



OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH

## **FY2020 FOA Technical Assistance Webinar:**

# **State/Tribal/Territorial Partnership Initiative to Document and Sustain Disparity-Reducing Interventions (State Partnership Initiative)**

**MP-CPI-20-001**

*Tuesday, July 28, 2020*



# Webinar Outline

- I. Overview of the Funding Opportunity Announcement (FOA)
- II. Grants and Acquisitions Management
  - i. Competitive Application Requirements
- III. Question and Answer Session



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# Office of Minority Health (OMH) Mission Statement

*The mission of the Office of Minority Health is to improve the health of racial and ethnic minority populations through the development of policies and programs that will help eliminate health disparities.*



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# OMH Activities and Priorities

- Broad portfolio encompassing chronic diseases, infectious diseases, injury, environmental health, access to care
- Prioritization of OMH activities:
  - Align with HHS strategic goals and initiatives (e.g. opioid epidemic, sickle cell disease)
  - Address underlying factors (e.g. social determinants of health, workforce development, language access)
  - Leverage partnerships
    - Highlight health disparities
    - Identify solutions that are effective, scalable, and replicable



# Executive Summary

The Department of Health and Human Services (HHS) Office of Minority Health (OMH) announces the availability of funds for Fiscal Year (FY) 2020 grant awards for the *State/Tribal/Territorial Partnership Initiative to Document and Sustain Disparity-Reducing Interventions (State Partnership Initiative)* under the authority of Section 1707 of the Public Health Service Act (42 U.S.C. § 300u-6). This notice solicits applications for projects to demonstrate if modifications to existing evidence-informed interventions for selected health issues will significantly improve health outcomes for racial and ethnic minority and disadvantaged populations.



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# State Partnership Initiative Primary Outcomes (FOA page 7)

State Partnership Initiative expects the following outcomes:

1. Improved health outcomes through implementation of modified existing, evidence-informed public health policies, programs, or practices (interventions) to assess if the modified intervention(s) is successful in significantly improving health outcomes for selected health issues; and
2. Enhanced capacity of health agencies to sustain implementation of successful interventions.



# Program Description (FOA pages 9-12)

OMH expects the recipient to:

- Demonstrate a collaborative approach to complete grant activities successfully and support the sustainability of effective interventions
- Select two health topics from each of the two lists to be tested for the modified intervention(s)
- Product a health disparities profile for each selected topic
- Implement and test modification(s) to an existing evidence-informed intervention(s) designed to improve health outcomes for the selected topics
- Implement a rigorous program evaluation to assess impact of project activities
- Develop a sustainability plan and implement if project key outcomes demonstrate significant differences



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# Collaborative Approach Expectations (FOA page 9)

- If the applicant is not a state, tribal, or territorial governmental health agency or entity, OMH expects that the applicant partner with a state, tribal, or territorial governmental health agency or entity.
- OMH encourages projects to demonstrate partnerships with minority-serving institutions (MSIs), in particular medical schools at Hispanic-serving institutions (HSIs) and medical schools at Historically Black Colleges and Universities (HBCUs), to support workforce diversity and encourage a focus on racial and ethnic health disparities.



# Focus Areas Expectations (FOA page 10)

- OMH expects recipient to select one topic from each of the two topic areas listed below for a total of two topics.
  - Topic Area 1: HIV, maternal mortality and morbidity, physical activity, substance use disorder
  - Topic Area 2: Nutrition, sickle cell disease and trait, diabetes, Alzheimer's, lupus, cancer prevention (i.e., addressing risk factor(s) specifically for stomach, liver, or cervical cancer)
- Selection of topics should be based on need as demonstrated by health disparities in area(s) with elevated burden of the disease impacting racial/ethnic minority and/or disadvantaged populations.



# Health Disparities Profiles Expectations (FOA pages 10-11)

- OMH expects the recipient to produce a health disparities profile for each selected topic which should include:
  - 1) existing state, tribal, territorial, or local-level representative, population-based data on health disparities related to the selected health topics, disaggregated by race/ethnicity; and
  - 2) geographic area(s) of elevated disease burden where the intervention will be targeted in the applicant's service community, within two months following the award.



# Intervention Modification Expectations (FOA page 11)

- OMH expects the recipient to implement and test modification(s) to an existing evidence-informed intervention(s) designed to improve health outcomes for the selected topics in the geographic area(s) of elevated disease burden identified in the health disparities profiles, within the project period.
- OMH expects the recipient to initiate implementation of the modified intervention(s) shortly after awards are made.



