



## **AMIS Training Manual**

Community Development Financial Institutions Program and Native  
American CDFI Assistance Program

Financial Assistance and Technical Assistance Awards Compliance  
Report Completion Guidance

(For CDFI/NACA FA and TA Recipients)

September 2020

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## 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) and/or Financial Assistance (FA) 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.

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#### 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

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

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

### 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	<a href="#">Organization</a>
Edit	RS-0008	Performance Goals and Measures	2015	6/30/2016	41	Pending Receipt	<a href="#">View PG&amp;M Tab</a>
Edit	RS-0009	Uses of FA	2015	6/30/2016	41	Pending Receipt	<a href="#">View Use of FA tab</a>
Edit	RS-0010	Financial Statement Audit Report	2015	6/30/2016	41	Pending Receipt	<a href="#">Organization</a>
Edit	RS-0011	A133 Audit Report	2015	6/30/2016	41	Pending Receipt	<a href="#">Organization</a>
Edit	RS-0012	Shareholder Report	2015	6/30/2016	41	Pending Receipt	<a href="#">Organization</a>
Edit	RS-0013	Shareholder Report	2016	6/30/2016	41	Pending Receipt	<a href="#">Organization</a>
Edit	RS-0014	A133 Audit Report	2016	6/30/2016	41	Pending Receipt	<a href="#">Organization</a>
Edit	RS-0015	Financial Statement Audit Report	2016	6/30/2016	41	Pending Receipt	<a href="#">Organization</a>
Edit	RS-0016	Uses of FA	2016	6/30/2017	406	Pending Receipt	<a href="#">View Use of FA tab</a>
Edit	RS-0017	Certification Status Report	2016	6/30/2017	406	Pending Receipt	<a href="#">Organization</a>
Edit	RS-0018	Performance Goals and Measures	2016	6/30/2017	406	Pending Receipt	<a href="#">View PG&amp;M Tab</a>

Figure 2. Reporting Schedule

<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.

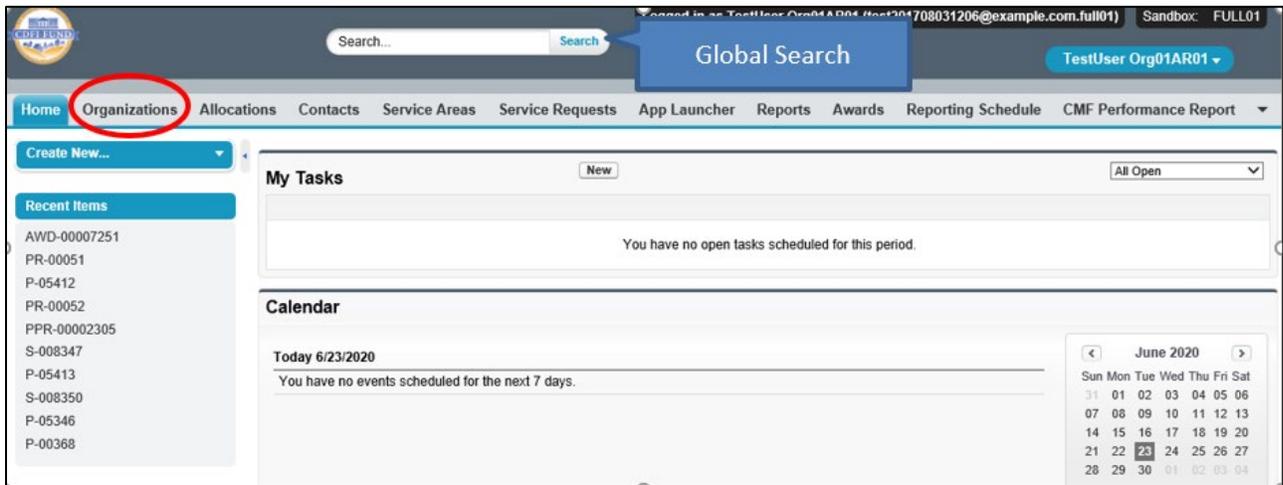


Figure 1. Home Page

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

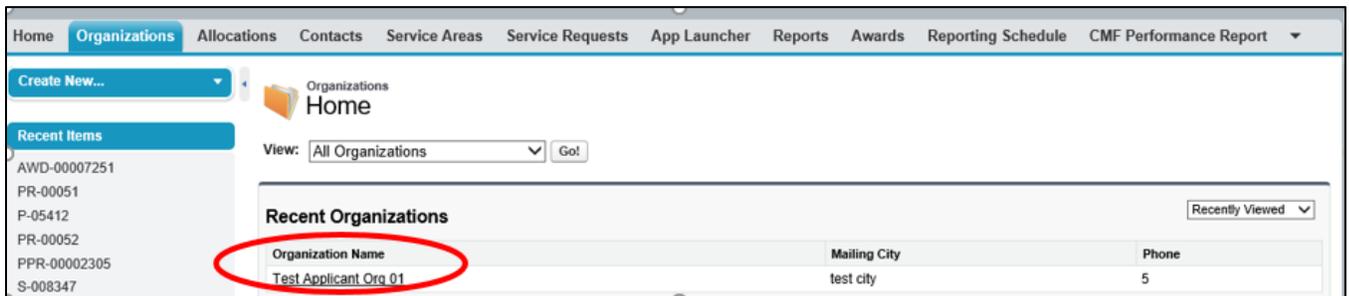


Figure 2. Organizations Tab

This space is intentionally left blank.

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

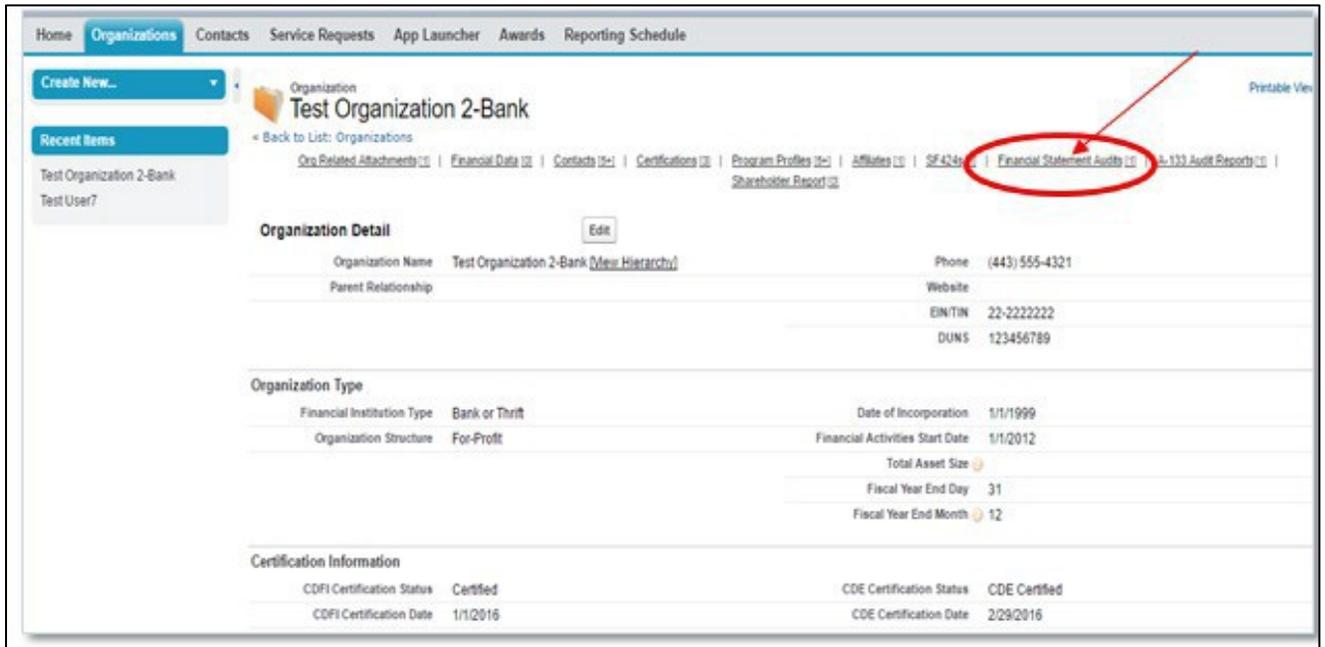


Figure 3. Organization Detail Page

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

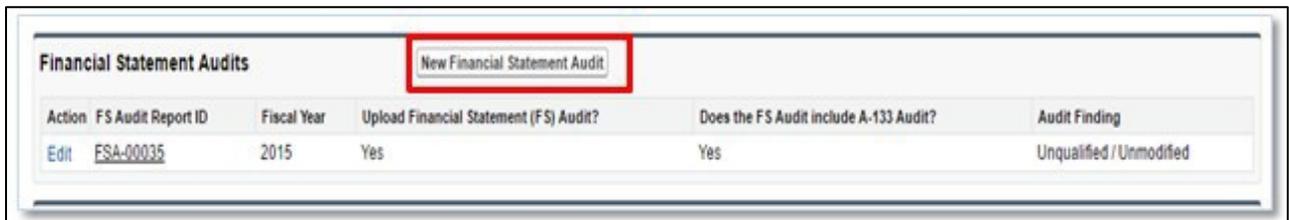


Figure 4. Financial Statement Audits Section

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

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

The screenshot shows the 'New Financial Statement Audit' form. Key elements include:

