Public Health Emergency Preparedness
Budget Instructions
Budget Period 4 (BP4)
7/1/2022–6/30/2023
## Contents

**Budget Guidelines**……………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………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- [Travel Tab] ...........................................................................................................................................................................................................4
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Budget Guidelines

This section identifies general best practices when completing your Public Health Emergency Preparedness (PHEP) budget. Many of the hyperlinks that appear in this document are located on the Partner Communications and Alerting Portal (PCA Portal). The PCA Portal requires a Wisconsin Logon Management System (WILMS) ID. For access to or technical questions about the PCA Portal, please contact the PCA Portal Support Team.

Submitted PHEP budgets will be reviewed by OPEHC programmatic and fiscal staff. In the event of an audit of the state or local health departments, auditors may review PHEP budgets. Please keep this in mind when justifying your expenses.

- **Allocations**: Match each budget with the corresponding allocation award. Local health department and Tribal health center allocation amounts are posted to the PCA Portal Local and Tribal Objectives page.
- **Itemization**: List only one expense per line or one of the same type of expense per line.
- **Justifications**: Provide a justification for each line item in the budget that explains how the expense supports public health emergency preparedness. All expenses must support one or more of the Centers for Disease Control and Prevention (CDC) Public Health Emergency Preparedness and Response Capabilities. Referencing the capabilities in your narrative justifications is encouraged. Justifications should address the “5 W’s,” who, what, when, where, and why, to ensure the information is clear to a reader who is external to your program.
- **Data entry**: Only enter information in yellow highlighted cells. Do not enter data in light blue cells; values in these cells will populate automatically. Purple cells are provided as examples of how to fill out the budget template.
- **Western Wisconsin Public Health Readiness Consortium (WWPHRC)**: See the Appendix if you are a member of the Western Wisconsin Public Health Readiness Consortium (WWPHRC).
- **Supplanting**: Funds may not be used to cover positions and other expenditures already funded by other sources.
- **Allowable expense questions**: Contact the OPEHC grants manager or PHEP program coordinator with any questions regarding allowable uses of PHEP funding or any other PHEP budget questions.
Step-by-Step Budget Instructions

1. Review the Budget Guidelines Section.

2. Identify your agency’s allocation. Allocations are posted to the Local and Tribal Objectives page.

3. Download and save the appropriate budget template from the Local Preparedness Budget Management page. In this case, the budget template will be titled “BP4 1901 PHEP Budget Template” or “BP4 1901 PHEP CRI Budget Template” (for Cities Readiness Initiative jurisdictions). Budget templates are located near the bottom of the page. Please “save as” to your desktop, otherwise edits to your template will save to the PCA Portal.

4. Name the spreadsheet using the format “[your agency] BP4 1901 PHEP Budget” or “[your agency] BP4 1901 PHEP CRI Budget.”

5. As you fill out the budget, complete the Budget Breakdown by Capability for all rows in which a cost is listed. The Budget Breakdown by Capability is located on the far right of each budget tab. Enter percentages to indicate which of the CDC Public Health Emergency Preparedness and Response Capabilities the expense will maintain or strengthen. A higher percentage indicates a greater share of your effort going toward this capability. Ensure that each row totals to 100 percent. Figure 1, below, shows an example of a correctly completed Budget Breakdown by Capability. The Budget Breakdown by Capability uses capability abbreviations. Full capability names and explanations are included in the capabilities guidance linked above.

<table>
<thead>
<tr>
<th>CP</th>
<th>CR</th>
<th>EOC</th>
<th>EPIW</th>
<th>FM</th>
<th>IS</th>
<th>MC</th>
<th>MCD</th>
<th>MMMD</th>
<th>MS</th>
<th>NPI</th>
<th>PHLT</th>
<th>PHSEI</th>
<th>RSH</th>
<th>VM</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>50%</td>
<td>0%</td>
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<td>15%</td>
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<td>0%</td>
<td>0%</td>
<td>20%</td>
<td>0%</td>
<td>100%</td>
</tr>
</tbody>
</table>

Figure 1: Correctly Completed Budget Breakdown by Capability
Summary Tab

**Directions**
Use the correct budget template. Ensure it corresponds to the appropriate:

- Cooperative agreement.
- Budget period.

Use the following naming convention for the spreadsheet:

- [your agency] BP4 1901 PHEP Budget”
- [your agency] BP4 1901 PHEP CRI Budget” (for Cities Readiness Initiative jurisdictions only)

Enter the name of the health department or Tribal health center in cell B15.

Enter your agency’s allocation amount in cell B16.

**Notes:**

- Only enter information in yellow-highlighted cells. Do not enter data in light blue cells; values in these cells will populate automatically.
- The remaining cells in the Summary tab will automatically populate once expenses are entered in the budget category tabs (such as Salary and Fringe Benefits, Travel, and Equipment). Indirect costs should be entered in the Indirect tab, which will automatically populate cell B28.
- The Budget Breakdown by Capability, in the Summary tab, will automatically populate once it is completed in the budget category tabs.

Salary and Fringe Benefits Tab

**Directions**
For each requested position, provide the following information:

- Name of personnel occupying the position (if not available, use "vacant")
- Position title
- Description of position (this should describe the scope of responsibility of the position and explain how it relates to public health emergency preparedness)
- Annual salary
- Percentage of time budgeted for this program (full time equivalent [FTE])
- Number of months budgeted
- Fringe as a percentage of salary

**Notes:**
• Fringe benefits are usually applicable to direct salaries and wages. Information on the basis for fringe calculation must be made available upon request.

