

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

Performance Measures Guidance v1.0

CDC-RFA-OT21-2103

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Introduction and Purpose

The National Initiative to Address COVID-19 Health Disparities Among Populations at High-Risk and Underserved, Including Racial and Ethnic Minority Populations and Rural Communities provides funding to address COVID-19 and advance health equity (e.g., through strategies, interventions, and services that consider systemic barriers and potentially discriminatory practices that have put certain groups at higher risk for diseases like COVID-19) in racial and ethnic minority groups and racial populations within state, local, US territorial, and freely associated state health jurisdictions.

The *Consolidated Appropriations Act, 2021* (P.L. 116-260), which contained the *Coronavirus Response and Relief Supplemental Appropriations Act, 2021* (P.L. 116-260, Section 2, Division M) provided funding for strategies to improve testing capabilities and other COVID-19 response activities in populations that are disproportionately affected and underserved, including racial and ethnic minority groups and people living in rural communities.

Recipient work plans focus on one or more of the following strategies that align with grant performance measures:

OT21-2103 Strategy	Corresponding Performance Measure(s)
 Strategy 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	Measure 1.1: Number of COVID-19 mitigation and prevention resources and services delivered in support of populations that are underserved and disproportionately affected by type Measure 1.2: Number of COVID-19/SARS-CoV-2 tests completed by test type, results, and race and ethnicity Measure 1.3: Caseload, number of cases per case investigator, and number of contacts per contact tracer during the data collection period

 <p>Strategy 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</p>	<p>Measure 2.1: Number of improvements to data collection, quality, and reporting capacity for recipients, partners, and agencies related to COVID-19 health disparities and inequities</p>
 <p>Strategy 3: Build, leverage, and expand infrastructure support for COVID-19 prevention and control among populations that are at higher risk and underserved</p>	<p>Measure 3.1: Number of improvements to infrastructure to address COVID-19 health disparities and inequities</p>
 <p>Strategy 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</p>	<p>Measure 4.1: Number and proportion of new, expanded, or existing partnerships mobilized to address COVID-19 health disparities and inequities</p>

The performance measures associated with this grant are intended to be used by CDC and recipients to:

- Monitor implementation and progress toward achieving intended outcomes
- Demonstrate accountability to interested parties (e.g., funders, public) by showing how funds are being spent
- Maximize learning opportunities associated with the implementation and impacts of this grant

Recipients are not required to work in all four strategy areas, and therefore they are expected to report only on the measures that align with their selected strategies. CSTLTS recognizes that there are limitations to using performance measures to evaluate the scope of work being conducted by recipients, especially considering the flexible nature of this grant and associated contextual factors. Because of this, other methods of collecting information will be used to demonstrate performance more robustly (e.g., work plan updates, success stories, progress calls, focused evaluation projects). CSTLTS will rely on a combination of these sources to assess progress throughout the period of performance.

Organization of Guidance

For each measure, the following components are described:

- *Measure:* Name of measure
- *Applicable recipients:* Recipients the measure applies to
- *Rationale:* Provides context and reasoning for monitoring this measure

- *Data elements*: Specific variables (e.g., numerator, denominator) that will be reported by recipient or monitored by CSTLTS
- *Additional guidance*: Additional information to help understand the measure, such as definitions for specific terms, inclusion/exclusion criteria, limitations to the measure, and other applicable information
- *Target*: Recipients will provide period of performance targets for their applicable measures during the initial reporting cycle. Recipients will then update progress toward their target quarterly. Targets will be used to provide guidance to recipients on the desired level of performance from CSTLTS. They will also be used in discussion to identify gaps and opportunities to provide technical assistance.
- *Reporting frequency*: Specifies how often the measure will be reported
- *Reporting mechanism*: Describes how data will be reported
- *Additional considerations*: CSTLTS will provide suggestions on how to report certain measures if recipients are able to provide more robust information.