- Information:** Organization Name (Test Organization), Performance Period End Date, Fiscal Year (dropdown menu), Date Submitted.
- CCME Review Summary:** Report Receipt, Reason for "rejecting" report, Review Comments (External).
- Financial and Audit Report Information:** Upload Financial Statement (FS) Audit? (Yes), FS Audit Report Type of Finding (Unqualified/Unmodified), Does the FS Audit include A-133 Audit? (Yes), Will you submit an A-133 Audit this FYE? (Yes), Anticipate having Material Weaknesses (No), Material Weaknesses resolved by FYE (N/A), IF FS Audit not submitted, why not (N/A), Describe why FS Audit not completed, Date to be completed and submitted, If "Other" please describe, Upload Auditor Correction Confirmation (N/A).
- Audit Opinion and Corrective Actions (highlighted in yellow):** What caused audit opinion, Actions to address audit opinion, Current status of corrective actions, Audit opinion corrected by FYE (--None--), If not corrected, explain why.

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)

Financial Statement Audits		New Financial Statement Audit			
Action	Audit ID	Fiscal Year	Upload Financial Statement (FS) Audit?	Does the FS Audit include A-133 Audit?	Audit Finding
E	ESA-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.

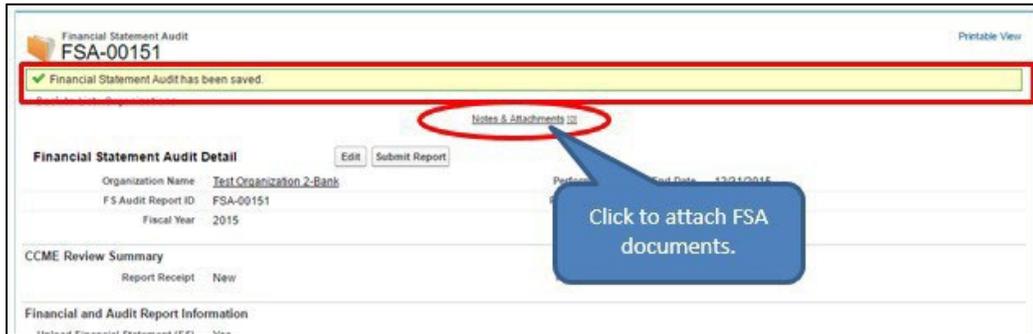


Figure 9. Financial Statement Audit Detail Page

- Click the **Attach File** button under the **Notes & Attachments** section.

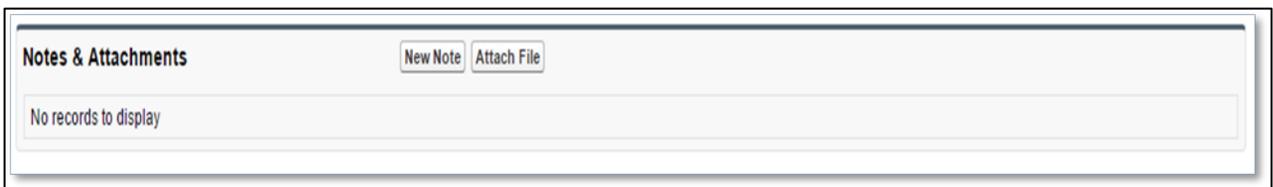


Figure 10. Notes & Attachments Section

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



Figure 61. Attach File Edit Page

- 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.

