

COMMUNITY DEVELOPMENT
FINANCIAL INSTITUTIONS FUND

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CDFI Program Compliance Reporting Guidance

CDFI/NACA Compliance Reports

June 2016

Table of Contents

1	Introduction	4
2	Types of Reports	4
2.1	Institutional (Organization) vs. Award Specific Reports	4
2.2	Reporting Schedule (Reports Due).....	5
3	Complete the Financial Statement Audit Report.....	5
3.1	Complete Financial Statement Audit Report	6
3.2	Explain Audit Opinion and Corrective Action (if applicable).....	10
4	Complete the A-133/Single Audit Report (if applicable)	14
4.1	Upload A-133/Single Audit Directly to the CDFI Fund	14
4.2	Complete Noncompliance Section for A-133/Single Audit.....	14
5	Complete the Shareholders Report (if applicable)	18
6	Complete the Performance Goals and Measures Report.....	24
6.1	Complete the PG&M Explanation of Noncompliance (if applicable).....	28
7	Complete Uses of FA Funds Report (FA Only).....	30
8	Complete Uses of TA Funds Report (TA Only)	33
8.1	Complete the Shift of Funds (if applicable)	35
9	Complete the SF-425 Report (TA Only).....	38
10	Complete the Certification Status Report (if applicable).....	40

Table of Figures

Figure 1.	Reporting Schedule Home Page.....	5
Figure 2.	Reporting Schedule All List View.....	5
Figure 3.	Home Page	6
Figure 4.	Organizations Tab	6
Figure 5.	Organization Detail Page.....	7
Figure 6.	Financial Statement Audits Related List	7
Figure 7.	New Financial Statement Audit Edit Page	8
Figure 8.	Financial Statement Audit Detail Page.....	8
Figure 9.	Notes & Attachments Related List	9
Figure 10.	Attach File Edit Page	9
Figure 11.	Financial Statement Audit Detail Page.....	10
Figure 12.	Financial Statement Audit Detail Page.....	10
Figure 13.	Home Page	11
Figure 14.	Organizations Tab	11
Figure 15.	Organization Detail Page.....	12
Figure 16.	Financial Statement Audits Related List	12
Figure 17.	Financial Statement Audit Detail Page.....	13
Figure 18.	Recipient -Explain Audit Opinion and Corrective Actions.....	13
Figure 19.	Financial Statement Audit Detail Page.....	14
20.	A-133 Audit Reports Related List	15
Figure 21.	A-133 Audit Report Detail Page	15
Figure 22.	Material Weakness Edit Page	16
Figure 23.	Material Weakness Detail Page	17
Figure 24.	A-133 Audit Report Detail Page	17

Figure 25. Notes & Attachments Related List	17
Figure 26. Attach File Edit Page	18
Figure 27. A-133 Audit Report Detail Page	18
Figure 28. Organization Home Page	19
Figure 29. Shareholder Report Related List	19
Figure 30. Shareholder Report Edit Page	20
Figure 31. Shareholder Report Detail Page	20
Figure 32. Shareholders Edit Page	21
Figure 33. Shareholders Detail Page	21
Figure 34. Shareholder Report Detail Page	22
Figure 35. Notes & Attachments Related List	22
Figure 36. Attach File Edit Page	23
Figure 37. Shareholder Report Detail Page	23
Figure 38. Awards Home Page	24
Figure 39. Awards All List View	24
Figure 40. Award Detail Page	25
Figure 41. Performance Goals & Measures Report Related List	25
Figure 42. Performance Goal & Measure Report Edit Page	26
Figure 43. Performance Goal & Measure Report Detail Page	26
Figure 44. Explanation of NonCompliances Related List	27
Figure 46. Performance Goals & Measure Report Detail Page	27
Figure 47. Explanation of Noncompliances Related List	28
Figure 48. Performance Goals & measure Report Related List	28
Figure 49. Performance Goals & Measure Report Detail Page	28
Figure 50. Explanation of Noncompliances Related List	29
Figure 51. Explanation of Noncompliance Edit Page	29
Figure 52. Performance Goals & Measure Report Detail Page	30
Figure 53. Awards Home Page	30
Figure 54. Award Detail Page - Use of Funds Related List	31
Figure 55. Use of Funds Edit Page	31
Figure 56. Uses of Funds Detail Page	32
Figure 57. Categories of Use Related List	32
Figure 58. Category of Use Edit Page	32
Figure 59. Awards Related List	33
Figure 60. Award Detail Page	33
Figure 61. Use of Funds Related List	34
Figure 62. Categories of Use Related List	34
Figure 63. Categories of Use Edit Page	35
Figure 64. Use of Funds Detail Page	36
Figure 65. Shift Funds Related List	36
Figure 66. New Shift Funds Edit Page	37
Figure 67. Shift Funds Detail Page	37
Figure 68. Use of Funds Detail Page	38
Figure 69. Awards Home Page	38
Figure 70. Award Detail Page- SF425 Related List	39
Figure 71. SF-425 Detail Page	39
Figure 72. SF-425 Edit Page	39

Figure 73. SF-425 Detail Page	40
Figure 74. Attach File Edit Page	40
Figure 75. Awards Home Page	41
Figure 76. Award Detail Page - Certification Status Report Related List	41
Figure 77. Certification Status Report Edit Page.....	42

1 Introduction



AE101: Getting Started – Navigating AMIS (for CDFI Fund External Users) is a pre-requisite for this training manual.

An Award Recipient (Recipient) that has received a CDFI/NACA Technical Assistance (TA) and/or Financial Assistance (FA) from the CDFI Fund is required to submit reports as required by the Assistance Agreement.

The objective of this guidance document is to provide CDFI/NACA Award Recipients with instructions on how to complete and submit their compliance reports online within AMIS. Please refer to the *AE101: Getting Started – Navigating AMIS (for CDFI Fund External Users)* training manual on how to navigate in AMIS.

To make the best use of this guidance, Users should have a copy of the Assistance Agreement available for reference for each CDFI Program award.

2 Types of Reports

2.1 Institutional (Organization) vs. Award Specific Reports

Throughout the period of performance covered by the Recipient’s 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. Reporting requirements are listed in the Assistance Agreement.

Reports that may be required at the Institution/Organization level include:

- Financial Statement Audit Report
- A-133/Single Audit Report
- Shareholder Report

Additional required reports may include:

- Performance Goals and Measures Report
- Uses of FA or Uses of TA Report
- SF-425 Report
- Certification Status Report

2.2 Reporting Schedule (Reports Due)

The Reporting Schedule is a central location in AMIS that allows you to track and monitor reports that are due to the CDFI Fund across your Award(s). It allows you to track the reports due dates, and to monitor if the reports have been submitted.

1. Log into AMIS.
2. Click on the **Reporting Schedule** tab.

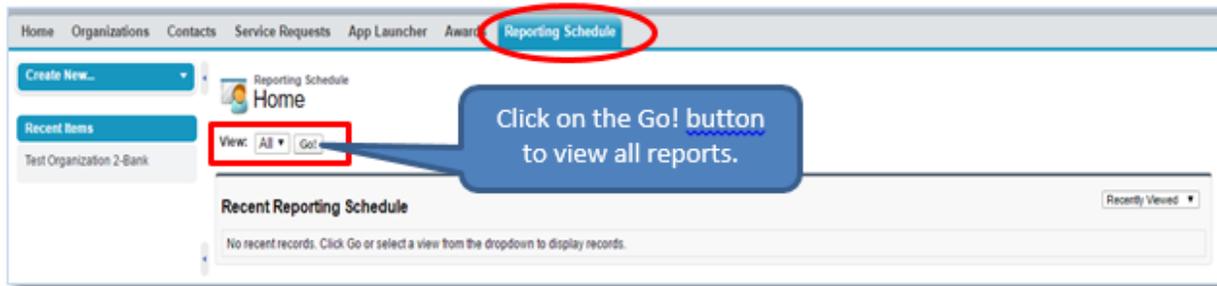


Figure 1. Reporting Schedule Home Page

3. To view all reports, choose ALL in the drop down menu. Click on GO. A list of due reports is displayed.

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 tab
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 All List View

3 Complete the Financial Statement Audit Report

The Financial Statement Audit Report is reviewed by the CDFI Fund to determine the Recipient’s financial and managerial soundness.

3.1 Complete Financial Statement Audit Report

A new Financial Statement Audit report can be created using the **Organizations** tab found on the Organization’s homepage. Locate the Organization record within the Organization tab to find the record for which a report needs to be created.

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

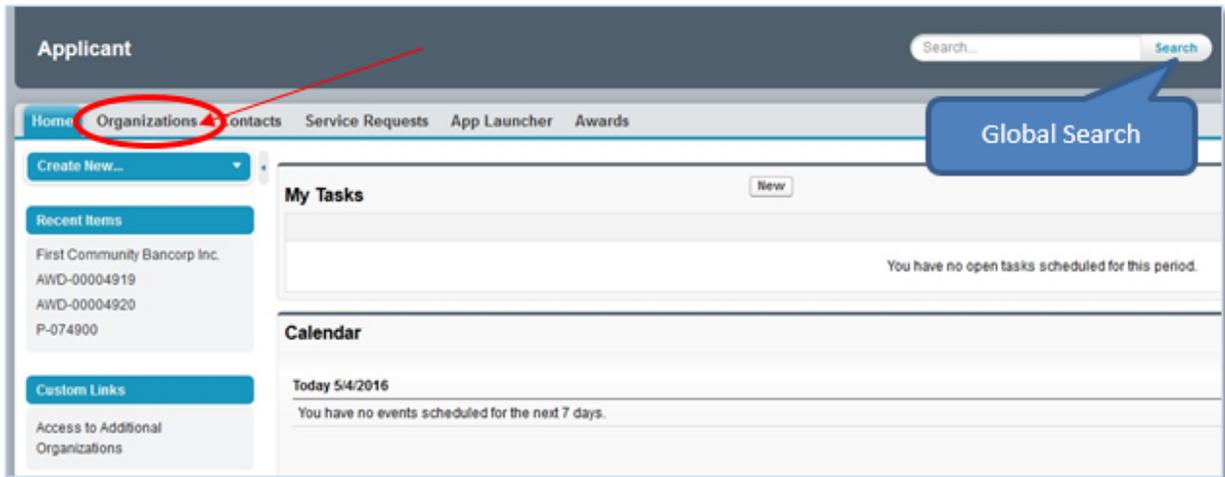


Figure 3. Home Page

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

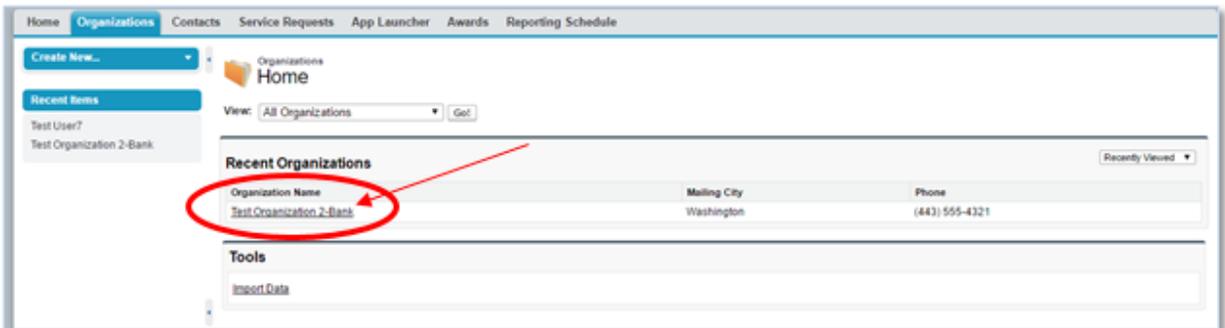


Figure 4. Organizations Tab

3. From the Organization Detail Page, click on the **Financial Statements Audits** related list link.

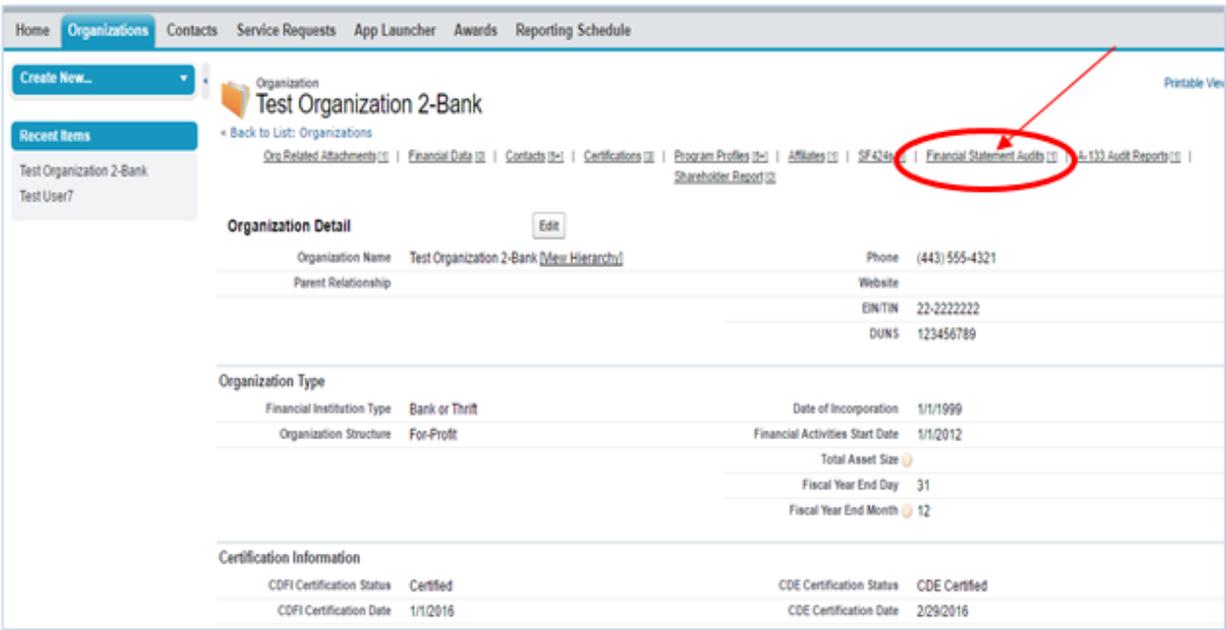


Figure 5. Organization Detail Page

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

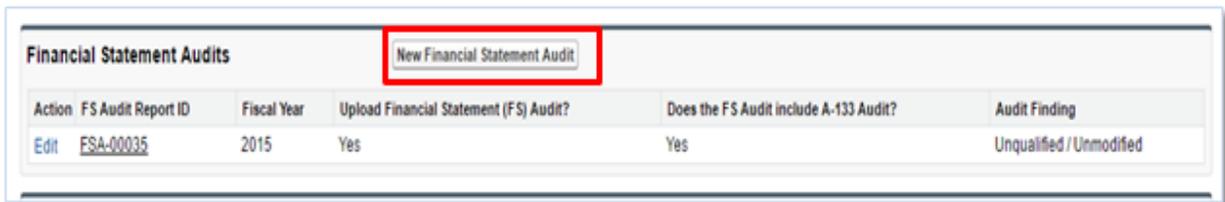


Figure 6. Financial Statement Audits Related List

5. Enter in all applicable information. Fields with red bars next to them are required fields. Once completed, select the **Save** button.

