

Annual Compliance Reports Performance Progress Report (PPR) and Financial Audit Statement Data Points

NOTE: All capitalized terms used herein but not defined have such definitions as specified in the Riegle Community Development and Regulatory Improvement Act of 1994 (12 U.S.C. § 4701 et seq.), the Community Development Financial Institutions Program Regulations (12 C.F.R. 1805), Notice of Fund Availability, or Assistance Agreement, as applicable.

Recipients of the Community Development Financial Institutions Program (CDFI Program), the Native American CDFI Assistance Program (NACA Program), and the Small Dollar Loan Program (SDL Program) submit the PPR in the Awards Management Information System (AMIS) Database once a year, three (3) months after their fiscal year end. Recipients respond to the questions below by providing numerical figures, “yes” or “no” answers, or narrative responses, as appropriate. This report is used to determine Recipient compliance with the applicable Performance Goals in their Assistance Agreement.

Prior to submitting the report, the Recipient will be required to select checkboxes to certify, on behalf of the organization, 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 input 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 Federal Law, Executive Orders, Administration policy, CDFI Fund or the Office of Management and Budget guidance, assurances, certifications, representations and warranties, covenants, and agreements set forth in the Agreement or, alternatively, has notified the CDFI Fund of the Recipient’s inability to be compliant with such provisions of the Agreement through the submission of a Material Event notification.

Paperwork Burden Statement

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid Office of Management and Budget (OMB) Approval Number. This form's Approval Number is 1559-0050. Public reporting burden for this collection of information is estimated to average 0.75 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden via the Federal eRulemaking Portal at www.regulations.gov.

Performance Goal	Applicable Award	Data Points
1-1: Increase volume of Financial Services	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Total number of Financial Services provided in eligible market(s) or Recipient's approved Target Market(s) during Period of Performance
1-2: Increase volume of Financial Products	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Total dollar amount of Financial Products closed (exclusive of PPC, Healthy Food Financing Initiative (HFFI)-FA, or Disability Funds (DF)-FA) in eligible market(s) in new Geographic Area(s) during Period of Performance
1-3: New geographic area(s) (GA)	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Total dollar amount of new Financial Products closed (exclusive of PPC, HFFI-FA, or DF-FA) in eligible market(s) or Recipient's approved Target Market(s) during Period of Performance
1-4: New financial product(s)	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Total number of new Financial Services provided in eligible market(s) or Recipient's approved Target Market(s) during Period of Performance
1-5: New financial service(s)	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Total number of new clients served in eligible market(s) or Recipient's approved Target Market(s) during Period of Performance
1-6: New development service(s)	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Recipient responds "yes" or "no" to the following question for year 2: Did the Recipient submit appropriate Target Market modification document(s) to the CDFI Fund to serve new Targeted Population(s)? Recipient responds "yes" or "no" to the following question for year 3: Did Recipient become certified to serve new Targeted Population(s)?
1-7: Serve new Targeted Population(s)	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Total dollar amount of Financial Products closed (exclusive of Persistent Poverty Counties (PPC), HFFI-FA, or DF-FA) in Native American Communities and Native American populations Total dollar amount of loans and investments closed during current Period of Performance
1-8: Investment in Native American Communities	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> Total dollar amount of Financial Products closed (exclusive of FA, HFFI-FA, or DF-FA) in eligible market(s) in PPC during current Period of Performance

Performance Goal	Applicable Award	Data Points
2-1 Persistent Poverty Counties (PPC)	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> • Total dollar amount of Financial Products and Services deployed to Recipient's Target Market in current Period of Performance • Cumulative dollar amount of Financial Products and Services deployed to Recipient's Target Market during Period of Performance • Current percentage of the award deployed to Target Market
3-1: Deployment of resources (HFFI-FA)	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> • Total dollar amount of Financial Products closed (exclusive of FA, PPC-FA, or DF-FA) in Recipient's Target Market for HFFI activities in current Period of Performance • Total dollar amount of Financial Products closed (exclusive of FA, PPC-FA, or DF-FA) in Recipient's Target Market to healthy food retail outlets located in food deserts during current Period of Performance
4-1: Serving individuals with disabilities	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> • Total dollar amount of Financial Products closed (exclusive of FA, HFFI-FA, or PPC) in eligible market(s) or Recipient's approved Target Market(s) that have a primary purpose of benefitting individuals with disabilities during current Period of Performance
5-1: Uses of Assistance	CDFI/NACA Program FA awards	<ul style="list-style-type: none"> • Total dollar amount of Financial Assistance expended
1-1: Build capacity through Technical Assistance (certified)	CDFI/NACA Program TA awards	<ul style="list-style-type: none"> • Total dollar amount of Technical Assistance expended
1-2: Build capacity through Technical Assistance (sponsoring entities)	CDFI/NACA Program TA awards	<ul style="list-style-type: none"> • Total dollar amount of Technical Assistance expended
1-3: Build capacity through Technical Assistance (uncertified)	CDFI/NACA Program TA awards	<ul style="list-style-type: none"> • Total dollar amount of Technical Assistance expended