# Impact Evaluation Expectations (FOA page 12)

- OMH expects the recipient to implement a rigorous program evaluation to assess impact of project activities.
- OMH expects the applicants to identify appropriate indicators/measures for the selected health topics to document and monitor the impact of the intervention(s) on health outcomes.
- OMH expects the recipient to demonstrate that evaluation of the impact of the intervention(s) will be able to detect a statistically significant difference, if present.
- OMH expects the recipient to collect, analyze, and evaluate health outcome data to demonstrate the impact of the intervention within the project period.
- OMH expects the recipient to document the intervention implementation process and 'lessons learned'.



# Project Sustainability Expectations (FOA page 12)

- OMH expects the applicant to provide a description of efforts to sustain and support continued implementation of evidence-informed intervention(s) that have demonstrated effectiveness.
- OMH expects the recipient to develop a sustainability plan within one year following the award.
- OMH expects successful projects (i.e., projects demonstrating significant difference in key outcomes) to begin implementing the sustainability plan in the first quarter of year two.



# Award Information

- Estimated Federal Funds Available: \$6,500,000
- Anticipated Number of Awards: up to 26
- Award Ceiling (Federal Funds including indirect costs): \$300,000 per budget period
- Award Floor (Federal Funds including indirect costs): \$250,000
- Anticipated Start Date: September 30, 2020
- Estimated Period of Performance: Up to 2 years
- Anticipated Initial Budget Period Length: 12 months
- Type of Award: Grant



# Application Review Criteria (FOA pages 45-48)

- Problem Statement (10 points)
  - Identification and description of need as demonstrated by health disparities within the service area and the population(s) of focus
- Organizational Capability and Collaboration (15 points)
  - Description of organizational capability and readiness to successfully implement the proposed project and the plan to implement a collaborative approach to achieve project activities
- Goals, Objectives and Outcomes (10 points)
  - Description of proposed project goals and objectives that are SMART; description of measurable outcomes.



# Application Review Criteria (cont'd) (FOA pages 45-48)

- Project Plan (30 points)
  - Description of the intervention(s) to be modified. Description of the rationale for the modification. Description of approach in accomplishing the project in a work plan.
- Evaluation Plan (20 points)
  - Description of the design to collect data and evaluate findings to detect statistically significant project impact.
- Project Sustainability (10 points)
  - Description of strategies to support the project beyond the grant period
- Budget (5 points)



# Just-in-Time Institutional Review Board (IRB) Agreement (FOA page 37)

- A letter signed by the authorized official assuring that, if funded, the applicant will submit an application to an Institutional Review Board (IRB) for approval. IRB approval documentation must be submitted to HHS/OASH/GAM for any award prior to proceeding with human subjects research.



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# APPLICATION SUBMISSION

OASH Grants and Acquisition Management Division



# Submission Dates and Times

- **Your application is due by 6 p.m. Eastern Time on August 26, 2020.**
- Your submission time will be **determined by the date and time stamp provided by Grants.gov when you complete** your submission.
- Strongly encouraged to submit your application a minimum of 3-5 days ***prior*** to the application closing date.
- Grants.gov may take up to 48 hours to notify you of a successful submission.
- If you fail to submit your application by the due date and time, we will not review it, and it will receive no further consideration.



# Eligible Applicants (FOA pages 14-15)

- State Governments
- County Governments
- City or township governments
- Special district governments
- Independent school districts
- Public and State controlled institutions of higher education
- Native American tribal governments (Federally recognized)
- Public Housing authorities/Indian housing authorities
- Native American tribal organizations (other than federally recognized tribal governments)
- Nonprofits having 501(c)(3) status with the IRS, other than institutions of higher education
- Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education
- Private non-profit institutions of higher education
- U.S. Territories



# Cost Sharing or Matching

You are not required to provide cost-sharing or matching in your proposed budget.



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# Funding Announcement Role

- The Funding Opportunity Announcement (FOA) provides information and guidance related to applications.
- Read the **entire** funding announcement.
- Follow the FOA carefully!
- The information provided in the FOA takes precedence over any conflicting information in other documents.



# Address to Request Application Package

- Obtain an application package electronically by accessing Grants.gov at <http://www.grants.gov/>
- Find it by searching with the CFDA number provided on page 1 of the FOA
- CFDA Number is: 93.137
- Be sure to subscribe to the announcement in Grants.gov so you receive notification of any updates to the FOA or supporting documents



# Application Submission

- OASH requires that all applications be submitted electronically via Grants.gov unless an exemption has been granted. If you submit an application via any other electronic communication, it will not be accepted for review.
  - Access Grants.gov website portal. All funding opportunities and grant application packages are made available on [www.Grants.gov](http://www.Grants.gov).
  - An application will not be considered valid until all application components are entered in Grants.gov and received by the HHS Office of Grants Management according to the deadlines specified in the “DATES” section on page 1 of the FOA.
  - Contact Grants.gov with any questions or concerns regarding the electronic application process 1-800-518-4726.
- 



# Application Submission (cont'd)

Applications must be submitted as **three (3)** files:

- Upload #1: The ENTIRE **project** narrative
- Upload #2: The ENTIRE budget narrative, including supporting documentation described in the **Budget Narrative** content section
- Upload #3: All documents in the **appendices uploaded in the Attachments section of your Grants.gov application as a single acceptable file**

**Exceptions:** Required standard forms **do not** apply to the submission requirements as stated in **Disqualification Criteria**

# Application Submission (cont'd)

- Any files uploaded or attached to the Grants.gov application must be of the following file formats – Microsoft Word, Adobe PDF, or image formats (JPG, GIF, TIFF, or BMP only).
- HHS/OASH strongly recommends that electronic applications be uploaded as Adobe PDF. If you convert to a PDF document prior to submission, you may prevent any unintentional formatting that might occur with submission of an editable document.



# Application Submission (cont'd)

- **Be complete** and do not leave blanks on forms unless the information is not applicable.
- The individual submitting the application forms must have the legal authority to act on behalf of the organization.



## Application Submission (cont'd)

- To ensure successful submission of your application, carefully follow the step-by-step instructions provided at <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>
- These instructions are kept up-to-date and also provide links to Frequently Asked Questions and other troubleshooting information.



# Application Elements (FOA pages 64-65)

- Application for Federal Assistance (SF-424)
- Budget Information for Non-construction Programs (SF-424A)
- Assurances for Non-construction Programs (SF-424B)
- Disclosure of Lobbying Activities (SF-LLL)
- Project Abstract Summary
- Project Narrative – Submit all Project Narrative content as a single acceptable file.
- Budget Narrative – Submit all Budget Narrative content as a single acceptable file.
- Appendices – Submit all appendix content **as a single acceptable file**, in the **Attachments section of your Grants.gov application**.



# Application Format

- Be sure to follow Project Narrative format instructions in the FOA. Your application will be disqualified if it does not conform to the format requirements.
- You *must* double-space the Project Narrative pages.
- You *must* use 12-point font.
- You should use an easily readable typeface, such as Times New Roman or Arial.
- You may single-space tables or use alternate fonts but you must ensure the tables are easy to read.
- For Appendices and Budget Narrative, you should use the same formatting specified for the Project Narrative.
- Appendix documents such as résumés may use alternate formats common to such documents.



# DUNS and System for Award Management (SAM)

- You are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal awards through Grants.gov. If you do not currently have a DUNS number, please contact Grants.gov to create a temporary DUNS number if you are unable to complete the SAM registration process prior to submitting your application.
- Your organization must register online in the System for Award Management (SAM). Under normal operating procedures Grants.gov will reject submissions from applicants with nonexistent or expired SAM Registrations.
- Because of the public health emergency with COVID-19, the requirement for SAM registration **at the time of submission** has been waived. Grants.gov will temporarily allow submissions without a current SAM registration. **A completed registration in SAM may be required prior to receiving any award based on your application.**



# System for Award Management (SAM)

- Grants.gov will reject submissions from applicants with nonexistent or expired SAM Registrations. **Currently waived at time of submission due to public health emergency for COVID-19. (Subject to Change)**
- If you are registering a new entity in SAM.gov, you must mail an “Entity Administrator Notarized Letter” to the **FEDERAL SERVICE DESK**, ATTN: [SAM.GOV](https://sam.gov) Registration Processing. Your notarized letter with the details required must be mailed. Your registration will not be activated until the letter is submitted and reviewed.
- Minimum timeframe to complete an initial SAM registration (30 minutes).
- Timeframe for applicant’s registration to become active (up to 10 days).
- SAM registration **MUST** be renewed each year.



## SAM (cont'd)

- Average timeframe for updates to take effect in Grants.gov (72 hours).
- Recommend applicants check active registration in SAM well before application deadline.
- If successful and receive award must maintain an active SAM registration w/current info at all times during the active award.
- If you have not complied with these requirements, HHS/OASH
  - May determine you are not qualified to receive an award; and
  - May use that determination as a basis for making an award to another applicant.
- Should you successfully compete and receive an award, **all first-tier sub-award recipients must have a DUNS number at the time you, the recipient, make a sub-award.**



# Funding Restrictions

- Allowable, allocable, reasonable, and necessary costs may be charged to an award as direct expenses; indirect costs may be charged on HHS/OASH grants in accordance with Department regulations and current policy effective at the time of the award
- Current requirements can be found online via 45 CFR part 75 “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards”
- Indirect costs may be included per 45 CFR 75.414. Applicants should indicate which method or rate is used for this application
- Current Salary Limitation: **\$197,300 effective January 2020**



# Budget Narrative and Forms

## The Project Budget Information

- SF 424A budget forms
  - Budget narrative
  - Detailed budget justification
- 
- Must be consistent with the requirements of the FOA
  - Budgeted costs must reflect proposed activities
  - Forms, narrative and detailed justification do not count towards page limit
  - Budget line item descriptions and justification requirements are explained in FOA
  - Refer to suggested table formats in the FOA



# Application Disqualification Criteria – 1 (FOA pages 16-17)

- Submitted electronically via [www.grants.gov](http://www.grants.gov) by due date and time (unless an exemption was granted two (2) business days prior to the deadline).
- If you successfully submit multiple applications for the same project, we will only review the last application received by the deadline.
- HHS/OASH/GAM deems your application eligible.
- Project Narrative must be double-spaced, on the equivalent of 8.5" X 11" page size with 1" margins on all sides and font size not less than 12 points.
- Application meets the Application Responsiveness Criteria.



