Annual Performance Reports (APR)

This AMENDMENT I (April 30, 2015) is for Information Purpose only. This amendment is to clarify the original APR guidance for the recipients of the fiscal year 2015 Prevention and Public Health Fund (PPHF) awards. No response is required for this amendment.

These instructions for Preparing an Annual Performance Report amend the original APR guidance FOA Number CDC-RFA-DP13-130503CONT15 and do not solicit new applications. Applications submitted under the announcement dated January 22, 2015 will be used for review and award.

Change the CFDA number to 93.757

Change Funding Opportunity Announcement (FOA) Number to CDC-RFA-DP13-130503PPHF15

Change Title to PPHF 2015: Nutrition, Physical Activity and Obesity Base Activities- State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity and Associated Risk Factors and Promote School Health--financed *in part by fiscal year 2015 Prevention and Public Health Funds*
This announcement is a continuation of funds intended only for grantees previously awarded under CDC-RFA-DP13-130503CONT15

Division of Diabetes Translation, Division for Heart Disease and Stroke Prevention, Division of Nutrition, Physical Activity and Obesity, Division of Population Health/School Health Branch

Change Instructions for accessing and completing required contents of the application package to CDC-RFA-DP13-130503CONTPPHF15

Centers for Disease Control and Prevention (CDC)

Procurement and Grants Office

Instructions for Preparing an Annual Performance Report

Catalog of Federal Domestic Assistance (CFDA): 93.757

Funding Opportunity Announcement

(FOA) Number: CDC-RFA-DP13-130503CONTPPHF15

PPHF 2015: Nutrition, Physical Activity and Obesity Base Activities- State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity and Associated Risk Factors and Promote School Health--financed in part by fiscal year 2015 Prevention and Public Health Funds

Division of Diabetes Translation, Division for Heart Disease and Stroke Prevention, Division of Nutrition, Physical Activity and Obesity, Division of Population Health/School Health Branch

Eligibility:
This FOA is financed **in part** 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-DP13-130503CONT15, entitled *"***State Public Health**

Actions to Prevent and Control Diabetes, Heart Disease, Obesity and Associated Risk Factors and Promote School Health, Division of Diabetes Translation, Division for Heart Disease and Stroke Prevention, Division of Nutrition, Physical Activity and Obesity, Division of Population Health/School Health Branch"

This award will be a continuation of funds intended only for grantees previously awarded under **DP13-1305: State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity and Associated Risk Factors and Promote School Health.**

Application Submission:

CDC requires grantees to submit their Annual Performance Reports (APR), which serves as the continuation application, through www.Grants.gov no 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 annual performance report 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 **Kang Lee, Grants Management Specialist**, at (770) 488-2853 or **Stephanie Latham, Grants Management Specialist** at (770) 488-2917. For programmatic information, contact **Patricia Schumacher,** Team Lead at (770) 488-5968 or by email at prs5@cdc.gov.

The submission deadline for APR was **March 04, 2015** and must include information on each state's approved year 2 activities and their performance measures. The qualitative information regarding progress on activities within each intervention should document actual results for the period **February 01, 2014 - January 31, 2015**. In addition, grantees must also report progress achieved on Basic and Enhanced (which includes Supplement activities) performance measures for the period June 30, 2013 – January 31, 2015. Since Supplement funding was awarded beginning September 30, 2014, the performance measure reporting period for the required measures associated with the new interventions is September 30, 2014 – January 31, 2015. Any national analysis of the enhanced performance measures will account for the fact that some states began tracking and monitoring these measures later than other states.

Late or incomplete reports could result in an enforcement action such as a delay in the award or a reduction in funds. CDC will accept requests for a deadline extension on rare occasions and after adequate justification has been provided.

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 35 pages excluding work plan, administrative reporting, and budget. Attachments are not allowed, but web links are allowed
- Where the instructions on the forms conflict with these 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
6. Additional Program Requirements

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

- **Go to:** www.Grants.gov
- **Select:** "Applicant" from the top menu
- **Select:** "Apply for Grants"
- **Select:** "Step 1: Download a Grant Application"
- Insert the Funding Announcement Number only, formatted as CDC-RFA-DP13-130503CONTPPHF15
- **Download** application package and complete all sections.

1. SF-424 Application for Federal Domestic Assistance-Short Organizational 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. Please include the name of the state at the end of all document filenames.

2. **SF-424A Budget Information and Justification: By January 30, 2015, via email notification, CDC will provide the anticipated award amounts by Basic and Enhanced components as well as for each of the 4 categorical funding areas (Diabetes; Heart Disease and Stroke Prevention; Nutrition, Physical Activity, and Obesity; and School Health) under the basic and enhanced components for the 3rd continuation budget period. This budget guidance is subject to change due to that the information on source of funding allocated by PPHF and NON-PPHF is not available at this time.**

- Download the form from www.Grants.gov.
- Complete all applicable sections.
- Estimated Unobligated
    - Grantees receiving both Basic and Enhanced funding should provide an estimate of anticipated unobligated funds at the end of the current budget period using the addendum format (detailed breakdown for the Basic component and each of 4 separate categorical funding areas under the Enhanced component) to the consolidated FFR, which was specified in the revised Notice of Award, as part of the Continuation Application /Annual Performance Report.
- The estimated unobligated balance should be realistic in order to be consistent with the annual FFR to be submitted via eRA Commons following the end of the budget period.

