Rural Community Development (RCD) Grant Recipient Performance Progress Reporting Guidance

Contents

Definitions

The following definitions for terms used in this RCD PPR reporting guidance.

Activity – A discrete element of an RCD effort that can be reported on. This can include, but is not limited to, providing assistance with loan or grant applications, implementing a data collection effort, developing a Standard Operating Procedures document, conducting asset mapping, developing an emergency response plan, performing a risk assessment, or conducting a public meeting. These are elements that will lead to outcomes such as increased access to funding or improved capacity.

Community – An area served by an RCD project. For the purposes of RCD this is not required to be a formally-designated community based on state, country, or census tract boundaries. It may be an unincorporated group of homes, area served by a wastewater system, specific area within a Tribe (not the necessarily the entire Tribe), etc.

Outcome – One of the seven areas where RCD efforts are expected to result in changes for rural, low-income, communities. These are: (1) Increased access to funding, (2) Improved managerial and financial capacity, (3) Improved technical capacity, (4) Strengthened compliance, (5) Critical infrastructure reliability, (6) Access to safe drinking water, and (7) Access to sanitary sewer services.

Project – The training and technical assistance an RCD grant recipient provides to a community using RCD grant funds. A project likely consists of multiple activities implemented over a period of time (several months to 5 or more years) and may result in multiple outcomes.

General Data Collection & Reporting Principles

☐ **#1: Report data in the PPR only when an *activity* is completed.**

Each *project* an RCD grant recipient implements consists of multiple *activities* (e.g., conducting a public meeting, conducting a board training, developing an asset management plan, etc.). Report data in the PPR only when an activity is completed. Project data will be aggregated across reporting periods to roll up to 5-year reporting. Reminder: just because you have not reported the *completion* of an activity in the PPR does not imply you have not *made progress toward completion* of that activity during the reporting period. Some activities (e.g., vulnerability assessments, trainings, etc.) are shorter term and can more quickly be reported on; while other activities (asset management planning) take longer and could extend beyond the end of the grant period.

☐ **#2: Report *activities* that are completed in the PPR even if the entire *project* is not completed.**

An *activity* can be reported on when it is completed, even if the *project* is still ongoing and has not yet been completed. As each activity over the course of the project is completed, report on that activity in the PPR. If a *project* is completed during the 5-year grant period, the current and previous PPRs will include all *activities* that were completed as part of the project. If a *project* is not completed by the end of the 5-year grant period, the current and previous PPRs will include *activities* completed as part of the *project* through the end of the 5-year grant period. *Activities* completed after the end of the 5-year grant period will not be included in the PPR.

☐ **#3: You may describe *activities* that are currently underway—but not yet completed—in the Outcome Remarks field under the relevant *outcome* in the PPR.**

Activities that remain underway at the time of the PPR submission can be noted in the Outcome Remarks field under the relevant *outcome* in the PPR. **This is optional but useful.** If an activity is mentioned in the Outcome Remarks field as being underway, it is expected that when the activity is completed, data will be provided in a numerical or drop-down field in a future PPR.

☐ **#4: Data reported for outcomes *Access to Safe Drinking Water* and *Access to Sanitary Sewer Services* is not mutually exclusive with data reported for other outcomes.**

The *outcomes* "access to safe drinking water" and "access to safe sewer services" can be the result of other outcomes. For example, if RCD *activities* involve supporting grant applications (increasing access to funding), conducting board training (improving capacity), or resolving compliance violations (strengthening compliance), this can lead to additional people gaining access to safe drinking water and sanitary sewer services. If an *activity* is reported on in the PPR **and** it results in additional people gaining access to safe drinking water or sanitary sewer services, the number of new people gaining access as a result of the reported activities should be included in the metrics:

- Number of residents who have gained access to safe drinking water this reporting period
- Number of additional residents provided with water in sufficient quantities to meet basic needs this reporting period
- Number of residents who have gained access to sanitary sewer system this reporting period
- Number of additional residents provided with sewer systems with sufficient capacity and reliability to meet local demand

Outcomes like increasing access to funding, improving capacity, and strengthening compliance, are intermediary outcomes that can lead to the longer-term outcomes of helping communities improve access to safe water and sanitary sewer. Therefore, if compliance activities for two systems are completed, and that resulted in new people gaining access to safe drinking water, those new people should be reported in the number of residents gaining access to safe drinking water.