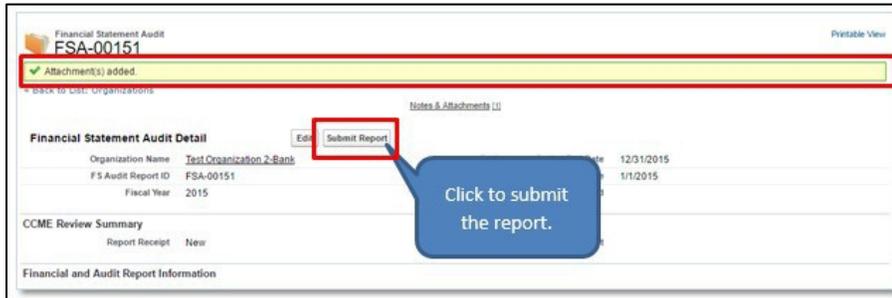


Figure 7. Financial Statement Audit Detail Page

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

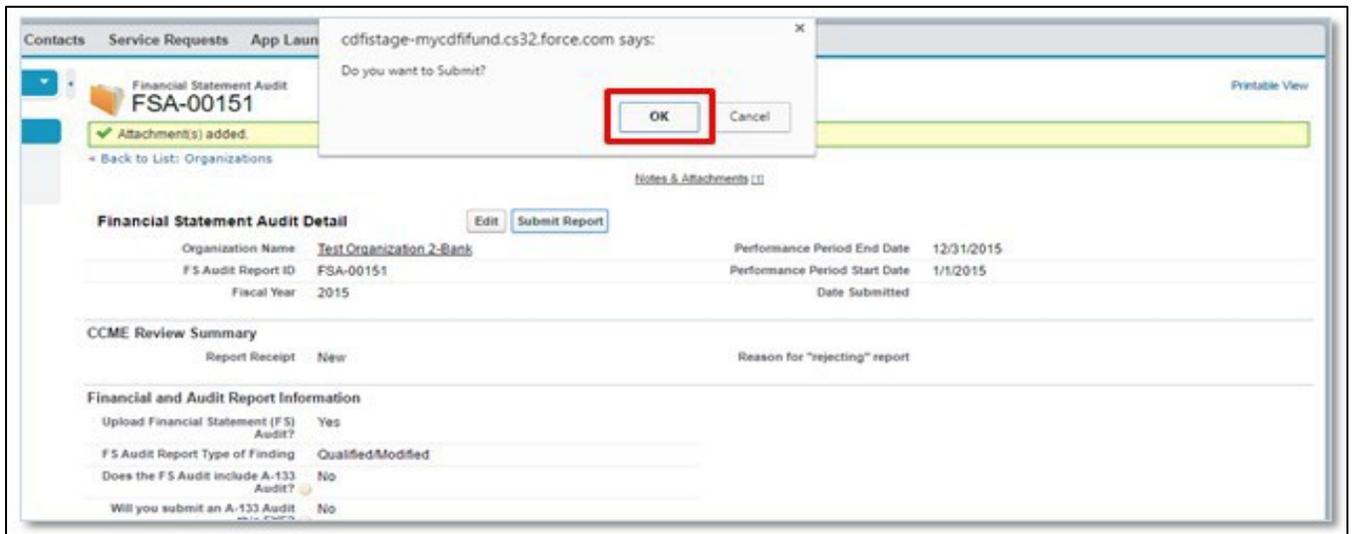


Figure 83. Financial Statement Audit Detail Page



**Note:** Use the help icon  next 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:

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

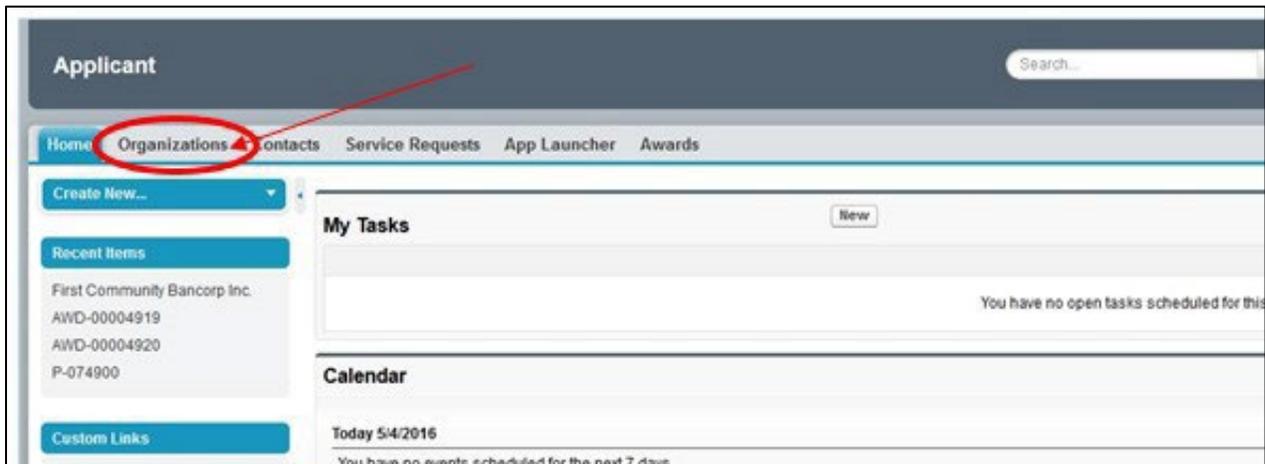


Figure 94. Home Page

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

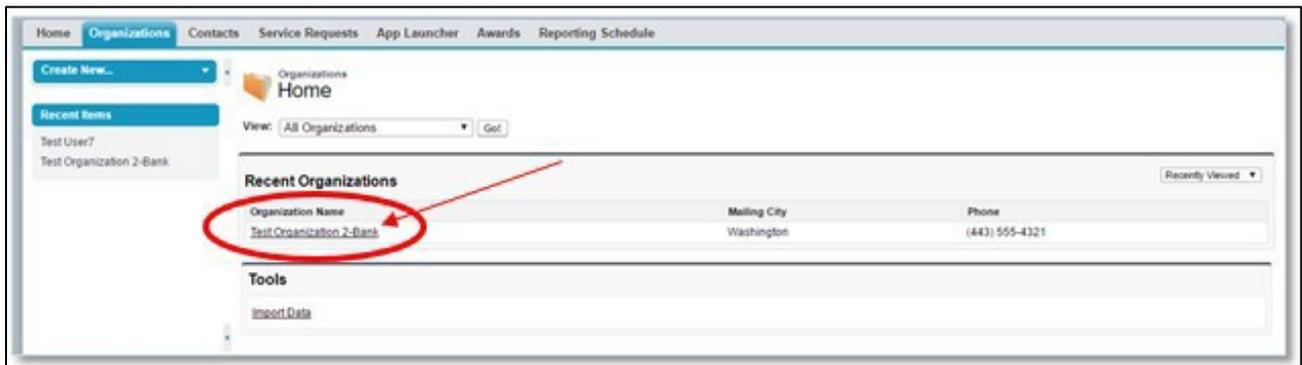


Figure 105. Organizations Tab

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

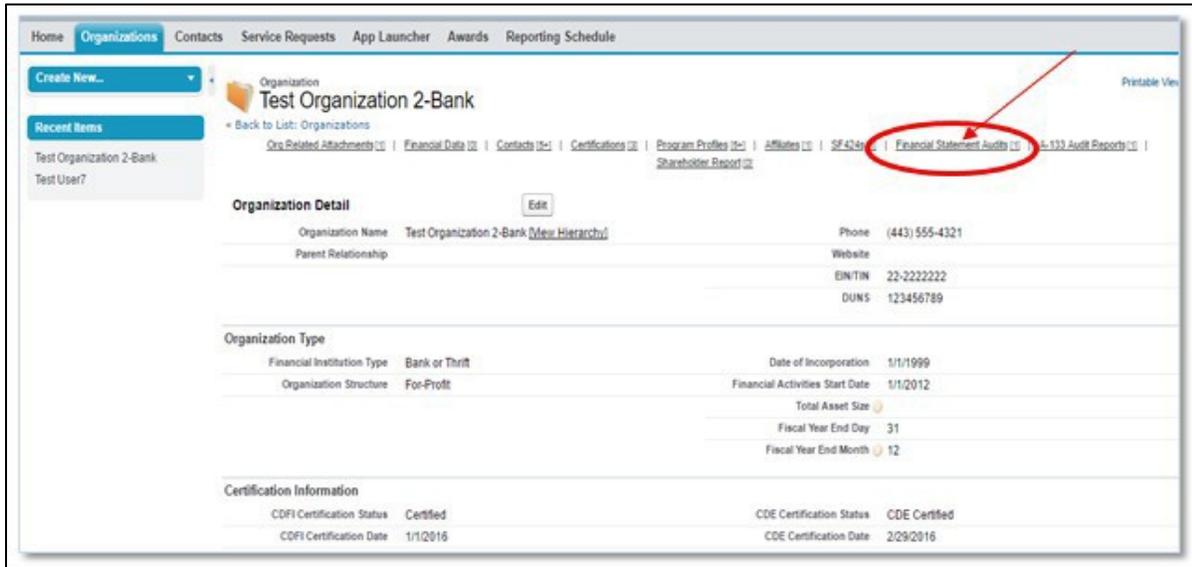


Figure 116. Organization Detail Page

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



Figure 127. Financial Statement Audits Section

5. 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.

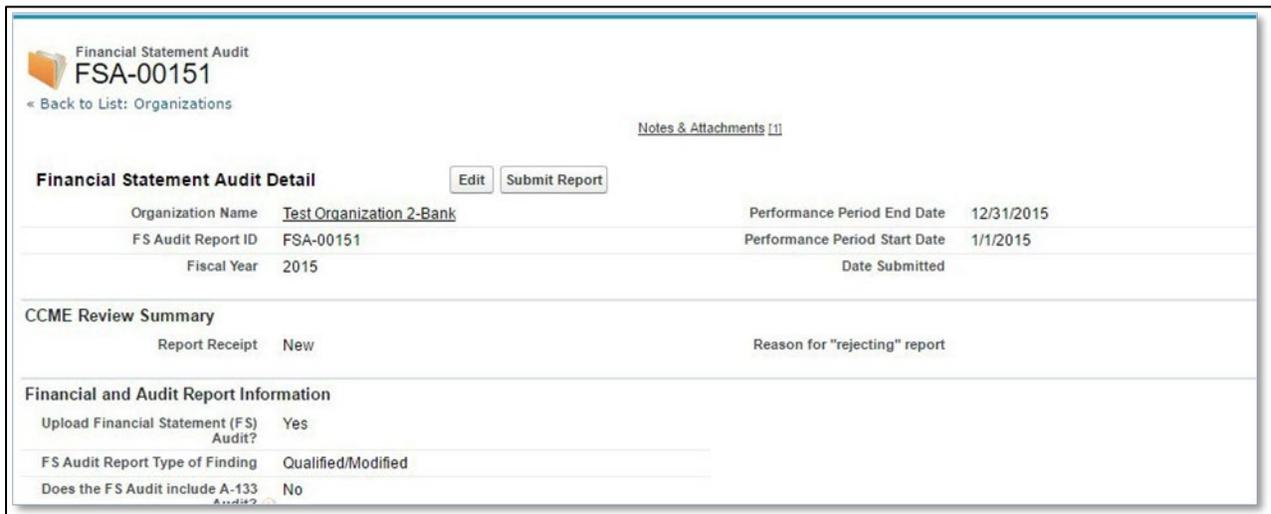


Figure 138. Financial Statement Audit Detail Page

- Complete the required information in the “Explain Audit Opinion and Corrective Actions” 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"> <li>1. Locate required documentation per audit findings</li> <li>2. Resubmit updated documentation</li> <li>3. Re-evaluate internal documentation process</li> </ol>
Current status of corrective actions	<ol style="list-style-type: none"> <li>1. Locate required documentation per audit findings - IN PROCESS</li> <li>2. Resubmit updated documentation - ON HOLD</li> <li>3. Re-evaluate internal documentation process - IN PROCESS</li> </ol>
Audit opinion corrected by FYE	Yes <input type="button" value="v"/>
If not corrected, explain why	

Figure 149. Recipient -Explain Audit Opinion and Corrective Actions

- 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**.