• On-call pay should be included in the Salary and Fringe Benefits tab.

**Remember to fill in the Budget Breakdown by Capability, and ensure that each row totals to 100 percent.**

<table>
<thead>
<tr>
<th>Name of Personnel</th>
<th>Position Title</th>
<th>Description of Position</th>
<th>Annual Salary</th>
<th>FTE</th>
<th># of Months Budgeted</th>
<th>Amount Requested for Salary</th>
<th>Fringe as a % of Salary</th>
<th>Amount Requested for Benefits</th>
<th>Total Amount for Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Susan Taylor</td>
<td>Preparedness Coordinator</td>
<td>This position coordinates the overall operation of the PHEP program for the health department, responsible for overseeing the implementation of program capabilities, and coordinating with other agencies.</td>
<td>$45,000</td>
<td>100%</td>
<td>12</td>
<td>$45,000.00</td>
<td>36%</td>
<td>$16,200.00</td>
<td>$61,200.00</td>
</tr>
<tr>
<td>Example: (Vacant)</td>
<td>Outreach Specialist</td>
<td>This position will assist with writing and editing communication documents to meet PHEP grant objectives, including plans and AARs.</td>
<td>$30,000</td>
<td>25%</td>
<td>10</td>
<td>$7,900.00</td>
<td>30%</td>
<td>$2,700.00</td>
<td>$10,200.00</td>
</tr>
</tbody>
</table>

Figure 2: Example of a Correctly Populated Salary and Fringe Benefits Tab

**Common Errors—Salary and Fringe Benefits Tab**

- **Name of Personnel:**
  - **Error:** Lists only generic groups (such as “public health staff” or “department staff”).
  - **Correction:** List names of individual personnel on separate lines.

- **Description of Position:**
  - **Error:** Field is left blank or does not describe how the position is related to public health emergency preparedness.
  - **Correction:** Provide a description of position for each staff member that describes how the position supports public health emergency preparedness.

- **Annual Salary:**
  - **Error:** The amount listed is the total amount to be charged to PHEP funding, not the actual base salary figure for the staff member.
  - **Correction:** Provide base annual salary in the Annual Salary cell for each staff member.

**Travel Tab**

**Directions**

- **Traveler type:**
  - Dollars requested in the **Travel category** should be for **agency staff travel only**.
  - Travel for any **other participants** (if applicable) should be included in the **Other tab**.

- **Funding type:**
  - PHEP carryover funding cannot be used to support travel expenses.
- Local health departments and tribal health centers should use their PHEP base (current year) funding for this purpose.

- **Reimbursement rate**: Each local health department and Tribal health center should use their agency’s or organization’s travel reimbursement rate as set forth in an established policy.

- **Data entry**:
  - **Name of Personnel**: On separate lines, enter the name of each staff member who will be travelling for purposes related to public health emergency preparedness.
  - **Position Title**: Provide the position title of each traveler. If the traveler is not listed on the Salary and Fringe Benefits page, the traveler must be involved in public health emergency preparedness work.
  - **Justification for Travel**: Provide a brief narrative justification for travel describing:
    - Why the travel is required.
    - How it relates to public health emergency preparedness.
    - Where the destination is.
    - When the approximate dates are (such as National Association of County and City Health Officials [NACCHO] Conference April 2023).
  - **Function of travel**: Select the function of travel. *If selecting "Other," specify the function of travel in the Justification for Travel cell.*
  - **In-state/Out-of-state**: Indicate if travel is in-state or out-of-state.
  - **Mileage**: If mileage is to be paid:
    - Provide the number of miles.
    - Provide the rate per mile according to your agency’s or organization’s travel reimbursement rate as set forth in an established policy.
  - **Meals**: If meal costs are to be reimbursed:
    - Provide the number of days.
    - Provide the meal cost per diem.
  - **Lodging**: If lodging costs are to be reimbursed:
    - Provide the number of nights lodging
    - Provide the estimated cost of lodging per night. Again, follow the rates according to your agency’s or organization’s travel reimbursement rate as set forth in an established policy.
  - **Other**: If travel costs include other costs not included in columns F through L (such as conference registration fees, airfare, parking, or ground transportation):
- Enter this expense or expenses in the Other cell (column M).
- Specify the expense(s) in the Justification for Travel cell.

**Note: Out-of-State Travel**

- **Multiple travelers and trips**: The amount of PHEP funds used to support multiple travelers for multiple out-of-state trips should be limited. Approval from OPEHC is required for multiple out-of-state travelers or multiple out-of-state trips.

- **Reasonable expenses**: PHEP grantees in travel status are expected to use good judgment when incurring travel costs. Only expenses incurred while conducting official PHEP business will be reimbursed. Reimbursement claims must represent actual, reasonable, and necessary expenses. Reimbursements may not cover the entire cost if they exceed prescribed limitations.

