

Public Health Emergency Preparedness (PHEP)

Budget Period 3 Benchmarks and Reporting Requirements Overview – June 2021

Public Health Emergency Preparedness (PHEP) cooperative agreement recipients must address and comply with PHEP requirements for the strategies and activities listed in CDC's 2019-2024 PHEP notice of funding opportunity ([CDC-RFA-TP19-1901](#)), as well as other requirements associated with statute and U.S. Department of Health and Human Services (HHS) grant guidance.

The PHEP Budget Period 3 (BP3) reporting requirements overview summarizes various deliverables, including deadlines, which recipients are required to submit, and under what circumstances. It describes PHEP benchmark requirements and provides a chronological list of all BP3 programmatic reporting requirements.

Details for each requirement are noted in the following tables.

- Table 1: PHEP BP3 Benchmarks
- Table 2: PHEP BP3 Reporting Requirements by Due Date

Requirements and deadlines related to Public Health Crisis Response Cooperative Agreement funding are not included in this document.



Table 1: PHEP BP3 Benchmarks

Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
September 30, 2022	PHEP Benchmark 1: Demonstrate preparedness and response operational readiness	July 1, 2021– June 30, 2022	<p>PHEP recipients must continue to advance their preparedness and response capabilities. The 2019-2024 PHEP NOFO outlined CDC expectations that recipients demonstrate measurable progress toward achieving “established” operational readiness across the 15 preparedness and response capabilities by June 2024.</p> <p>In Budget Period 3, PHEP Operational Readiness Review (ORR) interim guidance provides specific information about how PHEP recipients can document progress, including parameters for using COVID-19 response activities to meet select PHEP requirements.</p> <p>To meet the operational readiness benchmark for Budget Period 3, PHEP recipients must successfully complete and submit all required ORR components as described in the PHEP ORR interim guidance.</p>	All recipients	New online ORR data collection system
September 30, 2022	PHEP Benchmark 2: Demonstrate proficiency in public health laboratory testing for biological agents	July 1, 2021 – June 30, 2022	LRN-B proficiency testing - cannot fail more than one challenge.	50 states, Los Angeles County, New York City, and Washington, D.C.	Verification of LRN data via PERFORMS
September 30, 2022	PHEP Benchmark 3: Demonstrate proficiency in public health laboratory specimen packaging, and shipping exercises for chemical agents	July 1, 2021 – June 30, 2022	LRN-C specimen packaging, and shipping (SPaS) exercise - at least one LRN-C lab must pass with a minimum score of 90%.	50 states, Los Angeles County, New York City, and Washington D.C.	Verification of LRN data via PERFORMS
September 30, 2022	PHEP Benchmark 4: Demonstrate proficiency in public health laboratory testing for chemical agents	July 1, 2021 – June 30, 2022	LRN-C Level 1 proficiency testing - must pass or qualify on 90% of methods tested.	10 recipients with LRN-C Level 1 laboratories	Verification of LRN data via PERFORMS