Financial Statement Audit  
**FSA-00132**

[Customize Page](#) | [Edit Layout](#) | [Printable View](#) | [Help for this Page](#)

[Open Activities](#) | [Activity History](#) | [Notes & Attachments](#) | [Approval History \(5-\)](#)

**Financial Statement Audit Detail**

Organization Name	New CDFI Test Organization-Credit Union	Record Type	Non-Compliance Review <a href="#">[Change]</a>
FS Audit Report ID	FSA-00132		
Fiscal Year	2015		
Financial Statement Report Score	18		
Org Name Fiscal Year formula	New CDFI Test Organization-Credit Union 2015		
CCME Portfolio Manager	Brette Fishman		
Degree of NC	<input type="checkbox"/>	CCME Flag for Approval	<input type="checkbox"/>
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		

Click to Submit the report.

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.”

1. 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.



Figure 151. A-133 Audit Reports Section

**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.

A-133 Audit Report  
**A133-00027**  
 Printable View  
 < Back to List: Awards

Significant Deficiencies (1) | Material Weaknesses (2) | Notes & Attachments (0)

**A-133 Audit Report Detail** Submit

Organization Name AMIS Owner Brette Fishman [Change]

A-133 Report Record ID A133-00027  
 Fiscal Year 2016  
 Significant Deficiencies Yes  
 Material Weaknesses Yes

**CCME Review Summary**  
 Report Status Approved  
 Review Comments test  
 Created By Brette Fishman, 5/3/2016 11:25 AM

**Significant Deficiencies**

Action	Significant Deficiencies ID	Significant Deficiency
	<u>SD-00027</u>	test

**Material Weaknesses**

Action	Material Weakness ID	Material Weakness	CDFI Award Funds Impacted
Edit	<u>MW-00041</u>	t2	Yes
Edit	<u>MW-00042</u>	t3	Yes

**Notes & Attachments** New Note Attach File  
 No records to display

Click on each related list ID record to provide an explanation and corrective action.

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 Edit** Save Cancel

**Information** ! = Required Information

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

**Material Weakness**

Material Weakness I2  
COFI Award Funds Impacted Yes  
How COFI 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 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.



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.

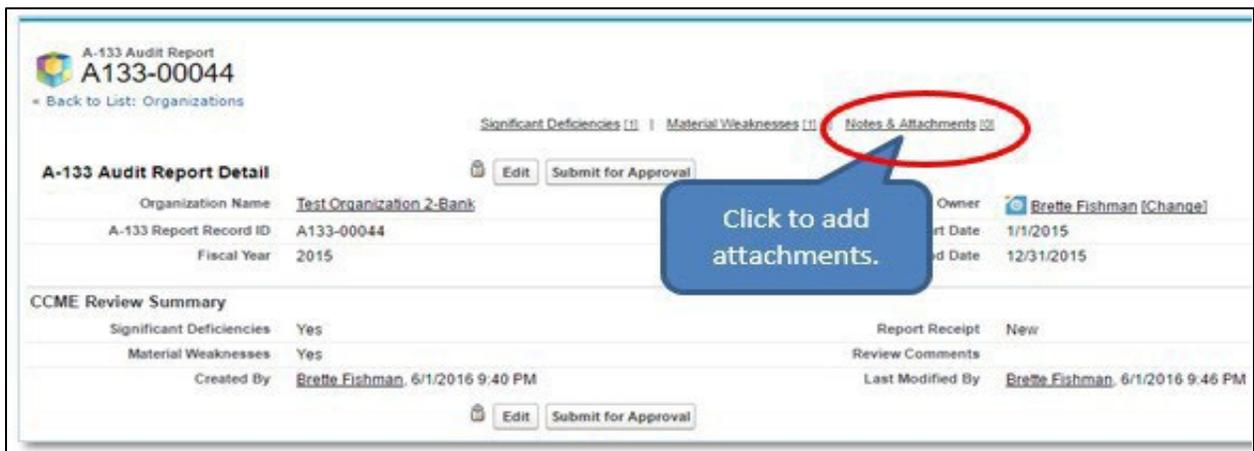


Figure 195. A-133 Audit Report Detail Page

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

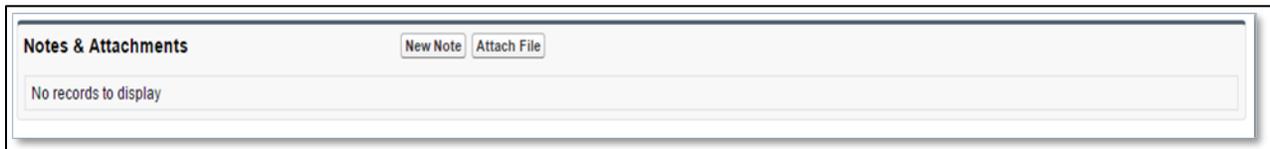


Figure 206. Notes & Attachments Section

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

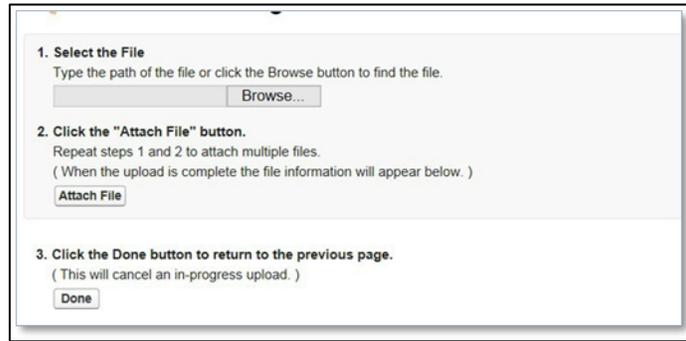


Figure 217. Attach File Edit Page

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**.

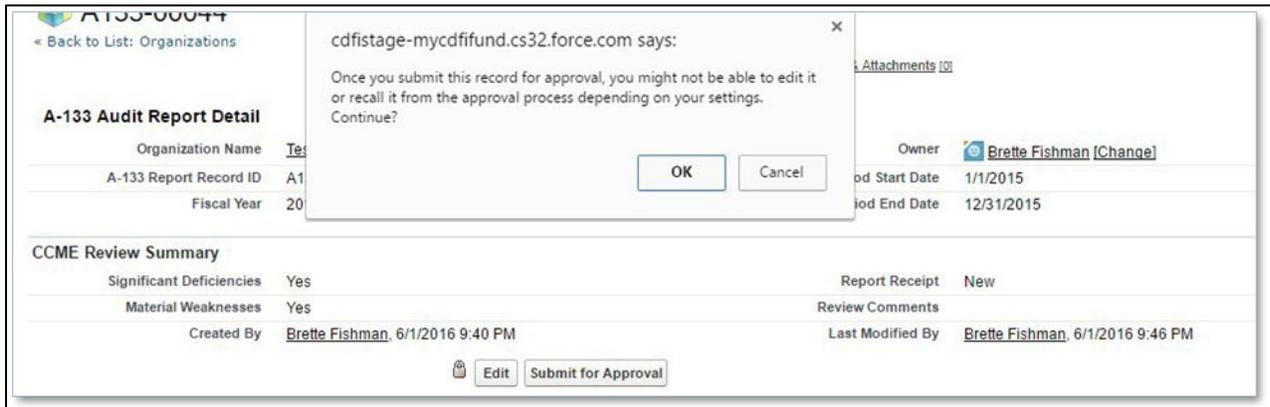


Figure 228. A-133 Audit Report Detail Page

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## 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.

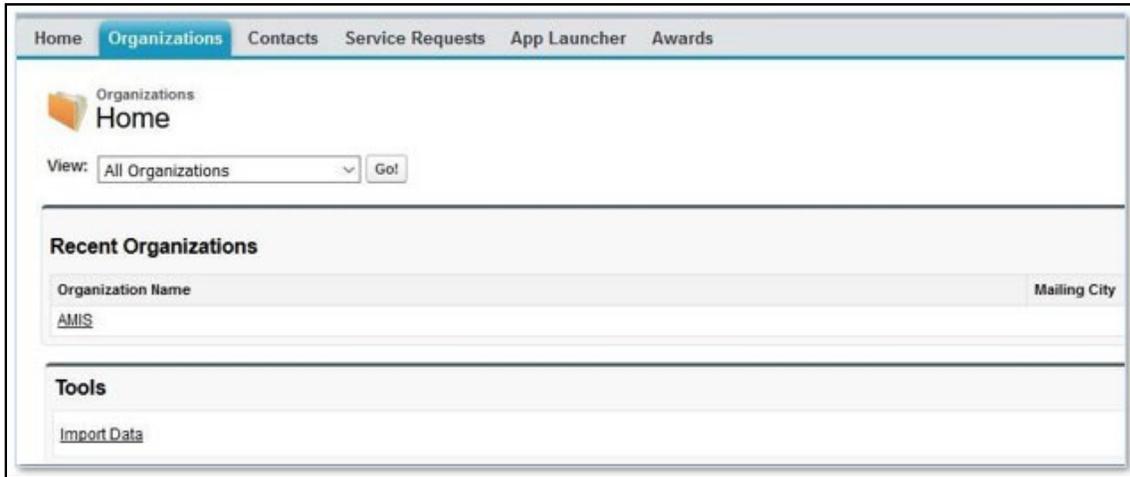


Figure 29. Home Page

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.

