catalog of State Financial Assistance" or "CSFA" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Close-out Report" means a report from the Grantee allowing Grantor to determine whether all applicable administrative actions and required work have been completed, and therefore closeout actions can commence.

"Conflict of Interest" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Cooperative Research and Development Agreement" has the same meaning as in 15 USC 3710a.

"Direct Costs" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Financial Assistance" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"GATU" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Grant Agreement" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Grant Compliance Enforcement System" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Grant Funds" means the Financial Assistance made available to Grantee through this Agreement.

"Grantee Portal" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Indirect Costs" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Indirect Cost Rate" means a device for determining in a reasonable manner the proportion of Indirect Costs each Program should bear. It is a ratio (expressed as a percentage) of the Indirect Costs to a Direct Cost base. If reimbursement of Indirect Costs is allowable under an Award, Grantor will not reimburse those Indirect Costs unless Grantee has established an Indirect Cost Rate covering the applicable activities and period of time, unless Indirect Costs are reimbursed at a fixed rate.

"Indirect Cost Rate Proposal" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Obligations" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Period of Performance" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Prior Approval" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Profit" means an entity's total revenue less its operating expenses, interest paid, depreciation, and taxes. "Profit" is synonymous with the term "net revenue."

"Program" means the services to be provided pursuant to this Agreement. "Program" is used interchangeably with "Project."

"Program Costs" means all Allowable Costs incurred by Grantee and the value of the contributions made by third parties in accomplishing the objectives of the Award during the Term of this Agreement.

"Related Parties" has the meaning set forth in Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 850-10-20.

"SAM" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"State-issued Award" means the assistance that a grantee receives directly from a State agency. The funding source of the State-issued Award can be federal pass-through, State or a combination thereof. "State-issued Award" does not include the following:

- contracts issued pursuant to the Illinois Procurement Code that a State agency uses to buy goods or services from a contractor or a contract to operate State government-owned, contractor-operated facilities;
- agreements that meet the definition of "contract" under 2 CFR 200.1 and 2 CFR 200.331, which a State agency uses to procure goods or services but are exempt from the Illinois Procurement Code due to an exemption listed under 30 ILCS 500/1-10, or pursuant to a disaster proclamation, executive order, or any other exemption permitted by law;
- amounts received for services rendered to an individual;
- Cooperative Research and Development Agreements;
- an agreement that provides only direct cash assistance to an individual;
- a subsidy;
- a loan;
- a loan guarantee; or
- insurance.

"Illinois Stop Payment List" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Unallowable Cost" has the same meaning as in 44 Ill. Admin. Code 7000.30.

"Unique Entity Identifier" or "UEI" has the same meaning as in 44 Ill. Admin. Code 7000.30.

ARTICLE II
AWARD INFORMATION

2.1. Term. This Agreement is effective on 7/1/2024 and expires on 6/30/2027 (the Term), unless terminated pursuant to this Agreement.

2.2. Amount of Agreement. Grant Funds (check one) ☐ must not exceed or ☒ are estimated to be **$3,235,707.00**, of which $216624.86 are federal funds. Grantee accepts Grantor's payment as specified in this ARTICLE.

2.3. Payment. Payment will be made as follows (*see* additional payment requirements in ARTICLE IV; additional payment provisions specific to this Award may be included in PART TWO or PART THREE):

2.4. Award Identification Numbers. If applicable, the Federal Award Identification Number (FAIN) is [redacted] the federal awarding agency is **U.S. Department of Health & Human Services**, and the Federal Award date is **10/1/2020**. If applicable, the Assistance Listing Program Title is **Child Abuse and Neglect** and Assistance Listing Number is [redacted]. The Catalog of State Financial Assistance (CSFA) Number is [redacted] and the CSFA Name is **Child Welfare Research Training or Demonstration**. If applicable, the State Award Identification Number (SAIN) is N/A.

ARTICLE III
GRANTEE CERTIFICATIONS AND REPRESENTATIONS

3.1. Registration Certification. Grantee certifies that: (i) it is registered with SAM and [redacted] is Grantee's correct UEI; (ii) it is in good standing with the Illinois Secretary of State, if applicable; and (iii) Grantee has successfully completed the annual registration and prequalification through the Grantee Portal.

Grantee must remain current with these registrations and requirements. If Grantee's status with regard to any of these requirements changes, or the certifications made in and information provided in the uniform grant application changes, Grantee must notify Grantor in accordance with ARTICLE XV.

3.2. Tax Identification Certification. Grantee certifies that: [redacted] is Grantee's correct federal employer identification number (FEIN) or Social Security Number. Grantee further certifies, if applicable: (a) that Grantee is not subject to backup withholding because (i) Grantee is exempt from backup withholding, or (ii) Grantee has not been notified by the Internal Revenue Service (IRS) that Grantee is subject to backup withholding as a result of a failure to report all interest or dividends, or (iii) the IRS has notified Grantee that Grantee is no longer subject to backup withholding; and (b) Grantee is a U.S. citizen or other U.S. person. Grantee is doing business as a (check one):

- ☐ Individual
- ☐ Sole Proprietorship
- ☐ Partnership
- ☐ Corporation (includes Not For Profit)
- ☐ Medical Corporation
- ☐ Governmental Unit
- ☐ Estate or Trust
- ☐ Pharmacy-Non-Corporate
- ☐ Pharmacy/Funeral Home/Cemetery Corp.
- ☒ Tax Exempt
- ☐ Limited Liability Company (select applicable tax classification)
  - ☐ P = partnership
  - ☐ C = corporation

If Grantee has not received a payment from the State of Illinois in the last two years, Grantee must submit a W-9 tax form with this Agreement.

3.3. Compliance with Uniform Grant Rules. Grantee certifies that it must adhere to the applicable Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, which are published in Title 2, Part 200 of the Code of Federal Regulations (2 CFR Part 200) and are incorporated herein by reference. 44 Ill. Admin. Code 7000.40(c)(1)(A). The requirements of 2 CFR Part 200 apply to the Grant Funds awarded through this Agreement, regardless of whether the original source of the funds is State or federal, unless an exception is noted in federal or State statutes or regulations. 30 ILCS 708/5(b).

3.4. Representations and Use of Funds. Grantee certifies under oath that (1) all representations made in this Agreement are true and correct and (2) all Grant Funds awarded pursuant to this Agreement must be used only for the purpose(s) described herein. Grantee acknowledges that the Award is made solely upon this certification and that any false statements, misrepresentations, or material omissions will be the basis for immediate termination of this Agreement and repayment of all Grant Funds.

3.5. Specific Certifications. Grantee is responsible for compliance with the enumerated certifications in this Paragraph to the extent that the certifications apply to Grantee.

(a) **Bribery.** Grantee certifies that it has not been convicted of bribery or attempting to bribe an officer or employee of the State of Illinois, nor made an admission of guilt of such conduct which is a matter of record.

(b) **Bid Rigging.** Grantee certifies that it has not been barred from contracting with a unit of State or local government as a result of a violation of Paragraph 33E-3 or 33E-4 of the Criminal Code of 2012 (720 ILCS 5/33E-3 or 720 ILCS 5/33E-4, respectively).

(c) **Debt to State.** Grantee certifies that neither it, nor its affiliate(s), is/are barred from receiving an Award because Grantee, or its affiliate(s), is/are delinquent in the payment of any debt to the State, unless Grantee, or its affiliate(s), has/have entered into a deferred payment plan to pay off the debt.

(d) **International Boycott.** Grantee certifies that neither it nor any substantially owned affiliated company is participating or will participate in an international boycott in violation of the provision of the Anti-Boycott Act of 2018, Part II of the Export Control Reform Act of 2018 (50 USC 4841 through 4843), and the anti-boycott provisions set forth in Part 760 of the federal Export Administration Regulations (15 CFR Parts 730 through 774).

(e) **Discriminatory Club Dues or Fees.** Grantee certifies that it is not prohibited from receiving an Award because it pays dues or fees on behalf of its employees or agents, or subsidizes or otherwise reimburses employees or agents for payment of their dues or fees to any club which unlawfully discriminates (775 ILCS 25/2).

(f) **Pro-Children Act.** Grantee certifies that it is in compliance with the Pro-Children Act of 2001 in that it prohibits smoking in any portion of its facility used for the provision of health, day care, early childhood development services, education or library services to children under the age of eighteen (18) (except such portions of the facilities which are used for inpatient substance abuse treatment) (20 USC 7181-7184).

(g) **Drug-Free Workplace.** If Grantee is not an individual, Grantee certifies it will provide a drug free workplace pursuant to the Drug Free Workplace Act. 30 ILCS 580/3. If Grantee is an individual and this Agreement is valued at more than $5,000, Grantee certifies it will not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance during the performance of the Agreement. 30 ILCS 580/4. Grantee further certifies that if it is a recipient of federal pass-through funds, it is in compliance with the government-wide requirements for a drug-free workplace as set forth in 41 USC 8103.

(h) **Motor Voter Law.** Grantee certifies that it is in full compliance with the terms and provisions of the National Voter Registration Act of 1993 (52 USC 20501 *et seq.*).

(i) **Clean Air Act and Clean Water Act.** Grantee certifies that it is in compliance with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 USC 7401 *et seq.*) and the Federal Water Pollution Control Act, as amended (33 USC 1251 *et seq.*).

(j) **Debarment.** Grantee certifies that it is not debarred, suspended, proposed for debarment or permanent inclusion on the Illinois Stop Payment List, declared ineligible, or voluntarily excluded from participation in this Agreement by any federal department or agency (2 CFR 200.205(a)), or by the State (30 ILCS 708/25(6)(G)).

(k) **Non-procurement Debarment and Suspension.** Grantee certifies that it is in compliance with Subpart C of 2 CFR Part 180 as supplemented by 2 CFR Part 376, Subpart C.

(l) **Health Insurance Portability and Accountability Act.** Grantee certifies that it is in compliance with the

Health Insurance Portability and Accountability Act of 1996 (HIPAA) (Public Law No. 104-191, 45 CFR Parts 160, 162 and 164, and the Social Security Act, 42 USC 1320d-2 through 1320d-7), in that it may not use or disclose protected health information other than as permitted or required by law and agrees to use appropriate safeguards to prevent use or disclosure of the protected health information. Grantee must maintain, for a minimum of six (6) years, all protected health information.

(m) **Criminal Convictions.** Grantee certifies that:

(i) Neither it nor a managerial agent of Grantee (for non-governmental grantees only, this includes any officer, director or partner of Grantee) has been convicted of a felony under the Sarbanes-Oxley Act of 2002, nor a Class 3 or Class 2 felony under Illinois Securities Law of 1953, or that at least five (5) years have passed since the date of the conviction; and

(ii) It must disclose to Grantor all violations of criminal law involving fraud, bribery or gratuity violations potentially affecting this Award. Failure to disclose may result in remedial actions as stated in the Grant Accountability and Transparency Act. 30 ILCS 708/40. Additionally, if Grantee receives over $10 million in total federal Financial Assistance, during the period of this Award, Grantee must maintain the currency of information reported to SAM regarding civil, criminal or administrative proceedings as required by 2 CFR 200.113 and Appendix XII of 2 CFR Part 200, and 30 ILCS 708/40.

(n) **Federal Funding Accountability and Transparency Act of 2006 (FFATA).** Grantee certifies that it is in compliance with the terms and requirements of 31 USC 6101 with respect to Federal Awards greater than or equal to $30,000. A FFATA subaward report must be filed by the end of the month following the month in which the award was made.

(o) **Illinois Works Review Panel.** For Awards made for public works projects, as defined in the Illinois Works Jobs Program Act, Grantee certifies that it and any contractor(s) or subcontractor(s) that performs work using funds from this Award, must, upon reasonable notice, appear before and respond to requests for information from the Illinois Works Review Panel. 30 ILCS 559/20-25(d).

(p) **Anti-Discrimination.** Grantee certifies that its employees and subcontractors under subcontract made pursuant to this Agreement, must comply with all applicable provisions of State and federal laws and regulations pertaining to nondiscrimination, sexual harassment and equal employment opportunity including, but not limited to: Illinois Human Rights Act (775 ILCS 5/1-101 *et seq.*), including, without limitation, 44 Ill. Admin. Code 750- Appendix A, which is incorporated herein; Public Works Employment Discrimination Act (775 ILCS 10/1 *et seq.*); Civil Rights Act of 1964 (as amended) (42 USC 2000a - 2000h-6); Section 504 of the Rehabilitation Act of 1973 (29 USC 794); Americans with Disabilities Act of 1990 (as amended) (42 USC 12101 *et seq.*); and the Age Discrimination Act of 1975 (42 USC 6101 *et seq.*).

(q) **Internal Revenue Code and Illinois Income Tax Act.** Grantee certifies that it complies with all provisions of the federal Internal Revenue Code (26 USC 1), the Illinois Income Tax Act (35 ILCS 5), and all regulations and rules promulgated thereunder, including withholding provisions and timely deposits of employee taxes and unemployment insurance taxes.

ARTICLE IV
PAYMENT REQUIREMENTS

4.1. Availability of Appropriation; Sufficiency of Funds. This Agreement is contingent upon and subject to the availability of sufficient funds. Grantor may terminate or suspend this Agreement, in whole or in part, without penalty or further payment being required, if (i) sufficient funds for this Agreement have not been appropriated or otherwise made available to Grantor by the State or the federal funding source, (ii) the Governor or Grantor reserves funds, or (iii) the Governor or Grantor determines that funds will not or may not be available for payment. Grantor must provide notice, in writing, to Grantee of any such funding failure and its election to terminate or suspend this Agreement as soon as practicable. Any suspension or termination pursuant to this Paragraph will be effective upon the date of the written notice unless otherwise indicated.

4.2. Pre-Award Costs. Pre-award costs are not permitted unless specifically authorized by Grantor in **Exhibit A**, **PART**

TWO or PART THREE of this Agreement. If they are authorized, pre-award costs must be charged to the initial Budget Period of the Award, unless otherwise specified by Grantor. 2 CFR 200.458.

4.3. Return of Grant Funds. Grantee must liquidate all Obligations incurred under the Award within forty-five (45) days of the end of the Period of Performance, or in the case of capital improvement Awards, within forty-five (45) days of the end of the time period the Grant Funds are available for expenditure or obligation, unless Grantor permits a longer period in **PART TWO** or **PART THREE**. Grantee must return to Grantor within forty-five (45) days of the applicable time period as set forth in this Paragraph all remaining Grant Funds that are not expended or legally obligated.

4.4. Cash Management Improvement Act of 1990. Unless notified otherwise in **PART TWO** or **PART THREE**, Grantee must manage federal funds received under this Agreement in accordance with the Cash Management Improvement Act of 1990 (31 USC 6501 *et seq.*) and any other applicable federal laws or regulations. 2 CFR 200.305; 44 Ill. Admin. Code 7000.120.

4.5. Payments to Third Parties. Grantor will have no liability to Grantee when Grantor acts in good faith to redirect all or a portion of any Grantee payment to a third party. Grantor will be deemed to have acted in good faith when it is in possession of information that indicates Grantee authorized Grantor to intercept or redirect payments to a third party or when so ordered by a court of competent jurisdiction.

4.6. Modifications to Estimated Amount. If the Agreement amount is established on an estimated basis, then it may be increased by mutual agreement at any time during the Term. Grantor may decrease the estimated amount of this Agreement at any time during the Term if (i) Grantor believes Grantee will not use the funds during the Term, (ii) Grantor believes Grantee has used Grant Funds in a manner that was not authorized by this Agreement, (iii) sufficient funds for this Agreement have not been appropriated or otherwise made available to Grantor by the State or the federal funding source, (iv) the Governor or Grantor reserves funds, or (v) the Governor or Grantor determines that funds will or may not be available for payment. Grantee will be notified, in writing, of any adjustment of the estimated amount of this Agreement. In the event of such reduction, services provided by Grantee under **Exhibit A** may be reduced accordingly. Grantor must pay Grantee for work satisfactorily performed prior to the date of the notice regarding adjustment. 2 CFR 200.308.

4.7. Interest.

(a) All interest earned on Grant Funds held by a Grantee will be treated in accordance with 2 CFR 200.305(b)(9), unless otherwise provided in **PART TWO** or **PART THREE**. Grantee must remit annually any amount due in accordance with 2 CFR 200.305(b)(9) or to Grantor, as applicable.

(b) Grant Funds must be placed in an insured account, whenever possible, that bears interest, unless exempted under 2 CFR 200.305(b)(8).

4.8. Timely Billing Required. Grantee must submit any payment request to Grantor within fifteen (15) days of the end of the quarter, unless another billing schedule is specified in **ARTICLE II**, **PART TWO**, or **PART THREE**. Failure to submit such payment request timely will render the amounts billed Unallowable Costs which Grantor cannot reimburse. In the event that Grantee is unable, for good cause, to submit its payment request timely, Grantee must timely notify Grantor and may request an extension of time to submit the payment request. Grantor's approval of Grantee's request for an extension must not be unreasonably withheld.

4.9. Certification. Pursuant to 2 CFR 200.415, each invoice and report submitted by Grantee (or subrecipient) must contain the following certification by an official authorized to legally bind Grantee (or subrecipient):

> By signing this report [or payment request or both], I certify to the best of my knowledge and belief that the report [or payment request] is true, complete, and accurate; that the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the State or federal pass-through award; and that supporting documentation has been submitted as required by the grant agreement. I acknowledge that approval for any other expenditure described herein is considered conditional subject to further review and verification in accordance with the monitoring and records retention provisions of the grant agreement. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for

fraud, false statements, false claims or otherwise (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812; 30 ILCS 708/120).

ARTICLE V
SCOPE OF AWARD ACTIVITIES/PURPOSE OF AWARD

5.1. Scope of Award Activities/Purpose of Award. Grantee must perform as described in this Agreement, including as described in **Exhibit A** (Project Description), **Exhibit B** (Deliverables or Milestones), and Exhibit D (Performance Measures and Standards), as applicable. Grantee must further comply with all terms and conditions set forth in the Notice of State Award (44 Ill. Admin. Code 7000.360) which is incorporated herein by reference. All Grantor-specific provisions and programmatic reporting required under this Agreement are described in **PART TWO** (Grantor-Specific Terms). All Project-specific provisions and reporting required under this Agreement are described in **PART THREE** (Project-Specific Terms).

5.2. Scope Revisions. Grantee must obtain Prior Approval from Grantor whenever a scope revision is necessary for one or more of the reasons enumerated in 44 Ill. Admin. Code 7000.370(b)(2). All requests for scope revisions that require Grantor approval must be signed by Grantee's authorized representative and submitted to Grantor for approval. Expenditure of funds under a requested revision is prohibited and will not be reimbursed if expended before Grantor gives written approval. 2 CFR 200.308.

5.3. Specific Conditions. If applicable, specific conditions required after a risk assessment are included in **Exhibit E**. Grantee must adhere to the specific conditions listed therein. 44 Ill. Admin. Code 7000.340(e).

ARTICLE VI
BUDGET

6.1. Budget. The Budget submitted by Grantee at application, or a revised Budget subsequently submitted and approved by Grantor, is considered final and is incorporated herein by reference.

6.2. Budget Revisions. Grantee must obtain Prior Approval, whether mandated or discretionary, from Grantor whenever a Budget revision is necessary for one or more of the reasons enumerated in 44 Ill. Admin. Code 7000.370(b). All requests for Budget revisions that require Grantor approval must be signed by Grantee's authorized representative and submitted to Grantor for approval. Expenditure of funds under a requested revision is prohibited and will not be reimbursed if expended before Grantor gives written approval.

6.3. Notification. Within thirty (30) calendar days from the date of receipt of the request for Budget revisions, Grantor will review the request and notify Grantee whether the Budget revision has been approved, denied, or the date upon which a decision will be reached. 44 Ill. Admin. Code 7000.370(b)(7).

ARTICLE VII
ALLOWABLE COSTS

7.1. Allowability of Costs; Cost Allocation Methods. The allowability of costs and cost allocation methods for work performed under this Agreement will be determined in accordance with 2 CFR Part 200 Subpart E and Appendices III, IV, V, and VII.

7.2. Indirect Cost Rate Submission.

(a) All grantees, except for Local Education Agencies (as defined in 34 CFR 77.1), must make an Indirect Cost Rate election in the Grantee Portal, even grantees that do not charge or expect to charge Indirect Costs. 44 Ill. Admin. Code 7000.420(e).

(i) Waived and de minimis Indirect Cost Rate elections will remain in effect until Grantee elects a different option.

(b) Grantee must submit an Indirect Cost Rate Proposal in accordance with federal and State regulations, in a format prescribed by Grantor. For grantees who have never negotiated an Indirect Cost Rate before, the Indirect Cost Rate Proposal must be submitted for approval no later than three months after the effective date of the Award. For grantees who have previously negotiated an Indirect Cost Rate, the Indirect Cost Rate Proposal must be submitted for approval within 180 days of Grantee's fiscal year end, as dictated in the applicable appendices, such as:

(i) Appendix VII to 2 CFR Part 200 governs Indirect Cost Rate Proposals for state and Local Governments and Indian Tribes,

(ii) Appendix III to 2 CFR Part 200 governs Indirect Cost Rate Proposals for public and private institutions of higher education,

(iii) Appendix IV to 2 CFR Part 200 governs Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Nonprofit Organizations, and

(iv) Appendix V to 2 CFR Part 200 governs state/Local Governmentwide Central Service Cost Allocation Plans.

(c) A grantee who has a current, applicable rate negotiated by a cognizant federal agency must provide to Grantor a copy of its Indirect Cost Rate acceptance letter from the federal government and a copy of all documentation regarding the allocation methodology for costs used to negotiate that rate, e.g., without limitation, the cost policy statement or disclosure narrative statement. Grantor will accept that Indirect Cost Rate, up to any statutory, rule-based or programmatic limit.

(d) A grantee who does not have a current negotiated rate, may elect to charge the *de minimis* rate as set forth in 2 CFR 200.414(f), which may be used indefinitely. No documentation is required to justify the *de minimis* Indirect Cost Rate. 2 CFR 200.414(f).

7.3. Transfer of Costs. Cost transfers between Grants, whether as a means to compensate for cost overruns or for other reasons, are unallowable. 2 CFR 200.451.

7.4. Commercial Organization Cost Principles. The federal cost principles and procedures for cost analysis and the determination, negotiation and allowance of costs that apply to commercial organizations are set forth in 48 CFR Part 31.

7.5. Financial Management Standards. The financial management systems of Grantee must meet the following standards:

(a) **Accounting System**. Grantee organizations must have an accounting system that provides accurate, current, and complete disclosure of all financial transactions related to each state- and federally-funded Program. Accounting records must contain information pertaining to State and federal pass-through awards, authorizations, Obligations, unobligated balances, assets, outlays, and income. These records must be maintained on a current basis and balanced at least quarterly. Cash contributions to the Program from third parties must be accounted for in the general ledger with other Grant Funds. Third party in-kind (non-cash) contributions are not required to be recorded in the general ledger, but must be under accounting control, possibly through the use of a memorandum ledger. To comply with 2 CFR 200.305(b)(7)(i) and 30 ILCS 708/97, Grantee must use reasonable efforts to ensure that funding streams are delineated within Grantee's accounting system. 2 CFR 200.302.

(b) **Source Documentation**. Accounting records must be supported by such source documentation as canceled checks, bank statements, invoices, paid bills, donor letters, time and attendance records, activity reports, travel reports, contractual and consultant agreements, and subaward documentation. All supporting documentation must be clearly identified with the Award and general ledger accounts which are to be charged or credited.

(i) The documentation standards for salary charges to Grants are prescribed by 2 CFR 200.430, and in the cost principles applicable to the Grantee's organization.

(ii) If records do not meet the standards in 2 CFR 200.430, then Grantor may notify Grantee in **PART TWO**, **PART THREE** or **Exhibit E** of the requirement to submit personnel activity reports. 2 CFR 200.430(i)(8). Personnel activity reports must account on an after-the-fact basis for one hundred percent (100%) of the employee's actual time, separately indicating the time spent on the Award, other grants or projects, vacation or sick leave, and administrative time, if applicable. The reports must be signed by the employee, approved by the appropriate official, and coincide with a pay period. These time records must be used to record the distribution of salary costs to the appropriate accounts no less frequently than quarterly.

(iii) Formal agreements with independent contractors, such as consultants, must include a description of the services to be performed, the period of performance, the fee and method of payment, an itemization of travel and other costs which are chargeable to the agreement, and the signatures of both the contractor and an appropriate official of Grantee.

(iv) If third party in-kind (non-cash) contributions are used for Award purposes, the valuation of these contributions must be supported with adequate documentation.

(c) **Internal Control**. Grantee must maintain effective control and accountability for all cash, real and personal property, and other assets. Grantee must adequately safeguard all such property and must provide assurance that it is used solely for authorized purposes. Grantee must also have systems in place that provide reasonable assurance that the information is accurate, allowable, and compliant with the terms and conditions of this Agreement. 2 CFR 200.303.

(d) **Budget Control**. Grantee must maintain records of expenditures for each Award by the cost categories of the approved Budget (including Indirect Costs that are charged to the Award), and actual expenditures are to be compared with budgeted amounts at least quarterly.

(e) **Cash Management**. Requests for advance payment must be limited to Grantee's immediate cash needs. Grantee must have written procedures to minimize the time elapsing between the receipt and the disbursement of Grant Funds to avoid having excess funds on hand. 2 CFR 200.305.

7.6. Profits. It is not permitted for any person or entity to earn a Profit from an Award. *See, e.g.*, 2 CFR 200.400(g); *see also* 30 ILCS 708/60(a)(7).

7.7. Management of Program Income. Grantee is encouraged to earn income to defray Program Costs where appropriate, subject to 2 CFR 200.307.

ARTICLE VIII
LOBBYING

8.1. Improper Influence. Grantee certifies that it will not use and has not used Grant Funds to influence or attempt to influence an officer or employee of any government agency or a member or employee of the State or federal legislature in connection with the awarding of any agreement, the making of any grant, the making of any loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment or modification of any agreement, grant, loan or cooperative agreement. Additionally, Grantee certifies that it has filed the required certification under the Byrd Anti-Lobbying Amendment (31 USC 1352), if applicable.

8.2. Federal Form LLL. If any federal funds, other than federally-appropriated funds, were paid or will be paid to any person for influencing or attempting to influence any of the above persons in connection with this Agreement, the undersigned must also complete and submit Federal Form LLL, Disclosure of Lobbying Activities Form, in accordance with its instructions.

8.3. Lobbying Costs. Grantee certifies that it is in compliance with the restrictions on lobbying set forth in 2 CFR 200.450. For any Indirect Costs associated with this Agreement, total lobbying costs must be separately identified in the Program Budget, and thereafter treated as other Unallowable Costs.

8.4. Procurement Lobbying. Grantee warrants and certifies that it and, to the best of its knowledge, its subrecipients have complied and will comply with Illinois Executive Order No. 1 (2007) (EO 1-2007). EO 1-2007 generally prohibits grantees and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities of the State, or any other unit of government in Illinois including local governments, if that procurement may result in a contract valued at over $25,000. This prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.

8.5. Subawards. Grantee must include the language of this ARTICLE in the award documents for any subawards made pursuant to this Award at all tiers. All subrecipients are also subject to certification and disclosure. Pursuant to Appendix II(I) to 2 CFR Part 200, Grantee must forward all disclosures by contractors regarding this certification to Grantor.

8.6. Certification. This certification is a material representation of fact upon which reliance was placed to enter into this transaction and is a prerequisite for this transaction, pursuant to 31 USC 1352. Any person who fails to file the required certifications will be subject to a civil penalty of not less than $10,000, and not more than $100,000, for each such failure.

ARTICLE IX
MAINTENANCE AND ACCESSIBILITY OF RECORDS; MONITORING

9.1. Records Retention. Grantee must maintain for three (3) years from the date of submission of the final expenditure report, adequate books, all financial records and, supporting documents, statistical records, and all other records pertinent to this Award, adequate to comply with 2 CFR 200.334, unless a different retention period is specified in 2 CFR 200.334, 44 Ill. Admin. Code 7000.430(a) and (b) or **PART TWO** or **PART THREE**. If any litigation, claim or audit is started before the expiration of the retention period, the records must be retained until all litigation, claims or audit exceptions involving the records have been resolved and final action taken.

9.2. Accessibility of Records. Grantee, in compliance with 2 CFR 200.337 and 44 Ill. Admin. Code 7000.430(f), must make books, records, related papers, supporting documentation and personnel relevant to this Agreement available to authorized Grantor representatives, the Illinois Auditor General, Illinois Attorney General, any Executive Inspector General, Grantor's Inspector General, federal authorities, any person identified in 2 CFR 200.337, and any other person as may be authorized by Grantor (including auditors), by the State of Illinois or by federal statute. Grantee must cooperate fully in any such audit or inquiry.

9.3. Failure to Maintain Books and Records. Failure to maintain adequate books, records and supporting documentation, as described in this ARTICLE, will result in the disallowance of costs for which there is insufficient supporting documentation and also establishes a presumption in favor of the State for the recovery of any Grant Funds paid by the State under this Agreement for which adequate books, records and supporting documentation are not available to support disbursement.

9.4. Monitoring and Access to Information. Grantee must monitor its activities to assure compliance with applicable state and federal requirements and to assure its performance expectations are being achieved. Grantor will monitor the activities of Grantee to assure compliance with all requirements including appropriate programmatic rules, regulations, and guidelines that the Department promulgates or implements, and performance expectations of the Award. Grantee must timely submit all financial and performance reports, and must supply, upon Grantor's request, documents and information relevant to the Award. Grantor may make site visits as warranted by Program needs. 2 CFR 200.329; 200.332. Additional monitoring requirements may be in **PART TWO** or **PART THREE**.

ARTICLE X
FINANCIAL REPORTING REQUIREMENTS

10.1. Required Periodic Financial Reports. Grantee must submit financial reports as requested and in the format required by Grantor no later than the due date(s) specified in **PART TWO** or **PART THREE**. Grantee must submit quarterly reports with Grantor describing the expenditure(s) of the funds related thereto, unless more frequent reporting is required by the Grantee due to the funding source or pursuant to specific award conditions. 2 CFR 200.208. Any report required by 30 ILCS 708/125 may be detailed in **PART TWO** or **PART THREE**.

10.2. Financial Close-out Report.

(a) Grantee must submit a financial Close-out Report, in the format required by Grantor, by the due date specified in **PART TWO** or **PART THREE**, which must be no later than sixty (60) calendar days following the end of the Period of Performance for this Agreement or Agreement termination. The format of this financial Close-out Report must follow a format prescribed by Grantor. 2 CFR 200.344; 44 Ill. Admin. Code 7000.440(b).

(b) If an audit or review of Grantee occurs and results in adjustments after Grantee submits a Close-out Report, Grantee must submit a new financial Close-out Report based on audit adjustments, and immediately submit a refund to Grantor, if applicable. 2 CFR 200.345; 44 Ill. Admin. Code 7000.450.

10.3. Effect of Failure to Comply. Failure to comply with the reporting requirements in this Agreement may cause a delay or suspension of funding or require the return of improper payments or Unallowable Costs, and will be considered a material breach of this Agreement. Grantee's failure to comply with ARTICLE X, ARTICLE XI, or ARTICLE XVII will be considered prima facie evidence of a breach and may be admitted as such, without further proof, into evidence in an administrative proceeding before Grantor, or in any other legal proceeding. Grantee should refer to the State Grantee Compliance Enforcement System for policy and consequences for failure to comply. 44 Ill. Admin. Code 7000.80.