Intended Use of Guidance

We encourage recipients to review this guidance and share it with relevant staff members in each jurisdiction who are involved in reporting performance measures. This information is intended to ensure that recipients understand each measure and how it may apply to their work, as well as how they will report on measures throughout the period of performance.

Measures and guidance may be modified during the period of performance because of shifts in priorities and to improve performance monitoring. More data may be needed for measures, and there is the potential that new measures will be developed. CSTLTS will make every effort to keep changes to a minimum.

Recipients will use the REDCap system to report their performance measures quarterly during the performance period. For questions on REDCap, reach out to OT21-2103support@cdc.gov.

If you have questions related to these performance measures, contact 2103evaluation@cdc.gov or your project officer.

List of Performance Measures At-A-Glance

Measure 1.1: Number of COVID-19 mitigation and prevention resources and services delivered in support of populations that are underserved and disproportionately affected by type

Measure 1.2: Number of COVID-19/SARS-CoV-2 tests completed by test type, results, and race and ethnicity

Measure 1.3: Caseload, number of cases per case investigator, and number of contacts per contact tracer during the data collection period

Measure 2.1: Number of improvements to data collection, quality, and reporting capacity for recipients, partners, and agencies related to COVID-19 health disparities and inequities

Measure 3.1: Number of improvements to infrastructure to address COVID-19 health disparities and inequities

Measure 4.1: Number and proportion of new, expanded, or existing partnerships mobilized to address COVID-19 health disparities and inequities

Performance Measure Detailed Guidance

Measure 1.1: Number of COVID-19 mitigation and prevention resources and services delivered in support of populations that are underserved and disproportionately affected by type

Applicable Recipients	All OT21-2103 recipients working within Strategy 1 (Expand existing and/or develop new mitigation and prevention resources and services) will calculate and report on this measure.
Rationale	<p>To reduce COVID-19 health disparities, it is critical to ensure equitable access to COVID-19 mitigation and prevention resources and services, such as personal protective equipment, contact tracing, testing, quarantine and isolation, and vaccination. <i>Source:</i> CDC-RFA-OT21-2103</p> <p>CDC will use these data to understand how many resources and services are delivered for COVID-19 mitigation and prevention in support of populations that are underserved and disproportionately affected. The specific type of resource and/or service will allow for understanding the range and frequency of the varying activities delivered.</p>
Data Elements	<ul style="list-style-type: none">• <i>Number:</i> Count of types of COVID-19 mitigation and prevention resources and services delivered in support of underserved and disproportionately affected populations• <i>Type:</i> Categorical description of COVID-19 mitigation and prevention resources and services delivered in support of underserved and disproportionately affected populations<ul style="list-style-type: none">○ Including, but not limited to:<ul style="list-style-type: none">▪ Vaccination and vaccine support▪ Testing▪ Contact tracing▪ Case investigation▪ Quarantine and isolation▪ Preventive care and disease management▪ Personal protective equipment (PPE)▪ Wrap-around services related to COVID-19▪ Evidence-based policies, systems, and environmental strategies▪ Other navigation and support services to address COVID-19 risk factors▪ Communications about COVID-19 risk factors and mitigation/prevention▪ Plans for countermeasures and adaptation services

Additional Guidance	<p>It is recognized that all COVID-19 prevention resources and services listed above under “type” encompass evidence-based policies, systems, and strategies. When reporting under the “evidence-based policies, systems, and environmental strategies” category type, please report resources and services not already counted by the other types of resources and services in the list.</p> <p>Vaccination and vaccine support includes coordination activities related to administration of vaccines. Recipients should not count actual vaccine administration and rates, as grant funds are not allowable for that purpose.</p>
Target	Target to be set by recipient during initial reporting cycle
Reporting Frequency	Quarterly
Reporting Mechanism	REDCap
Additional Considerations	If you have the capacity to report the number and type of resource/service at the county, parish, tribal land, census tract, or metropolitan statistical area (MSA) level, please provide that information to the lowest geographical level possible.

