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# FY 2022 AMIS Training Manual for CDFI Equitable Recovery Program

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July 6, 2022

CDFI FUND

U.S. Department of the Treasury

Note: The FY 2022 AMIS Training Manual for the CDFI Equitable Recovery Program was originally released on July 6, 2022. An updated version was released on July 15, 2022. Notable revisions in the updated version are highlighted.

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## 1.0 Introduction

The Community Development Financial Institutions (CDFI) Fund’s Awards Management Information System (AMIS) is an enterprise-wide awards management system that allows the CDFI Fund to manage the certifications and awards life-cycle processes without reliance on manual or paper-based methods. AMIS provides higher accuracy, transparency, and scalability to the CDFI Fund’s mission-critical processes across all CDFI Fund programs – CDFI, NACA, BEA, BGP, NMTC, CMF, SDLP, CDFI RRP, CDFI ERP and CDE and CDFI Certifications. AMIS runs on the Salesforce cloud-based Application platform. As an external user (i.e., CDFI Fund Applicant or recipient user), AMIS provides:

- Standardized and common data elements to enable Applicants and award/allocation recipients to use their information across programs
- A consistent flow of information from Applicants and award/allocation recipients to CDFI Fund staff, and vice versa
- A portal where Applicants and award/allocation recipients can: complete and submit Applications online; submit requests for funding, amendments, and payments requests online; and submit compliance reports online
- Interfaces with external systems, including Grants.gov and the CDFI Fund Information and Mapping System (CIMS).

## 2.0 CDFI Equitable Recovery Program (ERP) Overview

The CDFI Equitable Recovery Program (CDFI ERP) was authorized by Congress through the Consolidated Appropriations Act of 2021 to provide grants to CDFIs to respond to the economic impact of the COVID–19 pandemic. The objectives of the CDFI ERP are: 1) to provide funding to CDFIs to expand lending, grant making and investment activities in Low- or Moderate-Income communities and to borrowers, including minorities, that have significant unmet capital or financial services needs, and

were disproportionately impacted by the COVID-19 pandemic, and 2) to enable CDFIs to build organizational capacity and acquire technology, staff, and other tools necessary to accomplish the activities under a CDFI ERP Award.

The activities funded with a CDFI ERP Award will respond to economic impacts of the COVID-19 pandemic such as job loss; disruptions in health and mental healthcare; disruptions in childcare; increased housing instability; decreased availability of and increased cost of financing for affordable housing and home ownership; exacerbated inaccessibility to broadband internet; increased food insufficiency; disruptions in operations for small businesses, Small Farms and nonprofit organizations; and other negative impacts.

### 3.0 Intended Audience

This user guide is intended to help the External Users to easily navigate through the CDFI Fund's Awards Management Information System (AMIS) CDFI ERP Application and perform the following:

- Launch an Application
- Complete all subsections for the Application
- Review, edit, download and print the Application
- Complete the Attestation of the Application
- Submit the Application

### 4.0 Getting Started

Open a browser and enter the URL <https://amis.cdfifund.gov/s/AMISHome> to login to the AMIS portal.

### 5.0 External User/External Admin User Navigation

#### 5.1 How to Log in as an External User/External Admin User

Enter your username and password then click **Sign In**.

U.S. DEPARTMENT OF THE TREASURY  
COMMUNITY DEVELOPMENT  
FINANCIAL INSTITUTIONS FUND

AMIS HOME | AMIS NEWS | AMIS TRAINING MATERIALS | AMIS FAQs | LOGIN

### TERMS OF USE AND ACCEPTANCE

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This web site is provided as a public service by the Department of the Treasury, Community Development Financial Institutions Fund (CDFI Fund) and is considered public information which may be distributed and copied. You should be aware that 31 U.S.C. § 333 prohibits (among other things) the misuse of names, terms, symbols, emblems, or stationery of the Department of the Treasury, as well as colorable imitations of these items.

Username

Password

**SIGN IN**

[Forgot your password? | Join our Community](#)

Figure 1 Sign In Page

**Recommendation:** Please use strong passwords which include numbers, special characters and alphabets with a length of at least 10 characters.

## 5.2 Portal Overview

Once you log in the following screen will be presented.

U.S. DEPARTMENT OF THE TREASURY  
COMMUNITY DEVELOPMENT  
FINANCIAL INSTITUTIONS FUND

Search...

AAT Test Org 10 AR

Home Organizations Allocations Contacts Service Areas Service Requests Awards Reporting Schedule More

Create New

Recent Items

- AAT Test Org 10 AR
- AAT Test Org 10
- P-127960
- P-087668

Custom Links

My Tasks

Today

New

Completed	Date	Status	Subject

Calendar  
August 8, 2021-August 14, 2021

GMT -4 SUN 8 MON 9 TUE 10 WED 11 THU 12 FRI 13 SAT 14

4am

AUGUST 2021

Sun	Mon	Tue	Wed	Thu	Fri	Sat
1	2	3	4	5	6	7
8	9	10	11	12	13	14

Figure 2 AMIS Homepage

### 5.3 How to Log out as an External User/External Admin User

To log out of the AMIS Application, simply click on your username on the right-side top corner and select the **Logout** option.

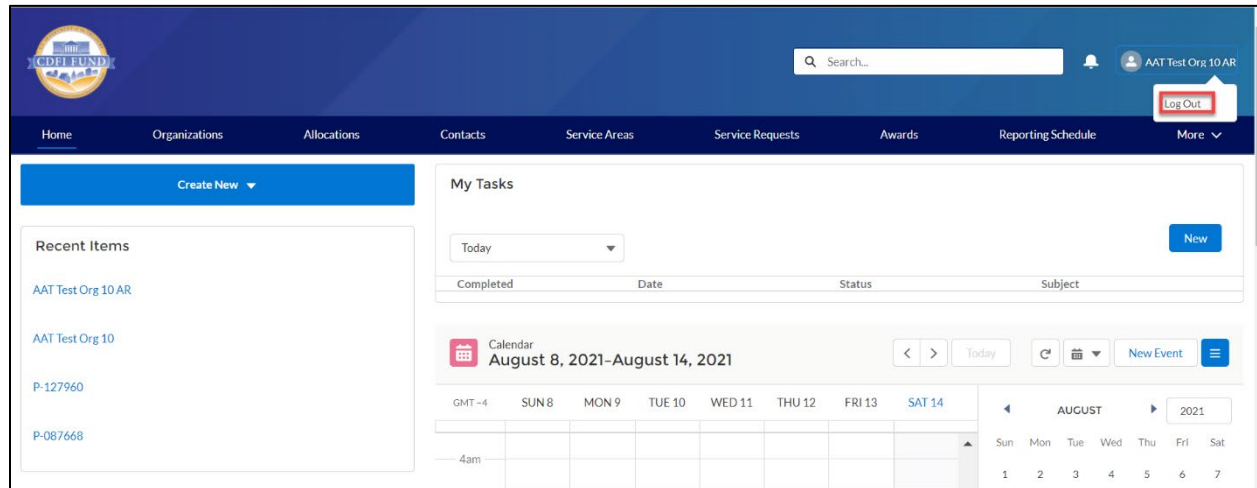


Figure 3 AMIS Homepage - Log Out

## 6.0 CDFI ERP Pre-Application Eligibility Questionnaire

1. From the Homepage, select the '**Organizations**' tab.

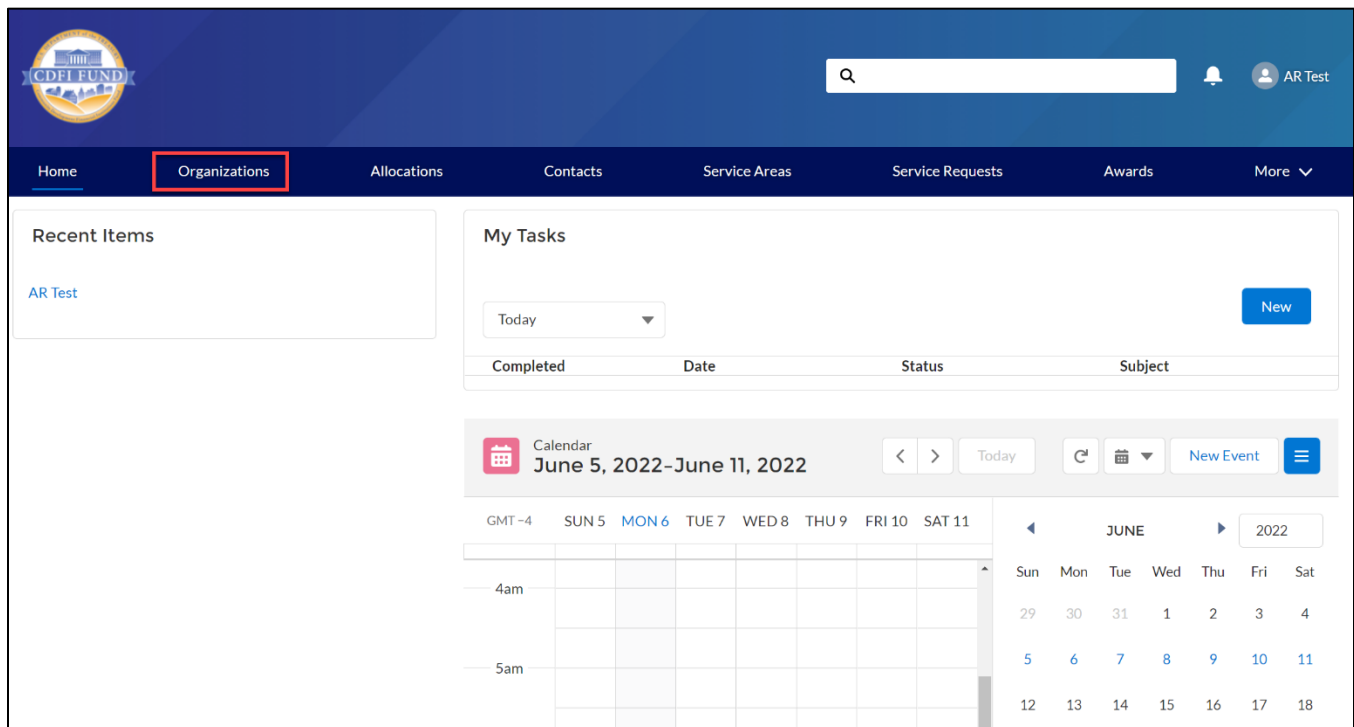


Figure 4 AMIS Homepage - Organizations Tab

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

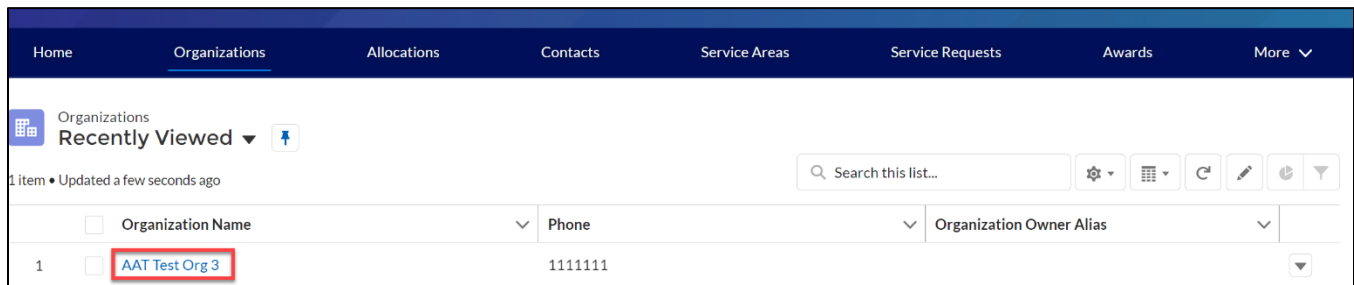


Figure 5 Organization Page - Organization Name

3. If you do not see your Organization Name in the **'Recently Viewed'** list, select **'All'** from the dropdown.

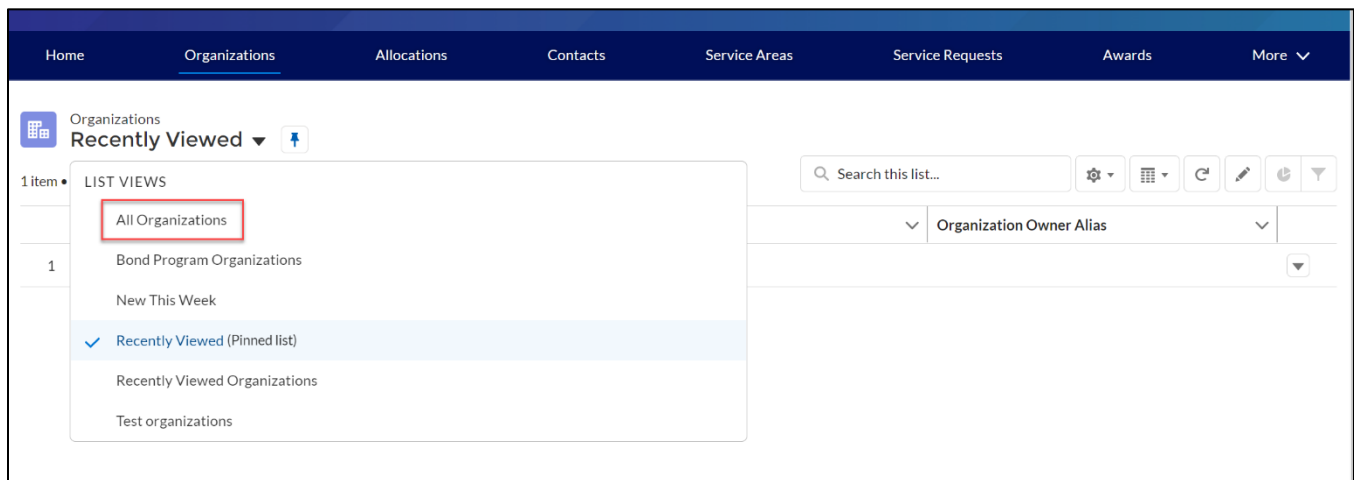


Figure 6 Organization Page - Recently Viewed List

4. Click on the **'Related'** tab.

The screenshot shows the 'Organization' page for 'AAT Test Org 3'. The top navigation bar includes links for Home, Organizations, Allocations, Contacts, Service Areas, Service Requests, Awards, and More. The main header area displays the organization name 'AAT Test Org 3' and buttons for 'Edit', 'Printable View', and 'New A-133 Audit Report'. Below this, a summary section lists key details: Type, Phone (1111111), Website, Organization Owner (System Administrator X), Industry, and Mailing Address (25 East 20th Street, Suite 170, Baltimore, MD 21218-6034, USA). The 'Details' section is active, and the 'Related' tab is highlighted with a red box. The 'Related' tab shows a table with columns for Organization Name, Parent Relationship, Phone, Website, EIN/TIN, DUNS, and UEI. The table contains one row with the following data: Organization Name: AAT Test Org 3, Parent Relationship: (empty), Phone: 1111111, Website: (empty), EIN/TIN: 32-1111111, DUNS: 1111123434455, and UEI: (empty).

Organization Name	Parent Relationship	Phone	Website	EIN/TIN	DUNS	UEI
AAT Test Org 3		1111111		32-1111111	1111123434455	

Figure 7 Organization Page - Related Tab

5. Scroll down to the **'Program Profiles'** section and click the **'View All'** button.

The screenshot shows the 'Program Profiles' section with a table of profiles. The table has three columns: Record Type, Program Profile Name, and CIMS Mapping Tool. The table contains six rows of data. A 'View All' button is located at the bottom right of the table, highlighted with a red box.

Record Type	Program Profile Name	CIMS Mapping Tool
BEA	P-087616	
BGP	P-087619	
CDE-CERT	P-087613	
CDFI-CERT	P-087617	
CDFI-NACA	P-087614	
CMF	P-087615	

Figure 8 Related Page - Program Profiles



6. Select the 'Program Profile Name' for the 'CDFI ERP Record Type'.

Home Organizations Allocations Contacts Service Areas Service Requests Awards More ▾			
Organizations > AAT Test Org 3 Program Profiles			
9 items • Sorted by Record Type • Updated a few seconds ago			
Record Type ↑	Program Profile Name	CIMS Mapping Tool	
1 BEA	P-087616		▾
2 BGP	P-087619		▾
3 CDE-CERT	P-087613		▾
4 CDFI-CERT	P-087617		▾
5 CDFI-NACA	P-087614		▾
6 CMF	P-087615		▾
7 ERP	P-186234		▾
8 NMTC	P-087618		▾
9 SDL	P-127962		▾

Figure 9 Related Page - Program Profiles Name

7. To apply for eligibility, click the 'ERP Program Eligibility' button in the upper right-hand corner.



Home Organizations Allocations Contacts Service Areas Service Requests Awards More ▾					
 Program Profile P-186234		<a href="#">Edit</a> <a href="#">ERP Program Eligibility</a> <a href="#">Apply for ERP</a>			
<a href="#">Detail</a> <a href="#">Related</a>					
▾ Organization Data					
Program Profile Name P-186234		Organization <a href="#">AAT Test Org 3</a>			
Record Type ERP		Audit or Final Call Reports? 			
		Current Year 2022			
▾ System Information					
Created By <a href="#">Lou Mayans</a> , 3/14/2022 5:19 PM		Last Modified By <a href="#">Lou Mayans</a> , 3/14/2022 5:19 PM			

Figure 10 Program Profile Page - ERP Program Eligibility

8. Answer the two questions from the pop-up by choosing a response from the dropdowns and click **'Next'** button.

**ERP Program Eligibility**

\* 1. Was at least 30% of the prospective Applicant's average annual Financial Products closed and Grants made in its five most recent historic fiscal years\*, both in terms of dollar volume and number of transactions, in ERP-Eligible Geographies?

--None--

\* 2. Does the prospective Applicant have audited financial statements for its two most recent historic fiscal years?\*

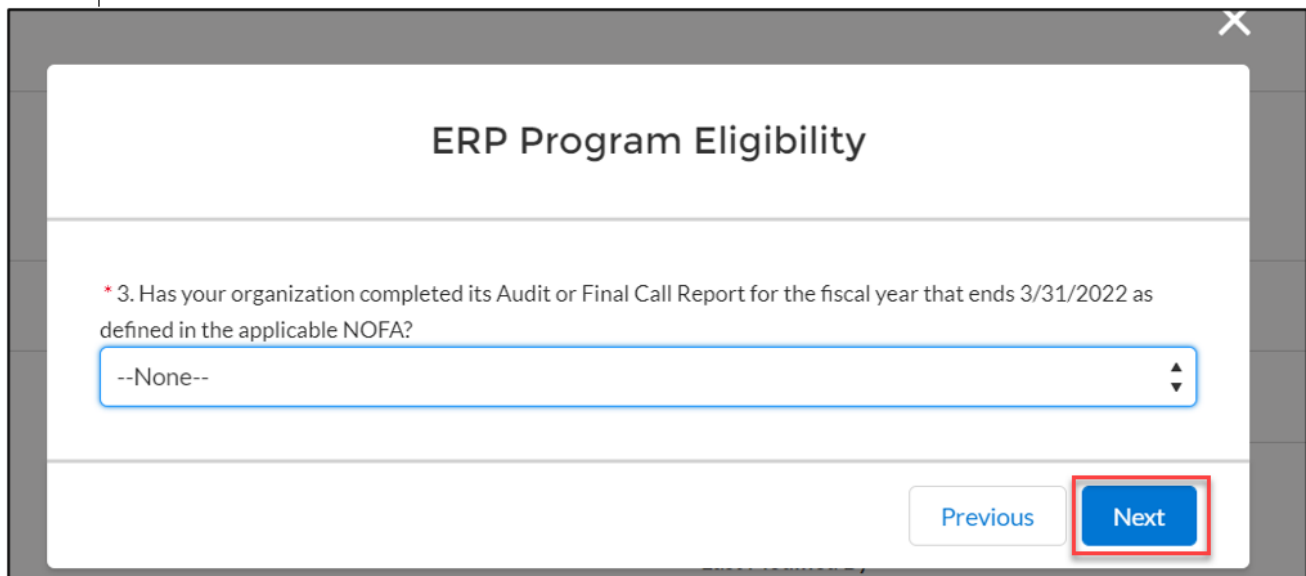
--None--

\* For definition of "Historic", see the FY 2022 CDFI ERP NOFA and Application Materials. For loan funds, venture capital funds, and other Non-Regulated institutions, audited financial statements for the two most recent historic fiscal years are required in order to be eligible to apply for a CDFI ERP Award. If the audit for the Applicant's most recent historic fiscal year is not complete as of the due date of the AMIS Application, the Applicant must have audited financial statements for its two historic fiscal years prior to its most recent historic fiscal year in order to select "Yes" in response to Question 2. A Regulated Institution that files call reports to its regulator is exempt from the requirement to have audits, and should select "Yes" in response to Question 2.

**Next**

Figure 11 ERP Program Eligibility Pop-up

9. The following screen will appear only for organizations that have a 3/31 fiscal year end. Answer “Yes” or “No” and click the **‘Next’** Button.

A screenshot of a web application popup titled "ERP Program Eligibility". The popup has a grey border and a close button (X) in the top right corner. The main content area is white and contains a question: "\* 3. Has your organization completed its Audit or Final Call Report for the fiscal year that ends 3/31/2022 as defined in the applicable NOFA?". Below the question is a dropdown menu with "--None--" selected. At the bottom right of the popup are two buttons: "Previous" and "Next". The "Next" button is highlighted with a red rectangular border.

ERP Program Eligibility

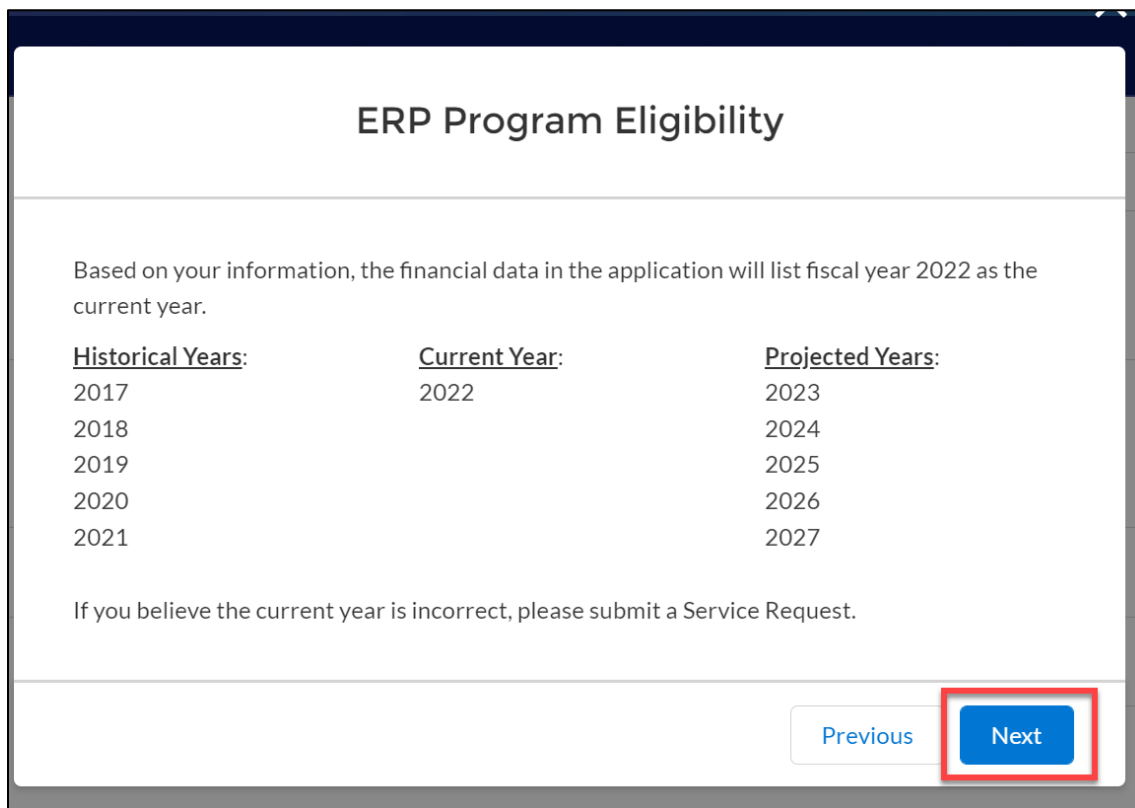
\* 3. Has your organization completed its Audit or Final Call Report for the fiscal year that ends 3/31/2022 as defined in the applicable NOFA?

--None--

Previous Next

*Figure 12 ERP Program Eligibility Popup*

10. The 'ERP Program Eligibility' pop-up window indicates your Historic, Current and Projected Years for purposes of completing your CDFI ERP Application. Note the years and click the 'Next' Button.

