CDC-OT21-2103: National Initiative to Address COVID-19 Health Disparities Among Populations at High-Risk and Underserved, Including Racial and Ethnic Minority Populations and Rural Communities

Recipient Information Conference Call
June 15, 2021

Speaker: José T. Montero, Center for State, Tribal, Local and Territorial Support
What Are the Key CDC Roles?

DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS FOR DISEASE CONTROL AND PREVENTION (CDC)

CHIEF OF STAFF
CHIEF STRATEGY OFFICER & CHIEF OPERATING OFFICER
CDC WASHINGTON DIRECTOR
OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY

ASSOCIATE DIRECTOR FOR COMMUNICATION
ASSOCIATE DIRECTOR FOR LABORATORY SCIENCE AND SAFETY
ASSOCIATE DIRECTOR FOR POLICY AND STRATEGY
CHIEF MEDICAL OFFICER

OFFICE OF THE DIRECTOR

DEPUTY DIRECTOR FOR PUBLIC HEALTH SERVICE AND IMPLEMENTATION SCIENCE
Office of Minority Health and Health Equity
Center for Global Health
Center for Preparedness and Response
Center for State, Tribal, Local, and Territorial Support

DEPUTY DIRECTOR FOR PUBLIC HEALTH SCIENCE AND SURVEILLANCE
Office of Science
Office of Laboratory Science and Safety
Center for Surveillance, Epidemiology, and Laboratory Services
National Center for Health Statistics

DEPUTY DIRECTOR FOR NON-INFECTIOUS DISEASES
National Center on Birth Defects and Developmental Disabilities
National Center for Chronic Disease Prevention and Health Promotion
National Center for Environmental Health/Agency for Toxic Substances and Disease Registry
National Center for Injury Prevention and Control

DEPUTY DIRECTOR FOR INFECTIOUS DISEASES
National Center for Immunization and Respiratory Diseases
National Center for Emerging and Zoonotic Infectious Diseases
National Center for HIV/AIDS, Viral Hepatitis, STD, and TB Prevention

* ATSDR is an OPDIV within CDC but is managed by a common director’s office.

APPROVED 8/17/2018
EFFECTIVE 9/26/2018

Speaker: José T. Montero, CSTLTS
Presentation Objectives

- Overview
- Roles and responsibilities
- Laws, Regulations and policies
- Notice of award (NOA)
- Reporting requirements
- Equipment

- REDCap Reporting
- Evaluation and work plan analysis
- Technical assistance and resources
- Next steps and actions
- Questions and answers

Speaker: Stacey M. Jenkins, Division of Program and Partnership Services (DPPS), CSTLTS
Grant Overview – Overarching Strategies

The program is composed of four overarching strategies that aim to build infrastructure that both address disparities in the current pandemic and future responses.

1. Expand existing and/or develop new mitigation and prevention resources and services to reduce COVID-19-related disparities among populations at higher risk and that are underserved.

2. Increase/improve data collection and reporting for populations experiencing a disproportionate burden of COVID-19 infection, severe illness, and death to guide the response to the COVID-19 pandemic.

3. Build, leverage, and expand infrastructure support for COVID-19 prevention and control among populations that are at higher risk and underserved.

4. Mobilize partners and collaborators to advance health equity and address social determinants of health as they relate to COVID-19 health disparities among populations at higher risk and that are underserved.

Speaker: Stacey M. Jenkins, DPPS, CSTLTS
Grant Overview – Intended Outcomes

The intended outcomes for this grant are:

1. **Reduced COVID-19-related health disparities**

2. **Improved and increased testing and contact tracing** among populations at higher risk and that are underserved, including racial and ethnic minority groups and people living in rural communities

3. **Improved** state, local, US territorial, and freely associated state health department capacity and services to prevent and control COVID-19 infection (or transmission) among populations at higher risk and that are underserved, including racial and ethnic minority groups and people living in rural communities
Roles and Responsibilities
What Are the Key Roles in the OT21-2103 Grant?

- **Recipient**
  - Authorized Organizational Representative/Authorized Official (AOR)
  - Project Director (PD)/Principal Investigator (PI)

- **CDC**
  - Project Officer (PO)
  - Grants Management Specialist (GMS)
  - Grants Management Officer (GMO)
  - Subject Matter Experts (SME)
What Are the Primary Recipient Roles?