ARTICLE XI
PERFORMANCE REPORTING REQUIREMENTS

11.1. Required Periodic Performance Reports. Grantee must submit performance reports as requested and in the format required by Grantor no later than the due date(s) specified in **PART TWO** or **PART THREE**. 44 Ill. Admin. Code 7000.410. Grantee must report to Grantor on the performance measures listed in **Exhibit D**, **PART TWO** or **PART THREE** at the intervals specified by Grantor, which must be no less frequent than annually and no more frequent than quarterly, unless otherwise specified in **PART TWO**, **PART THREE**, or **Exhibit E** pursuant to specific award conditions. For certain construction-related Awards, such reports may be exempted as identified in **PART TWO** or **PART THREE**. 2 CFR 200.329.

11.2. Performance Close-out Report. Grantee must submit a performance Close-out Report, in the format required by Grantor by the due date specified in **PART TWO** or **PART THREE**, which must be no later than 60 calendar days following the end of the Period of Performance or Agreement termination. 2 CFR 200.344; 44 Ill. Admin. Code 7000.440(b).

11.3. Content of Performance Reports. Pursuant to 2 CFR 200.329(b) and (c), all performance reports must relate the financial data and accomplishments to the performance goals and objectives of this Award and also include the following: a comparison of actual accomplishments to the objectives of the Award established for the period; where the accomplishments can be quantified, a computation of the cost and demonstration of cost effective practices (e.g., through unit cost data); performance trend data and analysis if required; and reasons why established goals were not met, if appropriate. Additional content and format guidelines for the performance reports will be determined by Grantor contingent on the Award's statutory, regulatory and administrative requirements, and are included in **PART TWO** or **PART THREE** of this Agreement.

ARTICLE XII
AUDIT REQUIREMENTS

12.1. Audits. Grantee is subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 USC 7501-7507), Subpart F of 2 CFR Part 200, and the audit rules and policies set forth by the Governor's Office of Management and Budget. 30 ILCS 708/65(c); 44 Ill. Admin. Code 7000.90.

12.2. Consolidated Year-End Financial Reports (CYEFR). All grantees must complete and submit a CYEFR through the Grantee Portal, except those exempted by federal or State statute or regulation, as set forth in **PART TWO** or **PART THREE**. The CYEFR is a required schedule in Grantee's audit report if Grantee is required to complete and submit an audit report as set forth herein.

(a) Grantee's CYEFR must cover the same period as the audited financial statements, if required, and must be submitted in accordance with the audit schedule at 44 Ill. Admin. Code 7000.90. If Grantee is not required to complete audited financial statements, the CYEFR must cover Grantee's fiscal year and must be submitted within 6 months of the Grantee's fiscal year-end.

(b) The CYEFR must include an in relation to opinion from the auditor of the financial statements included in the audit.

(c) The CYEFR must follow a format prescribed by Grantor.

12.3. Entities That Are Not "For-Profit".

(a) This Paragraph applies to Grantees that are not "for-profit" entities.

(b) Single and Program-Specific Audits. If, during its fiscal year, Grantee expends at least the threshold amount as set out in 2 CFR 200.501(a) in federal Awards (direct federal and federal pass-through awards combined), Grantee must have a single audit or program-specific audit conducted for that year as required by 2 CFR 200.501 and other applicable sections of Subpart F of 2 CFR Part 200. The audit report packet must be completed as described in 2 CFR 200.512 (single audit) or 2 CFR 200.507 (program-specific audit), 44 Ill. Admin. Code 7000.90(h)(1) and the current GATA audit manual and submitted to the Federal Audit Clearinghouse, as required by 2 CFR 200.512. The results of peer and external quality control reviews, management letters issued by the auditors and their respective corrective action plans if significant deficiencies or material weaknesses are identified, and the CYEFR(s) must be submitted to the Grantee Portal at the same time the audit report packet is submitted to the Federal Audit Clearinghouse. The due date of all required submissions set forth in this Paragraph is the earlier of (i) thirty (30) calendar days after receipt of the auditor's report(s) or (ii) nine (9) months after the end of Grantee's audit period.

(c) Financial Statement Audit. If, during its fiscal year, Grantee expends less than the threshold amount as set out in 2 CFR 200.501(a) in federal Awards, Grantee is subject to the following audit requirements:

(i) If, during its fiscal year, Grantee expends at least the threshold amount as set out in 44 Ill. Admin. Code 7000.90(c)(1) in State-issued Awards, Grantee must have a financial statement audit conducted in accordance with the Generally Accepted Government Auditing Standards (GAGAS). Grantee may be subject to additional requirements in **PART TWO, PART THREE** or **Exhibit E** based on Grantee's risk profile.

(ii) If, during its fiscal year, Grantee expends less than the threshold amount as set out in 44 Ill. Admin. Code 7000.90(c)(1) in State-issued Awards, but expends at least the threshold amount as set out in 44 Ill. Admin. Code 7000.90(c)(2) in State-issued Awards, Grantee must have a financial statement audit conducted in accordance with the Generally Accepted Auditing Standards (GAAS).

(iii) If Grantee is a Local Education Agency (as defined in 34 CFR 77.1), Grantee must have a financial statement audit conducted in accordance with GAGAS, as required by 23 Ill. Admin. Code 100.110, regardless of the dollar amount of expenditures of State-issued Awards.

(iv) If Grantee does not meet the requirements in subsections 12.3(b) and 12.3(c)(i-iii) but is required to have a financial statement audit conducted based on other regulatory requirements, Grantee must submit those audits for review.

(v) Grantee must submit its financial statement audit report packet, as set forth in 44 Ill. Admin. Code 7000.90(h)(2) and the current GATA audit manual, to the Grantee Portal within the earlier of (i) thirty (30) calendar days after receipt of the auditor's report(s) or (ii) six (6) months after the end of Grantee's audit period.

12.4. "For-Profit" Entities.

(a) This Paragraph applies to Grantees that are "for-profit" entities.

(b) Program-Specific Audit. If, during its fiscal year, Grantee expends at least the threshold amount as set out in 2 CFR 200.501(a) in federal pass-through funds from State-issued Awards, Grantee must have a program-specific audit conducted in accordance with 2 CFR 200.507. The auditor must audit federal pass-through programs with federal pass-through Awards expended that, in the aggregate, cover at least 50 percent (0.50) of total federal pass-through Awards expended. The audit report packet must be completed as described in 2 CFR 200.507 (program-specific audit), 44 Ill. Admin. Code 7000.90 and the current GATA audit manual, and must be submitted to the Grantee Portal. The due date of all required submissions set forth in this Paragraph is the earlier of (i) thirty (30) calendar days after receipt of the auditor's report(s) or (ii) nine (9) months after the end of Grantee's audit period.

(c) Financial Statement Audit. If, during its fiscal year, Grantee expends less than the threshold amount as set out in 2 CFR 200.501(a) in federal pass-through funds from State-issued Awards, Grantee must follow all of the audit requirements in Paragraphs 12.3(c)(i)-(v), above.

(d) Publicly-Traded Entities. If Grantee is a publicly-traded company, Grantee is not subject to the single audit or program-specific audit requirements, but must submit its annual audit conducted in accordance with its regulatory requirements.

12.5. Performance of Audits. For those organizations required to submit an independent audit report, the audit must be conducted by the Illinois Auditor General (as required for certain governmental entities only), or a Certified Public Accountant or Certified Public Accounting Firm licensed in the State of Illinois or in accordance with Section 5.2 of the Illinois Public Accounting Act (225 ILCS 450/5.2). For all audits required to be performed subject to GAGAS or Generally Accepted Auditing Standards, Grantee must request and maintain on file a copy of the auditor's most recent peer review report and acceptance letter. Grantee must follow procedures prescribed by Grantor for the preparation and submission of audit reports and any related documents.

12.6. Delinquent Reports. When audit reports or financial statements required under this ARTICLE are prepared by the Illinois Auditor General, if they are not available by the above-specified due date, they must be provided to Grantor within thirty (30) days of becoming available. Grantee should refer to the State Grantee Compliance Enforcement System for the policy and consequences for late reporting. 44 Ill. Admin. Code 7000.80.

ARTICLE XIII
TERMINATION; SUSPENSION; NON-COMPLIANCE

13.1. Termination.

(a) Either Party may terminate this Agreement, in whole or in part, upon thirty (30) calendar days' prior written notice to the other Party.

(b) If terminated by the Grantee, Grantee must include the reasons for such termination, the effective date, and, in the case of a partial termination, the portion to be terminated. If Grantor determines in the case of a partial termination that the reduced or modified portion of the Award will not accomplish the purposes for which the Award was made, Grantor may terminate the Agreement in its entirety. 2 CFR 200.340(a)(4).

(c) This Agreement may be terminated, in whole or in part, by Grantor:

(i) Pursuant to a funding failure under Paragraph 4.1;

(ii) If Grantee fails to comply with the terms and conditions of this or any Award, application or proposal, including any applicable rules or regulations, or has made a false representation in connection with the receipt of this or any Award; or

(iii) If the Award no longer effectuates the Program goals or agency priorities as set forth in **Exhibit A**, **PART TWO** or **PART THREE**.

13.2. Suspension. Grantor may suspend this Agreement, in whole or in part, pursuant to a funding failure under Paragraph 4.1 or if the Grantee fails to comply with terms and conditions of this or any Award. If suspension is due to Grantee's failure to comply, Grantor may withhold further payment and prohibit Grantee from incurring additional Obligations pending corrective action by Grantee or a decision to terminate this Agreement by Grantor. Grantor may allow necessary and proper costs that Grantee could not reasonably avoid during the period of suspension.

13.3. Non-compliance. If Grantee fails to comply with the U.S. Constitution, applicable statutes, regulations or the terms and conditions of this or any Award, Grantor may impose additional conditions on Grantee, as described in 2 CFR 200.208. If Grantor determines that non-compliance cannot be remedied by imposing additional conditions, Grantor may take one or more of the actions described in 2 CFR 200.339. The Parties must follow all Grantor policies and procedures regarding non-compliance, including, but not limited to, the procedures set forth in the State Grantee Compliance Enforcement System. 44 Ill. Admin. Code 7000.80 and 7000.260.

13.4. Objection. If Grantor suspends or terminates this Agreement, in whole or in part, for cause, or takes any other action in response to Grantee's non-compliance, Grantee may avail itself of any opportunities to object and challenge such suspension, termination or other action by Grantor in accordance with any applicable processes and procedures, including, but not limited to, the procedures set forth in the State Grantee Compliance Enforcement System. 2 CFR 200.342; 44 Ill. Admin. Code 7000.80 and 7000.260.

13.5. Effects of Suspension and Termination.

(a) Grantor may credit Grantee for allowable expenditures incurred in the performance of authorized services under this Agreement prior to the effective date of a suspension or termination.

(b) Except as set forth in subparagraph (c), below, Grantee must not incur any costs or Obligations that require the use of Grant Funds after the effective date of a suspension or termination, and must cancel as many outstanding Obligations as possible.

(c) Costs to Grantee resulting from Obligations incurred by Grantee during a suspension or after termination of the Agreement are not allowable unless Grantor expressly authorizes them in the notice of suspension or termination or subsequently. However, Grantor may allow costs during a suspension or after termination if:

(i) The costs result from Obligations properly incurred before the effective date of suspension or termination, are not in anticipation of the suspension or termination, and the costs would be allowable if the Agreement was not suspended or terminated prematurely. 2 CFR 200.343.

13.6. Close-out of Terminated Agreements. If this Agreement is terminated, in whole or in part, the Parties must comply with all close-out and post-termination requirements of this Agreement. 2 CFR 200.340(d).

ARTICLE XIV
SUBCONTRACTS/SUBAWARDS

14.1. Subcontracting/Subrecipients/Delegation. Grantee must not subcontract nor issue a subaward for any portion of this Agreement nor delegate any duties hereunder without Prior Approval of Grantor. The requirement for Prior Approval is satisfied if the subcontractor or subrecipient has been identified in the uniform grant application, such as, without limitation, a Project description, and Grantor has approved. Grantee must notify any potential subrecipient that the subrecipient must obtain and provide to the Grantee a Unique Entity Identifier prior to receiving a subaward. 2 CFR 25.300.

14.2. Application of Terms. If Grantee enters into a subaward agreement with a subrecipient, Grantee must notify the subrecipient of the applicable laws and regulations and terms and conditions of this Award by attaching this Agreement to the subaward agreement. The terms of this Agreement apply to all subawards authorized in accordance with Paragraph 14.1. 2 CFR 200.101(b)(2).

14.3. Liability as Guaranty. Grantee will be liable as guarantor for any Grant Funds it obligates to a subrecipient or subcontractor pursuant to this ARTICLE in the event Grantor determines the funds were either misspent or are being improperly held and the subrecipient or subcontractor is insolvent or otherwise fails to return the funds. 2 CFR 200.345; 30 ILCS 705/6; 44 Ill. Admin. Code 7000.450(a).

ARTICLE XV
NOTICE OF CHANGE

15.1. Notice of Change. Grantee must notify Grantor if there is a change in Grantee's legal status, FEIN, UEI, SAM registration status, Related Parties, senior management (for non-governmental grantees only) or address. If the change is anticipated, Grantee must give thirty (30) days' prior written notice to Grantor. If the change is unanticipated, Grantee must give notice as soon as practicable thereafter. Grantor reserves the right to take any and all appropriate action as a result of such change(s).

15.2. Failure to Provide Notification. To the extent permitted by Illinois law (*see* Paragraph 21.2), Grantee must hold harmless Grantor for any acts or omissions of Grantor resulting from Grantee's failure to notify Grantor as required by Paragraph 15.1.

15.3. Notice of Impact. Grantee must notify Grantor in writing of any event, including, by not limited to, becoming a party to litigation, an investigation, or transaction that may have a material impact on Grantee's ability to perform under this Agreement. Grantee must provide notice to Grantor as soon as possible, but no later than five (5) days after Grantee becomes aware that the event may have a material impact.

15.4. Effect of Failure to Provide Notice. Failure to provide the notice described in this ARTICLE is grounds for termination of this Agreement and any costs incurred after the date notice should have been given may be disallowed.

ARTICLE XVI
STRUCTURAL REORGANIZATION AND RECONSTITUTION OF BOARD MEMBERSHIP

16.1. Effect of Reorganization. This Agreement is made by and between Grantor and Grantee, as Grantee is currently organized and constituted. Grantor does not agree to continue this Agreement, or any license related thereto, should Grantee significantly reorganize or otherwise substantially change the character of its corporate structure, business structure or governance structure. Grantee must give Grantor prior notice of any such action or changes significantly affecting its overall structure or, for non-governmental grantees only, management makeup (for example, a merger or a corporate restructuring), and must provide all reasonable documentation necessary for Grantor to review the proposed transaction including financial records and corporate and shareholder minutes of any corporation which may be involved. Grantor reserves the right to terminate the Agreement based on whether the newly organized entity is able to carry out the requirements of the Award. This ARTICLE does not require Grantee to report on minor changes in the makeup of its board membership or governance structure, as applicable. Nevertheless, **PART TWO** or **PART THREE** may impose further restrictions. Failure to comply with this ARTICLE constitutes a material breach of this Agreement.

ARTICLE XVII
CONFLICT OF INTEREST

17.1. Required Disclosures. Grantee must immediately disclose in writing any potential or actual Conflict of Interest to Grantor. 2 CFR 200.113; 30 ILCS 708/35.

17.2. Prohibited Payments. Payments made by Grantor under this Agreement must not be used by Grantee to compensate, directly or indirectly, any person currently holding an elective office in this State including, but not limited to, a seat in the General Assembly. In addition, where Grantee is not an instrumentality of the State of Illinois, as described in this Paragraph, Grantee must request permission from Grantor to compensate, directly or indirectly, any officer or any person employed by an office or agency of the State of Illinois. An instrumentality of the State of Illinois includes, without limitation, State departments, agencies, boards, and State universities. An instrumentality of the State of Illinois does not include, without limitation, units of Local Government and related entities.

17.3. Request for Exemption. Grantee may request written approval from Grantor for an exemption from Paragraph 17.2. Grantee acknowledges that Grantor is under no obligation to provide such exemption and that Grantor may grant such exemption subject to additional terms and conditions as Grantor may require.

ARTICLE XVIII
EQUIPMENT OR PROPERTY

18.1. Purchase of Equipment. For any equipment purchased in whole or in part with Grant Funds, if Grantor determines that Grantee has not met the conditions of 2 CFR 200.439, the costs for such equipment will be disallowed. Grantor must notify Grantee in writing that the purchase of equipment is disallowed.

18.2. Prohibition against Disposition/Encumbrance. Any equipment, material, or real property that Grantee purchases or improves with Grant Funds must not be sold, transferred, encumbered (other than original financing) or otherwise disposed of during the Award Term without Prior Approval of Grantor unless a longer period is required in **PART TWO** or **PART THREE** and permitted by 2 CFR Part 200 Subpart D. Use or disposition of real property acquired or improved using Grant Funds must comply with the requirements of 2 CFR 200.311. Real property, equipment, and intangible property that are acquired or improved in whole or in part using Grant Funds are subject to the provisions of 2 CFR 200.316. Grantor may require the Grantee to record liens or other appropriate notices of record to indicate that personal or real property has been acquired or improved with this Award and that use and disposition conditions apply to the property.

18.3. Equipment and Procurement. Grantee must comply with the uniform standards set forth in 2 CFR 200.310–200.316 governing the management and disposition of property, the cost of which was supported by Grant Funds. Any waiver from such compliance must be granted by either the President's Office of Management and Budget, the Governor's Office of Management and Budget, or both, depending on the source of the Grant Funds used. Additionally, Grantee must comply with the standards set forth in 2 CFR 200.317-200.326 to establish procedures to use Grant Funds for the procurement of supplies and other expendable property, equipment, real property and other services.

18.4. Equipment Instructions. Grantee must obtain disposition instructions from Grantor when equipment, purchased in whole or in part with Grant Funds, is no longer needed for their original purpose. Notwithstanding anything to the contrary contained in this Agreement, Grantor may require transfer of any equipment to Grantor or a third party for any reason, including, without limitation, if Grantor terminates the Award or Grantee no longer conducts Award activities. Grantee must properly maintain, track, use, store and insure the equipment according to applicable best practices, manufacturer's guidelines, federal and state laws or rules, and Grantor requirements stated herein.

18.5. Domestic Preferences for Procurements. In accordance with 2 CFR 200.322, as appropriate and to the extent consistent with law, Grantee must, to the greatest extent practicable under this Award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including but not limited to iron, aluminum, steel, cement, and other manufactured products). The requirements of this Paragraph must be included in all subawards and in all contracts and purchase orders for work or products under this Award.

ARTICLE XIX
PROMOTIONAL MATERIALS; PRIOR NOTIFICATION

19.1. Promotional and Written Materials. Use of Grant Funds for promotions is subject to the prohibitions for advertising or public relations costs in 2 CFR 200.421(e). In the event that Grant Funds are used in whole or in part to produce any written publications, announcements, reports, flyers, brochures or other written materials, Grantee must obtain Prior Approval for the use of those funds (2 CFR 200.467) and must include in these publications, announcements, reports, flyers, brochures and all other such material, the phrase "Funding provided in whole or in part by the [Grantor]." 2 CFR 200.467. Exceptions to this requirement must be requested, in writing, from Grantor and will be considered authorized only upon written notice thereof to Grantee.

19.2. Prior Notification/Release of Information. Grantee must notify Grantor ten (10) days prior to issuing public announcements or press releases concerning work performed pursuant to this Agreement, or funded in whole or in part by this Agreement, and must cooperate with Grantor in joint or coordinated releases of information.

ARTICLE XX
INSURANCE

20.1. Maintenance of Insurance. Grantee must maintain in full force and effect during the Term of this Agreement casualty and bodily injury insurance, as well as insurance sufficient to cover the replacement cost of any and all real or personal property, or both, purchased or, otherwise acquired, or improved in whole or in part, with funds disbursed pursuant to this Agreement. 2 CFR 200.310. Additional insurance requirements may be detailed in **PART TWO** or **PART THREE**.

20.2. Claims. If a claim is submitted for real or personal property, or both, purchased in whole with funds from this Agreement and such claim results in the recovery of money, such money recovered must be surrendered to Grantor.

ARTICLE XXI
LAWSUITS AND INDEMNIFICATION

21.1. Independent Contractor. Neither Grantee nor any employee or agent of Grantee acquires any employment rights with Grantor by virtue of this Agreement. Grantee must provide the agreed services and achieve the specified results free from the direction or control of Grantor as to the means and methods of performance. Grantee must provide its own equipment and supplies necessary to conduct its business; provided, however, that in the event, for its convenience or otherwise, Grantor makes any such equipment or supplies available to Grantee, Grantee's use of such equipment or supplies provided by Grantor pursuant to this Agreement is strictly limited to official Grantor or State of Illinois business and not for any other purpose, including any personal benefit or gain.

21.2. Indemnification and Liability.

(a) **Non-governmental entities**. This subparagraph applies only if Grantee is a non-governmental entity. Grantee must hold harmless Grantor against any and all liability, loss, damage, cost or expenses, including attorneys' fees, arising from the intentional torts, negligence or breach of contract of Grantee, with the exception of acts performed in conformance with an explicit, written directive of Grantor. Indemnification by Grantor is governed by the State Employee Indemnification Act (5 ILCS 350/.01 *et seq.*) as interpreted by the Illinois Attorney General. Grantor makes no representation that Grantee, an independent contractor, will qualify or be eligible for indemnification under said Act.

(b) **Governmental entities**. This subparagraph applies only if Grantee is a governmental unit as designated in Paragraph 3.2. Neither Party shall be liable for actions chargeable to the other Party under this Agreement including, but not limited to, the negligent acts and omissions of the other Party's agents, employees or subcontractors in the performance of their duties as described under this Agreement, unless such liability is imposed by law. This Agreement is not construed as seeking to enlarge or diminish any obligation or duty owed by one Party against the other or against a third party.

ARTICLE XXII
MISCELLANEOUS

22.1. Gift Ban. Grantee is prohibited from giving gifts to State employees pursuant to the State Officials and Employees Ethics Act (5 ILCS 430/10-10) and Illinois Executive Order 15-09.

22.2. Assignment Prohibited. This Agreement must not be sold, assigned, or transferred in any manner by Grantee, to include an assignment of Grantee's rights to receive payment hereunder, and any actual or attempted sale, assignment, or transfer by Grantee without the Prior Approval of Grantor in writing renders this Agreement null, void and of no further effect.

22.3. Copies of Agreements upon Request. Grantee must, upon request by Grantor, provide Grantor with copies of contracts or other agreements to which Grantee is a party with any other State agency.

22.4. Amendments. This Agreement may be modified or amended at any time during its Term by mutual consent of the Parties, expressed in writing and signed by the Parties.

22.5. Severability. If any provision of this Agreement is declared invalid, its other provisions will remain in effect.

22.6. No Waiver. The failure of either Party to assert any right or remedy pursuant to this Agreement will not be construed as a waiver of either Party's right to assert such right or remedy at a later time or constitute a course of business upon which either Party may rely for the purpose of denial of such a right or remedy.

22.7. Applicable Law; Claims. This Agreement and all subsequent amendments thereto, if any, are governed and construed in accordance with the laws of the State of Illinois. Any claim against Grantor arising out of this Agreement must be filed exclusively with the Illinois Court of Claims. 705 ILCS 505/1 *et seq.* Grantor does not waive sovereign immunity by entering into this Agreement.

22.8. Compliance with Law. Grantee is responsible for ensuring that Grantee's Obligations and services hereunder are performed in compliance with all applicable federal and State laws, including, without limitation, federal regulations, State administrative rules, including but not limited to 44 Ill. Admin. Code Part 7000, laws and rules which govern disclosure of confidential records or other information obtained by Grantee concerning persons served under this Agreement, and any license requirements or professional certification provisions.

22.9. Compliance with Freedom of Information Act. Upon request, Grantee must make available to Grantor all documents in its possession that Grantor deems necessary to comply with requests made under the Freedom of Information Act. 5 ILCS 140/7(2).

22.10. Precedence.

(a) Except as set forth in subparagraph (b), below, the following rules of precedence are controlling for this Agreement: In the event there is a conflict between this Agreement and any of the exhibits or attachments hereto, this Agreement controls. In the event there is a conflict between **PART ONE** and **PART TWO** or **PART THREE** of this Agreement, **PART ONE** controls. In the event there is a conflict between **PART TWO** and **PART THREE** of this Agreement, **PART TWO** controls. In the event there is a conflict between this Agreement and relevant statute(s) or rule(s), the relevant statute(s) or rule(s) controls.

(b) Notwithstanding the provisions in subparagraph (a), above, if a relevant federal or state statute(s) or rule(s) requires an exception to this Agreement's provisions, or an exception to a requirement in this Agreement is granted by GATU, such exceptions must be noted in **PART TWO** or **PART THREE**, and in such cases, those requirements control.

22.11. Illinois Grant Funds Recovery Act. In the event of a conflict between the Illinois Grant Funds Recovery Act and the Grant Accountability and Transparency Act, the provisions of the Grant Accountability and Transparency Act control. 30 ILCS 708/80.

22.12. Headings. Articles and other headings contained in this Agreement are for reference purposes only and are not intended to define or limit the scope, extent or intent of this Agreement or any provision hereof.

22.13. Counterparts. This Agreement may be executed in one or more counterparts, each of which are considered to be one and the same agreement, binding on all Parties hereto, notwithstanding that all Parties are not signatories to the same counterpart. Duplicated signatures, signatures transmitted via facsimile, or signatures contained in a Portable Document Format (PDF) document are deemed original for all purposes.

22.14. Attorney Fees and Costs. Unless prohibited by law, if Grantor prevails in any proceeding to enforce the terms of this Agreement, including any administrative hearing pursuant to the Grant Funds Recovery Act or the Grant Accountability and Transparency Act, Grantor has the right to recover reasonable attorneys' fees, costs and expenses associated with such proceedings.

22.15. Continuing Responsibilities. The termination or expiration of this Agreement does not affect: (a) the right of Grantor to disallow costs and recover funds based on a later audit or other review; (b) the obligation of the Grantee to return any funds due as a result of later refunds, corrections or other transactions, including, without limitation, final Indirect Cost Rate adjustments and those funds obligated pursuant to ARTICLE XIV; (c) the CYEFR(s); (d) audit requirements established in 44 Ill. Admin. Code 7000.90 and ARTICLE XII ; (e) property management and disposition requirements established in 2 CFR 200.310 through 2 CFR 200.316 and ARTICLE XVIII; or (f) records related requirements pursuant to ARTICLE IX. 44 Ill. Admin. Code 7000.440.

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EXHIBIT A

PROJECT DESCRIPTION

See PART THREE – Project-Specific Terms/Program Plan for the requirements of this Agreement, including, but not limited to Sections:

Section 1.4 Brief Descriptions of Services under DCFS Agreement

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EXHIBIT B

DELIVERABLES OR MILESTONES

Are as stated in PART THREE – Project-Specific Terms/Program Plan/Scope of Services.

Grantee must not perform services, provide supplies or incur expenses in an amount exceeding the amount shown in Exhibit F and stated in the Pricing/Rate Schedule in Exhibit F, unless the Grantee has authorized a higher amount in writing prior to the Grantee performing the services, providing the supplies, or incurring the expenses.

WHERE SERVICES ARE TO BE PERFORMED: Unless otherwise disclosed in this section all services must be performed in the United States. If the Grantee performs the services purchased hereunder in another country in violation of this provision, such action may be deemed by the State as a breach of the Agreement by Grantee.

Grantee must disclose the locations where the services required will be performed and the known or anticipated value of the services to be performed at each location. If the Grantee received additional consideration in the evaluation based on work being performed in the United States, it is a breach of the Agreement if the Grantee shifts any such work outside the United States.

- Complete Address of Location where services will be performed:
  5721 S. Maryland Ave, Suite K-111, Chicago Illinois 60637

Value of services performed at this location: 85%

- Complete Address of Location where services will be performed:
  Advocate Oak Lawn, 4440 W. 95th st., Oak Lawn IL & Advocate Children's, Park Ridge IL

Value of services performed at this location: 7%

See PART THREE – Project-Specific Terms/Program Plan for the requirements of this Agreement, including, but not limited to Sections:

Section 1.5 Geographical Service Areas
Section 1.6 DCFS Clients
Section 1.7 Grantee Clients
Section 1.8 Average Length of Services
Section 1.9 Definitions
Section 2.0 Target Population
Section 3.0 Referral and Admission Procedures
Section 5.0 Service Parameters
Section 5.2 Description of Services
Section 7.0 Discharge Policy/Conclusion of Services/After Care

See page 22A for full details.

CDC: UNP Program Name: MPEEC Agreement Number: 3924519015

EXHIBIT B

DELIVERABLES OR MILESTONES

Are as stated in PART THREE – Project-Specific Terms/Program Plan/Scope of Services.

Grantee must not perform services, provide supplies or incur expenses in an amount exceeding the amount shown in Exhibit F and stated in the Pricing/Rate Schedule in Exhibit F, unless the Grantee has authorized a higher amount in writing prior to the Grantee performing the services, providing the supplies, or incurring the expenses.

WHERE SERVICES ARE TO BE PERFORMED: Unless otherwise disclosed in this section all services must be performed in the United States. If the Grantee performs the services purchased hereunder in another country in violation of this provision, such action may be deemed by the State as a breach of the Agreement by Grantee.

Grantee must disclose the locations where the services required will be performed and the known or anticipated value of the services to be performed at each location. If the Grantee received additional consideration in the evaluation based on work being performed in the United States, it is a breach of the Agreement if the Grantee shifts any such work outside the United States.

- Complete Address of Location where services will be performed:

Rush University Medical Center, 1653 W. Congress Parkway Chicago Illinois

Value of services performed at this location: 4%

- Complete Address of Location where services will be performed:

Loyola University Medical Center, 2160 S. First Ave, Maywood, Illinois

Value of services performed at this location: 4%

See PART THREE – Project-Specific Terms/Program Plan for the requirements of this Agreement, including, but not limited to Sections:

Section 1.5 Geographical Service Areas
Section 1.6 DCFS Clients
Section 1.7 Grantee Clients
Section 1.8 Average Length of Services
Section 1.9 Definitions
Section 2.0 Target Population
Section 3.0 Referral and Admission Procedures
Section 5.0 Service Parameters
Section 5.2 Description of Services
Section 7.0 Discharge Policy/Conclusion of Services/After Care

EXHIBIT C

CONTACT INFORMATION

CONTACTS FOR NOTIFICATION AND GRANT ADMINISTRATION:

Unless specified elsewhere, all notices required or desired to be sent by either Party must be sent to the persons listed below. Grantee must notify Grantor of any changes in its contact information listed below within five (5) business days from the effective date of the change, and Grantor must notify Grantee of any changes to its contact information as soon as practicable. The Party making a change must send any changes in writing to the contact for the other Party. No amendment to this Agreement is required if information in this Exhibit is changed.