**Remember to fill in the Budget Breakdown by Capability, and ensure that each row totals to 100 percent.**

<table>
<thead>
<tr>
<th>Name of Personnel</th>
<th>Position Title</th>
<th>Justification for Travel</th>
<th>Function of Travel</th>
<th>In-state/Out-of-state</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Susan Taylor</td>
<td>Preparedness Coordinator</td>
<td>The Project Coordinator will take 1 trip to Wisconsin Dells to attend the WPHA Conference in May 2023. This conference includes several sessions on public health preparedness topics. This estimate includes $300 for conference registration.</td>
<td>Conferences/Trainings</td>
<td>In-state</td>
</tr>
<tr>
<td>Example: (Vacant)</td>
<td>Outreach Supervisor</td>
<td>The Outreach Supervisor will travel to Atlanta, GA to attend the NACCHO Preparedness Summit scheduled for April 2023. This estimate includes $400 for airfare, $300 for registration, and $25 for airport parking.</td>
<td>Conferences/Trainings</td>
<td>Out-of-state</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Number of Miles</th>
<th>Rate per Mile</th>
<th>Total Mileage</th>
<th># Days</th>
<th>Meal Per Diem</th>
<th># Nights Lodging</th>
<th>Lodging</th>
<th>Other *any cost listed here must be explained in Justification for Travel (column C)</th>
<th>Budget TOTAL</th>
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<td>120.00</td>
<td>$ 0.510</td>
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<td>$ 725.00</td>
<td>$ 1,055.50</td>
</tr>
</tbody>
</table>
Common Errors—Travel Tab

- **Justification for Travel:**
  - *Error:* The justification for travel does not provide a clear link between travel and public health emergency preparedness work.
  - *Correction:* Include a justification for each line item that explains how travel relates to public health emergency preparedness.

- **Other costs:**
  - *Error:* Expenses in the Other cell are not specified in the Justification for Travel.
  - *Correction:* If including costs in Other, explain the expense(s) in the Justification for Travel (column C).

Equipment Tab

**Directions**

- **Equipment definition:** Per CDC guidelines, “equipment” is defined as a tangible, non-expendable item that has a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Individual items costing less than $5,000 per unit with a useful life of more than one year should be listed in the Other tab. Maintenance or rental fees for equipment should be included in the Other tab.

- **Data entry:**
  - *Description of item:* Provide a description of the item
  - *Justification of item:* Provide a justification for the item that explains how it relates to public health emergency preparedness.
  - *Serial number or other identification number and acquisition date:* Once you have received approval from OPEHC and purchased the item follow up with OPEHC to provide the serial number or other identification number and acquisition date.
  - *Cost:* Enter the full cost of the item in the Cost cell (column E).
  - *Percentage of PHEP funds:* Include the percentage of PHEP funds anticipated to be used to purchase the item.

Note: The PHEP program collects equipment information as part of the federal asset reporting requirements. The PHEP program may follow up in future years to determine the disposition of these items.

Remember to fill in the Budget Breakdown by Capability, and ensure that each row totals to 100 percent.
Common Errors—Equipment Tab

- **Cost:**
  - *Error:* Individual items with an acquisition cost of less than $5,000 per unit are included in the Equipment tab.
  - *Correction:* Include only individual items with an acquisition cost of $5,000 or more per unit in the Equipment tab.

Supplies Tab

**Directions**

- **Supplies definition:** Supplies are generally consumable and expendable. Supply items should not include services purchased.

- **Data entry:**
  - *Description of item:* Provide a description of each item.
    - List each supply item on separate lines.
  - *Justification of item:* Provide a justification for the item that explains how it relates to public health emergency preparedness.
  - *Unit of measure, quantity, and cost per unit:* Provide the unit of measure (such as month, item, case, etc.) and enter the quantity and cost per unit.
  - *Other cost:* If supplies costs include other costs not included in the per unit cost (such as shipping or printing costs):
    - Enter this expense or expenses in the Other Cost cell (column F)
    - Specify the expense(s) in the Justification of Item cell.

**Notes:**

- If appropriate, general office supplies may be shown using a jurisdiction-approved basis of allocation (for example, $200 per year per FTE @ 3.5 FTE = $700).
- The purchase of promotional items, such as giveaways, tote bags, or promotional magnets, with PHEP funds is prohibited.
Remember to fill in the Budget Breakdown by Capability, and ensure that each row totals to 100 percent.

<table>
<thead>
<tr>
<th>Description of Item</th>
<th>Justification of Item</th>
<th>Unit of Measure (e.g., month, item, case, etc.)</th>
<th>Quantity</th>
<th>Cost per Unit</th>
<th>Other Cost</th>
<th>Budget Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: General office supplies (pens, pencils, paper, etc.)</td>
<td>These supplies will support the operations of the PHEP program.</td>
<td>Months</td>
<td>12</td>
<td>$20.00</td>
<td>-</td>
<td>$240.00</td>
</tr>
<tr>
<td>Example: Educational pamphlets - emergency alerting system</td>
<td>These educational pamphlets will inform the public and partners about our county emergency public information and warning system. Other costs includes $38 for shipping.</td>
<td>Item</td>
<td>3000</td>
<td>$1.00</td>
<td>$38.00</td>
<td>$3,038.00</td>
</tr>
<tr>
<td>Example: Emergency Operations Coordination (EOC) vests</td>
<td>These vests will be used multiple times by numerous staff members, to be worn during public health exercises or responses, and will remain property of the health department.</td>
<td>Item</td>
<td>10</td>
<td>$15.00</td>
<td>-</td>
<td>$150.00</td>
</tr>
</tbody>
</table>

Figure 5: Example of a Correctly Populated Supplies Tab

**Common Errors—Supplies Tab**

- **Unit of measure, quantity, cost per unit:**
  - *Error:* Unit of measure, quantity, and cost per unit are not specified.
  - *Correction:* Provide unit of measure, quantity, and cost per unit in the appropriate cells.

- **Promotional Items:**
  - *Error:* Promotional items are included.
  - *Correction:* Do not include promotional items in your PHEP budget. Promotional items are not an allowable expense (see Funding Restrictions).

