State and Local Fiscal Recovery Funds Recovery Plan Performance Report Template

Version 2.0

Note: The Recovery Plan Performance Report provides the public and Treasury both retrospective and prospective information on the projects that recipients are undertaking or planning to undertake with program funding and how they are planning to ensure program outcomes are achieved in an effective, efficient, and equitable manner. While this template includes the minimum requirements for the Recovery Plan, each recipient is encouraged to add information to the plan that they feel is appropriate to provide information to their constituents on efforts they are taking to respond to the pandemic and promote an equitable economic recovery.

Each jurisdiction may determine the general form and content of the Recovery Plan, as long as it meets the reporting requirements, and recipients are encouraged to tailor this template to best meet their needs. Through the Recovery Plan, recipients may link to public documents, including, but not limited to, legislation, dashboards, survey results, community engagement reports, and equity frameworks to support the Recovery Plan narrative. Use of infographics, tables, charts, pictures, case studies, and other explanatory elements are encouraged.

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**Revision Log**

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| --- | --- | --- |
| **Version** | **Date Published** | **Summary of changes** |
| 1.0 | July 30, 2021 | Initial publication |
| 2.0 | June 10, 2022 | Incorporates updates to Compliance and Reporting Guidance |

**Notes on using this template**

All States and territories, and metropolitan cities and counties with a population that exceeds 250,000 residents that are recipients of State and Local Fiscal Recovery Funds (SLFRF) awards are required to produce a Recovery Plan Performance Report (the “Recovery Plan”). The Recovery Plan provides both retrospective and prospective information on the recipient’s projects and how they plan to ensure program outcomes are achieved in an effective, efficient, and equitable manner. It will include key performance indicators identified by the recipient and some mandatory indicators identified by Treasury. Each annual Recovery Plan must be posted on the public-facing website of the recipient by or on the same date that the recipient submits the report to Treasury. Treasury recommends that Recovery Plans be accessible within three clicks or fewer from the homepage of the recipient’s website.

The initial Recovery Plan covered the period from the date of award to July 31, 2021 and was required to be submitted to Treasury by August 31, 2021. Thereafter, the Recovery Plan will cover a 12-month period and recipients will be required to submit the report to Treasury after the end of the 12-month period, by July 31.

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| --- | --- | --- |
| **Annual Report** | **Period Covered** | **Due Date** |
| 1 | Award Date – July 31, 2021 | August 31, 2021 |
| 2 | July 1, 2021 – June 30, 2022 | July 31, 2022 |
| 3 | July 1, 2022 – June 30, 2023 | July 31, 2023 |
| 4 | July 1, 2023 – June 30, 2024 | July 31, 2024 |
| 5 | July 1, 2024 – June 30, 2025 | July 31, 2025 |
| 6 | July 1, 2025 – June 30, 2026 | July 31, 2026 |
| 7 | July 1, 2026 – December 31, 2026 | April 30, 2027 |

**Instructions:**

This document is meant as a suggested template for applicable SLFRF recipients to assist them in submitting their Recovery Plan. Recipients should consult the SLFRF Guidance on Recipient Compliance and Reporting Responsibilities (Reporting Guidance) located at <https://home.treasury.gov/system/files/136/SLFRF-Compliance-and-Reporting-Guidance.pdf> for detailed guidance on the submission of this report.

Treasury encourages Recipients to tailor this report to best meet their needs in terms of format and content. Through the Recovery Plan, recipients may link to public documents, including, but not limited to, legislation, dashboards, survey results, community engagement reports, and equity frameworks to support the Recovery Plan narrative. Treasury recommends the use of infographics, tables, charts, pictures, case studies, and other explanatory elements in describing their programs.

*Text in italics*represents the requirements from the Reporting Guidance and is meant to serve as a reference as recipients prepare their Recovery Plan. The previous page and this instructions page and the *text in italics* should be removed before the final transmitted report is published and submitted to Treasury.

