U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES

Public Health Service

Centers for Disease Control
and Prevention (CDC)
Atlanta GA 30333

Centers for Disease Control and Prevention (CDC)

Procurement and Grants Office

Instructions for Preparing an Annual Performance Report

Financed Solely by Prevention and Public Health Fund (PPHF)

Catalog of Federal Domestic Assistance (CFDA): 93.735

Funding Opportunity Announcement: CDC-RFA-DP14-141002PPHF15

PPHF 2015: Tobacco Use Prevention – Public Health Approaches for Ensuring Quitline Capacity – financed solely by 2015 Prevention and Public Health Funds
National Center for Chronic Disease Prevention and Health Promotion

This announcement replaces DP14-141002CONT15 and does not solicit new applications. Applications filed under the announcement dated February 24, 2015 will be used for review and award. "

Eligibility:

This FOA is financed solely by fiscal year 2015 Prevention and Public Health Fund (PPHF) and is a continuation of funds intended only for grantees previously awarded under CDC-RFA-DP14-1410PPHF14, entitled *"PPHF 2014: Tobacco Use Prevention – Public Health Approaches for Ensuring Quitline Capacity – financed solely by 2014 Prevention and Public Health Funds"*

Application Submission:

CDC requires grantees to submit their Annual Performance Reports (APR), which serve as the continuation application through www.Grants.gov not later than 120 days prior to the end of the budget period or by the date identified in the continuation guidance.

If you encounter any difficulties submitting your APR through www.Grants.gov, contact CDC's Technical Information Management Section at (770) 488-2700 prior to the submission deadline. If you require additional information regarding the APR process, contact Pamela Render, Grants Management Officer at (770) 488-2712. For programmatic information, contact Shauntrelle Chappell, Project Officer at (404) 398-1787.

The submission deadline for APR is **April 03, 2015 by 11:59pm EST**. Late or incomplete reports could result in delay of award or reduction in funds. CDC will accept a request for extension to submission deadline on rare occasions and after receipt of adequate supporting justification.

General Application Packet Tips:

- Properly label each item of the application packet
- Each section should use 1.5 spacing with one-inch margins
- Number all narrative pages

- This report must not exceed 45 pages excluding administrative reporting; attachments are not allowed, but Web links are allowed
- Where the instructions on the forms conflict with the instructions, follow these instructions

CDC requires the use of PDF format for ALL attachments. Use of file formats other than PDF may result in the file being unreadable by CDC staff. Directions for creating PDF files can be found on www.Grants.gov.

Checklist for required contents of application packet:

1. SF-424 Application for Federal Domestic Assistance-Short Organizational Form
2. SF-424A Budget Information-Non-Construction Programs
3. Budget Justification
4. Indirect Cost Rate Agreement
5. Project Narrative

Instructions for accessing and completing required contents of the application package:

- Go to: www.Grants.gov
- Select: "Apply for "Grants""
- Select: "Step 1: Download a Grant Application"
- Insert the **CDC-RFA-DP14-141002PPHF15** only (example: CDC-RFA-DP12-121503PPHF15)
- Download application package and complete all sections

1. SF-424 Application for Federal Domestic Assistance-Short Organization Form: (Complete all sections)

- In addition to inserting the legal name of your organization in Block 5a, insert the CDC notice of award number. Failure to provide the notice of award number could cause delay in processing your application for new funding.
- Insert your organization's business official name, title and complete address in block 8.

Note: Items 2, 3, and 4 should be attached to the application through the "*Mandatory Documents"* section of the "Grant Application" page. Select "*Other Attachments Form*" and attach as a PDF file.