FOR OFFICIAL GRANT NOTIFICATIONS

GRANTOR CONTACT

Name: Office of Contract Administration

Title:

Address: 406 E. Monroe Street, Springfield, IL

GRANTEE CONTACT

Name: Dawn David

Title: MPEEC Program Manager

Address: **5721 S MARYLAND AVE # MC8030 CHICAGO, IL 606371425**

GRANTEE PAYMENT ADDRESS
(If different than the address above)

Address: **5721 S MARYLAND AVE # MC8030 CHICAGO, IL 60637-1425**

FOR GRANT ADMINISTRATION

GRANTOR CONTACT

Name: Office of Contract Administration

Title:

Address: 406 E. Monroe Street, Springfield, IL

Phone: (217)785-3930

TTY#:

E-mail Address: DCFS.ContractSubmissions@illinois.gov

GRANTEE CONTACT

Name: Dawn David

Title: MPEEC Program Manager

Address: 5721 S. Maryland, Suite K-111, Chicago IL

Phone: 773-702-4900

TTY #:

E-mail Address: ddavid@bsd.uchicago.edu

EXHIBIT D

PERFORMANCE MEASURES AND STANDARDS

See PART THREE – Project-Specific Terms/Program Plan for the requirements of this Agreement, including, but not limited to Sections:

5.3 Outcomes and metrics
6.0 Treatment Goals/Service plans

Services are to promote permanency by maintaining, strengthening and safeguarding the functioning of families to:

1. Prevent substitute care placement;
2. Promote family reunification;
3. Stabilize foster care placements;
4. Facilitate youth development; and
5. Ensure the safety, permanency, and wellbeing of children.

Services to youth must be responsive to the cultural background, beliefs, and practices of individual youth and, as applicable, to a youth's parent(s), guardian(s) and/or other significant persons involved with the youth. Services should be responsive to lesbian, gay, bisexual, transgender, queer and intersex (LGBTQI+) youth and, as applicable, to a youth's parent(s), guardian(s), and other significant persons involved with the youth.

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EXHIBIT E

SPECIFIC CONDITIONS

See PART THREE – Project-Specific Terms/Program Plan for the requirements of this Agreement, including, but not limited to

Sections:

4.0 Program Staff

5.0 Service Parameters

Grantor may remove (or reduce) a Specific Condition included in this Exhibit or in PART THREE of this Agreement by providing written notice to the Grantee, in accordance with established procedures for removing a Specific Condition.

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CDC: UNP Program Name: MPEEC Agreement Number: 3924519015

EXHIBIT F
RATE SCHEDULE

RATE CNT	PAY FREQ	SERVICE NARRATIVE	BEGIN DATE	END DATE	TYPE SERV	ESTIMATED RATE AMT
01	MO	MPEEC SERVICES	7/1/2024	6/30/2027	0199	$89,880.75

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Multi-Year Reference #3924519015

MULTIYEAR SCHEDULE

Contract Year	ESTIMATED AMOUNT*
Current	$1,078,569.00
Year 2	$1,078,569.00
Year 3	$1,078,569.00
Year 4	$0.00
Year 5	$0.00
Year 6	$0.00
Year 7	$0.00
Year 8	$0.00
Year 9	$0.00
Year 10	$0.00

* A multiyear Agreement does not imply a written commitment or obligation by the Department to provide an Agreement at the stated estimated amounts, and all multiyear Agreements are subject to termination and cancellation in any year for which the General Assembly fails to make an appropriation to make payments under the terms of this Agreement.

Further, the Department may terminate this Agreement at the end of the fiscal year, with a 30 day notice, by letter of acknowledgement due to lack of utilization.

This statement does not supersede the termination clause in **PART ONE** or **PART TWO** of the Agreement but is in addition to.

PART TWO – GRANTOR-SPECIFIC TERMS

In addition to the uniform requirements in PART ONE, Grantor has the following additional requirements for its Grantee:

[See Paragraphs 2.3, 4.2, 4.3, 4.4, 4.7, 4.8, 5.1, 7.5, 9.1, 9.4, 10.1, 10.2, 11.1, 11.2, 11.3, 12.2, 12.3, 13.1, 16.1, 18.2, 20.1, and 22.10 for information that may be required in this PART TWO.]

ARTICLE I
DEFINITIONS

"Persons subject to background checks" has the same meaning as in 89 Ill. Admin. Code 385.

"Work Product" means any and all tangible items or things that have been or will be prepared, created, developed, invented or conceived by Grantee, or jointly by Grantee and the Grantor in the performance of this Agreement, including but not limited to any of the following:

(i) works of authorship (such as manuals, research materials, instructions, printed material, graphics, artwork, images, illustrations, photographs, computer programs, computer software, scripts, object code, source code or other programming code, HTML code, flow charts, notes, outlines, lists, compilations, manuscripts, writings, pictorial materials, schematics, formulae, processes, algorithms, data, information, multimedia files, text web pages or web sites, other written or machine readable expression of such works fixed in any tangible media, and all other copyrightable works);

(ii) trademarks, service marks, trade dress, trade names, logos, or other indicia of source or origin;

(iii) ideas, designs, concepts, personality rights, methods, processes, techniques, apparatuses, inventions, formulas, discoveries, or improvements, including any patents, trade secrets and know-how; and

(iv) domain names.

ARTICLE II
AWARD INFORMATION

2.1. Term of this Agreement. If a start date is not identified, the term will commence upon the last dated signature of the Parties.

2.2 Grantee must not commence billable work in furtherance of the Agreement prior to final execution of the Agreement except where permitted pursuant to either 30 ILCS 500/1-10 or 30 ILCS 500/20-80.

ARTICLE III
GRANTEE CERTIFICATIONS AND REPRESENTATIONS

3.1 Under penalties of perjury, Grantee certifies that [redacted] is Grantee's correct Department of Human Rights number (DHR#).

3.2 The Department will notify Grantee under separate cover of sub-recipient and federal dollars paid by program description and CFDA number. The notification will be for each twelve-month period ending June 30th.

3.3 Standard Certifications.

Grantee acknowledges and agrees that compliance with this subsection and subsection 3.1 of Article III of PART ONE to the extent that the certifications apply to Grantee for the term of the Agreement and any renewals is a material requirement and condition of this Agreement. By executing this Agreement Grantee certifies compliance with this subsection and subsection 3.1 of Article III of PART ONE to the extent that the certifications apply to Grantee, and is under a continuing obligation to remain in compliance and report any non-compliance.

This section and section 3.5 of Article III of PART ONE, apply to subcontractors and sub-recipients used on this Agreement. Grantee must include the language of Article III from PART ONE and PART TWO of this Agreement in any subcontract or sub-award used in the performance of the Agreement. Provider must use the Subcontract/Sub-Award Agreement (CFS 968-SUB) for any Subcontract/Sub- Award used in the performance of this Agreement. Those Subcontracts/Sub-Awards with a total annual value of $100,000 or greater must also complete and sign the Financial Disclosures and Conflicts of Interest Form (CFS 968-D). If this Agreement extends over multiple fiscal years, including the initial term and all renewals, Grantee and its subcontractors/sub-recipients must confirm compliance with these sections in the manner and format determined by the Grantor by the date specified by the Grantor and in no event later than July 1 of each year that this Agreement remains in effect.

As part of each certification, Grantee acknowledges and agrees that should Grantee or its subcontractors/sub-recipients provide false information, or fail to be or remain in compliance with the Standard Certification requirements, one or more of the following sanctions may apply:

- the Agreement amount may be reduced,
- the Agreement may be void by operation of law,
- the Department may void the Agreement, in whole or in part, and
- the Grantee and its subcontractors/sub-grantees may be subject to one or more of the following: suspension, debarment, denial of payment, civil and/or criminal prosecution, civil fine, or criminal penalty.

Identifying a sanction or failing to identify a sanction in relation to any of the specific certifications does not waive imposition of other sanctions or preclude application of sanctions not specifically identified.

3.3.1 Grantee certifies it and its employees and subcontractors/sub-recipients will comply with applicable Department rules including Part 307, Indian Child Welfare Services which defines the special rights of American Indians; the U.S. Constitution; the 1970 Illinois Constitution. All providers with whom the Department contracts must submit the applicable documentation from the CFS 968-32 Civil Rights Packet assuring that they do not discriminate in their employment and service delivery practices, including semi-annual updates.

3.3.2 Grantee certifies it complies with the Illinois Religious Freedom Protection and Civil Union Act and all state laws and rules applicable to civil unions and which prohibit discrimination, and will provide persons entering into a civil union, the legal relationship between two persons of either the same or opposite sex established pursuant to the Illinois Religious Freedom Protection and Civil Union Act, with the same obligations, responsibilities, protections, and benefits afforded or recognized by the law of Illinois to spouses. 750 ILCS 75/1 et seq.

3.3.3 To the extent there was a current vendor providing the services covered by this Agreement and the employees of that vendor who provided those services are covered by a collective bargaining agreement, Grantee certifies (i) that it will offer to assume the collective bargaining obligations of the prior employer, including any existing collective bargaining agreement with the bargaining representative of any existing collective bargaining unit or units performing substantially similar work to the services covered by the contract subject to its bid or offer; and (ii) that it shall offer employment to all employees currently employed in any existing bargaining unit who perform substantially similar work to the work that will be performed pursuant to this contract. This does not apply to heating, air conditioning, plumbing and electrical service contracts. 30 ILCS 500/25-80.

3.3.4 Grantee certifies that it and its affiliates are not delinquent in the payment of any debt to the State (or if delinquent has entered into a deferred payment plan to pay the debt or is actively disputing or seeking resolution), and Grantee and its affiliates acknowledge the State may declare the contract void if this certification is false or if Grantee or an affiliate later becomes delinquent and has not entered into a deferred payment plan to pay off the debt. 30 ILCS 500/50-11, 50-60.

3.3.5 Grantee certifies it is not in violation of the "Revolving Door" provisions of the Illinois Procurement Code. 30 ILCS 500/50-30.

3.3.6 Grantee, if an individual, sole proprietor, partner or an individual as member of a LLC, certifies that he/she has not received (i) an early retirement incentive prior to 1993 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code or (ii) an early retirement incentive on or after 2002 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code. 30 ILCS 105/15a; 40 ILCS 5/14-108.3; 40 ILCS 5/16-133.

3.3.7 If Grantee has been convicted of a felony, Grantee certifies at least five years have passed after the date of completion of the sentence for such felony, unless no person held responsible by a prosecutor's office for the facts upon which the conviction was based continues to have any involvement with the business. 30 ILCS 500/50-10.

3.3.8 Grantee certifies that it is not in violation of the Lead Poisoning Prevention Act, as it applies to owners of residential buildings, or any violation has been mitigated. 30 ILCS 500/50-14.5, 410 ILCS 45.

3.3.9 Grantee certifies that information technology, including electronic information, software, systems and equipment, developed or provided under this Agreement comply with the applicable requirements of the Illinois Information Technology Accessibility Act Standards as published at (www.doit.illinois.gov/initiatives/accessibility/iitaa.html) 30 ILCS 587.

3.3.10 Grantee certifies that the funds awarded, and payments made pursuant to this Agreement will be used only for the specific purposes authorized in, and meet all the requirements of, the approved Agreement, Budget, and Program Plan/Scope of Services.

3.3.11 **Unlawful Discrimination**. All adults, children and youth must be treated in a manner consistent with the Illinois Human Rights Act (775 ILCS 5/101 et. seq.) and the Department's non-discrimination guidelines as outlined in the Department's rules and procedures, including but not limited to Appendix K, Support and Well-Being of Lesbian, Gay, Bisexual, Transgender and Questioning Youth to Procedure 302, Services Delivered by the Department. This includes freedom from discrimination and denial of services based upon an individual's sexual orientation, gender identity, and gender expression (SOGIE). All adults, children and youth have the right to equal access to services provided by DCFS and its contracted providers.

ARTICLE IV
PAYMENT REQUIREMENTS

4.1 Format of Pricing. The Department will compensate Grantee for the initial term as follows:

When applicable, the Department will pay per the payment rates listed in Exhibit F "Pricing/Rate Schedule".

4.2 For payment, the Grantee must submit to the Department invoice vouchers or reporting forms, as required by the Department, on a monthly basis, unless otherwise agreed. Such invoices or reporting forms must be submitted within 30 days after the end of each month (unless otherwise stipulated in this Agreement) in which services are provided and must include information to support the claim for payments, as may be requested by the Department.

Send invoices to: Person identified as Program Monitor.

4.3 Billing. The Department will process vouchers for payment within 60 days of verification, except in the lapse period beginning July 1 at which time the Department will make reasonable efforts to process vouchers for payment within 30 days of voucher verification. The Grantee waives the right to full payment if vouchers, reporting forms or required supporting information are submitted later than 30 days after the end of the fiscal year or more than 30 days following the expiration or termination of the Agreement, whichever is first. The Grantee agrees that the Department reserves the right to correct any mathematical or computational error(s) in the payment subtotals or total contract obligation.

ARTICLE V
SCOPE OF AWARD ACTIVITIES/PURPOSE OF AWARD

5.1 Supplies and/or Services Required. Services delivered by the Grantee must comply with all Department of Children and Family Services laws, rules, regulations, procedures, protocols, and policy guides (available for viewing on the DCFS website at www.DCFS.illinois.gov), all of which are hereby incorporated by reference and made a part of this Agreement. The contractual service requirements are identified in the Project Description/Deliverables or Milestones, which are attached hereto and incorporated herein as Exhibits A and B.

5.2 Grantees are expressly prohibited from charging Department clients and the public for services encompassed by the Agreement and materials that arise out of the performance of the Agreement.

5.3 Grantee/Staff Specifications. Any staff specifications are detailed in PART THREE – Project-Specific Terms/Program Plan, Project Description/Deliverables or Milestones, which are attached hereto and incorporated herein.

5.4 The Grantee must comply with Department employment requirements in effect during the Agreement Term.

ARTICLE VI
BUDGET

6.1 The Department retains the right to amend Budgets, Program Plans, and Agreements based on its operational needs after notifying the Grantee of the changes.

ARTICLE VII
ALLOWABLE COSTS

7.1 Allowable Expenses. Unless otherwise agreed upon and stated in the Project Description/Deliverables or Milestones, this Agreement does not allow for reimbursement of any expense incurred by Grantee, including but not limited to telephone or other communications device, postage, copying, travel, transportation, lodging, food and per diem. If allowed under the Project Description/Deliverables or Milestones, any approved travel expenses will be reimbursed at rates not to exceed the Travel Regulation Council and Governor's Travel Control Board rules. The Department reserves the right to review all out of state travel requests and to review all DCFS salary reimbursements for reasonableness and adjust accordingly.

7.2 Taxes. Pricing must not include and Grantee must not bill for any taxes unless accompanied by proof the Grantor is subject to the tax. If necessary, Grantee may request the Grantor's Illinois tax exemption number and federal tax exemption information.

7.3 Reimbursement of administrative costs other than inspection and monitoring for purposes of issuing licenses may not exceed 20% of the costs of other services. (20 ILCS 505/5a.)

ARTICLE VIII
LOBBYING

THIS SECTION IS INTENTIONALLY LEFT BLANK.

ARTICLE IX
MAINTENANCE AND ACCESSIBILITY OF RECORDS; MONITORING

9.1 The Grantee must assist the Department in its functions of reviewing financial and programmatic records and monitoring and evaluating performances under this Agreement. Except in emergency situations, the Grantor will attempt to notify the Grantee at least five (5) days prior to a review of financial and programmatic records relating to this Agreement. The Grantee must allow Department employees, federal officials authorized by the Director, and other qualified persons, total access to all financial and programmatic records relating to this Agreement.

9.2 If the Grantee is licensed by the Department, it must submit a Licensed Child Welfare Agency Management Self Reporting Form, in compliance with Department Rule 401, Licensing Standards for Child Welfare Agencies, Appendix C (89 Ill. Admin. Code 401).

9.3 Pursuant to Department Rule 401.270 Records Retention (89 Ill. Admin. Code 401.270), Grantee must maintain general, personnel and licensing records available for inspection by authorized persons from the Department for at least five (5) years due to federal claiming regulations.

9.4 Grantee must identify its staff responsible for contract monitoring and require that they attend trainings provided by the Department on the Grant requirements and Department rules and procedures. The trainings will be required annually and within three months of the Grant recipient's employees' assumption of Grant monitoring responsibilities.

9.5 Source Documentation. The Grantee must maintain time and attendance records for all staff whose salaries are funded in whole or in part pursuant to this Agreement and consistent with generally accepted business practices.

9.6 The Grantee must submit an electronic copy of its audit and all attachments via the Grantee Portal.

Written requests for waivers must be submitted to the Deputy Director, Office of Budget and Finance, 15115 S Dixie Highway, Harvey IL 60426, before the due date of the required report and must specify the reason/s for the request.

9.7 The Office of the Inspector General (OIG) of the Department has the authority to impound and have access to records and facilities without advance notice when the Department has reason to believe that advance notice could jeopardize its investigation. For the purposes of this section, documents and records include all computer, electronic and digital data. In cooperation with the OIG, the Grantee must:

1. Fully comply with requests or Notices of Impounding by the OIG for the production of documents and records;

2. Refrain from removing, altering or tampering with documents requested or impounded by the OIG or that are the subject of a pending OIG investigation;

3. Maintain any records identified by the OIG in a manner to prevent tampering, altering or removal by employees; and

4. Allow and encourage employees to speak to the OIG regarding pending investigations.

ARTICLE X
FINANCIAL REPORTING REQUIREMENTS

10.1 Grantees required to submit an audit in accordance with PART ONE or PART TWO shall complete the Checklist & Interrogatory for Financial and Statistical Reporting contained in Exhibit I.

10.2 Cost reports and certified independent audit reports constitute the basis for fiscal closeout of the Agreement. Excess revenue is the amount of purchase of service fees and governmental grant funding that exceeds total costs, less:

1. Disallowable costs as listed in 89 Ill. Adm. Code 356.60 (Disallowable Cost and Reduced Reimbursement);
2. Fringe benefit costs, as defined in 89 Ill. Adm. Code 356.20 (Definitions), that exceed 25% of salaries and wages, unless Grantee is a government entity with an approved exception; and
3. Administrative costs that exceed 20% of all other allowable costs.

10.3 Regarding any questions arising from the Department's determinations of required repayments of excess revenue, the Grantee has the right to an administrative hearing as provided by 89 IL Admin. Code 434.10 Administrative Hearing of Draft Audit Findings and Recommendations.

10.4 All Grantees, are subject to an annual close-out process consisting of (1) line item review and (2) audited cost review as follows:

1. Line Item Review of Unaudited Costs and Revenues

   The Department may seek to recover DCFS provided funds that exceed the actual costs incurred. The analysis will be conducted by budget line item, comparing the approved budget amounts by line to actual spending.

   The Department recognizes a reasonable variance in spending from the approved budget may occur. In determining the reasonableness of the variation, the Department will apply the following criteria:

   a. Cumulative spending in all line items that varies more than 10% of the total award or more than $50,000 from the approved budget amount is subject to recovery by the Department.
   b. The cost listed in Section 10.2 I, II, and III above are not reimbursable by the Department and are subject to 2 CFR 200.410 for the collection of unallowable costs.

   As the Agreement year progresses, should it appear spending may vary by line outside of the parameters provided above, the Grantee agency should contact the Grant manager to discuss the variation with the possible outcome being an amendment to the budget. Approval of the budget amendment is at the sole discretion of the Department. Absent an executed amendment, the original budget filed with the contract remains the authorized budget of record showing approved expenditures by line item. Amendments to the Agreement, including budget changes, must be approved and incorporated into the Agreement prior to the Agreement termination date. The Grantee agency must sufficiently plan so that an amended budget can be approved and incorporated into the Agreement prior to the Agreement termination date. Contact the DCFS Grant Manager for deadlines to submit a budget amendment.

2. Audited Cost Review

   The Department will recover DCFS provided funds per Section 10.2 above. Additionally, the criteria listed above for the line item comparison applies to the analysis comparing the approved reimbursable budget to the reported reimbursable costs. Audited financial statement and the Consolidated Year End Financial Report (CYEFR), if required, will be used to verify the accuracy of the previously submitted cost reports. Differences between the audited financial statements and the previously submitted cost reports may result in additional recovery of Department funds.

10.5 When all the Agreements with one Grantee, expire or terminate prior to the end of a fiscal year, the expense sections of the CYEFR must be submitted with an opinion from a certified public accountant within 30 days after expiration or termination. The Department will issue a determination of excess revenue using the opined revenue and expenses. No later than 15 days after notification, the Grantee must return by check(s) (with Department contract numbers identified on all checks and correspondence) any excess revenue due.

10.6 All checks must be made payable to:

Treasurer, State of Illinois
c/o Illinois Department of Children & Family Services
406 East Monroe Street, Station #412
Springfield, IL 62701

ARTICLE XI
PERFORMANCE REPORTING REQUIREMENTS

11.1 Performance Record / Suspension. Upon request of the Grantor, Grantee must meet to discuss performance or provide program performance updates to help ensure proper performance of the Agreement. The Grantor may consider Grantee's performance under this Agreement and compliance with law and rule to determine whether to continue the Agreement, suspend Grantee from doing future business with the State for a specified period of time, or to determine whether Grantee can be considered responsible on specific future grant/contract opportunities. The Department also reserves the right, within its sole discretion, to reduce or suspend service referrals to Grantee or to reduce program amounts based on operational or programmatic needs.

11.2 On a quarterly basis, the Grantee must provide the Department designee with a grant program activities report describing and verifying the activities identified in PART THREE – Project-Specific Terms/Program Plan/Scope of Services and Grant Budget.

11.3 The program activities report must also include a summarization of the Grantee's assessment of the impact and effectiveness of the Grant project.

ARTICLE XII
AUDIT REQUIREMENTS

12.1 The Department may request, at its sole discretion, certified agency-wide or limited-scope audits from any purchase of service providers (including day care providers and government entities) to ensure compliance with federal, State and Department requirements. All governmental entities audited by the Illinois Auditor General must submit those audits to the Department within 60 days after completion.

ARTICLE XIII
TERMINATION; SUSPENSION; NON-COMPLIANCE

13.1 Termination for Cause. The Grantor may terminate this Agreement, in whole or in part, immediately upon notice to the Grantee if: (a) the Grantor determines that the actions or inactions of the Grantee, its agents, employees or subcontractors/sub-grantees have caused, or reasonably could cause, jeopardy to health, safety, or property, or (b) the Grantee has notified the Grantor that it is unable to perform the Agreement.

If Grantee fails to perform to the Grantor's satisfaction any material requirement of this Agreement, is in violation or breach of a material provision of this Agreement, including the Program Plan/Scope of Services and any Supplemental Terms and Provisions, or the Grantor determines that the Grantee lacks the financial resources to perform the Agreement, the Grantor must provide written notice to the Grantee to cure the problem identified within the period of time specified in the Grantor's written notice. If not cured by that date the Grantor may either: (a) immediately terminate the Agreement, in whole or in part, without additional written notice, or (b) enforce the terms and conditions of the Agreement.

13.2 Grantor's Compensation upon Termination. Should Grantee breach this Agreement and not cure any breach susceptible of being cured within the time specified by the Grantor, or for termination due to any of the reasons stated above, the Grantor retains its rights to seek any available legal or equitable remedies, including but not limited to monetary damages and reasonable attorney fees and costs.

ARTICLE XIV
SUBCONTRACTS/SUB-AWARDS

14.1 Subcontracts/Sub-Awards. If subcontractors/sub-recipients will be utilized, Grantee must identify below or in an attachment the names and addresses of all subcontractors/sub-recipients it will be entering into a contractual agreement with in the performance of this Agreement, together with a description of the work to be performed by the subcontractor/sub-recipient and the anticipated amount of money, to the extent the information is known, that each subcontractor/sub-recipient is expected to receive pursuant to this Agreement. Grantee must provide a copy of any subcontracts/sub-awards to the Department's Office of Contract Administration. A subcontractor/sub-recipient may identify information that is deemed proprietary or confidential. All subcontracts/sub-awards must include the same certifications that Grantee must make as a condition of this Agreement. The Grantee agrees to systematically and accurately track all monies billed by its subcontractors/sub-recipients under applicable subcontracts/sub-awards. The Grantee must accurately report those services provided by subcontractors/sub-recipients and who is ultimately receiving State or federal funds, in order to prevent conflicts of interest and possible financial improprieties.

Will subcontractors be utilized? ☒ Yes ☐ No Will sub-recipients be utilized? ☐ Yes ☒ No

- Subcontractor Name: Rush University Medical Center

Amount to be paid: $ 35,000/year

Address: 1653 W. Congress Parkway, Chicago, IL

Description of work: Provide written medical opinions by child abuse pediatricians, participate in MPEEC meetings and provide quarterly data.

- Sub-Recipient Name: Loyola University Medical Center

Amount to be paid: $ 45,000/year

Address: 2160 First Avenue, Maywood, IL

Description of work: Provide written medical opinions by child abuse pediatricians, participate in MPEEC meetings and provide quarterly data.

If the total annual value of any subcontract/sub-award is $100,000 or greater, the subcontract/sub-award must include the Financial Disclosures and Conflicts of Interest document for the Subcontractor/Sub-Recipient. If any subcontractor/sub-recipient is anticipated to receive and bill for more than 10% of the total amount to be paid to Grantee under this Agreement, then that subcontractor/sub-recipient must also submit a Budget in the same format as Grantee.

If at any time during the term of the Agreement, Grantee adds or changes any subcontractors/sub-recipients, Grantee must promptly notify, by written amendment to the Agreement, the Department's Office of Contract Administration of the names and addresses, material provision of this Agreement, including the Program Plan/Scope of Services and any Supplemental Terms and Provisions, or the Grantor determines that the Grantee lacks the financial resources to perform the Agreement, the Grantor must provide written notice to the Grantee to cure the problem identified within the period of time specified in the Grantor's written notice. If not cured by that date the Grantor may either: (a) immediately terminate the Agreement, in whole or in part, without additional written notice, or (b) enforce the terms and conditions of the Agreement.

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Will subcontractors be utilized? ☒ Yes ☐ No Will sub-recipients be utilized? ☐ Yes ☒ No

- Subcontractor Name: Advocate Children's

Amount to be paid: $ 80,000/year

Address: 4440 W 95th St, Oak Lawn, IL 60453; 1775 Dempster St, Park Ridge, IL 60668

Description of work: Provide written medical opinions by child abuse pediatricians, participate in MPEEC meetings and provide quarterly data.

- Sub-Recipient Name: ______

Amount to be paid: $______

Address: ______

Description of work: ______

If the total annual value of any subcontract/sub-award is $100,000 or greater, the subcontract/sub-award must include the Financial Disclosures and Conflicts of Interest document for the Subcontractor/Sub-Recipient. If any subcontractor/sub-recipient is anticipated to receive and bill for more than 10% of the total amount to be paid to Grantee under this Agreement, then that subcontractor/sub-recipient must also submit a Budget in the same format as Grantee.

If at any time during the term of the Agreement, Grantee adds or changes any subcontractors/sub-recipients, Grantee must promptly notify, by written amendment to the Agreement, the Department's Office of Contract Administration of the names and addresses, description of the work to be performed and the expected amount of money that each new or replaced subcontractor/sub-recipient will receive pursuant to the Agreement. Grantee must provide a copy of any such subcontracts/sub-awards and applicable Financial Disclosures and Conflicts of Interest. Any subcontracts/sub-awards entered into prior to award of the Agreement are done at the Grantee's and subcontractor's/sub-recipient's risk.

Subcontracted/sub-awarded services must be provided pursuant to a written contract/agreement between the subcontractor/sub-recipient and the Grantee and must comply with all provisions contained in this Agreement. The Grantee remains responsible and liable for the performance of any person, organization or corporation with which it contracts or otherwise enters into agreements with.

For those grants that include a subcontractor or sub-recipient, Grantee certifies that the Grantee has complied with Section 14.1 in PART ONE and PART TWO of this Agreement.

ARTICLE XV
NOTICE OF CHANGE

15.1 Notices and other communications provided for herein must be given in writing by registered or certified mail, return receipt requested, by receipted hand delivery, by courier (UPS, Federal Express or other similar and reliable carrier), by e-mail, or by fax showing the date and time of successful receipt. Notices must be sent to the individuals who signed the Agreement using the contact information following the signatures. Each such notice will be deemed to have been provided at the time it is actually received. By giving notice, either Party may change the contact information.

15.2 Written notice of changes of name, ownership, taxpayer identification number or taxpayer certification should be provided at least 60 calendar days in advance. Such changes may require new licenses and Agreements.

15.3 All proposed revisions to the Description of Services and Grant Budget must be submitted in advance, in writing, for approval by the Department designee. The Department designee will provide written approvals or denials of such revisions to the Grantee.

ARTICLE XVI
STRUCTURAL REORGANIZATION AND RECONSTITUTION OF BOARD MEMBERSHIP

16.1 Board of Directors. Grantee must provide a list of its Board of Directors with contact information including name, address, phone number (including fax) and email.

ARTICLE XVII
CONFLICT OF INTEREST

17.1. The Grantee must create and adopt a Conflict of Interest Policy that reflects the specifications outlined in Department Rule 437, Employee Conflict of Interest (89 Ill. Admin. Code 437).

17.2 Financial Disclosures and Conflicts of Interest. **See attached Financial Disclosures and Conflicts of Interest attached hereto as pages D1 – D11 and incorporated herein.**

ARTICLE XVIII
EQUIPMENT OR PROPERTY

18.1 All equipment the Department assigns to Grantees is owned by the Department. The use of State-owned property and equipment for personal use or private gain is strictly prohibited. Grantees assigned equipment must also properly use, maintain, secure, and store the equipment in accordance with Department Administrative Procedures 19 Property Control and 20 Electronic Mail/Internet Usage/SACWIS Search Function (available at http://dcfswebresource.dcfs.illinois.gov). Grantees must return all assigned equipment to the Department upon request.

18.2 The Grantee is strictly prohibited from using any funds provided under this Agreement for the purchase or acquisition of real estate or other real property.

ARTICLE XIX
PROMOTIONAL MATERIALS; PRIOR NOTIFICATION

THIS SECTION IS INTENTIONALLY LEFT BLANK.

ARTICLE XX
INSURANCE

20.1 Insurance. Grantee must, at all times during the term and any renewals maintain and provide a Certificate of Insurance naming the Grantor as an additional insured for all required bonds and insurance. Certificates may not be modified or canceled until at least 30 days' notice has been provided to the Grantor. Grantee must provide: (a) General Commercial Liability in the amount of $1,000,000 per occurrence (Combined Single Limit Bodily Injury and Property Damage) and $2,000,000 Annual Aggregate; (b) Professional Liability occurrence in the amount of $1,000,000 per occurrence (Combined Single Limit Bodily Injury and Property Damage) and $2,000,000 Annual Aggregate; (c) Auto Liability, including Hired Auto and Non-owned Auto, (Combined Single Limit Bodily Injury and Property Damage) in amount of $1,000,000 per occurrence; and (d) Worker's Compensation Insurance in the amount required by law. Insurance does not limit Grantee's obligation to indemnify, defend, or settle any claims.

ARTICLE XXI
LAWSUITS AND INDEMNIFICATION

21.1 Indemnification and Liability. Neither Party will be liable for incidental, special, consequential or punitive damages.

21.2 The Grantee agrees to immediately notify the Department of service of summons on Grantee of an action against Grantee for any and all liability, loss, damage, cost or expenses including attorneys' fees, arising from the acts or omissions of the Grantee and/or its employees and/or its subcontractors/sub-grantees relating to services delivered by Grantee to the Department.

ARTICLE XXII
MISCELLANEOUS

22.1 Time is of the Essence. Time is of the essence with respect to Grantee's performance of this Agreement. Grantee must continue to perform its obligations while any dispute concerning the Agreement is being resolved unless otherwise directed by the Grantor.