- **Description of Item:**
  - *Error:* Description of item does not provide sufficient detail or itemization (for example, entering only “miscellaneous costs”).
  - *Correction:* Provide specific information about the items to be purchased.

**Contractual Tab**

**Directions**

- **Contractual definition:** Per CDC guidelines, the “contractual” category is used for any item where you could use a “contract” when purchasing from a third party to acquire commercial goods or services. For example, you may hire a trainer and develop a contract with a scope of work to define what the trainer will accomplish for you.

- **Data entry:**
  - *Name of vendor:* Provide the name of the vendor (if not available, use “TBD”).
  - *Description of service:* Provide a description of service that summarizes the vendor’s scope of work (what you will receive).
  - *Justification of service and cost calculation:*
- Provide a justification of service that explains how the service relates to public health emergency preparedness.
- Include a cost calculation or description that explains how you arrived at the total cost figure in column E.

  - **Mode of selection:** Indicate how the contractor was selected (bid or sole source) in the Mode of Selection cell. If sole source, provide a justification in the Justification of Service cell that explains why this mode of selection was used as opposed to a competitive bid.

Notes:
- Competitive selection processes are encouraged to the extent possible and practicable.
- Follow local procurement guidelines.
- Documentation of contracts or purchases must be made available to OPEHC upon request.

**Remember to fill in the Budget Breakdown by Capability, and ensure that each row totals to 100 percent.**

<table>
<thead>
<tr>
<th>Name of Vendor</th>
<th>Description of Service</th>
<th>Justification of Service and Cost Calculation</th>
<th>Mode of Selection *If Sole Source, must explain why in Justification (column C)</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: ABC Training</td>
<td>Provide training to local emergency responders.</td>
<td>This training will address identified gaps from After Action Report (AAR) findings. This includes the total cost of two 2-hour training sessions. 2 trainings x $300/training = $600</td>
<td>Bid</td>
<td>$ 600</td>
</tr>
<tr>
<td>Example: AVI Technical Services</td>
<td>Provide upgrades to the EOC, including new wiring and upgrades to display various data systems needed to conduct and participate in conference calls during an emergency.</td>
<td>These upgrades are necessary to facilitate emergency operations coordination for the public health Emergency Operations Center (EOC). Sole source vendor (existing contract). This is the county’s negotiated project cost with AVI Technical Services.</td>
<td>Sole Source</td>
<td>$ 5,000</td>
</tr>
<tr>
<td>Example: Dr. Mei Zhang, Local Medical Center</td>
<td>Provide medical advice during an exercise event scheduled for August 38th and evaluate the effectiveness of the protocols.</td>
<td>A subject matter expert is needed to provide the medical perspective on medical surge during a public health emergency exercise. Sole source vendor (joined with other county contract). This includes an 8-hour exercise and 12 hours for after action review and participation in after action meeting. 20 hours x $100/hr = $2000</td>
<td>Sole Source</td>
<td>$ 2,000.00</td>
</tr>
</tbody>
</table>

**Figure 6: Example of a Correctly Populated Contractual Tab**

**Common Errors—Contractual Tab**

- **Mode of selection justification:**
  - *Error:* A justification is not provided when sole source is selected as the mode of selection.
  - *Correction:* If sole source is selected, provide a justification in the justification of service cell that explains why this mode of selection was used as opposed to a
competitive bid.

**Other Tab**

**Directions**

- **Other definition:** The Other tab is for other items not included in the previous budget categories. Examples include:
  - Individual items costing less than $5,000 with a useful life of more than one year.
  - Telecommunications such as phone and internet costs.
  - Copiers.
  - Software license costs.
  - Maintenance or rental fees for equipment.
  - Membership fees.
  - Insurance.
  - Enterprise services within your agency that are billed back to you by your agency.

- **Data entry:**
  - **Description of item or service:** Provide a description of each item or service requested.
  - **Justification of item or service and cost calculation:**
    - Provide a justification that explains how the item or service relates to public health emergency preparedness.
    - Include a cost calculation or description that explains how you arrived at the total cost figure in column C.

Remember to fill in the Budget Breakdown by Capability, and ensure that each row totals to 100 percent.
Common Errors—Other Tab

- **Multiple items:**
  - Error: Multiple different items are listed in a single line.
  - Correction: List each item on separate lines.

- **Cost calculation:**
  - Error: A cost calculation or description to explain the total cost is not provided.
  - Correction: Provide a cost calculation or description that explains how you arrived at the total cost figure in column C. If purchasing multiples of the same item, include the quantity and unit cost in the justification of item or service.

Indirect Tab

**Directions**

- **Indirect rate:** Local health departments and Tribal health centers are expected to follow their agency’s or organization’s policies for establishing indirect cost rates. Documentation of these rates must be made available to OPEHC upon request.

- The following are examples of expenses that may be covered by indirect cost rates:
  - Financial tracking and report preparation
  - Information technology distributed costs
- Distributed accounting costs
- County counsel time
- Administrative services
- Facilities operations charges
- Department analyst time
- Auditor/controller time working on the grant
- Liability insurance
- Personnel services
- Overhead costs

- **Data entry:**
  - **Indirect costs:** Provide a description of the costs in the Indirect Costs cell (column A), for example, “Indirect costs for ABC Health Department”.
  - **Indirect cost rate as a percentage:** Enter your agency’s negotiated indirect cost rate as a percentage in column B.
  - **Indirect cost requested as a whole number:** Enter the indirect cost requested as a whole number in column C. Cell C9 will automatically populate to the Indirect costs line in the Summary tab.