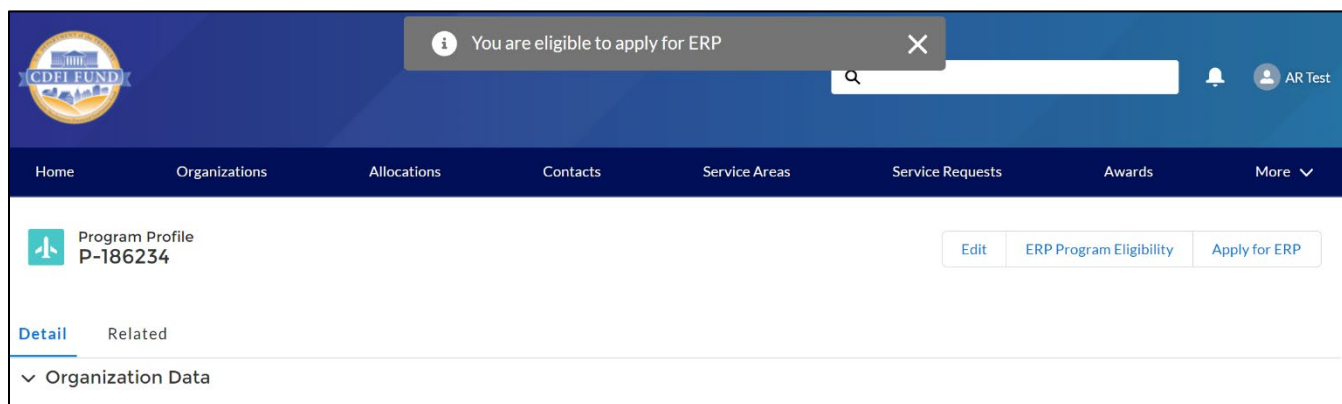


The image shows a pop-up window titled "ERP Program Eligibility". It contains a message stating: "Based on your information, the financial data in the application will list fiscal year 2022 as the current year." Below this message is a table with three columns: "Historical Years:", "Current Year:", and "Projected Years:". The "Historical Years" column lists years from 2017 to 2021. The "Current Year" column lists 2022. The "Projected Years" column lists years from 2023 to 2027. At the bottom of the window, there is a message: "If you believe the current year is incorrect, please submit a Service Request." and two buttons: "Previous" and "Next". The "Next" button is highlighted with a red border.

<u>Historical Years:</u>	<u>Current Year:</u>	<u>Projected Years:</u>
2017	2022	2023
2018		2024
2019		2025
2020		2026
2021		2027

Figure 13 ERP Program Eligibility Historic, Current, and Projected Years

11. A confirmation message will appear at the top of the screen.



The image shows a screenshot of a web application interface. At the top, there is a notification banner that says "You are eligible to apply for ERP". Below the banner is a navigation bar with links: Home, Organizations, Allocations, Contacts, Service Areas, Service Requests, Awards, and More. The main content area displays "Program Profile P-186234" with buttons for "Edit", "ERP Program Eligibility", and "Apply for ERP". Below this, there are tabs for "Detail" and "Related", and a section for "Organization Data".

Figure 14 Eligibility Confirmation Message

## 7.0 Launching a CDFI ERP Application

1. From the Homepage, select the **'Organizations'** tab.

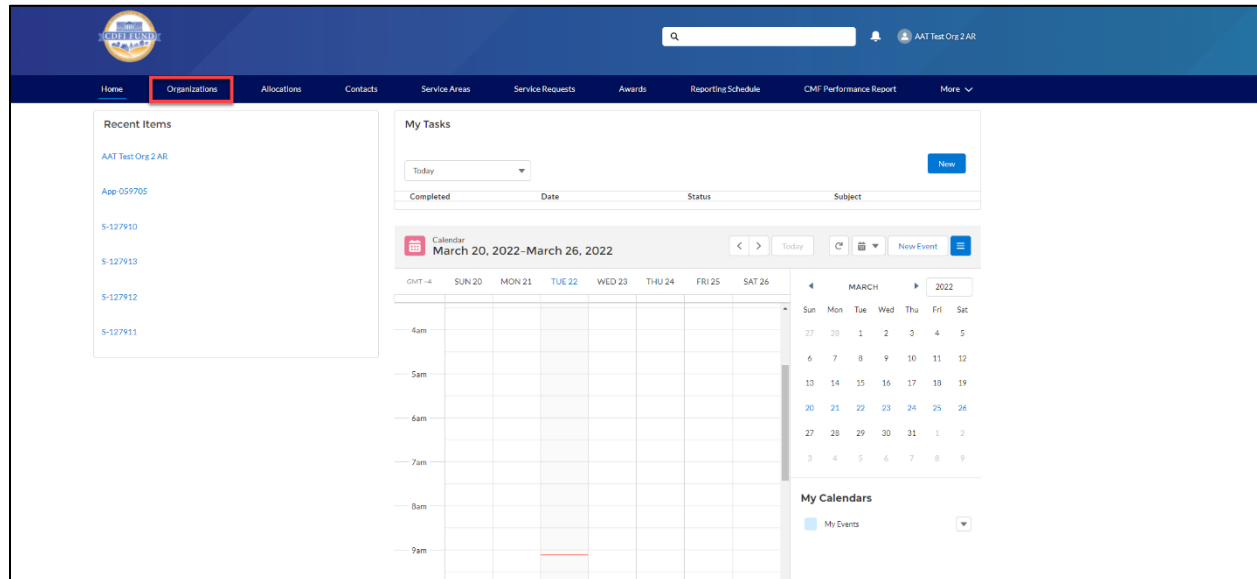


Figure 15 AMIS Homepage - Organization Tab

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

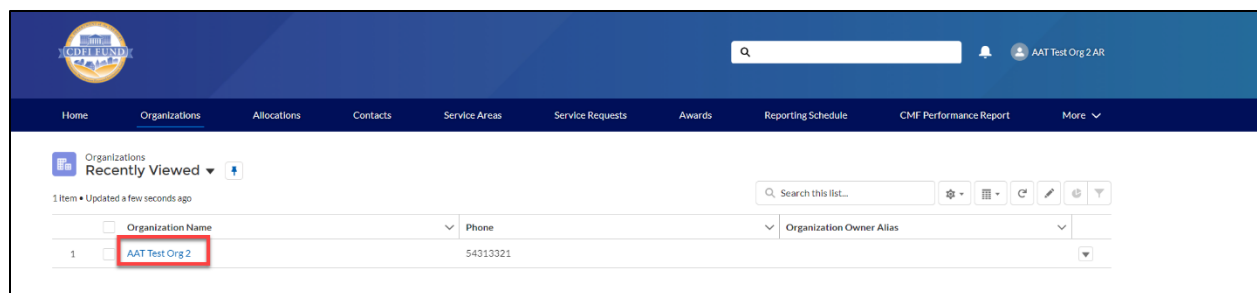


Figure 16 Organization Page - Organization Name

- If you do not see your Organization Name in the **'Recently Viewed'** list, select **'All'** from the dropdown. Click on your organization's name.

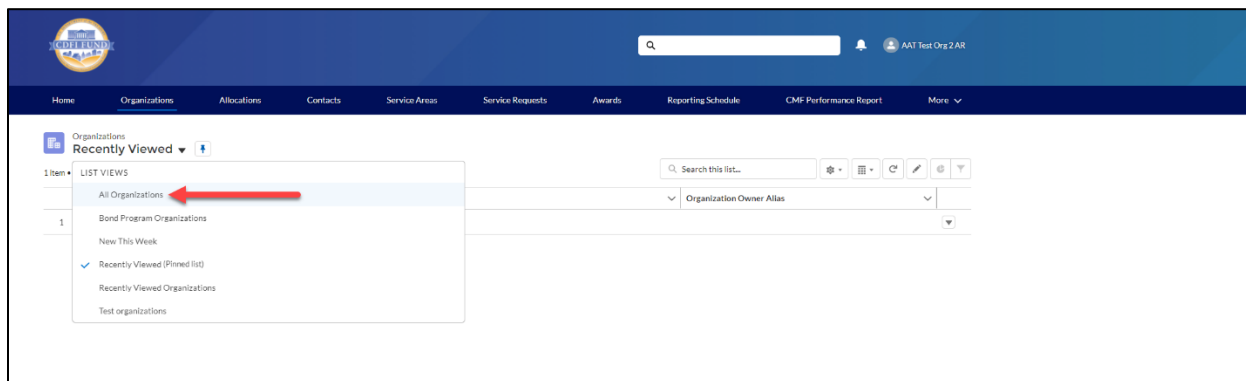


Figure 17 Organization Page - Recently Viewed List

- Click on the **'Related'** tab.

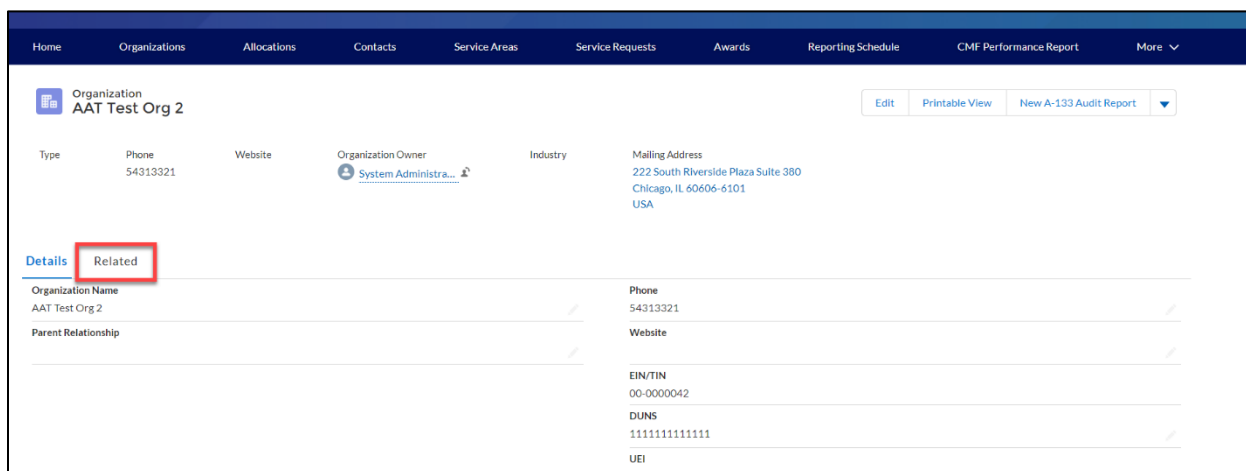


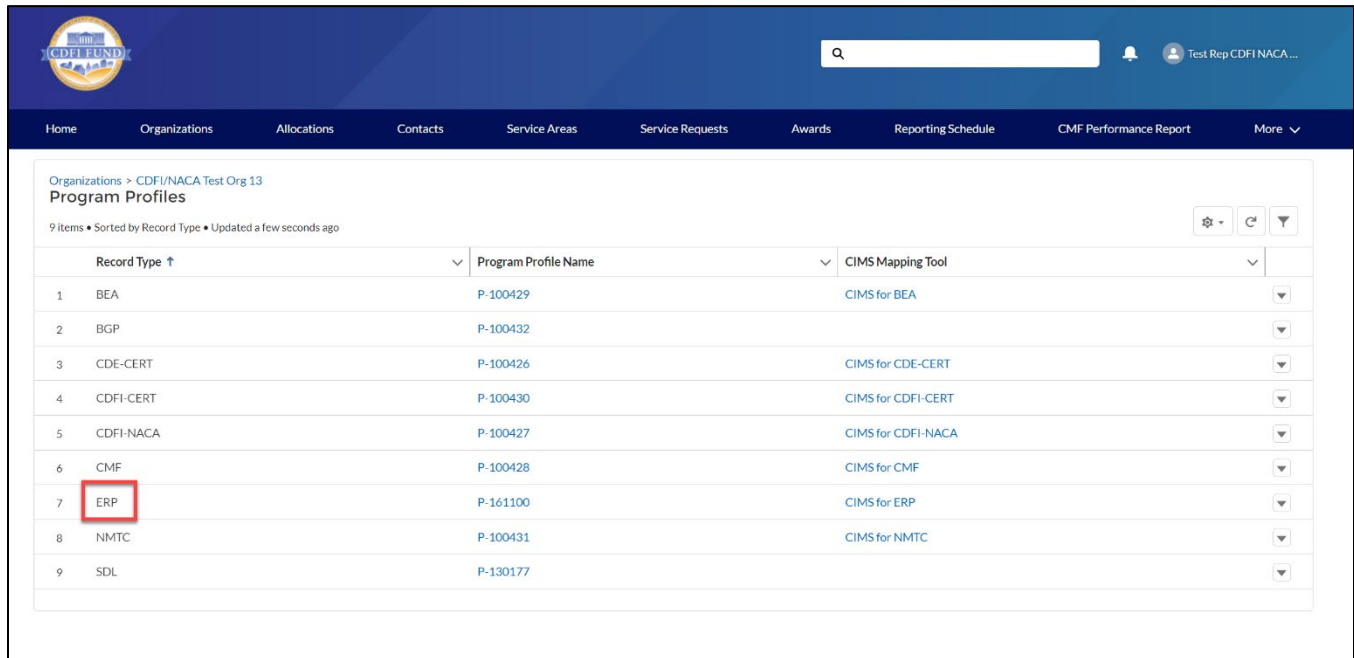
Figure 18 Organization Page - Related Tab

- Scroll down to the **'Program Profiles'** section and click the **'View All'** button.



Figure 19 Organization Page - Program Profiles

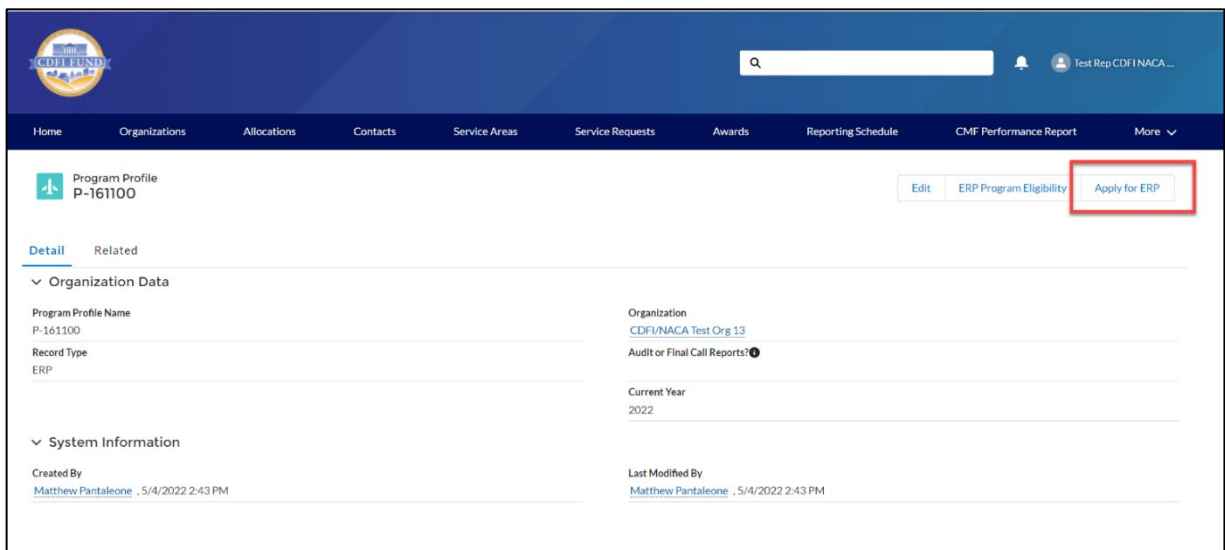
6. Select the 'Program Profile Name' for the 'ERP Record Type'.



Record Type	Program Profile Name	CIMS Mapping Tool
1 BEA	P-100429	CIMS for BEA
2 BGP	P-100432	
3 CDE-CERT	P-100426	CIMS for CDE-CERT
4 CDFI-CERT	P-100430	CIMS for CDFI-CERT
5 CDFI-NACA	P-100427	CIMS for CDFI-NACA
6 CMF	P-100428	CIMS for CMF
7 <b>ERP</b>	P-161100	CIMS for ERP
8 NMTC	P-100431	CIMS for NMTC
9 SDL	P-130177	

Figure 20 Program Profiles - ERP Record Type

7. To create a new Application, select 'Apply for ERP' in the upper right on the Program Profiles Detail tab.



Program Profile P-161100

Edit ERP Program Eligibility **Apply for ERP**

**Detail** Related

Organization Data

Program Profile Name: P-161100  
Record Type: ERP

Organization: CDFI/NACA Test Org 13  
Audit or Final Call Reports: 0

Current Year: 2022

System Information

Created By: Matthew Pantaleone, 5/4/2022 2:43 PM  
Last Modified By: Matthew Pantaleone, 5/4/2022 2:43 PM

Figure 21 Program Profile Page - Apply for ERP Button

8. Click the **'Next'** button on the popup window.

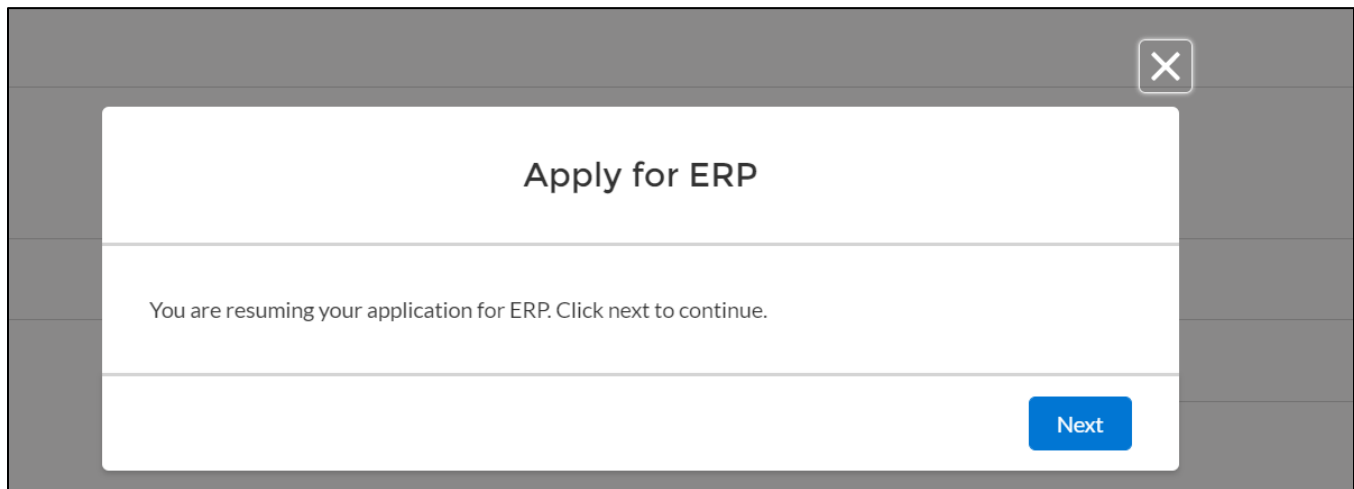


Figure 22 Apply for ERP Popup

9. This will launch the Application.

## 8.0 User Interface Appearance and Navigation

### 8.1 Application Layout

Upon logging in to the Application, you will land on the Application User Interface (UI) home page. The UI has a stationary header at the top of the page that displays important Application details.

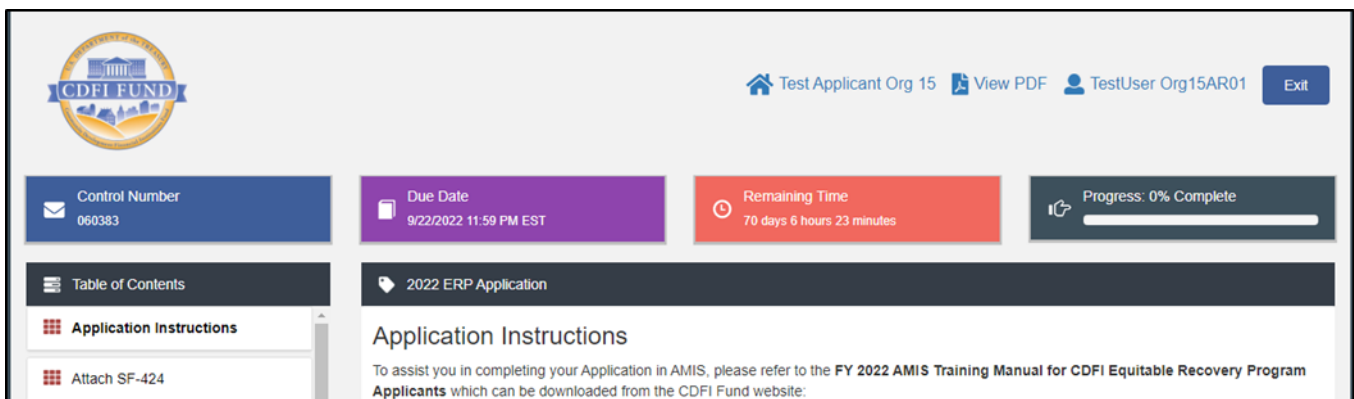
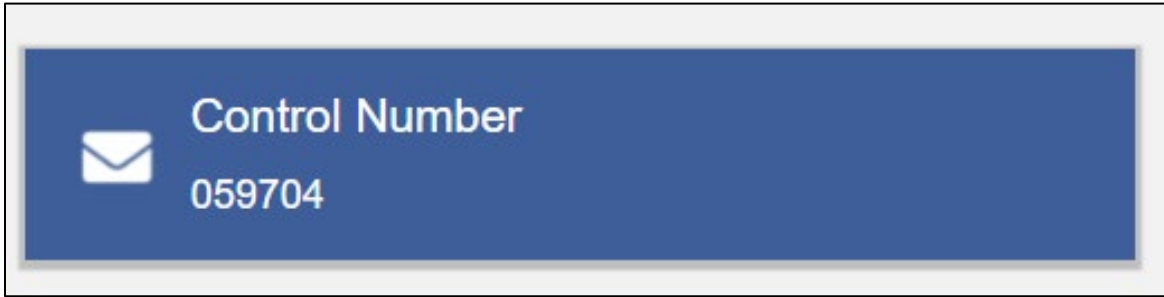


Figure 23 Application Instructions

The header will include:

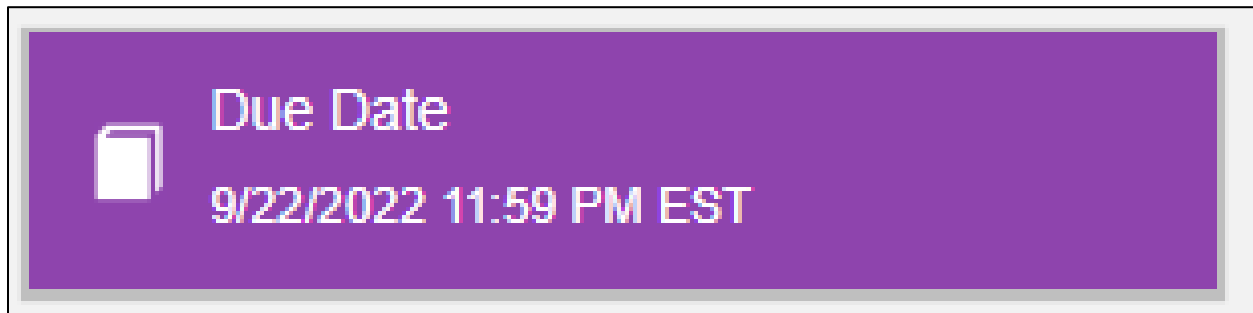


1. **Control Number:** The system-generated number assigned to your Application.



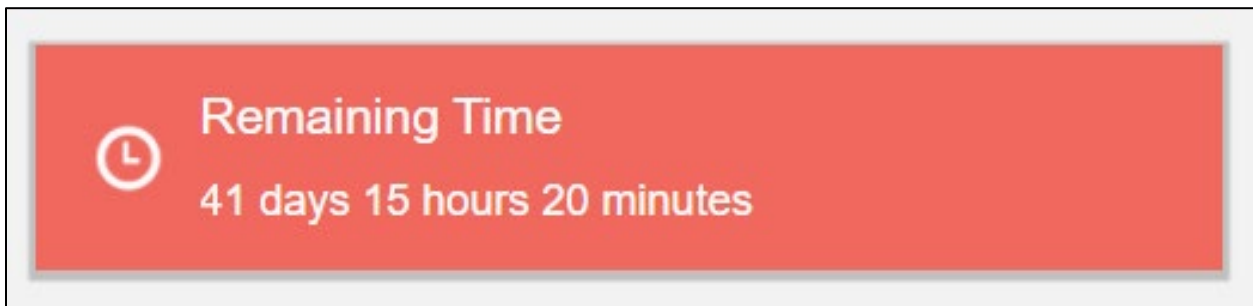
*Figure 24 Control Number*

2. **Due Date:** The date and time when the Application must be submitted.



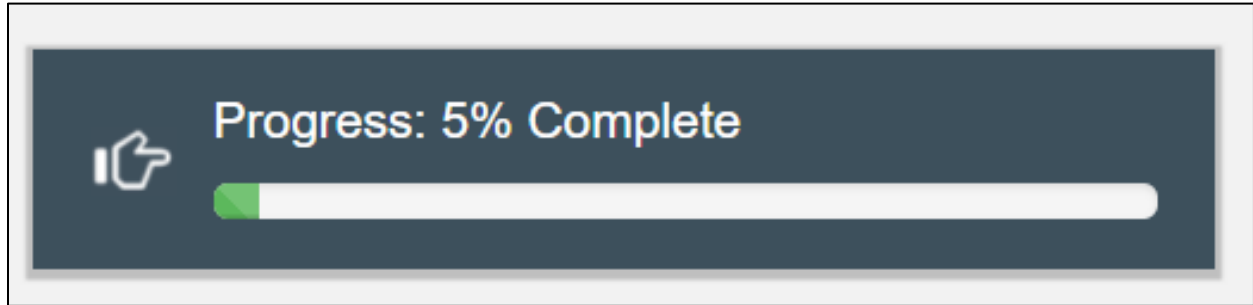
*Figure 25 Due Date*

3. **Remaining Time:** A countdown feature that displays how much time is left to submit the Application before the due date.