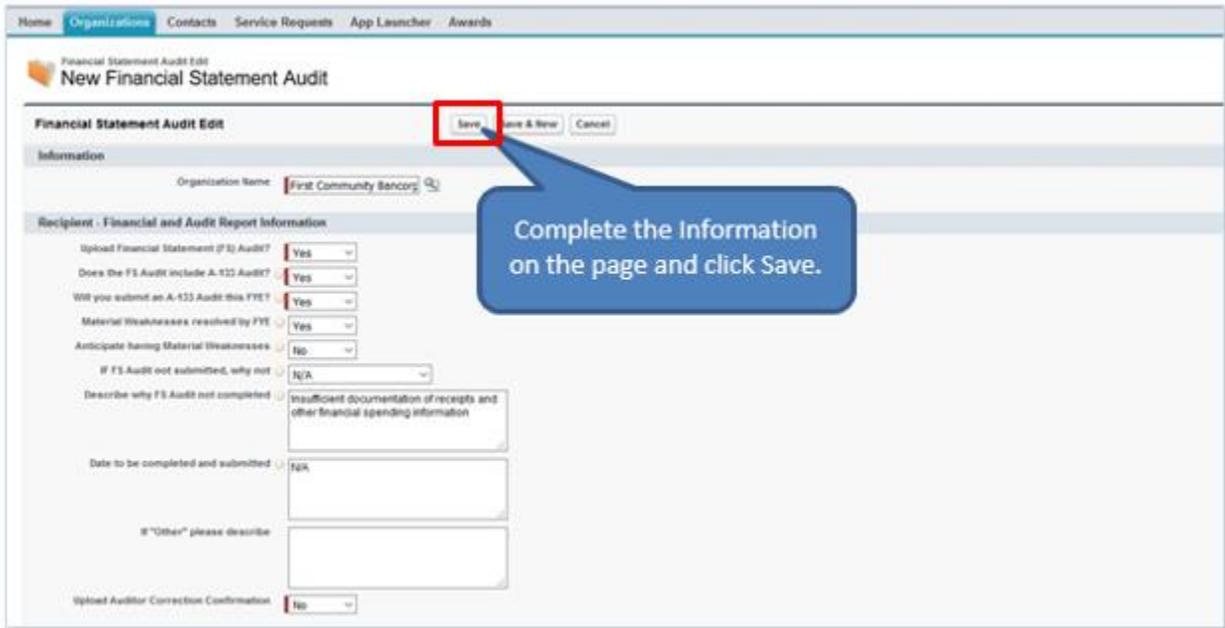


Figure 7. New Financial Statement Audit Edit Page

6. You will be forwarded to the Financial Statement Audit detail page with a message stating the Financial Statement Audit has been saved.
7. Click the **Notes & Attachments** related list link to attach Financial Statement Audit documents.
 - a. If you answered yes to the Upload Financial Statement FS audit questions, then a Financial Audit attachment is required in order to submit the report.

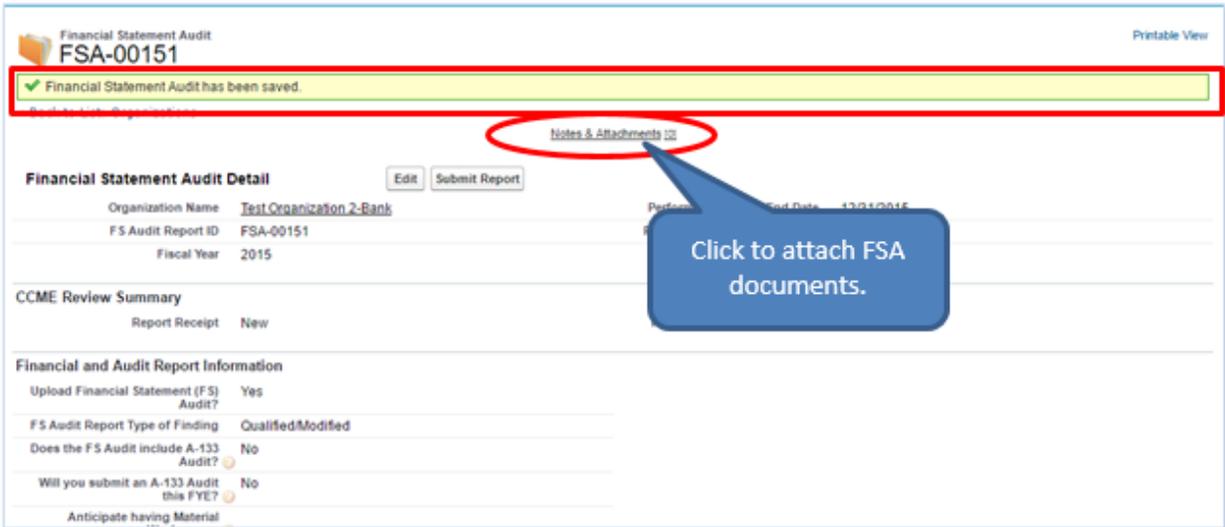


Figure 8. Financial Statement Audit Detail Page

- b. Click the **Attach File** button under the “Notes & Attachments” related list.

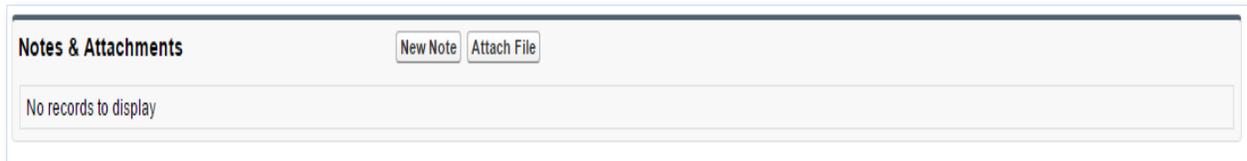


Figure 9. Notes & Attachments Related List

- c. You will be forwarded to a screen where you can attach a file.

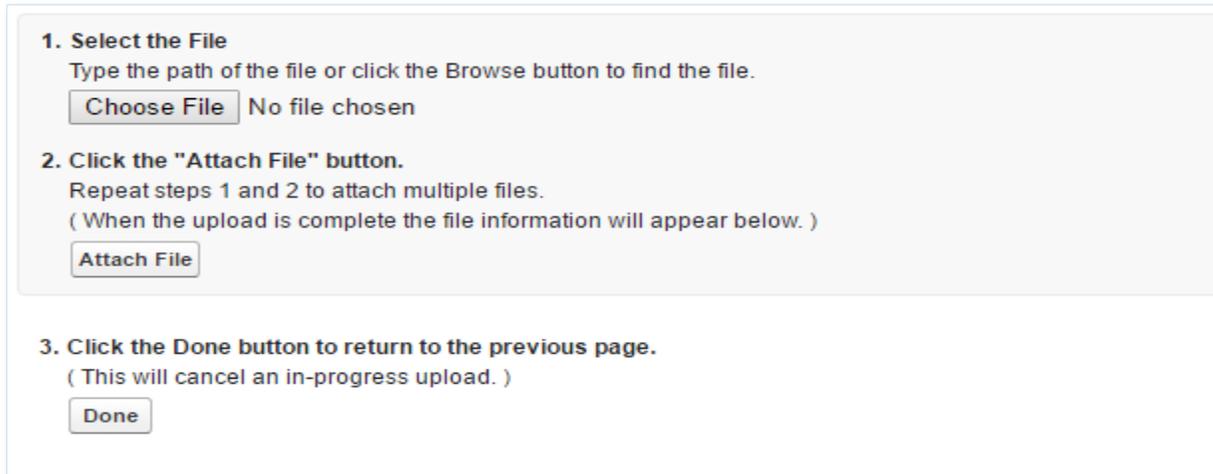


Figure 10. Attach File Edit Page

- d. Click the **Choose File** button and browse to select a file.
 - e. Click the **Attach File** button.
 - f. Click the **Done** button.
 - g. The attached file should be displayed under Notes & Attachments related list. If you have a separate A-133/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-7g to attach another file such as your a-133/Single Audit Report.
8. You will receive a message stating the Attachment(s) added. Select the **Submit Report** button to submit your report to the CDFI Fund.

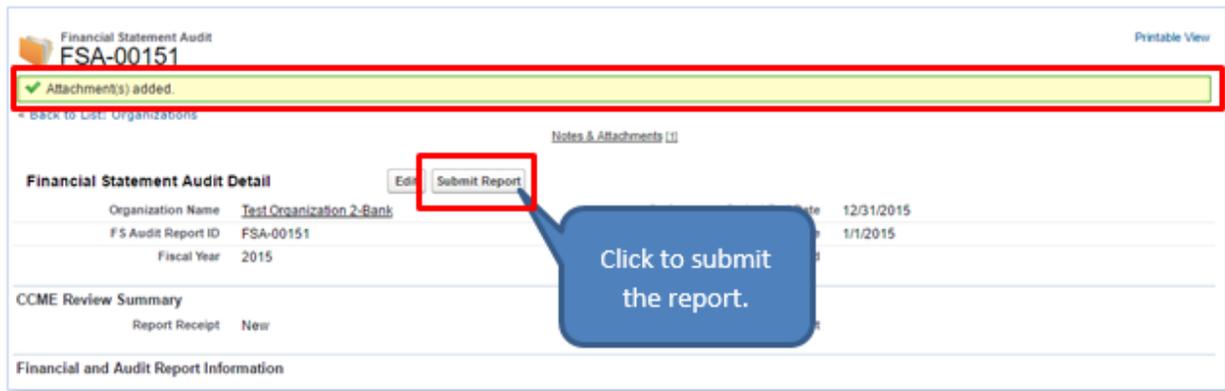


Figure 11. Financial Statement Audit Detail Page

9. A Confirm to Submit pop-up box will appear, select the **OK** button to submit the Report.

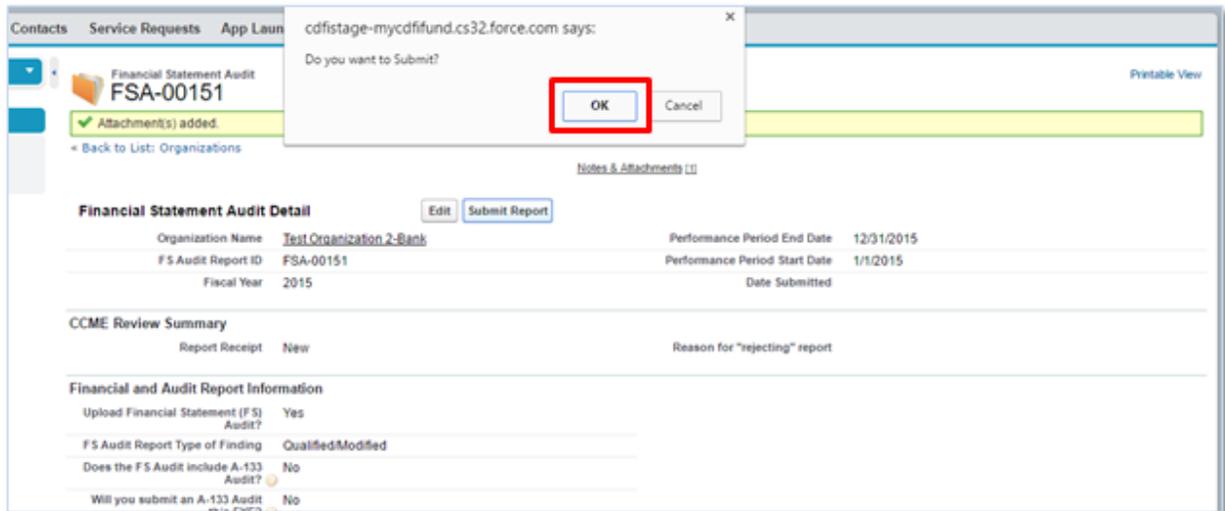


Figure 12. Financial Statement Audit Detail Page

 **Note:** Use the help icon  next to each field to see additional instructions on how to complete a field.

3.2 Explain Audit Opinion and Corrective Action (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 non-compliant, the Recipient will need to explain the non-compliance and to provide the corrective actions. The Authorized Representative of the Award will receive an email from the CDFI Fund once their report is released for explanation.