![Figure 8: Example of a Correctly Populated Indirect Tab](image)

**Finalizing and Submitting your Budget**

Once you have finished filling out the budget template, complete the following to finalize and submit your budget to OPEHC for review:

1. Ensure that the Total Expenditures on the Summary tab equals your allocation amount. Cells B16 and B29 on the Summary tab should be equal.

2. Ensure that your budget is saved with the correct title: “[your agency] BP4 1901 PHEP Budget” or “[your agency] BP4 1901 PHEP CRI Budget.”
3. Verify that the Budget Breakdown by Capability is completed for all rows in which a cost is listed. Each row should total to 100 percent.

4. Go to the PCA Portal Local Preparedness Budget Management page and click on the “Submit a New Budget” link. This will open a new, blank Local and Tribal Preparedness Budget Form. **Note:** You should only open a new form if this is the first time you are submitting this budget. If you are submitting a budget revision, see Revisions.

5. Select the appropriate cooperative agreement and/or budget period. PHEP budgets for the current year should be submitted using the PHEP BP4 1901 cooperative agreement and budget period.

6. Select your jurisdiction.

7. Attach your appropriately named, completed budget template to the “Attach Worksheet” box.

8. View the Summary tab of your completed budget. Enter the numbers in column B of the Summary tab into the Initial Budget column in the Local and Tribal Preparedness Budget Form on the PCA Portal. **Note:** As of fiscal year 2021–2022, “Consultant” is no longer a category in the PHEP budget. Disregard this line in the budget form on the PCA Portal.

9. Save the form.

   **Note:** If there are comments that you would like OPEHC to review, include them in the comments section of the Local and Tribal Preparedness Budget Form on the PCA Portal (this is optional).
Figure 9: Blank Local and Tribal Preparedness Budget Form on the PCA Portal.

If you have questions or need assistance, please contact the OPEHC grants manager or PHEP program coordinator.
Funding Restrictions

**Notice of Funding Opportunity (NOFO) Restrictions—PHEP Cooperative Agreement CDC-RFA-TP19-1901**

The document linked above is the PHEP Cooperative Agreement Notice of Funding Opportunity, published by CDC. In CDC documents, the term “recipient” refers to the 62 PHEP recipients (50 states, 4 cities, and 8 U.S. territories and freely associated states). The following funding restrictions apply to both the State of Wisconsin as a PHEP recipient, as well as Wisconsin local health departments and Tribal health centers as PHEP subrecipients.

**General Restrictions**

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may use funds only for reasonable program purposes including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed, unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
  - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body
  - 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 any legislative body
- See additional requirement (AR) 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC recipients.
- The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.
- In accordance with the United States Protecting Life in Global Health Assistance policy, all non-governmental organization (NGO) applicants acknowledge that foreign NGOs that receive funds provided through this award, either as a prime recipient or subrecipient, are strictly prohibited, regardless of the source of funds, from performing abortions as a method of family planning or engaging in any activity that promotes abortion as a method of family
planning, or to provide financial support to any other foreign non-governmental organization that conducts such activities. See AR 35 for applicability.

- Recipients may supplement but not supplant existing state or federal funds for activities described in the budget.
- Payment or reimbursement of backfilling costs for staff is not allowed.
- None of the funds awarded to these programs may be used to pay the salary of an individual at a rate in excess of executive level II or $189,600 per year.
- Funds may not be used to purchase or support (feed) animals for labs, including mice.
- Funds may not be used to purchase a house or other living quarters for those under quarantine. Rental may be allowed with approval from CDC Office of Grants Services.
Supplanting
Recipients may supplement but not supplant existing state or federal funds for activities described in the budget. Federal law prohibits recipients of federal funds from replacing state, local, or agency funds with federal funds. For example, funds may not be used to cover positions and other expenditures already funded by other sources.

Personnel Costs
Recipients may (with prior approval) use funds for overtime for individuals directly associated (listed in personnel costs) with the award with prior approval from CDC Office of Grants Services.

Travel
Travel or conferences not specific to public health emergency preparedness are not allowed.

Lobbying
Other than for normal and recognized executive-legislative relationships, PHEP funds may not be used for:

- Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body;
- 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 any legislative body

See AR 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC recipients.

Construction and Major Renovations
- Recipients may not use funds for construction or major renovations.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly justified in the budget.

Passenger Road Vehicles
- Funds cannot be used to purchase over-the-road passenger vehicles.
- Funds cannot be used to purchase vehicles to be used as means of transportation for carrying people or goods, such as passenger cars or trucks, and electrical or gas-driven motorized carts.
- Recipients can (with prior approval) use funds to lease vehicles to be used as means of transportation for carrying people or goods, for example, passenger cars or trucks and electrical or gas-driven motorized carts during times of need.
- Additionally, PHEP grant funds can (with prior approval) be used to make transportation agreements with commercial carriers for movement of materials, supplies, and equipment.
There should be a written process for initiating transportation agreements (such as contracts, memoranda of understanding, formal written agreements, and/or other letters of agreement). Transportation agreements should include, at a minimum:

- Type of vendor
- Number and type of vehicles, including vehicle load capacity and configuration
- Number and type of drivers, including certification of drivers
- Number and type of support personnel
- Vendor’s response time.
- Vendor’s ability to maintain cold chain, if necessary to the incident
- This relationship may be demonstrated by a signed transportation agreement or documentation of transportation planning meeting with the designated vendor. All documentation should be available to the CDC project officer for review if requested.