Performance Goal	Applicable Award	Data Points
2-1: CDFI creation	CDFI/NACA Program TA awards	<ul style="list-style-type: none"> Legal entity name Date of incorporation Attach supporting documentation
3-1: CDFI certification (uncertified)	CDFI/NACA Program TA awards	<ul style="list-style-type: none"> Recipient responds “yes” or “no” to the following question for year 2: Did the Recipient submit a CDFI certification application to the CDFI Fund? Recipient responds “yes” or “no” to the following question at the end of the Period of Performance: Did the Recipient become a certified CDFI?
3-2: CDFI certification (sponsoring entities)	CDFI/NACA Program TA awards	<ul style="list-style-type: none"> Recipient responds “yes” or “no” to the following question for year 3: Did the legal entity created by the Recipient submit a CDFI certification application to the CDFI Fund? Recipient responds “yes” or “no” to the following question at the end of the Period of Performance: Did the legal entity created by the Recipient, the co-Recipient, become a certified CDFI?
1-1: Build capacity through Technical Assistance to create a new Small Dollar Loan program	SDL Program awards	<ul style="list-style-type: none"> Recipient must report on the expenditure of its Technical Assistance Award for creating a new Small Dollar Loan program.
1-2: Build capacity through Technical Assistance for an existing Small Dollar Loan program	SDL Program awards	<ul style="list-style-type: none"> Recipient must report on the expenditure of its Technical Assistance Award for expanding an existing Small Dollar Loan program.
2-1: Increase Volume of Small Dollar Loans	SDL Program awards	<ul style="list-style-type: none"> Recipient must report on the overall increase in its volume of Small Dollar Loans through the use of its own capital, in an amount equal to or greater than the amounts specified in the Assistance Agreement.

With regards to explanation of noncompliance questions, Recipient must respond if it misses the benchmark for a Performance Goal. Recipient must provide a narrative (as applicable).

- Why did you fail to meet this Performance Goal? [Narrative]
- What actions will you take to meet this Performance Goal? [Narrative]
- What is the current status for this Performance Goal? [Narrative]
- Will you meet this Performance Goal your next fiscal year? [Yes/No]
- Why will you not meet this Performance Goal by your next Fiscal Year? [Narrative]

Financial Statement Audit Report Data Points (if applicable)

Recipients submit Financial Statement Audit reports in AMIS once a year, six months after its fiscal year end. Recipients respond to the questions below with “Yes”, “No”, or “N/A”, or provide narrative responses as needed.

- Did you upload the Financial Statement (FS) audit? [Yes/No]
- Did the FS audit report the type of finding? [Unqualified or Unmodified, Qualified or Modified, Adverse, No Report, Report Not Required]
- Does the FS audit include a Single Audit? [Yes/No/N/A]
- Will you submit a Single Audit this fiscal year end? [Yes/No/N/A]
- If yes to the question above, have you submitted the Single Audit to the Federal Audit Clearinghouse? [Yes/No/N/A]
- Do you anticipate having material weaknesses? [Yes/No/N/A]
- Are the material weaknesses resolved by fiscal year end? [Yes/No/N/A]
- If FS audit not submitted, why not? [Narrative]
- Describe why FS audit not completed. [Narrative]
- Date to be completed and submitted. [Narrative]
- If "Other" please describe. [Narrative]
- Did you upload auditor correction confirmation? [Yes/No/N/A]

Explanation of noncompliance questions. Recipients must respond to these questions if they have a qualified/modified opinion:

- What caused the audit opinion? [Narrative]
- What actions will you take to address the audit opinion? [Narrative]
- What is the current status of corrective action? [Narrative]
- Was the audit opinion corrected by your fiscal year end? [Yes/No]
- If not corrected, explain why. [Narrative]

Single Audit Report Explanation of Noncompliance Data Points (if applicable)

Explanation of noncompliance questions. Recipients must respond to these questions if they have a material weakness:

- What caused the material weakness? [Narrative]
- What actions were taken to address the material weakness? [Narrative]
- What is the current status of the material weakness? [Narrative]
- Was the material weakness corrected by your fiscal year end? [Yes/No]
- If not corrected, explain why. [Narrative]