Measure 1.2: Number of COVID-19/SARS-CoV-2 tests completed by test type, results, and race and ethnicity

Applicable Recipients	<p>OT21-2103 recipients who are also funded by the Epidemiology and Laboratory Capacity for Prevention and Control of Emerging Infectious Diseases (ELC) and working within Strategy 1 (Expand existing and/or develop new mitigation and prevention resources and services) will calculate and report on this measure.</p> <p>For the first reporting cycle, this measure is optional for recipients who are not funded by ELC.</p> <p>For more information on ELC and a list of recipients: CDC - ELC Cooperative Agreement - DPEI - NCEZID</p>
Rationale	<p>A major purpose of this funding is to ensure that a robust testing program for COVID-19/SARS-CoV-2 is in place for populations of focus. Recipients are expected to expand testing capacity, including working with non-public health laboratory (PHL) laboratories/community testing sites, to enable the jurisdiction to test sufficient numbers of its population in accordance with CDC guidelines and in alignment with a jurisdiction’s testing plan. This measure looks at the volume of COVID-19/SARS-CoV-2 testing conducted across a jurisdiction and may be used in conjunction with percentage of positive molecular tests to indicate whether a jurisdiction is sufficiently testing its population and suggested populations of focus.</p> <p><i>Source:</i> ELC Performance Measures Guidance for Project E: Enhancing Detection</p>

Data Elements	<ol style="list-style-type: none"> 1. Number of COVID-19/SARS-CoV-2 molecular tests conducted 2. Number of COVID-19/SARS-CoV-2 serology tests conducted 3. Number of COVID-19/SARS-CoV-2 molecular tests conducted that were positive 4. Number of individuals planned to be tested (molecular) <p>Report this performance measure by racial and ethnic populations. If exact numbers are difficult to obtain, please indicate numbers for which race and ethnicity are unknown. Populations to report by:</p> <ul style="list-style-type: none"> • Alaska Native, non-Hispanic • American Indian, non-Hispanic • Asian, Non-Hispanic • Black or African American, non-Hispanic • Hispanic, Latino or Latinx • Native Hawaiian and Pacific Islanders, non-Hispanic • White, non-Hispanic • Multiple race, non-Hispanic • Unknown
Additional Guidance	<p>This measure is about the total number of tests conducted. Numbers are inclusive of all tests conducted in your jurisdiction regardless of testing site. We understand there may be a substantial discrepancy between the number of tests conducted and number of individuals tested; however, at this point, there is no way to differentiate between these two numbers through the Clinical and Environmental Lab Results (CELR) line-level data received by CDC. We encourage jurisdictions to de-duplicate test results whenever possible to better understand the burden of COVID-19 within the population.</p> <p>There are limitations to using percent positivity as an indicator of adequate testing capacity, and results will be contextualized with other factors. For example, a high percentage of positive test results may indicate that testing is occurring among a disproportionately high-risk population, or that there is a high prevalence of COVID-19/SARS-CoV-2 overall circulating within the population. The percentage of positive test results among all molecular test results may also be used to help gauge whether a jurisdiction has sufficient testing capacity in place, especially when it is applied to specific populations (e.g., high-risk demographics) and geographical areas (e.g., densely populated urban areas).</p>

	<p><i>Number of tests conducted:</i> These include all tests (molecular, serology) and all test results (positive, negative, and indeterminant).</p> <p><i>Number of individuals planned to be tested:</i> This information is collected via the Jurisdictional Testing Plans as mandated by legislative language.</p>
Target	Targets to be set by recipient during initial reporting cycle.
Reporting Frequency	Quarterly
Reporting Mechanism	REDCap
Additional Considerations	<p>This measure and guidance align with ELC Enhancing Detection Measure E.2. If you are an ELC recipient, you may report the same data for OT21-2103, including racial and ethnic population data and the following additional consideration:</p> <ul style="list-style-type: none"> ○ If you have the capacity to report the number and type of tests at the county, parish, tribal land, census track, or MSA level, please provide that information to the lowest geographical level possible.