- **Authorized Organizational Representative/Authorized Official (AOR)**
  - The individual(s), named by the recipient organization, who is authorized to act for the recipient and to assume the obligations imposed by the federal laws, regulations, requirements, and conditions that apply to grant awards

- **Project Director (PD)/Principal Investigator (PI)**
  - The individual(s) designated by the recipient to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award
Recipient Roles and Responsibilities

- **Authorized Organizational Representative (AOR)**
  - Holds authority to act on behalf of the organization
  - Able to sign grant applications and post-award amendments
  - Held accountable for the appropriate use of funds awarded and the performance of the grant-supported project or activities

- **Other Accountable Parties**
  - Principal Investigator
  - Program/Project Director
  - Program/Project Coordinator
  - Business/Fiscal Officer
  - Payment Management System Preparer/Approver
What Are Recipient’s Roles and Responsibilities?

- Expend awarded funds
- Perform proposed activities in accordance with the notice of funding opportunity (NOFO) and application
- Submit timely programmatic progress and financial reports, as required by the NOA
- Report any changes in the project or proposed activities, as appropriate
- Use reporting data to address evaluation questions
- Submit documentation required for closeout
- Participate in audit activities, as appropriate
What Are CDC’s Roles and Responsibilities?

- Monitor performance in accordance with the NOFO
- Ensure compliance with the terms and conditions of the NOA
- Oversee closeout activities
- Participate in audit activities, as appropriate
What Is the Project Officer (PO) Roles and Responsibilities?

- The Project Officer manages *administrative and programmatic* activities
  - Provides recommendations for funding applications and amendments
  - Ensures that programmatic terms and conditions are provided to the Grants Management Officer (GMO)
  - Conducts monitoring activities
    - Post-award performance and progress monitoring
    - Site visits or reverse site visits
  - Provides technical assistance and consultation on technical issues, and directs recipient to GMO and/or subject matter expert, as needed
What Are the Roles and Responsibilities of the Grants Management Specialist (GMS) and Officer (GMO)?

- **The GMS processes business aspects of the award**
  - Responsible for the day-to-day business management (non-programmatic) aspects of grants, under the direction of the GMO
  - Primary point of contact for grant-related issues, such as processing prior approvals

- **A GMO approves business aspects of the award**
  - Responsible for the business management of the cooperative agreement, including review, negotiation, award, and administration, and for the interpretation of grants administration policies and provisions
  - **Only** official authorized to
    - Require CDC to spend federal funds or
    - Change the funding, duration, or other terms and conditions of an award
What Is the Subject Matter Expert’s (SME’s) Roles and Responsibilities?

- A subject matter expert is responsible for providing **programmatic** technical assistance
  - Reviews proposals and amendments to ensure consistency with project needs and requirements (makes recommendations to PO)
  - Provides subject matter expertise and guidance for project activity implementation
  - Participates in monitoring activities
    - Post-award performance and progress monitoring
    - Site visits or reverse site visits
How Do CDC Staff Members Work Together to Administer the Grant?

- Each CDC staff member brings different expertise and carries out distinct functions to manage the grant
  - A Project Officer (PO) manages the *administrative* and the *programmatic* aspects
  - A Grants Management Specialist (GMS) and Grants Management Officer (GMO) manage the *business* aspects
  - Subject Matter Experts (SMEs) provide subject matter expertise and guidance for project activity implementation

Speaker: Jeffrey Brock, DPPS, CSTLTS
How Do Recipients and CDC Communicate?

- **Grant Solutions/Grants Management Module**
  - Official communication between CDC and recipients

- **Recipient calls/webinars**
  - Periodic group calls or webinars

- **Site visits**
  - Virtual (or in-person, site-based) meetings of recipient and CDC staff

- **OT21-2103Support@cdc.gov**
  - Email announcements, news, or reminders

- **Ad hoc emails/phone calls**
  - Project-specific, routine communication with CDC staff (PO, GMO, GMS)
Laws, Regulations and Policies

Speaker: Shirley Byrd Office of Grants Services (OGS)
Order of Precedence

- Constitution of the United States
- Statutes
- Regulations
- Executive orders
- Office of Management and Budget (OMB) circulars
- Policies
- Guidelines and procedures
Code of Federal Regulations (CFRs)

- **Important CFRs for recipients**
  - 2 CFR 200: Universal cost principles, administrative, and audit requirements for Federal Awards to non-Federal entities
  - 45 CFR Part 75: HHS Uniform administrative requirements, cost principles, and audit requirements for federal awards

Speaker: Shirley Byrd, OGS 20
Policies

- External policies
  - National Policy
  - HHS Grants Policy Statement

- Internal policies
  - CDC additional requirements
    www.cdc.gov/grants/federalregulationspolicies/index.html
Enforcement of Laws, Regulations, and Policies