☐ **#5: While data for the *outcomes* "access to safe drinking water" and "access to safe sewer services" should be unduplicated, there are nuances to how "new access" is defined.**

If an RCD project helps get seven people connected to water in one reporting and then the next reporting period the project connects and additional five people to water, then the total number reported for *Number of residents who have gained access to safe drinking water this reporting period* across the two reporting periods should be 12. If in a subsequent reporting period those same 12 people become connected to sewer, they should then also be counted under *Number of residents who have gained access to sanitary sewer system this reporting period*.
If an RCD project helps connect a community of 30 people to water, that connection is then lost, and then the connection is restored to those 30 residents with the help of RCD, report those residents as gaining access in the reporting period in which they were first connected, **as well as** in the reporting period when the connection was restored.

☐ **#6: Some of the work RCD grant recipients do will never lead to reported *outcomes* of number of new residents that gained access (to safe water, water in sufficient quantity, sanitary sewer, sewer with sufficient capacity).**

The following metrics specifically ask for the number of *new* residents gaining access:

- Number of residents who have gained access to safe drinking water this reporting period
- Number of additional residents provided with water in sufficient quantities to meet basic needs this reporting period
- Number of residents who have gained access to sanitary sewer system this reporting period
- Number of additional residents provided with sewer systems with sufficient capacity and reliability to meet local demand

For example, an activity may be helping to ensure there are backup supplies for when a community might run out of water. The activity prevents the community from running out of water, so this would not be reported as residents gaining access, because they never lost it.

☐ **#7: Only report on the *activities* relevant to your project.**

Activities and metrics are included as options, and not reporting on an activity or metric does not imply objectives of the program are not met. Even if you don't report on an activity in the current period, it does not mean you will not in the future, and vice versa. There is **no penalty** in not reporting on metrics if they do not apply to the project, as long as progress on relevant metrics is reported. For example, water system consolidation is an infrequent activity that a grant recipient may never do during the 5-year grant period, and so it would not be reported on.

☐ **#8: When *activities* in the drop down boxes appear more than once, report your data in only one area and leave the other fields where the *activity* appears blank.**

Some metrics may appear within more than one outcome category. For example, "Capital Improvement Plans" can be reported on under "Increase Access to Funding" or "Improve Managerial and Financial Capacity." Choose the best place to report this data *based on your project*.

Please provide additional data with each PPR submission as an uploaded attachment in GrantSolutions.

OCS finds value in understanding the number of residents, households, and communities that are served by RCD-funded projects. Collecting this data can be challenging, because data must be *unduplicated*—the same beneficiary should only be counted once, even if they are served over multiple reporting periods.

Please upload and attach to each PPR submission a table that provides the following:

Reporting Period	Number of Projects	Number of Communities Served	Population Served	Low-income Population Served	Number of Households Served

If you choose to collect and upload this data for each six-month reporting period:
Remember that data provided for the first six-month reporting period of the year and data provided for the second six-month reporting period of the year should be unduplicated. Data points for each of the two reporting periods within the year will be summed to produce the total served over the full year period.

If you choose to collect and upload this data just once for the entire year: Please include a note in your PPR for the first six-month reporting period indicating you will provide annual data in the second PPR.

Provide narrative explanations or footnotes with your attachment as applicable to ensure that the data provided can be easily interpreted and aggregated. More explanation is better!

When reporting on number of households served, use the best information available based on the nuances of your projects to define an count households.

Outcomes Details

Outcome 1: Increase Access to Funding

Gaining access to funding (government, institutional, philanthropic, beneficiaries, residents, and tribal nations).

- For section 1.a, the expectation is that reporting on these metrics will better position grant recipients to increase access to funding.
- The number of communities for which an eligible legal entity was created (newly eligible) is asked both in outcome 1 and outcome 2. As a reminder, when an activity or metric is listed under more than one outcome, report the activity or data under the outcome that most closely aligns with the goal of the specific project.

Standard Criteria	Activities	Metrics	Reporting Format
1.a Attained eligibility to receive government or institutional funding	Collected data required by government or institutional funding sources	Describe data collection efforts/documentation completed this reporting period	Drop down to select, and provide #: • ADA Assessment • Assist with Loan/Grant application • Assist with Hiring Professional Services • Attitude/Interest Survey • Capital Improvement Plans • Conduct Public Meetings • Environmental Assessment • Income Survey • Infiltration and Inflow Study • Infrastructure Planning • Interest Survey • Letter of Condition • O&M Plan • Prepare Funding Plan • Restructure Entity • Review Engineering/Professional Studies • Pressure Survey • Sanitary Survey • Septic Survey • Source Water Assessment • State Environmental Quality Report • Water Rights Approval • Other?
1.a Attained eligibility to receive government or institutional funding	Completed documentation required to apply for government or institutional funding (e.g., EPA, USDA)	Number of communities for which an eligible legal entity was created (newly eligible)	#