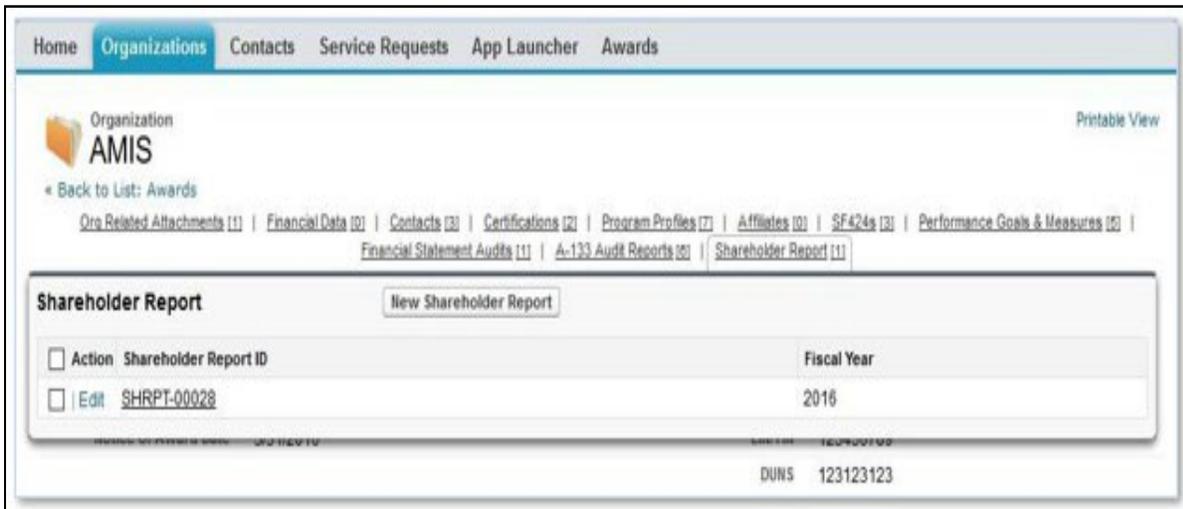


Figure 30. New Shareholder Report

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.

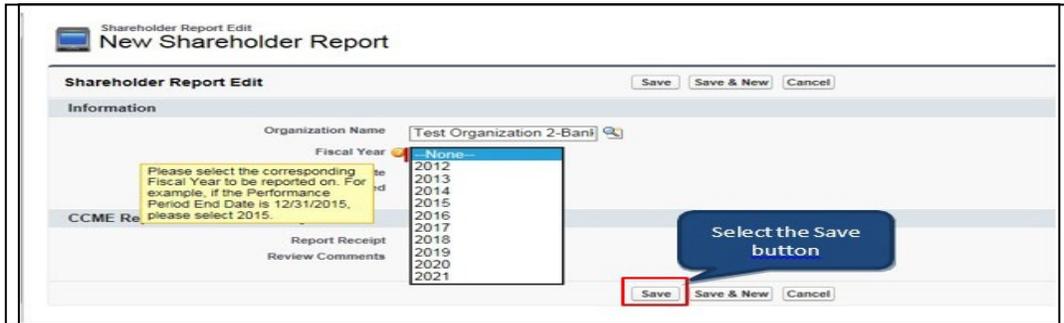


Figure 31. Shareholder Report Fiscal Year Dropdown

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

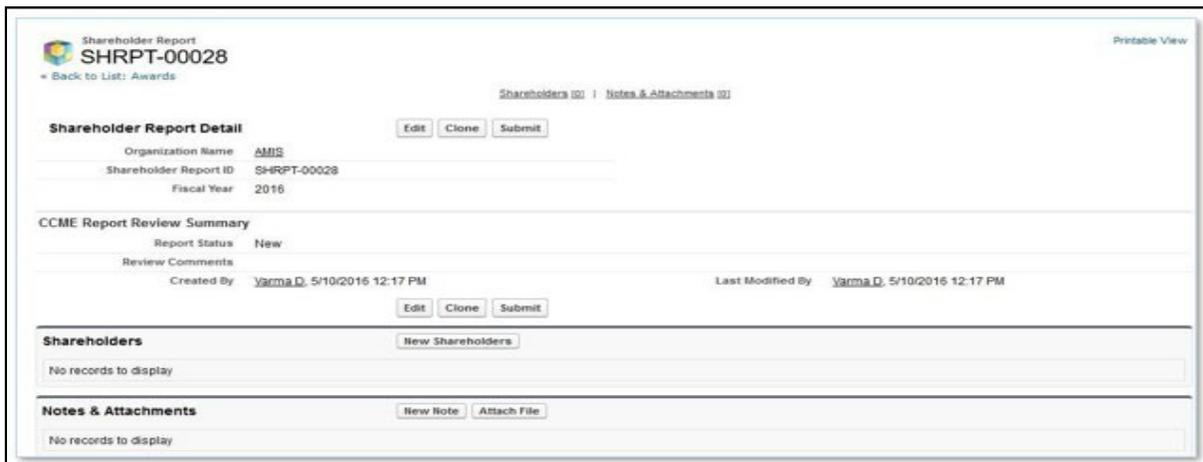


Figure 32. New Shareholders

This space is intentionally left blank.

Complete all the required information on the page:

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 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 SHAR-00014 Printable View

Shareholders has been saved.

Back to List: Organizations Shareholders History

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 TestUser7, 6/8/2016 7:15 PM Last Modified By TestUser7, 6/8/2016 7:15 PM

Edit Delete Clone

Click the link to return to the report detail page.

Figure 34. Shareholder Report Link

To add supporting documentation 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** Edit Clone Submit for Approval

Organization Name	<a href="#">Test Organization 2-Bank</a>
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	<a href="#">Test User7</a> , 6/8/2016 7:13 PM	Last Modified By	<a href="#">Test User7</a>

Edit Clone Submit for Approval

---

**Shareholders** New Shareholders

Action	Shareholder Record ID	Shareholder Name	Shareholder Number
<a href="#">Edit</a>   <a href="#">Del</a>	<a href="#">SHAR-00014</a>	John Franklin	889374

---

**Notes & Attachments** New Note Attach File

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.

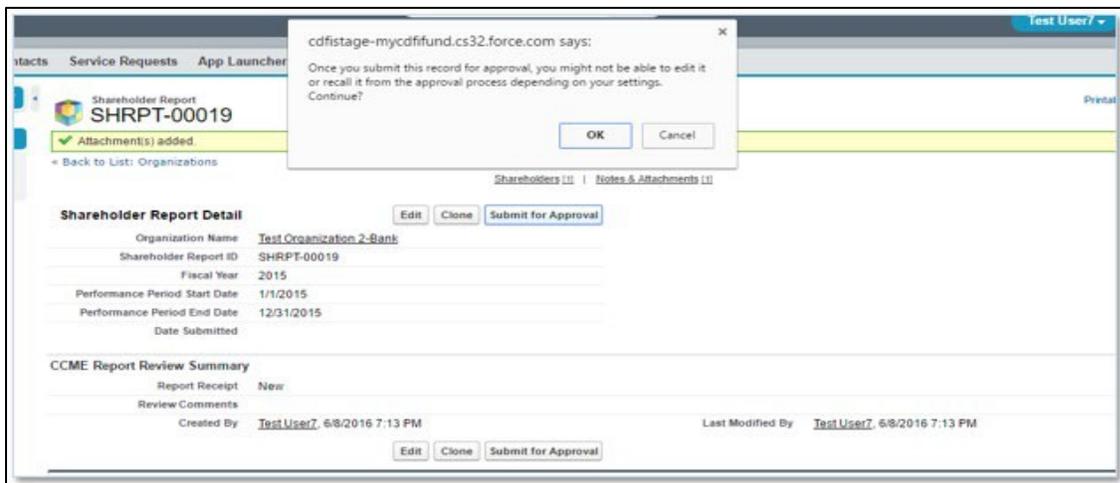


Figure 38. Submission Confirmation Dialogue

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## 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.