22.2 Force Majeure. Failure by either Party to perform its duties and obligations will be excused by unforeseeable circumstances beyond its reasonable control and not due to its negligence, including acts of nature, health crises, epidemics, pandemics, acts of terrorism, riots, labor disputes, fire, flood, explosion, and governmental prohibition. The non-declaring Party may cancel the Agreement without penalty if performance does not resume within 30 days of the declaration.

22.3 Confidential Information. Each Party, including its agents and subcontractors/sub-grantees, to this Agreement may have or gain access to confidential data or information owned or maintained by the other Party in the course of carrying out its responsibilities under this Agreement.

22.3.1 Performance by the Grantee may include access to and use of documents and data which may be confidential or considered proprietary to the Department or a Department Grantee, or which may otherwise be of such a nature that its dissemination or use, other than in performance of the Agreement, would be adverse to the interest of the Department or others.

22.3.2 Grantee will presume all information received from the Grantor or to which it gains access pursuant to this Agreement is confidential. Grantee information specifically prohibited from disclosure by federal or State law or rules and regulations implementing federal or State law or covered by any other exemption in the Freedom of Information Act (FOIA) will be exempt from disclosure. Any information not prohibited or exempt from disclosure under federal law, State law, or applicable FOIA exemption is public. No confidential data collected, maintained, or used in the course of performance of the Agreement will be disseminated except as authorized by law and with the written consent of the disclosing Party, either during the period of the Agreement or thereafter. The Grantee must return any and all data collected, maintained, created or used in the course of the performance of the Agreement, in whatever form it is maintained, promptly at the end of the Agreement, or earlier at the request of the Grantor, or notify the Grantor in writing of its destruction. The foregoing obligations do not apply to confidential data or information lawfully in the Grantee's possession prior to its acquisition from the Grantor; received in good faith from a third-party not subject to any confidentiality obligation to the Grantor; now is or later becomes publicly known through no breach of confidentiality obligation by the Grantee; or is independently developed by the Grantee without the use or benefit of the Grantor's confidential information.

22.3.3 Except as may be required by state or federal law, regulation or order, the Grantee must not release information concerning persons served by the Department without prior written approval of the Director of the Department, or designee.

22.3.4 Unauthorized Access. If Grantee has knowledge of any unauthorized access or use of shared Confidential Information of the Grantor, it must: (i) notify the Grantor immediately, which in no event will be longer than twenty four (24) hours from receiving notice of the unauthorized access and use; (ii) take prompt and appropriate action to prevent further unauthorized access or use; (iii) cooperate with the Grantor and any government authorities with respect to the investigation and mitigation of any such unauthorized access and use, including the discharge of each Parties' duties under the law; and (iv) take such other actions as the Grantor may reasonably direct to remedy such unauthorized access and use, including, if required under any federal or state law, providing notification to the affected persons. Grantee must bear the losses and expenses (including attorneys' fees) associated with a breach of Confidential Information of the Grantor including, without limitation, any costs: (1) of providing notices of a data breach to affected persons, and to regulatory bodies; and (2) of remedying and otherwise mitigating any potential damage or harm of the data breach, including, without limitation, establishing call centers and providing credit monitoring or credit restoration "Services", as requested by the Grantor.

22.3.5 The Grantee must inform its employees and subcontractors/sub-recipients of such confidentiality obligations, as well as the penalties for violation thereof, and must assure their compliance therewith. The Grantee acknowledges that nothing herein prevents the Grantee from sharing any confidential information with the Department for youth for whom the Department has legal responsibility, and the Grantee is required to deliver said information to the Department upon request as allowable under state or federal law.

22.4 Use and Ownership. All Work Product will be deemed work for hire under copyright law and all intellectual property and other laws, and the Grantor is granted sole and exclusive ownership to all such Work Product, unless otherwise agreed in writing. Grantee hereby assigns to the Grantor all right, title, and interest in and to such Work Product including any related intellectual property rights, and waives any and all claims that Grantee may have to such Work Product including any so-called "moral rights" in connection with the Work Product. Grantee acknowledges the Grantor may use the Work Product for any purpose. Confidential data or information contained in such Work Product will be subject to confidentiality provisions of this Agreement.

22.4.1 The Grantee must, upon request of the Department, execute all papers and perform all other acts necessary to assist the Department to obtain and register copyrights, patents or other forms of protection provided by law for the Work Product.

22.4.2 The Grantee must provide the Department with all computer source code, object code, and all other documentation necessary to understand and use such codes.

22.4.3 The Grantee, its employees and any subcontractors, must not copyright, copy, reproduce, allow or cause to have the Work Product copied, reproduced or used for any purpose other than performance of the Grantee's obligations under this Agreement without the prior written consent of the Department's Director.

22.4.4 Upon expiration or termination of this Agreement, all Work Product whether in paper, electronic or other forms must be, at the option of the Department, delivered to the Department by the Grantee or destroyed.

22.4.5 The Department, in its sole discretion, has the right to limit or restrict access to its data and Work Product. The Department also has the right to limit or restrict individuals who work on specific Department projects.

22.5 Solicitation and Employment. Grantee must not employ any person employed by the Grantor during the term of this Agreement to perform any work under this Agreement. Grantee must give notice immediately to the Department's Director if Grantee solicits or intends to solicit Grantor employees to perform any work under this Agreement.

22.6 Compliance with the Law. Grantee must be in compliance with applicable tax requirements and must be current in payment of such taxes. Grantee must obtain at its own expense, all licenses and permissions necessary for the performance of this Agreement. Grantee must comply with all provisions of the Uniform Conviction Information Act statute (20 ILCS 2635, et seq.) and all other applicable state and federal statutory requirements including all applicable Criminal Justice Information Security (CJIS) requirements. The CJIS Security Policy can be accessed on-line at: https://le.fbi.gov/cjis-division/cjis-security-policy-rosource-center.

22.7 Schedule of Work. Any work performed on Grantor's premises must be done during the hours designated by the Grantor and performed in a manner that does not interfere with the Grantor and its personnel.

22.8 Background Check.

22.8.1 Grantee must require all employees, subcontractors/sub-recipients, and volunteers working on this Agreement who have access to clients or confidential client information, to undergo a driver history and criminal history background check via fingerprints, a check of the Child Abuse and Neglect Tracking System and other state child protection systems, as appropriate, and a check of the Illinois Sex Offender Registry whenever the Department deems it reasonably necessary and at the Department's expense all as set forth in Department rules, regulations, procedures and protocols. Grantee or subcontractor/sub-recipient must reassign immediately any such individual who, in the opinion of the State, does not pass the background check. If Provider is not licensed through DCFS, it must require the aforementioned checks **at least every two (2) years**. Provider must require employees and volunteers to immediately notify their supervisor of any arrest or conviction of any criminal offense other than a minor traffic violation or any report to or indicated finding of abuse or neglect by the Department. Provider must immediately notify the Department of any such report by its employee or volunteer.

22.8.2 If Grantee is a substitute care provider, Grantee certifies that all persons subject to a background check have successfully completed a background check in accordance with Department Rule 385.20 or any other applicable requirement. The Grantee further acknowledges that the Department may declare the Agreement void if this certification is false.

22.8.2.1 All persons subject to background check screening must complete the Department's authorization forms and certify by their signature that the information provided on their authorization forms is true and accurate and acknowledge that any misrepresentation or omission of any material fact on the authorization forms will render them ineligible to perform services pursuant to the Agreement.

22.8.2.2 Grantee's failure to comply with the background check screening requirements constitutes grounds for immediate Agreement termination and, for Grantees who are substitute care providers, reimbursement of costs and expenses to the Department for all background check screenings authorized by the Grantee for applicants who are not persons subject to background checks as defined in Department Rule 385.20.

22.9 Applicable Law. The Grantor must not enter into binding arbitration to resolve any Agreement dispute.

22.10 Anti-Trust Assignment. If Grantee does not pursue any claim or cause of action it has arising under federal or State antitrust laws relating to the subject matter of the Agreement, then upon request of the Illinois Attorney General, Grantee must assign to the Grantor rights, title and interest in and to the claim or cause of action.

22.11 Grantees who hire qualified veterans and certain ex-offenders may be eligible for tax credits. 35 ILCS 5/216, 5/217. Please contact the Illinois Department of Revenue (telephone # 217-524-4772) for information about tax credits.

22.12 Business Enterprise Program (BEP). When available BEP providers should be the preferred provider under this Agreement.

22.13 Warranties for Supplies and Services.

22.13.1 Grantee warrants that the supplies furnished under this Agreement will: (a) conform to the standards, specifications, drawing, samples or descriptions furnished by the Grantee or furnished by the Grantee and agreed to by the Grantor, including but not limited to all specifications attached as exhibits hereto; (b) be merchantable, of good quality and workmanship, and free from defects for a period of twelve months or longer if so specified in writing, and fit and sufficient for the intended use; (c) comply with all federal and state laws, regulations and ordinances pertaining to the manufacturing, packing, labeling, sale and delivery of the supplies; (d) be of good title and be free and clear of all liens and encumbrances and; (e) not infringe any patent, copyright or other intellectual property rights of any third party. Grantee agrees to reimburse the Grantor for any losses, costs, damages or expenses, including without limitations, reasonable attorney's fees and expenses, arising from failure of the supplies to meet such warranties.

22.13.2 Grantee must ensure that all manufacturers' warranties are transferred to the Grantor and must provide a copy of the warranty. These warranties are in addition to all other warranties, express, implied or statutory, and will survive the Grantor's payment, acceptance, inspection or failure to inspect the supplies.

22.13.3 Grantee warrants that all services will be performed to meet the requirements of the Agreement in an efficient and effective manner by trained and competent personnel. Grantee must monitor performances of each individual and must reassign immediately any individual who is not performing in accordance with the Agreement or Program Plan/Scope of Services, who is disruptive or not respectful of others in the workplace, or who in any way violates the Agreement or Department policies.

PART THREE – PROJECT-SPECIFIC TERMS/PROGRAM PLAN

In addition to the uniform requirements in PART ONE and the Grantor-Specific Terms in PART TWO, the Grantor has the following additional requirements for this Project:

See Attached Program Plan for the requirements of this Agreement, including, but not limited to Sections:

8.0 Client and Program Reporting
9.0 Fiscal and Program Monitoring

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PROGRAM PLAN OUTLINE

Program Plan Name: **Multidisciplinary Pediatric Education and Evaluation**
Agreement #: 3924519015

1.0 Provider Descriptive Information

1.1 Provider Agency Name: The University of Chicago

Address: 5801 S. Ellis Avenue
Chicago, Illinois 60637

1.2 Corporate Office Information:

Legal Entity Status: 501(c)(3) Not-for-Profit Corporation

License Status, if applicable: ACTIVE

Accreditation Status, if applicable: N/A

Executive Director: John A. Flynn

Telephone #: (773) 834-1184

Email Address: jflynn@medicine.bsd.uchicago.edu

1.2.1 Board of Directors: See attached

1.2.2 Subcontracts/Sub-grants:

"Any subcontractors/sub-recipients submitted to provide services under this Agreement must meet the same background requirements and credentialing as required for staff funded under this Agreement. Moreover, if subcontractors/sub- recipients are used, the Provider must maintain records of services provided, payments made via the subcontract/sub-award agreement, and proof of monitoring the subcontractor's/sub- recipient's performance. All subcontracts/sub-awards must follow the instructions and use the forms prescribed in Part II, Article XVII, Subcontracts/Sub-awards, of the applicable DCFS Agreement."

The University of Chicago subcontracts with the following hospitals and monitors their performance and compliance with the services described in this program plan and their subcontract:

- Advocate Children's Hospital Oak Lawn
- Advocate Children's Hospital Park Ridge
- Rush University Children's Hospital
- Loyola Medicine Children's Hospital

1.3 Brief Description of Various Services Offered by Provider:

The University of Chicago Comer Children's Hospital

The University of Chicago Medicine provides state of the art medical care to children who are victims of trauma as it is a Level 1 Pediatric Trauma Center; a nationally certified Burn Unit[1], and the children's hospital, Comer Children's Hospital, is a state-of-the-art children's hospital; offering a range of services from general to the most complex care.

Comer Children's Hospital is the home for both the University of Chicago Comer Children's Advocacy and Protective Services Program and the Multidisciplinary Education and Evaluation Consortium (MPEEC).[2]

In its capacity as a nationally ranked medical academic center the University of Chicago Comer Children's Advocacy and Protective Services provides training and education for the Pritzker School of Medicine medical students, a mandatory[3] rotation for pediatric residents, and serves as a primary source of education for medical, child welfare, law enforcement and legal community partners.

The University of Chicago Comer Children's Advocacy and Protective Services Program team is a medically directed interdisciplinary team founded and directed by Dr. Jill Glick MD, Professor of Pediatrics, who is a child abuse pediatrician and nationally recognized expert in child maltreatment.

The University of Chicago Comer Children's Advocacy and Protective Services Program provides comprehensive evaluations of all children with concerns for any form of child maltreatment. It provides mandatory consultation for all children admitted with injuries who are under the age of 2 years; children with Failure to Thrive, suspected child sexual abuse, and consultation of children with concerns for child medical abuse or neglect. The ER is a Sexual Assault Survivors Emergency Treatment Act (SASETA) treatment site and a major location for emergency referral by DCFS and law enforcement for evaluation of children with suspected child maltreatment.

The University of Chicago Comer Children's Advocacy and Protective Services Program team provides 24-hour response for suspected child abuse and neglect, consisting of child abuse medically trained social workers, a clinical program coordinator, and the

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[1] There are only three certified Burn Units in the state of Illinois

[2] https://peoria.medicine.uic.edu/wp-content/uploads/sites/8/2020/09/2020-Directory-of-Healthcare-Providers-for-Child-Abuse-and-Neglect-Investiga.pdf

[3] Most child abuse pediatric rotations are elective, Comer children's hospital has made this a four-week mandatory rotation during the first year.

MPEEC investigations coordinator, 2 CAP MDs, 1 physician assistant, a program manager and an administrative assistant. The University of Chicago Comer Children's Advocacy and Protective Services Program team provides a comprehensive child abuse pediatric written opinion based upon an interagency response culminating in a final definitive statement regarding the manner of a child's injury. All children that receive consultations are ensured comprehensive medical follow up and case tracking to ensure medical compliance.

The University of Chicago Comer Children's Hospital is also the lead entity for the Multidisciplinary Pediatric Education and Evaluation Consortium (MPEEC) and is responsible for the overall management of administrative, clinical and educational services provided by the MPEEC program.

The MPEEC program provides child abuse pediatric consultations based upon a formalized, real time interagency evaluation process for a mandated population of children, who are reported to DCFS for serious harms. MPEEC also offers to DCFS investigators the ability to request MPEEC consultation for children who do not meet MPEEC mandatory consultation criteria. Serious harms are defined as injuries to children that require urgent medical evaluation and treatment. The MPEEC medical expert composes a comprehensive medical opinion that states if an injury is "more likely than not" due to abuse, neglect, is accidental, due to a disease or is medically indeterminate. The MPEEC consortium members include DCFS, law enforcement, and child protection teams from Comer, Rush, Loyola, Advocate- Oak Park and Advocate- Park Ridge Children's Hospitals, all which have established child abuse pediatrician directed interdisciplinary child protection programs.

MPEEC Hospitals

The University of Chicago Comer Children's Hospital, Rush, Loyola Medical Centers, Advocate- Oak Lawn (Christ) and Advocate Park Ridge (Lutheran General)- all have a child abuse pediatrician who are responsible for providing clinical opinions, and education. Each hospital responds to their medical community needs and varies in medical resources for example, Loyola and Comer are designated Burn and Child Trauma Centers; the Advocate sites are both designated Child Trauma Centers and all MPEEC hospitals have academic affiliations with a strong educational commitment to pediatric residency programs, hospital and community needs.

1.4 <u>Brief Description of Services Provided Under DCFS Agreement</u>:

Services are to promote permanency by maintaining, strengthening and safeguarding the functioning of families to (1) prevent substitute care placement (2) promote family reunification, (3) stabilize foster care placements, (4) facilitate youth development, and (5) ensure the safety, permanency and wellbeing of children.

This contract funds the Multidisciplinary Education and Evaluation Consortium (MPEEC) and its clinical, educational and administrative services

Clinical Services

MPEEC clinical services under this contract support the activities to coordinate multidisciplinary investigations involving DCFS and law enforcement investigators and expert Child Abuse Pediatricians of children who are less than 36 months of age, are residents of Chicago and are reported for the following serious harms allegations regardless of the location of medical treatment:

- Head trauma (2/52)
- Bone fractures (9/59)
- Internal injuries (4/54)
- Burn injuries (5/55) children must be admitted to MPEEC hospitals for treatment

MPEEC provides medical review of the following types of cases:

- **MPEEC Mandated Cases;**
- **MPEEC Onsite Cases;**
- **MPEEC Offsite Cases; and**
- **MPEEC Opinion Cases.**

MPEEC hospitals have established policies and procedures to ensure identification of children with concerns for suspected child maltreatment including the MPEEC allegations, these children who receive comprehensive interdisciplinary hospital consultations are referred to as **Hospital Consultations.** These consultations occur in different care sectors (ER, admission or clinic), and do not necessarily result in a report to DCFS. DCFS views this activity as preventative.

The MPEEC program also provides Administrative and Leadership Efforts as well as Educational Efforts.

1.5 Geographical Service Area(s):

Accessibility Y/N	County of Service	Complete Address of Where Services Are Delivered	Description of Services provided at the Site, Program Contact Name, Telephone #, Fax #, & E-mail Address
Yes	Cook	University of Chicago, Comer Children's Hospital 5841 S. Maryland Avenue Chicago, IL 60637	Jill Glick MD Phone 773-702-4900 Fax:773-702-0642 jglick@peds.bsd.uchicago.edu
Yes	Cook	Advocate Children's Hospital Oak Lawn 4440 W 95th St Oak Lawn, Illinois 60453	Emily Siffermann MD Phone: 708-684-3870 Emily.Siffermann2@advocatehealth.com
Yes	Cook and Lake	Advocate Children's Hospital Park Ridge 1775 Dempster St. Park Ridge, Illinois 60668	Emily Siffermann MD Phone: 708-684-3870 Emily.Siffermann2@advocatehealth.com
Yes	Cook	Rush University Children's Hospital 1653 W. Congress Parkway Chicago, Illinois	Margaret Scotellaro MD Phone: (312) 355-1130 Margaret_A_Scotellaro@rush.edu

		60612	
Yes	Cook	Ronald McDonald Children's Hospital of Loyola University Medical Center 2160 S First Avenue Maywood, Illinois 60153	Mary Jones MD, MJ, MPH Phone: 708-327-9106 Fax: 708-3227-9132 maryjones@iumc.edu

The Provider must notify DCFS in writing of any changes in sites where client services are being delivered.

1.6 DCFS Clients

Client Capacity Under DCFS Agreement: 200

Capacity at Any Given Time: 20-30

1.7 Agency Clients

Client Capacity Under Program: NA

Capacity at Any Given Time: NA

1.8 Average Length of Services: less than 30 business days

1.8.1 Services beyond the program plan service parameters: ***The Provider must obtain prior authorization from DCFS to serve clients outside of the program plan parameters.***

1.9 Definitions:

1.9.1 Client

Clients served under this contract include the following:

1. Children reported to DCFS that meet the mandate criteria-Chicago resident, who is less than 36 months old, reported for allegations 2/52, 9/59, 4/54, regardless of treatment, and children reported for 5/55 who are admitted to MPEEC hospitals;

2. Children located anywhere in the State who are referred for MPEEC Opinions;

3. Children who are treated at MPEEC hospitals and are evaluated for concerns for child maltreatment, which includes MPEEC mandate allegations and all other allegations including other types of injuries, medical neglect concerns, suspected child sexual abuse, and children at risk for other reasons such as drug exposure and consultations are not limited to any age group.

1.9.2 Unit of Service

A unit of service is measured by the number of children served, regardless of the amount of time each consultation takes; the outcome of the consultations; or the number of MPEEC trainings provided.

1.9.3 Other Definitions Pertinent to the Program

1.9.3.1 Child Abuse Pediatrician (CAP): A pediatrician who is board certified in the specialty of child abuse pediatrics.

1.9.3.2 Manner of Injury: The circumstances of how an injury occurred. MPEEC medical experts will use the following terminology for manner of an injury: abuse, neglect, accidental, natural disease, no injury sustained, indeterminate or indeterminate because the investigation was incomplete.

1.9.3.3 Monthly MPEEC Medical Leadership Meetings: Monthly meetings of the MPEEC hospitals staff, MPEEC Medical Director and MPEEC DCFS Liaison to discuss MPEEC procedures, to share updates on programmatic accomplishments, to address barriers or challenges and to perform internal case review and quality improvement.

1.9.3.4 MPEEC: Multidisciplinary Pediatric Education and Evaluation Consortium.

1.9.3.5 MPEEC Report: The final written MPEEC medical expert consultation. This report shall be titled "MPEEC Report" and shall not reference the University of Chicago Comer Children's Advocacy and Protective Services Program.

1.9.3.6 MPEEC DCFS Liaison: An experienced DCFS employee in child protection who is assigned to the MPEEC program to facilitate the interagency process; who has leadership and supervisory skills to be able to educate and to provide support to DCP supervisors and investigators regarding the compliance with MPEEC process; to access case information for the MPEEC Investigational Coordinators and Medical Director and to screen MPEEC Opinion requests prior to submission to the MPEEC Investigations Coordinator.

1.9.3.7 MPEEC Mandated Cases: Children less than 36 months who reside in Chicago and are reported for the following serious harm allegations regardless of the location of medical treatment except for children reported for burn injuries must be admitted to a MPEEC hospital:

- Head trauma (2/52)
- Bone fractures (9/59)
- Internal injuries (4/54)
- Burn injuries (5/55) children must be admitted to MPEEC hospitals for treatment

1.9.3.8 MPEEC Mandated Offsite Case: Children that meet MPEEC mandate criteria and are NOT treated at a MPEEC hospital.

1.9.3.9 MPEEC Mandated Onsite Case: Children that meet MPEEC mandate criteria and are treated at a MPEEC hospital.

1.9.3.10 MPEEC Opinion Cases: Children referred to MPEEC by DCFS for expert consultation - these children may be reported for any allegation, of any age and from all regions in Illinois. The DCFS investigator must complete the MPEEC Opinion form and attach the CANTS hotline form (reporter name redacted) to initiate the request.

1.9.3.11 MPEEC Patient Folder: An electronic folder created by the MPEEC case coordinator, which contain any of the following materials: Daily/Weekly Chicago Allegations reports, SACWIS notes, SACWIS photos, Medical Records and MPEEC Report. These folders are for children who meet Mandated Offsite and MPEEC Opinion Cases and are archived at the University of Chicago using HIPAA standards until DCFS develops a piloted and approved electronic system for archival and access.

1.9.3.12 MPEEC Waiver Cases: A mandated case that has received a consult by a Child Abuse Pediatrician at a hospital or medical center, which is **not** a member of the MPEEC program.

1.9.3.13 Quarterly Interagency Leadership Meeting: A meeting attended by MPEEC hospital members, law enforcement, DCFS Deputy Chief of Investigations, DCFS Medical Director, DCFS MPEEC liaison, Cook Regional and Area Administrator(s) and State's Attorneys which occurs quarterly to discuss the MPEEC program with the goals of cross education and programmatic improvement. Attendance is required by both MPEEC medical and DCFS leadership.

1.9.3.15 Serious Harms: Injuries that require medical care at the time of the injury; medical care includes a history and physical, indicated laboratory studies or imaging studies and treatment.

2.0 Target Population:

2.1 Inclusions:

MPEEC Mandate Cases:
Children residing in Chicago who are less than 36 months and reported for the following allegations regardless of location of treatment:

- Head trauma (2/52)
- Bone fractures (9/59)
- Internal injuries (4/54)
- Burn injuries (5/55) children must be admitted to MPEEC hospitals for treatment

MPEEC Opinion Cases:

Children whom DCFS requests a consultation for that do not meet MPEEC mandated criteria. These children can be reported for any allegation and can be located in any region.

MPEEC Hospital Consultations:
Children served by MPEEC hospitals whom do not meet the MPEEC mandate criteria but who receive a child abuse pediatric consultation due to medical staff's concerns for child maltreatment.

2.2 Exclusions:

Children who do not meet the criteria under the Inclusion section above do not receive MPEEC services.

The Following cases are excluded from MPEEC review:

1. Cases where there is court involvement.
2. Cases where a child abuse pediatrician has already provided an opinion.
3. Cases where there is insufficient investigational materials submitted for review.
4. Death cases unless DCFS MPEEC Liaison and MPEEC Medical Director agree to review.

3.0 Referral and Admission Procedures:

3.1 Provider Responsibility:

3.1.1 Referral Decision-Making Criteria:

Case type	Allegation	Age	Residence	Location of treatment
MPEEC Mandated Onsite Cases	Head Trauma (2/52) Bone Fractures (9/59) Internal Injuries (4/54) Burn Injuries admitted to MPEEC Hospitals (5/55)	Up to 36 months	Chicago	MPEEC hospitals
MPEEC Mandated Off-site Cases	Head Trauma (2/52) Bone Fractures (9/59) Internal Injuries (4/54)	Up to 36 months	Chicago	Non-MPEEC facility Chicago resident
MPEEC Opinion Cases	All allegations	No age limit	No limitations	

MPEEC Hospital Consultations	All	No age limit	No limitations	MPEEC affiliated facilities

3.1.2 Admission Notification Procedures:

Referral Process and Admission Notification Procedures

There are three client populations that receive MPEEC services:

1. MPEEC Mandated Cases (Onsite and Offsite cases)
2. MPEEC Opinion Cases
3. MPEEC Hospital Consultations

Referral Process for MPEEC Mandated Cases

DCFS will provide to the University of Chicago, a secure FTP so they may login and retrieve the modified intake summary for each child that meets MPEEC mandate criteria at the time of the hotline report. This modified intake summary will also include the name and contact information for the assigned investigator.

Admission and Program Process for MPEEC Onsite Cases

Upon receipt of the referral, MPEEC staff shall, at a minimum:

1. Identify the medical treatment location, the DCFS investigator and law enforcement assigned to the onsite case;
2. Coordinate communication between the investigators and MPEEC clinical coordinator(s) and provides them with case (e.g. patient identifiers, allegation etc.) and contact information of the medical treatment site, DCFS and law enforcement assignments;
3. Enter case information into case tracking system and create MPEEC patient folder.
4. Facilitate interagency communication and aid in problem solving procedural challenges;
5. Monitor and review case progress with MPEEC Medical Director;
6. Collect and enter case outcome information from MPEEC hospitals; and
7. Provide a copy of the MPEEC Onsite Consultation (which is part of the medical record) and other medical treatment records obtained in the course of evaluation to DCFS.
8. Provide/return any supporting documents (such as SACWIS notes, police reports, other medical records, etc.) to DCFS.

Admission and Program Process for MPEEC Mandated Offsite Cases

Upon receipt of the referral, MPEEC intake staff shall, at a minimum:

1. Enter case information into the case tracking system and create a MPEEC patient folder;
2. Confirm the patient's treatment location;
3. Contact the DCFS investigator, provide medical knowledge specific to the sustained injury such as mechanism, signs and symptoms associated with the injury, and review historical and scene data necessary to develop a timeline of events leading up to and to include explanation of injury;
4. Notify the DCFS MPEEC Liaison of the MPEEC mandated offsite case by email;
5. Identify and advise DCFS of necessary medical documents and/or imaging studies that must be obtained and provided to MPEEC for review. With most serious harms cases these records include the following: emergency department or urgent care records, hospital admission records from date of admission to discharge; primary care records, birth records, and outpatient subspecialty clinic records.
6. Review the materials to be submitted to MPEEC for review with the DCFS child welfare investigator, this includes but not limited to the CANTS2 redacted form, SACWIS notes, and photo-documentation in PDF form for review;
7. Contact the respective law enforcement agency and confirms there is a police investigation and obtains the name, shift and contact number of the investigating officer;
8. Orient law enforcement to the MPEEC program as needed;
9. Review the case with MPEEC Medical Director and assign the case to a MPEEC medical expert;
10. Arrange for ongoing interagency case discussion and final case review prior to the publication of the MPEEC Report.
11. Facilitate MPEEC medical and DCFS meetings (in person or virtual) as needed and at the end of the evaluation;
12. Enter final report date and final manner of injury in MPEEC case tracking database;
13. Distribute the MPEEC Report to DCFS and law enforcement;
14. The MPEEC medical expert consultations are to be completed and distributed within 10 business days after all materials are delivered to the CAP unless there are additional steps such as an additional medical testing or waiting for results from a medical consultant.
15. Provide/return any supporting documents (such as SACWIS notes, police reports, other medical records, etc.) to DCFS.

Referral, Admission and Program Process: MPEEC Opinion Cases

1. Opinion requests can only be generated by DCFS staff.
2. There is no limitation regarding allegation, age of child and location of medical treatment. While there is no time line limitation when a case may be referred to MPEEC for consultation, cases weeks out from hotline report the DCFS investigator should have SACWIS notes up to date and obtained medical records; more recent cases these materials maybe outstanding but are not a barrier to obtain an opinion.

3. The DCFS investigator and supervisor will provide a clearly stated written clinical/medical question to be addressed. Examples of scenarios include the following:

    a. Conflicting or incomplete medical opinions;
    b. Unclear statements made by physicians; and or
    c. Lack of clarity regarding medical finding.

4. DCFS supervisors and investigators will complete the following to obtain a MPEEC Opinion:

    a. Complete the MPEEC Opinion request form;
    b. Review the MPEEC material check list of medical and investigative materials on the MPEEC Opinion request form, and check off materials obtained;
    c. Attach the Modified Intake Summary
    d. Review their request with the DCFS MPEEC Investigations Coordinator.

5. The MPEEC DCFS Liaison will:

    a. Train DCFS supervisors regarding DCFS Procedures and process to obtain a MPEEC medical opinion.
    b. Screen cases with MPEEC Medical Director and Clinical Coordinator as requested by MPEEC.

6. The DCFS investigator will then submit by email the MPEEC Opinion form, the modified intake summary, and any available investigatory materials for review.
7. MPEEC Medical Director and MPEEC Investigations Coordinator, will review the request and set up a case discussion (either in person or virtually) with DCFS investigator and supervisor, if emergent to the case, which will occur no later than 2 business days, or within 48 hours when requested, after receipt of referral.
8. MPEEC Investigations Coordinator will educate the DCFS investigator regarding biomechanics, signs and symptoms of the injury and clarify what investigational, historical and scene data is essential and review with DCFS- if there is additional investigational and/or medical evaluation that is warranted, or in some cases advise that a forensic interview should be sought.
9. MPEEC staff will enter the case into the MPEEC database and initiate a MPEEC patient folder.
10. The MPEEC Investigations Coordinator will continue to communicate with the DCFS investigator and MPEEC medical expert to address the investigational case status.
11. At closure of the case, the MPEEC Investigations Coordinator will set up a meeting (either in person or virtually) with the MPEEC medical expert, the MPEEC Investigations Coordinator, DCFS supervisor and DCFS investigator to discuss the findings of the case.
12. All accepted MPEEC opinions will result in a written MPEEC Report which will be provided to DCFS investigator, supervisor and MPEEC liaison.

13. The MPEEC Coordinator will provide/return any supporting documents (such as SACWIS notes, police reports, other medical records, etc.) to DCFS.