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Standard Criteria	Activities	Metrics	Reporting Format
1.b Secured government or institutional or philanthropic funding	Submitted applications for government or institutional or/ philanthropic funding	Number of applications for funding submitted	#
1.b Secured government or institutional or philanthropic funding	Received funding awards from government or institutions (Grants and loans)	Amount of funding awarded this reporting period (total amount)	$
1.c Raised funds directly from beneficiaries or residents or tribal nations	• Implemented system to raise funds directly from beneficiaries or residents, or tribal nations	• Amount of funding raised this reporting period	$

Outcome 2: Improve Managerial and Financial Capacity
The improvement of processes, procedures, and governance structures enabling improved operation and management of water and sewer systems.

● In outcome 2 you are asked about managerial training, outcome 3 technical training, and outcome 4 will be related to compliance training. These have intentionally been built out because we are interested in your reporting on the specified areas of training.
● For section 2.a, we would like you to report on "Standard Operating Procedures'' (SOP) when you've implemented the Standard Operating Procedures. For the purposes of this form we ask that you report when SOPs are applied and/or implemented.
● In section 2.a, for number of new completions this reporting period – For each training, count the number of people completing the training. Note that an individual may have more than one training completion.

Standard Criteria	Activities	Metrics	Reporting Format
2.a Increased institutional capacity to execute critical activities	Facilitated creation of governing body (eg: water governing board, utility board)	Number of communities for which an eligible legal entity was created	#
2.a Increased institutional capacity to execute critical activities	Provided managerial training (eg: trainings, workshops)	Number of new completions this reporting period	Drop down to select, and provide #: ● Board Training ● Utility Financial Management Training ● Other?

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Standard Criteria	Activities	Metrics	Reporting Format
2.a Increased institutional capacity to execute critical activities	Developed and implemented administrative tools for management, oversight, financial stability	Number of new administrative management tools implemented this reporting period	Drop down to select, and provide #: ● Asset Management Plan ● Bookkeeping capacity ● Capability Assurance Plan ● Capital Improvement Plans ● Community Development Plan ● Integrated Solid Waste Management Plan (not part of all contracts) ● Job Descriptions/Hiring ● Management Plan ● Regional Collaboration Plan ● Safety Program ● Standard Operating Procedure ● Other?
2.b Improved coordination between critical stakeholders or systems	Facilitated new partnership agreements	Number/type of new partnership agreements created.	Drop down to select, and provide #: ● Articles of Dissolution ● JPA ● Merger Plan ● MOU/MOA ● O&M Contractual Agreement ● Operator workgroups ● Regional collaboration plan ● RFP/RFQ for Goods ● RFP/RFQ for Services ● Source water contract ● Utility management contract ● Water/ Wastewater treatment contract ● Facility Closure Plan ● Other?
2.c Created conditions necessary for future improvements to water and sewer system operation	Facilitated creation of policies, procedures and/or resolutions (eg: ordinances, tribal laws, tribal council resolutions, tribal governance)	New policies, procedures, and resolutions created	Drop down to select, and provide #: ● Capital Improvement Plans ● Established ordinances (laws governing communities, tribal laws) ● Established policies (water/wastewater system policies, manuals, tribal governance) ● Established Resolutions (tribal council) ● Other?

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Outcome 3: Improve Technical Capacity
The improvement of processes and procedures related to the execution of key functions of water and sewer service delivery.

- You're asked to report on the technical training conducted in this reporting period. Technical training is viewed as anything to do with the operator and running the system. This is the second type of training you've been asked thus far.
- Metrics are available to report on *technical training completions* and/or *number of technical training hours completed*, as relevant to your work.
- For section 3.a, this includes number of technical certifications obtained or number of certification credentialing programs administered.
  - Technical certifications are reported at the individual level (i.e., the number of formal certifications or statuses that individuals have obtained). An individual may receive multiple certifications. Certification credentialling programs administered are reported at the credentialling program level (i.e., the number of programs, which may be a group course or class, that the grant recipient has administered). For example, a project might administer 3 credentialling programs, which resulted in 75 certifications to 30 individuals. Report 3 certification credentialling programs administered and 75 certifications obtained.
  - Report the number of training completions, the number of training hours, or both. For example, a project might provide a technical training that lasts 3 hours, and 10 individuals attended and completed that training. Report 10 training completions and 30 training hours completions.
  - Technical trainings do not necessarily need to result in a certification or credential.
- For section 3.b, these activities are expanded beyond consolidation to include collaboration efforts completed (e.g.: Partial consolidation, Full consolidation, New entity formation, Other regionalization strategies including consolidations and mergers). Report the number of efforts completed (e.g., two systems consolidated into one = 1 consolidation effort).