Additional information around Expenditure Categories is located in Appendix 1 of the Reporting Guidance.

**For More Information**

More information about the State and Local Fiscal Recovery Fund program and associated reporting requirements are located at [www.treasury.gov/SLFRP](http://www.treasury.gov/SLFRP) .

Questions on reporting, eligible uses, or other general topics should be directed to [SLFRF@treasury.gov](mailto:SLFRF@treasury.gov).

[Recipient Name]

**Recovery Plan**

**State and Local Fiscal Recovery Funds**

202x Report

**[Recipient’s Name}**

**202x Recovery Plan**

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**GENERAL OVERVIEW**

**Executive Summary**

*In this section, provide a high-level overview of the jurisdiction’s intended and actual uses of funding including, but not limited to: the jurisdiction’s plan for use of funds to respond to the pandemic and promote economic recovery, key outcome goals, progress to date on those outcomes, and any noteworthy challenges or opportunities identified during the reporting period.*

*See Section C(1) on page 35 of the Reporting Guidance for additional information.*

**Uses of Funds**

*Describe in further detail the strategy and goals of the jurisdiction’s SLFRF program, such as how your jurisdiction’s approach would help support a strong and equitable recovery from the COVID-19 pandemic and economic downturn. Describe how their intended and actual uses of funds will achieve their goals. Given the broad eligible uses of funds and the specific needs of the jurisdiction, explain how the funds would support the communities, populations, or individuals in your jurisdiction. Address how the use of funds supports the overall strategy and goals in the following areas, to the extent they apply:*

1. *Public Health (EC 1)*
2. *Negative Economic Impacts (EC 2)*
3. *Public Health-Negative Economic Impact: Public Sector Capacity (EC 3)*
4. *Premium Pay (EC 4)*
5. *Water, sewer, and broadband infrastructure (EC 5)*
6. *Revenue Replacement EC 6)*

*If appropriate, include information on your jurisdiction’s use (or planned use) of other federal recovery funds including other programs under the American Rescue Plan such as Emergency Rental Assistance, the Homeowner Assistance Fund, the Capital Projects Fund, the State Small Business Credit Initiative, and so forth, to provide broader context on the overall approach for pandemic recovery.*

*See Section C(2) on page 35 of the Reporting Guidance for additional information.*

**Promoting equitable outcomes**

*In this section, describe, as applicable, efforts to promote equitable outcomes, including economic and racial equity.*

*In describing efforts to design their SLFRF program and projects with equity in mind, recipients may consider the following:*

1. *Goals: Are there particular historically underserved, marginalized, or adversely affected groups that recipients intend to serve within their jurisdiction?*
2. *Awareness: How equitable and practical is the ability for residents or businesses to become aware of the services funded by the SLFRF?*
3. *Access and Distribution: Are there differences in levels of access to benefits and services across groups? Are there administrative requirements that result in disparities in ability to complete applications or meet eligibility criteria?*
4. *Outcomes: How are intended outcomes focused on closing gaps and/or reaching universal levels of service? How is the jurisdiction disaggregating outcomes by race, ethnicity, and other equity dimensions where relevant for the policy objective?*

*In describing efforts to implement their SLFRF program and projects with equity in mind, recipients may consider the following:*

1. *Goals and Targets: Please describe how planned or current use of funds prioritize economic and racial equity as a goal, name specific targets intended to produce meaningful equity results at scale, and include initiatives to achieve those targets.*
2. *Project Implementation: Explain how the jurisdiction’s overall equity strategy translates into focus areas for SLFRF projects and the specific services or programs offered by your jurisdiction in the following Expenditure Category, as indicated in the final rule:*