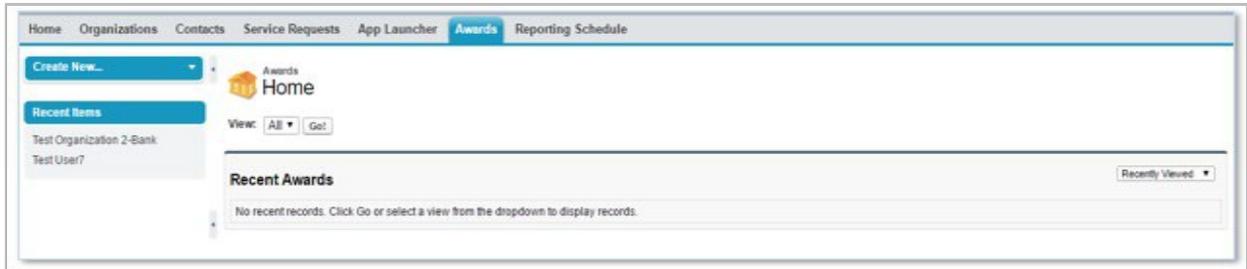


Figure 39. Home Page

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

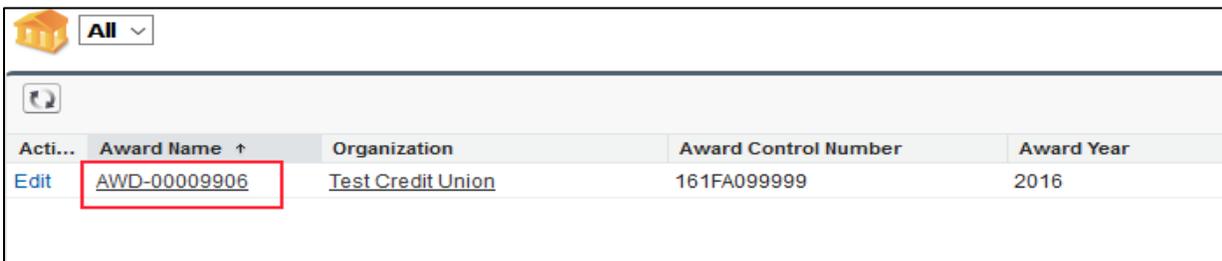


Figure 40. Awards List

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.



Figure 41. Performance Progress Reports Link

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

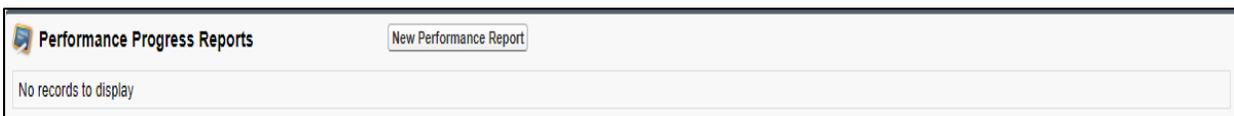


Figure 42. New Performance Report

## 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: <a href="#">Test Credit Union</a>	Award: <a href="#">AWD-00009906</a>	Performance Report: <a href="#">PPR-00001465</a>
Authorized Rep: <a href="#">Jamie Dixon</a>	Award Control Number: 161FA099999	Performance Period Year: 1
Report Fiscal Year: 2018	Award Year: 2016	Status: Submitted
Period of Performance End Date: 8/31/2018	Award Amount: \$2,000,000.00	Date Submitted: 3/29/2019 10:41 AM

Figure 43. Performance Progress Report

The menu on the right-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.

**Choose a Goal to Update**

1-1: PCA Net Worth

2-1: Target Market Percentage

**Attestation**

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

1. The person entering the data and making these certifications is an Authorized Representative.
2. 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.
3. 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.**

**Legend**

	Not Completed
*	Additional Information Required
✓	Passed
✗	Failed

Figure 44. Performance Report Attestation

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.

**Performance Progress Report**

Organization: Test Credit Union      Award: AWD-00009900      Performance Report: PPR-00001465  
 Authorized Rep: Jamie Dixon      Award Control Number: 101FA059999      Performance Period Year: 1  
 Report Fiscal Year: 2018      Award Year: 2016      Status: Submitted  
 Period of Performance End Date: 8/31/2018      Award Amount: \$2,000,000.00      Date Submitted: 3/29/2019 10:41 AM

**Choose a Goal to Update**

1-1: PCA Net Worth (circled in red)  
 2-1: Target Market Percentage

**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.

**1-1: PCA Net Worth** (Save Changes)

Program Goal: PGM-009614  
 Rule Description: PCA Net Worth Ratio is greater than or equal to 6%

PCA Net Worth Ratio	
Benchmark	6
Benchmark Percentage	0.060000
Total Assets	<input type="text"/>
Total Net Worth	<input type="text"/>

Figure 45. Net Worth

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 Report**

Organization: Test Credit Union      Award: AWD-00009900      Performance Report: PPR-00001465  
 Authorized Rep: Jamie Dixon      Award Control Number: 101FA059999      Performance Period Year: 1  
 Report Fiscal Year: 2018      Award Year: 2016      Status: Submitted  
 Period of Performance End Date: 8/31/2018      Award Amount: \$2,000,000.00      Date Submitted: 3/29/2019 10:41 AM

**Choose a Goal to Update**

1-1: PCA Net Worth (green checkmark)  
 2-1: Target Market Percentage (red asterisk)

**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.

**1-1: PCA Net Worth** (Save Changes)

Program Goal: PGM-009614  
 Rule Description: PCA Net Worth Ratio is greater than or equal to 6%

PCA Net Worth Ratio	50.00%
Benchmark	6
Benchmark Percentage	0.060000
Total Assets	60,000.00
Total Net Worth	30,000.00

**Explanation of Non-Compliance**

Target Field API Name	PCA_Net_Worth_Ratio__c
Field Type	Percentage
Operator	Greater Than or Equal
Goal Compliance Status	PASS

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

**Legend**

<input type="checkbox"/>	Not Completed
<input checked="" type="checkbox"/>	Additional Information Required
<input checked="" type="checkbox"/>	Passed
<input checked="" type="checkbox"/>	Failed

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.

Figure 47. 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.

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.

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.

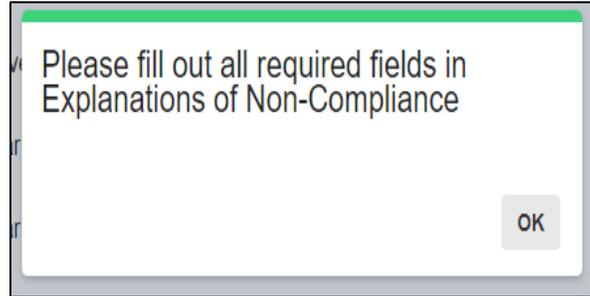


Figure 49. Error Message- Noncompliance Explanations Required

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.

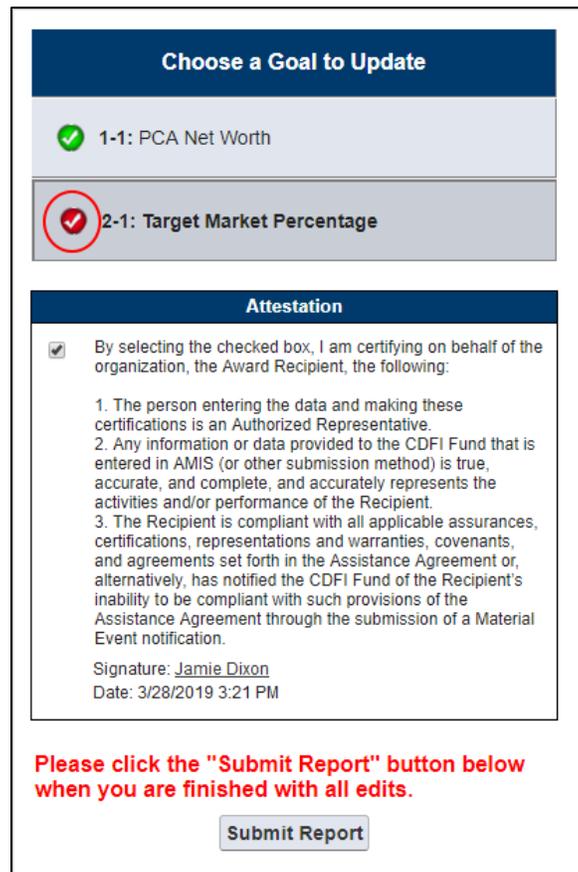


Figure 50. Submit Report

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.