Standard Criteria	Activities	Metrics	Reporting Format
3.a Increased staff capacity to execute critical roles	Developed and implemented administrative tools for management, oversight and/or financial stability	Number of new tools implemented this reporting period	Drop down to select, and provide #: ● Standard Operating Procedure ● CCR (Consumer Confidence Report) ● Corrective Action Plan ● Cross-Connection Control Plan ● Emergency response plan ● GIS capability ● Operator capacity ● O&M Plan ● Public Notices ● Infiltration and Inflow Study ● Pressure Survey ● Sanitary Survey

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Standard Criteria	Activities	Metrics	Reporting Format
			- Septic Survey - Source Water Assessment - State Environmental Quality Report - Risk Assessment / Security Assessment / Vulnerability Assessment - Sampling Plan - Source Water Contract - Wastewater Treatment Contract - Watershed/Source Water Protection Plan - Wellhead Protection Plan - Other?
3.a Increased staff capacity to execute critical roles	Provided technical training	Number of new technical training completions this reporting period	Drop down to select, and provide #: - Laboratory Parameter/Procedure Training - Training on State or Federal Regulations - Operator Training - Training on Utility Management - Other?
3.a Increased staff capacity to execute critical roles	Provided technical training	Number of new technical training hours completions this reporting period	Drop down to select, and provide #: - Laboratory Parameter/Procedure Training - Training on State or Federal Regulations - Operator Training - Training on Utility Management - Other?
3.a Increased staff capacity to execute critical roles	Trainees obtained certification in technical area	Number of technical certifications (achieving operator certification or recertification of operator in training status) obtained this reporting period	#
3.a Increased staff capacity to execute critical roles	Trainees obtained certification credentialing programs administered	Number of certification credentialing programs administered (eg: processing applications for certification, testing applicants, maintaining certification exams)	#

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Standard Criteria	Activities	Metrics	Reporting Format
3.b Demonstrated improvements in the delivery, efficiency, or viability of water and/or sewer services	Facilitated water system consolidation or utility collaboration	Number of water systems consolidated or utility collaboration efforts completed (eg: Partial consolidation, Full consolidation, New entity formation, Other regionalization strategies including consolidations and mergers)	#
3.b Demonstrated improvements in the delivery, efficiency, or viability of water and/or sewer services	Improved coordination between stakeholders or systems	Number of coordination activities	Drop down to select, and provide #: ● Number of meetings ● Number of agreements signed ● Other?
3.b Demonstrated improvements in the delivery, efficiency, or viability of water and/or sewer services	Built new water or sewer system	Number of new systems built	#
3.b Demonstrated improvements in the delivery, efficiency, or viability of water and/or sewer services	Rehabilitated/ expanded/upgraded existing water or sewer system	Number of existing systems rehabilitated/expanded/upgraded	#

Outcome 4: Strengthen Compliance
A system or organization is able to achieve compliance with government rules and regulations.

- The two training/certification metrics are specifically about the number of *people* trained/received certifications.
- In section 4.a, for number of compliance trainings completed this reporting period – For each training, count the number of people completing the training. Note that an individual may have more than one training completion.
- For section 4.a, under "number of violations…" we would like to assure grant recipients that although we are asking for how many noncompliant elements were resolved, reporting on this data will not compromise how it is being communicated in the reports to congress etc.
- Item 4.b, "percent reduction," is automatically calculated once the first two values are entered.