2. SF-424A Budget Information and Justification

- Download the form from www.Grants.gov
- Complete all applicable sections
- Based on the current rate of obligation, if it appears there will be un-obligated PPHF funds at the end of the current budget year, provide detailed actions that will be taken to obligate this amount. ***Note, to use unobligated PPHF funds, you must submit a request in writing to the GMO requesting an extension to current budget year to complete the approved PPHF activities. Request must include the incomplete PPHF activities, proposed detailed budget and a brief justification***

- If it appears there will be insufficient funds…
    - Provide detailed justification of the shortfall
    - List the actions taken to bring the obligations in line with the authorized funding level
- The proposed budget should be based on the Federal funding level stated in CDC's letter
- In a separate narrative, provide a detailed, line-item budget and justification for the funding amount requested to support the activities to be carried out with those funds

- Attach in the "Mandatory Documents" box under "Budget Narrative Attachment Form"
- Document needs to be in the PDF format

3. The Budget Justification:

Must be prepared in the general form, format, and to the level of detail as described in the *CDC Budget Guidance*. The *CDC Budget Guidance* can be accessed here -

(http://www.cdc.gov/fmo/topic/Budget%20Information/index.html)

- For any new proposed subcontracts provide the information specified in the CDC Budget Guidance
- When non-Federal matching is required, provide a line-item list of non-Federal contributions including source, amount, and/or value of third party contributions proposed to meet a matching requirement

4. Indirect Cost Rate Agreement

- If indirect costs are requested, include a copy of the current negotiated Federal indirect cost rate agreement or a cost allocation plan approval letter for those grantees under such a plan
- Clearly describe the method used to calculate indirect costs. Ensure the method is consistent with the Indirect Cost Rate Agreement
- To be entitled to use indirect cost rates, a rate agreement must be in effect at the start of the budget period.
  - If an indirect cost rate agreement is not in effect, indirect costs may be charged as direct if (1) this practice is consistent with the grantee's/applicant's approved accounting practices; and (2) if the costs are adequately supported and justified. Please see the budget guidelines (http://www.cdc.gov/fmo/topic/Budget%20Information/index.html) for additional information
  - If applicable, attach in the "Mandatory Documents" box under "Other Attachments Form"- Name document "Indirect Cost Rate Agreement"

5. Project Narrative

Section I. Current Budget Period Progress: *Provide a brief annual performance report addressing the following elements of each objective or activity:*

a. Annual performance report elements:

- **Performance Measures** (including outcomes)-Awardees must report on:
  - Year 1 approved performance measures and update measures.
  - Evidence of executed annual sustainability plan and activities.
  - Evidence of approved (paid and earned) health communications plan to educate the public and increase awareness about: the dangers of tobacco use, the dangers of exposure to secondhand smoke, and available cessation support and resources.
  - Evidence of mechanisms to facilitate information exchange on a regular basis and as needed with partners, the media, and the public.

- On-time quarterly submissions of intake and services data to the NQDW and any new information related to populations experiencing disparities and/or new and emerging products.
- On-time submission of Federal Financial Reports that demonstrate systems for sound fiscal management including expenditure patterns and minimal unobligated balances.

- **Evaluation Results**–Awardees must report evaluation results for the work completed to date (including any data about the effects of the program). Awardees must submit a more detailed evaluation and performance measurement plan consistent with the CDC/OSH guide: Developing an Effective Evaluation Plan (http://www.cdc.gov/tobacco/tobacco_control_programs/surveillance_evaluation/evaluation_plan/index.htm) and the CDC Framework for Evaluation.
- **Work Plan**
  - Awardees must discuss progress in all of the following required activities:
    - Ensure infrastructure for state quitline
    - Improve quitline capacity
    - Participate in surveillance and evaluation efforts
    - Identify and target disparate populations
    - Improve sustainability
  - Awardees must also discuss their progress in two or more of the recipient activities listed below. As described in the FOA guidance, awardees were to select at least two of these strategies.
    - Increase media efforts
    - Enhance quitline protocol and operations
    - Improve understanding of comprehensive cessation coverage for Medicaid recipients
    - Promote health systems changes
- **Successes**
  - Awardees must report progress on completing activities outlined in the work plan.
  - Awardees must report on their success in ensuring that all callers to the Quitline during the Tips from Former Smokers Campaign during 2014 were offered minimum services as described in the FOA.
  - Awardees must describe any additional successes (e.g., identified through evaluation results or lessons learned) achieved in the past year.
  - Awardees must report on progress toward the submission of a minimum of one success story during Year 1.
- **Challenges**
  - Awardees must describe any challenges that might affect their ability to achieve annual and project-period outcomes, conduct performance measures, or complete the activities in the work plan.
  - Awardees must describe any specific challenges that impacted their ability to ensure that all callers to the Quitline during the Tips from Former Smokers Campaign during 2014 were offered minimum services as described in the FOA.
  - Grantees must describe any additional challenges (e.g., identified through evaluation results or lessons learned) encountered in the past year.
- **CDC Program Support to Grantees**

- Grantees must describe how CDC could help them overcome challenges to achieving annual and project-period outcomes and performance measures, and completing activities outlined in the work plan.