*Figure 26 Remaining Time*

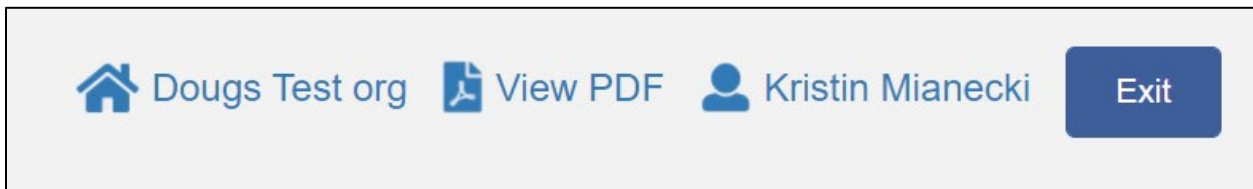
4. **Progress Bar:** Keeps track of your progress as you complete portions of the Application.



*Figure 27 Progress Bar*

The Quick Links Menu will include:

1. **Organization:** A hyperlink to your organization's detail page. When you click this link, it will return you to your organization record in a new window.
2. **View PDF:** An option to export and view the Application as a PDF file. The PDF prints the current state of the Application. If blank, it will show Application guidance, questions, and tables. Once responses are entered into the Application, the PDF will also include responses.
3. **User:** Name of user profile currently editing the Application.
4. **Exit:** Use this button to Exit the Application **after** saving your work.



*Figure 28 Quick Links Menu*

## 8.2 Using the Collapsible Menu

The menu on the left-hand side of the page displays the Table of Contents and will enable you to navigate to different sections of the Application. Use the vertical scroll bar to navigate within the Table of Contents.

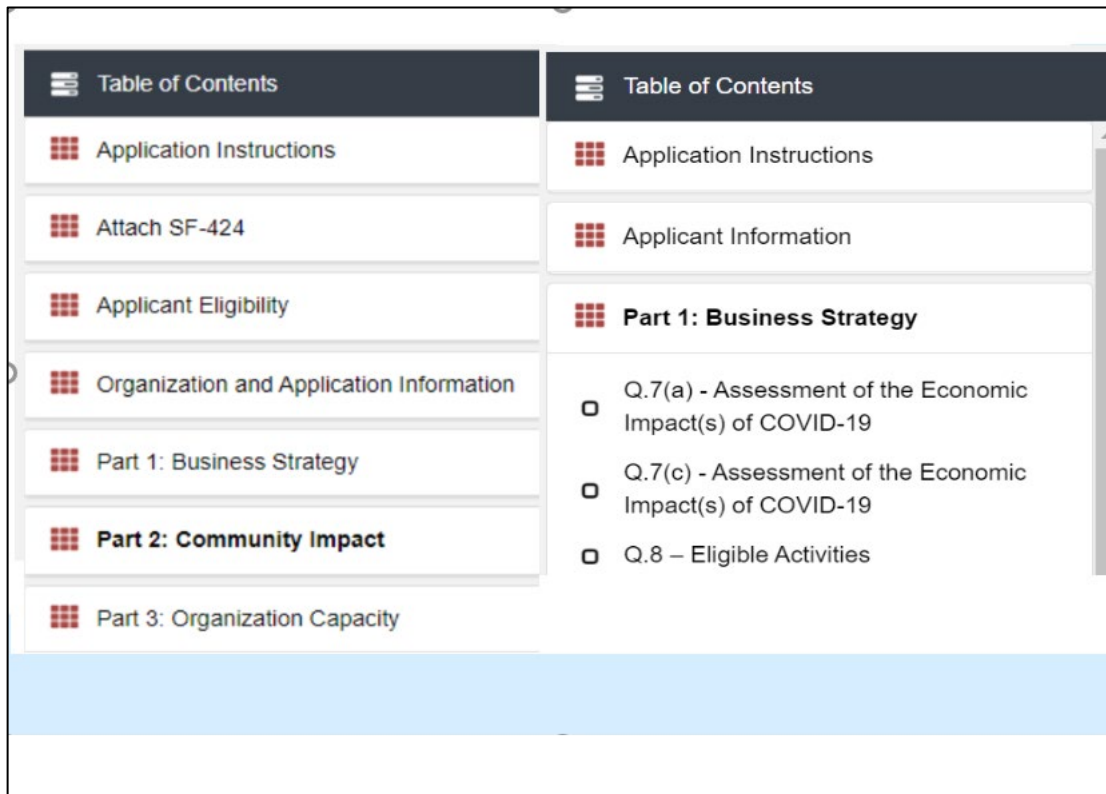


Figure 29 Collapsible Menu

Click on the section title in the Table of Contents to expand and view subsections. This will display links to subsections below the section title in the Table of Contents bar.



Figure 30 Subsection Links

Clicking on a section title will also bring up a section introduction page in the interface to the right of the Table of Contents. This page will describe the section and include any important details, tips, and instructions the user may need before proceeding to the subsections.

To view a subsection, click on the hyperlink to the subsection title in the Table of Contents bar.

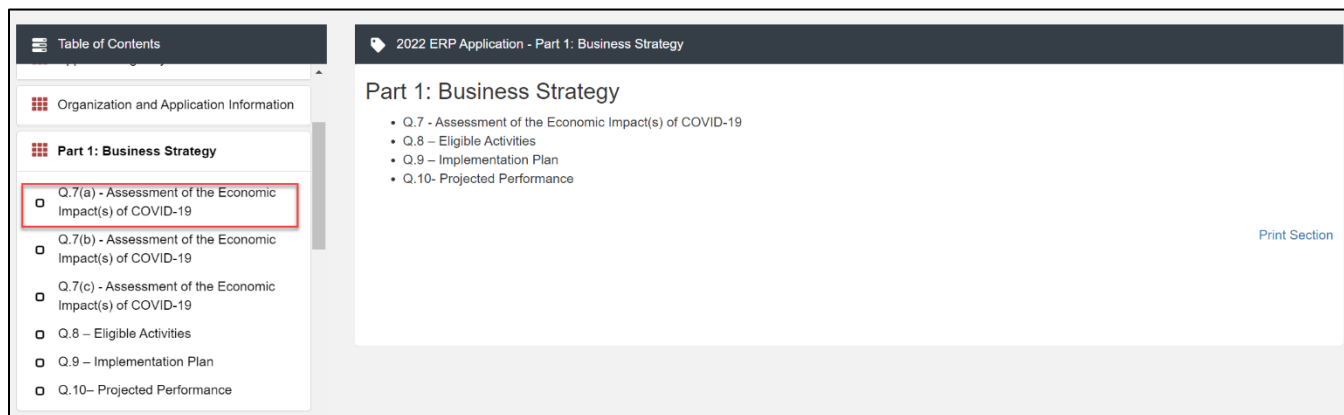


Figure 31 Subsection Hyperlink

The page for the subsection, including Application question and response fields, will be visible in the UI display to the right of the Table of Contents. Note that the gray bar at the top of the display lists the name of the Application, section, and subsection currently displayed.

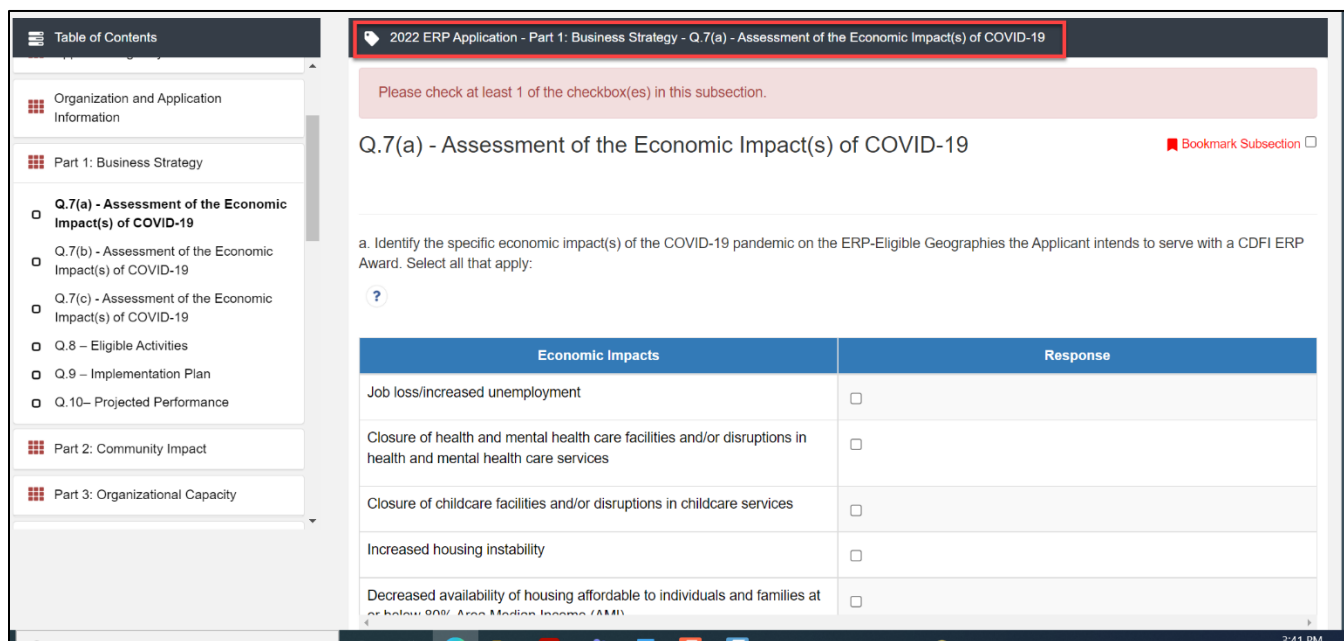


Figure 32 Application Heading Bar

To navigate to another subsection, click on that subsection's title.

If you are finished viewing an Application section and would like to minimize its list of subsections, simply click on the section title link in the Table of Contents again.

Be sure to always **Save** any entries you have entered for a subsection before navigating away from the page.

**NOTE:** If you do not **SAVE** your work before navigating away from a subsection, you will lose your work. Always use the **Save** button before navigating away from a subsection to ensure your work is saved.

### 8.3 Saving and Completing a Section

When you click **Save** at the bottom of a subsection page, the Application will save your answers and run any validations configured for that subsection. You will receive an on-screen error message and guidance to remedy the error if your entries are incomplete or contain errors. After clicking **Save**, you can navigate away from the subsection and your answers will be saved.

To complete a subsection, fill in all necessary fields. All required questions are marked with a red asterisk **\***.

The screenshot displays the '2022 ERP Application - Part 2: Community Impact - Q.13(b) – Outcomes, Tracking and Reporting' page. On the left is a 'Table of Contents' sidebar with a tree view. Under 'Part 2: Community Impact', 'Q.13(b) – Outcomes, Tracking and Reporting' is selected and highlighted. The main content area shows the title 'Q.13(b) – Outcomes, Tracking and Reporting' with a 'Bookmark Subsection' checkbox. Below the title is a text prompt: 'b. If you selected "Other" in Q.13a in the previous subsection, provide detail about the outcome(s) that will result from your business strategy.' This prompt is followed by a red asterisk, indicating a required field. A large text input box is provided for the answer. At the bottom right of the input box, it says '500 characters remaining'. A blue 'Save' button is located below the input box. A 'Print Page' link is visible in the bottom right corner of the main content area.

Figure 33 Required Fields Example

At the bottom of the page, click the **Save** button.

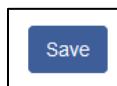


Figure 34 Save Button

The Application will save all responses. If any of your responses are incomplete or contain errors, the subsection will not be marked complete. Any errors or guidance will be displayed in **red**. For example, a field left empty will display “**This response is required.**”



Figure 35 Error from Field Left Blank Example

Correct any errors and try to save again. When the subsection page is successfully marked complete, this message will appear at the top of the display in **green**, just below the gray bar with the name of the section and subsection you are viewing.



Figure 36 Subsection Complete Example Message

In the menu bar, a green checkmark will appear next to the saved and completed subsection.

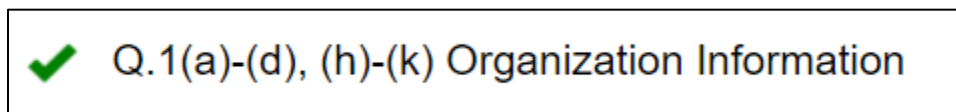


Figure 37 Saved and Completed Subsection Checkmark Example

#### 8.4 Time Management

You may save data, log out, and return to your Application at a later date. The electronic Application will automatically log you off after 2 hours of inactivity (i.e., no movement between screens). **If this happens, you will lose any data that you have entered and did not save.**

## 8.5 Bookmarks

If you need to flag a subsection to return to later, use the bookmark feature. When you click on any subsection, you will see the **Bookmark Subsection** checkbox visible in the upper-right of the display.

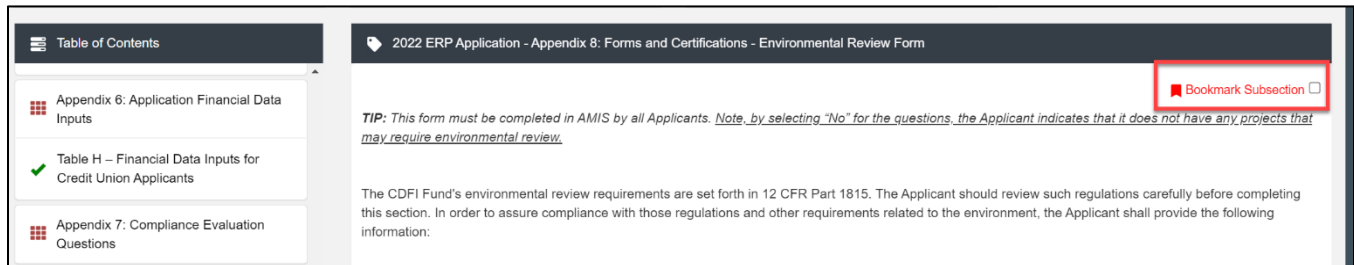


Figure 38 Bookmark Example

Click the checkbox to bookmark the subsection. A bookmark symbol will appear next to that subsection in the Table of Contents menu.

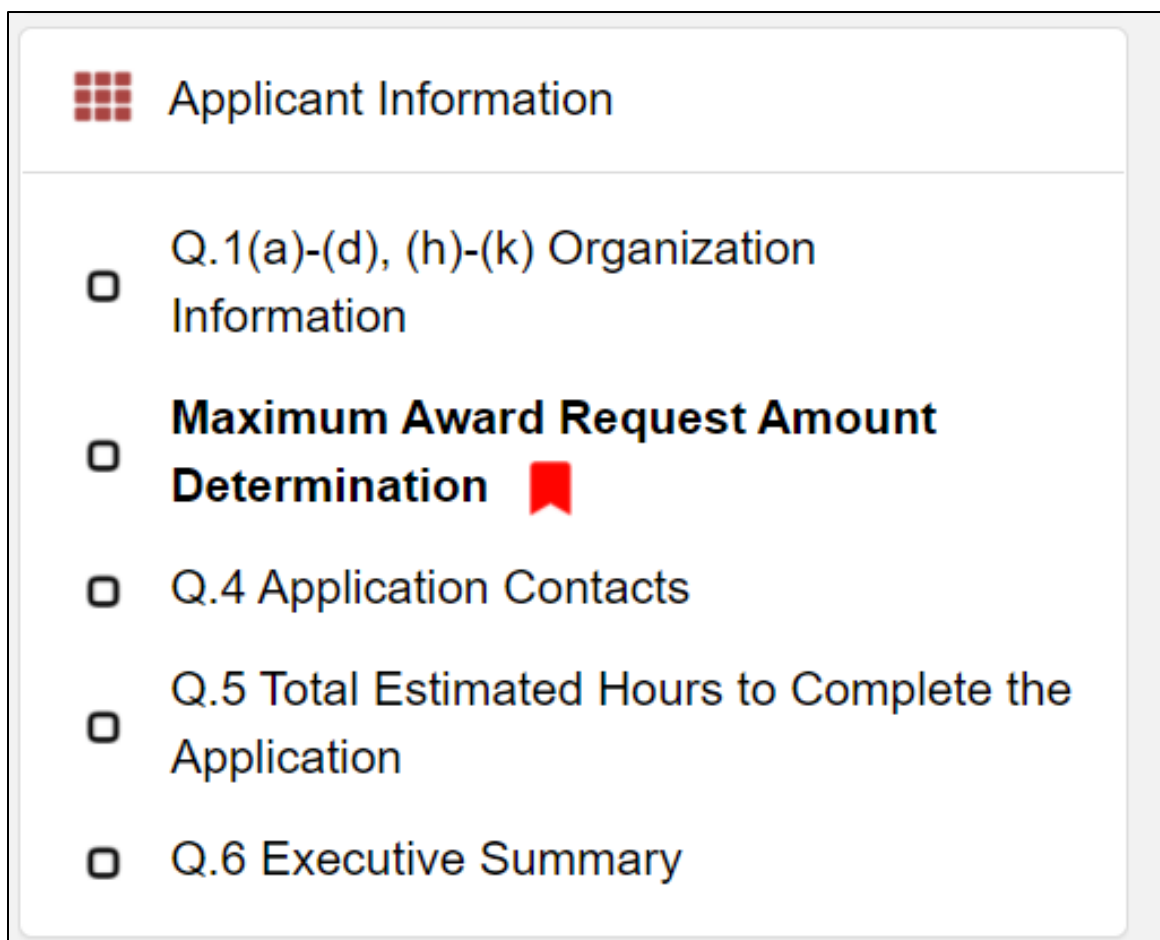


Figure 39 Bookmark Symbol Example

To remove a bookmark, uncheck the checkbox.

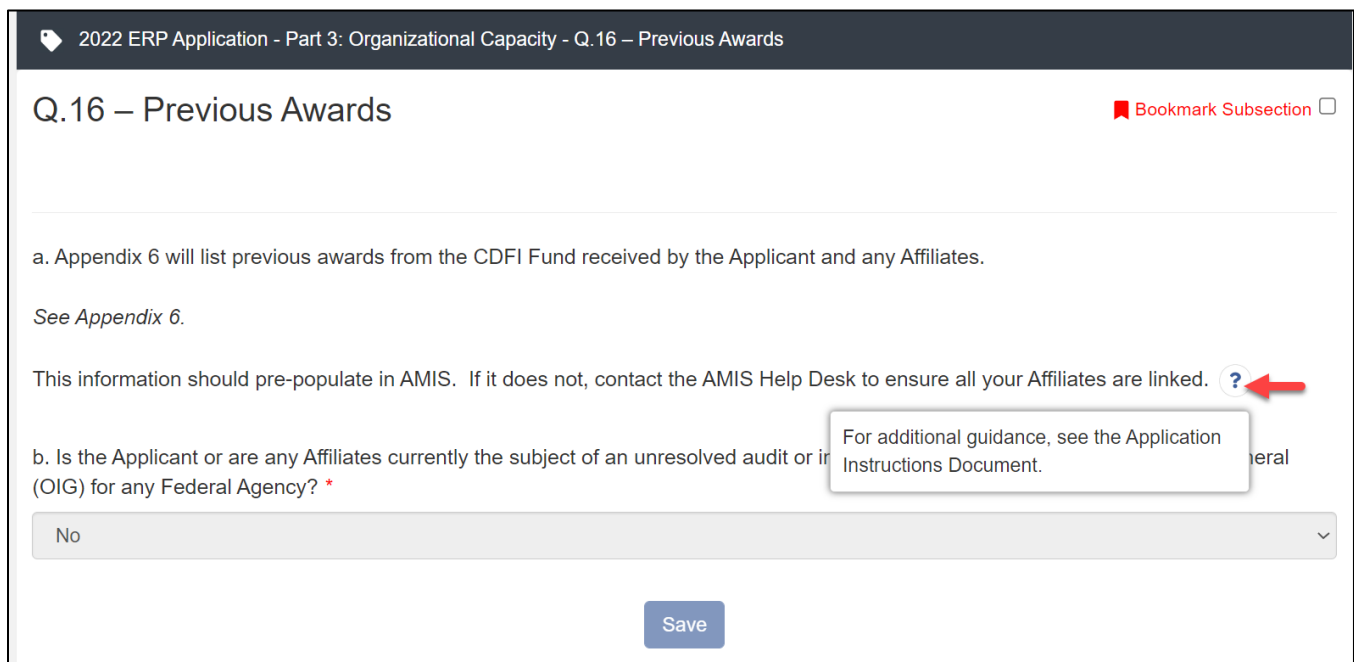
## 8.6 Help Text

Some questions will have Help Text that will provide additional online guidance. A question that has Help Text available will have a small circle with a question mark in it following the question text. It is recommended that Applicants read all Help Text.



Figure 40 Help Text Symbol

Hover your cursor over the Help Text button to view guidance.



The screenshot shows a web application interface for the "2022 ERP Application - Part 3: Organizational Capacity - Q.16 – Previous Awards". The main heading is "Q.16 – Previous Awards" with a "Bookmark Subsection" checkbox. The question text reads: "a. Appendix 6 will list previous awards from the CDFI Fund received by the Applicant and any Affiliates. See Appendix 6. This information should pre-populate in AMIS. If it does not, contact the AMIS Help Desk to ensure all your Affiliates are linked." A red arrow points to a blue question mark icon next to the text. A tooltip box appears over the icon, containing the text: "For additional guidance, see the Application Instructions Document." Below the question text is a dropdown menu with "No" selected. A "Save" button is at the bottom.

Figure 41 Help Text Expanded Example

If Help Text is not provided for that question or if you need additional guidance, please see the FY 2022 CDFI ERP Application Instructions available on the CDFI Fund's website.



## 9.0 User Interface Form Features

### 9.1 Validation Rules, Error Messages, and Guidance

There are validation rules associated with required fields and other information in the Application. When you **Save** a subsection, all validations will be executed. If errors are detected, you will see error messages displayed by the field that needs to be adjusted. Please follow all error message guidance accordingly.

Errors may range from entering an invalid value to omitting a required field. For example, in the Application Contacts subsection below, this field is required.

The screenshot displays a web application interface for the 2022 ERP Application. On the left is a sidebar with a 'Table of Contents' and a list of sections: Applicant Eligibility, Organization and Application Information, Q.1(a)-(d), (h)-(k) Organization Information, Q.1(e)-(g) Organization Information, Maximum Award Request Amount Determination, Q.2(a) Requested Award, Q.2(b) Requested Award, Q.2(c) Requested Award, Q.3 Accountability and Financing Track, Record to Minority Individuals and Minority Communities, Q.4 Application Contacts (highlighted with a green checkmark), and Q.5 Total Estimated Hours to Complete the Application. The main content area is titled '2022 ERP Application - Organization and Application Information - Q.4 Application Contacts' and includes a 'Bookmark Subsection' button. The section is titled 'Q.4 Application Contacts' and contains several paragraphs of instructions. The first paragraph states that the Application Point of Contact will receive all communications from the CDFI Fund. The second paragraph explains that selecting an Application Point of Contact in AMIS will populate email and phone number fields. The third paragraph requires at least two different Application contacts, with the second one must be different from the first. The fourth paragraph notes that a third point of contact is recommended but not required, and it must be different from the first and second. The fifth paragraph states that the Point of Contact cannot be a consultant or other contractor. Below these instructions is a list item 'a. Select your Application Point of Contact from your Organization's AMIS contacts.' followed by a red asterisk indicating a required field. A text input field contains the value 'Test Rep CDFI NACA Org 13' and a 'Clear' button is to its right.

Figure 42 Required Field Example

If you click “Save” before you enter a response to these questions, you will receive an error message for the omitted required field(s).

The screenshot displays the '2022 ERP Application - Organization and Application Information - Q.4 Application Contacts' page. On the left is a 'Table of Contents' sidebar with a tree view. The main content area has a red banner at the top stating: 'Your responses have been saved but a validation error occurred. Please fix the error and save again to complete the section.' Below this is the section title 'Q.4 Application Contacts' with a 'Bookmark Subsection' toggle. The content includes explanatory text about the Application Point of Contact and a list of instructions (a and b) for selecting contacts from the AMIS system. A search bar is provided for instruction 'a'. A red asterisk and the text 'This response is required.' are positioned above the search bar, indicating a validation error. Instruction 'b' is also visible below the search bar.

Table of Contents

- Application Instructions
- Attach SF-424
- SF-424
- Applicant Eligibility
- Organization and Application Information
  - Q.1(a)-(d), (h)-(k) Organization Information
  - Q.1(e)-(g) Organization Information
  - Maximum Award Request Amount Determination
  - Q.2(a) Requested Award
  - Q.2(b) Requested Award
  - Q.2(c) Requested Award
  - Q.3 Accountability and Financing Track

2022 ERP Application - Organization and Application Information - Q.4 Application Contacts

Your responses have been saved but a validation error occurred. Please fix the error and save again to complete the section.