*Negative Economic Impacts (EC 2): assistance to households, small businesses, and non-profits to address impacts of the pandemic, which have been most severe among low-income populations. This includes assistance with food, housing, and other needs; employment programs for people with barriers to employment who faced negative economic impacts from the pandemic (such as residents of low-income neighborhoods, minorities, disconnected youth, the unemployed, formerly incarcerated people, veterans, and people with disabilities); services to provide long-term housing security and housing supports, address educational disparities, or provide child care and early learning services; and other strategies that provide impacted and disproportionately impacted communities with services to address the negative economic impacts of the pandemic*

*The first annual Recovery Plan, due in 2021, was required to describe initial efforts and intended outcomes to promote equity, as applicable. Beginning in 2022, each annual Recovery Plan must provide an update, using qualitative and quantitative data, on how the jurisdiction’s approach achieved or promoted equitable outcomes or progressed against equity goals. Describe any constraints or challenges that impacted project success in terms of increasing equity. Describe the geographic and demographic distribution of funding, including whether it is targeted toward traditionally marginalized communities.*

*See Section C(3) on pages 36 and 37 of the Reporting Guidance for additional information.*

**Community Engagement**

*Describe how your jurisdiction’s planned or current use of funds incorporates community engagement strategies including written feedback through surveys, project proposals, and related documents, oral feedback through community meetings, issue-specific listening sessions, stakeholder interviews, focus groups, and additional public engagement, as well as other forms of input, such as steering committees, taskforces, and digital campaigns that capture diverse feedback from the community. Recipients should also describe how community engagement strategies support their equity goals, including engagement with communities that have historically faced significant barriers to services, such as people of color, people with low incomes, limited English proficient populations, and other traditionally underserved groups.*

*See Section C(4) on page 37 of the Reporting Guidance for additional information.*

**Labor Practices**

*Describe workforce practices on any infrastructure projects or capital expenditures being pursued. How are projects using strong labor standards to promote effective and efficient delivery of high-quality infrastructure projects while also supporting the economic recovery through strong employment opportunities for workers? For example, report whether any of the following practices are being utilized: project labor agreements, community benefits agreements, prevailing wage requirements, and local hiring.*

*See Section C(5) on page 37 of the Reporting Guidance for additional information.*

**Use of Evidence**

*Describe whether and how evidence-based interventions and/or program evaluation are incorporated into their SLFRF program. Recipients may include links to evidence standards, evidence dashboards, evaluation policies, and other public facing tools that are used to track and communicate the use of evidence and evaluation for Fiscal Recovery Funds. Recipients are encouraged to consider how a Learning Agenda, either narrowly focused on SLFRF or broadly focused on the recipient’s broader policy agenda, could support their overarching evaluation efforts in order to create an evidence-building strategy for their jurisdiction. In the Project Inventory section of the Recovery Plan, recipients should identify whether SLFRF funds are being used for evidence-based interventions and/or if projects are being evaluated through rigorous program evaluations that are designed to build evidence. (See details in the Project Inventory section below).*

*See Section C(6) on page 37 and 38 of the Reporting Guidance for additional information.*

**Performance Report**

*Describe how performance management is incorporated into their SLFRF program, including how they are tracking their overarching jurisdictional goals for these funds as well as measuring results for individual projects. The recipient has flexibility in terms of how this information is presented in the Recovery Plan, and may report key performance indicators for each project, or may group projects with substantially similar goals and the same outcome measures. In some cases, the recipient may choose to include some indicators for each individual project as well as crosscutting indicators. Recipients may include links to performance management dashboards, performance management policies, and other public facing tools that are used to track and communicate the performance of Fiscal Recovery Funds. In addition to outlining in this section their high- level approach to performance management, recipients must also include key performance indicators for each SLFRF project in the Project Inventory section (more details below).*

*See Section C(7) on page 38 and 39 of the Reporting Guidance for additional information.*

**PROJECT INVENTORY**

*In this section, jurisdictions should provide a description of each project undertaken. See Section C(8) on page 39 and 40 of the Reporting Guidance for additional information. Below is an example of how to present the information noted in the Reporting Guidance, which incorporates project details as well as evidence and performance measure information outlined in the relevant sections above. This information should be replicated for all of the jurisdiction’s projects.*

