

# **AMIS Training Manual**

Community Development Financial Institutions Program and Native American CDFI Assistance Program

Financial Assistance, Rapid Response and Technical Assistance Awards Compliance Report Completion Guidance

(For CDFI/NACA FA, RRP and TA Recipients)

September 2021

# Table of Contents

1.	INTRODUCTION	3
2.	TYPES OF REPORT	3
	2.1 Organization vs. Award Specific Reports	3
3.	REPORTING SCHEDULE	4
4.	FINANCIAL STATEMENTS AND RELATED AUDITORS AND ACCOUNTANTS REVIEW REPORTS	5
	4.1 Financial Statement Audit Report (if applicable)	5
	4.2 Audit Opinion and Corrective Actions (if applicable)	. 10
	4.3 Complete the Single Audit Report (if applicable)	. 13
	4.4 Complete Noncompliance Section for Single Audit	. 13
5.	COMPLETING THE SHAREHOLDERS REPORT (IF APPLICABLE)	18
6.	COMPLETING THE PERFORMANCE PROGRESS REPORT (PPR)	23
	6.1 Creating a new PPR	. 23
	6.2 Performance Progress Report Layout	24
	6.3 Performance Progress Report Navigation	. 27
7.	COMPLETING THE SF-425 REPORT (TA ONLY)	33
8.	USES OF AWARD REPORT	35

# 1. INTRODUCTION

A Recipient that has received a Community Development Financial Institutions Program (CDFI Program) or Native American CDFI Assistance Program (NACA Program) Technical Assistance (TA) Financial Assistance (FA) and/or Rapid Response Program (RRP) award (an "Award") from the Community Development Financial Institution Fund (CDFI Fund) must submit compliance reports as required by the Assistance Agreement. If you have any questions regarding the reporting requirement in your Assistance Agreement, or require technical assistance, please submit a Service Request via your organizations AMIS account.

The objective of this training manual is to provide CDFI Program and NACA Program Recipients with instructions on how to complete and submit compliance reports online within the Awards Management Information System (AMIS).

To make the best use of this guidance, Recipients should have a copy of the Assistance Agreement available for reference for each CDFI Program or NACA Program Award.

# 2. TYPES OF REPORT

# 2.1 Organization vs. Award Specific Reports

Throughout the Period of Performance covered by the Assistance Agreement, the Recipient must provide to the CDFI Fund an Annual Report, which comprises two parts: Financial Condition Report and Performance Report. Each of these reports may be comprised of multiple components. Please note you will only need to submit Organizational Level Reports once per fiscal year (FY), even if your organization has multiple Awards.

## **Organizational Level Reports**

Reports that may be required at the organization level include:

- Financial Statement Audit Report
- Single Audit Report
- Transaction Level Report<sup>1</sup>
- Shareholder Report

## Award Level Reports

Reports that may be required at the Award level include:

- Performance Progress Report (PPR) (Applicable to FY 2015 Awards and later)
- Uses of Award Report (Applicable to FY 2015 Awards and later)

<sup>&</sup>lt;sup>1</sup> Transaction Level Report instructional documents can be accessed by visiting: https://www.cdfifund.gov/Pages/amisreporting.aspx

### • SF-425 Report (Applicable to FY 2018 TA Awards and earlier)

### **3. REPORTING SCHEDULE**

The **Reporting Schedule<sup>2</sup>** is a central location in AMIS that allows you to track and monitor compliance reports that are due to the CDFI Fund for all Awards. It allows you to track the compliance reports due dates, and to monitor if the compliance reports have been submitted. Please note that the CDFI Fund will be sending the Authorized Representatives on the **Award Detail** page reporting reminders 30 days and 15 days prior to the report deadline. To ensure that you do not miss any important notifications from us, please confirm that the contact information for the users in your organization's AMIS account is current and correct, and make sure that your e-mail service is not marking communications from AMIS@cdfi.treas.gov as "junk" or "spam."

To access the Reporting Schedule:

- 1. Log into AMIS.
- 2. Click on the **Reporting Schedule** tab. To view all reports, choose **ALL** in the drop down menu. Click on **GO**. A list of compliance reports that are due is displayed. Note that if your organization has active awards for more than one CDFI Fund program, your list of reports will include more than just reports associated with your CDFI Program award.



Figure 1. Retrieve Reporting Schedule

Action	Reporting Schedule Name +	Compliance Report	Fiscal Year	Due Date	Days to Submit	Status	View Report Tab
Edit	RS-0007	Certification Status Report	2015	6/30/2016	41	Pending Receipt	Organization
Edit	RS-0008	Performance Goals and Measures	2015	6/30/2016	41	Pending Receipt	View PG&M Tab
Edit	RS-0009	Uses of FA	2015	6/30/2016	41	Pending Receipt	View Use of FA tab
Edit	RS-0010	Financial Statement Audit Report	2015	6/30/2016	41	Pending Receipt	Organization
Edit	RS-0011	A133 Audit Report	2015	6/30/2016	41	Pending Receipt	Organization
Edit	RS-0012	Shareholder Report	2015	6/30/2016	41	Pending Receipt	Organization
Edit	RS-0013	Shareholder Report	2016	6/30/2016	41	Pending Receipt	Organization
Edit	RS-0014	A133 Audit Report	2016	6/30/2016	41	Pending Receipt	Organization
Edit	RS-0015	Financial Statement Audit Report	2016	6/30/2016	41	Pending Receipt	Organization
Edit	RS-0016	Uses of FA	2016	6/30/2017	406	Pending Receipt	View Use of FA tak
Edit	RS-0017	Certification Status Report	2016	6/30/2017	406	Pending Receipt	Organization
Edit	RS-0018	Performance Goals and Measures	2016	6/30/2017	406	Pending Receipt	View PG&M Tab

Figure 2. Reporting Schedule

<sup>&</sup>lt;sup>2</sup> When font is bold, it is referencing an AMIS link.

# 4. FINANCIAL STATEMENTS AND RELATED AUDITORS AND ACCOUNTANTS REVIEW REPORTS

The Financial Statements will be reviewed by the CDFI Fund to determine the Recipient's financial and managerial soundness.

# 4.1 Financial Statement Audit Report (if applicable)

1. Click on the **Organizations** tab or use the **Global Search** to locate the Organization.

	Search	Search		al Search	101708031206@example.	com.full01) Sandbox: FULL01 TestUser Org01AR01 -	
Home Organizations Al	llocations Contacts Service Ar	eas Service Requests	App Launcher	Reports Awards	Reporting Schedule	CMF Performance Report	
Create New	My Tasks	New				All Open 🗸	
AWD-00007251 PR-00051 P-05412			You have no open ta	isks scheduled for this per	iod.		C
PR-00052 PPR-00002305 S-008347	Calendar Today 6/23/2020					<ul> <li>✓ June 2020 &gt;</li> </ul>	
P-05413 S-008350 P-05346 P-00368	You have no events schedule	d for the next 7 days.				Sun Mon Tue Wed Thu Fri Sat           31         01         02         03         04         05         06           07         08         09         10         11         12         13           14         15         16         17         18         19         20           21         22         24         24         25         26         27           28         29         30         01         02         03         04	

Figure 1. Home Page

### 2. Click on the **Organization Name** link for the reporting organization.

Home	Organizations	Allocations	Contacts	Service Areas	Service Requests	App Launcher	Reports	Awards	Reporting Schedule	CMF Performance Report	•
Create	New		Organizatio Home								
Recent	Items	View	w: All Organ	izations	♥ Go!						
AWD-0	0007251		rurorgun	2000110							
PR-000										Recently View	and he
P-05412		Re	cent Orga	nizations						Receilay view	ieu 🗸
PR-000		Or	ganization Nam	1e			N	failing City		Phone	
PPR-00 S-00834		Те	st Applicant O	rg 01		0	te	est city		5	

Figure 2. Organizations Tab

This space is intentionally left blank.