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

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

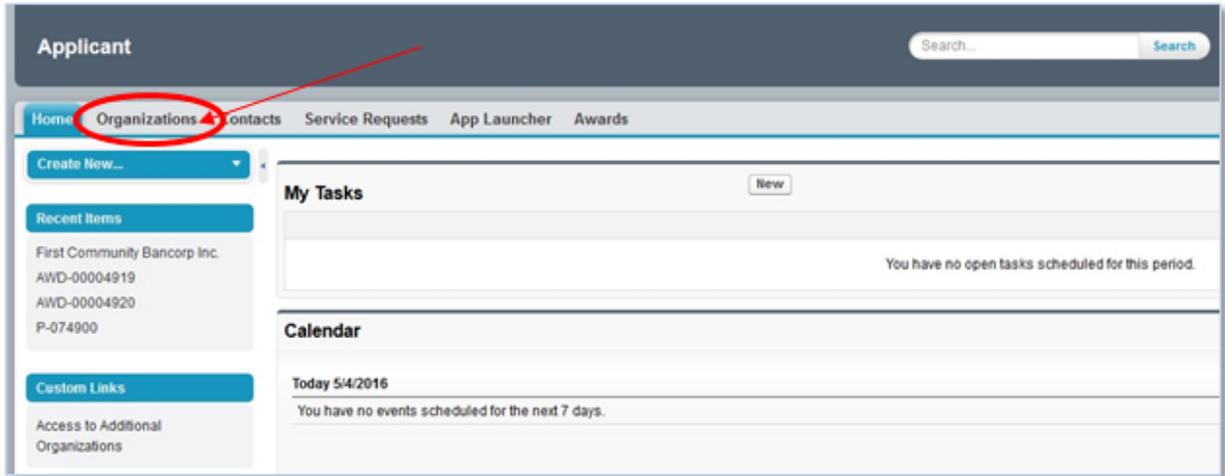


Figure 13. Home Page

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

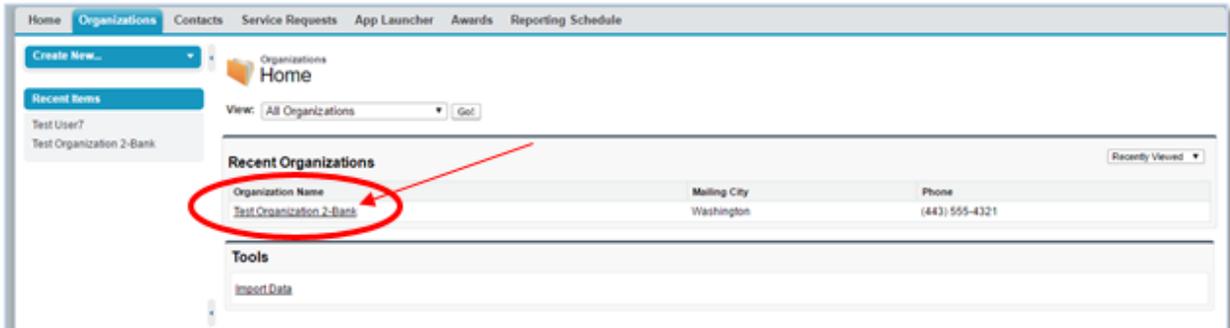


Figure 14. Organizations Tab

3. From the Organization Detail Page, click on the **Financial Statements Audits** related list link.

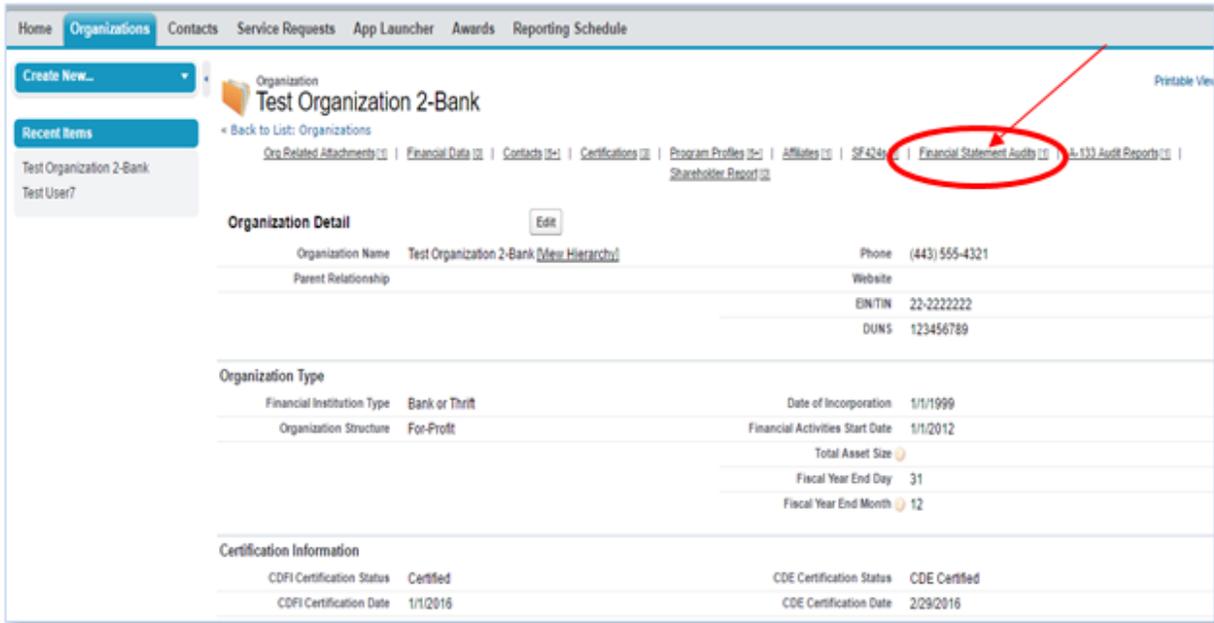


Figure 15. Organization Detail Page

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

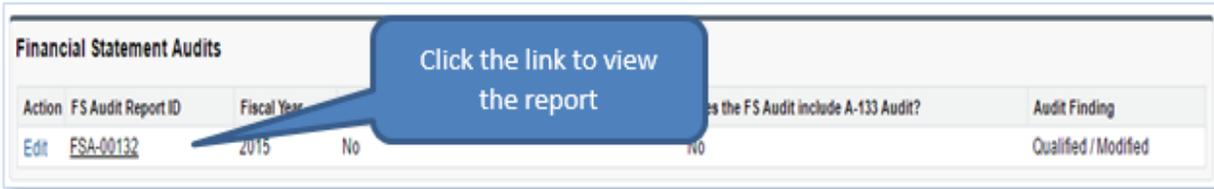


Figure 16. Financial Statement Audits Related List

5. You will be forwarded to the Financial Statement Audit 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

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 Information

Upload Financial Statement (FS Audit)?	Yes
FS Audit Report Type of Finding	Qualified/Modified
Does the FS Audit include A-133 Audit?	No

Figure 17. Financial Statement Audit Detail Page

6. Complete the required information in the section and select the **Save** button.

Recipient - Explain Audit Opinion and Corrective Actions

What caused audit opinion	Insufficient documentation of receipts and other financial spending information
Actions to address audit opinion	<ol style="list-style-type: none"> 1. Locate required documentation per audit findings 2. Resubmit updated documentation 3. Re-evaluate internal documentation process
Current status of corrective actions	<ol style="list-style-type: none"> 1. Locate required documentation per audit findings - IN PROCESS 2. Resubmit updated documentation - ON HOLD 3. Re-evaluate internal documentation process - IN PROCESS
Audit opinion corrected by FYE	Yes <input type="button" value="v"/>
If not corrected, explain why	

Figure 18. Recipient -Explain Audit Opinion and Corrective Actions

10. 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.

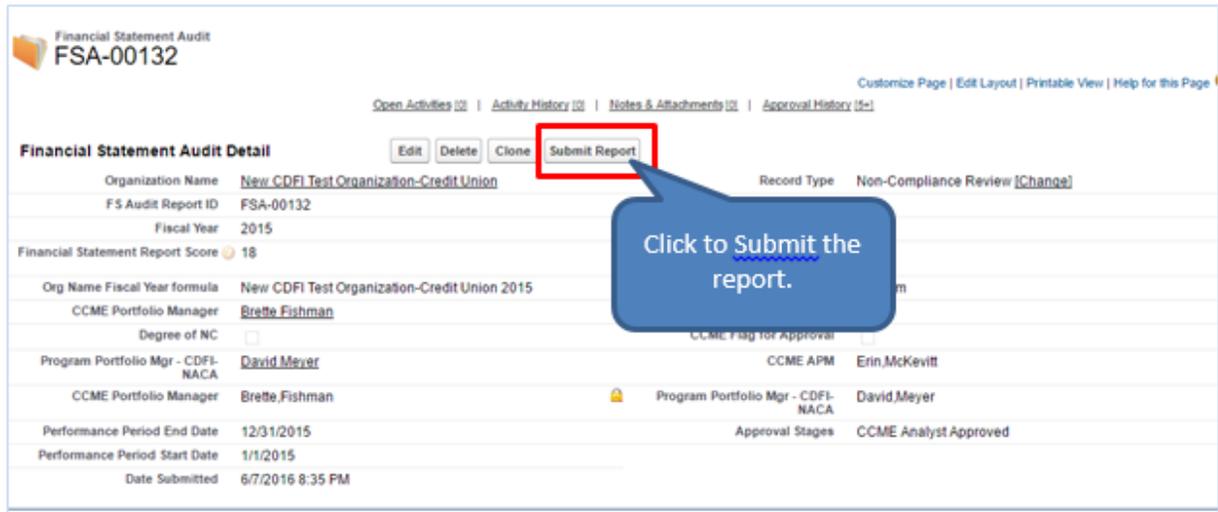


Figure 19. Financial Statement Audit Detail Page

4 Complete the A-133/Single Audit Report (if applicable)

A Nonprofit Recipient must complete an annual Single Audit pursuant to the Uniform Requirements (2 C.F.R. 200.500) if it expends \$750,000 or more in Federal awards in its fiscal year, or such other dollar threshold established by OMB pursuant to 2 C.F.R. 200.500. If an A-133/Single Audit is required, it must be submitted electronically to the Federal Audit Clearinghouse (FAC). The Recipient must determine if it expended \$750,000 or more in Federal awards in the year covered by the report.

4.1 Upload A-133/Single Audit Directly to the CDFI Fund

A Nonprofit Recipient has the ability to upload the A-133/Single Audit Report when uploading the Financial Statement Audit. Please see the Financial Statement Audit Section 3.1, 7.a-7.g, above for instructions on how to upload this report.

4.2 Complete Noncompliance Section for A-133/Single Audit

After the A-133/Single Audit Report has been reviewed by the CDFI Fund, a compliance determination will be made. If the A-133 Audit Report is found to be non-compliant, the Recipient will need to explain the non-compliance and to provide the corrective actions. The Authorized Representative of the Award will receive an email from the CDFI Fund once their report is released for explanation.

1. To update the A-133 Audit Report, from the Organization Detail page, click the **A-133 Audit Reports** related list link.
2. Select the **A-133 Audit Report Record ID** link.