### Q.4 Application Contacts

The Application Point of Contact will receive all communications from the CDFI Fund regarding this Application and if successful, the associated Award.

When you select an Application Point of Contact in AMIS, his/her email and phone number will populate. Ensure this information is complete (i.e., complete all fields in the AMIS contacts section) and accurate or you may miss important information about your Application.

The Applicant must provide at least two different Application contacts. The Applicant's second Application Point of Contact must be different from the first Application Point of Contact.

The Applicant does not have to select a third point of contact, but it is recommended. Adding more individuals makes it less likely the Applicant will miss communication from the CDFI Fund. The Applicant's third Application Point of Contact must be different than the first and second Application Points of Contact.

The Point of Contact cannot be a consultant or other contractor.

a. Select your Application Point of Contact from your Organization's AMIS contacts.

\*  
This response is required.

Search Records... Clear

b. Select a second Application Point of Contact from your Organization's AMIS contacts.

Figure 43 Error Message Example

Required fields are easy to identify, but other fields that have validations are not always so obviously marked. Make sure to read the subsection guidance and use help text to understand question response requirements to avoid validation errors.

## 9.2 Dependent Questions and Subsections

Responses to some questions will trigger the applicability of other dependent questions or subsections. Be careful when changing responses to questions, since the answers you input in earlier subsections may affect dependent subsections that you will have to complete later in the Application.

### Dependent Questions

A **Dependent Question** is triggered when your response to another question requires additional responses or explanation. Dependent Questions will appear on the same subsection page you are viewing once the dependent question is triggered.

For example, if you select “Yes” from the picklist in Q.12a, a dependent Question will appear.

2022 ERP Application - Part 2: Community Impact - Q.12- ERP Policy Priorities

### Q.12- ERP Policy Priorities

[Bookmark Subsection](#)

The CDFI ERP policy priorities are listed in Q.12. Applicants must select one and only one of the five policy priorities. The CDFI Fund has no preference between any of the listed priorities. If the Applicant is selected for an Award, the policy priority selected will become a condition of the Assistance Agreement.

**Please select "Yes" for ONE of the following options and "No" for the remaining options.** (Selecting "No" indicates that Applicant is not choosing those options as its policy priority and does not preclude an Applicant from engaging in the subject activity).

a. Will the Applicant direct a percentage of CDFI ERP Award dollars to Low- or Moderate-Income Majority Minority Census Tracts that are also ERP-Eligible Geographies?

Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to Low- or Moderate-Income Majority Minority Census Tracts that are also ERP-Eligible Geographies.

0 Decimal Places

Figure 44 Dependent Question Example

Many dependent questions require a narrative response. Please note that each narrative response field has an identified maximum character length. These character maximums include spaces, punctuation, line breaks, and special characters. Please note that word processing programs typically do **not** count line breaks as characters, but the template Application in AMIS will include line breaks in your total character count.

The text box will not allow you to exceed the maximum character limit. If you are copying a response from another source, please make sure you are within the character limit or the **text box may truncate your response**.

2022 ERP Application - Part 3: Organization Capacity - Q.15 – Previous Awards

## Q.15 – Previous Awards Bookmark Subsection ☐

a. **Appendix 5** will list previous awards from the CDFI Fund received by the Applicant and any of its Affiliates. Review **Appendix 5**.

**?**

b. Is the Applicant or any of its Affiliates currently the subject of an open or unresolved audit or investigation by the Office of the Inspector General (OIG) for any Federal Agency?

\*

Yes

c. If response to Q.15b is "Yes," explain the nature and status of the audit or investigation by the OIG for any Federal Agency, including any resolutions reached or determinations made.

\*

2000 characters remaining

Save

Figure 45 Text Box Character Limit

TIP: Type your narrative answers into a separate word processing program (e.g., Microsoft Word). Then copy and paste the answers into the appropriate sections of the electronic application. This will prevent the loss of information if you encounter problems saving your application or connection problems. It will also cut down on the time you spend directly filling out the application online. When copying and pasting the narrative responses from a word processing program into the narrative text box, any special indentions or spacing will not carry over. Formatting, such as bold, italicized, or underlined text will not display in the simple narrative text box.

### Dependent Subsections

A **Dependent Subsection** is a subsection that is enabled for you to complete based on your response to one or more questions in a different subsection. This feature is designed to make it easier for you to navigate the Application by hiding/disabling sections that do not apply to your organization. Note: You

may not see all subsections. To confirm that a subsection does not apply to your organization, please see the Application Instructions on the CDFI ERP webpage.

For example, your responses to the subsection 'Q.7(a) - Assessment of the Economic Impact(s) of COVID-19' enable a dependent subsection, Q.7(b), if you indicate 'Other' as your response.

The screenshot shows the '2022 ERP Application - Part 1: Business Strategy - Q.7(a) - Assessment of the Economic Impact(s) of COVID-19'. A red banner at the top states: 'Please check at least 1 of the checkbox(es) in this subsection.' The main heading is 'Q.7(a) - Assessment of the Economic Impact(s) of COVID-19' with a 'Bookmark Subsection' link. Below this, a question asks to identify specific economic impacts. A table follows with two columns: 'Economic Impacts' and 'Response'.

Economic Impacts	Response
Job loss/increased unemployment	<input type="checkbox"/>
Closure of health and mental health care facilities and/or disruptions in health and mental health care services	<input type="checkbox"/>
Closure of childcare facilities and/or disruptions in childcare services	<input type="checkbox"/>
Increased housing instability	<input type="checkbox"/>
Decreased availability of housing affordable to individuals and families at	<input type="checkbox"/>

Figure 46 Dependent Subsection Example

When the subsection is saved and marked complete, the response of "other" will enable the corresponding dependent subsection "Q.7(b) - Assessment of the Economic Impact(s) of COVID-19" to display and become visible in the Table of Contents.

The screenshot shows the 'Table of Contents' for 'Part 1: Business Strategy'. It lists several subsections, each preceded by a green checkmark indicating completion. The subsection 'Q.7(b) - Assessment of the Economic Impact(s) of COVID-19' is highlighted with a red rectangular box, indicating it is now visible as a dependent subsection.

- ✓ Q.7(a) - Assessment of the Economic Impact(s) of COVID-19
- ☐ Q.7(b) - Assessment of the Economic Impact(s) of COVID-19
- ✓ Q.7(c) - Assessment of the Economic Impact(s) of COVID-19
- ✓ Q.8 – Eligible Activities
- ✓ Q.9 – Implementation Plan

Figure 47 Dependent Subsection in Table of Contents Example

It is important to complete the Application as ordered in the Table of Contents because questions like these that appear in earlier sections may enable dependent subsections to appear that you will need to complete in order to submit your Application.

### 9.3 Selecting Related Records

The Application uses records associated with your organization in AMIS to help you populate information in certain fields, such as information about Application Points of Contact.

To select related records:

1. Related record fields display a list of relevant related records for your organization that are available for this question when you click on the field.

a. Select your Application Point of Contact from your Organization's AMIS contacts.

TestUser Org21AR01 [Clear](#)

[View Record](#)

Title: CEO  
Email: test201801260003@example.com.disabled

b. Select a second Application Point of Contact from your Organization's AMIS contacts.

Search Records... [Clear](#)

c. Select a third Application Point of Contact from your Organization's AMIS contacts.

Search Records... [Clear](#)

[Save](#)

Figure 48 Related Records Example

2. You can view the selected record's detail page by clicking the **View Record** link. This will direct you to the record detail page, where you can see more detailed information about the selected record.

### 9.4 Adding Attachments

Attachments can be uploaded using the Drag & Drop. You will see the Drag & Drop box below any question that requires an attachment.

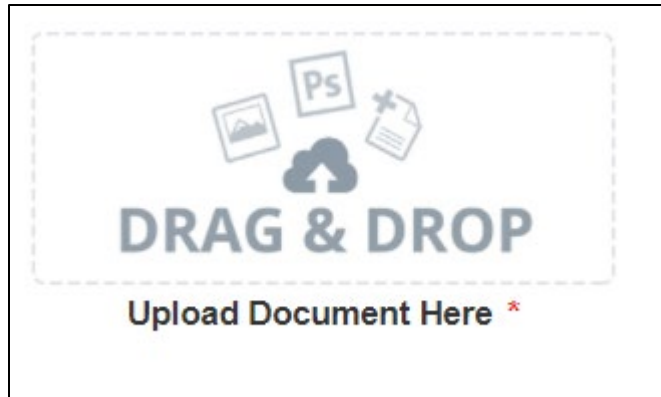


Figure 49 Drag and Drop Icon

To upload using the Drag & Drop:

1. Locate the file you wish to upload on your computer. Open the folder where the file is saved in File Explorer.

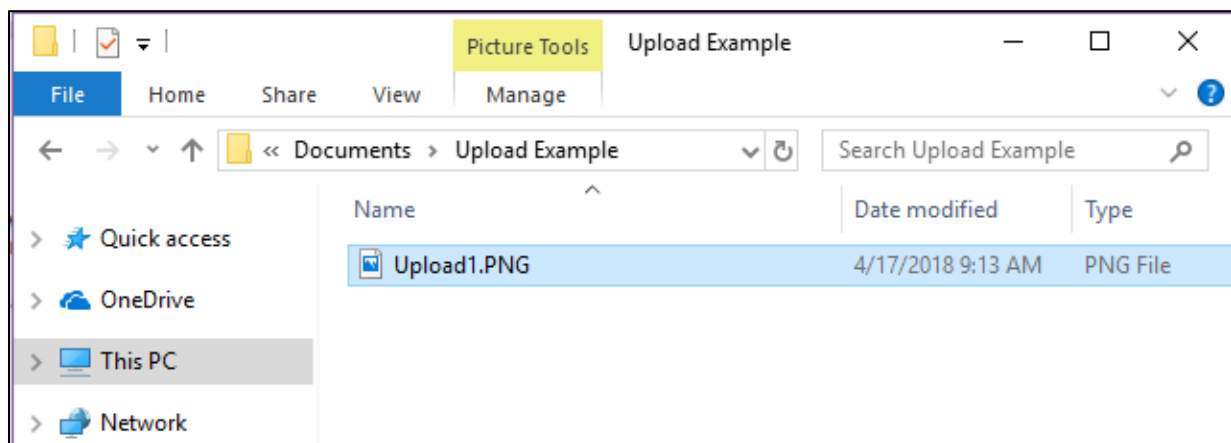


Figure 50 File Explorer

2. Return to the Application page. Using your cursor, drag the file you want to upload from File Explorer to the Drag & Drop upload box on the Application.

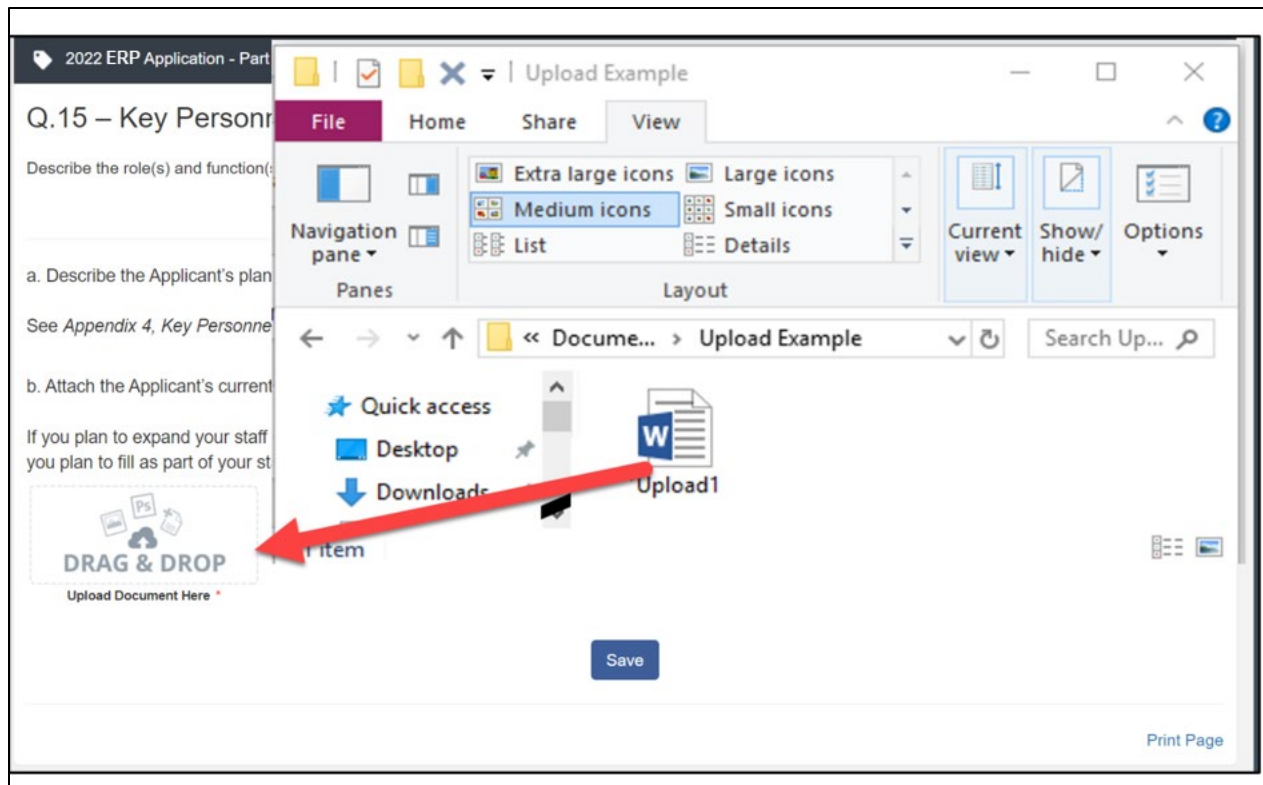
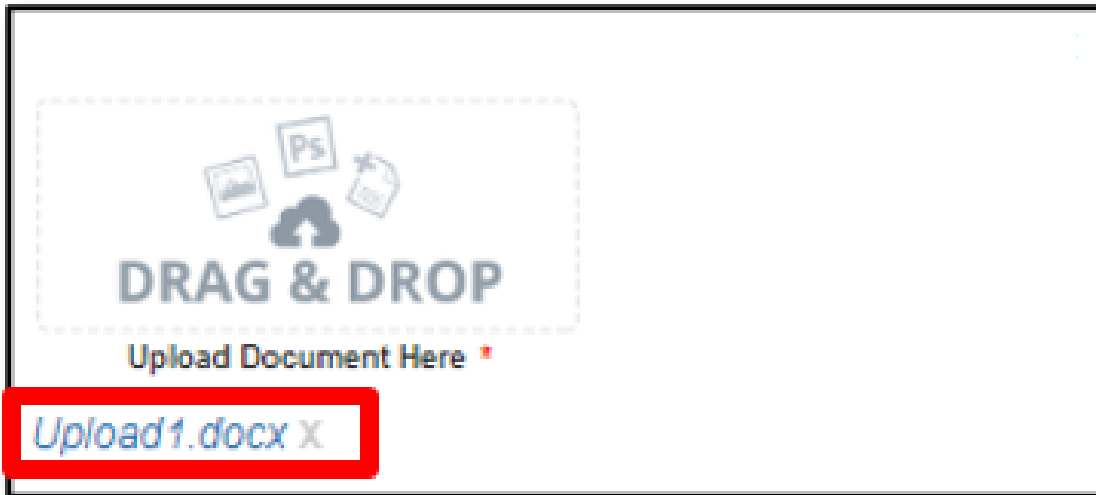


Figure 51 File to Drag and Drop Example

Note: Use caution to ensure you drag and drop the file directly over the Drag & Drop upload box area to prevent your web browser from inadvertently trying to open the file.

3. Once your file is successfully uploaded, the file name will be displayed below the Drag & Drop box.





*Figure 52 Filename Displayed in Drag & Drop*

4. Upload any additional files using the same process. If you need to remove an uploaded file, click the gray “x” next to the file name.

### 9.5 Dynamic Record Entry Tables

Applicants are required to enter Key Personnel and, if applicable, a list of issues related to a Statement in Lieu of Management Letter as part of the Application. These records are a series of questions that are repeated to the Applicant and are collected dynamically through the Application. An Applicant may need to add a single record or multiple records, depending on the Application question.

You will recognize dynamic record tables by the page setup. When you open a new subsection with one of these tables, a reminder message and an empty overview table will be displayed below the table instructions at the top of the page. As you add records to the table, they will appear in the table overview section.

Table of Contents

Q.15 – Previous Awards

Q.16 – Financial Information and Compliance Risk Evaluation

Appendix 1: Accountability and Financing Track Record to Minority Individuals and Minority Communities

Appendix 2: CDFI ERP Projected Performance

Appendix 3: Community Impact Tables

Appendix 4: Key Personnel

**Table F: Key Personnel**

Appendix 5: Previous CDFI Fund Awards

Appendix 5: Previous CDFI Fund Awards

2022 ERP Application - Appendix 4: Key Personnel - Table F: Key Personnel

Bookmark Subsection

Table F: Key Personnel

Describe the role(s) and function(s) that will be needed in your organization to support the implementation plan for an ERP Award.

Overview (1)

Record Name	Completed	Existing Personnel for each role?	Relevant Skills	Plan to Fill
Test Person (active)	✓	No		test

9 Remaining Rows

Add Row

Test Person

Name of Role or Function:

Test Person

a. Do you have an existing staff, contractor or board member to fill each role or function?

No

Figure 53 Records in Table Overview

Directly below the table overview is the field entry form. Data is entered into this form and saved to create a single record row in the table. Additional rows are created by selecting the “Add Row” link and populating the fields with new data and saving the form again.

Test Test

Name:

Test Test

a. List the role or function of each of the key personnel included in your strategy.

President

191 Characters Remaining

b. Do you have an existing staff, contractor or board member to fill each role or function?

No

d. If no, describe your plan for filling this role or function.

Test

Figure 54 Field Entry Form

## 9.6 Direct-Entry Tables

Direct-entry tables are configured to collect specific data directly from users. Unlike dynamic record tables, direct-entry tables allow you to input your data directly into the table.

**Table of Contents**

- Appendix 5: Previous CDFI Fund Awards
- Appendix 5: Previous CDFI Fund Awards
- Appendix 6: Application Financial Data Inputs
- Table H – Financial Data Inputs for Credit Union Applicants**
- Appendix 7: Compliance Evaluation Questions
- Appendix 8: Forms and Certifications
- Environmental Review Form
- A. Standard Form 424B: Assurances - Non-Construction Programs
- B. Additional Certifications

**2022 ERP Application - Appendix 6: Application Financial Data Inputs - Table H – Financial Data Inputs for Credit Union Applicants**

**Table H – Financial Data Inputs for Credit Union Applicants** Bookmark Subsection

**Note about Current Year Financial Statements:** If available, provide audited financial statements for your organization's current year. If audited financial statements are not available for your current year, provide unaudited financial statements.

**Note for Regulated Applicants:** Regulated Applicants should not use information from audited financial statements. Instead, Regulated Applicants should use information from their respective call reports to complete the historic year financial data records.

**Note about On-Balance Sheet Loans:** Loans that an Applicant may have originated, but then sold or participated out (i.e. "sold but serviced") are not to be counted in the "total on-balance sheet loans." Only the amount of the Applicant's capital that is at risk is to be included in the On-Balance Sheet Loan entry.

**Note about Loan Portfolio and Equity Investment Information:** All Application Financial Data input fields in the Loan Portfolio and Equity Portfolio groupings of the Application Financial Data inputs should reflect the Applicant's entire Loan Portfolio and Equity Portfolio.

Financial Data Type	Historic 3	Historic 2	Historic 1
Fiscal Year Selection	2019	2020	2021
<b>Assets</b>			
Allowance for Loan and Lease Losses (\$) *	\$ 1,000,000 0 Decimal Places	\$ 1,000,000 0 Decimal Places	\$ 1,000,000 0 Decimal Places

Figure 55 Table H - Financial Data Inputs for Credit Union Applicants

In the sample table above, you can see that a direct-entry table simply allows you to enter multiple responses (in columns) to multiple questions (in rows) at the same time.

If the number of columns exceeds the standard screen format, the slide bar at the **bottom of the table itself** (not the bottom of the browser window) will allow you to access the columns to the right.

If using the Tab key during data entry, please note the Tab key moves the cursor to the field in the column to the right.

If you are unable to see the full table in the screen and need to scroll down the table, the table header will cascade down the table with you.

**Note:** The large tables in the application are designed with cascading column and row headers to aid with data entry. Due to the size of this table, you may experience a lag in header movement. If the moving headers are moving slowly or not at all, please try the following troubleshooting tactics:

- Scroll to the bottom of the subsection and click **Save** to record any data you have already entered. Then, refresh the application page.
- After saving the subsection, click the **Exit** button in the upper right-hand corner of the page to exit the application. Then, re-open the application and re-load this subsection.
- If possible, try opening the application in a different web browser or with a different internet connection.
- Try zooming out within your browser window so that more of the table is visible.

## 9.7 Exporting your Application as a PDF

The Application can generate an Adobe PDF version of your Application for your organization's records. You can also use this feature to view your current progress on the Application at any point in the Application process.

To generate a PDF version of the Application:

1. Navigate to the stationary menu bar at the top of the Application.

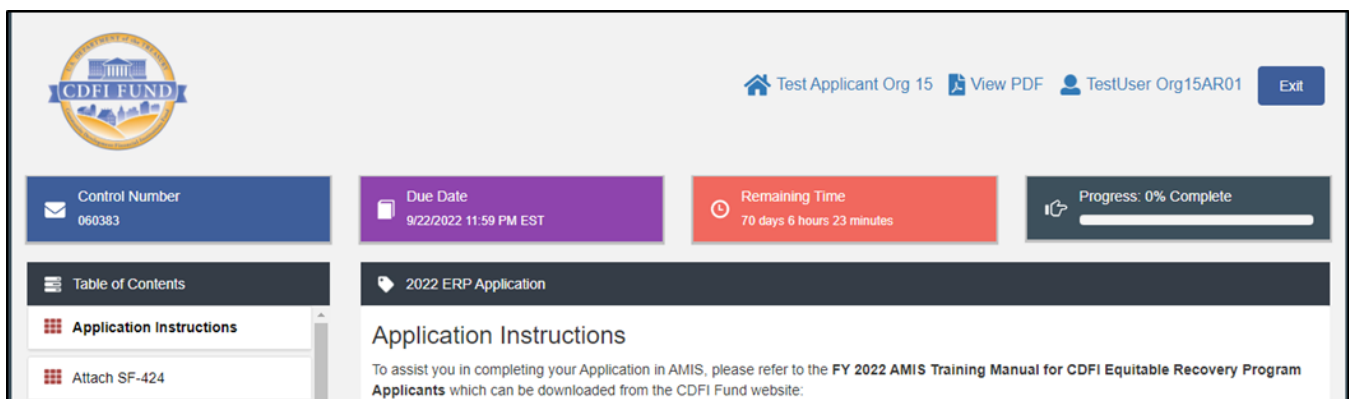


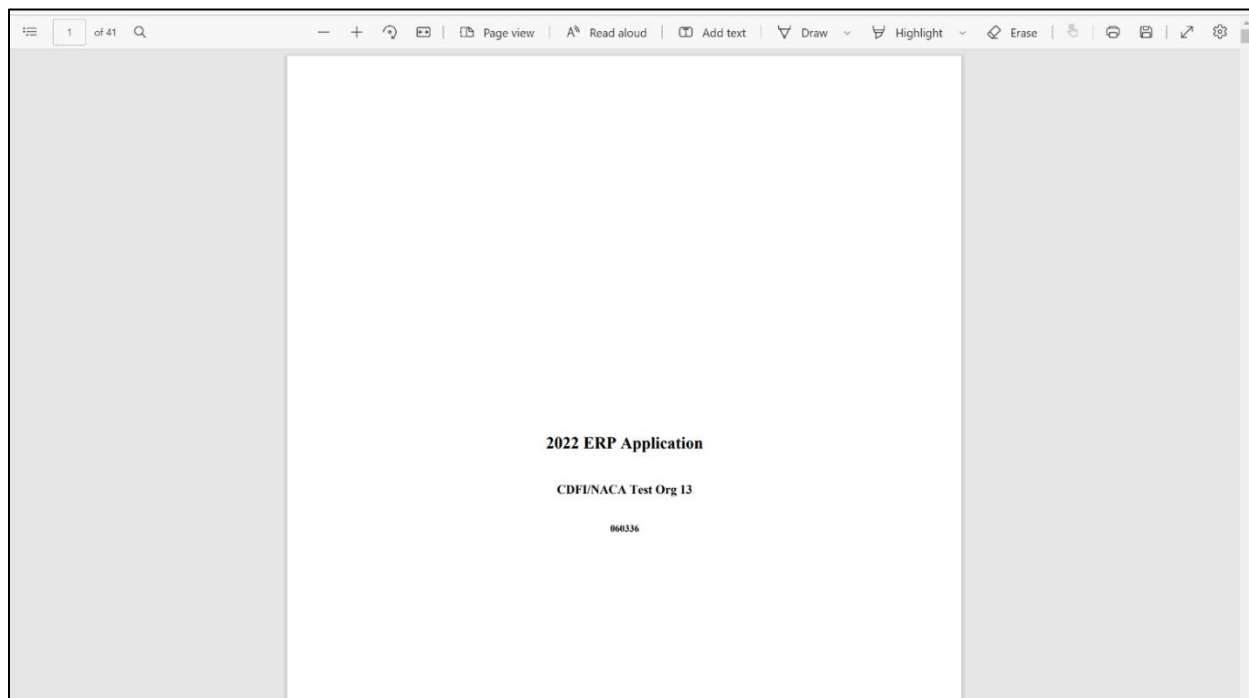
Figure 56 Application Quick Links

2. Select **View PDF**.



*Figure 57 Application Quick Links - View PDF*

3. This will open a PDF of the Application and your responses in a new window. Your browser's PDF viewer will have a button (usually an arrow as highlighted in the example below) that will allow you to download and save the PDF.