3. From the Organization Detail page, click on the Financial Statement Audits section link.

Home Organizations Con	tacts Service Requests App La	uncher Awards Reporting Schedule		
Create New_   Recent Items Test Organization 2-Bank Test User7		Financial Data 12   Cantacta 12:   Centifications 12	Program Profiles (Inc.)   Adflictes (II)   SF424s Shareholder Report (I	Printable V
	Organization Detail	Edit		
		Test Organization 2-Bank Mein Hietarchyl	Phone	(443) 555-4321
	Parent Relationship		Website	
			EINTIN	22-222222
			DUNS	123456789
	Organization Type			
	Financial Institution Type	Bank or Thrift	Date of Incorporation	1/1/1999
	Organization Structure	For-Profit	Financial Activities Start Date	1/1/2012
			Total Asset Size	9
			Fiscal Year End Day	31
			Fiscal Year End Month	0 12
	Certification Information			
	CDFI Certification Status	Certified	CDE Certification Status	CDE Certified
	CDFI Certification Date	1/1/2016	CDE Certification Date	2/29/2016

Figure 3. Organization Detail Page

4. Select the **New Financial Statement Audit** button to create a new report.

Financial Statement Audits			New Financial Statement Audit		
Action	FS Audit Report ID	Fiscal Year	Upload Financial Statement (FS) Audit?	Does the FS Audit include A-133 Audit?	Audit Finding
Edit	FSA-00035	2015	Yes	Yes	Ungualified / Unmodified

Figure 4. Financial Statement Audits Section

- 5. Enter all applicable information. Please note that fields with red bars next to them are required fields. Once completed, select the **Save** button.
  - When selecting the fiscal year, please select the corresponding fiscal year to be reported on. For example, if the Performance Period End Date is 6/30/2019, then you would select 2019.
  - The following questions (circled in red) under the Financial and Audit Report Information Sections must be completed with either Yes, No or N/A:
    - Material Weaknesses Resolved by FYE?
    - If FS Audit not submitted, why not?
    - Upload Auditor Correction Confirmation

**TIP:** The questions (highlighted in yellow) under the Audit Opinion and Corrective Actions section must also be completed. You may put N/A for the textboxes, however, the Audit

inancial Statement Audit	t Edit s	sve Save & New	Cancel			
Information						Required information
Organization Name	Test Orgazniation		Perfo	mance Period End Date		
Flecal Year	-Nore-			Date Submitted		
CCME Review Summary	2012 2013 2014 2016 2016 2016 2017 2019 2019					
Report Receipt	2018					
Reason for "rejecting" report	2020					
Review Comments (External)	L'and and a second					
Financial and Audit Report	Information		-			
Upload Financial Statement (FS) Audit?	Yes 🗸		(	FS Audit not submitted, why not	N/A	~
F\$ Audit Report Type of Finding	Unqualified/Unmodifi	ed 🗸	De	completed		
Does the F\$ Audit Include A- 133 Audit?	Yes 🗸		C	ate to be completed and submitted	Г	
Will you submit an A-133 Audit this FYE?	Yes 🗸			"Other" please describe		
Anticipate having Material Weaknesses	No		U	pload Auditor Correction Confirmation	N/A 🗸	
Material Weaknesses resolved by FYE	N/A 🗸	>				
Audit Opinion and Correcti	ve Actions					
What caused audit opinion			As	dlt opinion corrected by FYE	None 🗸	
Actions to address audit opinion			If no	t corrected, explain why		
Current status of corrective	[					

Opinion Corrected by FYE date must be either **Yes** or **No**- this box cannot be left with the default selection of **None.** 

Figure 5. New Financial Statement Audit Edit Page

6. After saving, you will be forwarded to the "Financial Statement Audit" Detail page with a message stating the "Financial Statement Audit has been saved."

If you answered "Yes" to "Upload Financial Statement FS Audit?" a Financial Statement Audit Report attachment will be required to submit the report.

7. On the Organization Detail Page, scroll to the Financial Statements Audit section and select the FS Audit Report ID number (circled in yellow)

inanc	ial Statement Audi	LS .	New Financial Statement Audit		
Action	Company of the	Fiscal Year	Upload Financial Statement (FS) Audit?	Does the FS Audit include A-133 Audit?	Audit Finding
8.4	FSA-00035	2015	Yes	Yes	Unqualified / Unmodified

Figure 8. Financial Statement Audits Section

- 8. Click the **Notes & Attachments** link to attach any Financial Statement Audit Report documents.
  - The attached file should be displayed under the Notes & Attachments related list. If you have a separate Single Audit Report and would like to submit it to the CDFI Fund, please include this as an attachment under this section.

<ul> <li>Financial Statement Audit has</li> </ul>	been saved.		
Financial Statement Audit Organization Name F 5 Audit Report ID Fiscal Year	Detail Edit Submit Report Test Organization 2-Bank FSA-00151	Peter Data Addition	
CCME Review Summary		documents.	
Report Receipt	New		

Figure 9. Financial Statement Audit Detail Page

### Click the Attach File button under the Notes & Attachments section.

Notes & Attachments	New Note Attach File	
No records to display		

Figure 10. Notes & Attachments Section

### > You will be forwarded to a screen where you can attach a file.

. Select the File	
Type the path of the file or click the Browse button to find the file.	
Choose File No file chosen	
. Click the "Attach File" button.	
Repeat steps 1 and 2 to attach multiple files.	
(When the upload is complete the file information will appear below.)	
Attach File	
. Click the Done button to return to the previous page.	
(This will cancel an in-progress upload.)	
Done	



- > Click the **Choose File** button and browse to select a file.
- Click the **Attach File** button.
- Click the **Done** button.
- The attached file should be displayed under Notes & Attachments section. If you have a separate Single Audit Report and would like to submit it to the CDFI Fund at this time, please include this as an attachment here. Repeat steps 7b-7f to attach another file such as the Single Audit Report.
- 9. You will receive a message stating the "Attachment(s) added." Select the Submit Report button to submit your report to the CDFI Fund.

<ul> <li>Attachment(s) added.</li> </ul>				
Back to List: Organizations		Notes & Attachments [1]		
Financial Statement Audit	Detail Edit Submit Reg			
	Long Long Long Long Long Long Long Long	Tor		
Organization Name	and the second		ate 12/31/2015	
FS Audit Report ID		V.	1/1/2015	
Fiscal Year	2015	Click to submit		
CME Review Summary		the report.		
		the report		

Figure 7. Financial Statement Audit Detail Page

 A "Do you want to Submit?" pop-up confirmation box will appear, select the OK button to submit the Financial Statement Audit Report.

ontacts Service Requests App Lau	cdfistage-mycdfifund.cs32.force.com	says:	
Financial Statement Audit FSA-00151	Do you want to Submit?	OK Cancel	Printable Vie
Attachment(s) added.			
- Back to List: Organizations		Notes & Atlachments [1]	
Financial Statement Audit	Detail Edit Submit Report		
Organization Name	Test Organization 2-Bank	Performance Period End Date 12/31/2015	
FS Audit Report ID	FSA-00151	Performance Period Start Date 1/1/2015	
Fiscal Year	2015	Date Submitted	
CCME Review Summary			
Report Receipt	New	Reason for "rejecting" report	
Financial and Audit Report Info	rmation		
Upload Financial Statement (FS) Audit?	Yes		
FS Audit Report Type of Finding	QualifiedModified		
Does the FS Audit include A-133 Audit?	No		
Will you submit an A-133 Audit	No		

Figure 83. Financial Statement Audit Detail Page



Note: Use the help icon <a>Onext</a> to each field to see additional instructions on how to complete a field.

# 4.2 Audit Opinion and Corrective Actions (if applicable)

Once the Financial Statement Audit Report has been reviewed by the CDFI Fund, a compliance determination will be made. If the Financial Statement Audit Report is found to be noncompliant, the Authorized Representative of the Award will receive an email from the CDFI Fund. The Recipient will need to explain the noncompliance and describe the corrective action(s) taken.

**TIP:** To ensure that you do not miss any important notifications from us, please confirm that the contact information for the users in your organization's AMIS account is current and correct, and make sure that your e-mail service is not marking communications from AMIS@cdfi.treas.gov as "junk" or "spam."

To Access the Financial Statement Audit Report and complete the corrective action section:

Applicant			Search
Home Organizations on	tacts Service Requests App Launcher Awards		
Create New	My Tasks	New	
First Community Bancorp Inc. AWD-00004919 AWD-00004920			You have no open tasks scheduled for
P-074900	Calendar		
Custom Links	Today 5/4/2016		

1. Login to AMIS and click on the **Organizations**tab.

Figure 94. Home Page

2. Click on the **Organization Name** link.

nate New_	Granizations Home			
cent Rems It User7	View: (All Organizations •) Got			
t Organization 2-Bank	Recent Organizations			Recently Viewed
	Organization Name	Mailing City	Phone	
	Sect Organization 2-Bank	Washington	(443) 555-4321	
	Tools			
	Import Data			

Figure 105. Organizations Tab

3. From the **Organization Detail** page, click on the **Financial Statements Audits** section link.

Treate New +	Coganization Test Organization	on 2-Bank		Printak
ecent items	Back to List: Organizations	Durin During		
est Organization 2-Bank est User?		Enancial Data (2)   Contacts (3+)   Certifications (2)	Program Profiles (b=)   Afflicites (1)   SF4245 Shareholder Record (2)	Financial Statement Audio (1) A-133 Audit Reports (1)
	Organization Detail	Edit		
	Organization Name	Test Organization 2-Bank Mey Hierarchy)	Phone	(443) 555-4321
	Parent Relationship		Website	
			EN/TIN	22-2222222
			DUNS	123456789
	Organization Type			
	Financial Institution Type	Bank or Thrift	Date of Incorporation	1/1/1999
	Organization Structure	For-Profit	Financial Activities Start Date	1/1/2012
			Total Asset Size	
			Fiscal Year End Day	31
			Fiscal Year End Month	0.12
	Certification Information			
	CDFI Certification Status	Certified	<b>CDE Certification Status</b>	CDE Centified
	CDFI Certification Date	1/1/2016	CDE Certification Date	2/29/2016

Figure 116. Organization Detail Page

4. Click the **FS Audit Report ID** link to access the report.

Financial Statement Audits		Click the link to view				
Action	FS Audit Report ID	Fiscal Year		the report	es the FS Audit include A-133 Audit?	Audit Finding
Edit	FSA-00132	2015	No		NO	Qualified / Modified

Figure 127. Financial Statement Audits Section

 You will be forwarded to the Financial Statement Audit Report Detail page. Select the Edit button and scroll down to the Explain Audit Opinion and Corrective Actions section.

