



**Centers for Disease Control and Prevention (CDC)  
Office of Financial Resources  
Instructions for Preparing an Annual Performance Report for Supplemental Funding  
Annual Performance Report (APR)  
Financed in Part or Solely by Prevention and Public Health Fund (PPHF)  
Catalog of Federal Domestic Assistance (CFDA): 93.753  
Funding Opportunity Announcement (FOA Number: CDC-RFA-EH14-140804PPHF17**

**PPHF 2017: Lead Poisoning Prevention – Childhood Lead Poisoning Prevention-financed  
solely by 2017 Prevention and Public Health Funds**

**Eligibility:**

This FOA is financed solely by fiscal year 2017 Prevention and Public Health Fund (PPHF) and is a supplemental/cost extension of funds intended only for grantees previously awarded under CDC-RFA-EH14-1408, entitled “*PPHF 2014: Lead Poisoning Prevention – Childhood Lead Poisoning Prevention.*”. *The purpose of this announcement is to provide a one-time supplement and extend the current project period from 09/30/2017 to 09/29/2018.* Prevention and Public Health funds are available in accordance with PPHF general provisions enacted under Title IV Section 4002, grantees are required to track and report on use of PPHF funds provided through this award. Reports will be made available to the general public. Comingling of PPHF funds with other funds is prohibited as this is solely funded by PPHF.

**Application Submission:**

CDC requires grantees to submit their Annual Performance Reports (APR), which serve as the continuation application through [www.Grants.gov](http://www.Grants.gov) not later than 30 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](http://www.Grants.gov), please contact CDC’s Technical Information Management Section at 770-488-2700 prior to the submission deadline. If you need further information regarding the annual performance report process, please contact Victoria McBee, Grants Management Specialist, at 770-488-2825. For programmatic information, please contact Sheila Stevens, Public Health Advisor, at 404-718-8378.

The submission deadline for this APR is: ***February 28, 2017, 11:59pm Eastern Standard Time*** on [www.grants.gov](http://www.grants.gov) for Reporting Period **4/16/2016- 1/31/2017**. 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.

### **Annual Federal Financial Report Submission**

The Annual Federal Financial report (FFR) SF-425 is required and must be submitted to GrantSolutions no later than 90 days after the end of the budget period. The FFR for this Budget Period 9/30/2016 – 9/29/2017 is due by 12/31/2017. To submit your FFR, login to [www.grantsolutions.gov](http://www.grantsolutions.gov), select “Reports” from the menu bar and then click on Federal Financial Reports.

### **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 only
  - This report must not exceed 45 pages excluding administrative reporting; allowed, but web links are allowed
  - Where the instructions on the forms conflict with these instructions, follow these instructions
1. CDC requires the use of PDF format for ALL attachments.
  2. Use of file formats other than PDF may result in the file being unreadable by CDC staff.
  3. Directions for creating PDF files can be found on [www.Grants.gov](http://www.Grants.gov)

### **Checklist of 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. SF424B Assurances
7. Certifications
  - a. For assistance and guidance with submitting assurances and certifications, please visit the CDC website. <http://wwwn.cdc.gov/grantassurances/Homepage.aspx>

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

- a) Go to: [www.Grants.gov](http://www.Grants.gov)
- b) Select: “Apply for Grants”
- c) Select: “Step 1: Download a Grant Application”
- d) Insert the: **CDC-RFA-EH14-140804PPHF17**
- e) Download application package and complete all sections.

### **1. SF-424 Application for Federal Domestic Assistance-Short Organizational Form:**

Complete all sections:

- A. In addition to inserting the legal name of your organization in Block #5a, insert the CDC Award Number provided in the CDC Notice of Award. Failure to provide your award number could cause delay in processing your application.
- B. Please insert your organization's Financial Official information in Block #8.

**SPECIAL 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:**

- A. Complete all applicable sections.
- B. Analysis of Remaining Time and Funds
  1. Based on the current rate of obligation, if it appears there will be un-obligated PPHF funds at the end of the current budget period, provide detailed actions that will be taken to obligate this amount or use the process below to get access to unused funds. **Note, to use unobligated PPHF funds, you must submit a request in writing to the GMO no earlier than 30 days before the end of the budget period requesting an extension to the current budget year to complete the approved PPHF activities. The request must include the incomplete PPHF activities, proposed detailed budget and a brief justification and** submit an interim **hardcopy** Federal Financial Report (FFR), Standard Form-425, available on the internet at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms).
  2. 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.
    - i. The estimated un-obligated balance should be realistic in order to be consistent with the annual FFR to be submitted following the end of the budget period.
    - ii. Prevention and Public Health funds are tracked by subaccount by budget year and may not be comingled. To access funds from a prior year subaccount that have been authorized for use, grantees should request an extension of time for that budget period. This request should include a detailed line item budget justification as indicated in Note E. below.
- C. The proposed budget should be based on the federal funding level stated in the letter from CDC.
- D. In a separate narrative, provide a detailed, line-item budget justification of the funding amount requested, including any request to use unobligated funds, 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.
- E. 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 sample budget guidance is

provided on CDC's internet at: <http://www.cdc.gov/grants/applying/application-resources.html>.

- F. For any new proposed subcontracts provide the information specified in the Budget Guidance.
- G. 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.