- **Administrative Reporting** (No page limit)
  - SF-424A Budget Information-Non-Construction Programs.
  - Budget Narrative–must use the format outlined in "Content and Form of Application
  - Awardees must provide a chart with the history of funding for state quitline funding for Year 1 of DP14-1410 that includes the amount awarded in Year 1, amount drawn down to date, and calculated percentage of total award drawn down.
  - Submission, Budget Narrative" section.
  - Indirect Cost-Rate Agreement.

Section II. New Budget Period Proposed Objectives and Activities

a. List proposed objectives for the upcoming budget period
   - These objectives must support the intent of the original funding opportunity announcement or program announcement

b. Each objective and activity must contain a performance or outcome measure that assesses the effectiveness of the project
   - For each objective:
     - List activities that will be implemented
     - Provide a timeline for accomplishment
     - Identify and justify any redirection of activities
     - Explain the methods you will use to implement the new, redirected activities
     - In addition to this information, include comments pertaining to budgetary issues that might hamper the success or completion of the project as originally proposed and approved. Please utilize the work plan format in the original work plan, if applicable.

Additional Program Requirements – *(If Applicable)*

Program should include guidance for any additional requirements of the recipient for the upcoming budget year. Changes in programmatic priorities must be within the scope of the approved funding opportunity announcement and Notice of Award.

- Awardees must discuss progress in all of the following required activities:
  - Ensure infrastructure for state quitline
  - Improve quitline capacity
  - Participate in surveillance and evaluation efforts
  - Identify and target disparate populations
  - Improve sustainability
- Applicants must also address recipient activities from at least two of the four strategies that are relevant for their state environment (described below):
  - Increase media efforts
  - Enhance quitline protocol and operations
  - Improve understanding of comprehensive cessation coverage for Medicaid recipients
  - Promote health systems changes

- Each objective and activity must contain a performance or outcome measure that assesses the effectiveness of the project.

- For each objective:
    - List activities that will be implemented;
    - Provide a timeline for accomplishment;
    - Identify and justify any redirection of activities; and
    - Explain the methods you will use to implement the new, redirected activities.
- Performance Measures (including outcomes)–Awardees must report on performance measures for each budget period and update measures, if needed. Awardees must submit the following aspects that show their ability to implement and support key strategies:
    - Evidence of executed annual sustainability plan and activities.
    - Evidence of approved (paid and earned) health communications plan to educate the public and increase awareness about: the dangers of tobacco use, the dangers of exposure to secondhand smoke, and available cessation support and resources.
    - Evidence of mechanisms to facilitate information exchange on a regular basis and as needed with partners, the media, and the public.
    - On-time quarterly submissions of intake and services data to the NQDW and any new information related to populations experiencing disparities and/or new and emerging products.
    - On-time submission of Federal Financial Reports that demonstrate systems for sound fiscal management including expenditure patterns and minimal unobligated balances.
- Awardees must update their work plan for Year 2.
- In addition to this information, include comments pertaining to budgetary issues that might hamper the success or completion of the project as originally proposed and approved. Please utilize the work plan format in the original work plan, if applicable.

Performance Measure Reporting (If applicable)

CDC programs must require awardees to submit performance measures annually and may require reporting more frequently. Performance measure reporting must be limited to data collection. When funding is awarded initially, CDC programs must specify required reporting frequency, data fields, and format.

