

Public Health Emergency Preparedness (PHEP)

Budget Period 3 Benchmarks and Reporting Requirements Overview – April 2022

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
June 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) 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 required data regarding partner planning; pandemic COVID-19 vaccination for critical workforce groups and disproportionately impacted populations functional exercise; and pandemic COVID-19 incident response with supporting evidence available to substantiate their responses. Final documentation is due October 31, 2022.</p>	All recipients	PHEP ORR Reporting and Tracking System (PORTS)
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	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 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



Table 2: PHEP BP3 Reporting Requirements by Due Date

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 DSLRRGrants@cdc.gov and cc: PHEP project officers
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.	Applicable recipients	Carry-over of funds amendment in GrantSolutions



Table 2: PHEP BP3 Reporting Requirements by Due Date

Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
April 30, 2022	Updated BP3 work plans and budgets	July 1, 2021- June 30, 2022	Recipients must submit updated work plans and budgets based on final BP3/fiscal year 2022 funding allocations.	All recipients	PERFORMS
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 DSLGrants@cdc.gov and cc: PHEP project officers
June 30, 2022	Critical contact sheets (CCS)	December 30, 2021 - June 30, 2022	Recipients must review and update the information on file at least every six months (or as changes occur).	All recipients	PORTS
June 30, 2022	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	PORTS
June 30, 2022	Pandemic COVID-19 Functional Exercise: Vaccination for Critical Workforce Groups and Disproportionately Impacted Populations (VAC)	July 1, 2021 – June 30, 2022	Recipients should refer to the PHEP ORR guidance for detailed information about this program requirement. Final documentation is due October 31, 2022.	All recipients	PORTS
June 30, 2022	Pandemic COVID-19 Incident Response (RSP)	July 1, 2021 – June 30, 2022	Recipients should refer to the PHEP ORR guidance for detailed information about this program requirement. Final documentation is due October 31, 2022.	All recipients	PORTS
June 30, 2022	Annual PHEP exercise with access and functional needs (AFN) partners	July 1, 2021 – June 30, 2022	Recipients can use COVID-19 response activities to meet this requirement by providing evidence of engagement with partners during the response that supported people with disabilities, access and functional needs, or populations at risk for disproportionate outcomes due to COVID-19 or by demonstrating how partners supported efforts to reach AFN populations throughout vaccination campaigns. Final documentation is due October 31, 2022.	All recipients	PORTS



Table 2: PHEP BP3 Reporting Requirements by Due Date

Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
June 30, 2022	Emergency operations center activations	July 1, 2021 – June 30, 2022	Recipients can meet this requirement with successful submission and CDC review of partner planning; pandemic COVID-19 vaccination for critical workforce groups and disproportionately impacted populations functional exercise; and pandemic COVID-19 incident response data. Final documentation is due October 31, 2022.	All recipients	PORTS
June 30, 2022	Pandemic influenza critical workforce group functional exercise	July 1, 2021 – June 30, 2022	Recipients can meet this requirement with successful submission and CDC review of partner planning; pandemic COVID-19 vaccination for critical workforce groups and disproportionately impacted populations functional exercise; and pandemic COVID-19 incident response data. Final documentation is due October 31, 2022.	All recipients	PORTS
June 30, 2022	Pandemic influenza full-scale exercise	July 1, 2021 – June 30, 2022	Recipients can meet this requirement with successful submission and CDC review of partner planning; pandemic COVID-19 vaccination for critical workforce groups and disproportionately impacted populations functional exercise; and pandemic COVID-19 incident response data. Final documentation is due October 31, 2022.	All recipients	PORTS
June 30, 2022	Joint functional exercise with emergency management and health care coalitions	July 1, 2021 – June 30, 2022	Recipients can meet this requirement with successful submission and CDC review of partner planning; pandemic COVID-19 vaccination for critical workforce groups and disproportionately impacted populations functional exercise; and pandemic COVID-19 incident response data. Final documentation is due October 31, 2022.	All recipients	PORTS
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



Table 2: PHEP BP3 Reporting Requirements by Due Date

Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
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	PORTS
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	PORTS