*Figure 58 ERP Application PDF*

## 9.8 Saving your Application Progress

You may save your progress at any point during the completion process. Clicking the **'Save'** button located at the end of each subsection will ensure that your most recent changes/inputs have been recorded.

d. If no, describe your plan for filling this role or function.

Test

1995 Characters Remaining

Save Download CSV Delete Record Test Test

Figure 59 Save Button

**NOTE:** If you experience elongated wait times during the saving process, it is recommended to refresh the page or re-launch the Application.

## 10.0 CDFI ERP Application Specific Guidance

This section includes additional guidance for navigating select CDFI ERP Application sections/subsections in the Application Template UI, including:

Attach SF- 424

Applicant Eligibility

Organization and Application Information

- Q.1(a)-(d), (h)-(k) Organization Information
- Q.1(e)-(g) Organization Information
- Q.1(l)-(s) Organization Information
- Maximum Award Request Determination
- Q.3 – Accountability and Financing Track Record to Minority Individuals and Minority Communities
- Q.4 – Application Contacts
- Q.5 – Total Estimated Hours to Complete the Application
- Q.6 – Executive Summary

Part 1: Business Strategy

- Q.7(a) – Assessment of the Economic Impacts of COVID-19
- Q.7(b) – Assessment of the Economic Impacts of COVID-19
- Q.7(c) – Assessment of the Economic Impacts of COVID-19
- Q.8 – Eligible Activities
- Q.9 – Implementation Plan
- Q.10– Projected Performance

Part 2: Community Impact

- Q.11 – Track Record of Responding to Community Needs
- Q.12 – ERP Policy Priorities
- Q.12(d) – ERP Policy Priorities
- Q.12(e) – ERP Policy Priorities
- Q.13(a) – Outcomes, Tracking, and Reporting
- Q.13(b) – Outcomes, Tracking, and Reporting

- Q.13(c) – Outcomes, Tracking, and Reporting
- Q.13(d) – Outcomes, Tracking, and Reporting

### Part 3: Organization Capacity

- Q.14 – Key Personnel
- Q.15 – Previous Awards
- Q.16 – Financial Information and Compliance Risk Evaluation

Appendix 1: Accountability and Financing Track Record to Minority Individuals and Minority Communities

Appendix 2: CDFI ERP Projected Performance

Appendix 3: Community Impact Tables

Appendix 4: Key Personnel

Appendix 5: Previous CDFI Fund Awards

Appendix 6: Application Financial Data Inputs

Appendix 7: Compliance Evaluation Questions

Appendix 8: Forms and Certifications

Appendix 9: Financial Attachments

Attestation and Submission

## 10.1 Attach SF-424

All Applicants are required to submit the initial component of their FY 2022 ERP Application using the [Grants.gov](https://www.grants.gov) portal, the official website for federal grant information and Applications. The only component of the CDFI ERP Application submitted via Grants.gov is the Standard Form (SF-424) Mandatory Form. The SF-424 is required for all Applicants.

The registration for Grants.gov and the processing time needed to review your SF-424 submission will take several days so it is recommended that Applicants begin this process before they start their Application in AMIS.

Once your SF-424 is validated by Grants.gov, a record for your SF-424 will be generated in AMIS. You will need to link your SF-424 record to your CDFI ERP Application in the Application UI.

**2022 ERP Application - Attach SF-424 - SF-424**

[Bookmark Subsection](#) ☒

Please type 'Grant' to select your SF-424. If you have selected multiple SF-424's in Grants.gov, please select the correct SF-424 by referencing the SF-424 ID (the digits following 'Grant'). Once you have selected your SF-424, press 'Save'.

If your SF-424 does not appear, please contact the CDFI ERP Team by submitting a Service Request.

Attach SF-424 \*

Search Records... [Clear](#)

[Save](#)

[Print Page](#)

Figure 60 Attach SF-424

Navigate to the **“Attach SF-424”** section header in the Table of Contents and click on the **SF-424** subsection link. The SF-424 subsection will display a single related record question. Click in the gray **“Search Records”** box and begin typing the word **“Grant”**. SF-424 records associated with your organization will appear in the related record list. If you have submitted multiple SF-424s in Grants.gov, please select the correct SF-424 by referencing the SF-424 ID (the digits following **“Grant”**). If your SF-424 does not appear, please contact the CMF Team by submitting a Service Request. Once you select an SF-424 record, click Save.

## 10.2 Applicant Eligibility

**2022 ERP Application - Applicant Eligibility - Applicant Eligibility Data Table**

[Bookmark Subsection](#) ☐

Provide the Applicant's Financial Products closed and Grants made, both overall and in ERP-Eligible Geographies, for its five most recent historic fiscal years.

This data will be used to determine if the Applicant meets CDFI ERP's Eligibility Criteria in the next subsection.

Financial Data Type	Historic Year 5	Historic Year 4	Historic Year
Fiscal Year Selection *	*	*	*

Figure 61 Applicant Eligibility Data Table

*Complete all table entries. Each entry must be numeric.*



Please note that the amount or number of On-Balance Sheet Financial Products closed or Grants made in ERP Eligible Geographies (rows 3, 4, 7, and 8) cannot exceed the amount or number of On-Balance Sheet Financial Products closed or Grants made overall (rows 1, 2, 5, and 6).

Even if you have no track record of Grants made, rows #5-8 are still required. Enter '0' for these fields.

Click **'Save'** to complete this subsection.

## 10.3 Organization and Application Information

### **Question 1(a)-(d), (h)-(k) – Organization Information**

**2022 ERP Application - Organization and Application Information - Q.1(a)-(d), (h)-(k) Organization Information**

**Q.1(a)-(d), (h)-(k) Organization Information** Bookmark Subsection ☐

The following section of the Application is the Organization and Application Information section. Certain information in these questions will be auto-populated in AMIS based on data from the Applicant's Organizational Profile. If you need to edit any of the auto-populated fields, you must edit the information directly in the Organizational Profile. You will not be able to edit in the Application itself.

a. Organization Name:  
 CDFI/NACA Test Org 13

b. Address:  
 test, Los Angeles, CA 90051-1873

c. Financial Institution Type:  
 Credit Union

d. Certification Number:

Figure 62 Organization Information - 1(a)-(d), (h)-(k)

#### **a. Organization Name**

*Auto-populated*

This must be the formal name of your organization as it appears on all relevant legal documents such as the Articles of Incorporation. Ensure punctuation, capitalization and spelling are correct. If the name that is currently listed in this field is not your organization's legal name, contact the CDFI Fund through a Service Request for correction.

#### **b. Address**

*Auto-populated*

If the address populating in this field is not correct, you will need to change it on your organizational record in AMIS.

***c. Financial Institutional Type***

*Auto-populated*

Entity type of the Certified CDFI will be auto populated (e.g., bank/thrift, bank holding company, cooperative, credit union, loan fund, venture capital.) If the type populating in this field is not correct, you will need to change it on your organizational record in AMIS.

***d. Certification Number***

*Auto-populated*

If the Certification number populating in this field is not correct, you will need to change it on your organizational record in AMIS.

***h. Minority Depository Institution (MDI)***

*Yes/No*

Click on the appropriate answer.

***i. Employer Identification Number (EIN)***

*Auto-populated*

Must match what's on your SF-424 in Grants.gov.

***j. Unique Entity Identifier (UEI) Number***

*Auto-populated*

Must match what is on your SF-424 in Grants.gov.

***k. Applicant's fiscal year end (month/day)***

*Auto-populated*

Your organization's fiscal year end for purpose of filing financial statements.

If the fiscal year populating this field is not correct, you will need to submit a Material Events form via an AMIS Service Request.

Click **'Save'** to complete this subsection.

### ***Question 1(e)-(g) – Organization Information***

This subsection is only visible/applicable to Applicants that are Regulated Institutions (federally insured banks, thrifts or credit unions).

The screenshot shows a web application interface for the 2022 ERP Application. On the left is a 'Table of Contents' sidebar with a list of sections: Application Instructions, Attach SF-424, SF-424 (with a red bookmark icon), Applicant Eligibility, Applicant Eligibility Data Table, Applicant Eligibility Criteria, Organization and Application Information, Q.1(a)-(d), (h)-(k) Organization Information, Q.1(e)-(g) Organization Information (highlighted with a green checkmark), Maximum Award Request Amount Determination, Q.2(a) Requested Award, and Q.2(b) Requested Award. The main content area is titled '2022 ERP Application - Organization and Application Information - Q.1(e)-(g) Organization Information'. It contains the heading 'Q.1(e)-(g) Organization Information' with a 'Bookmark Subsection' checkbox. Below this are two input fields: 'e. Name of Regulator:' with a red asterisk and a text box containing 'NCUA', and 'f.-g. FDIC Certificate Number/ NCUA Certificate Number, if applicable:' with a red asterisk and a text box containing '24506'. A blue 'Save' button is positioned below the second input field. A 'Print Page' link is in the bottom right corner.

*Figure 63 Organization Information 1(e)-(g)*

#### ***e. Name of Regulator***

*Auto-populated*

Applicable to Applicants that are federally insured banks, thrifts or credit unions.

#### ***f. FDIC Certificate Number or***

#### ***g. NCUA Certificate Number***

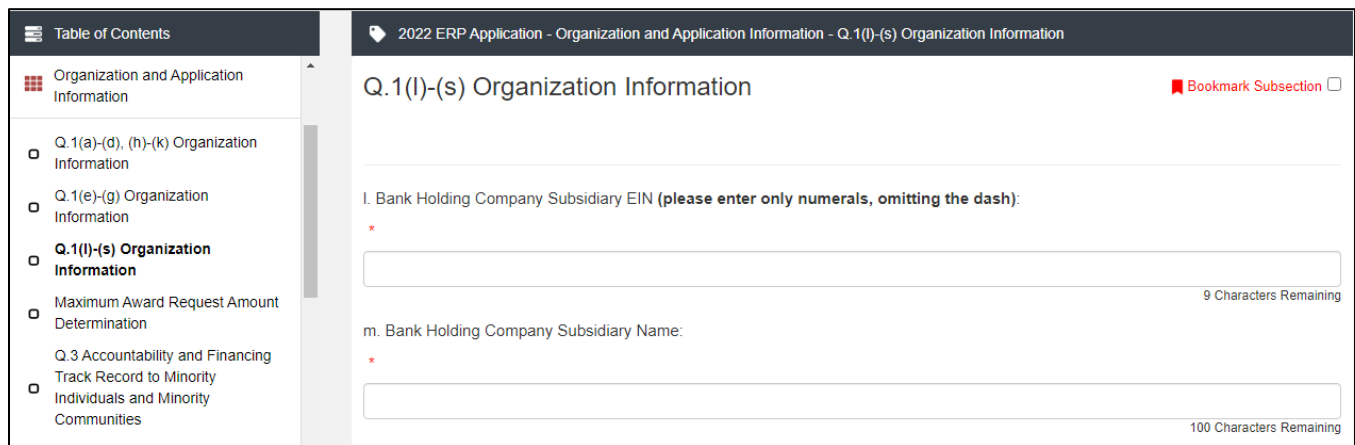
*Auto-populated*

Applicable to Applicants that are federally insured depository institutions and NCUA Institutions, respectively.

Click **'Save'** to complete this subsection.

### ***Question 1(l)-(s) – Organization Information***

This subsection is only visible/applicable to Applicants that are Bank Holding Companies.



The screenshot displays the '2022 ERP Application - Organization and Application Information - Q.1(l)-(s) Organization Information' page. On the left is a sidebar with a 'Table of Contents' and a list of sections. The main content area is titled 'Q.1(l)-(s) Organization Information' and includes a 'Bookmark Subsection' checkbox. It contains two input fields: 'I. Bank Holding Company Subsidiary EIN (please enter only numerals, omitting the dash):' with a '9 Characters Remaining' indicator, and 'm. Bank Holding Company Subsidiary Name:' with a '100 Characters Remaining' indicator.

Figure 64 Organization Information 1(l-s)

### ***I. Bank Holding Company Subsidiary EIN***

*Numeric*

Enter only numeric data directly into this field.

This field and subsequent fields (m)-(s) are required only on the condition that the Applicant is a DIHC, and will not appear for all other Applicant types.

### ***m. Bank Holding Company Subsidiary Name***

*Text*

Enter text responses directly into this type of field.

### ***n. Bank Holding Company Subsidiary Mailing Street***

*Text*

### ***o. Bank Holding Company Subsidiary Mailing City***

*Text*

### ***p. Bank Holding Company Subsidiary Mailing State/Province***

*Picklist*

Select the appropriate option from the picklist.

Select your response by clicking on one of the options provided.

**q. Bank Holding Company Subsidiary Zip/Postal Code**

Numeric

**r. Name of Regulator for Bank Holding Company Subsidiary**

Picklist

**s. Regulator ID # for Bank Holding Company Subsidiary**

Numeric

Click **'Save'** to complete this subsection.

## Maximum Award Request Determination

Table of Contents

Application Instructions

Attach SF-424

SF-424

Applicant Eligibility

Applicant Eligibility Data Table

Applicant Eligibility Criteria

Organization and Application Information

Q.1(a)-(d), (h)-(k) Organization Information

Q.1(e)-(g) Organization Information

Maximum Award Request Amount Determination

Q.2(a) Requested Award

2022 ERP Application - Organization and Application Information - Maximum Award Request Amount Determination

Maximum Award Request Amount Determination

Bookmark Subsection

The table below will calculate three times your organization's average on-balance sheet Financial Products closed in its five most recent historic fiscal years using the data you entered in the subsection **'Applicant Eligibility Data Table'**.

- If this value is less than or equal to \$500,000, the Applicant is eligible for a \$500,000 Award.
- If this value is greater than \$500,000, the Applicant is eligible to request up to three times its average on-balance sheet Financial Products closed in its five most recent historic fiscal years or \$15,000,000, whichever is less.

Question	Response
On-balance sheet Financial Products closed for historic fiscal year 1 (\$):	500,000
On-balance sheet Financial Products closed for historic fiscal year 2 (\$):	500,000
On-balance sheet Financial Products closed for historic fiscal year 3 (\$):	500,000
On-balance sheet Financial Products closed for historic fiscal year 4 (\$):	500,000
On-balance sheet Financial Products closed for historic fiscal year 5 (\$):	500,000

Figure 65 Maximum Award Request Amount Determination

### Auto-populated

This Table pulls the annual amounts entered in the 'Applicant Eligibility Data Table' subsection. Confirm these values are correct, as they will help determine the maximum award amount your organization will be able to request.

After you **Save** this subsection, a new subsection, Q2(a) Requested Award, will appear in the Table of Contents.

2022 ERP Application - Organization and Application Information - Q.2(a) Requested Award

## Q.2(a) Requested Award

Bookmark Subsection

- The Applicant should request an Award amount that it can use to finance eligible activities within a five-year Period of Performance for the CDFI ERP, which will commence on the date of the CDFI ERP Award Announcement. The Applicant must spend 100% of its CDFI ERP Award prior to the end of the Period of Performance.
- The Applicant may not request an amount greater than three times its average on-balance sheet Financial Products closed in its five most recent historic fiscal years or \$15,000,000, whichever is less.
- The Applicant may not request an amount below \$500,000. Applicants for which three times its average on-balance sheet Financial Products closed in its five most recent historic fiscal years is less than \$500,000 are eligible for and may only request a \$500,000 Award.
- AMIS will require that the Applicant enter an Award amount rounded to the nearest thousand (e.g., \$557,000 instead of \$556,650).


Award Amount Requested	Response
Three times the Applicant's average on-balance sheet Financial Products closed in its five most recent historic fiscal years: <div> <div>*</div> <div>3,000,000</div> </div>	<div>*</div> <div>3,000,000</div>
a. What is the total dollar amount requested in this Application? <div> <div>*</div> <div>\$</div> <div></div> </div>	<div>*</div> <div>\$</div> <div></div> <div>0 Decimal Places</div>
Award Amount Requested	Response

Auto-populated/Numeric

Enter the requested Award amount, not to exceed the auto-populated amount, on this page and click **'Save'** to complete this subsection.

## Question 2(b) Requested Award

This subsection is only visible/applicable to Applicants for whom three times the Applicant's average on-balance sheet Financial Products closed in its five most recent historic fiscal years is greater than \$500,000.

 2022 ERP Application - Organization and Application Information - Q.2(b) Requested Award

### Q.2(b) Requested Award

Bookmark Subsection ☐

- Having a minimum request will not affect the scoring or evaluation of your Application. At the conclusion of the CDFI Fund's review process, if the Applicant is recommended to receive less than the minimum amount identified in Q.2c, the CDFI Fund will not provide a CDFI ERP Award to the Applicant.
- The Applicant should only respond "Yes" if its minimum request is greater than \$500,000.
- AMIS will require that the Applicant enter an Award amount rounded to the nearest thousand (e.g., \$557,000 instead of \$556,650).

b. Is there an absolute minimum amount below which the Applicant would be unwilling to accept a CDFI ERP Award?

\*

Save

[Print Page](#)

Figure 67 Q.2(b) Requested Award

***b. Is there an absolute minimum amount below which the Applicant would be unwilling to accept a CDFI ERP Award?***

*Picklist*

Click '**Save**' to complete this subsection.

## Question 2(c) Requested Award

This subsection is only visible/applicable to Applicants that have selected 'Yes' to Question 2(b).

2022 ERP Application - Organization and Application Information - Q.2(c) Requested Award

Q.2(c) Requested Award

Bookmark Subsection ☐

Award Amount Requested	Response
c. If there is an absolute minimum amount below which the Applicant would be unwilling to accept a CDFI ERP Award, provide the minimum amount.  *	<div><div>*</div><div>\$ <input type="text"/></div><div>0 Decimal Places</div></div>
Award Amount Requested	Response

Save

Figure 68 Q.2(c) Requested Award

### Numeric

Enter the absolute minimum amount for 2(c).

Click **'Save'** to complete this subsection.



### Question 3 – Accountability and Financing Track Record to Minority Individuals and Minority Communities

Figure 69 Question 3 – Accountability and Financing Track Record to Minority Individuals and Minority Communities

The following information is being collected in order to report on the types of organizations that apply for and receive Awards under the CDFI ERP. The information will not be used in Award decision making or scoring and will not influence any portion of the Award selection process.

Users will not be able to enter values for Q.3(e), Q.3(g), and Q.3(h) on this page (they are grayed out). This is because these values are automatically calculated based on information provided in associated Tables A and B. First navigate to Appendix 1: Accountability and Financing Track Record to Minority Individuals and Minority Communities and complete Table A and B in order to populate the values for Q.3(e), Q.3(g), and Q.3(h).

**a. Does the Applicant use an Advisory Board separate from its Governing Board to maintain accountability to Minority communities?**

Yes/No

**b. If the response to Q.3(a) is “Yes”, how many times per year does the Advisory Board meet?**

Numeric

- c. Does the Applicant's Executive Director/Chief Executive Officer identify as a member of one or more Minority population(s)?**

*Yes/No/No Response*

- d. Provide the requested information, as of the date of the CDFI ERP NOFA publication, about the members of your Governing Board, Executive Staff and, if applicable, Advisory Board.**

See [Appendix 1, Table A](#)

- e. What percentage of members identify as a member of one or more Minority population(s)?**

- i. Governing Board**
- ii. Executive Staff**
- iii. Advisory Board**

*Percentage (these fields will auto-populate based on data entered in Table A)*

- f. Provide the dollar volume (\$) and number (#) of the Applicant's arm's-length, on-balance sheet Financial Products closed to individuals, businesses or nonprofits, and in Majority Minority Census Tracts for its most recent historic fiscal year.**

See [Appendix 1, Table B](#)

- g. What percentage of Applicant's arm's-length, on-balance sheet Financial Products Closed (\$ volume) for its most recent historic fiscal year were to/in:**

- i. Individuals who identify as a member of one or more Minority population(s)?**
- ii. Businesses or nonprofits for whom 50% or more of owner(s) or board members identify as a member of one or more Minority population(s)?**
- iii. Majority Minority Census Tracts?**
- iv. Non-duplicative Total.**

*Percentage (these fields will auto-populate based on data entered in Table B)*

- h. What percentage of Applicant's arm's-length, on-balance sheet Financial Products closed (# transactions) for the most recent historic fiscal year were to/in:**

- i. Individuals who identify as a member of one or more Minority population(s)?**
- ii. Businesses or nonprofits for whom 50% or more of owner(s) or board members identify as a member of one or more Minority population(s)?**
- iii. Majority Minority Census Tracts?**

**iv. Non-duplicative total.**

*Percentage (these fields will auto-populate based on data entered in Table B)*

Click **‘Save’** to complete this subsection.

**Question 4 – Application Contacts**

Table of Contents

- ✓ Q.1(e)-(g) Organization Information
- ✓ Maximum Award Request Amount Determination
- ✓ Q.2(a) Requested Award
- ✓ Q.2(b) Requested Award
- ✓ Q.2(c) Requested Award
- Q.3 Accountability and Financing Track
- ✓ Record to Minority Individuals and Minority Communities
- **Q.4 Application Contacts**
- ✓ Q.5 Total Estimated Hours to Complete the Application
- ✓ Q.6 Executive Summary

Part 1: Business Strategy

- Q.7(a) - Assessment of the Economic Impact(s) of COVID-19
- Q.7(b) - Assessment of the Economic

2022 ERP Application - Organization and Application Information - Q.4 Application Contacts

### Q.4 Application Contacts

Bookmark Subsection ☐

The Application Point of Contact will receive all communications from the CDFI Fund regarding this Application and if successful, the associated Award.

When you select an Application Point of Contact in AMIS, his/her email and phone number will populate. Ensure this information is complete (i.e., complete all fields in the AMIS contacts section) and accurate or you may miss important information about your Application.

The Applicant must provide at least two different Application contacts. The Applicant's second Application Point of Contact must be different from the first Application Point of Contact.

The Applicant does not have to select a third point of contact, but it is recommended. Adding more individuals makes it less likely the Applicant will miss communication from the CDFI Fund. The Applicant's third Application Point of Contact must be different than the first and second Application Points of Contact.

The Point of Contact cannot be a consultant or other contractor.

a. Select your Application Point of Contact from your Organization's AMIS contacts.

Search Records... [Clear](#)

*Figure 70 Question 4 – Application Contacts*

**a. Select your Application Point of Contact from your Organization's AMIS contacts. (Required Field)**

The Application Point of Contact will receive all communications from the CDFI Fund regarding this Application and if successful, the associated award.

In order to select a contact, they must be an existing contact entered on Applicant's organization record in AMIS. When you select an Application Point of Contact in AMIS, his/her email and phone number will populate. Ensure this information is complete (i.e., complete all fields in the AMIS contacts section) and accurate or you may miss important information about your Application.

The Point of Contact cannot be consultant or other contractor.

**b. Select a second Application Point of Contact from your Organization's AMIS contacts. (Optional Field)**

Begin entering the first few letters of the contact's name to initiate the record search and select the appropriate contact from the results provided.

**c. Select a third Application Point of Contact from your Organization's AMIS contacts. (Optional Field)**

Begin entering the first few letters of the contact's name to initiate the record search and select the appropriate contact from the results provided.

Click **'Save'** to complete this subsection.

**Question 5 - Total Estimated Hours to Complete the Application**

The screenshot displays the '2022 ERP Application - Organization and Application Information - Q.5 Total Estimated Hours to Complete the Application' page. On the left is a 'Table of Contents' sidebar with a list of sections, including 'Q.1(e)-(g) Organization Information', 'Q.2(a) Requested Award', 'Q.2(b) Requested Award', 'Q.2(c) Requested Award', 'Q.3 Accountability and Financing Track', 'Record to Minority Individuals and Minority Communities', 'Q.4 Application Contacts', 'Q.5 Total Estimated Hours to Complete the Application' (highlighted with a green checkmark), and 'Q.6 Executive Summary'. Below this is 'Part 1: Business Strategy' with sub-sections 'Q.7(a) - Assessment of the Economic Impact(s) of COVID-19' and 'Q.7(b) - Assessment of the Economic'. The main content area is titled 'Q.5 Total Estimated Hours to Complete the Application' and includes a 'Bookmark Subsection' link. It contains instructions: 'For purpose of estimating Application completion hours, Applicants should focus only on the amount of time it took to complete and populate the questions asked in the Application materials. Other activities performed in the normal course of business and are only indirectly related to the completion of this Application (e.g., identifying a lending pipeline, developing a strategic plan or marketing plan, etc.) should not be included in this estimate. This question will not be scored.' Below the instructions is a prompt: 'Estimate the number of hours required to complete the entire Application package:'. A numeric input field contains the value '5'. To the right of the input field is a label '0 Decimal Places'. A blue 'Save' button is located below the input field. A 'Print Page' link is in the bottom right corner.