## Application Disqualification Criteria – 2 (FOA pages 16-17)

|                                                                                                               | FOA<br>pg. 14 & 16 |
|---------------------------------------------------------------------------------------------------------------|--------------------|
| Your Federal funds including indirect costs <b>does not exceed the maximum</b> indicated in Award Ceiling.    | \$300,000          |
| Your Federal funds request including indirect costs <b>is not below the minimum</b> indicated in Award Floor. | \$250,000          |
| Project narrative <b>does not exceed</b>                                                                      | 60 pages           |
| Total Application, including Project Narrative plus appendices <b>does not exceed</b>                         | 80 pages           |



# Application Review

- Applications that lack the required supporting documentation or submit additional appendix files will not be disqualified from competitive review; however, it may impact your application's scoring under the evaluation criteria.
- Be sure to follow submission instructions carefully.



# Application Review (cont'd)

- Eligible applications will be reviewed and scored by a panel of independent reviewers with technical expertise in applicable fields according to the criteria listed in the Program Announcement.
- Objective Review Committee process is formal and confidential. Federal staff are available for questions and to ensure the process is consistent and fair, but do not participate in discussion and scoring.
- Applications are also reviewed by:
  - OGM staff for administrative & business compliance.
  - Program Office staff for programmatic compliance.



# Funding Decisions

- The Deputy Assistant Secretary for Minority Health will provide recommendations for funding to the Grants Management Officer to conduct risk analysis.
- In providing these recommendations, the Deputy Assistant Secretary for Minority Health will take into consideration the following additional factor(s):
  - Geographic distribution of projects
  - Distribution of selected health topic areas



# Funding Process

- **We are not obligated to make any Federal award as a result of this announcement.**
- **Only the grants officer can bind the Federal government to the expenditure of funds.**
- **If you receive communications to negotiate an award or request additional or clarifying information, this does not mean you will receive an award; it only means that your application is still under consideration.**
- **All award decisions, including level of funding if an award is made, are final and you may not appeal.**



# Funding Process: Review of Risk Posed by Applicant

- HHS/OASH will evaluate each application in the fundable range for risks posed by the applicant before issuing an award in accordance with 45 CFR 75.205
- OASH will use a risk-based approach and may consider any items such as the following as stated in the FOA:
  - Applicant's financial stability;
  - Quality of management systems and ability to meet the management standards prescribed in 45 CFR part 75;
  - History of performance – Applicants record in managing Federal awards including timeliness of compliance with applicable reporting requirement, conformance to the terms and conditions of previous Federal awards;
  - Reports and findings from audits performed; and
  - The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.



# Funding Process - 1

## Notice of Award (NOA)

- Notifies the successful applicant of the selection; award amount; project & budget periods
- Includes any conditions on the award (for example, requirements that must be met as a condition of receiving the grant funds)
- Includes standard terms, reporting requirements and contact information for OGM and the Program Office



## Funding Process - 2

- If we do not make an award to you because we determine your organization does not meet either or both of the minimum qualification standards as described in 45 CFR §75.205(a)(2), we must report that determination to FAPIIS, if certain conditions apply.
- At a minimum, if you are a prior Federal award recipient, information in the system must indicate that your organization “*demonstrates a satisfactory record of executing programs or activities under Federal grants, cooperative agreements, or procurement awards; and integrity and business ethics.*” 45 CFR § 75.205(a)(2)
- This information will then be available for other organizations to review when considering you for an award.



## Funding Process - 3

- GAM is the official contact for the grantee.
- All official communication related to the grant is between GAM and the successful applicant.
- Program Office will notify unsuccessful applicants via letter.



# Questions and Answers



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# State Partnership Initiative FOA Inquiries

## Programmatic Requirements

Office of Minority Health

Contact Name: Samuel Wu

Email: [Samuel.Wu@hhs.gov](mailto:Samuel.Wu@hhs.gov)

## Administrative and Budgetary Requirements

HHS/OASH/Grants and Acquisitions Management

Contact Name: Roscoe Brunson

Email: [Roscoe.Brunson@hhs.gov](mailto:Roscoe.Brunson@hhs.gov)



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