Financial Statement Audit			
FSA-00151			
« Back to List: Organizations			
		Notes & Attachments [1]	
Financial Statement Audit	Detail Edit Submit Report		
Organization Name	Test Organization 2-Bank	Performance Period End Date	12/31/2015
FS Audit Report ID	FSA-00151	Performance Period Start Date	1/1/2015
Fiscal Year	2015	Date Submitted	
CCME Review Summary			
Report Receipt	New	Reason for "rejecting" report	
Financial and Audit Report Info	ormation		
Upload Financial Statement (FS) Audit?	Yes		
FS Audit Report Type of Finding	Qualified/Modified		
Does the FS Audit include A-133	No		

Figure 138. Financial Statement Audit Detail Page

6. Complete the required information in the "Explain Audit Opinion and Corrective Actions" section and select the **Save** button.

What caused audit opinion	Insufficient documentation of receipts and other financial spending information
Actions to address audit opinion	<ol> <li>Locate required documentation per audit findings</li> <li>Resubmit updated documentation</li> <li>Re-evaluate internal documentation process</li> </ol>
Current status of corrective actions	<ol> <li>Locate required documentation per audit findings - IN PROCESS</li> <li>Resubmit updated documentation - ON HOLD</li> <li>Re-evaluate internal documentation process - IN PROCESS</li> </ol>
Audit opinion corrected by FYE If not corrected, explain why	Yes V

Figure 149. Recipient -Explain Audit Opinion and Corrective Actions

7. Submit your report to the CDFI Fund, by clicking the **Submit for Approval** button displayed on the **Financial Statement Detail** page. A "Confirm to Submit" pop-up box will appear, click **OK**.

FSA-00132				
	Open Activities (0)   Activity (	International Advances	8 Attachments (2)   Approval Histor	Customize Page   Edit Layout   Printable View   Help for this Pag
	Sapen Admitter (2) 1 Admitter	INNER IN THE PARTY IN	& Attachments (0)   Approval Histor	X [2=]
Financial Statement Audit	Detail Edit Delete Clone	Submit Report	8	
Organization Name	New CDFI Test Organization-Credit Union		Record Type	Non-Compliance Review [Change]
FS Audit Report ID	FSA-00132	6	-	
Fiscal Year	2015	10		
inancial Statement Report Score	18		Click to <mark>Submit</mark> th	e
Org Name Fiscal Year formula	New CDFI Test Organization-Credit Union 2015		report.	m
CCME Portfolio Manager	Brette Fishman			
Degree of NC		-	COME Flag for Approval	
Program Portfolio Mgr - CDFI- NACA	David Meyer		CCME APM	Erin,McKevitt
CCME Portfolio Manager	Brette,Fishman	•	Program Portfolio Mgr - CDFI- NACA	David,Meyer
Performance Period End Date	12/31/2015		Approval Stages	CCME Analyst Approved
Performance Period Start Date	1/1/2015			
Date Submitted	6/7/2016 8:35 PM			

Figure 20. Financial Statement Audit Detail Page

# 4.3 Complete the Single Audit Report (if applicable)

A Nonprofit Recipient must complete an annual Single Audit Report pursuant to the Uniform Administrative Requirement (UAR) if it expends \$750,000 or more in Federal Awards in its FY (2 C.F.R. 200.501(b)), or such other dollar threshold established by OMB pursuant to Subpart F of the UAR. If a Single Audit Report is required, it must be submitted electronically to the Federal Audit Clearinghouse (FAC).

A Nonprofit Recipient has the ability to upload the Single Audit Report when uploading the Financial Statement Audit Report and is encouraged to do so. Please see the Financial Statement Audit Report Section 4.0 for instructions on how to upload this report.

# 4.4 Complete Noncompliance Section for Single Audit

Once the Single Audit Report (formerly the A-133) has been reviewed by the CDFI Fund, a compliance determination will be made. If the Single Audit Report is found to be noncompliant, the Authorized Representative of the Award will receive an email from the CDFI Fund. The Recipient will need to explain the noncompliance, complete the Significant Deficiency section for each of the significant deficiencies cited in the Single Audit and describe corrective actions taken.

**TIP:** To ensure that you do not miss any important notifications from us, please confirm that the contact information for the users in your organization's AMIS account is current and correct, and make sure that your e-mail service is not marking communications from AMIS@cdfi.treas.gov as "junk" or "spam.

- To submit the Single Audit Report in AMIS, navigate to the "Organization Detail" page, click the A-133 Audit Reports section link.
- 2. Select the A-133 Audit Report Record ID link.

A-133 Audit Reports	New A-133 Audit Report		A-133 Audit Reports Help
Action A-133 Report Record ID	Click to View the A-133.	Deficiencies	Material Weaknesses
Cot Del A133-00072	Check to their the A 1991		Yes

**TIP:** You will be required to complete the Material Weaknesses section for each of the material weaknesses cited in the Single Audit Report

3. Click the **Edit** link. You will be forwarded to the "A-133 Audit Report Detail" page. To complete a Material Weakness section, click the Edit link next to each Material Weakness ID, where you will be sent to the Material Weakness edit page. You will be required to response "Yes" or "No" to any Material Weaknesses and/or Significant Deficiencies in order to submit the report.

Figure 151. A-133 Audit Reports Section

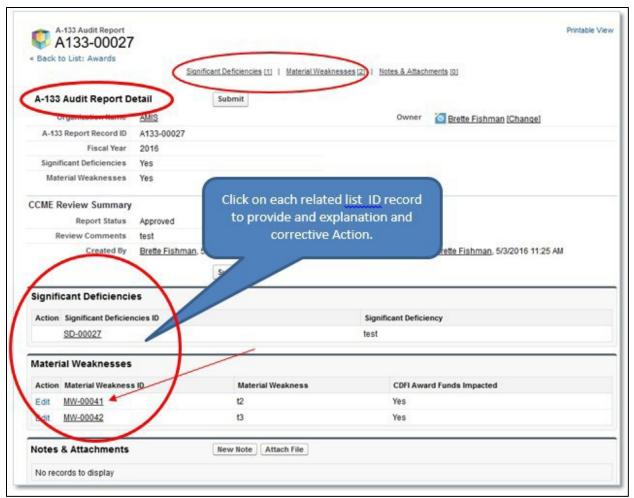


Figure 162. A-133 Audit Report Detail Page



**Note:** You will be required to complete the "Material Weakness" section for each of the material weaknesses cited in the Single Audit Report.

This space is intentionally left blank.

4. To complete a "Material Weakness" section, click the **Edit** link next to the **Material Weakness ID**. You will be forwarded to the "Material Weakness Edit" page.

Material Weakness Ed	it Save Cancel	
nformation		Required Information
A-133 Audit Report	A133-00027	
Material Weakness ID	MW-00041	
Naterial Weakness		
Material Weakness	12	
CDFI Award Funds Impacted	Yes	
How CDFI Award Funds Impacted	r	
Describe trends in Materials Weaknesses	r	
What caused Material Weakness	-Improper allocation of funds to Training budget. -Delays with IT vendor to provide adequate training resources for initiative.	elect the
Actions to address Material Weakness	-Diverted \$35,000 to Training budget to compensate for initial incorrect allocation -Sourced additional IT vendor to supplement training	
Current status of Material Weakness	Status of both corrective actions are in progress.	
Material Weakness	Yes V	
corrected by FYE		

Figure 173. Material Weakness Edit Page

- 5. Complete the following information displayed on the page:
  - a. "What caused Material Weakness"
  - b. "Actions to address Material Weakness"
  - c. "Current status of Material Weakness"
  - d. "Material Weakness corrected by next FYE"
  - e. "Why Material Weakness will not be corrected"
- 6. Click the **Save** button once you are done.
- 7. Repeat steps #4-6 to explain all the material weaknesses in the report.

Once the record is saved, click the **A-133 Audit Report** link to return back to the "A-133 Audit Report Detail" page.

Material Weakness MW-00037			Contraction Device 1 Field I served 1 Deletable View 1 Mark for this Device
Back to List: Organizations			Customice Page   Edit Layout   Printable View   Help for this Page
		Material Weakness History [2]	
Material Weakness Detail		a Edit Delete Clone	
A-133 Audit Report	A133-00044	2	
Material weathing as to	MIT-00037		
Count Required Field	0		
Material Weakness	Test	Click the link to return to	
Repeat Finding	> Yes	the detail page	
Finding Corrected per Auditor	No	the detail page.	
Addressed in Management Response	No		
CDFI Award Funds Impacted	Yes		
How CDFI Award Funds Impacted	Test		
Describe trends in Materials Weaknesses	Test		

Figure 184. Material Weakness Detail Page

- 8. You will be forwarded to the "A-133 Audit Report Detail" page
- 9. To attach a document, locate the Notes and Attachments section.