*Recipients have flexibility in the presentation and format of their Project Inventory, provided it includes the minimum required information. Recipients have the option of downloading a spreadsheet of the information entered into their Project and Expenditure Report to assist them in creating the Project Inventory in their Recovery Plan. However, recipients must ensure that their Project Inventory contains the additional information required by this guidance, including but not limited to information about performance measures and evidence/evaluation for each project. In all cases, recipients must post publicly (and submit to Treasury) a single PDF file of their Recovery Plan, which includes the Project Inventory.*

**Example Project**

Project [Identification Number]: [Project Name]

Funding amount: [Funding amount]

Project Expenditure Category: [Category number, Category Name]

*Project Overview*

* *A description of the project that includes an overview of the main activities of the project, the approximate timeline, primary delivery mechanisms and partners, if applicable, and intended outcomes.*
* *Link to the website of the project if available*
* *Describe how the project contributes to addressing climate change and/or advances the Justice40 initiative, which sets a target of providing 40 of the benefits of certain federal investments, including climate and clean energy investments to disadvantaged communities (for infrastructure projects under EC 5)*

*Use of Evidence*

* *Briefly describe the goals of the project, and whether SLFRF funds are being used for evidence-based interventions, the evidence base for the interventions, and/or if projects are being evaluated through rigorous program evaluations that are designed to build evidence.* *If a recipient is conducting a program evaluation in lieu of reporting the amount of spending on evidence-based interventions, they must describe the evaluation design (see Reporting Guidance for additional details that should be included).*
* *Identify the dollar amount of the total project spending that is allocated towards evidence-based interventions for each project in the Expenditure Categories noted with an asterisk in Appendix 1 of the Reporting Guidance.*

*Performance Report*

* *For the Project Inventories, include key performance indicators for your jurisdiction’s major SLFRF funded projects. Report key performance indicators for each project, or group projects with substantially similar goals and the same outcome measures. Jurisdictions may choose to include some indicators for each individual project as well as crosscutting indicators. Include both output and outcome measures. Provide data disaggregated by race, ethnicity, gender, income, and other relevant factors, if possible.*
* *In addition, include the mandatory performance indicators if your jurisdiction has projects in the relevant areas (this information may be included in each recipient’s Recovery Plan as they determine most appropriate).* *This information should be included in the Project Inventory, but this data will also need to be entered directly into the Treasury reporting portal as part of the Project and Expenditure report, as Treasury has added these fields (for Tier 1 recipients only) to the Project and Expenditure report. Below is a list of required data for each Expenditure Category, where relevant.*

1. *Household Assistance (EC 2.2), Long-term Housing Security (EC 2.15-2.16) and Housing Support (EC 2.17-2.18):* 
   * *Number of households receiving eviction prevention services (including legal representation)*
   * *Number of affordable housing units preserved or developed*
2. *Assistance to Unemployed or Under Employed Workers (EC 2.10) and Community Violence Interventions (EC 1.11):* 
   * *Number of workers enrolled in sectoral job training programs*
   * *Number of workers completing sectoral job training programs*
   * *Number of people participating in summer youth employment programs*
3. *Addressing Educational Disparities (EC 2.24-2.26) and Addressing Impacts of Lost Instructional Time (EC 2.27):* 
   * *Number of students participating in evidence-based tutoring programs[[1]](#footnote-2)*
4. *Healthy Childhood Environments (EC 2.11-2.14):* 
   * *Number of children served by childcare and early learning (pre-school/pre-K/ages 3- 5)*
   * *Number of families served by home visiting*

1. For more information on evidence-based tutoring programs, refer to the U.S. Department of Education’s [2021 ED COVID-19 Handbook (Volume 2)](https://www2.ed.gov/documents/coronavirus/reopening-2.pdf), which summarizes research on evidence-based tutoring programs (see the bottom of page 20). [↑](#footnote-ref-2)