Table 2: PHEP BP3 Reporting Requirements by Due Date

Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
August 31, 2021	Responses to Conditions of Award	July 1, 2021- June 30, 2022	Revised budgets and work plans (if applicable).	All recipients	PERFORMS/GrantSolutions
September 30, 2021	Quarterly written MCM Action Plans (Q1)	July 1, 2021 – September 30, 2021	Contact PHEP project officers to document progress. Jurisdictions where advancement of action plan activities is not feasible at this time must notify their PHEP project officers via email and indicate, “Response to COVID-19 – No New Activity.”	All recipients	Contact PHEP project officers to document progress. Email updated action plans to PHEP project officers.
September 30, 2021	Quarterly written PHEP Technical Assistance Action Plans (Q1)	July 1, 2021 – September 30, 2021	Contact PHEP project officers to document progress. Jurisdictions where advancement of action plan activities is not feasible at this time must notify their PHEP project officers via email and indicate “Response to COVID-19 – No New Activity.”	All Recipients	Contact PHEP project officers to document progress. Email updated action plans to PHEP project officers.
September 30, 2021	Budget Period 2 (BP2) Final Federal Financial Reports (FFRs)	July 1, 2020 – June 30, 2021	Final PHEP FFRs (SF-425)	All recipients	G Payment Management System (PMS)
September 30, 2021	BP2 Annual Progress Reports (APR)	July 1, 2020 – June 30, 2021	Work plan progress, including end-of- year status of activities and outcomes.	All recipients	PERFORMS
September 30, 2021	BP2 Performance Measure Data	July 1, 2020 – June 30, 2021	Recipients must submit annual performance measure data.	All recipients	PERFORMS
September 30, 2021	Quarterly spend plan reports for BP2 (Q5) and BP3 (Q1)	July 1, 2021 – September 30, 2021	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to DSLRRGrants@cdc.gov and cc: PHEP project officers
October 29, 2021	BP2 (Q5) and BP3 (Q1) FFR/cash transaction reports	July 1, 2021 – September 30, 2021	PHEP BP2 (Q5) and BP3 (Q1) FFRs (SF-425) submitted 30 days after the end of the quarter.	All recipients	PMS
October 2021	Statistical Analysis Software (SAS) licenses	January 1, 2022 – December 30 2022	Recipients must submit new requests or renewals for SAS license(s)/server(s) use for the upcoming calendar year.	All recipients are eligible	Submit to PHEP project officers via SAS license renewal/request form
November 15, 2021	Direct assistance (DA) requests and renewals	July 1, 2022 – June 30, 2023	Recipients must submit requests for personnel funded through direct assistance (DA).	All recipients seeking DA-funded personnel	Email DA request form to PHEP project officers
December 30, 2021	Critical contact sheets (CCS)	July 1, 2021- December 30, 2021	Recipients must review and update the information on file at least every six months or as changes occur.	All recipients	Contact PHEP project officers to update and validate CCS information until new online ORR system opens in BP3



Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
December 30, 2021	Quarterly MCM action plans conference call (Q2)	September 30,2021-December 30,2021	Jurisdictions may elect to reduce, alter, or pause MCM action planning activities to concentrate efforts and resources on COVID-19 response activities.	All recipients	Quarter 2 program updates discussed via conference call with PHEP project officers
December 30, 2021	Quarterly PHEP technical assistance action plans conference call (Q2)	September 30,2021-December 30,2021	Jurisdictions may elect to reduce, alter, or pause PHEP action planning activities to concentrate efforts and resources on COVID-19 response activities.	All recipients	Quarter 2 program updates discussed via conference call with PHEP project officers.
January 30, 2022	Quarterly spend plan reports for BP2 (Q6) and BP3 (Q2)	October 1, 2021 – December 30, 2021	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to DSLGRGrants@cdc.gov and cc: PHEP project officers
January 30, 2022	BP2 (Q6) and BP3(Q2) (TP19-1901) FFRs/cash transaction reports	October 1, 2021-December 31, 2021	PHEP BP2 (Q6) and BP3(Q2) FFRs (SF-425) submitted 30 days after the end of the quarter.	All recipients	PMS
January 31, 2022	2022 Capabilities Planning Guide (CPG) self-assessment data	January 1, 2021 – December 31, 2021	Recipients must submit 2021 capabilities data using the 2022 CPG self-assessment tool.	All recipients	CPG self-assessment tool in PERFORMS
March 30, 2022	Quarterly written MCM action plans (Q3)	January 1, 2022-March 30, 2022	Contact PHEP project officers to document progress. Jurisdictions where advancement of action plan activities is not feasible at this time must notify their PHEP project officers via email and indicate, “Response to COVID-19 – No New Activity.”	All recipients	Contact PHEP project officers to document progress. Email updated action plans to PHEP project officers.
March 30, 2022	Quarterly written PHEP technical assistance action plans (Q3)	January 1, 2022-March 30, 2022	Contact PHEP project officers to document progress. Jurisdictions where advancement of action plan activities is not feasible at this time must notify their PHEP project officers via email and indicate “Response to COVID-19 – No New Activity.”	All Recipients	Contact PHEP project officers to document progress. Email updated action plans to PHEP project officers.
April 1, 2022	BP3 budget revisions requiring prior approval	July 1, 2021-June 30, 2022	PHEP recipients should submit budget revision(s) that require Office of Grants Services prior approval and amended BP3 Notices of Award (NOA) prior to the receipt of the Budget Period 4 NOAs. This does not apply to funds that qualify for expanded authority.	All recipients	Carry-over of funds amendment in GrantSolutions



Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
April 30, 2022	Quarterly spend plan reports for BP2 (Q7) and BP3 (Q3)	January 1, 2022 – March 30, 2022	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to DSLRRGrants@cdc.gov and cc: PHEP project officers
April 30, 2022	BP2 FFRs/cash transaction reports (Q3)	January 1, 2022- March 30,2022	PHEP BP1 FFRs (SF-425) submitted 30 days after the end of the quarter.	All recipients	PMS
June 30, 2022	Critical contact sheets (CCS)	July 1, 2021- December 30,2021	Recipients must review and update the information on file at least every six months (or as changes occur).	All recipients	New ORR Online System
June 30, 2022	Quarterly MCM action plans conference call (Q4)	April 1, 2022- June 30, 2022	Jurisdictions may elect to reduce, alter, or pause MCM action planning activities to concentrate efforts and resources on COVID-19 response activities.	All recipients	Quarter 4 program updates discussed via conference call with PHEP project officers
June 30, 2022	Quarterly PHEP technical assistance action plans conference call (Q4)	April 1, 2022- June 30, 2022	Jurisdictions may elect to reduce, alter, or pause PHEP action planning activities to concentrate efforts and resources on COVID-19 response activities.	All recipients	Quarter 4 program updates discussed via conference call with PHEP project officers
July 30, 2022	Quarterly spend plan reports for BP2 (Q8) and BP3 (Q4)	April 1, 2022 – June 30, 2022	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to DSLRRGrants@cdc.gov and cc: PHEP project officers
Annually	Partner planning sheets (PPS)	July 1, 2021 – June 30, 2022	Submit partners that support public health preparedness, response, or recovery activities. Identified partners may support risk mitigation, coordinate delivery of public health messages and services, and improve emergency operations and preparedness services for their communities.	All recipients	New online Operational Readiness Review (ORR) data collection system
Annually	Jurisdictional structure sheets (JSS)	July 1, 2021 – June 30, 2022	Review the structure of local planning jurisdictions. States are required to determine what planning capabilities they will evaluate at the local level. States must demonstrate local jurisdictional coverage for all capabilities exempted from local review. Additionally, states can choose to evaluate additional local jurisdictions. Preparedness directors or their proxies must complete and submit the JSS before any local ORRs can begin.	All recipients	New online ORR data collection system



Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
Annually	Workforce development and training (WDT) forms	July 1, 2021 – June 30, 2022	Jurisdictional priorities must guide the development of exercise objectives and related staff training and practice. Simulations and real-world experiences can substantiate preparedness efforts when incorporated in a progressive, coordinated manner through planned staff training and education.	All recipients	New online ORR data collection system
Every two years	Audit reports	N/A	Submit independent audit reports every two years within 30 days of receipt of the reports.	All recipients	Federal Audit Clearinghouse
Every five years	Jurisdictional risk assessments (JRAs)	N/A	Recipients must participate in or complete JRAs, in collaboration with the Hospital Preparedness Program (HPP), at least once every five years. However, for jurisdictions whose JRAs expire during BP3, an extension to October 31, 2022, is granted due to COVID-19 response activities.	All recipients	New online ORR data collection system
Every five years	Updated administrative preparedness plans	N/A	Recipients must submit updated administrative preparedness plans at least once every five years. However, for jurisdictions whose plans expire during BP3, an extension to October 31, 2022, is granted due to COVID-19 response activities.	All recipients	New online ORR data collection system