20. A-133 Audit Reports Related List

3. Click the **Edit** link. You will be forwarded to the A-133 Audit Report Detail page.

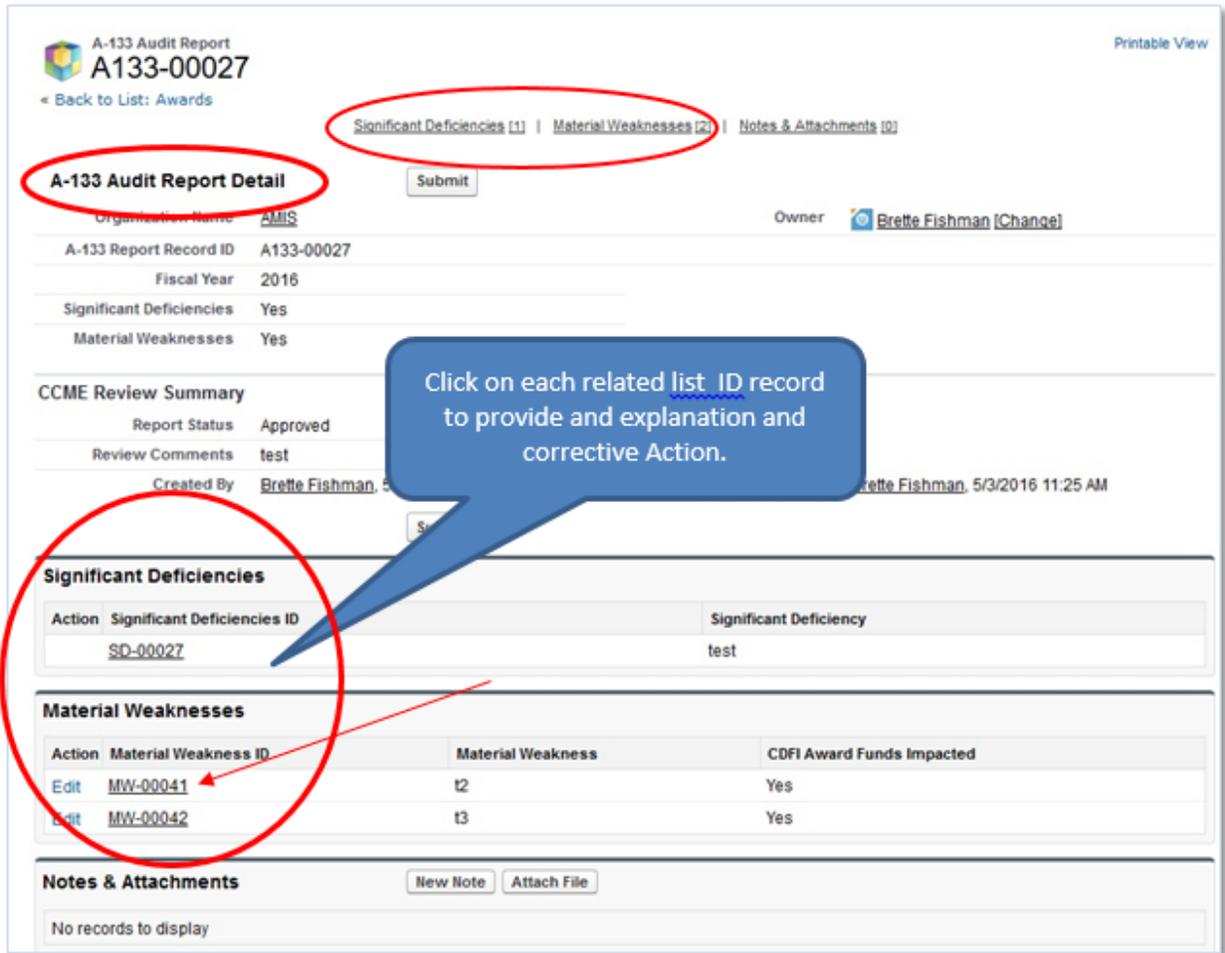


Figure 21. A-133 Audit Report Detail Page



Note: You will be required to complete the Material Weakness Explanation and Corrective Action section for each of the material weaknesses cited in the A-133 Audit Report.

4. To complete a Material Weakness Explanation and Corrective Action, click the **Edit** link next to the Material Weakness ID. You will be forwarded to the Material Weakness Edit page.

Material Weakness Edit [Save] [Cancel]

Information | = Required Information

A-133 Audit Report: A133-00027
Material Weakness ID: MW-00041

Material Weakness

Material Weakness: I2
CDFI Award Funds Impacted: Yes
How CDFI Award Funds Impacted: r
Describe trends in Materials Weaknesses: r

Please answer the following questions for the material weakness

What caused Material Weakness: -Improper allocation of funds to Training budget
-Delays with IT vendor to provide adequate training resources for initiative.

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 corrected by FYE: Yes

Why Material Weakness not corrected: N/A

[Save] [Cancel]

Complete the information on the Page and select the Save button.

Figure 22. 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. If no, explain why Material Weakness will not be corrected by next fiscal year end.
6. Click the **Save** button once you are done.
7. Repeat steps #4-6 to explain all the material weaknesses in the report.
8. Once the record is saved, click the **A-133 Audit Report** link to return back to the detail page.

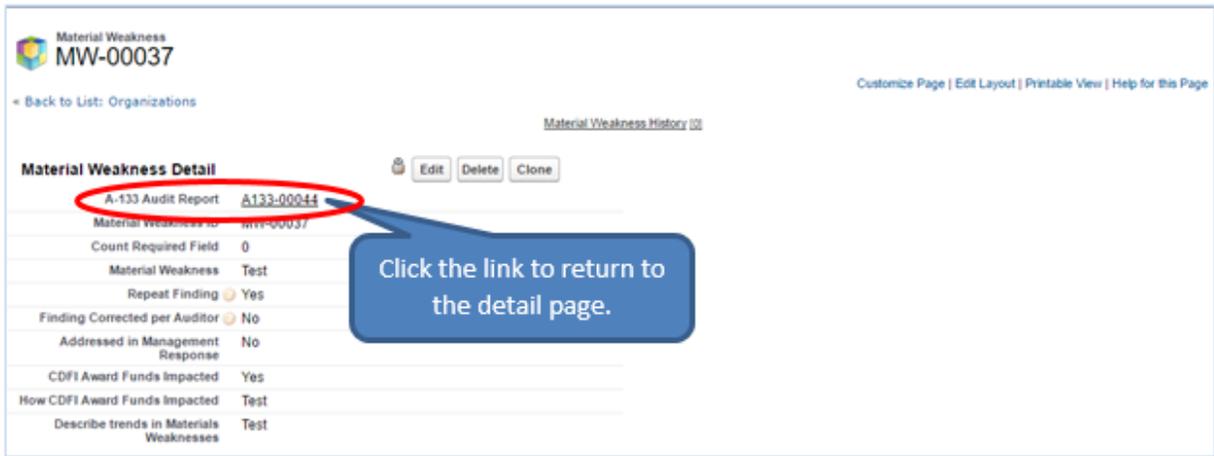


Figure 23. Material Weakness Detail Page

9. You will be forwarded to the A-133 Audit Report Detail page
10. To attach a document, locate the **Notes and Attachments** related list.

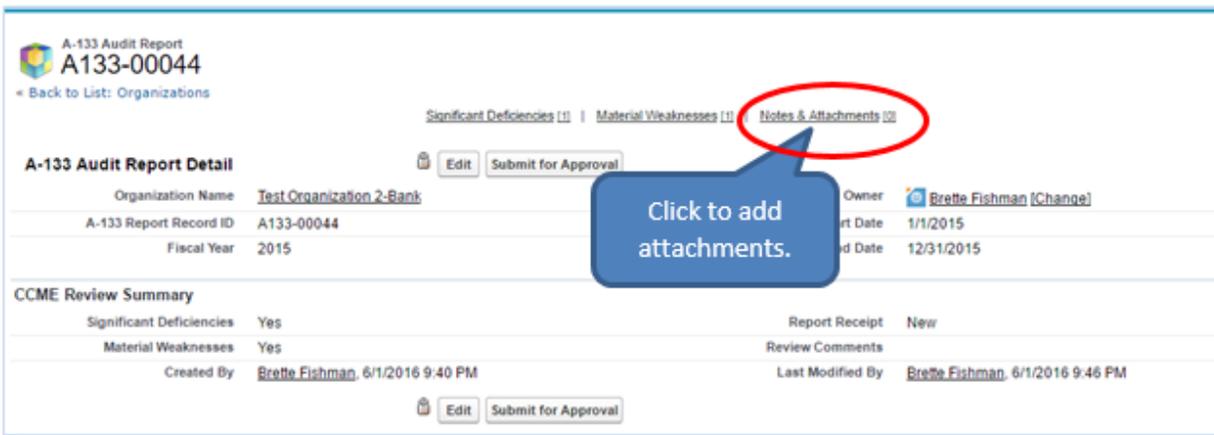


Figure 24. A-133 Audit Report Detail Page

11. Click the “**Attach File**” button.

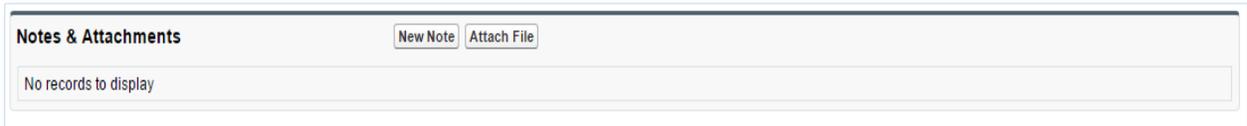


Figure 25. Notes & Attachments Related List

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

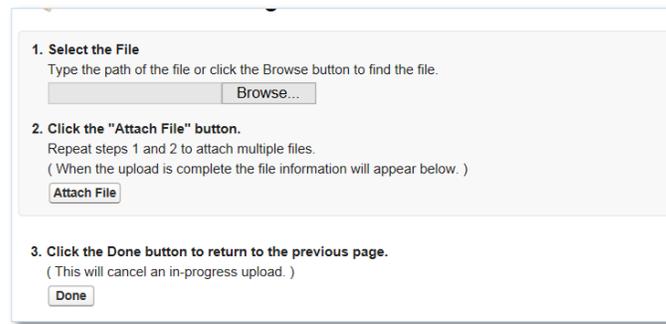


Figure 26. Attach File Edit Page

13. The attached file should be displayed under Notes & Attachments related list.
14. Once you are satisfied with the responses you have provided, click the **Submit for Approval** button, on the A-133 Audit Report Detail page, to submit your report to the CDFI Fund.
15. A **Confirm to Submit** pop-up box will appear, click Ok.

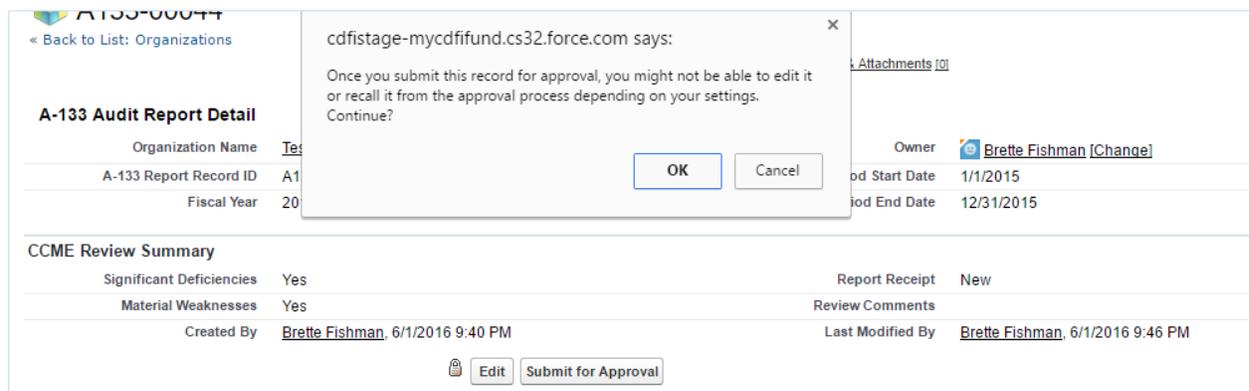


Figure 27. A-133 Audit Report Detail Page

5 Complete the Shareholders Report (if applicable)

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

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

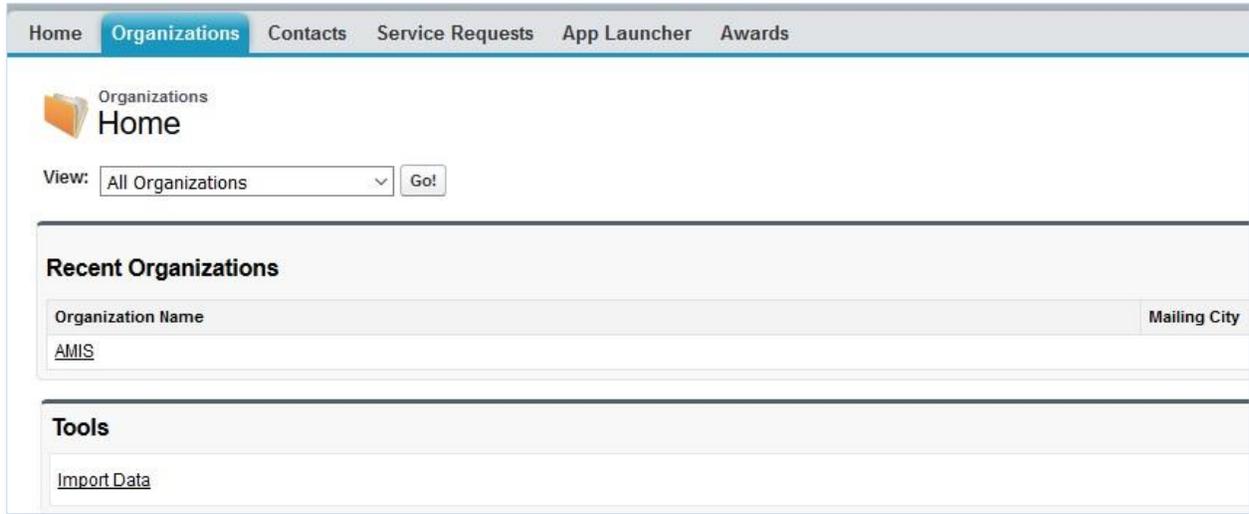


Figure 28. Organization Home Page

2. From the Organization Detail Page, click the **Shareholder Report** link to navigate to the Shareholder Report related list.
3. Select the **New Shareholder Report** button.