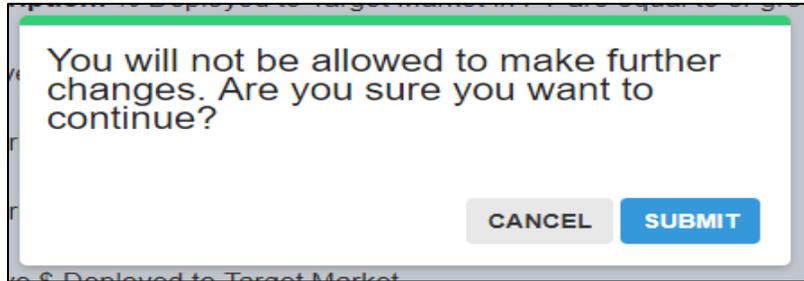


Figure 51. Submission Confirmation

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: <a href="#">West Credit Union</a>	Award: <a href="#">ANT-0002992</a>	Performance Report: <a href="#">PPR-00001465</a>
Authorized Rep: <a href="#">Jamie Diaz</a>	Award Control Number: 101FA099999	Performance Period Year: 1
Report Fiscal Year: 2018	Award Year: 2016	Status: Submitted
Period of Performance End Date: 8/31/2018	Award Amount: \$2,000,000.00	Date Submitted: 3/29/2019 10:41 AM

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.

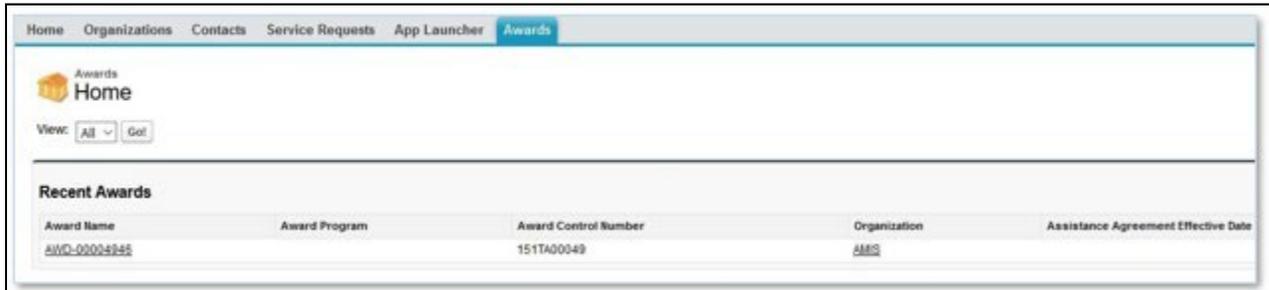


Figure 53. Home Page

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



Figure 54. SF-425 Report Link

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



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.

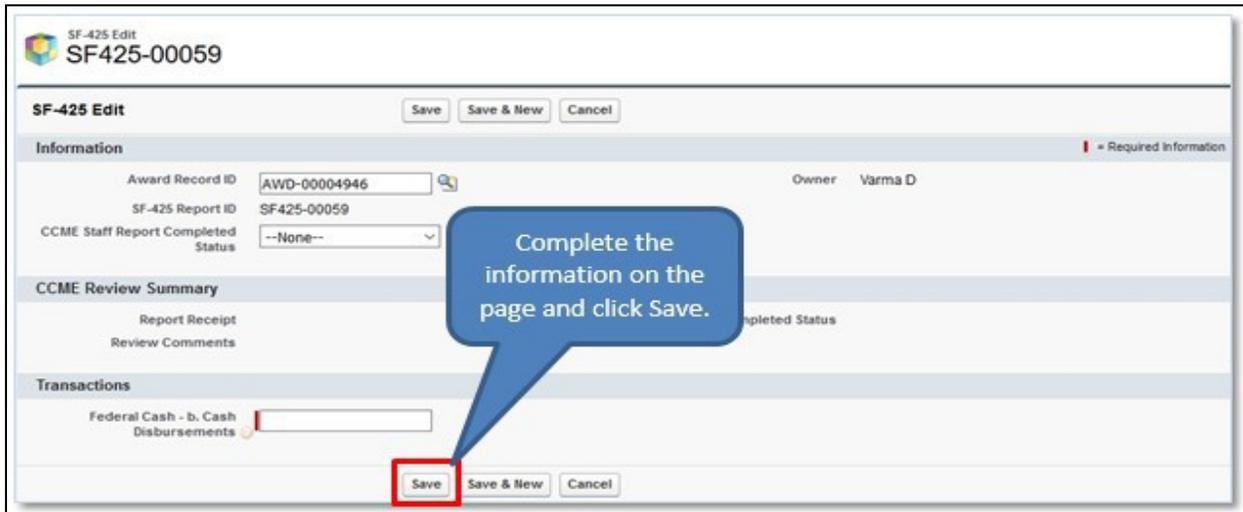


Figure 56. SF-425 Save

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

5. 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 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.