### **3. Indirect Cost Rate Agreement**

**Requirements for development and submission of indirect (F&A) cost rate proposals and cost allocation plans for all grantees are contained in 45 CFR Part 75, Appendices III through VII.**

#### **Instructions for Indirect (F&A) costs Rate Determination for Institutes of Higher Education**

For recipients subject to 45 CFR part 75 Appendix III, the OPDIV will apply the negotiated rate(s) in effect at the beginning of a period of performance to determine facilities and administrative (F&A) costs for the entire period of performance. If the rate agreement(s) in effect at the beginning of the period does not cover the entire period of performance, then the rate in effect for the last year of the negotiated rate agreement will be used to determine indirect costs for the duration of the period of performance. Grantees subject to 45 CFR part 75 Appendix III may not rebudget from direct costs to accommodate a rate increase if the F&A costs provided for a period were based on negotiated (fixed or predetermined) rates rather than provisional rates (defined as not "negotiated" for the application of the 45 CFR part 75 Appendix III). If negotiated rate agreements do not extend through the life of the federal award at the time of the initial award, then the negotiated rate for the last year of the federal award must be extended through the end of the life of the federal award.

#### **The following instructions apply to Non-Profit Organizations, State/Local Government and Indian Tribe wide Central Service Cost Allocation Plans**

- A. 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.
- B. Clearly describe the method used to calculate indirect costs. Make sure the method is consistent with the Indirect Cost Rate Agreement.
- C. To be entitled to use indirect cost rates, a rate agreement must be in effect at the start of the budget period.
- D. 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/grants/applying/application-resources.html>) for additional information.
- E. If applicable, attach in the "Mandatory Documents" box under "Other Attachments Form". Name document "Indirect Cost Rate Agreement."

#### **4. Project Narrative:**

##### **SECTION I. Current Budget Period Progress (4/16/2016 – 1/31/2017):**

Provide a brief report addressing the following elements of each objective or activity:

- a. Annual performance report elements:
  - Performance Measures (including outcomes)-Grantees must report on performance measures for each budget period and update measures, if needed
  - Evaluation Results-Grantees must report evaluation results for the work completed to date (including any data about the effects of the program)
  - Work Plan-Grantees must update work plan each budget year
  - Successes
    - Awardees must report progress on completing activities outline in the work plan.
    - Awardees must describe any additional successes (e.g., identified through evaluation results or lessons learned) achieved in the past year
    - Awardees must describe success stories
  - Challenges
    - Grantees 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
    - 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
    - SF-424A Budget Information-Non-Construction Programs
    - Budget Narrative-must use the format outlined in “Content and Form of Application”

##### **SECTION II. New Budget Period Proposed Strategies and Activities (9/30/2017 – 9/29/2018):**

List proposed objectives for the upcoming budget period. These objectives must support the intent of the original Funding Opportunity Announcement (FOA).

1. Each objective and activity must contain a performance or outcome measure that assesses the effectiveness of the project. For each objective list:
  - a. List activities that will be implemented;
  - b. Provide a timeline for accomplishment;
  - c. Identify and justify any redirection of activities; and
  - d. Explain the methods you will use to implement the new, redirected activities.
2. In addition to this information, include comments pertaining to budgetary issues that might impede the success or completion of the project as originally proposed and approved.

## **Performance Measure Reporting:**

Each grantee should report on the following measures for the current budget year. Responses should be completed in narrative form.

- i. **Surveillance System Status**  
Indicate the type of surveillance system currently in use and future plans for updates or changes.
- ii. **Number of children less than 6 years (72 months) in targeted / high-risk areas**  
State the number of children less than 6 (72 months) in targeted / high-risk areas and indicate how the number was derived.
- iii. **Electronic Reporting from Laboratories**  
Identify the percentage of blood lead data that is reported electronically. If 100% of data is not reported electronically, the awardee must describe how they will encourage electronic laboratory reporting throughout the state.
- iv. **Data-sharing agreements**  
Describe any new data sharing agreements in place over the last 12 months and describe how the agreement supports program and cooperative agreement goals.
- v. **Criteria for identifying high-risk areas and/or at-risk populations**  
Describe any new methods or models employed over the last 12 months to identify the most vulnerable areas/populations in the state.
- vi. **Describe progress toward the elimination of elevated blood lead levels (BLLs) as a public health problem in a local jurisdiction or geographic area (i.e. no children have BLLs at or above the reference value for BLL – currently 5 µg/dL)**
- vii. **Describe actions taken (within the last 12 months) by professionals and the public to address lead poisoning and promote lead poisoning prevention based on findings of vulnerable populations and communities.**
- viii. **Describe how your program has leveraged resources (within the last 12 months) to replicate and conduct population-based interventions.**

## **PPHF Grantees Semi-annual Reporting**

CDC Office of Appropriations (OA) will distribute the pre-populated reporting templates to PPHF Grantees through the OA mailbox ([PPHF@cdc.gov](mailto:PPHF@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 OGS and PPHF programs. The prime grantee will receive the report and will be responsible for populating the sub-award information.

**Estimated Funding:**

*FY17 PPHF funding will be \$11,000,000*

*Total FY17 funds including PPHF funds will be \$11,000,000*

If you encounter any difficulties submitting your annual performance report or need further information, please contact Victoria McBee, Grants Management Specialist, at 770-488-2825. For programmatic information, please contact Sheila Stevens, Public Health Advisor, at 404-718-8378.