In cases where the MPEEC Medical Director identifies a conflict of interest; there is no medical question posed; or where a medical expert review is needed but sufficient investigational information is not provided (for example lack of photo-documentation of skin injuries), the MPEEC Medical Director will review the case with the DCFS Clinical Liaison and discuss the concerns; together they will make a collective decision regarding the consultation status.

Management of Medical Imaging Studies, Patient Medical Records, MPEEC Consultation Reports and DCFS Investigational Materials

DCFS owns the MPEEC offsite and opinion patient folders and their content. MPEEC initiates and organizes these folders which contain DCFS investigational materials and medical records.

DCFS is responsible to maintain the MPEEC Offsite and Opinion patient folders in their original state and entirety, and in accordance with applicable federal and state laws and in accordance with Department rules and procedures relating to document retention.

DCFS will ensure that the MPEEC patient folders are accessible in a real time fashion upon request by the MPEEC Medical Director or the MPEEC Investigations Coordinator, for the following reasons; for business purposes related to the terms of this Agreement, for patient treatment, in connection with an administrative or judicial proceeding or a professional liability claim regarding the case, to comply with its obligations herein, or for other reasons authorized by DCFS Office of legal Services.

DCFS will develop a secure electronic access system for storage of and access to the MPEEC Patient Folders. Once the system is established, MPEEC will transfer all the MPEEC offsite mandated and opinion folders and all supporting documents/records to this secure electronic system.

MPEEC onsite case written consultations are part of the medical record; MPEEC will provide to DCFS this report, and any materials acquired during medical consultation (offsite medical records).

Until prompt, secure electronic access to the MPEEC patient folders is established and approved, MPEEC providers will maintain MPEEC patient folders in compliance with HIPAA rules and regulations.

The MPEEC DCFS Liaison shall provide a listing of all MPEEC cases to the DCFS program monitor, program administrator and responsible Deputy at the end of quarter 2 and 4 each fiscal year.

3.2 <u>Department Responsibility</u>:

DCFS Administration Responsibilities

1. Ensure DCFS rules and regulations pertinent to the program, including those related to document management and retention, are accessible to MPEEC Administration. (DCFS rules and regulations are available for viewing on the DCFS website at www.state.il.us/dcfs);
2. Notify MPEEC administration of any changes in policies or procedures that directly impact the MPEEC program.
3. Appoint a **DCFS MPEEC Liaison** for the MPEEC program with the following credentials and responsibilities:

    a. Experience in Child Protection;
    b. Leadership and supervisory skills;
    c. Senior level with ability to provide case review and management feedback to supervisors and investigators;
    d. Time allocated to participate in monthly MPEEC leadership meetings and quarterly interagency meetings;
    e. Accessible and able to assist in gathering necessary documents to obtain the MPEEC report;
    f. Accessible to MPEEC Medical Director, Program Manager and Coordinators to review and address case specific and programmatic issues;
    g. Provides DCFS case outcomes for MPEEC cases;
    h. Has a formal process to feedback to the Deputy of Child Protection summary of program issues and suggested improvements developed with the MPEEC staff.
    i. Screens MPEEC Opinions to ensure compliance with the process outlined in Section 3.1.2. (Referral, Admission and Program Process: MPEEC Opinion Cases) per request of the MPEEC Investigations Coordinator **and/MPEEC** Medical Director.

4. Provide updated contact information for DCFS offices, DCFS Regional Administrators, Area Administrators, Supervisors and Investigators; which includes main phone numbers, email contacts and cell phone numbers.
5. The DCFS MPEEC Liaison attends monthly leadership meetings and the DCP Deputy Director, DCFS MPEEC Liaison, and DCFS Medical Director attend quarterly interagency meetings.
6. Collaborate with MPEEC staff to develop leadership trainings, materials, clinical tools, and in services on MPEEC program, for DCFS staff.
7. Develop an online system for DCFS to access MPEEC program information (such as MPEEC Opinion forms).
8. Facilitate the success of MPEEC trainings by the following:

    a. Determining training dates;
    b. Facilitates registration and ensures there are no conflicting trainings;

c. Publishes to field staff and administrators information on the MPEEC program trainings;
d. Ensures posting of the MPEEC training information and flyers made by MPEEC on the D-Net that is easily searchable as a separate entity.

4.0 Program Staff:

The Provider must maintain personnel records of all employees who provide direct or supportive services to Department clients and a personnel information matrix listing staff assigned to/providing services under this program plan. This also includes contracted services for contractual providers. The following information for each employee must be maintained in the Provider's records:

- ***Proof of education, including high school, college and training programs.***
- ***A detailed summary of each employee or contractor's work experience.***
- ***Annual employee performance evaluations.***
- ***Documentation that a background check was completed, including but not limited to a CANTS check.***
- ***Copy of a valid driver's license (if applicable).***
- ***Auto liability insurance coverage (if applicable).***
- ***Staff medical exam form, appropriate Form CFS-600 through CFS-604 (if applicable).***
- ***Proof of State Required Licensure (if applicable).***

Background Checks:
No employees, volunteers, subcontractors, and interns of Provider's shall have unsupervised contact with clients or access to confidential client information until successfully clearing the DCFS background check. The required form is CFS 718-C dated 9/2020. The individual to be fingerprinted must complete Form CFS 718-C as soon as he/she/they is accepted into the Provider's network and submit to the DCFS Contract Manager. He/she/they will be informed as to whether the background check requires fingerprinting. The DCFS Contract Manager will provide the individual with a clearance letter that shall be the notification of clearance maintained in the fingerprinted individual's file. Background check renewal will be required every two years.

4.1 Qualifications:

4.1.1 Direct Service:

MPEEC Investigation Coordinator: Educational requirement of at least a master's level in medical social work experience with medical case management of child maltreatment cases or is a medical midlevel provider with experience in child abuse pediatric medicine for a minimum of three years. This person must have at least 3 years of experience working in a child welfare field, knowledge of the medical field, and experience working with child abuse investigative systems. Strong organizational and task-oriented skills required as well as excellent oral and written communication skills. Ability to multi-task and work effectively in a multi-disciplinary setting is required.

MPEEC Program Manager: Educational requirement is of a college or university degree in a related field, preferable a master's degree in business, healthcare administration or social work. Experience must include project and grant management; health care administration and/or child welfare and social services experience. At least 3 years of work experience relevant to the program is required. Knowledge of computerized systems and various software packages such as Excel, Access and Word is essential, must have excellent oral, written and organizational skills, ability to work in high stress environment, manage numerous projects simultaneously and to work in a multidisciplinary setting.

University of Chicago Comer Children's Advocacy and Protective Services Program Clinical Program Manager: Educational requirement of at least a master's level in medical social work experience in medical case management of child maltreatment cases. At least 5 years of experience in pediatrics. This person must have at least 5 years of experience working in a child welfare field, knowledge of the medical field, and experience working with child abuse investigative systems. Strong organizational and task-oriented skills required as well as excellent oral and written communication skills. Ability to multi-task and work effectively in a multi-disciplinary setting is required.

University of Chicago Comer Children's Advocacy and Protective Services Program Administrative Assistant:
Educational requirement of a college or university degree and core competency in clerical skills such as phone and communication management, scheduling, organization administrative and clinical files, word processing, database entry and Redcap survey development.

MPEEC Child Abuse Pediatricians: Physicians who are board certified or board eligible for certification by the American Academy of Pediatrics in Child Abuse Pediatrics which requires board certification in Pediatrics and completion of a three-year fellowship in Child Abuse Pediatrics

MPEEC Hospital Clinical Coordinators: Must have a published phone, fax and email contact, background education at a minimum is a bachelor's degree and must have basic clerical and organizational aptitude. He/she/they is under the direct supervision of the child abuse pediatric team's medical director.

4.1.2 Supervisory:

MPEEC Medical Director: Educational requirements includes board certification in Child Abuse Pediatrics, have held or is currently a Medical Director of a hospital-based child protection team or medical unit, and have significant experience in directing a hospital-based child abuse program.

MPEEC Child Abuse Pediatric Medical Leadership at Consortium Hospital Members: Educational requirements include board certification or eligible in Child Abuse

Pediatrics and have a leadership position such as "program director, medical director" at their respective hospital/medical center.

4.2 Minimum Staffing Expectations:

- **MPEEC Investigations Coordinator**, can manage up to 20-25 cases per month.

4.3 Staff Development:

4.3.1 DCFS Required Trainings:

The assigned DCFS Manager will notify Provider at least two weeks in advance of any required DCFS trainings.

DCFS Required Trainings include, but may not be limited to, the following for all direct service and supervisory staff:

- Cultural Sensitivity/Diversity Training
- Ethics Training
- Mandated Reporter Training (Biannual)
- Sexual Harassment Training

Additional trainings may include (but are not limited to) the following:

- Contract planning and preparation
- Budget and financial accountability
- Data entry and data tracking
- Outcomes achieved and activities planned for program improvement

The required training(s) will be documented and available for the DCFS Program Monitor for review in the personnel file(s).

4.3.2 Provider Required Trainings:

The Child Abuse Pediatricians and MPEEC medical providers shall participate in ongoing continuing medical education and training specifically related to maintaining their board certifications and maintain compliance with hospital requirements

4.3.3 Other Staff Development Activities:

Provider will submit its staff development plan to the DCFS Program Monitor upon request.

5.0 Service Parameters:

The Provider must support achievement of the outcomes of safety, permanency, and well-being for children and their parents and other family members served under this Agreement. The Provider also agrees to ensure the safety and well-being of all clients while receiving services under this Agreement. The physical plant must be safe, adequately maintained, and free from damage. Staffing levels must assure the adequate supervision necessary to provide therapeutic treatment to clients. A safe and caring environment is critical for supporting therapeutic treatment, and the Provider must facilitate and maintain this environment so that all treatment services provided to clients are supported.

5.1 Provider Physical Plant:

The Provider must maintain a facility that is large enough to safely accommodate the clientele. The facility(ies) will contain sufficient equipment and furniture to provide the services offered and which satisfies Department licensing requirements (if applicable).

The MPEEC hospitals shall be accessible for children and adults with disabilities or have provisions for addressing accessibility for people with disabilities.

5.2 Description of Services:

Services delivered by the Provider must comply with all Department of Children and Family Services laws, rules, regulations, procedures, protocols, and policy guides (available for viewing on the DCFS website at www.state.il.us/dcfs), all of which are hereby incorporated by reference and made a part of this Agreement.

This contract funds the Multidisciplinary Education and Evaluation Consortium (MPEEC) and its clinical, educational and administrative services

- The MPEEC Consortium includes the University of Chicago Comer Children's Hospital, Advocate Park Ridge, Advocate Oak Lawn, Rush University Children's Hospital and Ronald McDonald Children's Hospital of Loyola University Medical Center.
- The University of Chicago is responsible for the programmatic management of the administrative, clinical and educational services described in this program plan.
- MPEEC provides three broad categories of services:

    1. Clinical
    2. Administrative and leadership

3. Educational

Clinical Services
Overview of the Child Abuse Pediatric Expert Consultation
In order to render an opinion, the Child Abuse Pediatrician/MPEEC medical provider performs similar efforts as other physicians; examinations, obtaining histories, ordering and reviewing x-rays, imaging and studies, unique to the Child Abuse Pediatrician/MPEEC medical provider is that he/she/they must work within both an interdisciplinary medical team including treating physicians, radiologists, subspecialists and social workers and an investigational interagency team, to gather vital historical and scene information. He/She/They then reviews the findings from all these sources in detail and applies evidence-based knowledge in child abuse pediatrics to determine how the child sustained an injury. This process is very time consuming and requires numerous case discussions to corroborate or refute information that was provided by caretakers to address the manner of injury. An average child abuse head trauma case can take nearly15- 20 hours of efforts to render a final written opinion.

Child Abuse Pediatricians provide the following services to ensure evaluation and intervention:

1. Direct interdisciplinary teams to identify, evaluate, intervene and treat children with suspected child maltreatment.
2. Ensure access to DCFS for expert medical consultation that is interactive during the case evaluation
3. Ensure comprehensive medical record review leading to comprehensive medical and health assessments of children that include a summary of a child's medical history and a follow-up plan for medical, psychosocial, and developmental needs.
4. Assist in coordination of long-term comprehensive follow-up care for onsite cases.
5. Provide court testimony

MPEEC provides comprehensive medically directed interagency case coordination and expert child abuse pediatric consultation for three populations of children:

1. MPEEC Mandated Cases (Onsite and Offsite cases)
2. MPEEC Opinion Cases

Mandated Cases

MPEEC clinical services under this contract support the activities to coordinate multidisciplinary investigations involving DCFS and law enforcement investigators and expert Child Abuse Pediatricians of children are less than 36 months of age, are residents of Chicago and reported for the following serious harms allegations regardless of the location of medical treatment except for children reported for burn injuries must be admitted to a MPEEC hospital;

- Head trauma (2/52)
- Bone fractures (9/59)
- Internal injuries (4/54)
- Burn injuries (5/55) children admitted to MPEEC hospitals for treatment

MPEEC provides the necessary medically directed interagency case coordination and expert pediatric medical consultation during the case investigation that culminates in a written opinion by a child abuse pediatrician that definitively addresses the manner of injury using MPEEC nomenclature.

Children who meet MPEEC criteria and are treated at MPEEC hospitals are labelled MPEEC Onsite cases. Children who are not treated at MPEEC hospitals are labelled MPEEC Offsite cases. Children who are receive child abuse pediatric consultations at non MPEEC hospitals will not receive a MPEEC medical consultation, these cases are *waived* unless DCFS requests MPEEC to consider review.

MPEEC also provides the opportunity for DCFS to request expert case review of children that do not meet MPEEC criteria; these cases are referred to as MPEEC Opinion cases. MPEEC opinions can be requested for any age child, allegation and residence.

MPEEC Opinion Cases

MPEEC will provide expert child abuse case review and written opinions for cases requested by DCFS; these are referred to as *MPEEC Opinion cases.*

All three types of cases receive a core stepwise case coordination process, which includes;

1. Case Identification, referral and admission (see Section 3.0);
2. Investigation assignment: identification of the investigators;
3. Medical expert consultation/assessment reviewing of investigational and medical data;
4. Interagency case review;
5. MPEEC Report composition and publication; and
6. Database collection for quality improvement.

See Section 3.1.2 "Admission Notification Procedures" ***that outlines coordination process***

MPEEC Coordinator Services
The MPEEC Investigations Coordinator is responsible for case coordination for all MPEEC cases. He/She/They shall promote identification of cases; case tracking regarding medical, DCFS and law enforcement personnel; facilitating identification and education regarding the different MPEEC case types; and coordinating the interagency process for Mandated Offsite and Opinion Cases.

During the investigation, the MPEEC Investigations Coordinator with the Child Abuse Pediatrician/MPEEC medical provider informs the investigator regarding the injury explains medical terminology and clarifies medical findings. The MPEEC Investigations Coordinator will also aid the MPEEC medical experts in the drafting of the consultation.

The MPEEC Investigations Coordinator is responsible for data collection and shall alert the MPEEC Medical Director to programmatic needs that are identified through the data collection.

MPEEC Administrative University of Chicago Services
Staff Responsibilities

The MPEEC Medical Director shall provide:

1. Overall management of the MPEEC program, including programmatic plan development;
2. Medical leadership for the MPEEC hospital teams regarding program requirements;
3. Compliance and quality review of work effort;
4. Professional development and supervision of staff;
5. Compliance with rules of confidentiality and;
6. Ensure budgetary compliance and required reporting to DCFS.

The MPEEC Program Manager shall assist the MPEEC Medical Director in the management of the grant agreement budgetary and reporting demands and will facilitate data collection.

University of Chicago Comer Children's Advocacy and Protective Services Program Administrative Assistant
The University of Chicago Comer Children's Advocacy and Protective Services Program Administrative assists the MPEEC staff with project execution; such as document and form production; facilitate training registration and survey execution; organize patient charts, assist with data entry into then Redcap database, collect court outcome data for quarterly reports, and aids the Program Manager with site visit requirements.

Educational Services – Serious Harms Training

Each quarter the MPEEC program will provide trainings on serious harms and other child maltreatment related medical topics. MPEEC administration is responsible for registration, hosting the training either in person or virtual and implementing an evaluation process. Child Abuse Pediatricians are responsible for course development, lecturing and providing handouts.

5.2.1 <u>Specialized Services</u>:

Providing services in Spanish or other languages for children and or adults involved in MPEEC cases is the responsibility of the hospitals and DCFS.

5.2.2 Hard Goods:

No hard-good services are provided or paid for by this contract

5.2.3 Fiscal Agent:

This contract does not allow for a fiscal agent.

5.2.4 Outcomes and metrics:

MPEEC will seek to achieve the following objectives below in FY22

1. Mandated Cases: 100% of all children who meet MPEEC criteria and are not waived cases will receive a MPEEC Report written medical consultation.
2. Opinion Cases: 100% of accepted opinion request cases will receive a MPEEC Report.
3. Quantity Outcome: The MPEEC report shall be completed within 14 business days of receipt of enough investigational materials in 90 % of offsite mandate and opinion cases.
4. Quantity Outcome: MPEEC will provide at least one training for DCFS on Medical Aspects of Child Maltreatment per quarter.
5. Quality Outcome: 100% of MPEEC Mandated cases will have a written statement of the manner of the injury.
6. Quality Outcome: Less than 5% of all MPEEC cases that have complete investigation materials will have an indeterminate manner of injury.
7. Quality Outcome: Less than 5% of all cases referred to MPEEC will be rejected to receive a medical opinion.

6.0 Treatment Goals/Services Plan:

This grant does not fund therapeutic services.

7.0 Conclusion of Services:

7.1 Conclusion of Services

MPEEC cases that are not waived are closed when the MPEEC Report is provided to DCFS. The MPEEC Report must state one of the following determinations for manner of injury MPEEC manner of injury:

Abuse	Injury was a result of child abuse
Accidental	Injury was not caused by abuse, neglect or natural

Neglect	Injury was not abusive, but was sustained due to a lack of supervision
Indeterminate	Injuries that cannot be medically determined after a thorough investigation has been performed
Incomplete	Insufficient investigational information and/or medical information was provided to render an opinion
Natural	The medical findings are found to be due to a natural disease (bruising due to leukemia)
No injury	No injury was found on review

The MPEEC Investigations Coordinator will distribute MPEEC Mandated Offsite and MPEEC Opinion case reports to the DCFS investigator and police investigator (if involved).

1. The MPEEC hospitals shall provide copies of their MPEEC Report for Onsite Mandated cases to DCFS and law enforcement in accordance with hospital policies and protocols.

2. The MPEEC hospitals shall inform the MPEEC Investigations Coordinator of the date and the final manner of injury for Onsite Mandated cases.

3. The MPEEC Investigations Coordinator will monitor case status for MPEEC Mandate and Opinion cases to ensure a MPEEC Report is completed. The MPEEC Investigations Coordinator shall bring any case where a MPEEC Report is not completed to attention of the MPEEC Medical Director for review and intervention.

7.2 Aftercare Services (If Applicable):

This contract does not provide aftercare services to children and families. However, the MPEEC investigations coordinator may facilitate medical follow-up care for MPEEC Offsite and MPEEC Opinion cases.

8.0 Client and Program Reporting:

The Provider must ensure that all services provided to a client are documented in full compliance with applicable Department rule and procedures, including Rule 302, Services Delivered by the Department of Children and Family Services."

"The Provider must provide to each referring worker, on a monthly basis, a written client progress report, including dates and units of service provided. The Provider further agrees to attach these client progress reports to their monthly CFS1042 billing or approved billing form.

8.1 **MPEEC Reports**:

The MPEEC Reports may be maintained as part of the hospital record in MPEEC onsite cases only. In all off-site cases, the MPEEC Report shall be provided to DCFS and not maintained as part of the hospital record. MPEEC Reports are confidential and all laws, rules and guidelines regarding confidentiality shall be maintained regarding the sharing of these reports.

8.2 **Program Reports**:

The Provider must develop and administer a Client Satisfaction Survey to all clients upon completion/discharge from services. The provider will compile the results of the survey on a quarterly and annual basis and submit the results in narrative report to the assigned program monitor.

Reports are established for the purpose of determining the completion of set goals and reviewing the accomplishments of the program.

Quarterly Reports: At the close of each quarter (Sept. 30, Dec. 31, March 31, and June 30), reports will be submitted **within 30 days** to the DCFS assigned Contract Manager. The reports will be completed using the provided DCFS Quarterly Supplemental Worksheet. Failure to comply with report requirements in a timely manner may result in additional monitoring and corrective actions.

Electronic submission of quarterly budget reports is required. Additional portions of the quarterly report may be required based on future DCFS communications or instructions. Required reports shall be emailed to the assigned Contract Manager.

MPEEC has developed a survey for investigational partners; the results are analyzed and submitted as part of the quarterly report to the program monitor.

8.3 **Immediate Reporting Requirements:**

The Provider's program supervisor must immediately notify the assigned caseworker of any significant events, changes in family circumstances, or unusual incidents involving the client or family members. The assigned caseworker will also be expected to inform the Provider of such events. Examples of such events and incidents would include: incidents of suspected abuse or neglect which have been or are to be reported to the Child Abuse Hotline; police involvement/intervention with the family; major health problems or death in the immediate family; emotional, mental or physical deterioration; change in household composition; change in residence; suspected drug or alcohol abuse; any circumstance or incident which poses a threat to the safety and well-being of any involved children, or would pose such a threat if the children were in the current custody of the parent/client; other significant information or changes in family

circumstances. The assigned caseworker is also expected to report any modification in the dispositional court order to the Provider.

Any Provider doing business with the Department is a "mandated reporter" of child abuse or neglect. Failure to comply with the Abused and Neglected Child Reporting Act (325 ILCS 5/1 et. Seq.) may result in license suspension or revocation. Furthermore, the acquisition of privileged information from Agency clients regarding abuse or neglect does not excuse the failure to report.

9.0 Fiscal and Program Monitoring:

9.1 Provider Self-Monitoring and Self-Assessment:

1. The University of Chicago will continually monitor its staff and subcontractors to assure that children who meet MPEEC mandate criteria and are accepted for MPEEC Opinion review are assigned a MPEEC medical expert.

2. The MPEEC Medical Director provides daily monitoring and supervision of the MPEEC Investigations Coordinator, in order to ensure compliance with programmatic protocols e.g. identification of clients, entry of client information into clinical tracking systems, and monitoring of case status.

3. The MPEEC Medical Director meets annually with U of Chicago MPEEC staff to provide supervision, assessment and professional development. These efforts are documented in personnel files and will be available to DCFS contract monitors.

4. Medical and social work clinical decision making is monitored on a weekly basis at the University of Chicago Comer Children's Advocacy and Protective Services Program interdisciplinary rounds.

5. MPEEC medical leadership is required to attend monthly meetings to review compliance with protocols and peer review of cases.

6. The University of Chicago will monitor all subcontractors for compliance with policies, procedures and services outlined in this contract as well as the collection of data reports and facilitating conflict resolution

9.2 DCFS Monitoring:

The University of Chicago is provided with a service-based contract from DCFS and will be monitored by DCFS for fiscal accountability and accuracy; for adherence to contract requirements as specified in the Program Plan; for services delivered to clients; and for achievement of program outcomes.

9.2.1 Program Monitoring:

The Provider must cooperate with any program review, evaluation or other monitoring activities that are requested or required by the Department, including licensing reviews and audits.

9.2.2 Fiscal Monitoring:

DCFS will monitor fiscal planning and accountability by a review of the following:

- *A comparison of the annual budget to the monthly expenditure reports*
- *A line item review in accordance with Part Two, Article XIII, of the Uniform Grant Agreement*
- *Determination of any excess revenues in accordance with Part Two, Article XIII, of the Uniform Grant Agreement*
- *Audit and other financial reporting as required by the terms of the Agreement*

Consistent with 2 CFR 200.305 (b)(1), "Advance payments to a non-Federal entity must be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the non-Federal entity in carrying out the purpose of the approved program or project. The timing and amount of advance payments must be as close as is administratively feasible to the actual disbursements by the non-Federal entity for direct program or project costs and the proportionate share of any allowable indirect costs."

To comply with the above requirement, Provider must submit monthly expenditure reports reflecting actual cash expenditures in a format as prescribed by the Department and consistent with Uniform Budget requirements within 15 calendar days following the close of each month of the Agreement.
DCFS will monitor adherence to the provisions of the contract Program Plan. This will be accomplished by:

- Review of the quarterly report materials and provide direct feed back to the MPEEC Medical Director and Program Manager.
- Review of the self-monitoring activities/reports by the University of Chicago (i.e. partnership and training evaluations, staff performance and development reviews, updates of policies and protocols etc.).

DCFS will monitor adherence to the service delivery goals and outcomes as described by the University of Chicago in the contract Program Plan and recorded in the Data Report, the Goals and Objectives form and the Supplemental Budget quality and quantity excel spreadsheets that are submitted on a quarterly basis.

These forms will be reviewed by the MPEEC Medical Director, MPEEC Program Manager and DCFS assigned monitor to ensure the requested data reflects the MPEEC program's goals and objectives.

DCFS will provide to the MPEEC Administration the *Contract Monitoring Summary* in advance of the site -monitoring visit by the DCFS contract liaison.

DCFS will perform an in-person monitoring visit by the DCFS contract monitor. These monitoring visits will occur annually upon arrangement with the University of Chicago. MPEEC staff to be available upon request:

- MPEEC Medical Director
- MPEEC Program Manager
- MPEEC Investigations Coordinators
- Other requested staff to attend by DCFS

The University of Chicago will accept referrals based on the MPEEC program plan protocols. The DCFS contract liaison will closely monitor significant variations for intake in comparison with projected service goals and will contact the University of Chicago for further clarification. The contract liaison will also follow-up with the appropriate DCFS administrators (Deputy Director, Division of Child Protection) as needed with any questions or concerns regarding the number of referrals. All communication should go to the monitor. To note, MPEEC does not control the referral case number from the hotline or the number of cases referred for MPEEC opinions.

In terms of monitoring the <u>QUALITY of client services, this is measured through outcome metrics</u>, DCFS expects that the University of Chicago will submit outcome measures which reflect achievement of a measurable standard for eligible clients. Achievement of the University of Chicago stated outcome goals should fall within a range of **<u>plus or minus 10%</u>** of the set standard.

9.3 <u>Corrective Action and Performance Improvement</u>:

"The Provider must comply with the DCFS program monitoring procedures established by DCFS and adhere to any corrective action or performance improvement plan developed through the monitoring process. Failure to comply with the terms of the Agreement and program plan could result in DCFS pursuing any remedy which is provided under the Agreement."

10.0 <u>Billing and Payment Procedures</u>

10.1 <u>Billing Submittal:</u> Identify the requirements of how the Provider will submit billing data for the provision of services to clients.

The Provider must submit monthly invoices consistent with Section 10.3. All invoices except the first will be accompanied by monthly financial reports and quarterly program reports as outlined in Section 10.4 Additional Requirements for Grants.

10.2 Description of Types of Service(s) that are Billable:

If allowed under this program, approved transportation expenses such as mileage and parking will be reimbursed at a rate not to exceed that allowed by the State of Illinois Travel Regulation Council and Governor's Travel Control Board Rules (found at http://www2.illinois.gov/cms/Employees/travel/Pages/default.aspx).

10.3 Payment:

An initial payment at the start of the year or start of the effective date of the Agreement will be processed in an amount equal to the first two months of the award as requested by the Provider through a written invoice. Subsequent payments will be made at the beginning of each month in an amount equal to 1/12 of the annual budgeted Agreement amount provided this is supported by cost reports and submitted invoices. When review of cost reports shows substantial underspending, the Department reserves the right to discuss this with the Provider and to implement a reduction in the payment. The Department also reserves the right to withhold payment until receipt of supporting documentation if a Provider is not in compliance with the reporting requirements. See Exhibit T – Timeline for Estimated Grant Payments.

The total amount paid under the Agreement must not exceed the Agreement amount. At the end of the Agreement term, and upon receipt of the final cost report, the Department will issue a determination of any under expenditures by the Grantee in accordance with Part Two, Article XIII, of the Uniform Grant Agreement. The Provider may be required to reimburse the Department for any payments not supported by reported reimbursable costs.

10.4 <u>Additional Requirements for Grants that make or use estimated payments:</u>

The Provider will submit to DCFS, for approval with this program plan, a detailed budget using the State of Illinois Uniform Grant Budget Template, disseminated by DCFS.

For Grant Agreements that make or use estimated payments, the Provider will submit to DCFS in accordance with the payment cycle: monthly cost reports, quarterly outcome measures report, quarterly client listing with name & DCFS ID (as required), quarterly personnel matrix and a quarterly progress report describing the services provided and number of clients served.

A) Financial monthly cost reports are due within 15 calendar days after the close of each month.

B) Quarterly reports including: outcome measures, client listing (as required), personnel matrix and progress reports are due according to the following schedule:

- *These reports are to be submitted to the Department's designee per the following schedule:*
- *First Quarter (July – September) due October 31*
- *Second Quarter (October – December) due January 31*
- *Third Quarter (January – March) due April 30*
- *Fourth Quarter (April – June) Due July 15th*

Providers should be reminded that Administrative Costs cannot exceed 20% of the costs for other services provided.

Exhibit T - FY25 Timeline for Grants

		Service Month	Invoice May be Submitted	Monthly Financial Report Due	Quarterly Program Report Due
State Fiscal Year	1st Quarter	July	When Contract is Payable	Aug. 15	
		August[1]	When Contract is Payable	Sep. 15	
		September	Aug. 1	Oct. 15	
	2nd Quarter	October[2]	Sep. 1	Nov. 15	1st Qtr by Oct 31st
		November	Oct. 1	Dec. 15	
		December	Nov. 1	Jan. 15	
	3rd Quarter	January	Dec. 1	Feb. 15	2nd Qtr by Jan 31st
		February	Jan. 1	Mar. 15	
		March	Feb. 1	Apr. 15	
	4th Quarter	April	Mar. 1	May. 15	3rd Qtr by Apr 30th
		May	Apr. 1	Jun. 15	
		June[3]	May. 1	Jul. 15	
	Lapse	July			4th Qtr by Aug 15th
		August			

Notes:

1 2 CFR 200.305(b)(1) requires, "Advance payments to a non-Federal entity must be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the non-Federal entity in carrying out the purpose of the approved program or project. The timing and amount of advance payments must be as close as is administratively feasible to the actual disbursements by the non-Federal entity for direct program or project costs and the proportionate share of any allowable indirect costs."

2 Beginning with October services private agency staff and DCFS staff are required to review actual expenditures and ensure voucher amounts are right sized to reflect expenditure needs for the invoiced month properly align with YTD payments.