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Standard Criteria	Activities	Metrics	Reporting Format
4.a Brought water and/or sewer systems into compliance with applicable laws and regulations	Provided compliance training for water or wastewater (sewer) system operators	Number of compliance trainings completed this reporting period.	#
4.a Brought water and/or sewer systems into compliance with applicable laws and regulations	Trainees obtained/renewed certification	Number of trained people achieving compliance **certification** this reporting period	#
4.a Brought water and/or sewer systems into compliance with applicable laws and regulations	Achieved water and/or sewer system compliance	Number of violations/non-compliant elements **resolved** this reporting period	# (total number of violations can be public health, reporting, procedural, monitoring) • Other?
4.b Reduced or eliminated fees associated with non-compliance	Negotiated reduction of fines/administrative penalties, such as supplied evidence of compliance to agencies responsible for assessing fees for non-compliance	Dollar value of non-compliance fees abated this reporting period	$
4.b Reduced or eliminated fees associated with non-compliance	Negotiated reduction of fines/administrative penalties, such as supplied evidence of compliance to agencies responsible for assessing fees for non-compliance	Total dollar value of noncompliance fees this reporting period.	$ Once the value is entered, the form will automatically generate the percentage (resolved/total)
4.b Reduced or eliminated fees associated with non-compliance	Negotiated reduction of fines/administrative penalties, such as supplied evidence of compliance to agencies responsible for assessing fees for non-compliance	Percent reduction in non-compliance fees charged this reporting period.	Once the two values above are entered, the system will autogenerate the percent reduction in compliance fees charged

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Outcome 5: Critical Infrastructure Reliability

The achievement of a high level of operational reliability and financial security for critical infrastructure (e.g., water or sewer infrastructure).

Standard Criteria	Activities	Metrics	Reporting Format
5.a Achieved reliability that meets or exceeds levels set by government or industry group	Implemented improvements to water and wastewater systems to increase uptime	Describe improvements completed this reporting period	Drop down to select, and provide #: ● Asset Management plan ● O&M Plan ● Process Recommendations ● Risk Assessment / Security Assessment / Vulnerability Assessment ● Sanitary Sewer master plan ● Water pipeline replacement master plan ● Other?
5.b Attained or sustained sufficient financial assets, including reserves, to meet financial needs including reasonably expected emergency needs	Set sewer rates to a level that provides sustainable finances	Number of systems that have become financially sustainable this reporting period	#
5.b Attained or sustained sufficient financial assets, including reserves, to meet financial needs including reasonably expected emergency needs	Set sewer rates to a level that provides sustainable finances	Number of systems that have built reserves this reporting period that did not have them prior	#
5.b Attained or sustained sufficient financial assets, including reserves, to meet financial needs including reasonably expected emergency needs	Set water rates to a level that provides sustainable finances	Number of systems that have become financially sustainable this reporting period	#
5.b Attained or sustained sufficient financial assets, including reserves, to meet financial needs including reasonably expected emergency needs	Set water rates to a level that provides sustainable finances	Number of systems that have built reserves this reporting period that did not have them prior	#

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Outcome 6: Access to Safe Drinking Water
Access to drinking water that meets public health guidelines in sufficient quantities to meet basic needs.

- Focus on *new* residents gaining access for this outcome.
- For section 6.a, focus on the access to drinking water as it relates to the **quality** that users are receiving.
- For section 6.b, focus on the access to drinking water as it relates to the **quantity** that users are receiving.
- For section 6.b, as it relates to 'meeting basic needs', the Technical Assistance provider should deem what suffices as 'meeting basic needs'.
- Data reported for this outcome is not mutually exclusive with data reported for other outcomes (see General Data Collection & Reporting Principles #4 for more details).
- While data for the *outcomes* "access to safe drinking water" and "access to safe sewer services" should be unduplicated, there are nuances to how "new access" is defined (see General Data Collection & Reporting Principles #5 for more details).

Standard Criteria	Activities	Metrics	Reporting Format
6.a Secured access to drinking water which meets applicable public health guidelines	Implemented improvements to water system to increase water safety	Number of improvements completed this reporting period	Drop down to select, and provide #: • Developed and updated corrective action plan • Developed and updated cross connection control plan • Developed and updated facility closure plan • Developed and updated sampling plan • Developed and updated source water contract • Other?
6.a Secured access to drinking water which meets applicable public health guidelines	Implemented improvements to water system to increase water safety	Number of residents who have gained access to safe drinking water this reporting period	# (resident implies person from specific area)
6.b Secured access to drinking water in sufficient quantities to meet basic needs	• Implemented consolidation or water purchase to secure sufficient quantities of safe drinking water	• Number of additional residents provided with water in sufficient quantities to meet basic needs this reporting period	#

Outcome 7: Access to Sanitary Sewer Systems
Access to a sewage system that adheres to public health guidelines and meets basic needs.