- HHS or CDC can also:
  - Temporarily withhold payments pending corrections of deficiencies
  - Disallow all or part of activities/actions not in compliance
  - Wholly or partly suspend an award
  - Terminate an award
  - Initiate suspension or debarment proceedings
  - Withhold further federal awards for the project or program
  - Take other remedies legally available

Speaker: Shirley Byrd, OGS22
Notice of Award
Notice of Award

- Legally binding document issued to the grant recipient
- Provides an official commitment of US government funds to recipient
- Indicates that funds may be requested from the Payment Management System
- Incorporates the following guidance:
  - NOFO and program specific terms and conditions
  - Application (including Budget and Workplans submitted)
  - National Policies
  - HHS Grants Policy Statement
  - CDC General terms and conditions of award
Notice of Award (cont.)

- A recipient indicates acceptance of an award and its associated terms and conditions by **drawing down or requesting funds**.
- OT21-2103 has a **24-month budget period** and period of performance **ending May 31, 2023**.
- OMB Memorandum M21-20 authorizes **pre-award costs dating back to March 15, 2021**. Activities must be COVID-19-related and tie directly to the strategies of this NOFO.

Speaker: Shirley Byrd, OGS
Notice of Award (cont.)

- Sets forth pertinent information about the grant:
  - Grant identification number (“grant number”)
  - Name of recipient organization
  - Name of key staff (e.g., PI/PD)
  - Approved period of performance start and end dates
  - Approved budget period start and end dates
  - Amount of federal funds authorized for spending by the recipient
  - Matching (non-federal share)
  - Standard and program specific terms and conditions
  - Administrative or programmatic restrictions
Notice of Award (cont.)

- Sets forth pertinent information about the grant:
  - High risk determination (requires additional conditions)
  - Required reporting
  - Applicable legislation and regulations
  - CDC points of contact
  - CDC programmatic substantial involvement responsibilities (for cooperative agreements)

Speaker: Shirley Byrd, OGS27
**Recipient Information**
- Name of the grant
- Address Line 1
- Address Line 2
- City: State: Zip

**Agency Grants Management and Program Contacts**
- Name
- Email
- Phone

**Federal Award Information**
- Award Number
- Unique Federal Award Identification Number (FAIR)
- Statutory Authority
- Federal Award Project Title

**Summary of Financial Information**
- Budget Period Start Date
- Budget Period End Date
- Total Amount of Federal Funds Obligated by this Action
- Total Federal and Non-Federal Appropriated Funds Obligated this Budget Period
- Authorized Reimbursement

**Remarks**

**Speaker:** Shirley Byrd, OGS
Includes approved budget by budget category

Box 34 contains necessary information to draw down funds
Notice of Award

Terms and conditions include—

- Those applicable to all CDC awards
- Any award specific conditions
- Incorporates NOFO, application and approved budget by referenc3
- Notes specific funding restrictions

Speaker: Shirley Byrd, OGS 30
Notice of Award (cont.)

Payment information

- Automatic drawdowns managed by PMS
- Website to set up account after award
- Subaccount document number
- Subaccount title
- Acceptance of award terms and conditions
Payment Management System (PMS)

- Managed by HHS, not CDC
- Recipient must enroll in PMS to receive funds through electronic bank transfer

PMS registration process
- Recipient completes Direct Deposit Form (SF-1199A)
  - Domestic or international
- Recipient completes PMS System Access Form
- Submit forms to the Program Service Center (PSC) Liaison Accountant via mail, email or fax
- PMS verifies bank information
- PMS sends registered users (recipient) an account number and temporary password
- Recipient logs-in and changes password

Speaker: Shirley Byrd, OGS32
Requesting Payment

- Also known as drawing-down funds
- Request funds needed for immediate use
  - Can be requested daily – weekly – bi-monthly – monthly
  - PMS can accommodate frequent requests
  - Do not draw down excess funds
  - Do not draw down restricted funds
- PMS processes request within 24 hours
  - Allow additional time for international fund transfers
- If there are any issues, contact PMS for assistance.
PMS Reporting Requirements

- **Periodic financial reports**
  - Quarterly report schedule posted on PMS
  - Reports submitted online
  - Failure to submit report results in system lock-out

- **Change password every 90 days**
  - Failure to comply results in system lock-out

Speaker: Shirley Byrd, OGS34
PMS FFR Reporting Effective October 1, 2020

Navigating to the Federal Financial Report

Inquiry
Payment
Disbursement
View PSC272 Reports
FFR Cash Transaction Report
FFR Interest Income
Federal Financial Report
FFR File Transfer
My User Info
Account Maintenance