3 June Voucher may be held until July 15th as needed

DCFS GRANT PROGRAM PLAN ADDENDUM
FY25 MINIMUM CONTRACT SALARY SCHEDULE
EFFECTIVE 07/01/2024

		FUNDED AVERAGE IN RATE				REQUIRED MINIMUM		REFERENCE ONLY	
Minimum Education Requirements	Position	Basis for Funded Salary	Average (Model Rate)	Average Annual	Standard Salary Range (Min to Max)	Minimum (Avg X .85)	Minimum Annual	Sample Maximum (Avg X 1 15)	Sample Maximum Annual
High School / GED	Para-professional & Clerical	Min Wage	$19.10	$39,728	30%	$16.20	$33,696	$21.97	$45,687
Bachelors (BA) Degree	Direct Service Staff & BA Professionals	$72,060	$28.58	$59,450	30%	$24.20	$50,336	$32.87	$68,368
Masters (MA) Degree	Therapist or MA Professional in a Non-Supervisory Role	$82,869	$32.87	$68,368	30%	$27.90	$58,032	$37.80	$78,623
Masters (MA) Degree	MA Supervisor (Minimum Supervisor Ratio 5:1)	$95,592	$37.91	$78,863	30%	$32.20	$66,976	$43.60	$90,692

Notes:

1) Minimum salaries are funded for the position; not the education level of the actual staff person in that position
2) Average annual salaries are used by DCFS for rate setting purposes (hourly rates are rounded on this table)
3) Minimum salaries set the lowest salary allowed by contract, but agencies may increase those minimum salaries at their discretion
4) Maximum salaries are set for budgetary purposes, but DCFS does not set a cap on reasonable salaries

FINANCIAL DISCLOSURES AND CONFLICTS OF INTEREST

Financial Disclosures and Conflicts of Interest forms ("forms") must be accurately completed and submitted by the vendor and any parent entity(ies). There are nine (9) steps to this form and each must be completed as instructed in the step heading, unless otherwise provided. The Agency will consider this form when evaluating the bid, offer, or proposal or awarding the contract.

Failure to fully disclose shall render the contract, bid, proposal, subcontract, or relationship voidable by the Director if s/he deems it in the best interest of the State of Illinois and may be cause for barring Vendor from future contracts, bids, proposals, subcontracts, or relationships with the State. The requirement of disclosure of financial interests and conflicts of interest is a continuing obligation. If circumstances change and the previously submitted form is no longer accurate, disclosing entities must provide an updated form.

Separate forms are required for the vendor and any parent entity(ies).

This disclosure is submitted for:

☒ Vendor

☐ Vendor's Parent Entity(ies) (100% ownership)

☐ Subcontractor(s)

Vendor Name	The University of Chicago
Doing Business As (DBA)	
Parent Entity	
Instrument of Ownership or Beneficial Interest	

STEP 1
SUPPORTING DOCUMENTATION SUBMITTAL
(All vendors complete regardless of annual bid, offer, or contract value)

NOTE: Disclosures for Steps 1 through 7 need only be filled out once per entity. You must select one of the eight options below and select the documentation you are submitting. You must provide the documentation the applicable section requires with this form.

☐ Option 1 – Publicly Traded Entities

1.A. ☐ Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% ($123,420) of the annual salary of the Governor.

OR

1.B. ☐ Attach a copy of the Federal 10-K, and skip to Step 3.

☐ Option 2 – Privately Held Entities with more than 100 Shareholders

2.A. ☐ Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% ($123,420) of the annual salary of the Governor.

OR

2.B. ☐ Complete Step 2, Option A for each qualifying individual or entity holding any ownership share in excess of 5% and attach the information Federal 10-K reporting companies are required to report under 17 CFR 229.401.

Also complete Step 2, Option B.

☐ Option 3 – All other Privately Held Entities, not including Individuals and Sole Proprietorships

3.A. ☐ Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% ($123,420) of the annual salary of the Governor.

Also complete Step 2, Option B.

☐ Option 4 – Foreign Entities

4.A. ☐ Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% ($123,420) of the annual salary of the Governor.

OR

4.B. ☐ Attach a copy of the Securities Exchange Commission Form 20-F or 40-F and skip to Step 3.
Also complete Step 2, Option B.

☒ Option 5 – Not-for-Profit Entities

☒ Complete Step 2, Option B.

☐ Option 6 – Governmental Entities

☐ Complete Step 2, Option B.

☐ Option7 – Individuals

☐ Skip to Step 3.

☐ Option 8 – Sole Proprietors

☐ Skip to Step 3.

STEP 2
DISCLOSURE OF FINANCIAL INTEREST OF BOARD OF DIRECTORS

Complete Option A and/or Option B. Additional rows may be inserted into the tables or an attachment may be provided if needed. Individuals, sole proprietors, and governmental entities are not required to complete Step 2.

OPTION A – Ownership Share and Distributive Income

Ownership Share – If you selected Option 1A, 2A, 2B, 3A, 4A in Step 1, provide the name and address of each individual and their percentage of ownership if said percentage exceeds 5%, or the dollar value of their ownership if said dollar value exceeds $123,420.

☐ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 2, Table X.

TABLE – X

Name	Address	Percentage of Ownership	$ Value of Ownership

Distributive Income – If you selected Option 1A, 2A, 3A, or 4A in Step 1, provide the name and address of each individual and their percentage of the disclosing vendor's total distributive income if said percentage exceeds 5% of the total distributive income of the disclosing entity, or the dollar value of their distributive income if said dollar value exceeds $123,420.

☐ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 2, Table Y.

TABLE – Y

Name	Address	% of Distributive Income	$ Value of Distributive Income

Please certify that the following statements are true.

I have disclosed all individuals or entities that hold an ownership interest of greater than 5% or greater than $123,420.

☒ Yes ☐ No

I have disclosed all individuals or entities that were entitled to receive distributive income in an amount greater than $123,420 or greater than 5% of the total distributive income of the disclosing entity.

☒ Yes ☐ No

OPTION B – Disclosure of Board of Directors or Board of Managers

If you selected Option 2, 3, 4, 5 or 6 in Step 1, list members of your board of directors or board of managers.

☒ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 2, Option B.

TABLE – Z	
Name	**Address**
See Attached.	5801 S. Ellis Avenue, Chicago IL 60637

STEP 3
DISCLOSURE OF LOBBYIST OR AGENT

☐ Yes ☒ No. Is your company represented by or do you employ a lobbyist or other agent required to register under the Lobbyist Registration Act (lobbyist must be registered pursuant to the Act with the Secretary of State) or other agent who is not identified through Step 2, Option A above and who has communicated, is communicating, or may communicate with any State Agency officer or employee concerning the bid or offer? If yes, please identify each lobbyist and agent, including the name and address below.

If you have a lobbyist that does not meet the criteria, then you do not have to disclose the lobbyist's information.

Name	Address	Relationship to Disclosing Entity

Describe all costs/fees/compensation/reimbursements related to the assistance provided by each representative lobbyist or other agent to obtain an Agency contract:

THE UNIVERSITY OF CHICAGO
UChicago Medicine

Board of Trustees
2024-2025

Mr. Patrick J. Kelly
KMK & Associates
701 Harger Road, Suite 190
Oak Brook, IL. 60523

Mr. Todd Martin
Unit S2401
2550 North Lakeview Avenue
Chicago, IL 60614

Mr. Brian Miller
Linden Capital Partners
150 N Riverside Plaza, Suite 5100
Chicago, IL. 60606

Mr. Rene Mora, MD
[redacted]

Mr. Brien M. O'Brien
Port Capital LLC
180 North Stetson Avenue
Suite 5780
Chicago, IL. 60601

Mr. Louis V. Pinkham IV
Regal Beloit Corporation
6133 N River Rd. Suite 700
Rosemont, IL. 60018

Mr. Kevin M. Purcell
[redacted]

Mr. Scott Silverman
[redacted]

Mr. John A. Svoboda
Svoboda Capital Partners, LLC
One North Franklin Street
Suite 1500
Chicago, IL. 60606

Ms. Rachel D. Kohler
[redacted]

Ms. Cheryl Mayberry-McKissack
[redacted]

Mr. Mario Molina, MD
625 Fair Oaks Ave.
Suite 260
South Pasadena, CA. 91030

Ms. Emily Nicklin
Kirkland & Ellis
300 North LaSalle Street 37th Floor
Chicago IL. 60610

Ms. Noel B. Patterson, MD
[redacted]

Mr. Anand Parekh
[redacted]

Mr. Nicholas K. Pontikes
[redacted]

Mr. John D. Ravis
[redacted]

Mr. Tandean Rustandy
[redacted]

[redacted]

Mr. Paul G. Yovovich
Lake Capital
980 N Michigan Ave, Suite 1300
Chicago IL. 60611

Mr. Michael Tang
Tang Industries
1965 Pratt Boulevard
Elk Grove Village, IL. 60007

Mr. Scott Wald
Romar Services, LLC
1622 Willow Road
Northfield, IL. 60093

THE UNIVERSITY OF CHICAGO

UChicago Medicine

Life Trustees
2024-2025

STEP 4
PROHIBITED CONFLICTS OF INTEREST

Step 4 must be completed for each person disclosed in Step 2, Option A and for Individuals and sole proprietors identified in Step 1, Options 7 and 8 above.

Please provide the name of the person for which responses are provided in Step 6:

1. Do you yourself hold, or are you the spouse or minor child of a person who holds an elective office in the State of Illinois or a seat in the General Assembly? ☐ Yes ☐ No
2. Have you, your spouse, or minor child been appointed to or employed in any offices or agencies of State government and receive compensation for such employment in excess of 60% ($123,420) of the salary of the Governor? ☐ Yes ☐ No
3. Are you or are you the spouse or minor child of an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority? ☐ Yes ☐ No
4. Have you, your spouse, or an immediate family member who lives in your residence currently or who lived in your residence within the last 12 months been appointed as a member of a board, commission, authority, or task force authorized or created by State law or by executive order of the Governor? ☐ Yes ☐ No
5. If you answered yes to any question in 1-4 above, please answer the following: Do you, your spouse, or minor child receive from the vendor more than 7.5% of the vendor's total distributable income or an amount of distributable income in excess of the salary of the Governor ($205,700)? ☐ Yes ☐ No
6. If you answered yes to any question in 1-4 above, please answer the following: Is there a combined interest of self with spouse or minor child more than 15% in the aggregate of the vendor's distributable income or an amount of distributable income in excess of two times the salary of the Governor ($411,400)? ☐ Yes ☐ No

STEP 5
POTENTIAL CONFLICTS OF INTEREST RELATING TO PERSONAL RELATIONSHIPS

Step 5 must be completed for each person disclosed in Step 2, Option A and for Individuals and sole proprietors identified in Step 1, Options 7 and 8 above.

Please provide the name of the person for which responses are provided in Step 6:

1.	Do you currently have, or in the previous 3 years have you had State employment, including contractual employment of services other than this contract?	☐ Yes ☐ No
2.	Has your spouse, father, mother, son, or daughter, had State employment, including contractual employment for services, in the previous 2 years?	☐ Yes ☐ No
3.	Do you hold currently or have you held in the previous 3 years elective office of the State of Illinois, the government of the United States, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois?	☐ Yes ☐ No
4.	Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding elective office currently or in the previous 2 years?	☐ Yes ☐ No

5.	Do you hold or have you held in the previous 3 years any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that?	☐ Yes ☐ No
6.	Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding appointive office currently or in the previous 2 years?	☐ Yes ☐ No
7.	Do you currently have or in the previous 3 years had employment as or by any registered lobbyist of the State government?	☐ Yes ☐ No
8.	Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) that is or was a registered lobbyist?	☐ Yes ☐ No
9.	Do you currently have or in the previous 3 years had compensated employment by any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections?	☐ Yes ☐ No
10.	Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) who is or was a compensated employee of any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections?	☐ Yes ☐ No

STEP 6
EXPLANATION OF AFFIRMATIVE RESPONSES

If you answered "Yes" in Step 4 or 5 (1-10), please provide a detailed explanation that includes, but is not limited to the information detailed in the key below.

Name (of person identified in affirmative responses to questions in Steps 4 or 5)

A. Relationship to Contractor
B. Position/Title or Elected/Appointed Office
C. State Agency or Organization
D. Start/End dates of employment or elected/appointed term
E. Salary/Compensation
F. Date Compensation Began
G. DCFS Contract # (if applicable)

☐ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 6.

The below explanations A-H are provided for Step___(indicate 4 or 5), Question _____ (Specify which Step 4 or 5 question (1-10) is explained below. Mark n/a if necessary.)	
A.	
B.	
C.	
D.	
E.	

F.	
G.	
H.	

The below explanations A-H are provided for Step _____(indicate 4 or 5), Question _____ (Specify which Step 4 or 5 question (1-10) is explained below. Mark n/a if necessary.)	
A.	
B.	
C.	
D.	
E.	
F.	
G.	
H.	

The below explanations A-H are provided for Step _____(indicate 4 or 5), Question _____ (Specify which Step 4 or 5 question (1-10) is explained below. Mark n/a if necessary.)	
A.	
B.	
C.	
D.	
E.	
F.	
G.	
H.	

STEP 7

DISCLOSURE OF CURRENT AND PENDING CONTRACTS

(All vendors complete regardless of annual bid, offer, or contract value)

Do you or your Affiliates have any contracts, pending contracts, bids, proposals, subcontracts, or other ongoing procurement relationships with units of State of Illinois governments? ☒ Yes ☐ No.

If "Yes", please specify below. Vendors must disclose all other public funding that they or their Affiliates receive. Affiliates are business concerns, organizations, or individuals that control each other or that are controlled by a common third party. Please identify each contract, pending contract, bid, proposal and other ongoing procurement relationship with or the actual or anticipated receipt of any other funding from units of State of Illinois government or other governmental entities by showing awarding government entity name and other descriptive information including the project title, value, and contract reference, purchase order, or bid number. Vendor agrees to systematically and accurately track, and properly allocate, all funding received and monies billed by Vendor and its Affiliates under this Contract and under contracts with other governmental entities.

☒ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 7.

Awarding Government Entity	Project Title	Status	Value	Contract # Reference/P.O./Illinois Procurement Bulletin #
See Attached				

Please explain the procurement relationship if other than contract, purchase order, or bid:

Active Current E

Award AURA ID	Primary Sponsor Legal Name	Project Short Title	Awarded PPd Amt - Total Costs
AWD070798 01 PR	State of Illinois Department of Children & Family Services	La Rabida Children's Hospital Sub-Grant Agreement	$267,490
AWD102434	Department of Transportation	The University of Chicago Pediatric Injury Prevent-Renewal	$119,888
AWD102434	Department of Transportation	The University of Chicago Pediatric Injury Prevent-Renewal	$119,888
AWD102472	Illinois Department of Public Health	The University of Chicago Department of Human Gene	$130,000
AWD102438	Department of Health and Human Services	FY22 - MPEEC - Renewal	$2,855,721
AWD102517	Illinois Department of Public Health	Coordinated Approach to Reducing Childhood Asthma	$496,000
AWD102551	National Endowment for the Arts	FY22 Gen Ops Support - Renewal 03 Renewal	$15,950
AWD102830	Illinois Council on Developmental Disabilities	PROJECT INITIATE	$15,220
AWD102832	Health Resources and Services Administration	Illinois Administrative Perinatal Center Grant Ren	$1,014,712
AWD102832	Health Resources and Services Administration	Illinois Administrative Perinatal Center Grant Ren	$1,014,712
AWD102832	Health Resources and Services Administration	Illinois Administrative Perinatal Center Grant Ren	$1,014,712
AWD102832	Health Resources and Services Administration	Illinois Administrative Perinatal Center Grant Ren	$1,014,712
AWD103010	Corporation for National and Community Service	AmeriCorps C4P Yr4 - Renewal	$356,680
AWD103043	Illinois Department of Human Services	Medical Director of ICRE 2022-2023	$102,737
AWD103108	Illinois Department of Public Health	Complex Pediatric Asthma ECHO Building Community	$49,999
AWD103141	Health Resources and Services Administration	The Fetal Infant Mortality Review (FIMR) - Renewal	$248,500
AWD103180	Illinois Department of Public Health	The University of Chicago Department of Human Gene-Renewal	$129,995
AWD103225	Illinois Department of Public Health	Sickle Cell Follow Up 2023 Grant	$74,370
AWD103316	Illinois Department of Public Health	IL- Prostate Outreach and Screening Tracking Pro	$210,437
AWD103316	Illinois Department of Public Health	IL- Prostate Outreach and Screening Tracking Pro	$210,437
AWD103324	Corporation for National and Community Service	AmeriCorps C4P-Renewal	$475,142
AWD103361	Illinois Arts Council	APL General Ops Support 2022-2023	$18,900

AWD103435	Illinois Department of Public Health	Illinois Colorectal Cancer	$1,685,000
AWD103651	Illinois Department of Human Services	Illinois Cannabis Regulation and Tax Act IGA.	$144,510
AWD103751	Illinois Department of Human Services	IDHS - Homelessness Prevention	$3,656,927
AWD103968	Health Resources and Services Administration	The Fetal Infant Mortality Review (FIMR) - Renewal-Renewal	$497,000
AWD104007	Illinois Department of Public Health	The University of Chicago Department of Human Gene-Renewal	$129,995
AWD104017	Illinois Department of Human Services	SHPA - FY23 IDHS Research	$94,965
AWD104037	Illinois Department of Public Health	Sickle Cell Follow Up 2024 Grant-Renewal	$74,370
AWD104053	Illinois Department of Public Health	Evaluation of stock albuterol in Illinois schools	$95,773
AWD104062	Federal Communications Commission (FCC)	IL SBDC 2023	$40,737
AWD104076	Department of Health and Human Services	Suicide Prevention Project ECHO	$174,929
AWD104099	Illinois Department of Public Health	Complex Pediatric Asthma ECHO Building Community-Renewal	$50,000
AWD104108	Illinois Department of Human Services	Medical Director of ICRE 2023-2024	$34,400
AWD104163	State of Illinois/Board of Higher Education	IBHE DFI 2023-24	$32,500
AWD104231	Illinois Arts Council	UCP General Operating Support AY24	$17,300
AWD104235	Corporation for National and Community Service	AmeriCorps C4P Yr5 NCE - Continuance	$108,856
AWD104325	Illinois Department of Public Health	Region 8 HIV Prevention Services	$47,278
AWD104416	Illinois Department of Human Services	IDHS SHPA FY24	$92,434
AWD104418	Illinois State Board of Education	Survey of Learning Conditions - Renewal - Renewal Renewal-Renewal	$104,639
AWD104445	Health Resources and Services Administration	Illinois Administrative Perinatal Center Grant 2024-25 Renewal	$695,362
AWD104456	Illinois Department of Public Health	Suicide Prevention Project ECHO	$1,500,000
AWD104486	Illinois Department of Human Services	Reimagining Mental Health Supports for Migrants Re	$500,049
AWD104498	State of Illinois	B2B Arts Grant for Logan and UCP	$250,000
AWD104529	Illinois Arts Council	APL General Ops Support 2023-2024	$21,000
AWD104577	Illinois Department of Human Services	IDHS - FY24 Homelessness Prevention	$4,605,250
AWD104621	Corporation for National and Community Service	AmeriCorps C4P-Renewal-Renewal	$653,001
AWD104805	Illinois Department of Human Services	Medical Director of ICRE 2023-2024-Renewal	$68,800
AWD104995	Illinois Department of Public Health	MCH Technical Assistance, Training and	$24,159
AWD105008	Illinois Department of Human Services	RUSH/CARLA Subcontract Agreement	$14,519
AWD105153	Illinois Department of Public Health	Financial cost of asthma medications for patients	$14,242
AWD105239	Health Resources and Services Administration	The Fetal Infant Mortality Review (FIMR)	$248,500
AWD105240	Illinois Department of Public Health	Complex Pediatric Asthma ECHO. Building Community Renewal-Rene	$60,000
AWD105254	State of Illinois/Department of Commerce and Economic Opportunity	Illinois Economic Empowerment Centers Program	$46,550
AWD105278	Illinois Department of Human Services	Medical Director of ICRE 2024-2025	$102,738
AWD105300	Illinois Department of Public Health	RESCUE Illinois Schools Evaluation Project	$90,771
AWD105342	Department of Health and Human Services	FY25-27 - MPEEC -Renewal	$1
AWD105351	Illinois Department of Public Health	Fight Asthma Now©	$5,000
AWD105370	State of Illinois/Board of Higher Education	IBHE DFI 2024-25	$18,000

STEP 8
POTENTIAL CONFLICTS OF INTEREST FOR RELATED PARTY TRANSACTIONS

NOTE: For purposes of Steps 8 and Step 9 of this Contract, Key Management Staff is defined to include the top three highest paid staff funded under this Contract and the top persons managerially responsible for the services under this Contract.

Does any Key Management Staff receive compensation or payment in any form from another organization? ☐ Yes ☒ No

If so, name the employee and the other organization, the position held, the amount of annual compensation or type of payment, and the date when the employee began receiving such compensation or payment.

☐ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 8, Part I.

Name of Staff	Other Organization	Position Held and Work Hours (Time of day/ total hours per week)	Current Annual Compensation and Date of Hire at Other Organization

Does any Key Management Staff, Officer, Board Member, owner, or majority stockholder (or members of their immediate families, i.e., spouse, father, mother, son, or daughter):

A. Hold an ownership interest in an organization that leases, subcontracts, or provides services or materials to you paid in whole or in part from funds generated by this Contract? ☐ Yes ☒ No

B. Serve as an executive officer or board member of an organization that subcontracts or provides services or materials to you paid in whole or in part from funds generated by this Contract? ☐ Yes ☒ No

C. Serve as an employee of an organization that subcontracts or provides services or materials and part of his/her job duties include performing services related to the subcontract or the provision of services or materials to the organization for which he/she is a board member? ☐ Yes ☒ No

If you answered yes to A, B, or C above, disclose the name of the individual(s), the organization(s), the nature of the lease(s), materials, services or subcontract(s).

☐ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 8, Part II.

Name of Staff, Board Member, Owner or Stockholder	Organization Leasing, Contracting, Providing Services or Materials	Nature of Lease, Services, Material or Subcontract

STEP 9
POTENTIAL CONFLICTS OF INTEREST
RELATING TO DEBARMENT & LEGAL PROCEEDINGS

(All vendors complete regardless of annual bid, offer, or contract value)

Please provide the name of the person or entity for which responses are provided:

1. Has any Key Management Staff or the Contracting Entity been debarred or suspended, or otherwise excluded or ineligible from participation in federal assistance programs or under other statutory or regulatory compliance requirements from contracting with any governmental entity? ☐ Yes ☒ No

2. Have any Key Management Staff had adverse action taken in relation to a professional license? ☐ Yes ☒ No

3. Has the Contracting Entity had any bankruptcies? ☐ Yes ☒ No

4. Has the Contracting Entity had any adverse civil judgments and administrative findings? ☐ Yes ☒ No

5. Has the Contracting Entity or any Key Management Staff had any criminal felony convictions? ☐ Yes ☒ No

If you answered "Yes", please provide a detailed explanation that includes, but is not limited to the name, entity, and position title of each individual.

☐ Check here if including an attachment with requested information in a format substantially similar to the format below; please reference Step 9.

Name	**Position**	**Organization**	**Nature of Proceedings**	**Date of Proceedings**

SIGN THE DISCLOSURE

(All vendors must complete regardless of annual bid, offer, or contract value)

This disclosure is signed, and made under penalty of perjury, by an authorized officer or employee on behalf of the bidder offer or/Vendor pursuant to Sections 50-13 and 50-35 of the Illinois Procurement Code. This disclosure information is submitted on behalf of:

Name of Disclosing Entity: The University of Chicago

Signature: [redacted] Date:

Printed Name: Aytek Oto, MD, MBA Title: Chief Physician, Dean for Clinical Affairs

Phone Number: (773) 702-5164 Email: aoto@bsd.uchicago.edu

Supplemental Budget & Expense Form for use with GATU form GOMBGATU-3002

3 Year Budget (3/12/2021)

Illinois Department of DCFS Children & Family Services

Provider Name	University of Chicago
Program Name	MPEEC
DCFS Contract Number	352451-901-5
Begin Date	7/1/2024
End Date	6/30/2027

Enter the values below from the State (DCFS) column of the Budget Narrative Summary in the GATA Budget Narrative Summary (GATA form: GAMBGATU-3002)

Budget	3 Year Grant Amount	First Year DCFS Budget 7/1/2024 6/30/2025	Second Year DCFS Budget 7/1/2025 6/30/2026	Third Year DCFS Budget 7/1/2026 6/30/2027
1. Personnel	$ 1,833,624.87	$ 611,208.29	$ 611,208.29	$ 611,208.29
2. Fringe Benefits	$ 438,236.13	$ 146,078.71	$ 146,078.71	$ 146,078.71
3. Travel	$ -	$ -	$ -	$ -
4. Equipment	$ -	$ -	$ -	$ -
5. Supplies	$ -	$ -	$ -	$ -
6. Contractual Services	$ 480,000.00	$ 160,000.00	$ 160,000.00	$ 160,000.00
7. Consultant (Professional Services)	$ -	$ -	$ -	$ -
8. Construction	$ -	$ -	$ -	$ -
9. Occupancy (Rent and Utilities)	$ -	$ -	$ -	$ -
10. Research and Development (R & D)	$ -	$ -	$ -	$ -
11. Telecommunications	$ -	$ -	$ -	$ -
12. Training and Education	$ -	$ -	$ -	$ -
13. Direct Administrative Costs	$ 342,081.00	$ 114,027.00	$ 114,027.00	$ 114,027.00
14. Other or Miscellaneous Costs	$ 60,000.00	$ 20,000.00	$ 20,000.00	$ 20,000.00
15. GRANT EXCLUSIVE LINE ITEM(S)	$ 81,765.00	$ 27,255.00	$ 27,255.00	$ 27,255.00
16. Indirect Costs	$ -			
State Request (DCFS Grant Amount)	$ 3,235,707.00	$ 1,078,569.00	$ 1,078,569.00	$ 1,078,569.00

Enter amounts below only if they are not already included in line 16 - Indirect Costs

A. Administrative Fringe Benefit costs included in line 15 above. (Direct administrative fringe benefits should not have been included in any line other than line 15.)	$ 81,765.00	$ 27,255.00	$ 27,255.00	$ 27,255.00

Fringe Benefit Cost Test [1]

Total Personnel Costs (1. + 13.)	$ 2,175,705.87
* Fringe Benefit Rate [1]	25%
Maximum Allowable Fringe Benefit Costs	$ 543,926.47
Total Fringe Benefits (2. + A.)	$ 520,001.13
Excess Fringe Benefit Costs	$ -
Excess Administrative Fringe Benefit Costs [2]	$ -

Administrative Cost Test [3]

Direct Administrative Costs (13. + 15.)	$ 423,846.00
Indirect Costs (16.)	$ -
Total Administrative Costs	$ 423,846.00
Less Excess Administrative Fringe Benefit Costs	$ -
Adjusted Administrative Costs	$ 423,846.00

State Request (DCFS Grant Amount)	$ 3,235,707.00
Less Excess Fringe Benefit Costs	$ -
Less Adjusted Administrative Costs	$ (423,846.00)
= Allowable Non-Administrative Costs	$ 2,811,861.00
Times 20%	* 0.20
= Maximum Allowable Administrative Cost	$ 562,372.20
Adjusted Administrative Costs	$ 423,846.00
Excess Administrative Costs	$ -

Summary

State Request (DCFS Grant Amount)	**$ 3,235,707.00**
Less Excess Fringe Benefit Costs	**$ -**
Less Excess Administrative Costs	**$ -**
DCFS Reimbursable Grant Amount	**$ 3,235,707.00**

Notes regarding DCFS Rule and Statute Based Reasonable Cost Tests

[1] Rule 356.50: "Fringe benefits above 25% of salaries shall not be reimbursed by the Department."

[2] Excess administrative payroll taxes and fringe benefits have already been removed in the Payroll Taxes and Fringe Benefit Test. Excess administrative payroll taxes and fringe benefits are deducted from total administrative costs to prevent twice deducting excess administrative payroll taxes and fringe benefits.

[3] State Statute: "Reimbursement of administrative costs...may not exceed 20% of the costs for other services." Rule 356.60: "Administrative costs may not exceed 20% of the costs for other services."

State of Illinois

UNIFORM GRANT BUDGET TEMPLATE

State Agency: Illinois Department of Children and Family Services

Organization Name: The University of Chicago

Notice of Funding Opportunity (NOFO) Number: 418

Data Universal Number System (DUNS) Number (enter numbers only) : [redacted]

Catalog of State Financial Assistance (CSFA) Number: [redacted]

CSFA Short Description: Permanency Enhancement/Integrated Assessment/Asses

Fiscal Year: FY25

Section A: State of Illinois Funds

REVENUES			Total Revenue
State of Illinois Grant Requested		$	1,078,569.00
Budget Expenditure Categories	**OMB Uniform Guidance Federal Awards Reference 2 CFR 200**		**Total Expenditures**
1. Personnel (Salary and Wages)	200.430	$	611,208.29
2. Fringe Benefits	200.431	$	146,078.71
3. Travel	200.474	$	
4. Equipment	200.439	$	
5. Supplies	200.94	$	
6. Contractual Services and Subawards	200.318 & 200.92	$	160,000.00
7. Consultant (Professional Service)	200.459	$	
8. Construction		$	
9. Occupancy (Rent and Utilities)	200.465	$	
10. Research and Development (R&D)	200.87	$	
11. Telecommunications		$	
12. Training and Education	200.472	$	
13. Direct Administrative Costs	200.413 (c)	$	114,027.00
14. Miscellaneous Costs		$	20,000.00
15. A. Grant Exclusive Line Item(s)		$	27,255.00
15. B. Grant Exclusive Line Item(s)			
16. Total Direct Costs (add lines 1-15)	200.413	$	1,078,569.00
17. Total Indirect Costs	200.414	$	
Rate %:			
Base:			
18. Total Costs State Grant Funds (Lines 16 and 17) **MUST EQUAL REVENUE TOTALS ABOVE**		$	1,078,569.00

Instructions found at end of document.

Organization Name: The University of Chicago NOFO Number: 418

SECTION A - Continued - Indirect Cost Rate Information

If your organization is requesting reimbursement for indirect costs on line 17 of the Budget Summary, please select one of the following options

☐ 1. Our Organization receives direct Federal funding and currently has a Negotiated Indirect Cost Rate Agreement (NICRA) with our Federal Cognizant Agency. A copy of this agreement will be provided to the State of Illinois' Indirect Cost Unit for review and documentation before reimbursement is allowed. This NICRA will be accepted by all State of Illinois agencies up to any statutory, rule-based or programmatic restrictions or limitations. NOTE: **(If this option is selected, please, provide basic Negotiated Indirect Cost Rate Agreement in area designated below.)**

Your organization may not have a Federally Negotiated Cost Rate Agreement. Therefore, in order for your organization to be reimbursed for the Indirect Costs from the State of Illinois your organization must either:

a. Negotiate an Indirect Cost Rate with the State of Illinois' Indirect Cost Unit with guidance from your State Cognizant Agency on an annual basis;
b. Elect to use the de minimis rate of 10% modified for total direct costs (MTDC) which may be used indefinitely on State of Illinois awards; or
c. Use a Restricted Rate designated by programmatic or statutory policy (see Notice of Funding Opportunity for Restricted Rate Programs).