- Focus on *new* residents gaining access for this outcome.
- For section 7.a, focus on the access to sanitary sewer systems that meet public health guidelines as it relates to **quality**.
- For section 7.b, focus on the access to sanitary sewer systems that meet public health guidelines as it relates to **capacity**.
- Data reported for this outcome is not mutually exclusive with data reported for other outcomes (see General Data Collection & Reporting Principles #4 for more details).
- While data for the *outcomes* "access to safe drinking water" and "access to safe sewer services" should be unduplicated, there are nuances to how "new access" is defined (see General Data Collection & Reporting Principles #5 for more details).

Standard Criteria	Activities	Metrics	Reporting Format
7.a Secured access to sanitary sewer system which meets applicable public health guidelines	Implemented improvements to wastewater system to meet public health guidelines	Number of improvements completed this reporting period	Drop down to select, and provide # (potentially roll these up into categories): ● Identify potential contamination sources ● Developed and updated watershed/source water protection plan ● Developed and updated well head protection plan ● Other?
7.a Secured access to sanitary sewer system which meets applicable public health guidelines	Implemented improvements to wastewater system to meet public health guidelines	Number of residents who have gained access to sanitary sewer system this reporting period	#
7.b Secured access to sanitary sewer system with sufficient capacity and reliability to meet the needs of users	Implemented consolidation of sewer system to meet local demand	Number of additional residents provided with sewer systems with sufficient capacity and reliability to meet local demand	#

Performance Progress Report
Semi Annual Report

General Information

Grant Issuing Organization	Administration for Children and Families
Grant Number	
DUNS Number	
EIN	
Organization Name	
Organization Address	
Project Period	
Reporting Period	
Final Report?	

Outcome 1: Increase Access to Funding

Collected Data Required by Government or Institutional Funding Sources

ADA Assessment

Assist with Hiring Professional Services

Assist with Loan/Grant Application

Attitude/Interest Survey

Capital Improvement Plans

Conduct Public Meetings

Environmental Assessment

Income Survey

Infiltration and Inflow Study

Infrastructure Planning

Interest Survey

Letter of Condition

O&M Plan

Prepare Funding Plan

Pressure Survey

Restructure Entity

Review Engineering/Professional Studies

Sanitary Survey

Septic Survey

Source Water Assessment

State Environmental Quality Report

Water Rights Approval

Other

Completed Documentation Required to Apply for Government or Institutional Funding (e.g., EPA, USDA)

Number of communities for which an
eligible legal entity was created

Submitted Applications for Government, Institutional or Philanthropic Funding

Number of applications for funding
submitted

Received Funding Awards From Government or Institutions (Grants and Loans)

Amount of funding awarded $

Implemented System to Raise Funds Directly From Beneficiaries or Residents

Amount of funding raised $

Outcome Remarks

Outcome 2: Improve Managerial and Financial Capacity

Facilitated Creation of Governing Body
Number of communities for which an eligible legal entity was created
Provided Managerial Training
Board Training
Utility Financial Management Training
Other
Developed and Implemented Administrative Tools for Management, Oversight, and Financial Stability
Asset Management Plan
Bookkeeping Capacity
Capability Assurance Plan
Capital Improvement Plan
Community Development Plan
Integrated Solid Waste Management Plan (not part of all contracts)
Job Descriptions/Hiring
Management Plan
Regional Collaboration Plan

Safety Program

Standard Operating Procedure

Other

Facilitated New Partnership Agreements

Articles of Dissolution

Facility Closure Plan

JPA

Merger Plan

MOU/MOA

O&M Contractual Agreement

Operator Workgroups

Regional Collaboration Plan

RFP/RFQ for Goods

RFP/RFQ for Services

Source Water Contract

Utility Management Contract

Water/ Wastewater Treatment Contract

Other

Facilitated Creation of Policies, Procedures and/or Resolutions

Capital Improvement Plans

Established Ordinances (laws governing communities, tribal laws)

Established Policies (water/wastewater system policies, manuals, tribal governance)

| Established Resolutions (tribal council) |
| Other |
| **Outcome Remarks** |
| |

Outcome 3: Improve Technical Capacity

| **Developed and Implemented Administrative Tools for Management, Oversight, Financial Stability** |
| CCR (Consumer Confidence Report) |
| Corrective Action Plan |
| Cross-Connection Control Plan |
| Emergency Response Plan |
| GIS Capability |
| Infiltration and Inflow Study |
| O&M Plan |
| Operator Capacity |
| Pressure Survey |
| Public Notices |
| Risk Assessment / Security Assessment / Vulnerability Assessment |
| Sampling Plan |
| Sanitary Survey |
| Septic Survey |
| Source Water Assessment |