*Figure 71 Question 5 - Total Estimated Hours to Complete the Application*

**Numeric**

Estimate the number of hours required to complete the entire Application package. This value must be numeric.

Click **'Save'** to complete this subsection.

### Question 6 - Executive Summary

[illegible]

Figure 72 Question 6 - Executive Summary

*Enter your response in the text box. Response must not exceed 3,000 characters. [Tip](#) Reminder: Compose your response in a separate Word document and once complete, copy and paste into this field.*

Click **'Save'** to complete this subsection.

## 10.4 Part 1: Business Strategy

## Question 7(a) - Assessment of the Economic Impact(s) of the COVID-19 Pandemic

### Table of Contents

- Minority Communities
  - Q.4 Application Contacts
  - Q.5 Total Estimated Hours to Complete the Application
  - Q.6 Executive Summary
- Part 1: Business Strategy
  - Q.7(a) - Assessment of the Economic Impact(s) of COVID-19**
  - Q.7(b) - Assessment of the Economic Impact(s) of COVID-19
  - Q.7(c) - Assessment of the Economic Impact(s) of COVID-19
  - Q.8 - Eligible Activities
  - Q.9 - Implementation Plan
  - Q.10- Projected Performance
- Part 2: Community Impact

### 2022 ERP Application - Part 1: Business Strategy - Q.7(a) - Assessment of the Economic Impact(s) of COVID-19

Please check at least 1 of the checkbox(es) in this subsection.

#### Q.7(a) - Assessment of the Economic Impact(s) of COVID-19

[Bookmark Subsection](#)

a. Identify the specific economic impact(s) of the COVID-19 pandemic on the ERP-Eligible Geographies the Applicant intends to serve with a CDFI ERP Award. Select all that apply:

?

Economic Impacts	Response
Job loss/increased unemployment	<input type="checkbox"/>
Closure of health and mental health care facilities and/or disruptions in health and mental health care services	<input type="checkbox"/>
Closure of childcare facilities and/or disruptions in childcare services	<input type="checkbox"/>
Increased housing instability	<input type="checkbox"/>
Decreased availability of housing affordable to individuals and families at or below 80% Area Median Income (AMI)	<input type="checkbox"/>

Figure 73 Question 7(a) - Assessment of the Economic Impact(s) of the COVID-19 Pandemic

**a. Identify the specific economic impact(s) of the COVID-19 pandemic on the ERP-Eligible Geographies the Applicant intends to serve with a CDFI ERP Award. Select all that apply:**

Click the check box for all that apply.

**NOTE:** If you select “Other”, Question Q.7(b) will be triggered and you will need to click ‘**Save**’ to complete subsection Q.7(a). Then select Q.7(b) from the Table of Contents to provide additional information.

Click ‘**Save**’ to complete this subsection.

## Question 7(b) - Assessment of the Economic Impact(s) of the COVID-19 Pandemic

This subsection is only visible/applicable to Applicants that selected “Other” in Q. 7a.

The screenshot displays the application interface for Question 7(b). On the left, a 'Table of Contents' sidebar lists various sections, with 'Part 1: Business Strategy' expanded to show 'Q.7(b) - Assessment of the Economic Impact(s) of COVID-19'. The main content area has a dark header with the question title and a 'Bookmark Subsection' option. Below the header, a text box prompts the applicant to provide details of the specific economic impact(s) of the COVID-19 pandemic. A 'Save' button is positioned below the text box, and a 'Print Page' link is in the bottom right corner. A character count indicates '500 Characters Remaining'.

Figure 74 Question 7(b) - Assessment of the Economic Impact(s) of the COVID-19 Pandemic

**b. If the Applicant selected “Other” in Q.7a above, provide details of the specific economic impact(s) of the COVID-19 pandemic it intends to address with a CDFI ERP Award.**

*Enter your response in the text box. Response must not exceed 500 characters.*

Click ‘**Save**’ to complete this subsection.

## Question 7(c) - Assessment of the Economic Impact(s) of the COVID-19 Pandemic

2022 ERP Application - Part 1: Business Strategy - Q.7(c) - Assessment of the Economic Impact(s) of COVID-19

Q.7(c) - Assessment of the Economic Impact(s) of COVID-19 [Bookmark Subsection](#)

c. Explain how the COVID-19 pandemic exacerbated pre-existing challenges, as well as unmet capital and financial services needs of the communities and populations you intend to serve with a CDFI ERP Award.

4000 Characters Remaining

[Save](#)

[Print Page](#)

Figure 75 Question 7(c) - Assessment of the Economic Impact(s) of the COVID-19 Pandemic

- c. Explain how the COVID-19 pandemic exacerbated pre-existing challenges as well as unmet capital and financial services needs of the communities and populations you intend to serve with a CDFI ERP Award.**

Enter your narrative response in the text box. Response must not exceed 4,000 characters.

Click **'Save'** to complete this subsection.



## Question 8 – Eligible Activities

Part 1: Business Strategy

Q.7(a) - Assessment of the Economic Impact(s) of COVID-19  
Q.7(b) - Assessment of the Economic Impact(s) of COVID-19  
Q.7(c) - Assessment of the Economic Impact(s) of COVID-19  
**Q.8 – Eligible Activities**  
Q.9 – Implementation Plan  
Q.10– Projected Performance

Part 2: Community Impact

Q.11 – Track Record of Responding to Community Needs  
Q.12– ERP Policy Priorities  
Q.12(e)– ERP Policy Priorities  
Q.13(a) – Outcomes, Tracking and Reporting  
Q.13(b) – Outcomes, Tracking and Reporting  
Q.13(c) – Outcomes, Tracking and Reporting  
Q.13(d) – Outcomes, Tracking and Reporting

Please check at least 1 of the checkbox(es) in this subsection.

**Q.8 – Eligible Activities**
Bookmark Subsection

- Definitions for each of the Eligible Activities may be found in Table 2 of the FY 2022 CDFI ERP NOFA.
- For Awards equaling \$500,000, total expenditure on Operational Support Activities not to exceed \$166,867, or 33% of the Award.
- For Awards above \$500,000, total expenditure on Operational Support Activities may equal \$166,867 or 15%, whichever is greater, but not to exceed \$400,000.
- Operational Support must be used for activities and costs associated with building organizational capacity to carry out CDFI ERP Program Activities.
- In total, Financial Services and Development Services are not to exceed 25% of the Award.

Select which of the following Eligible Activities the Applicant will implement as part of its business strategy. (Choose as many as apply):

Eligible Activity	Response
<b>Program Activities</b>	
Financial Products	<input type="checkbox"/>
Financial Services (Regulated Institutions Only)	<input type="checkbox"/>
Development Services	<input type="checkbox"/>
Grants	<input type="checkbox"/>
Loan Loss Reserves	<input type="checkbox"/>
Capital Reserves (Regulated Institutions Only)	<input type="checkbox"/>
<b>Operational Support Activities</b>	
Compensation—Personal Services	<input type="checkbox"/>
Compensation—Fringe Benefits	<input type="checkbox"/>
Professional Services Costs	<input type="checkbox"/>

Figure 76 Question 8 - Eligible Activities

**Select which of the following Eligible Activities the Applicant will implement as part of its business strategy. (Select all that apply):**

*Click the check box for all that apply.*

Click **‘Save’** to complete this subsection.

## Question 9 – Implementation Plan

Table of Contents

- Q.6 Executive Summary
- Part 1: Business Strategy
  - Q.7(a) - Assessment of the Economic Impact(s) of COVID-19
  - Q.7(b) - Assessment of the Economic Impact(s) of COVID-19
  - Q.7(c) - Assessment of the Economic Impact(s) of COVID-19
  - Q.8 – Eligible Activities
  - Q.9 – Implementation Plan**
  - Q.10– Projected Performance
- Part 2: Community Impact
  - Q.11 – Track Record of Responding to Community Needs
  - Q.12– ERP Policy Priorities
  - Q.12(e)– ERP Policy Priorities
  - Q.13(a) – Outcomes, Tracking and Reporting
  - Q.13(b) – Outcomes, Tracking and Reporting
  - Q.13(c) – Outcomes, Tracking and Reporting
  - Q.13(d) – Outcomes, Tracking and Reporting

2022 ERP Application - Part 1: Business Strategy - Q.9 – Implementation Plan

Q.9 – Implementation Plan

Bookmark Subsection

a. Describe the Applicant's plan for using a CDFI ERP Award to address the economic impact(s) of the COVID-19 pandemic, identified in Q.7 above, in the ERP-Eligible Geographies it intends to serve.

Briefly explain:

- How you will tailor the Program Activities you selected in Q.8 to meet the needs of individual, business and nonprofit borrowers in your selected ERP-Eligible Geographies, in order to mitigate the economic impacts of the COVID-19 pandemic as identified in Q.7 and achieve the potential outcomes identified in Q.13a and/or Q.13b;
- How the policy priority you select in Q.12 will be included in your implementation plan; and
- If applicable, describe the roles your partners or community stakeholders may play in your implementation plan.

5000 Characters Remaining

b. Explain how the Applicant will effectively market its Financial Products, Financial Services, Development Services and Grants to individual, business and nonprofit borrowers in the ERP-Eligible Geographies it intends to serve.

3000 Characters Remaining

Figure 77 Question 9 – Implementation Plan

- a. Describe the Applicant's plan for using a CDFI ERP Award to address the economic impact(s) of the COVID-19 pandemic, identified in Q.7 above, in the ERP-eligible Geographies it intends to serve.**

Enter your narrative response into the text box. Response must not exceed 5,000 characters.

- b. Explain how the Applicant will effectively market its Financial Products, Financial Services, Development Services and Grants to individual, business and nonprofit borrowers in ERP-Eligible Geographies it intends to serve.**

Enter your narrative response into the text box. Response must not exceed 3,000 characters.

- c. Explain how the Applicant engaged members of the demographic and geographic market segments to be served with a CDFI ERP Award in formulating the Applicant's business strategy.**

Enter your narrative response into the text box. Response must not exceed 3,000 characters.

- d. Does the Applicant plan to use CDFI ERP Award Funds to expand its operations into CDFI ERP-Eligible geographies it previously has not served and/or to offer new Financial Product(s),**

***Financial Service(s), Development Service(s) and/or Grant product(s) in one or more CDFI ERP-Eligible Geographies?***

*Indicate Yes or No.*

- e. Describe how the Applicant's track record of activities supports its ability to execute its proposed business strategy. To the extent the Applicant plans to use this award undertake new activities, as outlined in Q. 9c, describe how you will build your capacity to undertake these new lines of business.***

*Enter your narrative response into the text box. Response must not exceed 5,000 characters.*

- f. Did the Applicant select any of the following Operational Support Activities in Q.8 above?***

***Compensation—Personal Services;  
Compensation—Fringe Benefits;  
Professional Services Costs;  
Travel Costs;  
Training and Education Costs;  
Equipment; or  
Supplies***

*Indicate Yes or No.*

- g. Describe the Applicant's plan for using a portion of a CDFI ERP Award to build its organizational capacity in order to carry out its implementation plan, as described in Q.9a above, and achieve the objectives of the CDFI ERP.***

This is a conditional question. It will only appear in AMIS if the Applicant responds "Yes" to Q.9f.

Enter your narrative response into the text box. Response must not exceed 3,000 characters.

Click '**Save**' to complete this subsection.

## Question 10 – Projected Performance

The screenshot shows a web-based application interface for the 2022 ERP Application, specifically Part 1: Business Strategy, Q.10– Projected Performance. On the left is a 'Table of Contents' sidebar with a list of sections: Communities, Q.4 Application Contacts, Q.5 Total Estimated Hours to Complete the Application, Q.6 Executive Summary, Part 1: Business Strategy (expanded), Q.7(a) - Assessment of the Economic Impact(s) of COVID-19, Q.7(c) - Assessment of the Economic Impact(s) of COVID-19, Q.8 – Eligible Activities, Q.9 – Implementation Plan, Q.10– Projected Performance (selected), Part 2: Community Impact, Q.11 – Track Record of Responding to Community Needs, Q.12– ERP Policy Priorities, Q.12(e)– ERP Policy Priorities, Q.13(a) – Outcomes, Tracking and Reporting, and Q.13(b) – Outcomes, Tracking and Reporting. The main content area is titled 'Q.10– Projected Performance' and includes a 'Bookmark Subsection' button. It contains two questions: 'a. For the Program Activities and Operational Support Activities selected in Q.8 above, provide the dollar volume of a CDFI ERP Award you will deploy in each year of the five-year Period of Performance in **Appendix 2, Table C**.' and 'b. Describe how the Applicant's projected Financial Products closed and Grants made are supported by its business strategy.' Below question b is a large text input box with a '3000 Characters Remaining' indicator and a 'Save' button. A 'Print Page' link is located at the bottom right of the form.

Figure 78 Question 10 – Projected Performance

- a. For the Program Activities and Operational Support Activities selected in Q.8 above, provide the dollar volume of a CDFI ERP Award you will deploy in each year over the five-year Period of Performance.**

See [Appendix 2, Table C](#)

Applicants should refer to Appendix 2 below for further guidance on completing the Projected Performance information requested in Table C.

- b. Describe how the Applicant's projected Financial Products closed and Grants made are supported by its business strategy.**

Enter your narrative response into the text box. Response must not exceed 3,000 characters.

Click **'Save'** to complete this subsection.

10.5 Part 2: Community Impact

**Question 11 – Track Record of Responding to Community Needs**

The screenshot displays the '2022 ERP Application - Part 2: Community Impact - Q.11 – Track Record of Responding to Community Needs'. The sidebar on the left contains a 'Table of Contents' with sections for 'Communities', 'Part 1: Business Strategy', and 'Part 2: Community Impact'. Under 'Part 2: Community Impact', 'Q.11 – Track Record of Responding to Community Needs' is selected. The main content area shows the title 'Q.11 – Track Record of Responding to Community Needs' with a 'Bookmark Subsection' button. Below the title are six questions: a, b, i, ii, iii, and iv. Each question has a text input field containing the number '33'. Question a asks for data on the Applicant's track record in Financial Products closed and Grants made in Appendix 3, Table D. Question b asks for the percentage of Applicant's dollar volume of Financial Products closed and Grants made in its five most recent historic fiscal years was. Question i asks for Low- or Moderate-Income Majority Minority Census Tracts that are also ERP-Eligible Geographies. Question ii asks for Minority individuals or to Minority-owned or Controlled businesses. Question iii asks for Persistent Poverty Counties, Native Areas and/or U.S. Territories. Question iv asks for small businesses with less than \$1 million but more than \$100,000 in annual gross revenue or Small Farms.

Figure 79 Question 11 – Track Record of Responding to Community Needs

**a. For the Applicant's five most recent historic fiscal years, provide data on the Applicant's track record in Financial Products closed and Grants made.**

See [Appendix 3, Table D](#)

Complete Table D before proceeding to Q.11b.

Applicants should refer to Appendix 3 below for further guidance on completing the Track Record of Responding to Community Needs information requested in Table D.

**Table D: CDFI ERP Track Record Table**

Input the requested data in the CDFI ERP Track Record Table, including all Financial Products closed and Grants made in the Applicant's five most recent historic fiscal years.

If Applicant has more than two years but less than five years of track record, provide data for the number of years since its formation starting with the first year of the Applicant's operations.

Financial Data Type	Historic 5	Historic 4	Historic 3	Historic 2	Historic 1
Fiscal Year Selection *	2017	2018	2019	2020	2021
1. On-Balance Sheet Financial Products closed (\$) *	500,000	500,000	500,000	500,000	500,000
2. On-Balance Sheet Financial Products closed in <u>Low- or Moderate-income Majority Minority Census Tracts that are also ERP-Eligible Geographies</u> (\$) *	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places
3. On-Balance Sheet Financial Products closed <u>to Minority individuals or to Minority-owned or Controlled businesses</u> (\$) *	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places	\$ 250,000 0 Decimal Places

Figure 80 Table D CDFI ERP Record Table

- b. What percentage of the Applicant's dollar volume of Financial Products closed and Grants made in its five most recent historic fiscal years was:**
- i. in Low- or Moderate-income Majority Minority Census Tracts that are also CDFI ERP-Eligible Geographies;**
  - ii. to Minority individuals or to Minority-owned or Controlled businesses;**
  - iii. in Persistent Poverty Counties, Native Areas and/or U.S. Territories;**
  - iv. to small businesses in the following revenue categories:**  
**with less than \$1 million but more than \$100,000 in annual gross revenue or to Small Farms;**  
**with \$100,000 or less in annual gross revenue.**

The percentages in these fields will auto-populate based on data entered in Table D

- c. What percentage of the Applicant's number of Financial Products closed and Grants made in its five most recent historic years was:**
- i. in Low- or Moderate-income Majority Minority Census Tracts that are also CDFI ERP-Eligible Geographies;**
  - ii. to Minority individuals or to Minority-owned or Controlled businesses;**

- iii. in Persistent Poverty Counties, Native Areas and/or U.S. Territories;**
- iv. to small businesses in the following revenue categories:  
with less than \$1 million but more than \$100,000 in annual gross revenue or to Small Farms;  
with \$100,000 or less in annual gross revenue.**

*The percentages in these fields will auto-populate based on data entered in Table D.*

- d. Did the Applicant increase the dollar volume and/or the number of transactions of its Financial Products closed and Grants made in ERP-Eligible Geographies in the two years that followed March 2020, as compared to the three years that preceded March 2020?**

*Indicate Yes or No.*

- e. If the Applicant selected “Yes” in response to Q.11d, briefly describe the specific Financial Products closed and Grants made after March 2020 that contributed to this increase, and how the Applicant was able to support this increase.**

This is a conditional question. It will only appear in AMIS if the Applicant responds “Yes” to Q.11d.

*Enter your narrative response into the text box. Response must not exceed 2,000 characters.*

- f. Since March 2020, in response to the COVID-19 pandemic, did the Applicant expand its operations into ERP-Eligible Geographies it previously had not served and/or offer new Financial Product(s), Financial Service(s), Development Service(s) and/or Grant product(s) in one or more ERP-Eligible Geographies?**

*Indicate Yes or No.*

- g. If the Applicant selected “Yes” in response to Q.11f, briefly describe at least one example of a geographic expansion the Applicant made or new Financial Product(s), Financial Service(s), Development Service(s) or Grant product(s) the Applicant introduced to the communities it serves, in response to the COVID-19 pandemic.**

This is a conditional question. It will only appear in AMIS if the Applicant responds “Yes” to Q.11f.

*Enter your narrative response into the text box. Response must not exceed 2,000 characters.*

Click ‘**Save**’ to complete this subsection.

## Question 12 – ERP Policy Priorities

Table of Contents

- Economic Impact(s) of COVID-19
- Q.8 – Eligible Activities
- Q.9 – Implementation Plan
- Q.10– Projected Performance
- Part 2: Community Impact
  - Q.11 – Track Record of Responding to Community Needs
  - Q.12– ERP Policy Priorities**
  - Q.12(e)– ERP Policy Priorities
  - Q.13(a) – Outcomes, Tracking and Reporting
  - Q.13(c) – Outcomes, Tracking and Reporting
  - Q.13(d) – Outcomes, Tracking and Reporting

2022 ERP Application - Part 2: Community Impact - Q.12– ERP Policy Priorities

### Q.12– ERP Policy Priorities

[Bookmark Subsection](#)

The CDFI ERP policy priorities are listed in Q.12. Applicants must select one and only one of the five policy priorities. The CDFI Fund has no preference between any of the listed priorities. If the Applicant is selected for an Award, the policy priority selected will become a condition of the Assistance Agreement.

Please select "Yes" for ONE of the following options and "No" for the remaining options. (Selecting "No" indicates that Applicant is not choosing those options as its policy priority and does not preclude an Applicant from engaging in the subject activity).

a. Will the Applicant direct a percentage of CDFI ERP Award dollars to Low- or Moderate-Income Majority Minority Census Tracts that are also ERP-Eligible Geographies?

Yes

Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to Low- or Moderate-Income Majority Minority Census Tracts that are also ERP-Eligible Geographies.

%

0 Decimal Places

Figure 81 Question 12 – ERP Policy Priorities

The CDFI ERP policy priorities are listed in Q.12. Applicants must select one and only one of the five policy priorities. The CDFI Fund has no preference between any of the listed priorities. If selected for an Award, the policy priority selected will become a condition of the Assistance Agreement.

Please select "Yes" for ONE of the following options and "No" for the remaining options. (Selecting "No" indicates that Applicant is not choosing those options as its policy priority and does not preclude an Applicant from engaging in the subject activity).

**a. Will the Applicant direct a percentage of CDFI ERP Award dollars to Low- or Moderate-Income Majority Minority Census Tracts that are also ERP-Eligible Geographies?**

If you select "Yes" to Q.12a, the following question will appear in AMIS:

**Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to Low- or Moderate-Income Majority Minority Census Tracts that are also ERP-Eligible Geographies.**

*Enter the percentage in the field.*

**b. Will the applicant direct a percentage of CDFI ERP Award dollars to Minority individuals or to Minority-owned or Controlled businesses?**

If you select "Yes" to Q.12b, the following question will appear:



***Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to Minority individuals or to Minority-owned or Controlled businesses.***

*Enter the percentage in the field.*

- c. Will the Applicant direct a percentage of CDFI ERP Award dollars to Persistent Poverty Counties, Native Areas and/or U.S. Territories?***

If you select “Yes” to Q.12c, the following question will appear:

***Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to Persistent Poverty Counties, Native Areas and/or U.S. Territories.***

*Enter the percentage in the field.*

- d. Will the Applicant direct a percentage of CDFI ERP Award dollars to small businesses in the following revenue categories?***  
***i. with less than \$1 million but more than \$100,000 in annual gross revenue, or Small Farms.***  
***ii. with less than \$100,000 in annual gross revenue.***

If you select “Yes” to Q.12d, a new subsection will open just for Q.12d that displays fields for the percentages the Applicant will direct to the two revenue categories listed above. See additional instructions for subsection Q.12d below.

- e. Will the Applicant increase its dollar volume of Financial Products closed and Grants made in ERP-Eligible Geographies over the five-year Period of Performance by a multiplier (e.g., twice the Award amount)? Complete Appendix 3, Table E for multiplier calculation.***

If you select “Yes” to Q.12e, a new subsection will open just for Q.12e that displays a calculated auto-populated field value. See additional instructions for subsection Q.12e below.

Click ‘**Save**’ to complete this subsection.

### ***Question 12(d) – ERP Policy Priorities***

This subsection is only visible/applicable to Applicants that select “Yes” to Q12d.

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Part 2: Community Impact

Q.11 – Track Record of Responding to Community Needs

**Q.12– ERP Policy Priorities**

Q.12(d)– ERP Policy Priorities

Q.13(a) – Outcomes, Tracking and Reporting

Q.13(c) – Outcomes, Tracking and Reporting

Q.13(d) – Outcomes, Tracking and Reporting

Part 3: Organizational Capacity

Q.14 – Key Personnel

Q.15 – Previous Awards

2022 ERP Application - Part 2: Community Impact - Q.12(d)– ERP Policy Priorities

Bookmark Subsection

Q.12(d)– ERP Policy Priorities

This subsection is triggered if you answered “Yes” to Q. 12(d).

Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to small businesses in the following revenue categories:

Question	Response
i. with less than \$1 million but more than \$100,000 in annual gross revenue, or Small Farms.	<div><div>*</div><div></div><div>%</div></div> <div>0 Decimal Places</div>
ii. with less than \$100,000 in annual gross revenue.	<div><div>*</div><div></div><div>%</div></div> <div>0 Decimal Places</div>
<b>Total</b>	<div>0.00</div>
Question	Response

Figure 82 Question 12(d) – ERP Policy Priorities

This subsection will appear only if you select “Yes” to Q.12d. This subsection displays fields for the percentages the Applicant will direct to the two revenue categories listed in the question. *Enter the percentages in the fields.* These two percentages must not exceed 100%; you will get an error message if they exceed 100%.

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Application Instructions

Attach SF-424

Applicant Eligibility

Organization and Application Information

Q.1(a)-(d), (h)-(k) Organization Information

Maximum Award Request Amount Determination

**Q.2(a) Requested Award**

**Q.2(b) Requested Award**

Q.3 Accountability and Financing Track Record to Minority Individuals and Minority Communities

Q.4 Application Contacts

Q.5 Total Estimated Hours to Complete

2022 ERP Application - Part 2: Community Impact - Q.12(d)– ERP Policy Priorities

Your responses have been saved but a validation error occurred. Please fix the error and save again to complete the section.

Bookmark Subsection

Q.12(d)– ERP Policy Priorities

This subsection is triggered if you answered “Yes” to Q. 12(d).

Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to small businesses in the following revenue categories:

Question	Response
i. with less than \$1 million but more than \$100,000 in annual gross revenue, or Small Farms.	<div><div>*</div><div>50</div><div>%</div></div> <div>0 Decimal Places</div>
ii. with less than \$100,000 in annual gross revenue.	<div><div>*</div><div>60</div><div>%</div></div> <div>0 Decimal Places</div>
<b>Total</b>	<div>110.00</div> <div>These two percentages cannot exceed a 100%.</div>

Figure 83 Percentage Error Example

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Application Instructions

Attach SF-424

Applicant Eligibility

Organization and Application Information

Q.1(a)-(d), (h)-(k) Organization Information

Maximum Award Request Amount Determination

Q.2(a) Requested Award

Q.2(b) Requested Award

Q.3 Accountability and Financing Track

Record to Minority Individuals and Minority Communities

Q.4 Application Contacts

Q.5 Total Estimated Hours to Complete

2022 ERP Application - Part 2: Community Impact - Q.12(d)– ERP Policy Priorities

Subsection was marked as completed!