**Transportation of Medical Material**

- Funds can (with prior approval) be used to procure leased or rental vehicles for movement of materials, supplies, and equipment.
- Recipients can (with prior approval) use funds to purchase material-handling equipment (MHE) such as industrial or warehouse-use trucks to move materials, such as forklifts, lift trucks, turret trucks, etc. Vehicles must be of a type not licensed to travel on public roads.
- Recipients may purchase basic (non-motorized) trailers with prior approval from CDC Office of Grants Services.

**Procurement of Food and Clothing**

- Clothing:
  - Funds may *not* be used to purchase clothing such as jeans, cargo pants, polo shirts, jumpsuits, sweatshirts, or T-shirts.
  - Funds may be used to purchase vests (or similar items) that may be used multiple times by numerous individuals, to be worn during exercises or responses may be allowed.
- Food: Generally, funds may not be used to purchase food. However, with prior approval from OPEHC, funds may be allowed for the purchase of food at the approved state government rates. Specifically, if providing a meal and/or refreshments is necessary to avoid negatively impacting the effectiveness of a training or exercise (such as time considerations related to attendees leaving the premises to purchase food or delayed start time of training or exercise), preapproval may be requested.

**Note:** Recipients are required to maintain an agenda and a meal sign-in sheet at the local level for auditing purposes. See [45 CFR 75.432](#) for additional information.
Vaccines

- PHEP recipients can, with prior CDC approval, use funds to purchase caches of antibiotics for use by public health responders and their households to ensure the health and safety of the public health workforce during an emergency response, or an exercise to test response plans. Funds may not be used to supplant other funding intended to achieve this objective.

- PHEP recipients can, with prior CDC approval, use funds to purchase caches of vaccines for public health responders and their households to ensure the health and safety of the public health workforce.

- PHEP recipients can, with prior CDC approval, use funds to purchase caches of vaccines for select critical workforce groups to ensure their health and safety during an exercise testing response plans.
  - Recipients must document in their submitted exercise plans the use of vaccines for select critical workforce personnel before CDC will approve the vaccine purchase.

- Recipients may not use PHEP funds to supplant other funding intended to achieve these objectives

- Recipients of PHEP-funded vaccines (within the context of the exercise) may include:
  - Persons who meet the criteria in the CDC Advisory Committee on Immunization Practices (CDC/ACIP) recommendations for who should receive vaccine; and
  - Persons who are not eligible to receive the vaccine through other entitlement programs such as Medicare, Medicaid, or the Vaccines for Children (VFC) program.
    - VFC-eligible children or Medicare beneficiaries may participate in the exercise; however, they should be vaccinated with vaccine purchased from the appropriate funding source.

- PHEP funds may not be used to purchase vaccines for seasonal influenza mass vaccination clinics or other routine vaccinations covered by Advisory Committee on Immunization Practices (ACIP) schedules.

- PHEP funds may not be used to purchase influenza vaccines for the general public.

Recipients may not use funds for clinical care except as allowed by law. Per the PHEP Notice of Funding Opportunity, clinical care is defined as "directly managing the medical care and treatment of individual patients." PHEP-funded staff may administer medical countermeasures (MCMs), such as antibiotics or vaccines, as a public health intervention in the context of an emergency response or an exercise to test response plans. CDC does not consider this clinical care since it is not specific to an emergency response or an exercise to test response plans.

Laboratory Supplies

Instruments, reagents, and supplies for the following are not generally purchased with PHEP funding:
• Instruments, reagents, and supplies for testing seasonal influenza;
• Instruments, reagents, and supplies for testing rabies;
• Instruments, reagents, and supplies for routine food testing (surveillance);
• Instruments, reagents, and supplies for testing vaccine preventable diseases (such as measles or mumps)
• Instruments, reagents, and supplies for routine testing of vector-borne illnesses (both clinical and vector surveillance);
• Routine drug screening of laboratory staff; and
• Influenza vaccines (for the general public).

Because recipients receive substantial assistance from CDC through other programs, recipients should ensure these line items are funded under the appropriate program.

Advertising and Public Relations, Supplies, Meetings, Promotional Items and Memorabilia

Federal Regulation Codes under section 200.421: PART 200—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

(a) The term “advertising costs” means the costs of advertising media and corollary administrative costs. Advertising media includes magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like.
(b) The only allowable advertising costs are those which are solely for:
   (1) The recruitment of personnel required by the non-federal entity for performance of a federal award (See also §200.463 Recruiting costs).
   (2) The procurement of goods and services for the performance of a federal award.
   (3) The disposal of scrap or surplus materials acquired in the performance of a federal award except when non-federal entities are reimbursed for disposal costs at a predetermined amount.
   (4) Program outreach and other specific purposes necessary to meet the requirements of the federal award.
(c) The term “public relations” includes community relations and means those activities dedicated to maintaining the image of the non-federal entity or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public.
(d) The only allowable public relations costs are:
   (1) Costs specifically required by the federal award.
   (2) Costs of communicating with the public and press pertaining to specific activities or accomplishments which result from performance of the federal award (these costs are considered necessary as part of the outreach effort for the federal award).
(3) Costs of conducting general liaison efforts with news media and government public relations officers, to the extent that such activities are limited to communication and liaison necessary to keep the public informed on matters of public concern, such as notices of funding opportunities, financial matters, etc.