Source Water Contract

Standard Operating Procedure

State Environmental Quality Report

Wastewater Treatment Contract

Watershed / Source Water Protection
Plan

Wellhead Protection Plan

Other

Provided Technical Training

Laboratory Parameter/Procedure Training

Training on State or Federal Regulations

Operator Training

Training on Utility Management

Other

Laboratory Parameter/Procedure Training
(hours)

Training on State or Federal Regulations
(hours)

Operator Training (hours)

Training on Utility Management (hours)

Other

Trainees Obtained Certification In Technical Area

Number of technical certifications

Number of certification credentialing
programs administered

Facilitated Water System Consolidation or Utility Collaboration

Number of water systems consolidated
or utility collaboration efforts

Improved Coordination Between Stakeholders or Systems

Number of Agreements Signed

Number of Meetings

Other

Built New Water or Sewer System

Number of new systems built this
reporting period

Rehabilitated/ Expanded/ Upgraded Existing Water or Sewer System

Number of existing systems
rehabilitated/expanded

Outcome Remarks

Outcome 4: Strengthen Compliance ———

Provided Compliance Training for Water or Wastewater System Operators

Number of compliance trainings
completed

Trainees Obtained/Renewed Certification	
Number of trained people achieving compliance certification this reporting period	

Achieved Water and/or Sewer System Compliance	
Total number of violation/non-compliance elements resolved	

Negotiated Reduction of Fines/Administrative Penalties	
Amount of non-compliance fees abated	$
Total dollar value of non-compliance fees	$
Percent Reduction in Non-Compliance Fees Charged This Reporting Period	%

Outcome Remarks

Outcome 5: Critical Infrastructure Reliability

Implemented Improvements to Water and Wastewater Systems to Increase Uptime
Asset Management Plan
O&M Plan
Process Recommendations
Risk Assessment / Security Assessment / Vulnerability Assessment
Sanitary Sewer Master Plan

Water Pipeline Replacement Master Plan

Other

Set Sewer Rates to a Level That Provides Sustainable Finances

Number of systems that have become financially sustainable

Number of systems that have built reserves that did not have them previously

Set Water Rates to a Level That Provides Sustainable Finances

Number of systems that have become financially sustainable

Number of systems that have built reserves that did not have them previously

Outcome Remarks

Outcome 6: Access to Safe Drinking Water

Implemented Improvements to Water System to Increase Water Safety

Developed and Updated Corrective Action Plan

Developed and Updated Cross Connection Control Plan

Developed and Updated Facility Closure Plan

Developed and Updated Sampling Plan

Developed and Updated Source Water Contract

Other

Number of residents who have gained
access to safe drinking water

**Implemented Consolidation or Water Purchase to Secure Sufficient
Quantities of Safe Drinking Water**

Number of additional residents provided
with water in sufficient quantities

Outcome Remarks

Outcome 7: Access to Sanitary Sewer Services

**Implemented Improvements to Wastewater System to Meet Public
Health Guidelines**

Developed and Updated
Watershed/Source Water Protection Plan

Developed and Updated Well Head
Protection Plan

Identify Potential Contamination Sources

Other

Number of residents who have gained
access to sanitary sewer system

Implemented Consolidation of Sewer System to Meet Local Demand

Number of additional residents provided
with sewer system with sufficient
capacity and reliability

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Outcome Remarks

Your PPR Highlights

What you have been doing for your community is outstanding. Let the grantors and officials know about the highlights, accomplishments and challenges on your journey in a short message.

Add Attachment

ACF will rely on the data on the outcome questionnaires when they report to Congress. However, if you think additional documents are necessary to support the PPR, you are welcome to attach them. (e.g., newsletter, case study, etc)

Performance Progress Report

Semi Annual Report

Sign and Submit

☑ I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

Name	
Email Address	
Phone	
Signature of Authorized Certifying Official	

Submitting Your PPR in GrantSolutions

Roles
There are several recipient roles regarding the PPR in GrantSolutions. The roles include Administrative Official (ADO), Principal Investigator/ Program Director (PI/PD), Supporting Staff, Grant recipient Financial Official (FO), Financial Officer Support (FOS).

The individuals within the same grant recipient organization who have the supporting staff role are able to login to their accounts in GrantSolutions, initiates, edits, and do the data entry for the report, print and check the status and view the submission. People with supporting staff roles are **not allowed to sign and submit the report**. The individual who finishes the data entry is responsible to notify the PI/PD, ADO, or FO to sign and submit the form.