A133-00044				
- Back to List: Organizations			-	
	Significant Defic	iencies [1]   Material Weaknesses [1]	Notes & Attachments (0)	
A-133 Audit Report Detail	B Edit Sub	mit for Approval	X	
Organization Name	Test Organization 2-Bank	Chalata	Owner	Brette Fishman (Change)
A-133 Report Record ID	A133-00044	Click to	add rt Date	1/1/2015
Fiscal Year	2015	attachm	ents. d Date	12/31/2015
CCME Review Summary		-		
Significant Deficiencies	Yes		Report Receipt	New
Material Weaknesses	Yes		Review Comments	
Created By	Brette Fishman, 6/1/2016 9:40 PM		Last Modified By	Brette Fishman, 6/1/2016 9:46 P
	C Edit Sub	mit for Approval		

Figure 195. A-133 Audit Report Detail Page

10. Click the "Attach File" button.

Notes & Attachments	New Note Attach File	
No records to display		

Figure 206. Notes & Attachments Section

- 11. Click the **Choose File** button and browse to select a file.
  - a. Click the **Attach** file button.
  - b. Click the **Done** button.

Type the pat	of the file or click the Browse button to find the file. Browse	
	DIOWSE	
2. Click the "At	tach File" button.	
Repeat steps	1 and 2 to attach multiple files.	
(When the up	bload is complete the file information will appear below. )	
Attach File		
3. Click the Dor	he button to return to the previous page.	

Figure 217. Attach File Edit Page

12. The attached file should be displayed under **Notes & Attachments** section.

13. Once you are satisfied with the responses provided, click the **Submit for Approval** button, on the "A-133 Audit Report Detail" page, to submit the report to the CDFI Fund.

14. A "Confirm to Submit" pop-up box will appear, click **OK**.

A T33 OU011     A T33 Audit Report Detail		cdfistage-mycdfifund.cs32.force.com says: Once you submit this record for approval, you might not be able to edit it or recall it from the approval process depending on your settings. Continue?	× i Atti	achments [0]	
Organization Name	Tes			Owner	Brette Fishman [Change]
A-133 Report Record ID	A1	OK Cancel	od S	Start Date	1/1/2015
Fiscal Year	20		iod	End Date	12/31/2015
CCME Review Summary					
Significant Deficiencies	Yes		Repor	rt Receipt	New
Material Weaknesses	Yes	R	eview Co	omments	
Created By	Brett	e Fishman, 6/1/2016 9:40 PM	Last Mo	dified By	Brette Fishman, 6/1/2016 9:46 PM
		Edit Submit for Approval			

Figure 228. A-133 Audit Report Detail Page

This space is intentionally blank.

# 5. COMPLETING THE SHAREHOLDERS REPORT (IF APPLICABLE)

The Shareholders Report is completed when the Award is in the form of an Equity Investment.

- 1. To complete a **Shareholders Report**, navigate to the Organization Home page.
- 2. Click on the Organizations tab.
- 3. Click on the Organization Name link to open the Organization Detail page.

ome	Organizations	Contacts	Service Requests	App Launcher	Awards	
	Organizations Home					
View:	All Organizations		∽ Go!			
Rece	ent Organizatio	ns				
Organ	nization Name	ns				Mailing Ci
	nization Name	ns				Mailing Ci
Organ	nization Name	ns				Mailing Ci

Figure 29. Home Page

- 4. From the **Organization Detail page**, click the **Shareholder Report link** to navigate to the Shareholder Report related list.
- 5. Select the New Shareholder Report button.

Organization AMIS		Printable Vie
Back to List: Awards		
Oro Related Attachments (1)   Einancial	Data INI   Contacte INI   Cartifications INI   Draw	ram Denfiles (71   Affiliates (11   SE424s (21   Denformance Coals & Massures (5)
Oro Related Attachments [1]   Financial	Data IDI   Contacts [3]   Certifications IZI   Prog Financial Statement Audits [1]   A-133 Audit	ram Profiles [7]   Affiliates [0]   SF424s [3]   Performance Goals & Measures [5]   Reports [5]   Shareholder Report [1]
Ora Related Attachments [1]   Financial]		Contraction of the second s
	Financial Statement Audits [1]   A-133 Audit	Contraction of the second s

Figure 30. New Shareholder Report

6. Select the Save button to be sent to the Shareholder Report Detail page.

Please select the corresponding FY for which the report is due from the drop down window.

Sharehol	der Report Edit	Save Save & New Cancel		
Informati	on			
CCME Re	Organization Name Fiscal Year ( Please select the corresponding Fiscal Year to be reported on. For example, if the Performance Period End Date is 12/31/2015, please select 2015.	Test Organization 2-Bani Phone- 2012 2013 2014 2015 2016 2017		
	Report Receipt Review Comments	2018 2019	Select the Save button	

Figure 31. Shareholder Report Fiscal Year Dropdown

From the Shareholder Report Detail page, select the **New Shareholders** button to add a Shareholder. You will be sent to the **Shareholders Edit page**.

SHRPT-00028								Printable View
<ul> <li>Back to List: Awards</li> </ul>				Shareholders	101   Notes & Atta	chmenta 101		
Shareholder Report Detail		Edit	Clone	Submit				
Organization Name	AMIS							
Shareholder Report ID	SHRPT-00028							
Fiscal Year	2016							
CCME Report Review Summary								
Report Status	New							
Review Comments								
Created By	Varma D. 5/10/2016 12:1	7 PM				Last Modified By	Varma D. 5/10/2016 12:17 PM	
		Edit	Cione	Submit				
Shareholders	1	New S	harehok	dens				
No records to display								
Notes & Attachments		New N	ote A	ttach File				
No records to display								

Figure 32. New Shareholders

This space is intentionally left blank.

Complete all the required information on the page:

Shareholders Edit New Shareholder	S			
Shareholders Edit		Save	Save & New	Cancel
Information				
Shareholder Report	SHRPT-00028	9		
Shareholder Number	889374			
Shareholder Name	John Franklin			
Outstanding Shares	1000			
Valuation of Shares	450,000			

Figure 33. New Shareholders Edit Page

- Shareholder Number
- Shareholder Name
- Outstanding Share
- Valuation of Shares

Once you are done, click on the Save button to be sent to the Shareholders Detail page.

If you have more than one Shareholder that needs to be entered, click on the **Save & New** button to save the current entry and create another Shareholder.

Click on the Shareholder Report link to return to the Shareholder Report Detail page.

Shareholders has been saved.					
Back to List: Organizations					
		Shareholders History (2)			
Shareholders Detail	Edit Dele	ete Clone			
Shareholder Report	SHRPT-00019	6			
Shareholder Record ID	HIR.00011	Click the link to			
Shareholder Number	889374	return to the report			
Shareholder Name 🥥	John Franklin	return to the report			
Outstanding Shares	1,000.00	detail page.			
Valuation of Shares	\$450,000.00				
Created By	Test User7, 6/8/2016 7:15 PM	L	ast Modified By	Test User7, 6/8/2016 7:15 PM	

Figure 34. Shareholder Report Link

To add supporting documentation Click the Notes and Attachments related list to add supporting documentation to your report.