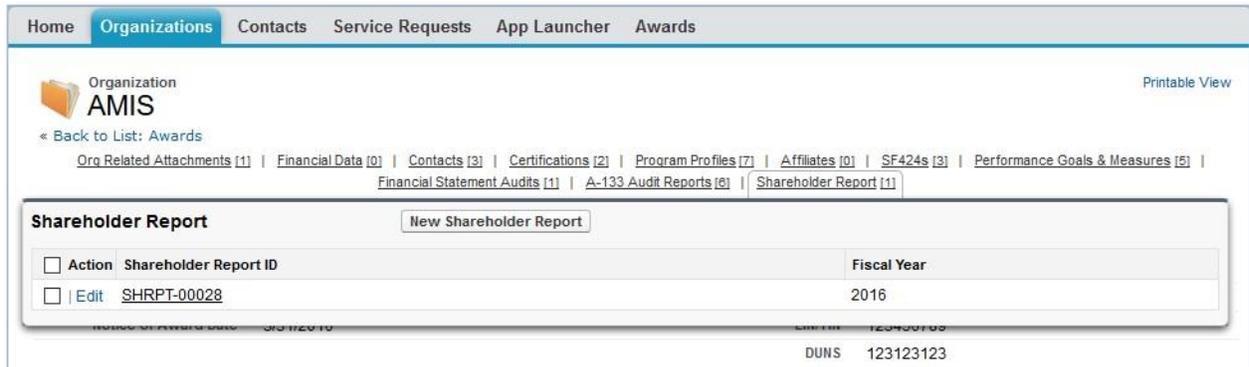


Figure 29. Shareholder Report Related List

4. Select the **Save** button to be forwarded to the Shareholder Report Detail page.

Shareholder Report Edit
New Shareholder Report

Shareholder Report Edit [Save] [Save & New] [Cancel]

Information
Organization Name: Test Organization 2-Bank
Performance Period End Date
Date Submitted

CCME Report Review Summary
Report Receipt: New
Review Comments

[Save] [Save & New] [Cancel]

Figure 30. Shareholder Report Edit Page

- From the Shareholder Report Detail Page, select the **New Shareholders** button to add a shareholder.

Shareholder Report
SHRPT-00028
Printable View
Back to List: Awards

Shareholders [0] | Notes & Attachments [0]

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 12:17 PM
Last Modified By: Varma D, 5/10/2016 12:17 PM

[Edit] [Clone] [Submit]

Shareholders [New Shareholders]
No records to display

Notes & Attachments [New Note] [Attach File]
No records to display

Figure 31. Shareholder Report Detail Page

- You will be forwarded to the Shareholders Edit page.
- Complete all the required information on the page:
 - Shareholder Number
 - Shareholder Name
 - Outstanding Share and Valuation of Shares.

Home Organizations Contacts Service Requests App Launcher Awards

Shareholders Edit
New Shareholders

Shareholders Edit Save Save & New Cancel

Information

Shareholder Report SHRPT-00028

Shareholder Number 889374

Shareholder Name John Franklin

Outstanding Shares 1000

Valuation of Shares 450,000

Save Save & New Cancel

Figure 32. Shareholders Edit Page

8. Once you are done, click on the **Save** button to be forwarded to the Shareholders Detail page.
 - a. 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.
9. Repeat steps #6-8 to add multiple Shareholders.
10. Click on the Shareholder Report link to return to the Shareholder Report Detail page.

Shareholders SHAR-00014 Printable View

Shareholders has been saved.

Back to List: Organizations

Shareholders History (2)

Shareholders Detail Edit Delete Clone

Shareholder Report SHRPT-00019

Shareholder Record ID SHAR-00014

Shareholder Number 889374

Shareholder Name John Franklin

Outstanding Shares 1,000.00

Valuation of Shares \$450,000.00

Created By TestUserZ, 6/8/2016 7:15 PM Last Modified By TestUserZ, 6/8/2016 7:15 PM

Edit Delete Clone

Click the link to return to the report detail page.

Figure 33. Shareholders Detail Page

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

Shareholder Report
SHRPT-00019
◀ Back to List: Organizations

[Shareholders \[1\]](#) | [Notes & Attachments \[0\]](#)

Shareholder Report Detail

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

Report Receipt	New		
Review Comments			
Created By	Test User7 , 6/8/2016 7:13 PM	Last Modified By	Test User7

Shareholders

Action	Shareholder Record ID	Shareholder Name	Shareholder Number
Edit Del	SHAR-00014	John Franklin	889374

Notes & Attachments

Figure 34. Shareholder Report Detail Page

12. Click the **“Attach File”** button.

Notes & Attachments

No records to display

Figure 35. Notes & Attachments Related List

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

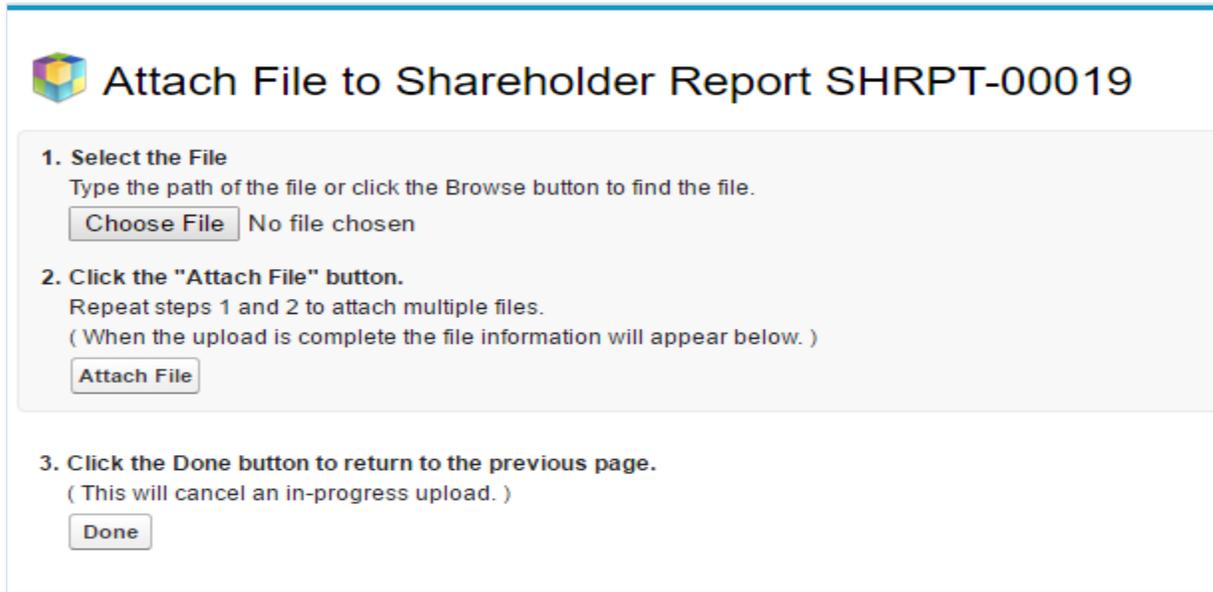


Figure 36. Attach File Edit Page

14. The attached file should be displayed under Notes & Attachments related list.
15. 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.
16. A **Confirm to Submit** pop-up box will appear, click Ok.

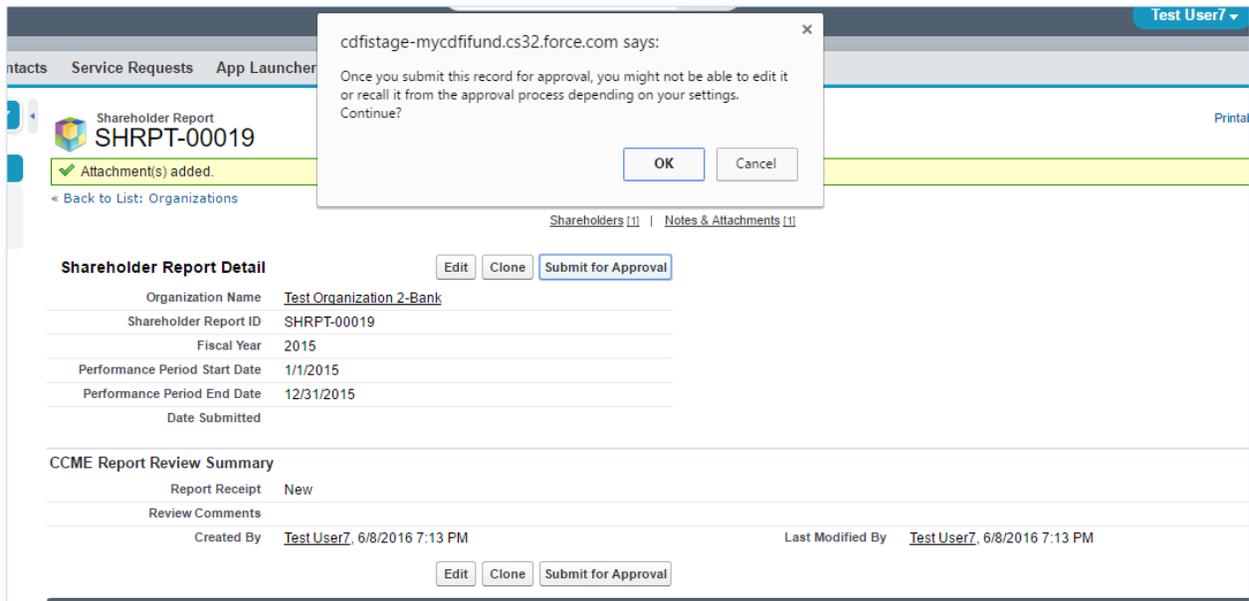


Figure 37. Shareholder Report Detail Page

6 Complete the Performance Goals and Measures Report

The Performance Goals and Measures (PG&Ms) Report allows you to report whether you are meeting your benchmarks specified in the Assistance Agreement.

1. To create a new Performance Goals and Measures Report, click on the **Awards** tab on the main page and select the **Go!** button.

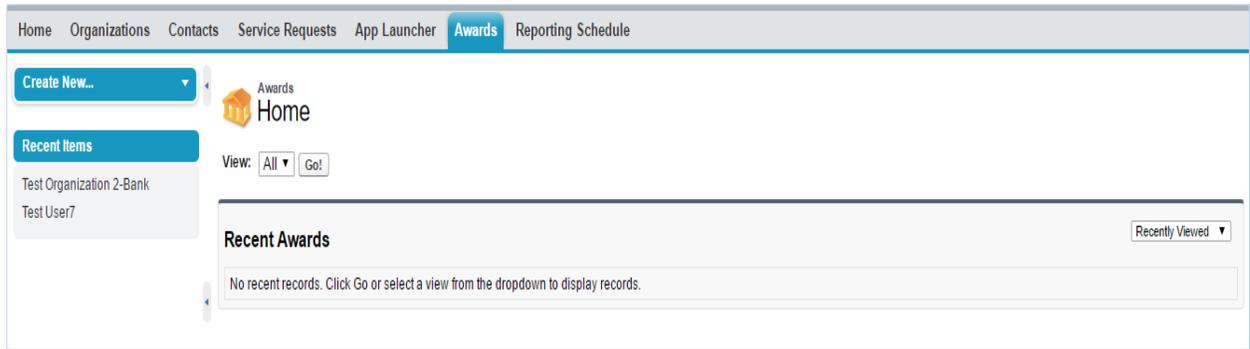


Figure 38. Awards Home Page

2. Locate the Award whose report you would like to complete and click on the **Award Name** link.

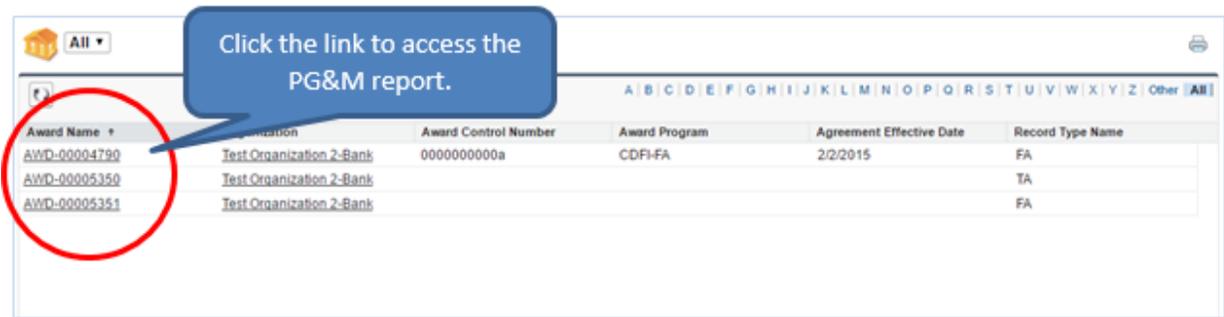


Figure 39. Awards All List View

3. You will be forwarded to the Award Detail page and click on the **Performance Goals & Measures Report** link to navigate to the Performance Goals and Measures related list.