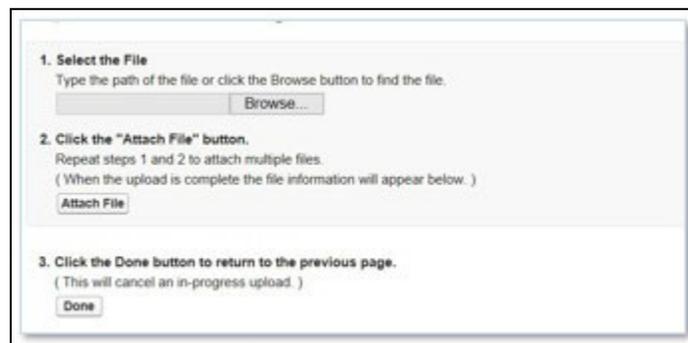


Figure 58. File Attachment

## 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!**

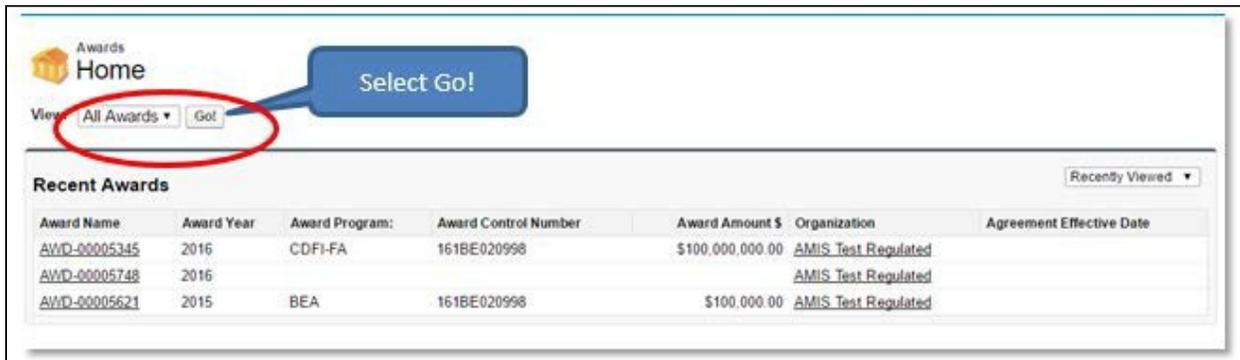


Figure 59. Awards Menu

3. Click the **Award Name** link for the Award.



Figure 60. Award Link

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

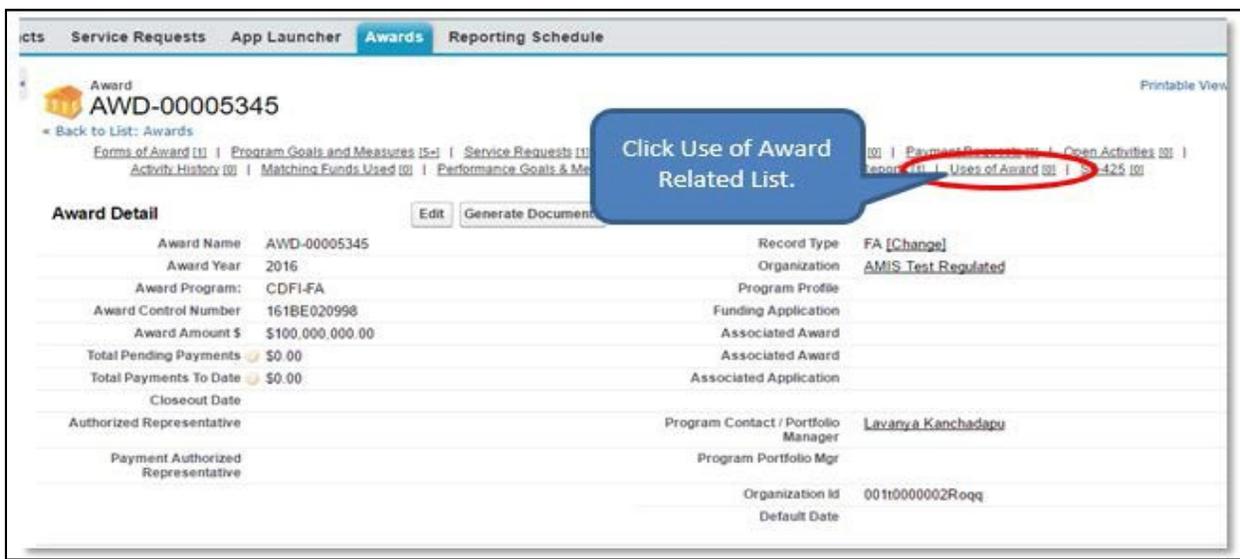


Figure 61. Uses of Award Link

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



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 12/31/2017, you would select 2017 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.

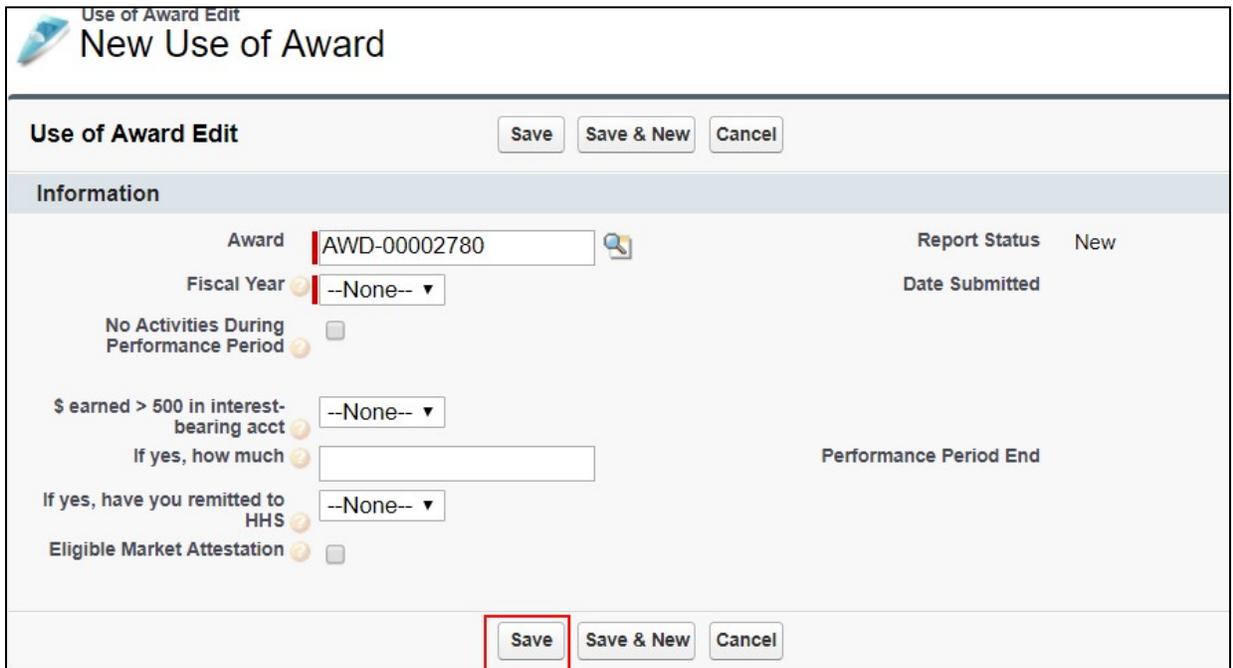


Figure 63. Save Use of Award

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-00081**  
[Back to List: Awards](#)

Category of Activity [2] | [Notes & Attachments \[0\]](#)

**Use of Award Detail**      [Edit](#) [Clone](#) [Submit Report](#)

Award	AWD-00009999	Report Status	Approved
Use of Award Name	UOA-00081	Date Submitted	3/31/2017 11:06 AM
Award Control Number	151FA013999	Recipient Name	Test Community Development
Fiscal Year	2016		
Report Due Date		Ttl \$ Activities Reported This Period	\$700,000.00
No Activities During Performance Period	<input type="checkbox"/>	Total Award Amount	\$700,000.00
		Cumulative Sum of Use of Award	\$700,000.00
\$ earned > 500 in interest-bearing acct	No		
If yes, how much		FA Ttl \$ Activities Reported This Period	\$700,000.00
If yes, have you remitted to HHS	No	FA- Total Award Amount	\$0
Eligible Market Attestation	<input type="checkbox"/>	FA - Cumulative Sum of Use of Award	\$700,000.00
		PPC Ttl \$ Activities Rpt This Period	\$0.00
		PPC Total Award Amount	\$0.00
		PPC 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
		Performance Period Start Date	9/10/2015
		Performance Period End	9/30/2016

Created By [Jimmy Lee](#), 3/31/2017 10:45 AM      Last Modified By [Jimmy Lee](#), 2/28/2019 5:30 PM

[Edit](#) [Clone](#) [Submit Report](#)

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**.

Use of Award:

Fund Type:  ▼

Category of Activity:  ▼

Description of Activity:

Total Dollar Amount:

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.

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.

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.

Figure 69. Use of Award Link

Use of Award  
**UOA-00081**  
[Back to List: Awards](#)

Category of Activity [2] | Notes & Attachments [0]

**Use of Award Detail**      [Edit](#) [Clone](#) [Submit Report](#)

Award	<a href="#">AWD-00009999</a>	Report Status	Approved
Use of Award Name	UOA-00081	Date Submitted	3/31/2017 11:06 AM
Award Control Number	151FA013999	Recipient Name	Test Community Development
Fiscal Year	2016		
Report Due Date		Ttl \$ Activities Reported This Period	\$700,000.00
No Activities During Performance Period <input type="checkbox"/>		Total Award Amount	\$700,000.00
		Cumulative Sum of Use of Award	\$700,000.00
\$ earned > 500 in interest-bearing acct <input type="checkbox"/> No			
If yes, how much		FA Ttl \$ Activities Reported This Period	\$700,000.00
If yes, have you remitted to HHS <input type="checkbox"/> No		FA - Total Award Amount	\$0
Eligible Market Attestation <input type="checkbox"/>		FA - Cumulative Sum of Use of Award	\$700,000.00
		PPC Ttl \$ Activities Rpt This Period	\$0.00
		PPC Total Award Amount	\$0.00
		PPC 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
		Performance Period Start Date	9/10/2015
		Performance Period End	9/30/2016
Created By	<a href="#">Jimmy Lee</a> , 3/31/2017 10:45 AM	Last Modified By	<a href="#">Jimmy Lee</a> , 2/28/2019 5:30 PM

[Edit](#) [Clone](#) [Submit Report](#)

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-00081**  
[Back to List: Awards](#)

Category of Activity [2] | Notes & Attachments [0]

**Use of Award Detail**      [Edit](#) [Clone](#) [Submit Report](#)

Award	<a href="#">AWD-00009999</a>	Report Status	Approved
Use of Award Name	UOA-00081	Date Submitted	3/31/2017 11:06 AM
Award Control Number	151FA013999	Recipient Name	Test Community Development
Fiscal Year	2016		
Report Due Date		Ttl \$ Activities Reported This Period	\$700,000.00
No Activities During Performance Period <input type="checkbox"/>		Total Award Amount	\$700,000.00
		Cumulative Sum of Use of Award	\$700,000.00

Figure 71. Report Submission

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