(e) Unallowable advertising and public relations costs include the following:

(1) All advertising and public relations costs other than as specified in paragraphs (b) and (d) of this section

(2) Costs of meetings, conventions, convocations, or other events related to other activities of the entity (see also §200.432 Conferences), including:
   (i) Costs of displays, demonstrations, and exhibits.
   (ii) Costs of meeting rooms, hospitality suites, and other special facilities used in conjunction with shows and other special events.
   (iii) Salaries and wages of employees engaged in setting up and displaying exhibits, making demonstrations, and providing briefings.

(3) Costs of promotional items and memorabilia, including models, gifts, and souvenirs.

(4) Costs of advertising and public relations designed solely to promote the non-federal entity.

**General Procurement Standards**

Some of the general standards over procurement include:

- Every non-federal entity receiving federal awards must have documented procurement procedures that reflect federal law, Uniform Guidance standards, and any state regulations.

- Entities should focus on the most economical solution during the procurement process and must avoid using federal funds for the acquisition of unnecessary items. Organizations are encouraged to consider the use of shared services and intergovernmental agreements to foster greater economy and efficiency.

- Written conflict-of-interest policies are required. No employee or agent of the entity may participate in the selection, award, or administration of a contract funded by federal grant dollars if they have an actual or apparent conflict of interest.

- The organization must document the procurement steps and activities required to be completed. This includes the basis for the type of procurement, contract type, and the basis for the contractor selection and price.

- Ultimately, the recipient of federal awards must maintain an appropriate level of oversight to ensure that contractors perform in accordance with the terms of their contract.

The Uniform Guidance outlines five methods of procurement:

- **Micro-purchase:** purchases where the aggregate dollar amount does not exceed $3,000 (or $2,000 if the procurement is construction and subject to Davis-Bacon). When practical, the entity should distribute micro-purchases equitably among qualified suppliers. No competitive quotes are required if management determines that the price is reasonable.

- **Small purchase:** includes purchases up to the Simplified Acquisition Threshold, which is
Informal purchasing procedures are acceptable, but price or rate quotes must be obtained from an adequate number of sources.

- **Sealed bids:** used for purchases over the Simplified Acquisition Threshold, which is currently $150,000. Under this purchase method, formal solicitation is required, and the fixed price (lump sum or unit price) is awarded to the responsible bidder who conformed to all material terms and is the lowest in price. This method is the most common procurement method for construction contracts.

- **Competitive proposals:** used for purchases over the Simplified Acquisition Threshold, this is currently $150,000. This procurement method requires formal solicitation, fixed-price or cost-reimbursement contracts, and is used when sealed bids are not appropriate. The contract should be awarded to the responsible firm whose proposal is most advantageous to the program, with price being one of the various factors.

- **Noncompetitive proposals:** also known as sole-source procurement, this may be appropriate only when specific criteria are met. Examples include when an item is available only from one source, when a public emergency does not allow for the time of the competitive proposal process, when the federal awarding agency authorizes, or, after a number of attempts at a competitive process, the competition is deemed inadequate.

**PHEP BP3 Carryover Funding**

All local health departments and Tribal health centers are eligible to carryover unspent PHEP and CRI budget period 3 (2021–2022) funds into budget period 4 (2022–2023), barring any changes to funding restrictions by CDC.

**Salary and fringe for unfinished activities:** Local health departments and Tribal health centers can obligate (or “carry forward”) unobligated salary and fringe expenses from the previous budget period into the current budget period if they are being used to continue unfinished PHEP activities that were intended to be completed in the previous budget period.

**Salary and fringe for 100% FTE:** Local health departments and Tribal health centers cannot obligate unobligated previous budget period salary and fringe expenses that are being used to fund a 100% FTE, as this would be supplantation. In this case, local health departments and Tribal health centers would need to revise their current year budget to ensure that an FTE listed in both the base and carryover budgets does not total over 100 percent.

**Travel expenses:** Similarly, local health departments and Tribal health centers cannot obligate unobligated travel funds that were intended to support staff travel to meetings, conferences, or trainings that were intended to take place during the previous budget period, as this would be considered a change in scope rather than a continuation of previous budget period activities. Local health departments and Tribal health centers should use their PHEP base (current year) funding for this purpose.

**Revisions**

**OPEHC Revision Policy**
**Changes to existing line items**
OPEHC allows local health departments and Tribal health centers to move up to 25 percent of their overall approved budget allocation between existing line items (within or between categories) without prior approval. In these cases, local health departments and Tribal health centers are advised to maintain an internal record of their budget changes. Any change over 25 percent of the approved budget requires prior approval from OPEHC.

**Changes involving addition of a new line item**
Any budget change involving the addition of a new line item that did not appear in the initial approved budget requires prior approval from OPEHC.

**Process for requesting prior approval**
To request prior approval for a budget revision, please send an email describing the request to the OPEHC grants manager or PHEP program coordinator. Once prior approval has been granted, the local health department or Tribal health center must submit a revised budget via email to the OPEHC grants manager or PHEP program coordinator.