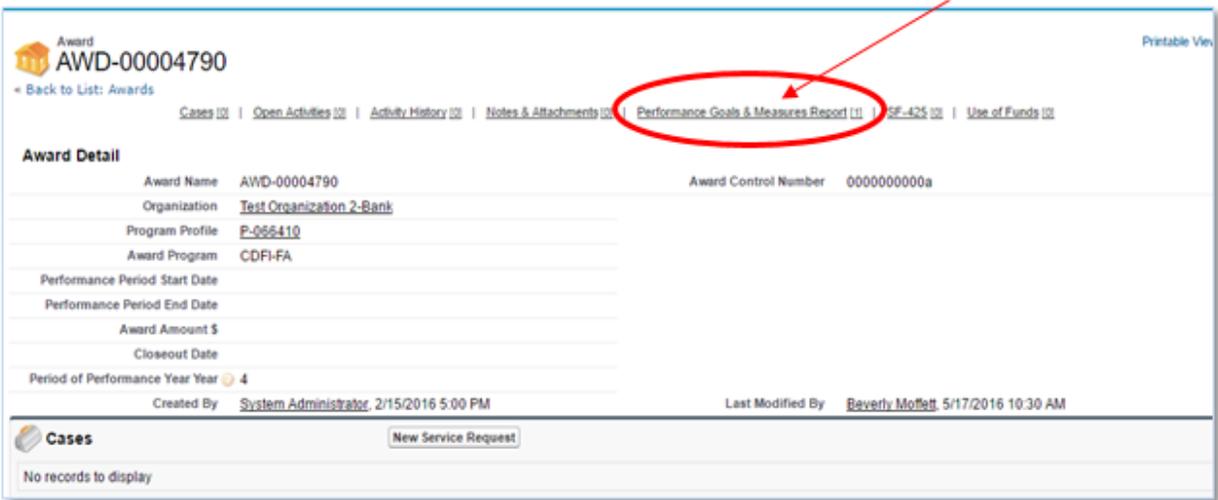


Figure 40. Award Detail Page

4. Click on the **New Performance Goal & Measure** button.

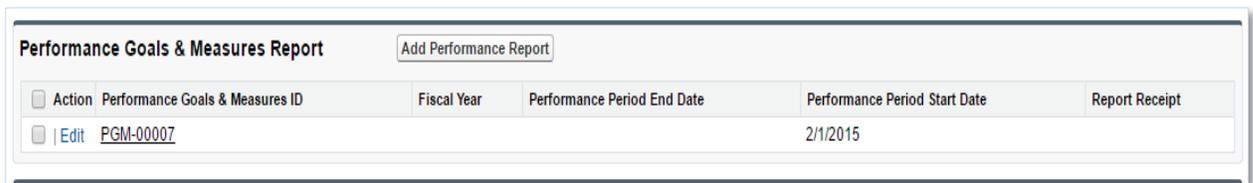


Figure 41. Performance Goals & Measures Report Related List

5. You will be forwarded to the Performance Goal and Measure Report Edit page.
6. Complete all the information displayed on the page and select the **Save** button once you are done.

Figure 42. Performance Goal & Measure Report Edit Page

7. You will be forwarded to the Performance Goals & Measures Report Detail page.
8. AMIS automatically creates an Explanation of Noncompliance related list showing the Performance Goals and Measures that you met or did not meet. See section 6.1 to complete the required Explanation of Noncompliance.

Figure 43. Performance Goal & Measure Report Detail Page

9. The Explanation of Non-Compliance related list section contains the Goal Compliance Status.

Action	Explanation of Noncompliance ID	Performance Goal & Measure	Goal Compliance Status
Edit Del	EXP-00535	1-2	FAIL 
Edit Del	EXP-00532	1-3	FAIL 
Edit Del	EXP-00533	2-1	PASS 
Edit Del	EXP-00534	2-3	PASS 

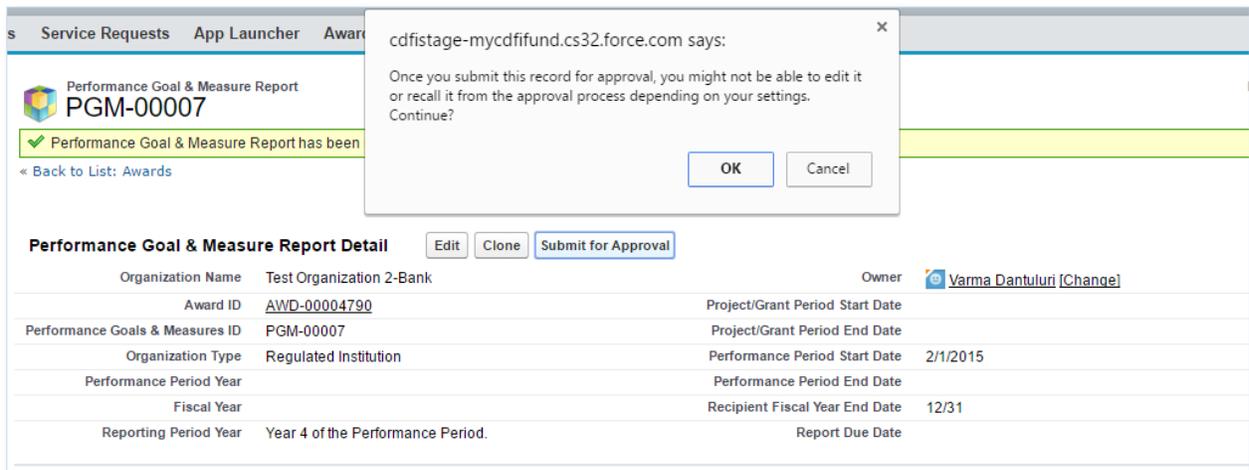
Figure 44. Explanation of NonCompliances Related List



Note: Based on the information you provided, AMIS automatically calculates the ratios for each of your Performance Goals and Measures and determines if you met or did not meet a benchmark. If you did not meet a benchmark:

- A red flag is displayed in the Explanation of Noncompliance section when a specific Performance Goal and Measure does not meet the required benchmark.
- You are required to complete the Explanation of Noncompliance for that Performance Goal and Measure before submitting the report. See section 6.1.

10. Once you are done completing the Performance Goals & Measure Report and any required Explanation of Noncompliance sections, click on the **Submit for Approval** button. A **Confirm to Submit** pop-up box will appear, click ok. Entities that do not meet all required Performance Goals and Measures should proceed to section 6.1 to complete the Explanation of Noncompliance.



The screenshot shows a web application interface for a Performance Goal & Measure Report. A confirmation dialog box is open, displaying the text: "cdffstage-myccdfifund.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?". The dialog has "OK" and "Cancel" buttons. Below the dialog, the report details are visible, including a "Submit for Approval" button.

Performance Goal & Measure Report Detail		Owner
Organization Name	Test Organization 2-Bank	 Varma Dantuluri [Change]
Award ID	AWD-00004790	Project/Grant Period Start Date
Performance Goals & Measures ID	PGM-00007	Project/Grant Period End Date
Organization Type	Regulated Institution	Performance Period Start Date
Performance Period Year		2/1/2015
Fiscal Year		Performance Period End Date
Reporting Period Year	Year 4 of the Performance Period.	Recipient Fiscal Year End Date
		12/31
		Report Due Date

Figure 45. Performance Goals & Measure Report Detail Page

6.1 Complete the PG&M Explanation of Noncompliance (if applicable)

This section should only be completed when the required Performance Goals and Measures are not met. AMIS will display a green flag or red flag next to each of your PG&M.

Explanation of Noncompliances			
Action	Explanation of Noncompliance ID	Performance Goal & Measure	Goal Compliance Status
Edit Del	EXP-00535	1-2	FAIL
Edit Del	EXP-00532	1-3	FAIL
Edit Del	EXP-00533	2-1	PASS
Edit Del	EXP-00534	2-3	PASS

Figure 46. Explanation of Noncompliances Related List

You must complete an Explanation of Noncompliance for each PG&M that you did not meet and are indicated with a red flag. You should not complete an Explanation of Noncompliance for a PG&M that you met. If a PG&M was met it is indicated with a green flag.

To provide an Explanation of Noncompliance as required for a red flag PG&M:

1. Locate the **Performance Goals & Measure Report ID** link with a Report Status of Noncompliant.

Performance Goals & Measures Report						
Action	Performance Goals & Measures ID	Fiscal Year	Performance Period Start Date	Performance Period End Date	Date Submitted	Report Status
Edit Del	PGM-00066		9/10/2015		6/8/2016 10:07 AM	Noncompliant

Figure 47. Performance Goals & measure Report Related List

2. From the Performance Goal & Measure Detail Page, click the **Explanation of Noncompliance** related list link.

Performance Goal & Measure Report			
PGM-00066		Record Type	
Back to List: Organizations		Explanation of Noncompliances Activity History Approval History Performance Goal & Measure Report History	
Performance Goal & Measure Report Detail			
Organization Name	Houston Metropolitan Federal Credit Union	Record Type	Banks FA [Change]
Award ID	AWD-00003109	Owner	Malcolm Rene [Change]
Performance Goals & Measures ID	PGM-00066	Project/Grant Period Start Date	9/10/2015
Organization Type	Regulated Institution	Project/Grant Period End Date	12/31/2017
Org Type		Performance Period Start Date	9/10/2015
Performance Period Year		Performance Period End Date	
Fiscal Year		Recipient Fiscal Year End Date	12/31
Reporting Period Year	Year 1 of the Performance Period.	Report Due Date	
PG&M Report Score	57.17		

Figure 48. Performance Goals & Measure Report Detail Page

3. Locate a PG&M that has a red flag. Click the **Edit** link next to the Explanation of Noncompliance ID. You will be forwarded to the Explanation of Noncompliance Edit page.

Explanation of Noncompliances		New Explanation of Noncompliance	
Action	Explanation of Noncompliance ID	Goal	Goal Compliance Status
Edit Del	EXP-00126	1-2	FAIL
Edit Del	EXP-00124	1-3	FAIL
Edit Del	EXP-00125	2-1	FAIL

Figure 49. Explanation of Noncompliances Related List

4. Complete all the information displayed on the page.

Explanation of Noncompliance Edit Save Save & New Cancel

Information

Performance Goal & Measure PGM-00066
Explanation of Noncompliance ID EXP-00126
Goal 1-2
Why did you fail to meet this PG&M test
What actions will you take to meet PG&M test
Current Metric for this PG&M 2.00
Will you meet this PG&M next FYE Yes
Why will you not meet PG&M by FYE test
Consecutive PG&M failure across awards Yes
Fail to meet Amended PG&M Yes
Number of times failed to meet this PG&M 2
Program Goals and Measures PGM-000170
Prior year Metric for this PG&M 2.00

Complete the information on the page and click Save.

Figure 50. Explanation of Noncompliance Edit Page

5. Once you are done, click the **Save** button. You will be returned to the Performance Goal and Measure Report Detail page.
6. Repeat steps #1-5 to provide an Explanation of Noncompliance for all the PG&Ms that you did not meet.
7. Once you have completed an Explanation of Noncompliance for PG&Ms that you did not meet, click on the **Submit for Approval** button. A Confirm to Submit pop-up box will appear, click ok.

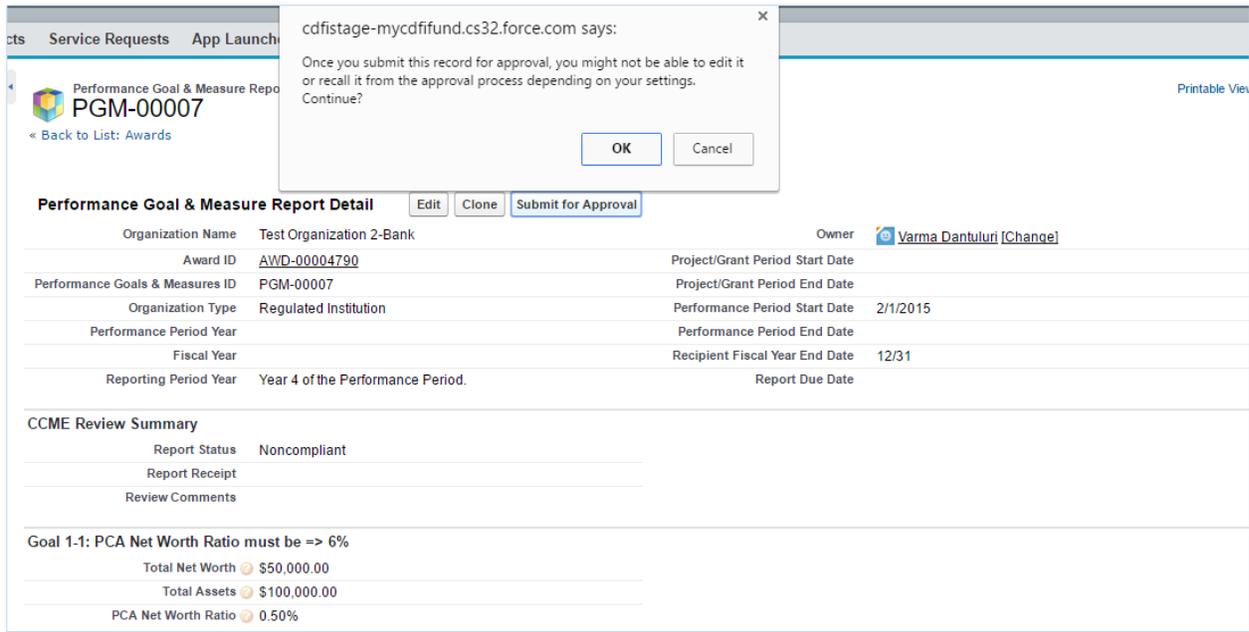


Figure 51. Performance Goals & Measure Report Detail Page

7 Complete Uses of FA Funds Report (FA Only)

This report is used by Recipients that receive Financial Assistance Awards to report how they utilized their money in the performance period.

1. To create a new Uses of FA report, click on the **Awards** tab on the main page. Your Organization’s awards will appear on this tab. Once the Award has been located, click on the Award Name.