Speaker: Shirley Byrd, OGS
PMS Support Information

Help Desk Support

Phone: (877) 614-5533

Hours: Monday-Friday 7:00 am—9:00 pm (EDT) Except on federal holidays

Email: pmssupport@psc.gov

Reporting Requirements
Reporting Requirements

- Quarterly Performance/Financial Reports – REDCap
- Quarterly Federal Cash Transaction Report (FCTR) – PMS
- Annual Federal Financial Reports (FFR) (SF-425 or 425A) – PMS
- Federal Funding Accountability and Transparency Act (FFATA) of Sub-award Report

- Final Performance Reports – Grantsolutions & PMS
  - Submitted within 90 days of performance period end date
  - Final FFR
  - Final Performance Report
  - Equipment Disposition

Speaker: Shirley Byrd, OGS
Equipment
Equipment Purchases

- **Require prior approval for all equipment purchased more than $5,000**
  - Follow documented procurement procedures

- **Purchasing a motor vehicle or motorcycle**
  - Before the purchase of vehicle(s), submit a request to the GMS:
    - AOR submits prior approval request
    - Provide justification for the purchase of the vehicle(s) – including why the vehicle can’t be leased
    - Provide an analysis of purchasing versus leasing a vehicle
    - Provide quotes or basis for pricing
    - State the purpose of the vehicle(s)
    - Provide disposition plans for the vehicle at the end of the project

Speaker: Shirley Byrd, OGS 40
Equipment Purchases (cont.)

- Purchasing a motor vehicle or motorcycle (cont.)
  - Within 30 days after the purchase of the vehicle(s) provide:
    - A copy of the original invoice of the vehicle(s) purchased
    - The Vehicle Identification Number (VIN)
    - Proof of insurance on all vehicles purchased
    - A copy of the recipient organization’s mileage usage log
    - A copy of the operation manual for driving a recipient organization’s vehicle

Speaker: Shirley Byrd, OGS 41
Equipment

- Equipment management system must include:
  - Records that adequately identify equipment, including location
  - Physical inventory at least every two years
  - Control procedures to prevent loss, damage, or theft
  - Adequate maintenance procedures

- Equipment management
  - Written equipment management policy
Equipment (cont.)

- Equipment management (cont.):
  - Records include . . .
    - Full description of equipment
    - Purchase price
    - Date of purchase
    - Vendor information
    - Location of vehicle
  - Maintain vehicle logs to document usage
  - Inventory equipment at least annually
  - Report damage

Speaker: Shirley Byrd, OGS43
REDCap Reporting
REDCap and Reporting

Research Electronic Data Capture (REDCap) is a secure web application for building and managing online surveys and databases. CDC is using REDCap as the grant management platform for this grant.

- The workplans you submitted are already in REDCap. You will have the opportunity revise your workplans in REDCap, as necessary, with the support of your project officer.
- You will document progress reports and performance measures in REDCap.
- More information on this will be provided during a dedicated REDCap information session for all recipients. We will provide more information about technical assistance and trainings during the week of June 21st!
REDCap System Access

Access to the grant in REDCap happens in 3 steps:

1. Identify Your Team
We will send you a template to provide contact information for a primary and alternate user on your team.

2. Obtain Secure Access Management Services (SAMS) & REDCap Access
You will receive invitations to register with SAMS and REDCap.

3. Gain access to the grant in REDCap
You will receive access to the grant in REDCap after attending training.

Speaker: Monique Martin, DPPS, CSTLTS
Work Plan Revisions Timeline (June – August 2021)

6/15
Recipient Orientation Call(s)

6/17
Begin Granting SAMS / REDCap Access

6/30
REDCap Orientation #1

7/6
REDCap Orientation #2

7/8
REDCap Orientation #3

7/31
Project Officer Assignments

8/16
Work Plan Revisions Due

Legend
- Key Date
- Milestone

*Dates may be subject to change.*
Evaluation and Work Plan Analysis

Speaker: Nancy Habarta, Division of Performance Improvement and Field Services (DPIFS), CSTLTS
Evaluation: Preliminary Work Plan Analysis

107 state, local, and territorial agencies submitted work plans

Distribution of activities (N=1,548) across strategies

- **Strategy 1:** Resources/Services (22%)
- **Strategy 2:** Data (20%)
- **Strategy 3:** Infrastructure (29%)
- **Strategy 4:** Partnerships (28%)
- **Strategy 5:** Other (1%)

More data cleaning and analysis will be done after final Work Plans are submitted.

