

## PHEP Budget Period 1 Reporting Requirements Overview

*Updated May 22 2020, to Reflect Revisions Due to COVID-19 Response Activities\**

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 1 (BP1) reporting requirements overview summarizes various deliverables, including deadlines, which recipients are required to report, and under what circumstances. It describes PHEP benchmark requirements and also provides a chronological list of all BP1 reporting requirements. Updates specific to the Operational Readiness Review (ORR) requirements may be found in the [At-a-Glance: Updates to CDC Public Health Emergency Preparedness \(PHEP\) Budget Period 1 \(BP1\) Requirements.](#)

Details for each modified or waived requirement are noted in **bold** in the following tables.

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

\*Requirements and deadlines related to Cooperative Agreement for Emergency Response: Public Health Crisis Response funding are not included in this document.

**Table 1: PHEP Benchmarks**

Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdictional Level	Reporting Tool
September 30, 2020	PHEP Benchmark 1: Demonstrate medical countermeasure (MCM) operational readiness	July 1, 2019 – June 30, 2020	PHEP recipients must demonstrate readiness to receipt, stage, store, distribute, and dispense or administer MCMs during a public health emergency. Recipients must complete and submit MCM operational readiness review activities by the end of the budget period and submit applicable data by September 30, 2020. PHEP recipients will address annual pandemic influenza planning requirements through completion of the Operational Readiness Review (ORR).	All recipients	ORR online system
September 30, 2020	PHEP Benchmark 2: Demonstrate proficiency in public health laboratory testing for biological agents	July 1, 2019 – June 30, 2020	LRN-B proficiency testing - cannot fail more than one challenge  <b>New:</b> Typically, CDC’s LRN-B program office conducts two proficiency testing challenges each budget period. <b>Due to the COVID-19 response, CDC is waiving the second LRN-B proficiency test.</b> CDC will consider those recipients that completed their first proficiency test challenge to have met the PHEP Benchmark 2 requirement for BP1.	50 states, Los Angeles County, New York City, and Washington, D.C.	Verification of LRN data via PERFORMS
September 30, 2020	PHEP Benchmark 3: Demonstrate proficiency in public health laboratory specimen packaging and shipping exercises for chemical agents	July 1, 2019 – June 30, 2020	LRN-C specimen packaging and shipping (SPaS) exercise - at least one LRN-C lab must pass with a <b>minimum score of 90%</b> .	50 states, Los Angeles County, New York City, and Washington D.C.	Verification of LRN data via PERFORMS
September 30, 2020	PHEP Benchmark 4: Demonstrate proficiency in public health laboratory testing for chemical agents	July 1, 2019 – June 30, 2020	LRN-C Level 1 proficiency testing - must <b>pass or qualify on 90% of methods tested.</b>	10 recipients with LRN-C Level 1 laboratories	Verification of LRN data via PERFORMS

**Table 2: Recipient Reporting Requirements by Due Date**

All PHEP 2019-2024 exercise requirements can be found [here](#) on the [CDC PHEP website](#).

At-a-Glance: Updates to CDC Public Health Emergency Preparedness (PHEP) Budget Period 1 (BP1) Requirements is a complimentary resource identifying reporting requirement change.

Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdiction	Reporting Mechanism
July 31, 2019	Responses to conditions of award	N/A	Revised budgets and work plans (if applicable)	All recipients	Grant Solutions
September 30, 2019	Quarterly written technical assistance action plans (Q1)	July 1, 2019 – September 30, 2019	Q1 written action plan reports must be submitted. Reports are due no later than the last business day of the fiscal quarter. PHEP recipients must address pandemic influenza planning gaps as part of their action plans.  In addition, states must obtain or develop MCM action plans for all of their CRI local planning jurisdictions and submit updated MCM action plans to CDC twice per year.	All recipients	Email to PHEP specialist and MCM specialist
September 30, 2019	BP1 Supplement annual progress reports (APR)	July 1, 2018 – June 30, 2019	<ul style="list-style-type: none"> <li>• APR module</li> <li>• Performance measure data</li> <li>• Impact statement</li> </ul>	All recipients (except those who have NCEs)	PERFORMS
September 30, 2019	BP1 Supplement final Federal Financial Reports (FFRs)	Variable by recipient	<ul style="list-style-type: none"> <li>• Final PHEP FFR (SF-425)</li> <li>• Combined HPP and PHEP BP1 Supplement</li> <li>• FFR (SF-425)</li> </ul>	All recipients	Grant Solutions
October 30, 2019	Quarterly spend plan reports (Q1)	July 1, 2019 – September 30, 2019	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to <a href="mailto:DSLGrants@cdc.gov">DSLGrants@cdc.gov</a> and cc PHEP specialist
October 30, 2019	Quarterly FFRs (Q1)	July 1, 2019 – September 30, 2019	BP1 quarterly FFRs must be submitted to reconcile PHEP funds.	All recipients	Payment Management System (PMS)
December 30, 2019	Quarterly technical assistance recipient conference calls (Q2)	October 1, 2019 – December 30, 2019	In Q2, recipients must provide verbal action plan updates during conference calls with CDC.	All recipients	Conference call



Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdiction	Reporting Mechanism
			In addition, states must conduct Q2 conference calls with all CRI local planning jurisdictions.		
December 31, 2019	Evaluation and performance measurement plans	N/A	Recipients must submit brief evaluation and performance measurement plans, including a data management plan (DMP), as described in the Reporting section of the notice of funding opportunity announcement (NOFO). A template is available on the <a href="#">CDC PHEP website</a> .	All recipients	Submit as a grant note in Grant Solutions
December 31, 2019	Critical contact sheet	N/A	Recipients must review and update the information on file at least every six months (or as changes occur).	All recipients	ORR online system
January 30, 2020	Quarterly spend plan reports (Q2)	October 1, 2019 – December 30, 2019	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to <a href="mailto:DSLGrants@cdc.gov">DSLGrants@cdc.gov</a> and cc PHEP specialist
January 30, 2020	Quarterly FFRs (Q2)	October 1, 2019 – December 30, 2019	BP1 quarterly FFRs must be submitted to reconcile PHEP funds.	All recipients	Payment Management System (PMS)
January 31, 2020	2020 capabilities self-assessment data	March 2019 – December 2019	Recipients must submit capabilities data using the 2020 Capabilities Planning Guide (CPG) self-assessment tool.	All recipients	CPG self-assessment tool in PERFORMS
March 31, 2020	Quarterly written technical assistance action plans (Q3)	January 1, 2020 – March 31, 2020	Q3 written action plan reports must be submitted. Reports are due no later than the last business day of the fiscal quarter. PHEP recipients must address pandemic influenza planning gaps as part of their action plans.  In addition, states must submit to CDC updated MCM action plans for all of their CRI local planning jurisdictions.	All recipients	Email to PHEP specialist and MCM specialist



Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdiction	Reporting Mechanism
			<b>New: Jurisdictions may provide either verbal or written action plan updates to their MCM and PHEP specialists to meet the March 31 deadline. If jurisdictions prefer to provide verbal updates, the subsequent quarterly update must be submitted in writing. Jurisdictions electing to provide written updates may indicate “Response to COVID-19 – No New Activity” as needed.</b>		
April 30, 2020	Quarterly spend plan reports (Q3)	January 1, 2020 – March 31, 2020	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to <a href="mailto:DSLGrants@cdc.gov">DSLGrants@cdc.gov</a> and cc PHEP specialist
April 30, 2020	Quarterly FFRs (Q3)	January 1, 2020 – March 31, 2020	BP1 quarterly FFRs must be submitted to reconcile PHEP funds.	All recipients	Payment Management System (PMS)
June 30, 2020	MCM ORR data for CRI local planning jurisdictions (conducted by state)	July 1, 2019 – June 30, 2020	<b>New: This requirement is waived for BP1</b>	50 states	ORR online system
June 30, 2020	Jurisdictional data sheets (JDS)	July 1, 2019 – June 30, 2020	<b>New: This requirement is waived for BP1</b>	50 states	ORR online system
June 30, 2020	Points of dispensing (POD) forms	July 1, 2019 – June 30, 2020	<b>New: This requirement is waived for BP1</b>	All recipients	ORR online system
June 30, 2020	Receipt, stage, and store (RSS) site surveys	July 1, 2019 – June 30, 2020	<b>New: This requirement is waived for BP1</b>	All recipients	ORR online system
June 30, 2020	Quarterly technical assistance recipient conference calls (Q4)	April 1, 2020 – June 30, 2020	In Q4, recipients must provide verbal action plan updates during conference calls with CDC.  In addition, states must conduct Q4 conference calls with their CRI local planning jurisdictions.  <b>New: Jurisdictions may provide either verbal or written action plan updates to their MCM and PHEP specialists to meet</b>	All recipients	Conference call



Submission Deadline	Requirement/Deliverable	Activity Period	Component(s)	Jurisdiction	Reporting Mechanism
			the June 30 deadline. If jurisdictions prefer to provide verbal updates, subsequent quarterly updates must be submitted in writing. Jurisdictions electing to provide written updates may indicate “Response to COVID-19 – No New Activity” as needed.		
July 30, 2020	Quarterly FFRs (Q4)	April 1, 2020 – June 30, 2020	BP1 quarterly FFRs must be submitted to reconcile PHEP funds.	All recipients	Payment Management System (PMS)
<b>New: August 28, 2020</b>	Critical contact sheet	N/A	Recipients must review and update the information on file at least every six months (or as changes occur).	All recipients	ORR online system
September 30, 2020	Quarterly spend plan reports (Q4)	April 1, 2020 – June 30, 2020	Updated reports must include obligation rates and be submitted within 30 days following the end of each fiscal quarter.	All recipients	Email to <a href="mailto:DSLGrants@cdc.gov">DSLGrants@cdc.gov</a> and cc PHEP specialists
September 30, 2020	Audit reports	N/A	Submit an independent audit report every two years within 30 days of receipt of the report.	Applicable	Federal Audit Clearinghouse
Every five years	Updated administrative preparedness plans	N/A	Recipients must submit updated administrative preparedness plans at least once every five years.	All recipients	ORR online system
Every five years	Jurisdictional risk assessments (JRA)	N/A	Recipients must participate in or complete a JRA, in collaboration with the Hospital Preparedness Program (HPP), at least once every five years.	All recipients	ORR online system