SHAR-00014		John	Franklin		889374	
Shareholder Record ID		Share	eholder N	lame	Shareholder Number	
lders		New S	harehold	ers		
		Edit	Clone	Submit for Approval		
Created By	Test User7, 6/8/2016 7:	13 PM			Last Modified By	Test User7
Review Comments						
Report Receipt	New					
ort Review Summary						
Date Submitted						
mance Period End Date	12/31/2015					
nance Period Start Date	1/1/2015					
Fiscal Year	2015					
Shareholder Report ID	SHRPT-00019					
Organization Name	Test Organization 2-Bar	nk				
older Report Detail		Edit	Clone	Submit for Approval		
ist: Organizations				Shareholders [1]   No	otes & Attachments [0]	
	Organization Name Shareholder Report ID Fiscal Year nance Period Start Date Date Submitted ort Review Summary Report Receipt Review Comments Created By ders Shareholder Record ID	IRPT-00019 ist: Organizations Ider Report Detail Organization Name Test Organization 2-Bar Shareholder Report ID SHRPT-00019 Fiscal Year 2015 nance Period Start Date 1/1/2015 nance Period End Date 12/31/2015 Date Submitted ort Review Summary Report Receipt New Review Comments Created By Test User7, 6/8/2016 7: ders Shareholder Record ID	IRPT-00019         ist: Organizations         Ider Report Detail       Edit         Organization Name       Test Organization 2-Bank         Shareholder Report ID       SHRPT-00019         Fiscal Year       2015         nance Period Start Date       1/1/2015         Date Submitted       12/31/2015         ort Review Summary       Report Receipt         Review Comments       Created By         Created By       Test User7, 6/8/2016 7:13 PM         Edit       Mew S         Shareholder Record ID       Shareholder Shareholder Record ID	IRPT-00019         ist: Organizations         Ider Report Detail       Edit       Clone         Organization Name       Test Organization 2-Bank         Shareholder Report ID       SHRPT-00019         Fiscal Year       2015         nance Period Start Date       1/1/2015         nance Period End Date       12/31/2015         Date Submitted       Test User7. 6/8/2016 7:13 PM         Edit       Clone         ders       New Shareholder         Shareholder Record ID       Shareholder New	IRPT-00019         ist: Organizations         Ider Report Detail       Edit       Clone       Submit for Approval         Organization Name       Test Organization 2-Bank       Submit for Approval         Shareholder Report ID       SHRPT-00019       SHRPT-00019         Fiscal Year       2015       Submitted         Priscal Year       2015       Submitted         ort Review Summary       12/31/2015       Submitted         Ort Review Summary       New       Submit for Approval         Report Receipt       New       Submit for Approval         Ort Review Comments       Edit       Clone         Created By       Test User7. 6/8/2016 7:13 PM       Edit       Clone         Edit       Clone       Submit for Approval         ders       New Shareholders       Shareholder Record ID	IRPT-00019         Shareholders [1] Notes & Attachments [3]         Ider Report Detail         Organization Name       Test Organization 2-Bank         Shareholder Report D       SHRPT-00019         Fiscal Year       2015         nance Period Start Date       1/1/2015         Date Submitted       1/2/31/2015         Ort Review Summary       New         Report Receipt       New         Review Comments       Last Modified By         Created By       Test User7, 6/8/2016 7:13 PM       Last Modified By         Edit       Clone       Submit for Approval         Mew Shareholders         Created By       Test User7, 6/8/2016 7:13 PM       Last Modified By         Edit       Clone       Submit for Approval

Figure 35. Shareholder Report Notes and Attachments Section

### 1. Click the Attach File button.

Notes & Attachments	New Note Attach File	
No records to display		

Figure 36. Attach File to Shareholder Report

This space is intentionally left blank.

- 2. Click the Choose File button and browse to select a file.
- 3. Click the Attach File button.
- 4. Click the Done button.



Figure 37. File Attachment Page

- 7. The attached file should be displayed under the Notes & Attachments related list.
- 8. Once you are satisfied with the responses you have provided, click the Submit for Approval button on the Shareholder Report Detail page to submit your report to the CDFI Fund. A "Confirm to Submit" pop-up box will appear, click OK.

acts Service Requests App Lau	or recall it from the approv	d for approval, you might not be able al process depending on your setting		
SHRPT-00019	Continue?			Print
✓ Attachment(s) added.		OK	Cancel	
+ Back to List: Organizations				
		Shareholders [1]   Notes & Att.	achments (1)	
Shareholder Report Detail	Edit Ci	one Submit for Approval		
Organization Name	Test Organization 2-Bank			
Shareholder Report ID	SHRPT-00019			
Fiscal Year	2015			
Performance Period Start Date	1/1/2015			
Performance Period End Date	12/31/2015			
Date Submitted				
CCME Report Review Summary				
CCME Report Review Summary Report Receipt	New			
	New			
Report Receipt	New Test User7, 6/8/2016 7:13 PM		Last Modified By Test	Jser7, 6/8/2016 7:13 PM

Figure 38. Submission Confirmation Dialogue

This space is intentionally left blank.

# 6. COMPLETING THE PERFORMANCE PROGRESS REPORT (PPR)

The Performance Goals and Measures (PG&M) Report has been replaced by the Performance Progress Report in AMIS. The PPR Report allows the Recipient to report whether it has met the benchmarks specified in the CDFI Program Assistance Agreement.

# 6.1 Creating a new PPR

To create a new PPR, click on the Awards tab on the main page, select all from the drop down and select the Go! button.

Home	Organizations	Allocations	Contacts	Service Areas	Service Requests	App Launcher	Awards	Reporting Schedule	CMF Performance Report
Create	New		Awards Home						
Recent AWD-00		Vie	w: All	✓ Go!					
PPR-00 PGM-03		Re	cent Awar	ds					
			recent record	s. Click Go or select	a view from the dropdow	n to display records.			
			Cop	oyright © 2000-2021	salesforce.com, inc. All r	ights reserved.   Pri	vacy Statemen	t Security Statement Ter	ms of Use

Figure 39. Awards Home Page

Locate the Award for which you would like to complete the PPR, and click on the Award Name link.

Home						
View: All	v Go!					
Recent Awards						
Award Name	Award Year	Award Program:	Award Control Number			
<u>AWD-00008590</u>	2021	CDFI-RRP	21RRP000000			

Figure 40. Awards List

You will be sent to the Award Detail page. Click on the Performance Progress Report link to navigate to the Performance Progress Report related list.

Home	Organizations	Allocations	Contacts	Service Areas	Service Requests	App Launcher	Awards	Reporting Schedule	-
Create	New		Award	00008590					Printable View
Recent	ltems	« Ba	ack to List: Av						
AWD-00	0008590		<u>Notes 8</u>		Service Requests [0]   P lance Progress Reports [0	ayment Requests [0]	Program G		Reporting Schedule (5+)   (V. [0]
		Av	ward Detail		Edit	t for Approval			
			Organ	ization Test Appl	icant Org 29		Awa	rd Name AWD-000085	90
			Award Pr	ogram: CDFI-RR	P		Closed	out Date	
			Awar	rd Year 2021		CDFI	l Certificatio	n Status Certified	
		Av	vard Control N	lumber 21RRP0	57041				
			Award Am	nount \$\$1,000,0	00.00				
		Awa	rd Amount Ba	se FA \$					
			Persistent P						

Figure 41. Performance Progress Reports Link

Click on the New Performance Report button. You will be sent to the Performance Progress Report page.

Performance Progress Reports	New Performance Report
No records to display	

Figure 42. New Performance Report

# **6.2 Performance Progress Report Layout**

The header on the Performance Progress Report displays important Award and report details. The Organization, Award, Performance Report, Authorized Rep fields are all hyperlinks. The Date Submitted will be populated once the report has been submitted.

	Performance Progress Report				
Organization:	Test Applicant Org 29	Award:	AWD-00009171	Performance Report: PPR-00003648	
Authorized Rep:	TestUser Org29AR01	Award Control Numer:	21RRP056212	Performance Period Year: 1	
Report Fiscal Year:	2021	Award Year:	2021	Status: New	
Period of Performance End Date:	5/30/2022	Award Amount:	\$1,000,000.00	Date Submitted:	

Figure 43. Performance Progress Report

### Choose a Goal to Update

1-1: Financial Products

#### 2-1: First Payment Expended

#### Attestation

 By selecting the checked box, I am certifying on behalf of the organization, the Award Recipient, the following:

 The person entering the data and making these certifications is an Authorized Representative.
 Any information or data provided to the CDFI Fund that is entered in AMIS (or other submission method) is true, accurate, and complete, and accurately represents the activities and/or performance of the Recipient.
 The Recipient is compliant with all applicable assurances, certifications, representations and warranties, covenants, and agreements set forth in the Assistance Agreement or, alternatively, has notified the CDFI Fund of the Recipient's inability to be compliant with such provisions of the Assistance Agreement through the submission of a Material Event notification.

#### Attestation must be signed to submit report.

#### Paperwork Burden Statement

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid Office of Management and Budget (OMB) Approval Number. This form's Approval Number is 1559-0050. Public reporting burden for this collection of information is estimated to average 1.25 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Community Development Financial Institutions Fund, 1500 Pennsylvania Ave, NW, Washington, DC 20220.

	Legend				
	Not Completed				
*	Additional Information Required				
0	Passed				
0	Failed				

Figure 44. Performance Report Attestation

The menu on the left-hand side of the page lists the applicable Goals, Attestation, and Legend for the Goals listed above. The Attestation must be selected before the report can be submitted. The Legend shows the different images that will show next to the Goal once it's filled out. This space is intentionally left blank.

# 6.3 Performance Progress Report Navigation

Click on the Goal. This will bring up the details of the Goal in the middle of the page. It will also have any fields that need to be filled out for the particular Goal. If entering data for any RRP related goals, make sure that the data is not being double-counted, i.e. closed financial products are not being entered for both RRP and being entered under any other CDFI Fund Program.