The person with the PI/PD, ADO, or FO role is able to sign the form and submit it to the Grantor. They also are allowed to initiate, edit, close, and cancel the PPR.

Form Instructions

Page Hero Features
1. **Back Button**: Routes to the Reports List page
2. **Download**: Download icon opens up a PDF version of all outcomes and metrics.
3. **Print**
4. **Form Reset**
5. **Instruction**: Instruction page will illustrate the definition related to the outcomes and metrics and instruction about the form sections.
6. **Due Date**
    a. Color code for due date is listed as follows:
        i. Green – Reports that are Submitted OR over 15 days to the due date OR Approved/Accepted
        ii. Yellow – Reports that are due within 7-14 days
        iii. Red – Reports that are due within 7 days
        iv. Gray – Reports that are Not Started
7. The **PPR header**
8. **Grant Number**
9. **Grant Issuing Organization**: Name of the Federal agency and organizational element identified in the award document or as instructed by the agency.
10. **Report Type**: The report type for the Performance Progress Report. Quarterly, Semi Annual, Annual, or Final.
11. **Reporting Period:** Reporting Period: The starting and ending date of the reporting period
    a. for the Performance Progress Report.

General Information Tab
General Information will display a list of the pre-populated and locked fields. The fields include:
1. **Grant Issuing Organization**: Name of the Federal agency and organizational element identified in the award document or as instructed by the agency.
2. **Grant Number**: The grant number assigned to the award by the Federal agency.
3. **DUNS Number**: The recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.
    3b. **EIN**: Recipient organization's Employer Identification Number (EIN).

4. **Organization Name**: Name of the recipient organization.
5. **Organization Address**: Complete address of the recipient organization including zip code.
6. **Project Period**: The period established in the award document during which Federal sponsorship begins and ends.
7. **Reporting Period**: The starting and ending date of the reporting period for the Performance Progress Report
8. **Report Type**: The report type for the Performance Progress Report. Quarterly, Semi Annual, Annual, or Final.

Outcome Tab

Outcome tab displays all the outcomes which grant recipients will be able to click on any of the outcomes that they would like to give a report on.
Each outcome page will have the following:

1. Outcome title at the top of the page
    a. Number of activities for the outcome
    b. Information icon: By hovering over the information icon, grant recipients can view details about the metrics, as presented in the Outcomes tables above.
2. Activity Card
    a. There are several activity cards on each outcome page; grant recipients can report on any of them. The activity card includes:
        i. **Title**
        ii. **Metrics**: Grant recipients report on the metrics that they have numeric data about. There are no required metrics. The value that they enter for the metrics must be numeric.
        iii. **Metrics Dropdown:** Grant recipients are able to select the metrics from a dropdown menu labeled "Add the Applicable Metrics". There is "Other" option inside the dropdown. Grant recipients are allowed to select up to 1 "Other" metric in case the metric related to the activity is not among the choices.
3. **Outcome Remarks**: Grant recipients can leave more explanation about the numeric data related to the outcome and its metrics. Filling out the Outcome Remarks is optional, and it has 1,200 character limits.
4. **Back button**: Clicking on *Back button* takes the grant recipients to the previous screen.
5. **Next Outcome button**: Clicking on the *Next Outcome button* takes the grant recipients to the next outcome which is also listed inside the outcomes tab.

Narrative Tab

Narrative tab will display two narrative sections including:
1. **Your PPR Highlight**: Grant recipients can leave comments about their accomplishments, challenges, highlights in their program and etc. It is optional and it has 2,500 character limits.
2. **Add Attachment**: Grant recipients can attach any extra documents. It is optional. They can upload up to 5 files. Supported file formats include xls, doc, pdf, jpg, and ppt. Max file size is 1GB. All files will be scanned for viruses and converted into a PDF.

NOTE: This attachment field is where you will upload your additional data—see page 5 of this guidance for the table of data you must upload.

Review Tab
Review tab will display only the list of the outcomes with their metrics and narratives that have been filled out in the form. Grant recipients can review them or edit them if any wrong information or an error is found.

If there is an error that has not been resolved in the previous section, grant recipient must address them before they sign and submit the report.

Sign and Submit Tab
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When the form is submitted, the grant recipient will receive an email confirmation.

Summary Overview
Summary overview helps grant recipients to see the progress on the report. Grant recipients can check what outcomes are completed, what outcomes are still in progress and what are the unreported outcomes so far while they are still in the report progress