  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; and

  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 the e-mail notification from CDC.
- 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. Each grantee should submit their detailed budget narrative, using the recommended format provided by CDC, aligned by domains and categorical funding area (CAN). Categorical funding area ceiling tables for anticipated Year 3 funding amounts broken down by domain and categorical funding area will be provided to each grantee under separate cover by CDC program staff.
    - Attach in the "Mandatory Documents" box under "Budget Narrative Attachment Form"

- Document needs to be in the PDF format

(Note: If any grantees received the supplemental funding for enhanced component in year 2, their budgets and work plans for year 3 enhanced component should be based on approximately the same activity level at the year 2 including the supplemental funding. The 3rd year anticipated award amounts have been adjusted by including the year 2 supplemental funding.)

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 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 consist 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/od/pgo/funding/grants/foamain.shtm) 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:*

Under separate cover, CDC Program Office will provide to grantees the most up-to-date information on each state's approved Year 2 work plan activities and performance measures. Grantees may voluntarily use this information to document actual results to date (**February 1, 2014 through January 31, 2015**). This will include information on

1. Performance measures; and
2. Qualitative information regarding progress on activities within each intervention.

Grantees should include this information in the "Mandatory Documents" box under "Project Narrative Attachment Form" in PDF format.

a. Annual performance report elements:

Annual Performance Report - include the following for Basic and Enhanced Components (including the supplement activities), and cover the period February 1, 2014 through January 31, 2015.

- **Performance measures (including outcomes) –** Grantees must report on performance measures, and update measures if needed. See additional program requirements sections for details regarding the reporting of performance measures.

- **Progress on Work Plan Activities –** Grantees must report progress on completing activities outlined in the work plan for the time period of February 1, 2014 through January 31, 2015. (Note: Grantees that received funding under the 1305 Supplement should also report progress on those supplemental work plan activities as part of the APR.)
- Challenges
  - ✓ Grantees should describe any challenges that hinder achievement of both annual and project period outcomes, performance measures, or the ability to complete the activities in the work plan;
  - ✓ Grantee 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 should describe how CDC could assist them in overcoming any challenges to achieve both annual and project period outcomes and performance measures, and complete activities outlined in the work plan.
- Administrative Reporting (Not subject to page limits)
  - ✓ SF-424A Budget Information-Non-Construction Programs
  - ✓ Budget Narrative–must use the format outlined in Content and Form of Application Submission, Budget Narrative section
  - ✓ Indirect Cost-Rate Agreement

Section II. New Budget Period Work plan
(Strategies, Interventions, Activities, and Performance Measures):

Grantees will submit their Year 3 work plan, providing the required content included in the recommended format provided by CDC, to include Year 3 activities and performance measures. This information must be aligned by domains and categorical funding area (CAN).

Note: Grantees funded under the 1305 Supplement should include their supplemental activities as part of the Year 3 Enhanced work plan. Performance measure targets should be expanded to reflect the additional reach resulting from the addition of supplemental funding.

Additional Program Requirements

Additional Program Requirements for Performance Measures – Grantees should enter, update, and confirm target values for Year 3 and Year 5 for all required performance measures. Grantees should also update the Notes fields. For performance measures where any cell is blank, the Notes field should include actions taken, actions planned, and a timeline for obtaining the missing data elements.

Additional programmatic guidance on the suggested format for the budget and work plan will be provided to grantees under separate cover by CDC program staff.

As a resource to grantees, CDC will also provide a blank budget and work plan suggested format (Excel file) to assist states in completing their APR and proposed work plan and budget for
Year 3. Categorical funding area ceiling tables for anticipated Year 3 funding amounts broken down by domain and categorical funding area (CAN/program appropriation) will be provided via e-mail shortly after the guidance is posted.

Direct Assistance – For grantees requesting direct assistance for personnel in lieu of financial assistance, the request should specify how the position will support various domains and categorical funding areas by percentage of time.

School Health Data Collection – For Enhanced grantees implementing school health strategies, data collection using School Health Profiles and the Youth Risk Behavior Survey is expected in states funded for the administration of these surveys via CDC-RFA-PS13-1308. These Enhanced grantees are expected to collect data using these two surveillance systems in targeted local education agencies (LEAs) to meet selected and predetermined performance measures. In some instances, it may be necessary for enhanced grantees to assist with data collection through the provision of personnel and/or financial resources. Finally, weighted data (based on CDC criteria) from these surveillance systems for both statewide and targeted LEA samples are necessary to report progress on performance measures.

Prevention and Public Health Fund Requirements - Additional requirements will apply to grantees receiving Prevention and Public Health Funds (PPHF) for the new budget period. Information that is provided in the APR should be verified and of sufficient quality to be shared publicly. No part of any appropriated funds used under this cooperative agreement 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, radio, television, or video presentation designed to support or defeat legislation pending or proposed before the Congress or any State or local legislature, including city councils or ballot initiatives except in presentation to the Congress, or any State or local legislature, including city councils.

Performance Measure Reporting

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.

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) starting December 2014. All recipients will receive their pre-populated template prior to the start of the reporting period (January 1, 2015) 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 ***$58,653,258***

FY15 BA funding will be ***$37,495,589***

Total FY15 funds including PPHF funds will be ***$ 96,148,847***

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.