Organization: Test Applicant Org 29	Award: <u>AWD-00009171</u>	Performance Report: PPR-00003648
Authorized Rep: TestUser Org29AR01	Award Control Numer: 21RRP056212	Performance Period Year: 1
Report Fiscal Year: 2021	Award Year: 2021	Status: New
iod of Performance End Date: 5/30/2022	Award Amount: \$1,000,000.00	Date Submitted:
Choose a Goal to Update		Save Changes
1-1: Financial Products	1-1: Financi	ial Products
	Program Goal: PGM-032129	
2-1: First Payment Expended	Rule Description: Financial Products	
Attestation	Total Benchmark	\$1,000,000
By selecting the checked box, I am certifying on behalf of the organization, the Award Recipient, the following:	Period Benchmark	\$500,000
1. The person entering the data and making these contrications is an Authorized Representative.     2. Any information or data provided to the CDFIF und that is entered in AMB (or other submission method) is true, accurate, and complete, and accurately represents the accurate, and complete, and accurately represents the accurate is and accurate in the accurate accurate accurate and complete accurate accurate accurate accurate and complete accurate accur	Total dollar amount of financial products closed (exclusive of Base-FA, F reported under any Performance Goal for a CDFI Program or NACA Pr Performance Goal and any Financial Products reported under any Perf CDFI Program or NACA Program award) in eligible market(s) or recipier performance	ogram award may not be reported for this ormance Goal hereunder may not be reported for a
Agreement or, alternatively, has notified the CDFI Fund of the Recipients' inability to be compliant with such provisions of the Assistance Agreement through the submission of a Material Event notification.	Cumulative dollar amount of financial products closed (exclusive of Bass Products reported under any Performance Goal for a CDFI Program or Performance Goal and any Financial Products reported under any Perfc CDFI Program or NACA Program award) in eligible market(s) or recipier performance	NACA Program award may not be reported for this prmance Goal hereunder may not be reported for a

#### Figure 45. Financial Products

Enter the details for the input fields and hit Save Changes button. If the Goal passed then the Goal on the left- hand side will have a green checkmark showing it passed. Also, it will show that it passed under the "Explanation of Non-Compliance" section.

		Performance Progress R	eport		
Organization: <u>Test Applicant Org 29</u> Authorized Rep: <u>TestUser Org29AR01</u>		Award: <u>AWD-0000</u> Award Control Numer: 21RRP056		Performance Report: <u>PP</u> Performance Period Year: 1	<u>R-00003648</u>
Report Fiscal Year: 2021 Period of Performance End Date: 5/30/2022		Award Year: 2021 Award Amount: \$1,000,000	0.00	Status: Net Date Submitted:	W
Choose a Goal to Update			1-1: Financial Product	ts	Save Changes
2-1: First Payment Expended	Program Goal: Rule Descripti	PGM-032129 on: Financial Products			
Attestation	Total Benchm	ark			\$1,000,000
By selecting the checked box, I am certifying on behalf of the organization, the Award Recipient, the following:	Period Bench	mark			\$500,000
<ol> <li>The person entering the data and making these certifications is an Authorizet Representative.</li> <li>Any information or data provided to the CDF Fund that is entered in AMS (or other submission method) is thue, accurate, and complete, and accurately represents the addities and/or performance of the Recipient.</li> <li>The Recipient is compliant with all applicable assurances, certifications, representations and warranties,</li> </ol>	reported unde Performance	nount of financial products closed (exclus r any Performance Goal for a CDFI Prog Goal and any Financial Products reported or NACA Program award) in eligible ma	am or NACA Program award I under any Performance Goa	may not be reported for this I hereunder may not be reported for a	500,000
covenants, and agreements set forth in the Assistance Agreement or alternatively, has notified the CDF Fund of the Recipient's inability to be compliant with such provisions of the Assistance Agreement through the submission of a Material Event notification.	Products repo Performance	ollar amount of financial products closed ( rted under any Performance Goal for a C Goal and any Financial Products reported or NACA Program award) in eligible ma	DFI Program or NACA Progra I under any Performance Goa	am award may not be reported for this I hereunder may not be reported for a	1,000,000
Attestation must be signed to submit report.			Explanation of Non-Complia	ance	
Paperwork Burden Statement According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of Information unless it displays a valid Office of Management and Budget (OMB) Approval Number, This form's Approval Number is 1559.0650. Public reporting burden for this collection of Information is estimated to average 1.25 hours per response, including time for	Target Field AP Field Type Operator Goal Compliant	I Name	Financial_Products_Close Percentage Greater Than or Equal PASS		

### Figure 46. Goal Compliance Status

If the Goal failed and needs additional information, then the Goal on the left will have a red star to indicate it needs additional information. It will also show that it failed under the "Explanation of Non-Compliance" section. You must complete the "Explanation of Non- compliance" questions prior to submitting the report.

*	111: Financial Products		1-1: Financial Products	
	J	Program Goal: PGM-032129		
	2-1: First Payment Expended	Rule Description: Financial Products		
	Attestation	Total Benchmark		\$1,000,000
	By selecting the checked box, I am certifying on behalf of the organization, the Award Recipient, the following:	Period Benchmark		\$500,000
	<ol> <li>The person entering the data and making these conflications is an ulthorized Representative.</li> <li>Any information or data provided to the CDFI Fund that is entered in ANIS (or other submission method) is true, accurate, and complete, and accurately represents the activities and/or performance of the Recipient.</li> <li>The Recipient is compliant with all applicable assurances, certifications, representations and warranties,</li> </ol>	reported under any Performance Goal for a CDFI Program Performance Goal and any Financial Products reported u	of Base-FA, PPC-FA, HFFI-FA, or DF-FA, ; Financial Products o or NACA Program award may not be reported for this nder any Performance Goal hereunder may not be reported for a t(s) or recipient's approved target market(s) during period of	200,000
	covenants, and agreements set forth in the Assistance Agreement or, alternatively, has notified the CDFI Fund of the Recipient's inability to be compliant with such provisions of the Assistance Agreement through the submission of a Material Event notification.	Products reported under any Performance Goal for a CDI Performance Goal and any Financial Products reported u	clusive of Base-FA, PPC-FA, HFFI-FA, or DF-FA ; Financial FI Program or NACA Program award may not be reported for this nder any Performance Goal hereunder may not be reported for a t(s) or recipient's approved target market(s) during periods of	350,000
s	tation must be signed to submit report.	Ex	planation of Non-Compliance	
	work Burden Statement ling to the Paperwork Reduction Act, as amended, no	Target Field API Name	Financial_Products_Closed_in_EM_TMc	
DI	s are required to respond to a collection of information	Field Type	Percentage	
	it displays a valid Office of Management and Budget (OMB) al Number. This form's Approval Number is 1559-0050.	Operator	Greater Than or Equal	
	reporting burden for this collection of information is ted to average 1.25 hours per response, including time for	Goal Compliance Status	FAIL	
	ing instructions, searching existing data sources, ing and maintaining the data needed, and completing and ing the collection of information. Send comments regarding	Current Metric (\$) *	350,000	
	den estimate or any other aspect of this collection of ation, including suggestions for reducing this burden, to the unity Development Financial Institutions Fund, 1500 /Ivania Ave, NW, Washington, DC 20220.	Why will you not meet this performance goal by next fiscal year? $\pmb{\ast}$	Explanation of why this performance goal will not be met.	
		Will you meet this performance goal next fiscal year? *	No	
ſ	Legend			
	Not Completed	What actions will you take to meet this performance	Actions that will be taken.	
	Additional Information Required	goal? *		
١.				

#### Figure 47 a. Explanation of Noncompliance

Once the "Explanation of Non-compliance" questions have been filled out then the Goal on the left-hand side will have a red checkmark indicating the performance goal failed to meet the required benchmark.

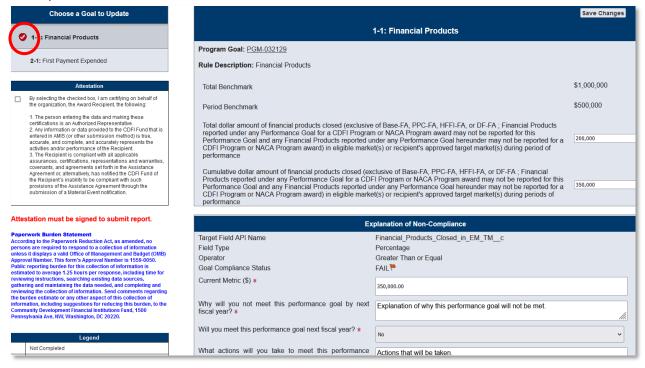


Figure 47 b. Explanation of Noncompliance

Once all the Goals have been completed, check the Attestation and the Save Changes button. Once all of these steps have been completed, click on the Submit Report button.