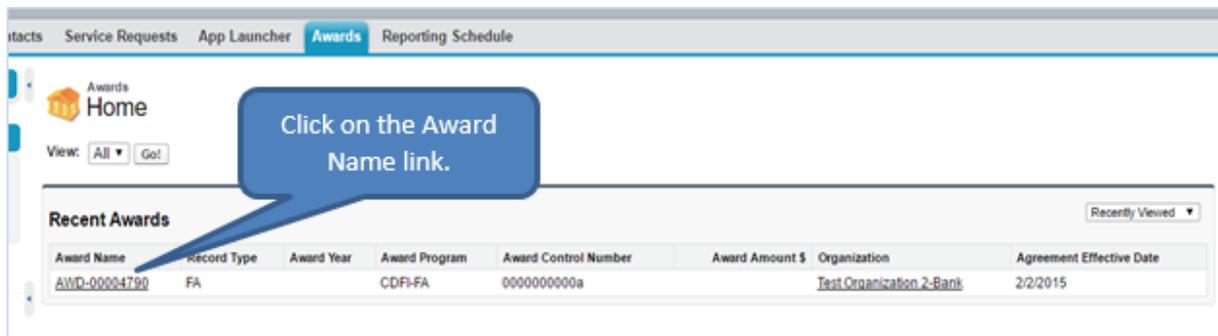


Figure 52. Awards Home Page

2. From the Award Detail Page, click the **Use of Funds** related list link and click on the **New Uses of FA** button.

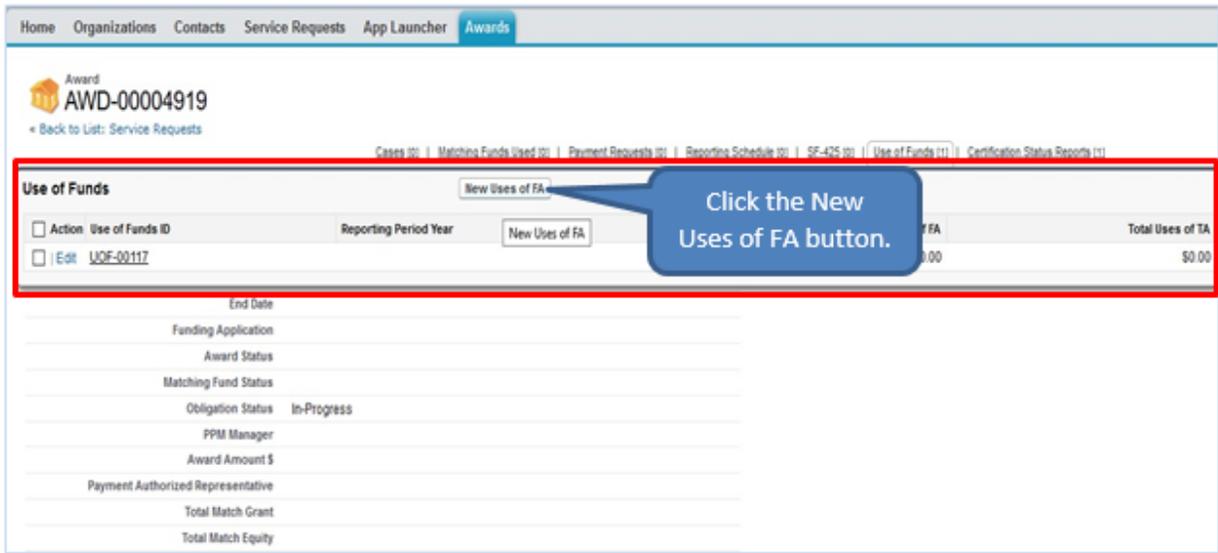


Figure 53. Award Detail Page - Use of Funds Related List

3. You will be forwarded to the Use of Funds Edit page.
4. Complete the information displayed on the page that pertains to interest earned.

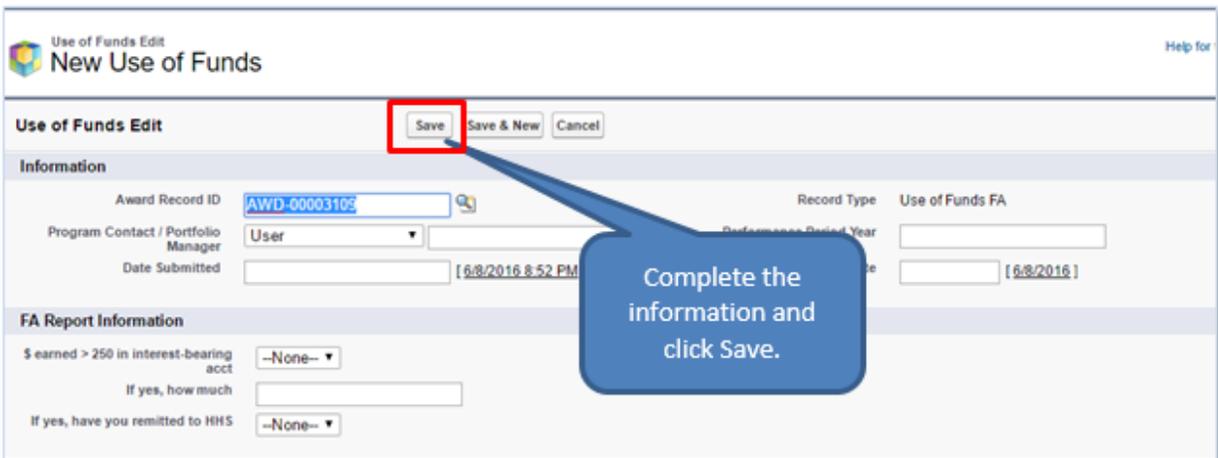


Figure 54. Use of Funds Edit Page

5. Once you are done, click the **Save** button to be forwarded to the Use of Funds Detail page. AMIS will display Categories of Use in a related list for you to record how funds were used.

Use of Funds
UOF-00107
[Back to List: Awards](#)

[Categories of Use \[5+\]](#)

Use of Funds Detail Edit

Award Record ID	AWD-00005362	Record Type	Use of Funds FA [Change]
Use of Funds ID	UOF-00107	Fiscal Year	2016
Organization Name	New CDFI Test Organization-Credit Union	Reporting Period Year	Year 4 of the Performance Period.
Award Control Number		Performance Period Start Date	6/5/2015
Recipient Fiscal Year End Date	12/31	Performance Period End Date	6/3/2016
Date Submitted		Project/Grant Period Start Date	6/1/2015
Program Contact / Portfolio Manager	Brette Fishman	Project/Grant Period End Date	6/17/2016

FA Report Information

\$ earned > 250 in interest-bearing acct	Yes	Cumulative \$ Expended by Report Period	\$0.00
\$ earned > 250 in interest-bearing Flag		Total \$ Expended This Performance Period	\$0.00
If yes, how much	\$250.00		

Figure 55. Uses of Funds Detail Page

6. Click the **Edit** button next to the corresponding category you need to update.

Action	Category of Use ID	FA Categories	Category Amount	\$ earned > 250 in interest-bearing acct	\$ Expended During Reporting Period
Edit Del	COU-00111	Financial Products	\$0.00		
Edit Del	COU-00112	Capital Reserves	\$0.00		
Edit Del	COU-00113	Loan Loss Reserves	\$0.00		
Edit Del	COU-00114	Financial Services	\$0.00		
Edit Del	COU-00115	Administrative Funds	\$0.00		
Edit Del	COU-00116	Development Services	\$0.00		

Figure 56. Categories of Use Related List

7. You will be forwarded to the Category of Use Edit Page. Complete the information on the page and select the **Save** button.

Category of Use Edit
COU-00655

Category of Use Edit Save Save & New Cancel

Use of Funds	UOF-00096	Record Type	Category of Use FA
Category of Use ID	COU-00655		
FA Categories	Loan Loss Reserves		
\$ Expended During Reporting Period	<input type="text"/>		

Save Save & New Cancel

Complete the information and click Save.

Figure 57. Category of Use Edit Page



Note: The **Categories of Use** section on the Use of Funds Detail page will automatically pull in data from your Assistance Agreement.

8. Repeat steps #6-7 to update another category.
9. Once you are done completing the report, click the **Submit for Approval** button. A **Confirm to Submit** pop-up box will appear, click ok.

8 Complete Uses of TA Funds Report (TA Only)

This report is used by Recipients that receive Technical Assistance Awards to report how they utilized their money in the performance period.

1. To create a new Use of TA report, click on the **Awards** tab on the main page. Current Awards allocated to your Organization will appear in specific views on this tab. Once the Award has been located, click on the Award Name.

Action	Award Name	Award Control Number	Record Type	Announcement Date	Maturity Date	Award Compliance Status	Award Amount \$	FA Total Award Amount	TA Total Award Amount
Edit Del	AWD-00003109	151FA013475	FA	9/10/2015		Compliant	\$1,456,250.00	\$1,456,250.00	\$0.00
Edit Del	AWD-00005346		FA					\$0.00	\$0.00
Edit Del	AWD-00005347		TA	5/1/2015			\$200,000.00	\$0.00	\$200,000.00

Figure 58. Awards Related List

2. From the Award Detail page, click the **Use of Funds** related list link.

Award AWD-00004790

← Back to List: Awards

[Cases](#) |
 [Open Activities](#) |
 [Activity History](#) |
 [Notes & Attachments](#) |
 [Performance Goals & Measures Report](#) |
 [SF-42](#) |
 Use of Funds

Award Detail

Award Name	AWD-00004790	Award Control Number	0000000000a
Organization	Test Organization 2-Bank		
Program Profile	P-066410		
Award Program	CDFI-FA		
Performance Period Start Date			
Performance Period End Date			
Award Amount \$			
Closeout Date			
Period of Performance Year	4		
Created By	System Administrator 2/15/2016 5:00 PM		Last Modified By Reverly Moffet 5/17/2016 10:30 AM

Figure 59. Award Detail Page

3. Select the **New Use of TA** button.



Figure 60. Use of Funds Related List

4. You will be forwarded to the Use of Funds Edit page.
5. Complete all the required information displayed on the Use of Funds Edit page and then click the **Save** button to be forwarded to the Use of Funds Detail page.
6. AMIS will display Categories of Use in a related list for you to record how funds were used.

Categories of Use							Categories of Use Help ?
Action	Category of Use ID	Amount of Authorized Use	\$ Expended During Reporting Period	Shifted funds OUT of category	Shifted funds INTO category	Activity/Use Complete	
Edit Del	COU-00803	\$0.00					
Edit Del	COU-00804	\$0.00					
Edit Del	COU-00805	\$0.00					
Edit Del	COU-00806	\$40,000.00					
Edit Del	COU-00807	\$0.00					
Edit Del	COU-00808	\$0.00					
Edit Del	COU-00809	\$30,000.00					
Edit Del	COU-00810	\$0.00					

Figure 61. Categories of Use Related List



Note: The **Categories of Use** section on the Use of Funds Detail page will automatically pull in data from your Assistance Agreement.

7. Click the **Edit** button next to the corresponding category you need to update.
8. Complete all the required information on the page.
 - a. In the event you are shifting funds, either in or out, of the specified category, you will also need to complete a Shift of Funds record outlined in the following section.

Category of Use Edit
COU-00376

Category of Use Edit [Save] [Save & New] [Cancel]

Use of Funds UOF-00052 Record Type Category of Use TA
Category of Use ID COU-00376

Technical Assistance Category Personnel (Fringe Benefits) ▼
Description of Authorized Use
\$ Expended During Reporting Period
Activity/Use Complete --None-- ▼
Why not complete --None-- ▼

Shift Funds Summary
Shifted funds OUT of category --None-- ▼ Total Funds Shifted IN
Shifted funds INTO category --None-- ▼ Total Funds Shifted Out

[Save] [Save & New] [Cancel]

Figure 62. Categories of Use Edit Page

9. Once you are done, click on the **Save** button.
10. Repeat steps #6-9 to update another category.

8.1 Complete the Shift of Funds (if applicable)

The Shift of Funds section is used to record instances where previously allocated funds are transferred between cost categories or use cost savings from one authorized TA activity for a new TA activity. If the amount of cost savings or transfer is \$20,000 or less, the Awardee does not need to obtain the CDFI Fund's prior written approval to use said cost savings for a new TA use or to transfer the funding between or within Authorized TA Use categories.

For example, if \$150,000 of Award money was originally allocated to Travel expenses. However, during the performance period you shift \$10,000 to Training, this information is to be recorded in the Shift of Funds section.

To record funds shifted from one category to another:

1. From the Use of Funds Detail Page, click the Shift Funds related list.

Use of Funds
UOF-00052

Customize Page | Edit Layout | Printable

< Back to List: Organizations

Categories of Use [5+] | Shift Funds [1] | Activity History [0] | Approval History [4] | Use of Funds History [5+]

Use of Funds Detail [Lock] [Unlock Record] [Edit] [Delete] [Clone] [Sharing]

Award Record ID	AWD-00005347	Record Type	Use of Funds TA [Change]
Use of Funds ID	UOF-00052	Performance Period Year	1
Organization Name	Houston Metropolitan Federal Credit Union	Fiscal Year	2016
Award Control Number		Reporting Period Year	Year 1 of the Performance Period.
Program Contact / Portfolio Manager	Heather Hunt	Performance Period Start Date	6/1/2015
Recipient Fiscal Year End Date	12/31	Project/Grant Period Start Date	6/1/2015
Date Submitted	6/7/2016 2:23 PM	Project/Grant Period End Date	6/30/2017
		Performance Period End Date	6/30/2016

Figure 63. Use of Funds Detail Page

2. Select the **New Shift Funds** button.

Categories of Use Categories of Use Help (?)