Q.12(d)– ERP Policy Priorities

Bookmark Subsection

This subsection is triggered if you answered “Yes” to Q. 12(d).

Indicate the percentage of CDFI ERP Award dollars the Applicant will commit to small businesses in the following revenue categories:

Question	Response
i. with less than \$1 million but more than \$100,000 in annual gross revenue, or Small Farms.	<div>50</div> <div>0 Decimal Places</div>
ii. with less than \$100,000 in annual gross revenue.	<div>30</div> <div>0 Decimal Places</div>
<b>Total</b>	80.00

Save

Figure 84 Percentage Fields Totaling 100%

Click ‘Save’ to complete this subsection.

## Question 12(e) – ERP Policy Priorities

This subsection is only visible/applicable to Applicants that select “Yes” to Q. 12e.

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Economic Impact(s) of COVID-19

Q.8 – Eligible Activities

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Q.12(e)– ERP Policy Priorities

Q.13(a) – Outcomes, Tracking and Reporting

Q.13(c) – Outcomes, Tracking and Reporting

Q.13(d) – Outcomes, Tracking and Reporting

2022 ERP Application - Part 2: Community Impact - Q.12(e)– ERP Policy Priorities

Q.12(e)– ERP Policy Priorities

Bookmark Subsection

This subsection is triggered if you answered “Yes” to Q. 12(e). In order to complete this subsection, please first complete Table E: Projected Increase in Activities in ERP-Eligible Geographies in Appendix 3. Once complete, the multiplier calculated in Table E will be displayed in the pre-populated field below.

Question	Response
e. By what multiplier of the CDFI ERP Award amount (e.g., twice the Award amount) will the Applicant increase its dollar volume of Financial Products closed and Grants made in ERP-Eligible Geographies over the five-year Period of Performance? (Auto-populated from Table E)	<div></div>

Save

Figure 85 Question 12(e) – ERP Policy Priorities

This subsection will appear only if you select “Yes” to Q.12e. This subsection displays a calculated auto-populated field value. To populate this field (pictured above), navigate to Appendix 3 and complete Table E.

Applicants should refer to Appendix 3 below for further guidance on completing the ERP Policy Priorities information requested in Table E.

After completing Table E, return to subsection Q.12e to see the multiplier field populated properly.

The screenshot shows the '2022 ERP Application - Part 2: Community Impact - Q.12(e)– ERP Policy Priorities' section. On the left is a sidebar with a 'Table of Contents' and a list of sections: 'Responding to Community Needs', 'Q.12– ERP Policy Priorities' (which is selected and marked with a green check), 'Q.13(a) – Outcomes, Tracking and Reporting', 'Q.13(c) – Outcomes, Tracking and Reporting', 'Q.13(d) – Outcomes, Tracking and Reporting', 'Part 3: Organizational Capacity', 'Q.14 – Key Personnel', 'Q.15 – Previous Awards', 'Q.16 – Financial Information', and 'and Compliance Risk Evaluation'. The main content area is titled 'Q.12(e)– ERP Policy Priorities' and includes a 'Bookmark Subsection' button. Below the title is a paragraph explaining that the subsection is triggered by a 'Yes' answer to Q.12(e) and that it requires completing Table E first. A table with two columns, 'Question' and 'Response', is displayed. The first row contains the question 'e. By what multiplier of the CDFI ERP Award amount (e.g., twice the Award amount) will the Applicant increase its dollar volume of Financial Products closed and Grants made in ERP-Eligible Geographies over the five-year Period of Performance? (Auto-populated from **Table E**)' and the response '0.92'. A 'Save' button is located at the bottom right of the table.

Question	Response
e. By what multiplier of the CDFI ERP Award amount (e.g., twice the Award amount) will the Applicant increase its dollar volume of Financial Products closed and Grants made in ERP-Eligible Geographies over the five-year Period of Performance? (Auto-populated from <b>Table E</b> )	0.92

Figure 86 Question 12(e) Multiplier Field

Click ‘**Save**’ to complete this subsection.

## Question 13(a) – Outcomes, Tracking, and Reporting

2022 ERP Application - Part 2: Community Impact - Q.13(a) – Outcomes, Tracking and Reporting

Q.13(a) – Outcomes, Tracking and Reporting Bookmark Subsection

a. Select which of the following outcomes will result from your business strategy (Select all that apply):

Outcome	Response
Increased availability of and access to workforce development resources	<input type="checkbox"/>
Increased availability of and access to health and mental health care facilities and services	<input type="checkbox"/>
Increased availability of and access to childcare facilities and services	<input type="checkbox"/>
Decreased housing instability	<input type="checkbox"/>
Increased availability of housing affordable to individuals and families at or below 80% AMI	<input checked="" type="checkbox"/>
Increased access to home ownership financing for individuals and families at or below 80% AMI	<input type="checkbox"/>
Increased access to broadband internet	<input type="checkbox"/>
Decreased food insufficiency	<input type="checkbox"/>
Increased financial stability and access to capital for small businesses, including Small Farms and nonprofit organizations	<input type="checkbox"/>

Figure 87 Question 13(a) – Outcomes, Tracking, and Reporting

a. Select which of the following outcomes will result from your business strategy:

Click the check box for all that apply.

**NOTE:** If you select “Other”, Question Q.13(b) will be triggered and you will need to click ‘Save’ to complete subsection Q.13(a). Then select Q.13(b) from the Table of Contents to provide additional information.

Click ‘Save’ to complete this subsection.

**Question 13(b) – Outcomes, Tracking, and Reporting**

This subsection is only visible/applicable to Applicants that selected "Other" in Question Q. 13a.

[illegible]

Figure 88 Question 13(b) – Outcomes, Tracking, and Reporting

- b. If you selected "Other" in Q.13a above, provide detail about the outcome(s) that will result from your business strategy.**

*Enter your response into the text box. Response must not exceed 500 characters.*

Click **'Save'** to complete this subsection.

**Question 13(c) – Outcomes, Tracking, and Reporting**

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- Q.12(a)– ERP Policy Priorities**
- Q.13(a) – Outcomes, Tracking and Reporting**
- Q.13(b) – Outcomes, Tracking and Reporting
- Q.13(c) – Outcomes, Tracking and Reporting**
- Q.13(d) – Outcomes, Tracking and Reporting

Part 3: Organizational Capacity

- Q.14 – Key Personnel
- Q.15 – Previous Awards
- Q.16 – Financial Information and Compliance

2022 ERP Application - Part 2: Community Impact - Q.13(c) – Outcomes, Tracking and Reporting

Q.13(c) – Outcomes, Tracking and Reporting

Bookmark Subscription

c. Describe the Applicant's plan for tracking and reporting Performance Goals and Measures (including for the CDFI ERP policy priority selected in Q.12) and data to be included in the Annual Compliance Reports (including the Performance Progress Report, Uses of Award Report, and Transaction Level Report).

?

Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here. Test Summary text here.

1329 Characters Remaining

Save

Print Page

Figure 89 Question 13(c) – Outcomes, Tracking, and Reporting

**c. Describe the Applicant’s plan for tracking and reporting Performance Goals and Measures (including for the CDFI ERP policy priority selected in Q.12) and data to be included in the Annual Compliance Reports (including the Performance Progress Report, Uses of Award Report, and Transaction Level Report).**

Enter your response into the text box. Response must not exceed 2,000 characters.

Click ‘Save’ to complete this subsection.

### **Question 13(d) – Outcomes, Tracking, and Reporting**

2022 ERP Application - Part 2: Community Impact - Q.13(d) – Outcomes, Tracking and Reporting

Q.13(d) – Outcomes, Tracking and Reporting Bookmark Subsection

d. Select which of the following demographic data the Applicant will collect about its borrowers.

Data Type	Response
Income	<input type="checkbox"/>
Race	<input type="checkbox"/>
Ethnicity	<input checked="" type="checkbox"/>
Credit Score	<input type="checkbox"/>
Education	<input type="checkbox"/>
Employment status	<input type="checkbox"/>
Age	<input type="checkbox"/>
Gender	<input type="checkbox"/>
Veteran status	<input type="checkbox"/>

Figure 90 Question 13(d) – Outcomes, Tracking, and Reporting

**d. Select which of the following demographic data the Applicant will collect about its borrowers.**

Click the check box for all that apply.

Click ‘Save’ to complete this subsection.

## 10.6 Part 3: Organization Capacity

### Question 14 – Key Personnel

2022 ERP Application - Part 3: Organizational Capacity - Q.14 – Key Personnel

Q.14 – Key Personnel

a. Complete **Appendix 4, Table F** to describe the Applicant's plan for staffing its organization to carry out the Program Activities selected in Q.8 and the implementation plan outlined in Q.9.

b. Attach the Applicant's current organizational chart and a prospective organizational chart, as applicable.

If you plan to expand your staff in order to support your implementation plan, attach a prospective organizational chart that reflects the increased staffing necessary to accomplish the projected level of activities outlined in your Application.

**DRAG & DROP**  
Upload Document Here

Test Upload.pdf

Save

Print Page

Figure 91 Question 14 – Key Personnel

- a. Complete Appendix 4, Table F to describe the Applicant's plan for staffing its organization to carry out the Program Activities selected in Q.8 and the implementation plan outlined in Q.9.

Enter data in Appendix 4, Table F.

2022 ERP Application - Appendix 4: Key Personnel - Table F: Key Personnel

Table F: Key Personnel

Describe the role(s) and function(s) that will be needed in your organization to support the implementation plan for an ERP Award.

Overview (1)

Record Name	Completed	Existing Personnel for each role?	Relevant Skills	Plan to Fill
Test Person (active)	✓	No		test

9 Remaining Rows

Test Person

Name of Role or Function:

Test Person

a. Do you have an existing staff, contractor or board member to fill each role or function?

No

c. If no, describe your plan for filling this role or function.

test

Figure 92 Appendix 4 Table F



Applicants should refer to Appendix 4 below for further guidance on completing the Key Personnel information requested in Table F.

***b. Attach the Applicant's current organizational chart and a prospective organizational chart, as applicable.***

1. Locate the organization chart file you wish to upload on your computer. Open the folder where the file is saved in File Explorer.

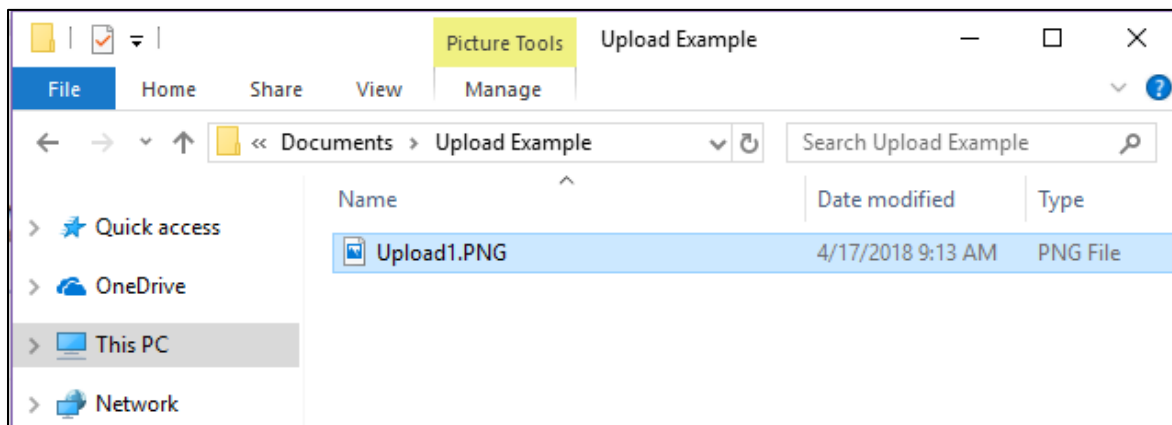


Figure 93 File Explorer

2. Return to the Application page. Using your cursor, drag the file you want to upload from File Explorer to the Drag & Drop upload box on the Application.

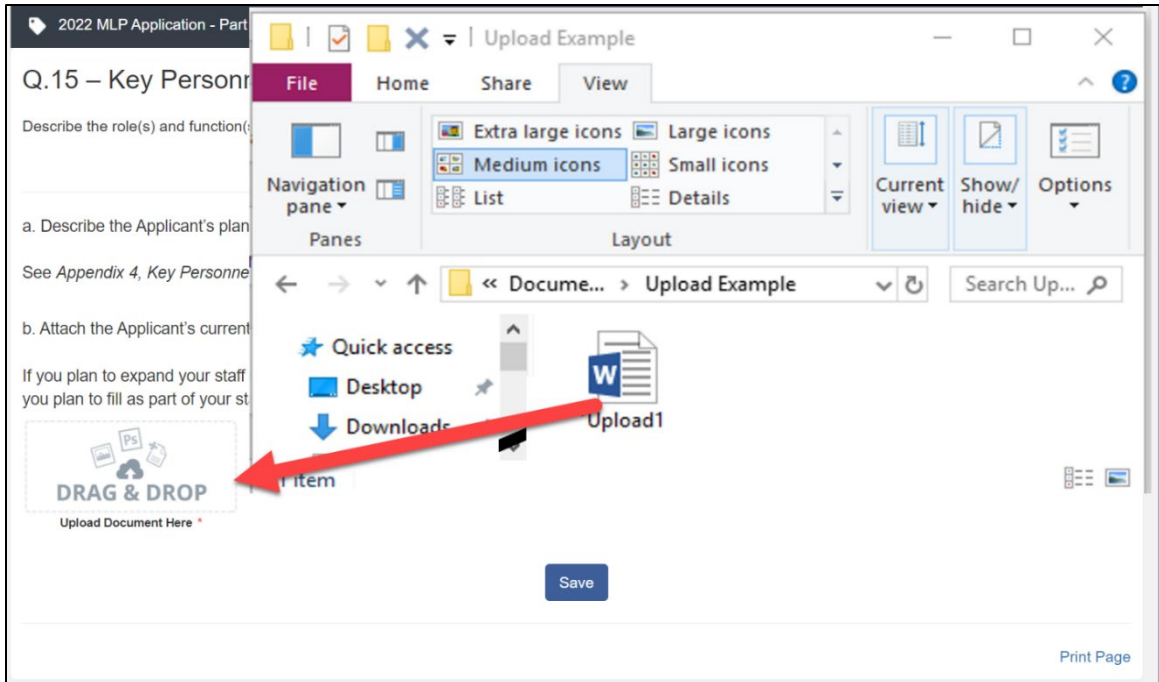


Figure 94 Drag & Drop Example

**Note:** Use caution to ensure you drag and drop the file directly over the Drag & Drop upload box area to prevent your web browser from inadvertently trying to open the file.

3. Once your file is successfully uploaded, the file name will be displayed below the Drag & Drop box.

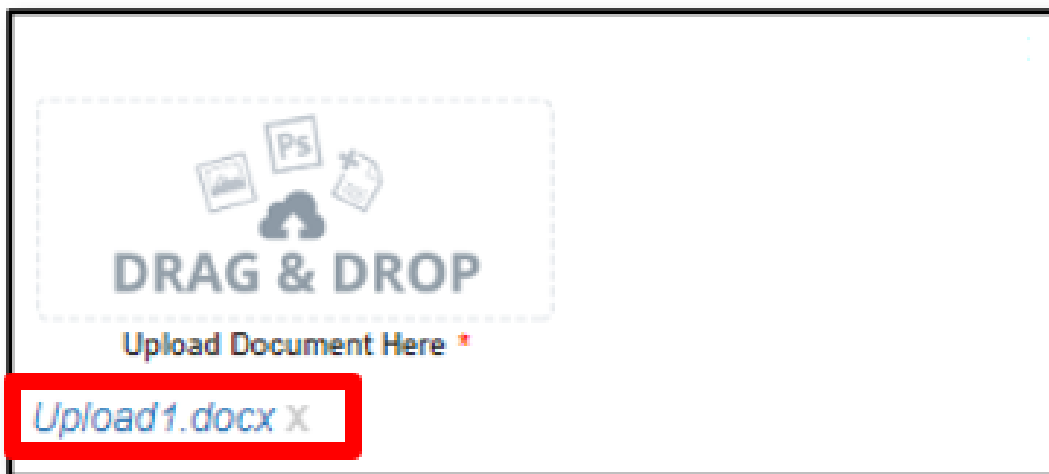


Figure 95 Drag and Drop - Uploaded File

4. Upload any additional files using the same process. If you need to remove an uploaded file, click the gray “x” next to the file name.
5. Click **‘Save’** to complete this subsection.

### Question 15 – Previous Awards

[illegible]

Figure 96 Question 15 – Previous Awards

*a. Appendix 5 will list previous awards from the CDFI Fund received by the Applicant and any Affiliates.*

*Complete Appendix 5.*

Table of Contents

Appendix 1: Accountability and Financing Track Record to Minority Individuals and Minority Communities

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Table H – Financial Data Inputs for Credit Union Applicants

Appendix 7: Compliance Evaluation Questions

2022 ERP Application - Appendix 5: Previous CDFI Fund Awards - Appendix 5: Previous CDFI Fund Awards

Bookmark Subsection

Appendix 5: Previous CDFI Fund Awards

The following information is for each of the prior CDFI Fund awards that the Applicant and/or any Affiliates have received (as of the Application deadline) will be auto-populated by AMIS.

Organization Name	Year	Award Program	Award/Allocation Amount	Award Name	Control Number
CDFI/NACA Test Org 13	2019	CDFI-TA	37500.00	AWD-00007770	191TA053305

Is the Award information complete? \*

Yes

Save

Print Page

Figure 97 Appendix 5

***b. Is the Applicant or any of its Affiliates currently the subject of an open or unresolved audit or investigation by the Office of the Inspector General (OIG) for any Federal Agency?***

*NOTE: If you select 'Yes' this will trigger Q.15c.*

*Enter your narrative response in the text box. Response must not exceed 2,000 characters.*

### Question 16 – Financial Information and Compliance Risk Evaluation

Figure 98 Question 16 – Financial Information and Compliance Risk Evaluation

Updated: 7.15.2022

*Complete Appendix 6.*

Applicants should refer to Appendix 6 below for further guidance on completing the Application Financial Data Inputs Tables.

***b. Please describe how you have been able to use existing financial resources to meet community needs. Cite financial ratios, such as deployment ratio, where applicable. Also, describe any financial factors that have limited your ability to meet community needs (lack of capital, etc.) and how a CDFI ERP Award would help address these constraints.***

*Enter your narrative response in the text box. Response must not exceed 3,000 characters.*

***c. Complete the Compliance Evaluation Questions in Appendix 7.***

*Complete Appendix 7.*

Applicants should refer to Appendix 7 for further guidance on completing the Compliance Evaluation Questions.

Click **'Save'** to complete this subsection.

## 11.0 Appendix 1: Accountability and Financing Track Record to Minority Individuals and Minority Communities

### 11.1 Table A: Board and Executive Staff Information

	a. #	b. %
<b>Governing Board</b>		
1. Members who identify as a member of one or more Minority population(s) *	<div> <div></div> <div>0 Decimal Places</div> </div>	<div> <div></div> </div>
2. Members who identify as Non-Minority *	<div> <div></div> <div>0 Decimal Places</div> </div>	<div> <div></div> </div>
3. Total	<div> <div>0.00</div> </div>	
<b>Executive Staff</b>		
4. Individuals who identify as a member of one or more Minority population(s) *	<div> <div></div> </div>	<div> <div></div> </div>

Figure 99 Table A: Board and Executive Staff Information

Complete all table entries. Each entry must be numeric.

Click **'Save'** to complete this subsection.

## 11.2 Table B: Financing Activity

Question	a. \$	b. \$ [%]	c. #
Provide the total dollar volume (\$) and total number (#) of the Applicant's arm's-length, on-balance sheet Financial Products closed in the Applicant's most recent historic fiscal year:			
1. Total Financial Products Closed:	<input type="text"/>		<input type="text"/>
Provide the dollar volume (\$) and total number (#) of the Applicant's arm's-length, on-balance sheet Financial Products closed to individuals in the Applicant's most recent historic fiscal year:			
2. Individuals who identify as a member of one or more Minority population(s): *	* \$ <input type="text"/> 0 Decimal Places	* <input type="text"/>	* <input type="text"/> 0 Decimal Places
3. Individuals who identify as Non-Minority: *	* \$ <input type="text"/> 0 Decimal Places	* <input type="text"/>	* <input type="text"/> 0 Decimal Places

Figure 100 Table B: Financing Activity

Complete all table entries. Each entry must be numeric.

Note that row #1 is pre-populated with data that the Applicant entered in the Applicant Eligibility Data Table.

Click **'Save'** to complete the subsection.



## 12.0 Appendix 2: CDFI ERP Projected Performance

### 12.1 Table C: CDFI ERP Projected Performance Table

2022 ERP Application - Appendix 2: CDFI ERP Projected Performance - Table C: CDFI ERP Projected Performance Table
Bookmark Subsection ☐

#### Table C: CDFI ERP Projected Performance Table

Financial Data Type	Projected 1	Projected 2	Projected 3	
Fiscal Year Selection *	<div style="border: 1px solid #ccc; padding: 2px; text-align: center;">2023</div>	<div style="border: 1px solid #ccc; padding: 2px; text-align: center;">2024</div>	<div style="border: 1px solid #ccc; padding: 2px; text-align: center;">2025</div>	2
1. Program Activities (\$) *	<div style="display: flex; align-items: center;"> <div style="background-color: #eee; padding: 2px;">\$</div> <div style="border: 1px solid #ccc; flex-grow: 1; margin-left: 5px;"></div> </div> <div style="text-align: right; font-size: small;">0 Decimal Places</div>	<div style="display: flex; align-items: center;"> <div style="background-color: #eee; padding: 2px;">\$</div> <div style="border: 1px solid #ccc; flex-grow: 1; margin-left: 5px;"></div> </div> <div style="text-align: right; font-size: small;">0 Decimal Places</div>	<div style="display: flex; align-items: center;"> <div style="background-color: #eee; padding: 2px;">\$</div> <div style="border: 1px solid #ccc; flex-grow: 1; margin-left: 5px;"></div> </div> <div style="text-align: right; font-size: small;">0 Decimal Places</div>	4
2. Operational Support Activities (\$) *	<div style="display: flex; align-items: center;"> <div style="background-color: #eee; padding: 2px;">\$</div> <div style="border: 1px solid #ccc; flex-grow: 1; margin-left: 5px;"></div> </div> <div style="text-align: right; font-size: small;">0 Decimal Places</div>	<div style="display: flex; align-items: center;"> <div style="background-color: #eee; padding: 2px;">\$</div> <div style="border: 1px solid #ccc; flex-grow: 1; margin-left: 5px;"></div> </div> <div style="text-align: right; font-size: small;">0 Decimal Places</div>	<div style="display: flex; align-items: center;"> <div style="background-color: #eee; padding: 2px;">\$</div> <div style="border: 1px solid #ccc; flex-grow: 1; margin-left: 5px;"></div> </div> <div style="text-align: right; font-size: small;">0 Decimal Places</div>	4
<b>Program Activities Projected</b>				

Figure 101 Table C: CDFI ERP Projected Performance Table

Complete all table entries. Each entry must be numeric.

Please be aware of the following validations for which error messages may be generated:

- The total of all projected values entered in rows 1 and 2 must equal your requested award.
- The Total expenditure on Operational Support Activities may not exceed \$400,000 or 15% of your Requested Award amount, whichever value is less.

Click **'Save'** to complete this subsection.

## 13.0 Appendix 3: Community Impact Tables

### 13.1 Table D: CDFI ERP Track Record Table

2022 ERP Application - Appendix 3: Community Impact Tables - Table D: CDFI ERP Track Record Table

Table D: CDFI ERP Track Record Table

Bookmark Subject

Input the requested data in the CDFI ERP Track Record Table, including all Financial Products closed and Grants made in the Applicant's five most recent historical fiscal years.

If Applicant has more than two years but less than five years of track record, provide data for the number of years since its formation starting with the first year of Applicant's operations.

Financial Data Type	Historic 5	Historic 4	Historic 3
Fiscal Year Selection *	<div>*</div> <div>2017</div>	<div>*</div> <div>2018</div>	<div>*</div> <div>2019</div>
1. On-Balance Sheet Financial Products closed (\$) *	<div>*</div> <div>1,000,000</div>	<div>*</div> <div>1,000,000</div>	<div>*</div> <div>1,000,000</div>

Figure 102 Table D: CDFI ERP Track Record Table

*Complete all table entries. Each entry must be numeric.*

Note that rows #1, #7, #18 and #24 are pre-populated with data that the Applicant entered in the Applicant Eligibility Data Table.