Speaker: Nancy Habarta, DPIFS, CSTLTS
### Evaluation: Preliminary Work Plan Analysis

#### Number of Activities (N=1,548) by Racial and Ethnic Populations*

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<th>Black or African American</th>
<th>Asian</th>
<th>American Indian</th>
<th>Native Hawaiian and Pacific Islanders</th>
<th>Alaska Native</th>
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<td>42</td>
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</tbody>
</table>

*More than one racial and ethnic population could be selected for each activity

**“N/A” in chart refers to activities that do not address racial and ethnic populations

***The bottom right value (42) indicates that data was missing

Speaker: Nancy Habarta, DPIFS, CSTLTS
Evaluation: Preliminary Work Plan Analysis (cont.)
Number of Activities (N= 1,548) by Populations of Focus

- People living in rural areas: 849
- People with disabilities: 630
- Non-US born persons: 610
- People experiencing homelessness: 570
- LGBTQ+ persons: 514
- People with substance use disorders: 471
- Other population of focus: 410
- Adults aged 65 and over: 380
- Religious minority: 358
- People who are incarcerated: 297
- People living in other congregate housing: 237
- Missing data: 181
- Does not address: 27

* More than one population of focus could be selected for each activity. Multiple racial and ethnic populations are included in these populations of focus.

Speaker: Nancy Habarta, DPIFS, CSTLTS
Updating the Work Plan

- Populations of focus
- Setting
- Partner types
Evaluation Next Steps

- CSTLTS will provide performance measures and the logic model to recipients by July 15, 2021
- Input from recipients through a small workgroup
Technical Assistance and Resources
Technical Assistance (TA) for Jurisdictions

CDC will foster collaboration and provide support to recipients throughout the grant lifecycle.

**Internal CDC TA**
- CDC coordinates across multiple CIOs (Center for State, Tribal, Local and Territorial Support; Office of Minority Health and Health Equity; Office of Grants Services) to provide guidance, technical assistance, and subject matter expertise to recipients.

**External CDC TA**
- CDC anticipates awarding $17 million to three partners via the OT18-1802 National Partners Umbrella Cooperative Agreement to provide additional technical assistance to recipients.
- State Offices of Rural Health/Equivalent
COVID-19 Resources

- **CDC’s Grants Welcome Packet**
  - For important instructions, guidelines, and key requirements critical to the success of your grant

- **CDC’s COVID-19 Website**
  - For the latest updates, guidelines, and information from CDC on COVID-19

- **CDC’s COVID-19 Resource Page for States, Tribes, Localities, and Territories**
  - For a repository of guidelines, tools, and resources from CDC and others for states, tribes, localities, and territories

- **COVID-19 Healthy Equity web page**
  - To stop the spread of COVID-19 and move toward greater health equity, CDC continues to work with organizations, agencies, and communities to ensure resources are available to maintain and manage physical and mental health, including easy access to information, affordable testing, and medical and mental health care.

Speaker: Stacey M. Jenkins, DPPS, CSTLTS
COVID-19 Resources

- **CDC’s Strengthening Public Health Systems and Services Through National Partnerships to Improve and Protect the Nation’s Health Initiative**
  - Information on CSTLTS’s complementary and nonduplicative COVID-19 funding mechanism and gateway for national technical assistance and support

- **CDC’s Gateway for State, Tribal, Local, and Territorial Public Health Professionals**
  - CSTLTS portal to CDC resources, tools, and information

Speaker: Stacey M. Jenkins, DPPS, CSTLTS
Next Steps and Actions
Next Steps and Action Items

- Review your NoA
- Complete registration Systems
  - GMM through GrantSolutions
    - Ensure that you have designated the right person for specific roles
  - PMS
  - REDCap
- Revise your work plan and budget
- Engage stakeholders and sub-recipients
- Contact your PO with questions
Revised Work Plan and Budget Narrative

- **What:**
  - Work plans and budgets should be revised to reflect feedback included in technical review
  - State recipients must also revise budgets to reflect rural carveout dollars

- **When:** Revisions due by **August 16, 2021**

- **How:**
  - Revise work plan in REDCap
  - Submit revised work plan as a Grant Note and budget narrative as a budget revision amendment via GrantSolutions ([www.cdc.gov/grants/grantsolutions/index.html](http://www.cdc.gov/grants/grantsolutions/index.html))

**Speaker:** Stacey M. Jenkins, DPPS, CSTLTS
Questions and Answer Session

Moderator: Christine Graaf, DPPS, CSTLTS
Thank You!

For more information, contact CDC
1-800-CDC-INFO (232-4636)

The findings and conclusions in this report are those of the authors and do not necessarily represent the official position of the Centers for Disease Control and Prevention.