Measure 1.3: Caseload, number of cases per case investigator and number of contacts per contact tracer during the data collection period

Applicable Recipients	<p>OT21-2103 recipients who are also funded by ELC and working within Strategy 1 (Expand existing and/or develop new mitigation and prevention resources) will calculate and report on this measure.</p> <p>For the first reporting cycle, this measure is optional for recipients who are not funded by ELC.</p> <p>For more information on ELC and a list of recipients: CDC - ELC Cooperative Agreement - DPEI - NCEZID</p>
Rationale	<p>This measure is essential for monitoring capacity and identifying case investigation and contact tracing staffing needs. This data will help provide important information about variations in workload over time and across jurisdictions within populations of focus.</p> <p><i>Source:</i> ELC Performance Measures Guidance for Project E: Enhancing Detection</p>
Data Elements	<ol style="list-style-type: none"> 1. Number of cases reported to the health department (confirmed and, if possible, probable) 2. Number of cases sent to the case investigation team

	<p>3. Number of case Investigators</p> <p>4. Number of contacts identified through case investigations</p> <p>5. Number of contact tracers</p> <p>6. During the data collection period, were the contact tracing staff separate from case investigation staff? Select one:</p> <ul style="list-style-type: none"> a. Yes, they were all separate staff people b. Mostly separate, as some case investigators did some contact tracing (or vice versa) c. No, they were all the same staff, who did both jobs <p>Report this performance measure by racial and ethnic populations. If exact numbers are difficult to obtain, please indicate numbers for which race and ethnicity are unknown. Populations to report by:</p> <ul style="list-style-type: none"> • Alaska Native, non-Hispanic • American Indian, non-Hispanic • Asian, Non-Hispanic • Black or African American, non-Hispanic • Hispanic, Latino or Latinx • Native Hawaiian and Pacific Islanders, non-Hispanic • White, non-Hispanic • Multiple race, non-Hispanic • Unknown
Additional Guidance	<p>If exact numbers are difficult to obtain, please provide the best estimate for these variables and provide an explanation in the note section.</p> <p><i>Definitions:</i></p> <p><i>Total number of cases</i> should include all confirmed and, if possible, probable.</p> <p><i>Number of cases sent to the investigation team</i> is the total number of cases expected to be interviewed. This may be the same number as or a subset of Data Element 1.</p> <p><i>Number of case investigators</i> is the total number of staff who were assigned cases to contact for an interview.</p> <p><i>Number of contacts</i> is the total number of contacts identified through case interviews.</p>

	<p><i>Number of contact tracers</i> is the total number of staff assigned to follow up on contacts.</p> <p>Potential Calculations (performed by CDC):</p> <ol style="list-style-type: none"> 1. Caseload per case investigator 2. Caseload per contact tracer
Target	Targets to be set by recipient during initial reporting cycle
Reporting Frequency	Quarterly
Reporting Mechanism	REDCap
Additional Considerations	<p>This measure and guidance aligns with ELC Enhancing Detection Measure E.17. If you are an ELC recipient, you may report the same data for OT21-2103 including racial and ethnic population data and the following additional consideration:</p> <ul style="list-style-type: none"> ○ If you have the capacity to report the performance measure at the county, parish, tribal land, census tract or MSA level, please provide that information to the lowest geographical level possible.

Measure 2.1: Number of improvements to data collection, quality, and reporting capacity for recipients, partners, and agencies related to COVID-19 health disparities and inequities

Applicable Recipients	All OT21-2103 recipients working within Strategy 2 (Increase/improve data collection and reporting) will calculate and report on this measure.
Rationale	<p>Improving data systems and the collection, quality, and reporting of racial, ethnic, and rural health data for COVID-19 prevention and control will help to better identify populations and communities disproportionately affected, track resources distribution, and evaluate the effectiveness of advancing health equity. Improvements to data collection, quality, and reporting capacity among recipients and related partners are fundamental activities to reduce COVID-19 health disparities. <i>Source:</i> CDC-RFA-OT21-2103</p> <p>CDC will use this measure to learn how and where data improvements assist in addressing COVID-19 prevention disparities and inequities. Data improvements may include efforts to enhance data collection, quality, reporting, and more.</p>