☐ 2a. Our Organizations currently has a Negotiated Indirect Cost Rate Agreement (NICRA) with the State of Illinois that will be accepted by all State of Illinois agencies up to any statutory, rule-based or programmatic restrictions or limitations. Our Organization is required to submit a new Indirect Cost Rate Proposal to the Indirect Cost Unit within 6 months after the close of each fiscal year [2 CFR 200, Appendix IV(C)(2)(c)]. **NOTE: (If this option is selected, please provide basic Indirect Cost Rate information in area designated below.)**

☐ 2b. Our Organization currently does not have a Negotiated Indirect Cost Rate Agreement (NICRA) with the State of Illinois. Our organization will submit our initial Indirect Cost Rate Proposal (ICRP) immediately after our Organization is advised that the State award will be made no later than three (3) months after the effective date of the State award [2 CFR 200 Appendix (C)(2)(b)]. The initial ICRP will be sent to the State of Illinois Indirect Cost unit. **Note: (Check with you State of Illinois Agency for information regarding reimbursement of indirect costs while your proposal is being negotiated.)**

☐ 3. Our Organization has never received a Negotiated Indirect Cost Rate Agreement from either the Federal government or the State or Illinois and elects to charge the de minimis rate of 10% modified total direct cost (MTDC) which may be used indefinitely on State of Illinois awards [2 CFR 200.414 (C)(4)(f) and 200.68.] **[Note: Your Organization must be eligible, see 2 CFR 200.414 (f), and submit documentation on the calculation of MTDC within your Budget Narrative under Indirect Costs.]**

☐ 4. For Restricted Rate Programs, our Organization is using a restricted indirect cost rate that:

☐ is included as a "Special Indirect Cost Rate" in the NICRA, pursuant to 2 CFR 200 Appendix IV(5); or

☐ complies with other statutory policies.

The Restricted Indirect Cost Rate is: ____ %

☒ 5. No reimbursement of Indirect Cost is being requested. (Please consult your program office regarding possible match requirements.)

Basic Negotiated Indirect Cost Rate Information (Use only if option 1 or 2(a), above is selected.)

Period Covered by NICRA: From: ____ To: ____ Approving Federal or State Agency: ____

Indirect Cost Rate: ____ % The Distribution Base Is: ____

State of Illinois
UNIFORM GRANT BUDGET TEMPLATE

Organization Name: The University of Chicago NOFO Number: 418

Section B: Non-State of Illinois Funds Fiscal Year: FY25

REVENUES			Total Revenue
Grantee Match Requirement %:	(Agency to Populate)		
b) Cash		$	
c) Non-Cash		$	
d) other Funding and Contributions		$	
Total Non-State Funds (lined b through d)		$	

Budget Expenditure Categories	**OMB Uniform Guidance Federal Awards Reference 2 CFR 200**		**Total Expenditures**
1. Personnel (Salaries and Wages)	200.430	$	
2. Fringe Benefits	200.431	$	
3. Travel	200.474	$	
4. Equipment	200.439	$	
5. Supplies	200.94	$	
6. Contractual Services and Subawards	200.318 & 200.92	$	
7. Consultant (Professional Services)	200.459	$	
8. Construction		$	
9. Occupancy (Rent and Utilities)	200.465	$	
10. Research and Development (R&D(	200.87	$	
11. Telecommunications		$	
12. Training and Education	200.472	$	
13. Direct Administrative Costs	200.413 (c)	$	
14. Miscellaneous Costs		$	
15. A. Grant Exclusive Line Item(s)		$	
15. B. Grant Exclusive Line Item(s)		$	
16. Total Direct Costs (add lines 1-15)	200.413	$	
17. Total indirect Costs	200.414	$	
Rate %:			
Base:			
18. Total Costs State Grant Funds (Lines 16 and 17) **MUST EQUAL REVENUE TOTALS ABOVE**		$	

State of Illinois
UNIFORM GRANT BUDGET TEMPLATE

Organization Name: The University of Chicago — NOFO Number: 418
Data Universal Number System (DUNS) Number (enter numbers only) [redacted] — Fiscal Year: FY25-27
Catalog of State Financial Assistance (CSFA) Number: [redacted] — CSFA Short Description: Permanency Enhancement/Integrated Assessment/Asses

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete and accurate and that any false, fictitious or fraudulent information or the omission of any material fact could result in the immediate termination of my grant award(s).

Chief Financial Officer	Executive Director
The University of Chicago	The University of Chicago
Institution/Organization Name:	Institution/Organization Name:
Chief Physician, Dean for Clinical Affairs	Chief Physician, Dean for Clinical Affairs
Title (Chief Financial Officer or equivalent):	Title (Executive Director or equivalent):
Aytekin Oto, MD	Aytekin Oto, MD
Printed Name (Chief Financial Officer or equivalent):	Printed Name (Executive Director or equivalent):
[redacted]	[redacted]
Signature (Chief Financial Officer or equivalent):	Signature (Executive Director or equivalent):
5/28/2024	5/28/2024
Date of Execution (Chief Financial Officer):	Date of Execution (Executive Director):

Note: The State Awarding Agency may change required signers based on the grantee's organizational structure. The required signers must have the authority to enter onto contractual agreements on the behalf of the organization.

State of Illinois
UNIFORM GRANT BUDGET TEMPLATE

FFATA Data Collection Form (if needed by agency)

Under FFATA, all sub-recipients who receive $30,000 or more must provide the following information for federal reporting. Please fill out the following form accurately and completely.

4-digit extension if applicable:

Sub-recipient DUNS: [redacted] Sub-recipient Parent Company DUNS:

Sub-recipient Name: University of Chicago

Sub-recipient DBA Name:

Sub-recipient Street Address: 5801 South Ellis Avenue

City: Chicago	State: IL	Zip-Code: 60637-5418	Congressional District: IL-001

Sub-recipient Principal Place of Performance:

City:	State:	Zip-Code:	Congressional District:
Contract Number (if known): 3924519015	Award Amount: $1,078,569.00	Project Period: From: Jul 1, 2024	Project Period: To: Jun 30, 2027

State of Illinois Awarding Agency and Project Detail Description:

Under certain circumstances, sub-recipient must provide names and total compensation of its top 5 highly compensated officials. Please answer the following questions and follow the instructions.

Q1. In your business or organization's previous fiscal year, did your business or organization (including parent organization, all branches and affiliates worldwide) receive (1) 80% or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants and/or cooperative agreements and (2) $25,000,000 or more in annual gross revenue from U.S. federal contracts, subcontracts, loans, grants, subgrants and/or cooperative agreements?

Yes ☐ If Yes, must answer Q2 below. No ☒ If No, you are not required to provide data.

Q2. Does the public have access to information about the compensation of the senior executives in your business or organization (including parent organization, all branches and all affiliates worldwide) through periodic reports filed under section 13(a) or 15(d) of the Security Exchange Act of 1934 (5 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue code of 1986 (i.e., on IRS Form 990)?

Yes ☒ No ☐ If No, you must provide the data. Please fill out the rest of this form.

Please provide names and total compensation of the top five officials:

Name:	Amount:
Name:	Amount:
Name:	Amount:
Name:	Amount:
Name:	Amount:

1). Personnel (Salaries and Wages) *(2 CFR 200.430)*

List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project and length of time working on the project . Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization. Include a description of the responsibilities and duties of each position in relationship to fulfilling the project goals and objectives in the narrative space provided below. Also, provide a justification and description of each position (including vacant positions). Relate each position specifically to program objectives. Personnel cannot exceed 100% of their time on all active projects.

Name	Position	Salary or Wage	Basis (Yr./Mo./Hr.)	% of Time	Length of Time	Personnel Cost	Add/Delete Row
Jill Glick, MD	Medical Director Child Abuse Pediatrician, PI	$221,900.00	Yearly	85 %	1	$188,615.00	Add Delete
Veena Ramaiah, MD	Child Abuse Pediatrician	$221,900.00	Yearly	63.047 %	1	$139,901.29	Add Delete
Kristen Bilka, PA-C	Physician Associate	$162,049.00	Yearly	100 %	1	$162,049.00	Add Delete
Jen Stewart, LCSW	Investigations Coord & Educator	$87,498.00	Yearly	100 %	1	$87,498.00	Add Delete
Kimberly Schwartz, MD	Child Abuse Pediatrician	$88,580.00	Yearly	25 %	1	$22,145.00	Add Delete
Lindsay Forrey, LCSW	Clinical Director	$110,000.00	Yearly	10 %	1	$11,000.00	Add Delete
					State Total	$611,208.29	
				%			Add Delete
					NON-State Total		
					Total Personnel	$611,208.29	

Personnel Narrative (State):
The MPEEC program continues to compensate all employees above the DCFS defined minimum salaries for FY25-27 and remains compliant per DCFS guidelines.
1. Program management;
2. Child Abuse Pediatric clinical efforts: mandatory MPEEC case consultation, expert medical consultation and support of comprehensive clinical efforts at medical center sites;
3. Case management and coordination: intake, inter-agency case coordination, data collection, case based clinical education, archival of clinical data, and case date analysis;
4. Training and education for DCFS, law enforcement, medical, social workers, and state's attorneys;
5. Leadership initiatives: both collaborative MPEEC site programmatic and interagency leadership efforts.

1). Personnel (Salaries and Wages) *(2 CFR 200.430)*

MPEEC hospitals are recognized Centers of Excellence and maintain medically directed interdisciplinary teams that ensure recognition. evaluation and treatment of all children with concerns for abuse, which includes children who meet MPEEC mandate case criteria. Each MPEEC hospital maintains policies and procedures to ensure identification of suspected child abuse and provides comprehensive assessments directed by child abuse pediatricians offering forensic assessment and rendering of comprehensive medical written opinions that clearly articulate a final diagnosis named consensus reports. Each hospital has a robust clinical. educational, scholarly and advocacy mission. This year Rush University Children's Hospital, Loyola Medical Center and Advocate Healthcare (Advocate Christ Hospital and Advocate Lutheran General), are continuing as part of the MPEEC program.

The University of Chicago is the main site that provides the financial, clinical and operational management. At the University of Chicago resides the MPEEC Medical Director, the MPEEC Clinical Coordinator(s), and Program Manager. The collective responsibilities include contract and budget management, compliance with required responsibilities; centralized intake and case coordination, management of all facets of the quarterly trainings given by the child medical experts on "Medical Aspects of Child Maltreatment", archival of clinical records consultations and clinical and operational data, quality improvement monitoring, survey administration and analysis. The University of Chicago also provides the real time inter-agency coordination for the MPEEC mandated off-site clients those who are not treated at MPEEC hospitals, and the MPEEC expert consultations to the state for all DCFS allegations.

Section A.

1. Personnel Narrative (Salary and Wages)   Total: $611,209

Position and Title Name Annual Salary Percent effort Amount Requested;

Medical Director and Child Abuse Pediatrician Consultant, PI Jill Glick, MD $221,900 85% effort @ $188,615. Compensated at the current NIH salary cap.

Child Abuse Pediatrician, Veena Ramaiah, MD $221,900 63.05% effort @ $139,901. Compensated at the current NIH salary cap.

Child Abuse Pediatrician, Kimberly Schwartz (.5 FTE), MD, 25% @ $88,580 % effort @ $22,145.

Physician Associate and Child Maltreatment Medical Consultant Kristen Bilka, PA-C $162,049 100% effort @ $162,049.

Clinical Director Lindsay Forrey, LCSW, $110,000 10% effort @ $11,000

MPEEC Investigations Coordinator and Educator Jen Stewart, LCSW $87,498 100% effort @ $87,498.

Budget Justification Summary for Clinicians

The University of Chicago provides 24-hour comprehensive interdisciplinary response to child maltreatment. The MPEEC Program Plan states there will be 200 clients who receive services (mandated cases and second opinion). MPEEC Personnel in this section provide varying levels of administrative. clinical and education efforts as put forth in the MPEEC program plan. The University of Chicago is the primary site for administrative and program management which Dr. Glick is the Program Manager; Ms. Kristen Bilka PA-C has has been the primary clinical coordinator for all of the MPEEC mandate off-site cases and second opinions. and she also provides both MPEEC expert consultation under the direct supervision of Dr. Glick for MPEEC mandate. expert cases and on-site clinical cases; Ms. Forrey acts as an MPEEC overall clinical program director. Dr.'s Ramaiah and Schwartz provide clinical service to both MPEEC and CAP clients at the University of Chicago. Ms. Jen Stewart is the coordinator and educator for on-site mandate cases, non mandate cases on-site, intake for all inquiries from DCFS for CAPS and MPEEC cases. and aids in the inter-agency communication, education and program implementation.

Jill Glick, MD
Medical Director, the University of Chicago Comer Children's Child Advocacy and Protective Services
Medical Director, MPEEC Program
Child Abuse Pediatrician

Dr. Glick's effort is 85% of the current NIH cap and this level of effort is commensurate to the current actual demands of the MPEEC program and her role as Medical Director.

Clinical responsibilities for include 24-hour consultation for both the MPEEC and CAPS Programs; clinical responsibilities directing the interdisciplinary response. examination of patients, obtaining histories, review of studies and imaging and prior medical records, photo documentation of cutaneous findings, collaboration with DCFS and law enforcement, drafts comprehensive medical opinions, and provides testimony for court, attendance and direction of weekly interdisciplinary rounds reviewing all CAP and MPEEC cases/clients. In the capacity as a MPEEC MD she is on service 12 months a year performing the majority of the off site and expert consultations known as MPEEC second opinions and In her capacity as Medical Director of the MPEEC program she is responsible for the program's success in meeting the objectives set, efforts will include oversight and involvement with contract negotiations, budgetary decisions, subcontractor management. data collection. generation of reports, program plan development, site visits and formalization of the inter-agency leadership process, supervision of MPEEC staff and quality review of all MPEEC consultations.

Veena Ramaiah, MD Child Abuse Pediatrician.

Dr. Ramaiah's effort is 63.05% of the current NIH cap and is commensurate to the current actual demands of the MPEEC program and her role as a Child Abuse Pediatrician.

Dr. Ramaiah is a board certified child abuse pediatrician whose time commitment is dedicated to full time clinical efforts. She provides first call inpatient consultation for 6 months for the hospital center and provides follow up services for all of her patients, including court testimony in all three court systems. Comer has the most on-site MPEEC cases in additional to our non MPEEC child abuse consultations with the great need for full time CAP clinicians. Dr. Ramaiah also on top of being a full time clinician, In her capacity as a prior member of the section of Pediatric Emergency Medicine has develop the protocols, policies, and in-services for the trauma team and emergency room staff on identification and evaluation of suspected child abuse. Our referrals to the ER have doubled since the University of Chicago became the primary site for the management and clinical care for MPEEC. She also provides quality assurance by review of patients evaluated in our ER for suspected child abuse and in her capacity as an attending physician in the ER provides direct care to children with signs and symptoms of child maltreatment- she is our resident expert on the evaluation of child sexual abuse. As a MPEEC provider she will participate in the inter-agency real time investigations and draft MPEEC consensus reports for all of her patients. She participates in the quarterly DCFS trainings on "Medical Aspects of Child Maltreatment". and her focus is on education directed to serious harms such as fractures and cutaneous lesions and she developed a photo documentation lecture.

Kimberly Schwartz, MD, MPH (Child Abuse Pediatrician).

Dr. Schwartz is a brand new Child Abuse Pediatrician at the University of Chicago, Department of Pediatrics, and is currently a .5FTE and her effort is 25% on this contract. Dr. Schwartz brings 23 years of experience working in Child Abuse Pediatrics and foster care. She previously practiced in Miami, Chicago, Worcester, and Boston and she additionally has a Masters in Public Health. She is particularly interested in multi-disciplinary education and communication around cases where there is a concern for child maltreatment. Dr. Schwartz is an excellent addition to the MPEEC team and directly contributes to the MPEEC consult process.

Kristen Bilka PA-C, MMS, Masters of Science in Bioinformatics.

Ms. Bilka is one of the few Physician Associates trained in child abuse on a national landscape. She is Sane-P certified in child sexual abuse response, and she has significant experience with MPEEC as she was the coordinator in 2003-2006 prior to her returning to school to obtain her Masters of Medical Science as a Physician Associate. She has been actively involved in clinical work on-site by providing consultation at Advocate Lutheran General and now with Dr. Glick at the University of Chicago for consultations and aiding in the coordination of MPEEC off-site and second opinion cases.

Ms. Bilka has been the MPEEC clinical educator and coordinator for the entire MPEEC program; which is a full time effort- being directed by the MPEEC Medical Director and with the Director has developed the protocol and tools to ensure real time inter-agency investigation coordination. In Fiscal FY25-27 due to the great demand for medical expertise, Ms. Bilka will be committing her efforts full time to expert medical consultation and case coordination. Ms. Bilka provides consultation for off-site mandate and opinion cases under the direct supervision of the MPEEC Medical Director, and provides inpatient consultation on an as needed basis.

Lindsay Forrey, LCSW CAPS Clinical Director.

Ms. Forrey's position at the University of Chicago includes program management, policy and procedure development and implementation, case intake and coordination for all of the CAPs consultations (annually around 400 comprehensive consultations) which includes mandated on-site cases: she is identified by DCFS as the key contact person for case information, medical record access and education in addition to her ongoing case coordination role between treating team, CAP medical expert, DCFS and law enforcement. She will provide back up and support to Ms. Stewart with MPEEC coordination of off-site cases and MPEEC expert consultations and in addition she has developed trainings for DCFS on MPEEC process and child abuse investigations. Salary allocation 10%.

Jen Stewart, LCSW MPEEC Clinical Coordinator and Educator.

Clinical coordination for the MPEEC program has increased in terms of quantity and demands with the addition of the four MPEEC hospitals. The MPEEC coordinator serves to promote, coordinate and facilitate the efforts of the Multidisciplinary Pediatric Education and Evaluation Consortium. The MPEEC team has developed policies and procedures for the identification of children with suspected child maltreatment and provides over 150-200 consultations per year. The core of the program's success lies in the collaboration between the medical providers, the Social Work Department, DCFS, the State's Attorney, police and families. The MPEEC coordinator facilitates and fosters these relationships and initiatives to gather comprehensive data and provide appropriate care. The MPEEC clinical coordinator requires in-depth knowledge and experience of the Illinois child welfare system and uses best practices and knowledge of internal or external University issues to improve products or services. This position involves complex problems and takes a new perspective using existing solutions. The MPEEC coordinator works independently and receives minimal guidance while coordinating with the all MPEEC outside hospitals. Salary allocation 100%.

Personnel Narrative (Non-State): (i.e. "Match" or "Other Funding")

2). Fringe Benefits *(2 CFR 200.431)*

Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in category (1) direct salaries and wages, and only for the percentage of time devoted to the project. Provide the fringe benefit rate used and a clear description of how the computation of fringe benefits was done. Provide both the annual (for multiyear awards) and total. If a fringe benefit rate is not used, show how the fringe benefits were computed for each position. The budget justification should be reflected in the budget description. Elements that comprise fringe benefits should be indicated.

Name	Position(s)	Base	Rate (%)	Fringe Benefit Cost	Add/Delete Rows
Jill Glick, MD	Medical Director, Child Abuse Pediatrician, PI	$188,615.00	23.9 %	$45,078.99	Add Delete
Veena Ramaiah, MD	Child Abuse Pediatrician	$139,901.00	23.9 %	$33,436.34	Add Delete
Kristen Bilka, PA-C	Physician Associate, Program Coordinator	$162,049.00	23.9 %	$38,729.71	Add Delete
Jen Stewart, LCSW	Clinical Coord. and Educator	$87,498.00	23.9 %	$20,912.02	Add Delete
Kimberly Schwartz, MD	Child Abuse Pediatrician	$22,145.00	23.9 %	$5,292.65	Add Delete
Lindsay Forrey, LCSW	Clinical Director	$11,000.00	23.9 %	$2,629.00	Add Delete
			State Total	$146,078.71	
			%		Add Delete
			Non-State Total		
			Total Fringe Benefits	$146,078.71	

Fringe Benefits Narrative (State):
2. Fringe Benefits Total: $146,078 (23.9%)

Position and Title Name Base Rate Fringe Cost

Medical Director and Child Abuse Pediatrician Consultant, PI Jill Glick, MD $188,615 23.9% @ $45,078.

Child Abuse Pediatrician, Veena Ramaiah, MD $139,901 23.9% @ $33,436.

2). Fringe Benefits *(2 CFR 200.431)*

Child Abuse Pediatrician, Kimberly Schwartz, MD $22,145 23.9% @ $5,292

MPEEC Physician Associate Program Coordinator and Child Maltreatment Medical Consultant, Kristen Bilka, PA-C $162,049 23.9% @ $38,729.

MPEEC Clinical Director, Lindsay Forrey, LCSW $11,000 23.9% @ $2,629

MPEEC Clinical Coordinator and Educator, Jen Stewart $87,498 23.9% @ $20,912

Fringe Benefits Narrative (Non-State): (i.e. "Match" or "Other Funding")

3). Travel *(2 CFR 200.474)*

Travel should include: origin and destination, estimated costs and type of transportation, number of travelers, related lodging and per diem costs, brief description of the travel involved, its purpose, and explanation of how the proposed travel is necessary for successful completion of the project. In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit cost involved. Identify the location of travel, if known; or if unknown, indicate "location to be determined." Indicate source of Travel Policies applied, Applicant or State of Illinois Travel Regulations. NOTE: Dollars requested in the travel category should be for staff travel only. Travel for consultants should be shown in the consultant category along with the consultant's fee. Travel for training participants, advisory committees, review panels and etc., should be itemized the same way as indicated above and placed in the "Miscellaneous" category.

Purpose of Travel/Items	Location	Cost Rate	Basis	Quantity	Number of Trips	Travel Cost	Add/Delete Row
							Add Delete
					State Total		
							Add Delete
					NON-State Total		
					Total Travel		

Travel Narrative (State):
Travel Narrative (Non-State): (i.e..e "Match" of "Other Funding)

4). Equipment *(2 CFR 200.439)*

Provide justification for the use of each item and relate them to specific program objectives. Provide both the annual (for multiyear awards) and total for equipment. Equipment is defined as an article of tangible personal property that has a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or $5,000. An applicant organization may classify equipment at a lower dollar value but cannot classify it higher than $5,000. (Note: Organization's own capitalization policy for classification of equipment can be used). Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Quantity	Cost Per Item	Equipment Cost	Add/Delete Rows
				Add Delete
		State Total		
				Add Delete
		Non-State Total		
		Total Equipment		

Equipment Narrative (State):

Equipment Narrative (Non-State): (i.e. "Match" or "Other Funding")

5). Supplies *(2 CFR 200.94)*

List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Item	Quantity/Duration	Cost Per Item	Supplies Cost	Add/Delete Rows
				Add Delete
		State Total		
				Add Delete
		Non-State Total		
		Total Supplies		

Supplies Narrative (State):

Supplies Narrative (Non-State): (i.e. "Match" or "Other Funding")

6). Contractual Services *(2 CFR 200.318)* **& Subawards** *(200.92)*

Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole contracts in excess of $150,000 (See 2 CFR 200.88). NOTE : this budget category may include **subawards.** Provide separate budgets for each subaward or contract, regardless of the dollar value and indicate the basis for the cost estimates in the narrative. Describe products or services to be obtained and indicate the applicability or necessity of each to the project.

Please also note the differences between subaward, contract, and contractor (vendor):

1) Subaward (200.92) means an award provided by a pass-through entity to a sub-recipient for the sub-recipient to carry out part of a Federal/State award, including a portion of the scope of work or objectives. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal/State program.
2) Contract (200.22) means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this part does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward.
3) "Vendor" or "Contractor" is generally a dealer, distributor or other seller that provides supplies, expendable materials, or data processing services in support of the project activities.

Item	Contractual Services Cost	Add/Delete Rows
Rush University Medical Center	$35,000.00	Add Delete
Advocate Hospital and Health System	$80.000.00	Add Delete
Loyola University Medical Center	$45,000.00	Add Delete
State Total	$160,000.00	
		Add Delete
Non-State Total		
Total Contractual Services	$160,000.00	

Contractual Services Narrative (State):
6. Contractual Services and Subawards Total: 160,000

This year we will continue the MPEEC medical membership with Rush University Medical Center, Loyola University Medical Center and Advocate Hospital and Health System which includes both Advocate Christ Hospital and Advocate Lutheran General. The funding to contractual partners supports clinical, educational and administrative efforts for the MPEEC program. The funding also augments support to the hospital's medically directed interdisciplinary team in their efforts to identify and

6). Contractual Services *(2 CFR 200.318)* **& Subawards** *(200.92)*

evaluate children with suspected child abuse which to their hospital.

The responsibilities of each hospital includes the following:

1. Provide expert consultation to children treated at their respective hospital that meet MPEEC criteria- ensure that children less than 36 months of age who are reported for head, skeletal trauma or internal injuries and are Chicago residents receive an interagency response that culminates in a child abuse consultation that address the manner of injury follow MPEEC guidelines and procedures;
2. Participate in monthly leadership meetings;
3. Participate in quarterly interagency meeting;
4. Continue current clinical and educational services directed to identify, evaluate and consult on children with concerns for child maltreatment as per hospital policy;
5. Be compliant with necessary administrative efforts as per the requirements of the sub awards which includes documentation and data for quarterly reports and;
6. Ensure a system for communication and access for DCFS by ensuring an intake phone number and staffing that facilitates communication between child welfare and medical providers which also includes aiding in access to medical records, contact with the child protection team and facilitate interagency communication.

Each hospital's program is different depending on the needs of the community and resources accessible for support. After assessment of each program the qualification to be a MPEEC medical member includes having a child abuse pediatrician; a system for identification, referral and consultation for suspected child abuse: hospital policies or protocols for the identification of suspected child abuse; system for data collection, ongoing continuing education and maintenance of certification and compliance with continuing education and lastly ongoing experience with MPEEC administration to assess each site's prior performance.
Allocation of funding to each site was determined by the following metrics: patient volume, level of interdisciplinary team as rated by national standards (Children's Hospital Association), and percent effort of the CAP MD(s) or medical equivalents. Lastly the sites have been formally informed of the responsibilities and that funding can only be directed towards salary support to meet MPEEC responsibilities and not for hardware. materials etc.

The following is the allocation plan for each site: Rush $35,000 Loyola $45,000 Advocate $80,000. These amounts remain consistent with FY24.

Contractual Services Narrative (Non-State): (i.e. "Match" or "Other Funding")

7). Consultant Services and Expenses *(2 CFR 200.459)*

Consultant Services (Fees): For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project.
Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.) Consultant--Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisitions Policy is used.

Consultant Services (Fees)	Services Provided	Fee	Basis	Quantity	Consultant Services (Fee) Cost	Add/Delete Row
						Add Delete
				State Total		
						Add Delete
				NON-State Total		
				Total Consultant Services (Fees)		

Consultant Services Narrative (State):

Consultant Services Narrative (Non-State):

Consultant Expenses - Items	Location	Cost Rate	Basis	Quantity	Number of Trips	Consultant Expenses Cost	Add/Delete Row
							Add Delete
					State Total		
							Add Delete
					NON-State Total		
					Total Consultant Expenses		

Consultant Expenses Narrative (State):

Consultant Expenses Narrative (Non-State): (i.e. "Match" or "Other Funding")

8). Construction

Provide a description of the construction project and an estimate of the costs. As a rule, construction costs are not allowable unless with prior written approval. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category. Estimated construction costs must be supported by documentation including drawings and estimates, formal bids, etc. As with all other costs, follow the specific requirements of the program, the terms and conditions of the award, and applicable regulations.

Purpose	Description of Work	Construction Cost	Add/Delete Rows
			Add Delete
	State Total		
			Add Delete
	Non-State Total		
	Total Construction		

Construction Narrative (State):

Construction Narrative (Non-State): (i.e. "Match" or "Other Funding")

9). Occupancy - Rent and Utilities *(2 CFR 200.465)*

List items and descriptions by major type and the basis of the computation. Explain how rental and utility expenses are allocated for distribution as an expense to the program/service. For example, provide the square footage and the cost per square foot rent and utility, and provide a monthly rental and utility cost and how many months to rent. **NOTE**: This budgetary line item is to be used for direct program rent and utilities, all other indirect or administrative occupancy costs should be listed in the indirect expense section of the Budget worksheet and narrative. Maintenance and repair costs may be included here if directly allocated to program.

Description	Quantity	Basis	Cost	Length of Time	Occupancy Cost	Add/Delete Row
						Add Delete
				State Total		
						Add Delete
				NON-State Total		
				Total Occupancy - Rent and Utilities		

Occupancy - Rent and Utilities Narrative (State):
Occupancy - Rent and Utilities Narrative (Non-State): (i.e. "Match" or "Other Funding")

10). Research & Development (R&D) *(2 CFR 200.87)*

Definition: All research activities, both basic and applied, and all development activities that are performed by non-Federal entities directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes. Provide a description of the research and development project and an estimate of the costs. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Research and Development Cost	Add/Delete Rows
			Add Delete
	State Total		
			Add Delete
	Non-State Total		
	Total Research and Development		

Research and Development Narrative (State):

Research and Development Narrative (Non-State): (i.e. "Match" or "Other Funding")

11). Telecommunications

List items and descriptions by major type and the basis of the computation. Explain how telecommunication expenses are allocated for distribution as an expense to the program/service. NOTE: This budgetary line item is to be used for direct program telecommunications, all other indirect or administrative telecommunication costs should be listed in the indirect expense section of the Budget worksheet and narrative.

Description	Quantity	Basis	Cost	Length of Time	Telecommunications Cost	Add/Delete Row
						Add Delete
				State Total		
						Add Delete
				NON-State Total		
				Total Telecommunications		

Telecommunications Narrative (State):

Telecommunications Narrative (Non-State): (i.e. "Match" or "Other Funding")

12). Training and Education *(2 CFR 200.472)*

Describe the training and education cost associated with employee development. Include rental space for training (if required), training materials, speaker fees, substitute teacher fees, and any other applicable expenses related to the training. When training materials (pamphlets, notebooks, videos, and other various handouts) are ordered for specific training activities, these items should be itemized below.

Description	Quantity	Basis	Cost	Length of Time	Training and Education Cost	Add/Delete Row
						Add Delete
				State Total		
						Add Delete
				NON-State Total		
				Total Training and Education		

Training and Education Narrative (State):

Training and Education Narrative (Non-State): (i.e. "Match" or "Other Funding")

13). Direct Administrative Costs *(2 CFR 200.413 (c))*

The salaries of administrative and clerical staff should normally be treated as indirect (F&A) costs. Direct charging of these costs may be appropriate only if all of the following conditions are met: (1) Administrative or clerical services are integral to a project or activity; (2) Individuals involved can be specifically identified with the project or activity; (3) Such costs are explicitly included in the budget or have the prior written approval of the State awarding agency; and (4) The costs are not also recovered as indirect costs.

Name	Position	Salary or Wage	Basis (Yr./Mo./Hr.)	% of Time	Length of Time	Direct Administrative Cost	Add/Delete Row
Dawn David, MHA	Program Manager	$98,670.00	Yearly	100 %	1	$98,670.00	Add Delete
TBA	Administrative Assistant	$75,000.00	Yearly	20.476 %	1	$15,357.00	Add Delete
					State Total	$114,027.00	
				%			Add Delete
					NON-State Total		
					Total Direct Administrative Costs	$114,027.00	

Direct Administrative Costs Narrative (State):
13. Direct Administrative Costs $98,670

Dawn David, MHA, MPEEC Program Manager Salary $98,670 @ 100% salary support.

Managing a program of this magnitude requires someone with significant knowledge in numerous domains; medical/healthcare, academic systems and state grant/contract management. We were fortunate to hire Ms. David in May of 2020 to become the Program Manager for the MPEEC program.

TBA, MPEEC Administrative Assistant salary $75,000 @ 20.476% salary support.

The MPEEC Administrative Assistant is instrumental in coordinating the quarterly trainings including, oversight of curriculum development, registration, facility needs including coordinating with security, parking and food vendors, and development of a real time survey and replete with analysis and drafting a summary of our efforts. They are also is responsible for archival of CANTS forms, organization of the MPEEC offsite ledger and updates, court effort monitoring, development and analysis of the partner survey and lastly yearly organization of the documentation needed for the annual site visit. 20.476% of percent time has been allocated for this position.