		Performance Progress R	eport	
Organization: Test Applicant Org 29		Award: AWD-000	09171	Performance Report: PPR-00003648
Authorized Rep: TestUser Org29AR01		Award Control Numer: 21RRP05	6212	Performance Period Year: 1
Report Fiscal Year: 2021		Award Year: 2021		Status: New
Period of Performance End Date: 5/30/2022		Award Amount: \$1,000,00	0.00	Date Submitted:
Choose a Goal to Update				Save Changes
1-1: Financial Products		:	2-1: First Payment Expen	nded
	Program Goa	I: <u>PGM-032125</u>		
2-1: First Payment Expended	Rule Descrip	tion: Total Amount Expended / First Paym	ent Amount	
Attestation	% Expended	of Total CDFI RRP Award		35.00%
<ul> <li>E selecting the checked box, I am certifying on behalf of t e organization, the Award Recipient, the following:</li> </ul>	% Expended	of First Payment Amount		100.00%
<ol> <li>The person entering the data and making these certifications is an Authorized Representative.</li> <li>Any information or data provided to the CDFI Fund that is</li> </ol>	Benchmark F	Percentage		90.00%
entered in AMIS (or other submission method) is true, accurate, and complete, and accurately represents the activities and/or performance of the Recipient.	First Paymer	ts Benchmark		
<ol><li>The Recipient is compliant with all applicable assurances, certifications, representations and warranties, covenants, and agreements set forth in the Assistance</li></ol>	Award First F	Payment Amount		\$350,000.00
Agreement or, alternatively, has notified the CDFI Fund of the Recipient's inability to be compliant with such provisions of the Assistance Agreement through the submission of a Material Event notification	Total dollar a	mount of award expended		350,000.00
submission of a Material Event notification. Signature: <u>TestUser Org29AR01</u> Date: 9/1/2021 1:24 PM			Explanation of Non-Complia	ince
Date: 3/1/2021 1.24 FW	Target Field A		of TA Left To Be Expend	
Please click the "Submit Report" button below	Operator	FINAIIIe	Greater Than or Equal	ueuc
when you are finished with all edits.	Goal Complia	ace Status	PASS P	
Submit Report	Field Type		Percentage	
Paperwork Burden Statement			-	

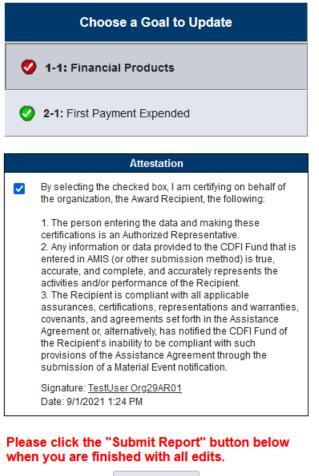
Figure 48. Submit Report

If there are Goals that require additional information and you try to select the Submit Report button, you will receive a warning message requiring you to update the necessary fields before you can submit the report.

Period Ber Total dollar reported u Performan CDFI Prog performan Cumulative Products r Performan CDFI Prog	Please verify that each goal has an Explanation of Non-Compliance sec Please fill out all required fields in Explanations of Non-Compliance. C on Save Changes for each goal. Eac goal should have a green or red che mark symbol, as shown in the Leger the bottom left.	lick ch eck	PPC-FA, ogram an ormance nt's appr e-FA, PF NACA P ormance nt's appr
performan		ок	
	Explan	ation o	of Non-Co

Figure 49. Error Message- Noncompliance Explanations Required

Fill out all the "Explanation of Non Compliance" questions and save the Goal again. When the Goal shows the red checkmark then all required information has been provided and the Goal page is "Marked Complete", and a message will appear at the top of the display window.



Submit Report

Figure 50. Submit Report

When you are ready to submit the report, select the Submit Report button. Before the system will allow you to submit the report, it will ask you to confirm. Please make sure to review the report before submitting because once it has been submitted, the report will be locked for editing and your responses may not be altered.

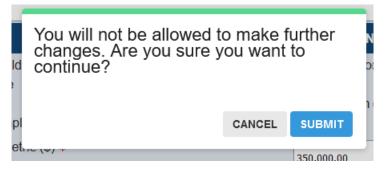


Figure 51. Submission Confirmation

After submitting the report, the "Status" field will update to "Submitted" and the "Date Submitted" date will be updated with the current date/time.

Performance Progress Report				
Organization: Test Applicant Org 29	Award: AWD-00009171	Performance Report: PPR-00003648		
Authorized Rep: TestUser Org29AR01	Award Control Numer: 21RRP056212	Performance Period Year: 1		
Report Fiscal Year: 2021	Award Year: 2021	Status: Submitted		
Period of Performance End Date: 5/30/2022	Award Amount: \$1,000,000.00	Date Submitted: 9/1/2021 1:35 PM		

Figure 52. Report Status

This space is intentionally left blank.

# 7. COMPLETING THE SF-425 REPORT (TA ONLY)

The SF-425 report allows the Recipient to report to the CDFI Fund the cumulative amount of award funds expended. This report is only required for FY 2018 and earlier TA Recipients.

1. To complete a SF-425 report, click on the **Awards** tab in the navigation bar to locate the proper report.

ome Organizations Co	ntacts Service Requests	App Launcher Awards		
Home				
New: Alt - Got				
Recent Awards				
Annual Annual	Award Program	Award Control Number	Organization	Assistance Agreement Effective D

Figure 53. Home Page

2. From the **Award Detail** page, click the **SF-425** related list link and click on the appropriate record.

Award AWD-00004946 • Back to List: Awards Ecome of Award [1]	Program Goals and Measures (10+)   Cases	a 50   Open Activities 50   Activity History 50   Notes     SF-425 11   Use of Funds 50   Certification Status	
SF-425 Action SF-425 Report ID E 1 SF425-00059	tiew SF-425 Fede	Click the SF-425 Report ID to complete the report.	Reporting Period End Date 5/15/2017

Figure 54. SF-425 Report Link

3. On the SF-425 Detail page, click the Edit button to complete the report.

Back to Award: AWD-00004945					
SF-425 SF425-00059 • Back to Award: AWD-000049	46				Printable Vie
	2.2	Notes & Attachments (0)			
SF-425 Detail	Edit	Submit SF-425			
Award Record ID	AWD-00004946		Owner	Varma D [Change]	
SF-425 Report ID	SF425-00059	Performance Pe	eriod Start Date	5/10/2015	
Organization	AMIS		viod End Date	5/15/2017	
Project/Grant Period Start Date	5/10/2015	Select Edit to	Fiscal Year	2015	
Award Control Number	151TA00049				
Project/Grant Period End Date	5/15/2017	update the			
Recipient Fiscal Year End Date	03/31	information.			
Reporting Period Year	Year 3 of the Performance Period				

### Figure 55. SF-425 Edit

4. On the edit screen, you will need to supply the amount of "Federal Cash Disbursements." If you are uncertain what information to enter, please refer to the help icon for more information.

SF-425 Edit		Save	Save & New Cancel			
Information						Required information
Award Record ID	AWD-00004946	9		Owner	Varma D	
SF-425 Report ID	SF425-00059	_				
CCME Staff Report Completed Status	None	~	Complete the			
CCME Review Summary			information on the			
Report Receipt			page and click Save.	npleted Status		
Review Comments			7 /			
Transactions						
Federal Cash - b. Cash Disbursements	L					

Figure 56. SF-425 Save

Once the information has been entered, select the **Save** button. Youwill be sent to the **SF-425 Detail** page.

 Use the Notes and Attachments section to attach any supporting information you would like to include in your SF-425 report. To attach a document, navigate to the Notes and Attachments section on the SF-425 Detail page.

Federal Cash - b. Cash Disbursements [		Federal Cash - b. Cash Disbursement Flag.	FAIL
Created By	Emesta Hemandez, 5/10/2016 2:59 Ptr	Last Modified By	Emesto Hemandez, 5/10/2016 2:59 Pt
	Edit Clone Submit SF-425		
Notes & Attachments	New Note Attach File	Click Attach File	
No records to display		CIICK Attach The	
A Back To Too	Always show me	Tenore records per related list	

Figure 57. Attach File

- a. Click the Attach File button.
- b. Click the **Choose File** button and browse to select a file.
- c. Click the **Attach** file button.

\_

Type the path	le h of the file or click the Browse button to find the file.	
	Browse	
Repeat steps	ttach File" button. 1 and 2 to attach multiple files. pload is complete the file information will appear below. )	
	ne button to return to the previous page.	
	neel an in-progress upload. )	

Figure 58. File Attachment

# 8. USES OF AWARD REPORT

This compliance report is only to be completed by FY 2015 Award and newer Award Recipients. This replaces the Uses of TA and Uses of FA compliance reports that were previously required for FY 2014 Awards and older. To submit the Uses of Award Report:

- 1. Log in to AMIS and navigate to the **Awards** tab.
- 2. Select the All Awards list view and select Go!