Data Elements	<ul style="list-style-type: none"> • <i>Improvements</i>: Data collection, data quality, or reporting capacity that is developed, established, enhanced, maintained, increased, implemented, delivered, or otherwise made better within recipient organizations and across relevant partner or agency organizations <ul style="list-style-type: none"> ○ <i>Partners</i> may include but are not limited to community-based organizations, social services providers, faith-based organizations, and academic institutions. ○ <i>Agencies</i> may include but are not limited to governmental organizations focused on non-health services, health departments, and local governmental agencies. • <i>Improvements to data collection and reporting</i>: Count of improvements to data collection and reporting capacity within recipient organization and count of improvements to data collection and reporting capacity within associated partner or agency organizations <ul style="list-style-type: none"> ○ Including, but not limited to: <ul style="list-style-type: none"> ▪ Established plans for collecting and reporting timely, complete, representative, and relevant data ▪ Established, enhanced, or maintained data systems ▪ Workforce support for data collection and reporting to ensure collection of complete and representative data (e.g., race, ethnicity, and other populations of focus) <ul style="list-style-type: none"> • Support may include informational technology (IT) staff, data coordinators, analysts and educators, modelers and other staff specifically related to data collection and reporting • Support may be associated with the recipient's organization or a partner organization ▪ Developed key principles and resources for collecting, reporting, and disseminating data related to inequities and disparities ▪ Implemented improvements to testing and contact tracing data collection and reporting ▪ Developed monitoring and evaluation plans related to improving health disparities and inequities • <i>Improvements to data quality</i>: Count of improvements to data quality capacity within recipient organization and count of improvements to data quality capacity within associated partner or agency organizations <ul style="list-style-type: none"> ○ Including, but not limited to: <ul style="list-style-type: none"> ▪ Implemented strategies to educate on the importance of data to address disparities and inequities ▪ Developed plans for data quality assurance and improvement ▪ Delivered resources for data infrastructure and workforce in alignment with data modernization efforts
Additional Guidance	Please report all data systems and staffing related to data infrastructure improvements under this measure and not under measure 3.1.
Target	Targets to be set by recipient during initial reporting cycle.

Reporting Frequency	Quarterly
Reporting Mechanism	REDCap
Additional Considerations	

Measure 3.1: Number of improvements to infrastructure to address COVID-19 health disparities and inequities

Applicable Recipients	All OT21-2103 recipients working within Strategy 3 (Build, leverage and expand infrastructure support) will calculate and report on this measure.
Rationale	<p>Sufficient workforce, infrastructure, and capacity are critical to providing equitable access to disproportionately affected and underserved populations. This grant aims to build, leverage, and expand infrastructure capacity within state, local, US territorial, and freely associated state health departments to ensure and expand equitable access to COVID-19 resources and services. <i>Source:</i> CDC-RFA-OT21-2103</p> <p>This measure will allow CDC to understand the infrastructure improvements made within jurisdictions and across partner organizations to address COVID-19 health disparities and inequities.</p>
Data Elements	<ul style="list-style-type: none"> • <i>Improvements:</i> Infrastructure components and capacity that are new (developed or delivered something that did not exist previously), improved (made something that existed better), or expanded (increased something that previously existed) within recipient organizations and across relevant partner or agency organizations • <i>Improvements to infrastructure within recipient organization:</i> Count of improvements to infrastructure within recipient organization <ul style="list-style-type: none"> ○ Including, but not limited to: <ul style="list-style-type: none"> ▪ Expanded workforce through mechanisms such as contracts/contractors, hiring employees and/or temp workers, or bringing on volunteers (e.g., health equity roles and leadership, inclusive workforce) ▪ Training and education delivered within recipient organization ▪ Developed or updated health equity plans ▪ Established health equity offices ▪ Expanded contact tracing and testing infrastructure • <i>Improvements to infrastructure across relevant partner or agency organizations:</i> Count of improvements to infrastructure across relevant partner or agency organizations <ul style="list-style-type: none"> ○ Including, but not limited to:

	<ul style="list-style-type: none"> ▪ Training and education delivered within the community or partner organizations ▪ Convened multisector coalitions or advisory groups ▪ Improved cross-sector coordination and systems
Additional Guidance	<p>Note that this measure excludes infrastructure improvements to data systems and data related workforce support (e.g., IT specialists, data coordinators and analysts). Please report data systems infrastructure improvements in Measure 2.1. More details on what this includes can be found in Measure 2.1 data elements.</p> <p>Infrastructure improvements include those made within recipient organizations as well as those made in partner or associated organizations.</p> <p>Improvements can include newly developed, improved upon, or maintained infrastructure elements.</p>
Target	Targets to be set by recipient during initial reporting cycle.
Reporting Frequency	Quarterly
Reporting Mechanism	REDCap
Additional Considerations	

Measure 4.1: Number and proportion of new, expanded, or existing partnerships mobilized to address COVID-19 health disparities and inequities

Applicable Recipients	<p>All OT21-2103 recipients will calculate and report on this measure.</p> <p>This measure aligns with Strategy 4: Mobilize partners and collaborators.</p>
Rationale	<p>Identifying and addressing current gaps and factors that influence COVID-19-related health disparities requires a collaborative approach. Collaborations between recipients and key partners will broadly address health disparities and inequities related to COVID-19. <i>Source:</i> CDC-RFA-OT21-2103</p> <p>This measure will inform how many new, existing, or expanded partnerships are mobilized to reduce COVID-19 health disparities throughout the period of performance.</p>
Data Elements	<ul style="list-style-type: none"> • <i>Mobilized:</i> Assembled or organized to act together in a coordinated way to bring about shared outcomes. Examples of partner mobilization include but are not limited to:

	<ul style="list-style-type: none"> ○ Built community capacity with traditional and nontraditional partners ○ Built and implemented cross-sectoral partnerships ○ Developed mechanisms such as community advisory groups ○ Identified and established collaborations with critical partners who support populations of focus • <i>Total partnerships</i>: Count of all new, existing, and expanded partnerships mobilized to address COVID-19 health disparities and inequities. This number will serve as the denominator in the proportion. • <i>New partnerships mobilized</i>: Count of new partnerships mobilized to address COVID-19 health disparities and inequities. New partnerships include any organization that the recipient has not worked with in the past in funded or unfunded capacities. This number will serve as the numerator of the proportion for new partnerships mobilized. • <i>Existing partnerships mobilized</i>: Count of existing partnerships mobilized to address COVID-19 health disparities and inequities. Existing partnerships include organizations that recipients are currently working with or have worked with previously to address COVID-19 health disparities and inequities. This number will serve as the numerator of the proportion for existing partnerships mobilized. • <i>Expanded partnerships mobilized</i>: Count of expanded partnerships mobilized to address COVID-19 health disparities and inequities. Expanded partnerships include those that recipients are currently working with or have worked with previously and will enhance through increased membership, mission, or funding. This number will serve as the numerator of the proportion for expanded partnerships mobilized. • The proportion of partnerships will be automatically calculated in REDCap using the counts of new, existing, and expanded partnerships as the numerators and total partnerships as the denominator. Please verify the accuracy of these proportions.
Additional Guidance	<p>Both funded and unfunded partnerships should be included when calculating and reporting this measure.</p> <p>Do not include plans, staffing, or materials in support of partnerships when reporting this measure.</p>
Target	Targets to be set by recipient during initial reporting cycle
Reporting Frequency	Quarterly
Reporting Mechanism	REDCap
Additional Considerations	