Action	Category of Use ID	Amount of Authorized Use	\$ Expended During Reporting Period	Shifted funds OUT of category	Shifted funds INTO category	Activity/Use Complete
Edit Del	COU-00803	\$0.00				
Edit Del	COU-00804	\$0.00				
Edit Del	COU-00805	\$0.00				
Edit Del	COU-00806	\$40,000.00				
Edit Del	COU-00807	\$0.00				
Edit Del	COU-00808	\$0.00				
Edit Del	COU-00809	\$30,000.00				
Edit Del	COU-00810	\$0.00				

Shift Funds [New Shift Funds] Shift Funds Help (?)

No records to display

Figure 64. Shift Funds Related List

3. You will be forwarded to the Shift Funds Edit page. Complete the required information on the page. Fields with a red bar next to them are required.

Figure 65. New Shift Funds Edit Page

4. Select the Save button once all the information has been entered. Repeat steps #2-4 if you wish to record additional money shifted between categories.
5. Click on the **Use of Funds** link to return back to the detailed page in order to submit the report for approval.

Figure 66. Shift Funds Detail Page

6. Select the Submit for Approval button and click OK on the Confirm to Submit pop-up message to submit the report to the CDFI Fund.

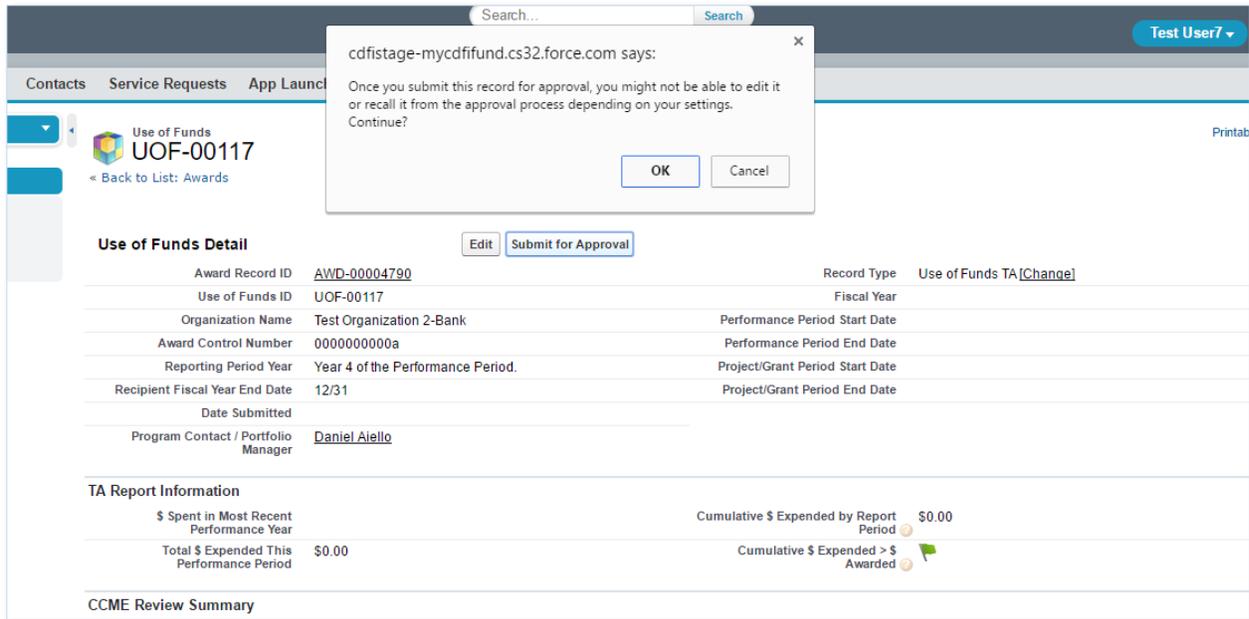


Figure 67. Use of Funds Detail Page

9 Complete the SF-425 Report (TA Only)

The SF-425 report allows the Recipient to report to the CDFI Fund how the Award money was used during each Performance Period. This report is only required for Technical Assistance Recipients.

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



Figure 68. Awards Home Page

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



Figure 69. Award Detail Page- SF425 Related List

3. On the SF-425 record detail page, click the **Edit** button to complete the report.



Figure 70. SF-425 Detail Page

4. On the Edit screen, you will need to supply the amount of Federal Cash Disbursements.
 - a. If you are uncertain what information to enter in, next to certain questions is an icon which details the type of information you must enter in.

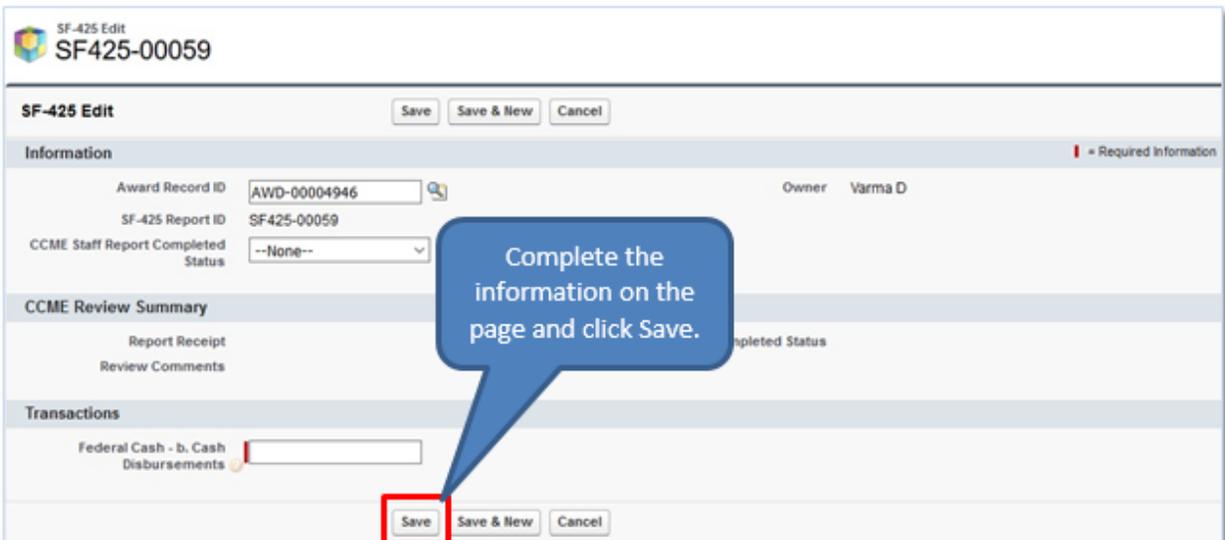


Figure 71. SF-425 Edit Page

5. Once the information has been entered, select the **Save** button. You will be forwarded to the Use of FA Funds Detail page.
6. 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.



Figure 72. SF-425 Detail Page

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

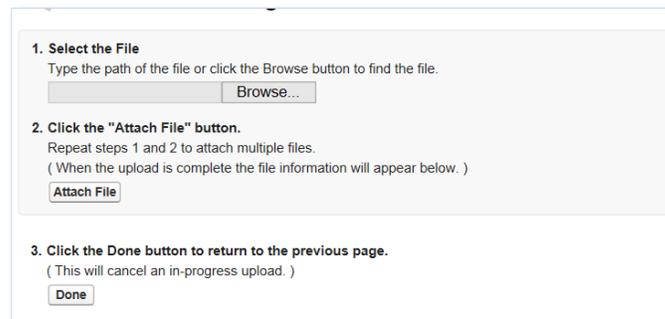


Figure 73. Attach File Edit Page

- c. Click the **Attach** file button.
 - d. Click the **Done** button.
 - e. The attached file should be displayed under Notes & Attachments.
7. Once you have completed the SF-425, click on the **Submit SF-425** button and click on the **Confirm to Submit** to submit your report to the CDFI Fund.

10 Complete the Certification Status Report (if applicable)

The Certification Status Report is submitted by all TA Recipients that have a certification PG&M. The certification PG&M applies to all uncertified TA recipients and NACA Sponsoring entities. . The CDFI Fund will complete the report on behalf of the Organization. If an Organization is found to be non-compliant, the report will be released to the Recipient to explain the non-compliance and to provide the corrective actions. The Authorized Representative of the Award will receive an email from the CDFI Fund once their report is released for explanation.

1. To update a Certification Status Report, click on the **Awards** tab in the navigation bar to locate the proper Award.

2. Click on the Award Name link

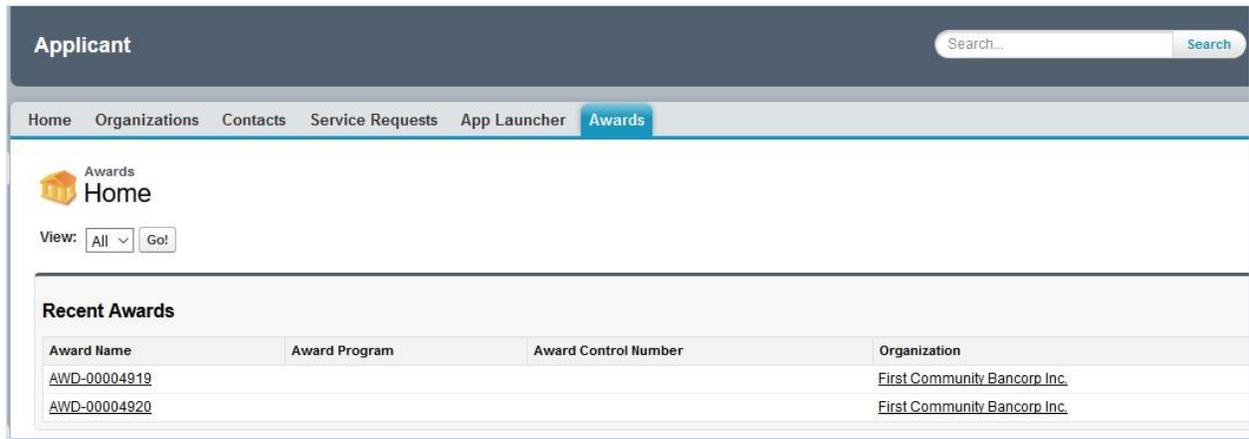


Figure 74. Awards Home Page

3. You will be forwarded to the Award Detail Page. Click on the **Certification Status Reports** related list link.
4. Locate the Certification Status Report to be updated and click on the **Edit** link.

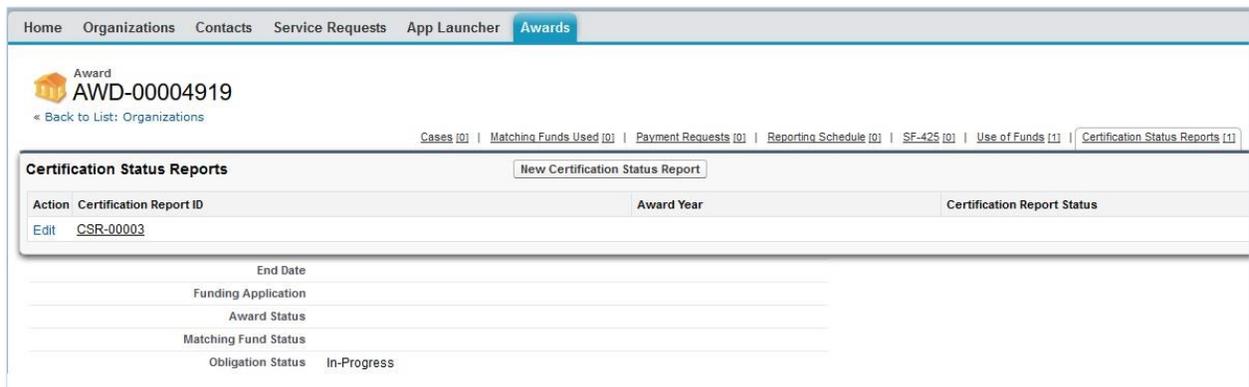


Figure 75. Award Detail Page - Certification Status Report Related List

5. You will be forwarded to the Certification Status Report Edit page.
6. Complete the explanation of non-compliance.
7. Once you are done, select the Save button to be returned to the Certification Status Report Detail page.

Certification Status Report Edit
CSR-00003

Certification Status Report Edit

Information

Certification Report ID CSR-00003 Owner Maureen Frank
Award Control Number AWD-00004915

Recipient - Complete the following information

Why did you fail to meet this PG&M Q1 & Q2 profitability goals not met due to under budgeting of personnel. Originally projected 4-5 employees for outreach program however demand was for 8-10 employees. Due to lack of budgeting, work load between 4-5 employees caused delays in outreach program

What actions will you take to meet PG&M Ensure that appropriate number of employees are staffed throughout the duration of the program.

Will you meet this PG&M next FYE Yes

When will the Recipient be Certified Q4 2015

Complete the information on the page and click Save.

Figure 76. Certification Status Report Edit Page

8. Once you have completed the explanation of non-compliance, click on the **Submit for Approval** button and confirm to submit your report to the CDFI Fund.