Direct Administrative Costs Narrative (Non-State): (i.e. "Match" or "Other Funding")

14). Other or Miscellaneous Costs

This category contains items not included in the previous categories. List items by type of material or nature of expense, break down costs by quantity and cost per unit if applicable, state the necessity of other costs for successful completion of the project and exclude unallowable costs (e.g.. Printing, Memberships & subscriptions, recruiting costs, etc.)

Description	Quantity	Basis	Cost	Length of Time	Other or Miscellaneous Cost	Add/Delete Row
URA Administration	1		$20,000.00	1	$20,000.00	Add Delete
				State Total	$20,000.00	
						Add Delete
				NON-State Total		
				Total Other or Miscellaneous Costs	$20.000.00	

Other or Miscellaneous Costs Narrative (State):
The University Research Administration agreed to purchasing services for the managing of the GATA reporting requirements for a fee of $ 20.000. This would include establishing and maintaining an account booking income and expenses; invoices to the State, and compliance with GATA reporting requirements There are NO indirect costs being recovered in this contract.

Other or Miscellaneous Costs Narrative (Non-State): (i.e. "Match" or "Other Funding")

15). GRANT EXCLUSIVE LINE ITEM

Grant Exclusive Line Item Description:

Costs directly related to the service or activity of the program that is an integral line item for budgetary purposes. To use this budgetary line item, an applicant must have Program approval. (Please cite reference per statute for unique costs directly related to the service or activity of the program). (Note: Use columns within table as needed for the item being reported. Leave blank those columns that are not applicable. This table does NOT auto-calculate each line. You must enter the line totals. The table will auto-calculate the State, Non-State, and Total Grant Exclusive Line Item amounts based on your line entries. The State, Non-State and Total Grant Exclusive Line Item amounts will NOT carry forward to the Budget Narrative Summary table. You will have to enter the State and Non-State Totals for ALL Grant Exclusive Line Items in the Budget Narrative Summary table. Use the "Add New Grant Exclusive Line Item" button below to add additional tables as needed.)

Description	Quantity	Basis	Cost	Length of Time	Grant Exclusive Line Item Cost	Add/Delete Row
Dawn David, MHA	1	Fringe Benefits	$23,585.00	1	$23,585.00	Add Delete
TBA, Administrative Assistant	1	Fringe Benefits	$3,670.00	1	$3,670.00	Add Delete
				State Total	$27,255.00	
						Add Delete
				NON-State Total		
				Total Grant Exclusive Line Item	$27,255.00	

Grant Exclusive Line Item Narrative (State):
15. Grant Exclusive Line Item $ 27,252

These costs include the fringe benefits at the University rate of 23.9% for the salaries listed under the direct administrative costs.

Grant Exclusive Line Item Narrative (Non-State): (i.e. "Match" or "Other Funding")

Add New Grant Exclusive Line Item	Delete Grant Exclusive Line Item

16). Indirect Cost *(2 CFR 200.414)*

Provide the most recent indirect cost rate agreement information with the itemized budget. The applicable indirect cost rate(s) negotiated by the organization with the cognizant negotiating agency must be used in computing indirect costs (F&A) for a program budget. The amount for indirect costs should be calculated by applying the current negotiated indirect cost rate(s) to the approved base(s). After the amount of indirect costs is determined for the program, a breakdown of the indirect costs should be provided in the budget worksheet and narrative below.

Description	Base	Rate	Indirect Cost	Add/Delete Rows
				Add Delete
		State Total		
				Add Delete
		Non-State Total		
		Total Indirect Costs		

Indirect Costs Narrative (State):

Indirect Costs Narrative (Non-State):

Budget Narrative Summary--When you have completed the budget worksheet, transfer the totals for each category to the spaces below to the uniform template provided (SECTION A & B). Verify the total costs and the total project costs. Indicate the amount of State requested funds and the amount of non-State funds that will support the project.. (Note: The State, Non-State, and Total cost amounts for each line item below are auto-filled based upon the entries in the preceding budget tables 1-14 and 16. The State and Non-State Total amounts from Table 15 above, Grant Exclusive Line Item(s), must be entered into this table by hand due to the possibility of there being more than one Grant Exclusive Line Item table. Once the Grant Exclusive Line Item(s) amounts are entered into this table, the State Request amount, Non-State Amount and the Total Project Costs will be calculated automatically. It is imperative that the summary tables be completed accurately for the Budget Narrative Summary to be accurate.)

Budget Category	State	Non-State	Total
1. Personnel	$611,208.29		$611,208.29
2. Fringe Benefits	$146,078.71		$146,078.71
3. Travel			
4. Equipment			
5. Supplies			
6. Contractual Services	$160,000.00		$160,000.00
7. Consultant (Professional Services)			
8. Construction			
9. Occupancy (Rent and Utilities)			
10. Research and Development (R & D)			
11. Telecommunications			
12. Training and Education			
13. Direct Administrative Costs	$114,027.00		$114,027.00
14. Other or Miscellaneous Costs	$20,000.00		$20,000.00
15. GRANT EXCLUSIVE LINE ITEM(S)	$27,255.00		$27,255.00
16. Indirect Costs			
State Request	$1,078,569.00		
Non-State Amount			
TOTAL PROJECT COSTS			$1,078,569.00

State of Illinois
UNIFORM GRANT BUDGET TEMPLATE

For State Use Only

Grantee: The University of Chicago

Notice of Funding Opportunity (NOFO) Number: 418

Data Universal Number System (DUNS) Number (enter numbers only) [redacted]

Catalog of State Financial Assistance (CSFA) Number: [redacted]

CSFA Short Description: Permanency Enhancement/Integrated Assessment/Asses

Fiscal Year(s): FY25

Initial Budget Request Amount: $1,078,569.00

Prior Written Approval for Expense Line Item:

Statutory Limits or Restrictions:

Checklist:

Final Budget Amount Approved: $1,078,569.00

[redacted]

Program Approval Name | Program Approval Signature | Date

Jason Smith | [redacted] | July 23. 2024

Fiscal & Administrative Approval Name | Fiscal & Administrative Approval Signature | Date

Budget Revision Approved:

Program Approval Name | Program Approval Signature | Date

Fiscal & Administrative Approval Signature | Fiscal & Administrative Approval Signature | Date

§200.308 Revision of budget and program plans

(e) The Federal/State awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions and activities for Federal/State awards in which the Federal/State share of the project exceeds the Simplified Acquisition Threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent or $1,000 per detail line item, whichever is greater of the total budget as last approved by the Federal/State awarding agency. The Federal/State awarding agency cannot permit a transfer that would cause any Federal/State appropriation to be used for purposes other than those consistent with the appropriation.

Department of Children & Family Services
Exhibit I
CHECKLIST & INTERROGATORY for FINANCIAL and STATISTICAL REPORTING

Name of Reporting Agency: ______________________________

Reporting for the Period Ended: ______________________________

To Be Completed & Submitted by the Provider Agency WITH YOUR AUDITED FINANCIAL REPORTING PACKAGE due within 180 Days of the Provider Agency's Fiscal Year End

Interrogatory & Reporting Checklist – To Be Completed and Submitted by the Provider Agency
If your agency is required to provide an Independent Financial audit, the following Reporting Checklist must be completed and enclosed. The reporting checklist should be completed by Provider Agency staff.

Audit Engagement Letter & Peer Review	Circle Answer	
Was an Engagement Letter executed?	Yes/Enclosed	No
Public accounting firms and sole practitioners that are conducting an audit of your financial statements are required to undergo a peer review every three years. Obtain a copy of the most recent Peer Review and Auditor's letter of response, enclose these with the annual audit and cost reporting submission documents. (Please enclose the most recent letter, even if you have already submitted the same letter in prior years.)	Enclosed	

Auditor Communication		
Was an Auditor's Communication with Those Charged with Governance (AU-C Section 260) received? If yes, please enclose the communication.	Yes/Enclosed	No
Were those charged with governance notified of fraud (or that the auditors obtained information that indicated a fraud may exist) identified during the audit? (AU-C Section 240) If yes, please enclose the communication.	Yes/Enclosed	No
Were those charged with governance notified of Other Matters Related to Fraud resulting in the auditors Evaluation of Fraud Risk Factors? (AU-C Section 240). If yes, please enclose the communication.	Yes/Enclosed	No
The auditor reviewed the Provider Agency's financial policies and management/financial practices in their consideration of fraud.	Yes	No

Management Letter

Was a Management Letter received? If yes, please enclose. A Management Letter typically includes issues identified of lesser concern than issues identified in the Auditors Communication noted above.	Yes/Enclosed	No	
Did management prepare a response to the Management Letter and respective corrective action plan? If yes, please enclose.	Yes/Enclosed	No	N/A
Was a schedule of the status of prior year Management Letter issues prepared? If yes, please enclose the schedule.	Yes/Enclosed	No	

Independent Auditor's Report & Financial Statements

Circle Answer

The Independent Auditor's Report & Financial Statements are enclosed and contains: - Independent Auditor's Report (Opinion) If a Consolidated Financial Report (CFR) is completed, the independent auditor must express an "In Relation To" Opinion on the Cost and Revenue Schedules. For additional information related to the opinion, please refer to the point captioned "Instructions for the auditor – In Relation To Opinion of the Consolidated Financial Report (CFR)". If a Consolidated Year End Financial Report (CYEFR) is completed, the independent auditor may need to express an "In Relation To" Opinion. (See pages 8 and 9 for instructions)	Yes	No	
- Reports on Compliance and Internal Controls Over Financial Reporting in accordance with Government Auditing Standards (if not contained in the Single Audit)	Yes	No	N/A
- Statement of Financial Position	Yes	No	N/A
- Statement of Activities	Yes	No	N/A
- Statement of Cash Flows	Yes	No	N/A
- Statement of Functional Expenses including management and general expenses and fundraising expenses. The statement should show by functional and natural classifications the expenses for each individual program thus enabling the association of audited costs with Department funding. (A program is defined as a coherent assembly of activities and supporting resources contained within an administrative framework to implement an organization's mission or some specific related aspect of that mission. In the context of Department contracting and Provider Agency cost reporting, material differences in contract program plans are used to distinguish programs as being separate from one another. The Department will rarely issue separate contracts for the same program in the same period. One program can be, and often is, supported by more than one funding source.)	Yes	No	N/A
-Notes to the Financial Statements	Yes	No	N/A

Single Audit

	Circle Answer	
Was the total amount of Federal Funds spent from all grant sources verified by the auditors?	Yes	No
Was the total amount of Federal Funds spent from all grant sources greater than or equal to $750,000?	Yes	No
Was a Single Audit, in conformance with 2 CFR 200 Subpart F, performed and uploaded into the FAC?	Yes	No

Consolidated Financial Report (CFR) or Consolidated Year-End Financial Report (CYEFR)

Is your Agency required to file a CFR or CYEFR?	Yes	No	
If your Agency is required to file a CFR or CYEFR, did the independent auditor express an opinion on them? If your Agency is required to file, instructions are attached for the auditor to use in preparing your In Relation To Opinion (see pages 8 and 9).	Yes	No	N/A
Does the Report of Service Units on the CFR include all clients served regardless of the referral source?	Yes	No	N/A
Can the Cost schedule of the CFR or CYEFR be tied to the Statement of Functional Expenses contained in the audit report? If not, please construct and enclose a crosswalk between them.	Yes	No	
Are any non-allowable costs as defined by 2 CFR 200 Subpart E or 89 Illinois Administrative Code Section 356.60 (Disallowable Costs and Reduced Reimbursement) included in any program columns of the CFR or CYEFR? A list of non-allowable costs is provided at the end of this document for reference.	Yes	No	
If non-allowable costs are included in any program columns of the CFR or CYEFR, please prepare and enclose a schedule that identifies the non-allowable cost item, the reported amount, and the program column and line number containing the non-allowable cost.	Enclosed	N/A	

Licensed Child Welfare Agency Management Self Reporting Form

	Circle Answer	
Is the Provider Agency licensed by the Department? If yes, please enclose the most recently completed Licensed Child Welfare Agency Management Self Reporting Form.	Yes/Enclosed	No

Illinois Attorney General Form 990

	Circle Answer	
Is the Provider Agency required to file the Illinois Attorney General AG-990 form? If yes, please enclose the most recently completed AG-990 form.	Yes/Enclosed	No

Related Party Transactions

Were all related party relationships and transactions identified and disclosed, as required by FASB ASC 850-10-50? If disclosure is required, please enclose a schedule that identifies each related party, the relationship between the related parties, a brief description of the transactions (items or services) with the related party, and the amount of such transactions.	Yes/Enclosed	No
Did the auditors become aware of the (possible) existence of material related party transactions not otherwise disclosed (AU-C Section 550)?	Yes	No

Cost Allocation Plan / Indirect Cost Rate

Does a reasonable and consistent cost allocation plan exist for allocable management and general expenses, based on the benefit received?	Yes	No
Was the plan utilized for the actual allocation of allocable management and general expenses?	Yes	No
Are costs not directly charged or allocated, included in the indirect cost rate pool?	Yes	No
What basis is utilized for the allocation of indirect costs? Please attach your cost policy statement/cost allocation plan.	Enclosed	
Are costs allocated at least monthly or quarterly?	Yes	No
Does the Agency utilize a negotiated indirect cost rate?	Yes	No
Does the Agency utilize the De Minimus rate?	Yes	No
Are payroll costs allocated among two (2) or more programs?	Yes	No
If payroll costs are allocated among two (2) or more programs, was a generally accepted allocation method used to assign payroll costs across multiple programs?	Yes	No
Are non-payroll costs allocated among two (2) or more programs?	Yes	No
If non-payroll costs are allocated among two (2) or more programs, was a generally accepted allocation method used to assign non-payroll costs across multiple programs?	Yes	No
Does a reasonable segregation of duties exist for the finance and accounting functions?	Yes	No
Does the accounting system minimally include a chart of accounts and appropriate accounting journals?	Yes	No
Is the chart of accounts at least as detailed as the authorized budget (if applicable) by cost category?	Yes	No
Are procedures in place to ensure that transactions are properly recorded and charged to the correct program?	Yes	No
Does a written policy exist for the accrual and use of benefit time?	Yes	No
If a written policy exists, was benefit time accrued and used in accordance with the written policy?	Yes	No
Were time and attendance records maintained for all staff who are paid in full or in part from Department funds?	Yes	No

Contact Information and Certification

Name of Lead CPA/Auditor: ______________________________

Name of Auditing Firm: ______________________________

Address of Auditing Firm: ______________________________

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Lead CPA/Auditor License Number: ______________________________

Contact Person at Provider Agency: ______________________________

Email: ______________________________

Phone Number: ______________________________

By signing this report, I certify to the best of my knowledge and belief that the answers are true, complete and accurate. I am aware that any false, fictitious, or fraudulent information of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3279-3730 and 3801-3812; 30 ILCS 708/120).

Executive Director	Printed Name	Signature
Chief Financial Officer	Printed Name	Signature
Board President	Printed Name	Signature
Board Treasurer	Printed Name	Signature

Consolidated Financial Report (CFR) – When a CFR must be completed and submitted

Consolidated Financial Report (CFR)

Provider agencies contracted for delivery of 24-hour substitute care services[1], Intact Family Services programs, and Child Welfare Services (CWS) referral programs shall submit an annual Consolidated Financial Report (CFR) regardless of the Department funding amount.

[1]24-hour Substitute Care Services include:

- Childcare Institution Programs
- Shelter Care Programs
- Group Home Programs
- Independent Living and Transitional Living Programs
- Community Integrated Living Arrangement Programs
- Agency Foster Care Programs

Generally excluded from reporting on the CFR are governmental entities, individuals, contractual employees, electronic data processing services, and out of state providers serving 5 or fewer Department youth.

If a certified independent financial audit is NOT required, but your Agency is required to submit a CFR, the CFR is not required to have an in relation to opinion on the revenue and expense schedules.

If you are required to submit the CFR to more than one State Agency (Illinois Department of Human Services (DHS), Children and Family Services (DCFS) and the State Board of Education/Illinois Purchase Care Review Board (ISBE/IPCRB)), you must start all the CFR schedules (except Report of Service Units) with the "Total Agency" column, taken from the audited financial statements, then break out into columns, all programs that all entities require you to report in detail. In this way, only one set of CFR schedules needs to be completed, with copies submitted to all the entities requiring submittal.

All seven (7) schedules of the Consolidated Financial Report must be completed.

1. Agency Information Page
2. Program Names Schedule
3. Costs Schedule
4. Revenues Schedule
5. Service Unit Schedule
6. Personnel Schedule
7. Contractual Schedule

Two applications may be used to electronically collect Consolidated Financial Report (CFR) data from Provider Agencies. Submission of your CFR through the applications sends the data to each applicable Illinois state agency.

The first application is through the Illinois State Board of Education (ISBE): https://sec1.isbe.net/cfr. To set up a new account go to: https://sec1.isbe.net/cfr/adminsetup.aspx.

The second application is the Community Service Agreement (CSA) through the Department of Human Services (DHS). If you need to register for the CSA or need a password reset to CSA please contact the Office of Contract Administration at 217-785-9260.

CFR Submittal

The Provider Agency shall submit an electronic copy of all required reports and attachments via the Audit Report Review Management (ARRM) System or the Central Repository Vault (CRV).

Requests for extensions of the CFR should be sent on or before the due date to:

Office of Planning and Budget Development
Department of Children and Family Services
Mail Station 440
406 East Monroe Street
Springfield, Illinois 62701-1498

Failure to comply with financial and statistical reporting requirements will follow the Grantee Compliance Enforcement System policy and may result in being placed on the Illinois Stop Payment List.

Please note the contract program plan may identify financial and statistical reporting requirements in addition to those stated here. The Provider Agency shall adhere to additional reporting requirements if stated in the contract program plan.

Questions regarding Audits should be directed to Sondra Badie in the Department's Office of Financial Review at Sondra.Badie@illinois.gov or (708)210-2822. Questions regarding who is required to report, the CFR and the new web based system should be directed to Justin Carlin with the Office of Planning and Budget at justin.w.carlin@illinois.gov or (217)558-5386.

Instructions for the Auditor – "In Relation To" Opinion on the Consolidated Financial Report (CFR)

The independent certified public accountant may elect to add a paragraph to the opinion on the basic financial statements. Or, the independent certified public accountant may issue a separate report on the supplementary information. In either case, an opinion must be expressed on the Cost and Revenue schedules of the CFR. An example of an acceptable opinion follows:

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The [*identify accompanying supplementary information*] is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Auditing standards (AU-C Section 725) prescribe the procedures to be performed when an auditor is opining on whether supplementary information is fairly stated, in all material respects, in relation to the financial statements as a whole. In addition to these standard required procedures, perform the following on the CFR schedule of Program Costs and Schedule of Program Revenue:

- Obtaining Department Rules (89 Illinois Administrative Code Sections 356, 357, 360 and 434). Available at http://www.state.il.us/dcfs/policy/index.shtml. Obtaining DCFS instructions for preparing the CFR Schedule of Program Costs and Revenue and comparing the classifications used therein to those allowed by the instructions.
- Agreeing the total expense amounts detailed in the CFR Schedule of Program Costs to the provider's GAAP based financial statements.
- Agreeing the total revenue amounts detailed in the CFR Schedule of Program Revenue to the provider's GAAP based financial statements and to the program that the revenue was received for.
- Reviewing the methodology used to allocate costs among programs for reasonableness ensuring that the methodology was consistently followed. Agreeing allocated amounts to the general ledger and applicable payroll records.
- Reading 89 Illinois Administrative Code 356.60 (Disallowable Costs and Reduced Reimbursement), CFR 200 Subpart E, and the CFR instructions to ensure that those costs are included on Line 47 of the CFR and a detailed list of those costs are included either in a separate attachment or through the use of the on-line CFR.
- Mathematically checking all footings and cross footings on the CFR Schedule of Program Costs and Revenues.

Instructions for the Auditor – "In Relation To" Opinion on the Consolidated Year End Financial Report (CYEFR).

Only those grantees required to have an audit under the Federal/GATA audit requirements are required to have an In Relation To opinion on their CYEFR.
Auditing Standard AU-C Section 725 prescribes the procedures to be performed when an auditor is opining on whether supplementary information is fairly stated, in all material respects, in relation to the financial statements as a whole.

The auditor will be opining on whether the Consolidated Year End Financial Report (CYEFR) is fairly stated, in all material respects, in relation to the financial statements as a whole. The CYEFR is completed by a grantee as part of the Grant Accountability and Transparency Act (GATA) audit requirements. Any grantee receiving a State award [grant] or Federal pass through award grant from a State agency must complete the CYEFR.

Reporting for the In Relation To opinion must comply with Auditing Standard AU-C Section 725. The CYEFR that is being opined upon may be included by the audited entity as supplementary information with the financial statements or may be reported separately. The location of the auditor's In Relation To opinion is dependent on where the supplementary information is placed (with financials or in a separate report). Part .A17 of AU-C Section 725 provides Illustrative Reporting Examples for reporting on supplementary information in relation to the financial statements as a whole, to be followed by the auditor.

89 Illinois Administrative Code Section 356.60 (Disallowable Costs and Reduced Reimbursement)
Section 356.60 Disallowable Costs and Reduced Reimbursement

Certain costs shall not be considered by the Department for reimbursement. Cost standards may be applied to costs claimed to yield reasonable costs. Disallowable costs shall include:

a) expenses resulting from transactions with related parties and/or parent organizations which are greater than the expense to the related party;
b) non-straight-line depreciation;
c) research items except as approved by the Department for program evaluation;
d) bad debts;
e) special benefits to owners, including owner and key-man life insurance;
f) compensation to non-working owners and officers;
g) discounts, rebates, allowances, and charity grants offered by the agency;
h) entertainment expenses;
i) fund-raising;
j) revenue producing expenses;
k) legal fees for litigation with governmental agencies;
l) non-program related activities;
m) membership to national, state, or parent organizations;
n) awards and grants to individuals;
o) fines and penalties;
p) mortgage and loan principal payments;
q) contingency funds;
r) losses on other grants and contracts;
s) expenses relating to the development of bids or proposals;
t) housing of non-clients (does not prohibit the expense of live-in staff);
u) severance pay;
v) federal and state income tax;
w) sales tax; and
x) other costs not reasonably related to services.

Special Instructions for Reporting on the Schedule of Service Units

As part of the annual financial and statistical reporting requirements, contracted providers of 24-hour substitute care services delivered on behalf of Department youth must provide information identifying the days of care delivered for all clients regardless of funding source, and, if applicable, the license (infrequently, the program) capacity of the program.

This information is annually reported on the "Schedule of Service Units" of the Consolidated Financial Report (CFR) – an Illinois statewide financial and statistical reporting form. The financial and statistical information is generally reported by DCFS contract. However, contracts may be combined for these reporting purposes if the contracted rates are identical.

Reporting Days of Care (includes certain absent days defined below)

- A sum of the days of care provided to all youth (DCFS and all other placing agencies/private funders) when the youth is:
  - in the living arrangement, or
  - days when any child who is absent from his/her living arrangement due to:
    - hospitalization for psychiatric or medical reasons,
    - runaway,
    - placement in a county-operated detention center,
    - or admission to an inpatient alcohol or other drug abuse treatment program licensed by the Illinois Department of Human Services.
    - AND, when during those absent days, one or more service to or on behalf of the child are provided and the provision of service is documented in the child's treatment record.
- The days of care (and certain absent days) should be reported in the column captioned "Client Units Delivered/Provided" on the Schedule of Service Units of the CFR
- Do NOT report DCFS contracted capacity (guaranteed) days.

Reporting Days the Program Operated

- Report the number of calendar days the program operated.
- For reporting purposes here, count holidays and weekends as working days.

Reporting the Beginning and Ending License (or infrequently, program) Capacity

- Report the licensed capacity at the beginning of the reporting period (or beginning date of the program if after the beginning date of the reporting period) and at the end of the reporting period (or end of the program if before the ending date of the program).
- If a change has occurred in the capacity, the date of the change should be reported.
- Infrequently, the Department will approve a rate setting program capacity that is less than the license capacity. If a program capacity that is less than the license capacity has been approved, report the program capacity here instead of the license capacity.

Schedule of Service Units (24-hour substitute care programs)

Program Description	Service Unit Type	Client Units of Enrollment	Client Units Delivered/ Provided	Days Program Operated	Beginning License Capacity	Ending License Capacity	Date of Change
Short description of the program. (e.g. Residential – Young Children)	Always "Days"	Not Used	Days in placement and certain absent days	Calendar days the program operated during the reporting period	License, or approved program capacity, at the beginning of the reporting period. Generally, Independent Living programs will not have a license capacity.	License, or approved program capacity, at the end of the reporting period. Generally, Independent Living programs will not have a license capacity.	Date of change in the license capacity or approved program capacity

Special Instructions for Reporting Medicaid Revenues Paid for agreements containing a DCFS Medicaid Carve Out

Beginning on July 1, 2013 (FY2014), funding for Medicaid Mental Health Services provided to youth residing in institution and group home settings has been disbursed through Medicaid Carve Out (MRC) Agreements. Beginning July 1, 2017 (FY2018), DCFS began a pilot program for Medicaid Carve Out for specialized foster care (MFC).

For cost reporting years ending in 2015 through 2025, providers may choose to report the costs and revenues associated with Medicaid carve out separately on the CFR (not combined with any other programs i.e. Medicaid Group Home, Medicaid Institution and Medicaid Group Home Fee for Service). If the revenues and expenses are not reported separately, they should be reported in the Medicaid Agreement where the costs to provide the Medicaid Mental Health Services are recorded.

Costs supporting RSA-level staff in residential programs are currently included in DCFS placement per diem rates and are reimbursed to the Department through Title IV-E/non-Medicaid funds.

Residential providers who wish to have RSA-level staff participate in Medicaid billing for Medicaid-eligible behavioral health services are required to report costs and revenues associated with RSA staff in a separate Medicaid program/cost center on the annual cost report. RSA staff costs for Medicaid services must be allocated to the Medicaid program, along with any of the Medicaid revenue received for RSA-level Medicaid reimbursable services. Allocation of such RSA costs must be clearly articulated in the cost allocation statement.

When reporting Medicaid costs and revenue as a separate program/cost center on the cost report the method for determining the allocation of Medicaid costs must be documented in the cost allocation plan. The allocation plan must demonstrate that Medicaid-specific costs are reasonable and allocable to the Medicaid services provided. The Medicaid program is not subject to excess revenue adjustments using this method but remains subject to Department audit.

Medicaid Managed Care (Youth in Care) and Medicaid Fee-For-Service Revenue should not be reported as Department revenue. Please report as Medicaid Rehab Option (MRO), or Department of Public Aid/Healthcare and Family Services.

If reported separately, the Medicaid Carve Out Agreements are not included in the excess revenue reviews. If reported in their respective contract that the costs were incurred, **the excess revenue is based on the proportion of Department revenue (excluding Medicaid) to total revenue (including Medicaid).**

JB Pritzker
Governor

Illinois Department of
DCFS
Children & Family Services

Heidi E. Mueller
Director

Date May 21, 2024

To: Heidi E. Mueller, Director
Brian L. Dougherty, General Counsel
Kiersten Neswick, Chief Financial Officer

From: Will Blount-Stephens, Deputy Director, Office of Contract Administration [redacted]

Subject FY2025 $250,000 Contracts for Approval

The attached contract information for FY2025 summarizes the contracts that will exceed $250,000 for FY25. We are submitting this information for your approval in accordance with 30 ILCS 105/9.02 (a)(1). Please Initial for each line

Descriptor Code	Pages	Fiscal	Legal	Director
ADP – Adoption	1-4	KN	[redacted]	
ADS – Adoption Specialty	5-9	KN		
AFC – Adolescent Foster Care	10-16	KN		
APS – Adoption Preservation	17-22	KN		
AVA – Advocate Agency	23-34	KN		
CAC – Child Advocacy Centers	35	KN		
CAR – Child Abuse Research	36-43	KN		
CAS – Child Advocacy Support	44	KN		
CCI – Child Care Institution	45-55	KN		
CCN – Crisis Nurseries	56-62	KN		
CDS – Contractual Direct Services	63-75	KN		
CIP – Clinical Intervention	76	KN		
COD – COD Specific	77-91	KN		
CON – Contractual Services	92-132	KN		
CPP – Child Parent Psychotherapy	133-136	KN		
CSA – Counseling Agency	137-168	KN		
CSI – Counseling Intact	169-175	KN		
CSL – Counseling Individual	176-178	KN		
CST – Counseling Toxicology	179-185	KN		
CWS – Child Welfare Services	186-203	KN		
DRR – Day Care Resource & Referral	204	KN		
EBI – Evidence Based Interventions	205-227	KN		
EFS – Extended Family Services	228-239	KN		

SAFETY FIRST SAFETY ALWAYS

FAC – Family Advocacy Centers	240-268	KN
FCA – Foster Care Agency	269-272	KN
FCD – Foster Care Individual	273	KN
FCE - Foster Care Exempt	274-286	KN
FCN – Foster Care Non-Standardized	287-310	KN
FCS – Foster Care Standardized	311-327	KN
FPS – Family Preservation	328-332	KN
GH – Group Home	333-341	KN
HAB – Family Habilitation	342-344	KN
IFS – Intact Family Services	345-388	KN
IGA – Inter-Governmental Agreement	389-401	KN
ILO – Independent Living Option	402-404	KN
INO – Institution Out of State	405-426	KN
IPS – Intensive Placement Stabilization	427-448	KN
MCG – Medicaid Group Home	449-460	KN
MCI – Medicaid Child Care Institution	461-499	KN
MGF – Medicaid GH-Fee for Service	500	KN
NOR – Norman Consent Decree	501-535	KN
PCD – Performance FC Traditional	536-575	KN
PPT – Pregnant & Parenting Teen	576-578	KN
PSY – Psychiatric Hospitalization	579-581	KN
PTG – Parent Training Groups	582-587	KN
RAP – Wraparound – Flex	588-602	KN
SBP – Sexual Behavior Problems	603	KN
TLP – Transitional Living Program	604-630	KN
TLS – Transitional Living Services	631-646	KN
TRO – Transportation Only	647-652	KN
UNI – University – State	653-683	KN
UNP – University – Private	684-686	KN
VIT – Visitation	687-707	KN
YES – Youth Emergency Services	708-715	KN
YIC – Youth in Crisis	716-727	KN
YOU – Project Strive	728-734	KN

[redacted]

[redacted] 6/13/24

Heidi E. Mueller, Director — Date

[redacted] 6/6/24

Brian L. Dougherty, General Counsel — Date

[redacted]

Kiersten Neswick, Chief Financial Officer — Date

Department of Children and Family Services
Contracts Exceeding the $250,000 Limit
For FY 2025

Descriptor Code UNP

Provider 392451 **THE UNIVERSITY OF CHICAGO HOSPITALS**

Contract Number	3924519015
Lead Region	12
Program Name	MPEEC
Direct Services - Current	$1,078,569.00
Expenses - Current	$0.00
Multi-Year Total	$3,235,707.00
Prev Yr Obligation	

Comments

12 0014181749000500

N/A

12 0014181749001800

FY25 contract to remain the same as previous year based upon service level

12 2204181749001800

FY25 contract has increased for the COLA/salary review annualization; Funds updated for new FY25 Salary Increase figures. JS 4.10.24

12 5664185019000100

FY25 contract to remain the same as previous year based upon service level