**Uploading Revised Budgets to the PCA Portal**
Once the revised budget has been approved, the local health department or Tribal health center should upload the budget to the appropriate Local and Tribal Preparedness Budget Form on the PCA Portal:

1. Name the budget spreadsheet using the format “[your agency] BP4 1901 PHEP Budget_revised[Today’s date]” or “[your agency] BP4 1901 PHEP CRI Budget_revised[Today’s date]” (for Cities Readiness Initiative jurisdictions).
2. Log onto the PCA Portal. Click on Local and Tribal Objectives in the left sidebar and then click Local Preparedness Budget Management page.
3. Scroll to the bottom of the Local Preparedness Budget Management page to view the “My Budgets” section.
4. Open your agency’s existing PHEP BP4 1901 budget form. This form should already contain numbers in the Initial Budget column and your agency’s approved budget in the Attach Worksheet cell.
   a. If you were the last person to modify the budget form, it should appear under “My Budgets.” Click on the Cooperative Agreement title to view the budget form.
   b. If the budget form does not appear under “My Budgets,” click on “My Budgets” to access the full library of local and Tribal preparedness budgets. Filter by Jurisdiction. Locate the PHEP BP4 1901 budget form and click “View Budget.”
5. Click the “edit item” icon in the upper left-hand corner.
6. Attach your approved revised budget to the “Attach Worksheet” box.
7. View the Summary tab of your approved revised budget. Ensure that the numbers in column B of the Summary tab match the numbers entered in the Initial Budget column of the Local and Tribal Preparedness Budget Form on the PCA Portal. The Initial Budget column should always reflect your current, approved budget. Note: As of fiscal year 2021–2022, “Consultant” is no longer a category in the PHEP budget. Disregard this line in the budget form on the PCA Portal.
8. Save the form.

Note: If there are comments that you would like OPEHC to review, include them in the comments section of the Local and Tribal Preparedness Budget Form on the PCA Portal (this is optional).

How to Access Your Agency’s Preparedness Budgets

1. Log onto the PCA Portal. Click on “Local and Tribal Objectives” in the left sidebar and then click “Local Preparedness Budget Management page.”

2. Scroll to the bottom of the page to view the “My Budgets” section.

   If you were the last person to modify the budget form, it should appear under the “My Budgets” header. Click on the Cooperative Agreement title to view the budget form.

   If the budget form does not appear under “My Budgets,” follow the steps below.

3. Click on “My Budgets” to access the full library of local and Tribal preparedness budgets.

4. Filter by Jurisdiction.
Click “View Budget” for the budget you would like to view.

Mid-Year and Final Expenditures

All local health departments and Tribal health centers are required to submit mid-year expenditures and final expenditures on their PHEP BP4 local and Tribal preparedness budget form on the PCA Portal. Deadlines for these submissions can be found in the BP4 Local and Tribal Preparedness Contract Objectives, which are posted to the PCA Portal Local and Tribal Objectives page.

A video tutorial on how to submit mid-year expenditures is available on the PCA Portal Tech Tips page. The process is the same for entering both mid-year and final expenditures in the PCA Portal Local and Tribal Preparedness Budget Form.

1. Log onto the PCA Portal. Click on Local and Tribal Objectives in the left sidebar and then click Local Preparedness Budget Management page.

2. Scroll to the bottom of the Local Preparedness Budget Management page to view the “My Budgets” section.

3. Open your agency’s existing PHEP BP4 1901 Local and Tribal Preparedness Budget Form. This form should already contain numbers in the Initial Budget column and your agency’s approved PHEP BP4 budget in the Attach Worksheet cell.

   a. If you were the last person to modify the budget form, it should appear under “My Budgets.” Click on the Cooperative Agreement title to view the budget form.
   
   b. If the budget form does not appear under My Budgets, click on “My Budgets” to access the full library of local and Tribal preparedness budgets. Filter by Jurisdiction. Locate the PHEP BP4 1901 form and click “View Budget.”

4. Click the “Edit Item” icon in the upper left-hand corner.
5. Enter your completed values (salary, fringe, travel, equipment, supplies, contractual, indirect costs, and other, as applicable) in the Mid-year Expenditures or Final Expenditures column, depending on which numbers you are submitting.

6. Save the form.

**Note:** Mid-year expenditures for PHEP BP4 should reflect any expenditures made from July 1, 2022 to December 31, 2022.

**Common Errors**

- **Submitting a new budget form:**
  - *Error:* Submitting a new budget form to report mid-year or final expenditures.
  - *Correction:* To submit mid-year and final expenditures, edit the existing PHEP BP4 budget form that already contains numbers in the Initial Budget column and your agency’s approved PHEP BP4 budget in the Attach Worksheet cell.

- **Final expenditures exceed initial budget total:**
  - *Error:* The Final Expenditures column total dollar amount exceeds Initial Budget column total dollar amount.
  - *Correction:* Ensure that the Final Expenditures column total dollar amount reflects actual spending and is equal to or less than the Initial Budget column total dollar amount.
Appendix

**Western Wisconsin Public Health Readiness Consortium (WWPHRC) Expenditures**

Local health departments and Tribal health centers that participate in the WWPHRC will sign a memorandum of understanding (MOU) with WWPHRC that directs OPEHC to reduce their allocation by a certain dollar amount. OPEHC will reduce the local health department or Tribal health center’s dollar amount in the actual contract and increase the contract for Eau Claire City-County Health Department (fiscal agent for WWPHRC) by that amount.

**Please do not include the WWPHRC dollar amount in your PHEP budget (Excel file) or in your agency’s PHEP BP4 1901 local and Tribal preparedness budget form in the PCA Portal.** Doing so would not reflect the actual amount in your contract and Community Aids Reporting System (CARS) profile. Rather, your PHEP BP4 budget should **reflect the dollar amount included in your contract with OPEHC**, which reflects the amount redirected to WWPHRC.

For example, if your initial PHEP budget allocation from OPEHC is $100,000, but 25 percent is being redirected to WWPHRC (“off the top”), then your initial PHEP budget should total $75,000.