The annual performance report must include the following:

- Progress toward Year 1 approved performance measures.
- Evidence of executed annual sustainability plan and activities.
- Evidence of approved (paid and earned) health communications plan to educate the public and increase awareness about: the dangers of tobacco use, the dangers of exposure to secondhand smoke, and available cessation support and resources.
- Evidence of mechanisms to facilitate information exchange on a regular basis and as needed with partners, the media, and the public.
- On-time quarterly submissions of intake and services data to the NQDW and any new information related to populations experiencing disparities and/or new and emerging products.
- On-time submission of Federal Financial Reports that demonstrate systems for sound fiscal management including expenditure patterns and minimal unobligated balances.
- Submission of a minimum of one success story.

Budget Requirements:

- States should budget for any new data elements (not to exceed 8 data elements) prescribed by the National Quitline Data Warehouse.
- States should budget for 1 staff to travel to Atlanta, GA for the Core Kickoff Meeting in August 2015.

Other Requirements:

- When developing Year 2 work plans, awardees should pay particular attention to:
    - Targeted partnerships and outreach to private health insurers.
    - Efforts to educate the state Medicaid Program and private health insurers about evidence-based cessation treatments and related recommendations and requirements.
    - Opportunities to increase assessments of Medicaid and private cessation coverage.
    - Opportunities to increase awareness and utilization of covered cessation treatments among Medicaid and privately insured tobacco users.

PPHF Grantees Semi-annual Reporting

CDC-OCOO-BISM will distribute the pre-populated reporting templates to PPHF Grantees through the BISM mailbox (BISMPPHF@cdc.gov). All recipients will receive their pre-populated template prior to the start of the reporting period with additional guidance. CDC will validate grantee email addresses through the Procurement and Grants Office and PPHF programs. The prime grantee will receive the report and will be responsible for populating the sub-award information.

Estimated Funding:

FY15 PPHF funding will be $16,000,000

Total FY15 funds including PPHF funds will be $16,000,000

General Provisions Title II, Division H, Consolidated Appropriations Act (2014).

Section 203 - Cap on Researcher Salaries

None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II; reduced from $199,700 to $179,700 effective December 23, 2011.

Section 217 - Gun Control Prohibition

None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

Section 218 - Prevention and Public Health Fund Reporting Requirements

Prevention Fund Reporting Requirements: This award requires the grantee to complete projects or activities which are funded under the Prevention and Public Health Fund (PPHF) (Section 4002 of Public Law 111-148) to report on use of PPHF funds provided through this award. Information from these reports will be made available to the public.

Responsibilities for Informing Sub-recipients: Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of 2014 PPHF funds. When a recipient awards 2014 PPHF funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental 2014 PPHF funds from regular sub-awards under the existing program.

Reporting Requirements:

Recipients awarded a grant, cooperative agreement, or contract from such funds with a value of $25,000 or more shall produce reports on a semi-annual basis with a reporting cycle of January 1 - June 30 and July 1 - December 31; and email such reports (in 508 compliant format) to the CDC website (template and point of contact to be provided after award) no later than 20 calendar days after the end of each reporting period (i.e. July 20 and January 20, respectively). Recipient reports shall reference the notice of award number and title of the grant or cooperative agreement, and include a summary of the activities undertaken and identify any sub-grants or sub-contracts awarded (including the purpose of the award and the identity of the subrecipient).

Funding Restrictions

Restrictions, which must be taken into account while writing the budget, are as follows:

- No part of any appropriation contained in this Act or transferred pursuant to Sec. 502(a), (b) and (c) of Title V, Division H, Consolidated Appropriations Act, 2014 and section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

(b) No part of any appropriate contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient , or agent acting for such

recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislative body, other than normal and recognized executive-legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government. (c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending, or future Federal, State, or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

- Sec. 217,Title II, Division H, Consolidated Appropriations Act, 2014. None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

- Sec 422, Title IV, Division H. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, made a grant to, or provide a loan or loan guarantee to, any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent and made a determination that this further action is not necessary to protect the interests of the Government.

- Sec 423, Title IV, Division H. None of the funds made available by this act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation with respect to which any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsibly for collecting the tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.
- Sec 522, Title V, Division H of the Consolidated Appropriations Act, 2014. Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.