Home	Organizations	Allocations	Contacts	Service Areas	Service Requests	App Launcher	Awards	Reporting Schedule	CMF Performance Report
Create	New		Awards Home						
Recent	ltems	Viev	v: All	V Go!					
AWD-00	009171		All						
PPR-00	003648								
PGM-03	2129	Re	cent Awar	ds					
		No	recent records	s. Click Go or select	a view from the dropdow	n to display records.			
	_	_	Cor	oyright © 2000-2021	salesforce.com, inc. All r	ights reserved.	vacy Statemer	t Security Statement	ms of Use

Figure 59. Awards Menu

3. Click the Award Name link for the Award.

Home Awards				
View: All V Go!				
Recent Awards				
Award Name	Award Year	Award Program:	Award Control Number	
AWD-00008590	2021	CDFI-RRP	21RRP000000	

Figure 60. Award Link

4. You will be sent to the Award Detail page. Click the Use of Award related list.

Award AWD-0000	8586		Printa
« Back to List: Awards			
Notes & Attachme	ents [1]   <u>Service Reque</u> Performance Progress F		leasures (5)   Reporting Schedule (5+)   atching Funds Used (2)
Award Detail	E	dit	
Organization	AAT Test Org 2	Award Name	AVVD-00008586
Award Program:	CDFI-FA	Closeout Date	
Award Year	2020	CDFI Certification Status	Certified
Award Control Number	201FA054098		
Award Amount \$	\$500,000.00		
Award Amount Base FA \$	\$500,000		

Figure 61. Uses of Award Link

### 5. Select the New Use of Award button.

Uses of Award	New Uses of Award Report	
No records to display		

#### Figure 62. New Use of Award Button

- 6. You will be sent to the Use of Award Edit page. Certain information will be auto populated. Start by selecting the Fiscal Year from the dropdown menu. Please remember that the FY you are selecting should be for the Period of Performance you are reporting on. For example, if the Period of Performance you are reporting on ended on 12/31/2019, you would select 2019 from the dropdown menu.
- 7. If there were no funds expended during the Period of Performance for which you are reporting on, select the **No Activities During Performance Period** box.
- 8. The four questions below regarding interest earned are only applicable to FA Award Recipients. If you received a TA Award, please do not answer these questions.
  - a. "\$ earned > 500 in interest bearing acct"
  - b. "If yes, how much"
  - c. "If yes, have you remitted to HHS"
  - d. "Eligible Market Attestation"
- 9. Once you are done answering all the questions, click the **Save** button.

New Use of Award Edit				
Use of Award Edit	ve Save & New Cancel			
Information				= Required Information
Award AWD-00008586		Report Status	New	
Fiscal Year 🥥None 🗸		Date Submitted		
No Activities During Performance Period ⊘				
\$ earned > 500 in interest-bearing acct ⊘None ∨				
If yes, how much 🥑				
If yes, have you remitted to HHS 🌝None 🗸				
Eligible Market Attestation 🥝				
		Performance Period End		
System Information				
Sav	Save & New Cancel			

Figure 63. Save Use of Award

You will be sent to the **Use of Award Detail** page with a message stating the "Use of Award has been saved". If you selected the **No Activities During Performance Period** box in step 7 above, select the **Submit Report** button to complete the reporting requirement. If you need to report on how Award funds were expended, select the **Category of Activity** related list.

Use of Award UOA-02457				Print
✓ Use of Award has been sa	aved.			
« Back to List: Awards		Category of Activity [0] Notes	s & Attachments [0]	
Use of Award Detail		Edit Clone Submit Report		
Award A	AWD-00008586		Report Status	New
Use of Award Name	JOA-02457		Date Submitted	
Award Control Number 2	201FA054098		<b>Recipient Name</b>	AAT Test Org 2
Fiscal Year 📀 2	2020			
Report Due Date		Tti \$ /	Activities Reported 🕜 This Period	\$0.00
No Activities During 🥝 Performance Period		I	Total Award Amount	\$500,000.00
		Cum	ulative Sum of Use of Award	\$0.00

Figure 64. Category of Activity Link

10. To add a Category of Activity, Select Add Categories.

Category of Activity	Add Categories	
No records to display		

Figure 65. Add Category of Activity

# 11. Complete the required fields on the page:a. Select Fund Type.

Category of Activity Edit New Category of Activity					
Category of Activity E	dit	Save Save & New Cancel			
Information					
Use of Award	UOA-02457		Record Type	FA	
Fund Type	PPC-FA 🗸				
Category of Activity	FA	~			
Description of Activity	DF-FA				
Total Dollar Amount	PPC-FA				
	HFFI-FA				
	RRP	Save Save & New Cancel			

Figure 66. Category of Activity- Fund Type Dropdown

b. Select **Category of Activity**. Please note, the categories have been pre-populated based on the type of Award for which you are reporting. If you are reporting on a FA Award, only approved FA categories will appear. If you are reporting on a TA Award, only approved TA categories will appear.

Category of Activity Edit New Category of Activity							
Category of Activity E	dit Save Save & New	Cancel					
Information							
Use of Award Fund Type Category of Activity Description of Activity Total Dollar Amount	UOA-02457 S RRP NoneNone Capital Reserve Development Services	Record Type	FA				
	Direct Administrative Expenses	Cancel					
Copyright © 2000-2021 salesfor	Financial Products Financial Services Loan Loss Reserve	tatement   <u>Security Statement</u>   <u>Terr</u>	<u>ms of Use</u>				

Figure 67. Category of Activity Dropdown

- c. Enter the **Description of Activity**.
- d. Enter the **Total Dollar Amount**.
- e. Select the **Save** button when complete or select the **Save & New** button to add additional Category Activities.

Category of Activity Edit New Category of Activity					
Category of Activity E	dit	Save Save & New Cancel			
Information					
Use of Award Fund Type Category of Activity Description of Activity Total Dollar Amount	UOA-02457 RRP V None		Record Type	FA	
		Save Save & New Cancel			

Figure 68. Save Category of Activity

You will be sent to the Category of Activity Detail page with a message saying "Category of Activity has

been saved." Click the Use of Award link to navigate back to the Use of Award Detail page.

Category of Activity					Print
<ul> <li>Category of Activity has</li> </ul>	been saved.				
« Back to List: Awards					
Category of Activity	Detail	Edit Delete	Clone		
Use of Award	<u>UOA-02457</u>			Record Type	FA [ <u>Change]</u>
Category of Activity Name	COA-04239				
Fund Type	RRP				
Category of Activity	Development Serv	vices			
Description of Activity	Test description of	dev services.			
Total Dollar Amount	\$500,000.00				
Created By	AAT Test Org 2 AF	<u>R</u> , 9/1/2021 2:37 F	M	Last Modified By	AAT Test Org 2 AR, 9/1/2021 2:37 PM
		Edit Delete	Clone		

Figure 69. Use of Award Link

Use of Award					
i UOA-02457					
« Back to List: Awards			Catagany of Anti-thy 141	Notes 2 Attachments (0)	
			Category of Activity [1]	Notes & Attachments [0]	
Use of Award Detail		Edit Clone	Submit Report		
Award	AWD-00008586			Report Status	New
Use of Award Name	UOA-02457			Date Submitted	
Award Control Number	201FA054098			Recipient Name	AAT Test Org 2
Fiscal Year 🤅	2020				
Report Due Date				Ttl \$ Activities Reported This Period	\$500,000.00
No Activities During Performance Period 🥃				Total Award Amount	\$500,000.00
A				Cumulative Sum of Use of Award	\$500,000.00
\$ earned > 500 in interest-bearing acct (					
If yes, how much 🤅				FA Ttl \$ Activities Reported This Period	\$0.00
If yes, have you remitted to HHS 🤅				FA- Total Award Amount	\$500,000
Eligible Market Attestation 🤅				FA - Cumulative Sum of Use of Award	\$0.00
				PPC-FA Ttl \$ Activities Rpt This Period	\$0.00
				PPC-FA Total Award Amount	\$0.00
				PPC-FA Cumulative Sum of Use of Award	\$0.00
				DF-FA Ttl \$ Activities Rpt This Period	\$0.00
				DF-FA Total Award Amount	\$0.00
				DF-FA Cumulative Sum of Use of Award	\$0.00
					<b>20</b> 00
				HFFI-FA Ttl \$ Activities Rpt This Period	\$0.00
				HFFI-FA Total Award Amount	\$0.00
				HFFI-FA Cumulative Sum of Use of Award	\$0.00
				Performance Period Start Date	9/24/2020
				Performance Period End	9/30/2021
Created By	AAT Test Org 2 AR, 9/1/2	2021 2:29 PM		Last Modified By	AAT Test Org 2 AR, 9/1/2021 2:37 PM

Figure 70. Use of Award Detail Page

To Submit the Use of Award Report:

1. From the **Use of Award Detail** page, select the **SubmitReport** button.

Use of Award UOA-02457	,		
« Back to List: Awards		Category of Activity [1]   Notes & Attachments [0]	
Use of Award Detail		Edit Clone Submit Report	
Award	AWD-00008586	Report Status	New
Use of Award Name	UOA-02457	Date Submitted	
Award Control Number	201FA054098	Recipient Name	AAT Test Org 2
Fiscal Year 🍘	2020		
Report Due Date		Ttl \$ Activities Reported This Period 🥹	\$500,000.00
No Activities During Performance Period 🥝		Total Award Amount	\$500,000.00
		Cumulative Sum of Use of Award	\$500,000.00
\$ earned > 500 in interest-bearing acct 🥝	)		

### Figure 71. Report Submission

2. When you receive a pop up message asking, "Do you want to Submit?" Select the **OK** button.