Please be aware of the following validations for which error messages may be generated:

- On-Balance Sheet Financial Products closed to businesses total (\$) [rows 5 and 6] should not exceed your On-Balance Sheet Financial Products closed (\$) [row 1] for any Projected year.
- Grants made to businesses total (\$) [rows 11 and 12] should not exceed your On-Balance Sheet Grants made [row 7] for any Projected year.
- On-Balance Sheet Financial Products closed to businesses total (#) [rows 22 and 23] should not exceed your On-Balance Sheet Financial Products closed (#) [row 18] for any Projected Year.
- Grants made to businesses total (#) [rows 28 and 29] should not exceed your On-Balance Sheet Grants made [row 24] for any Projected year.

Click **'Save'** to complete this subsection.

Table E will appear only if the Applicant selects the policy priority listed in Q.12e, to increase its dollar volume of Financial Products closed and Grants made in ERP-Eligible Geographies over the five-year Period of Performance by a multiplier.

Figure 103 Table E: Projected Increase in Activities in CDFI ERP-Eligible Geographies

2022 ERP Application - Appendix 3: Community Impact Tables - Table E: Projected Increase in Activities in ERP-Eligible Geographies

### Table E: Projected Increase in Activities in ERP-Eligible...

[Bookmark](#) [Subsection](#)

The Award multiplier increase will be calculated as outlined in the example below.

Example: In its past five historic fiscal years, an Applicant has closed a total of \$10 million in Financial Products in ERP-Eligible Geographies. It is requesting a \$7 million dollar CDFI ERP Award. Over the next five years, it projects to close \$22 million in Financial Products in ERP-Eligible Geographies. The increase multiplier is calculated by dividing the dollar amount of the proposed increase by the dollar amount of the CDFI ERP Award requested. In this example, the Applicant is proposing to increase its dollar volume of lending by \$12 million with a \$7 million CDFI ERP Award. Thus, the multiplier would be 1.7 (\$12 MM/\$7 MM).

Historic 3	Historic 2	Historic 1	Projected 1	Projected 2
	*	*	*	*
	2020	2021	2023	2024
	*	*	*	*
	500,000	500,000	\$ 1,000,000	\$ 1,000,000
			0 Decimal Places	

Figure 104 Table E: Projected Increase in Activities in ERP Eligible Geographies

Complete all table entries. Each entry must be numeric.

Once you have populated all of the fields for Projected years 1 through 5, scroll down to the bottom of Table E to view the calculated multiplier.

	in ERP-Eligible Geographies (\$)		
	Total Projected On-Balance Sheet Grants made and On-Balance Sheet Financial Products closed in ERP-Eligible Geographies (\$)	5,500,000.00	
	Historic/Projected Difference (\$)	2,750,000.00	
	3. Increase Multiplier Calculation	0.92	
	Requested Award Amount	3,000,000	
	Financial Data Type	Historic 5	Historic 4

Figure 105 Calculated Multiplier

Click 'Save' to complete this subsection.

Return to subsection Q.12e to confirm that the multiplier field populated properly and click 'Save' to complete subsection Q.12(e).

Table of Contents

- Responding to Community Needs
- Q.12- ERP Policy Priorities
  - Q.12(e)- ERP Policy Priorities
  - Q.13(a) - Outcomes, Tracking and Reporting
  - Q.13(c) - Outcomes, Tracking and Reporting
  - Q.13(d) - Outcomes, Tracking and Reporting
- Part 3: Organizational Capacity
  - Q.14 - Key Personnel
  - Q.15 - Previous Awards
  - Q.16 - Financial Information and Compliance Risk Evaluation

2022 ERP Application - Part 2: Community Impact - Q.12(e)- ERP Policy Priorities

Q.12(e)- ERP Policy Priorities

This subsection is triggered if you answered "Yes" to Q. 12(e). In order to complete this subsection, please first complete Table E: Projected Increase in Activities in ERP-Eligible Geographies in Appendix 3. Once complete, the multiplier calculated in Table E will be displayed in the pre-populated field below.

Question	Response
e. By what multiplier of the CDFI ERP Award amount (e.g., twice the Award amount) will the Applicant increase its dollar volume of Financial Products closed and Grants made in ERP-Eligible Geographies over the five-year Period of Performance? (Auto-populated from Table E)	0.92

Save

Figure 106 Multiplier Field Confirmation

## 14.0 Appendix 4: Key Personnel

### 14.1 Table F: Key Personnel

Table F: Key Personnel

Bookmark Subsection

Describe the role(s) and function(s) that will be needed in your organization to support the implementation plan for an ERP Award.

Overview (1)

Add Row

Record Name	Completed	Existing Personnel for each role?	Relevant Skills
Test Person (active)	✓	No	Test text test text test text.

9 Remaining Rows

Add Row

Test Person

Name of Role or Function:

Test Person

a. Do you have an existing staff, contractor or board member to fill each role or function?

\*

No

b. If yes, briefly describe the relevant skills and experience, including the number of years of experience, of the individual filling this role or function.

If no, describe your plan for filling this role or function.

\*

Test text test text test text

Figure 107 Table F: Key Personnel

Enter into the 'Name of Role or Function' text box the name of the roll or function of each of the key personnel included in your strategy. Response must not exceed 200 characters. This entry will populate in the "Record Name" column of the table above after you hit save. Precede the "Record Name" by the "Record Number" (ex. 1. Underwriter; 2. Community Outreach Director, etc.)

**a. Do you have an existing staff, contractor or board member to fill this role or function?**

Indicate Yes or No.

**b. If yes, briefly describe the relevant skills and experience, including the number of years of experience, of the individual filling this role or function. If no, describe your plan for filling this role or function.**

Enter your response in the text box. Response must not exceed 500 characters.

Click the **'Save'** button once all fields have been completed.

To add another Key Personnel entry, click the **'Add Row'** button and repeat steps above.



Overview (1) Add Row

Record Name	Completed	Role or Function	Existing Personnel for each role?
Test Test (active)	✓	President	No

9 Remaining Rows Add Row

Figure 108 Add Row Button

To remove a Key Personnel entry, click the **'Delete Record'** button at the bottom of the screen.



Figure 109 Delete Record Button

Once all Key Personnel have been entered, you may download a CSV file, if you'd like to review the entered data in this format. To do this click the **'Download CSV'** button at the bottom of the screen.



Figure 110 Download CSV Button

This will generate a CSV file.

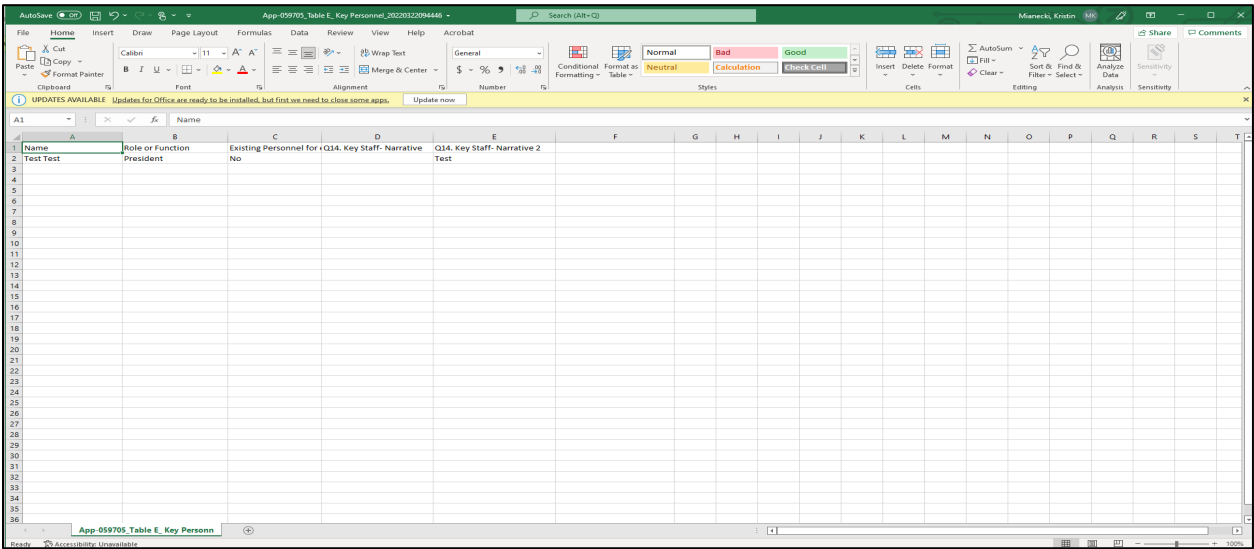


Figure 111 CSV File Example

Once you complete Table F and you have clicked **‘Save’** after your final data entry, navigate back to Q.14 in the **‘Key Personnel’** subsection.

## 15.0 Appendix 5: Previous CDFI Fund Awards

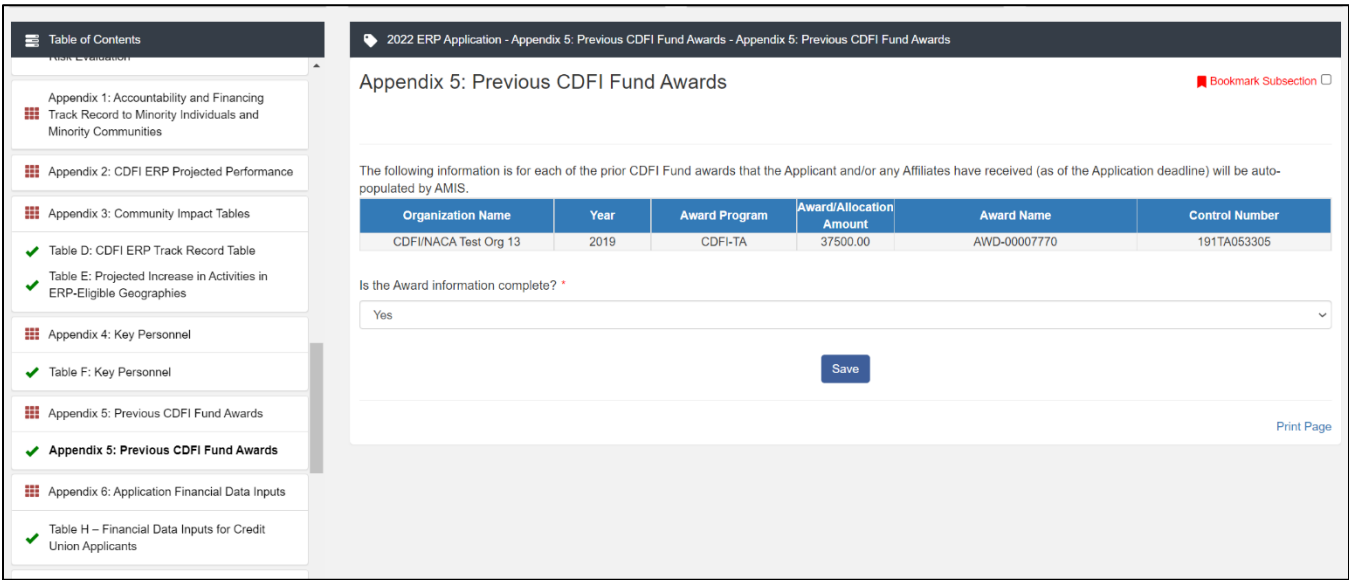


Figure 112 Appendix 5: Previous CDFI Fund Awards

This subsection will be auto-populated with information pulled from AMIS, including each of the prior CDFI Fund awards that the Applicant and/or any Affiliates has received (as of the Application deadline). Review the information. If the Award information displayed in the table is accurate and complete, select **‘Yes’** from the drop down menu. If the Award information is wrong or incomplete, **contact the AMIS Help Desk to resolve.**

If no previous awards exist, subsection Appendix 5 will display without a table, as shown below:

Figure 113 Appendix 5 Without Table

Click **‘Save’** to complete the subsection and navigate back to Q.15 in the **‘Previous Awards’** subsection.

## 16.0 Appendix 6: Application Financial Data Inputs

### Overview

Appendix 6 includes all required Application Financial Data input fields organized by Institution Type:

Figure 114 Appendix 6: Financial Data Inputs

Applicants are required to enter financial data for the three most recent historic fiscal years, the current fiscal year, and three projected fiscal years. Only fields required of your organization, based on your organization’s Financial Institution Type as defined in AMIS ((a) Non-Regulated, (b) Credit Union,



or (c) Bank) are visible in AMIS. For additional guidance on required Application Financial Data, please refer to the CDFI ERP Application Instructions located on the ERP page of the CDFI Fund’s website.

For convenience, the CDFI Fund has also provided a blank Excel workbook entitled “Application Financial Data Inputs Workbook” that can be used by Applicants to gather all required Application Financial Data offline before entering it into AMIS. This Workbook is also located on the ERP page of the CDFI Fund’s website.

Note that each Application Financial Data input field is required in AMIS and you will not be able complete the Application Financial Data subsection or submit your Application until all fields are populated with a numeric value greater than or equal to zero (“≥ 0”).

**Note:** For any item that is listed where your organization has no data, you must enter the number zero (“0”). AMIS will return a red error message if the required response to a field is not provided.

All numbers related to an Applicant’s equity and loan portfolios must be entered as a positive whole integer, greater or equal to zero (“≥ 0”). This includes the line item for “Allowance for Loan and Lease Losses” (ALLL) listed under the “Assets” grouping on the Application Financial Data Input page. Auditors commonly express ALLL as a contra asset and present it as a negative number on audited financial statements. In such instances, where ALLL is a negative number on an Applicant’s financial statements, the Applicant must convert this number to its absolute value (a positive number), and enter this positive number in the Application Financial Data inputs subsection for the ALLL line item. In instances other than line items related to the Applicant’s equity and loan portfolios where the Applicant has a negative value expressed on its Audit or internal financial statements, Applicants are to enter a zero (“0”) on the corresponding line item on the Application Financial Data inputs page. Applicants who need to enter a “0” instead of a negative number(s) are to provide an explanation of each of these entries in the question response box for Q.16b.

**NOTE:** The table below is representative of the Financial Data Inputs Table for Non-Regulated Applicants. Credit Union Applicants and Bank/Bank Holding Company Applicants will be required to complete a similar table.

## Financial Data Inputs for Non-Regulated Applicants

 [Bookmark Subsection](#) ☐

**Note about Current Year Financial Statements:** If available, provide audited financial statements for your organization's current year. If audited financial statements are not available for your current year, provide unaudited financial statements.

**Note for Non-Regulated Applicants with Consolidated Financial Statements:** Non-Regulated Applicants with consolidated statements should use the unconsolidated information of the Applicant that will expend and carry out the activities of the CDRI ERP Award when completing the Application Financial Data section. The data entered should reflect the financial position of the Applicant, excluding Affiliates or Subsidiaries.

**Note about On-Balance Sheet Loans:** Loans that an Applicant may have originated, but then sold or participated out (i.e. "sold but serviced") are not to be counted in the "total on-balance sheet loans." Only the amount of the Applicant's capital that is at risk is to be included in the On-Balance Sheet Loan entry.

**Note about Loan Portfolio and Equity Investment Information:** All Application Financial Data input fields in the Loan Portfolio and Equity Portfolio groupings of the Application Financial Data inputs should reflect the Applicant's entire Loan Portfolio and Equity Portfolio.

Figure 115 Financial Data Inputs for Non-Regulated Applicants

Financial Data Type	Historic 3	Historic 2	Historic 1
Fiscal Year Selection	2020	2021	2022
<b>Assets</b>			
Unrestricted Cash & Cash Equivalents (\$) *	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>
Cash Restricted for Operations (\$) *	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>
Other Real Estate Owned (OREO) (\$) *	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>
Current Assets (\$) *	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>
Allowance for Loan and Lease Losses (\$) *	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>
Total Assets (\$) *	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>	<div>\$</div> <div></div> <div>0 Decimal Places</div>

Figure 116 Financial Inputs Table

**Table:**

The Fiscal Year Selection row is automatically populated based on 1) the Fiscal Year End field on your Organization Record in AMIS, and, 2) for organizations with a 3/31 Fiscal Year End, your response to ERP Program Eligibility question #3, “Has your organization completed its Audit or Final Call Report for the fiscal year that ends 3/31/2022 as defined in the applicable NOFA?”

Enter the amount/number in the fields within the Application Financial Data subsection. Each field in this subsection has an error check in place to ensure data quality.

**Note:** This table is designed with a cascading column and row header to aid data entry. Due to the size of this table, you may experience a lag in header movement. If the moving headers are moving slowly or not at all, please try the following troubleshooting tactics:

- Scroll to the bottom of the subsection and click Save to record any data you have already entered. Then, refresh the application page.
- Try scrolling more slowly down or across the page.
- After saving the subsection, click the Exit button in the upper right-hand corner of the page to exit the application. Then, re-open the application and re-load this subsection.
- If possible, try opening the application in a different web browser or with a different internet connection.
- Try zooming out within your browser window so that more of the table is visible.

# 17.0 Appendix 7: Compliance Evaluation Questions

## 17.1 Compliance Questions

2022 ERP Application - Appendix 7: Compliance Evaluation Questions - Compliance Questions

Compliance Questions

Bookmark Subsection

The following questions are used to calculate an Applicant's Total Compliance Composite Score. To produce a Total Compliance Composite Score, the CDFI Fund's Application Assessment Tool (AAT) uses responses provided by each Applicant in the compliance questions, as well as information in an Applicant's reporting history, reporting capacity, and performance risk with respect to the CDFI Fund's Performance Goals and Measures (PG&Ms). The purpose of this evaluation is to ensure Applicants do not have major internal management or compliance concerns.

In addition to the questions listed below, information from the Applicant's prior PG&Ms (where applicable) will be used as part of the calculation of a Total Compliance Composite Score.

C1. Does the CDFI generate externally reviewed, regulator reviewed, or audited financial statements annually? \*

C2. Describe any audit findings for your CDFI or any of its affiliates or parent company from the last three fiscal years and how your CDFI addressed them (this includes material and non-material findings). Regulated Institutions should include All (a) Matters Requiring Attention (MRA), (b) Documents of Resolution (DOR), (c) Enforcement Actions (EA), (d) Letters of Understanding and Agreement (LUA), and (e) similar Regulator cited matters and actions. Applicants that do not identify qualified audit opinions at the time of application and are later determined to have withheld this information from the CDFI Fund either intentionally or inadvertently will be evaluated negatively. \*

1 qualified opinion

Please provide an explanation: \*

1500 Characters Remaining

C3. What kind of accounting system does this CDFI use to manage its portfolio? \*

Other

Please provide an explanation: \*

1500 Characters Remaining

Figure 117 Compliance Questions

### Responses are required to all Compliance Questions.

Some question responses may trigger a justification to provide more context for your response. In such instances, a new mandatory text entry box, as marked with an \*, will appear directly beneath the question asking you to "Please provide an explanation."

C12. Has your CDFI or any of its affiliates or parent company filed bankruptcy over the last ten fiscal years? If so, please describe the circumstances and current status. \*

Yes

Please provide an explanation: \*

1500 Characters Remaining

Figure 118 Text Entry Box

**Note:** C5.1, C5.2, C6.1, C7.1 and/or C.16.1 are conditionally required. These questions are only applicable and triggered to be viewable in AMIS based on an Applicant's response to a preceding question, and thus not all questions apply, or are visible, to all applicants. If "No" is selected in response to these questions, you will NOT be prompted with an explanation textbox directly below the question. You will be instructed to "(Provide explanation in the "Conditionally Required Responses" text box at the bottom of this page.)" and you will need to provide your explanation to these questions at the end of the subsection (at the very bottom of the page) in a large 5,000 character limit textbox entitled, "If your answers to Compliance Questions C5.1, C5.2, C6.1, C7.1 and/or C16.1 above require additional explanation or context, please provide response(s) below."

If your answers to Compliance Questions C5.1, C5.2, C6.1, C7.1 and/or C16.1 above require additional explanation or context, please provide response(s) below.

5000 Characters Remaining

Prior or Current Award Recipient? \*

YES

Save

Figure 119 Text Entry Box

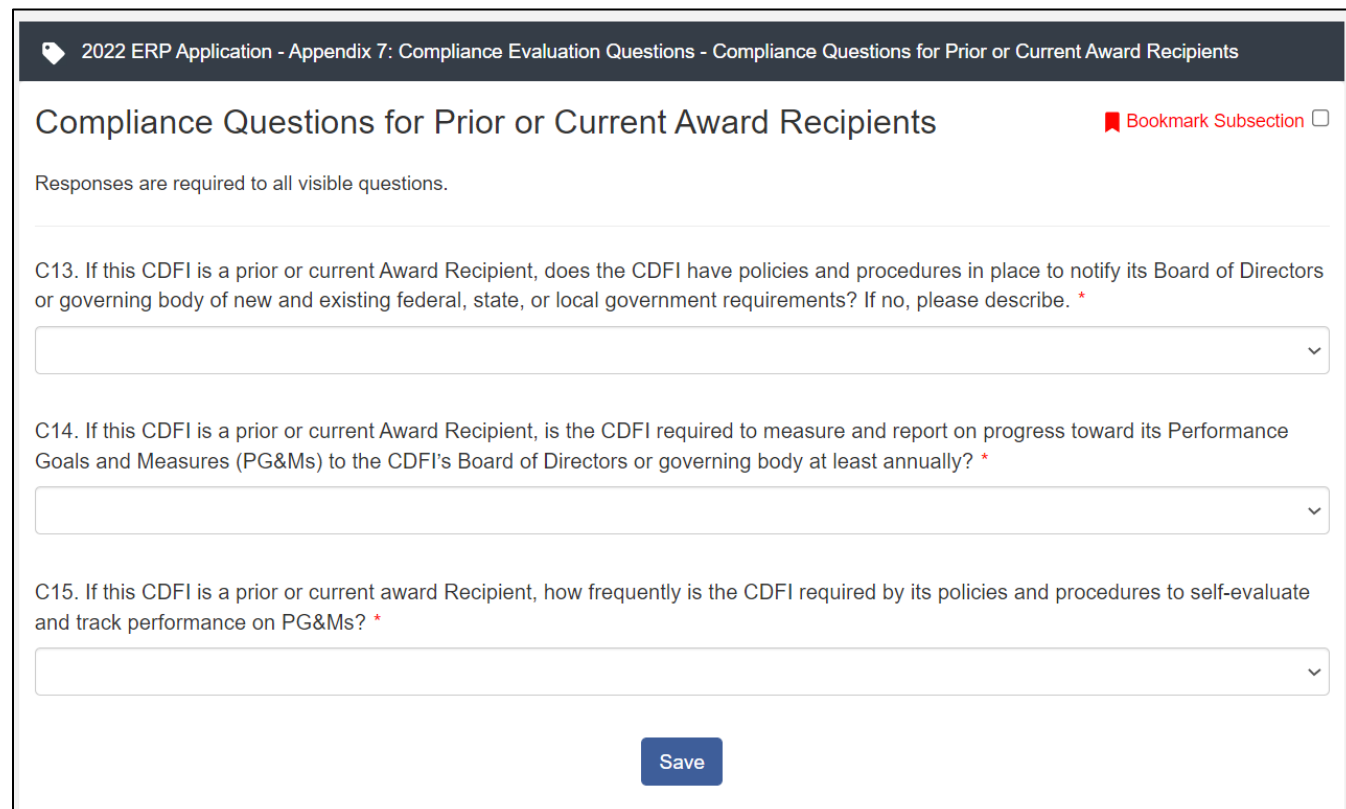
**Note:** To view the complete list of Compliance Questions and answer options, see the ERP Application Instruction Guide.

## Prior or Current Award Recipient?

This field is a pre-populated field which will display YES or NO depending on if the organization has a prior or current award.

If this field is YES, then you will see the Compliance Questions for the Prior or Current Award Recipients subsection.

### 17.2 Compliance Questions for Prior or Current Award Recipients



The screenshot shows a web application interface for the 2022 ERP Application. The header bar is dark blue with white text: "2022 ERP Application - Appendix 7: Compliance Evaluation Questions - Compliance Questions for Prior or Current Award Recipients". Below the header, the main title "Compliance Questions for Prior or Current Award Recipients" is displayed in a large, dark font. To the right of the title is a red bookmark icon and the text "Bookmark Subsection" followed by a checkbox. Below the title, a note states "Responses are required to all visible questions." The main content area contains three questions, each with a dropdown menu for the answer:

- C13. If this CDFI is a prior or current Award Recipient, does the CDFI have policies and procedures in place to notify its Board of Directors or governing body of new and existing federal, state, or local government requirements? If no, please describe. \*
- C14. If this CDFI is a prior or current Award Recipient, is the CDFI required to measure and report on progress toward its Performance Goals and Measures (PG&Ms) to the CDFI's Board of Directors or governing body at least annually? \*
- C15. If this CDFI is a prior or current award Recipient, how frequently is the CDFI required by its policies and procedures to self-evaluate and track performance on PG&Ms? \*

At the bottom center of the form is a blue "Save" button.

Figure 120 Compliance Questions for Prior or Current Award Recipients

Questions C13. and C14. require a response of 'Yes', 'No', or 'NA'. Choosing 'NO' for either will trigger a mandatory text box to provide an explanation.

2022 ERP Application - Appendix 7: Compliance Evaluation Questions - Compliance Questions for Prior or Current Award Recipients

## Compliance Questions for Prior or Current Award Recipients

Bookmark Subsection

Responses are required to all visible questions.

C13. If this CDFI is a prior or current Award Recipient, does the CDFI have policies and procedures in place to notify its Board of Directors or governing body of new and existing federal, state, or local government requirements? If no, please describe. \*

Yes

C14. If this CDFI is a prior or current Award Recipient, is the CDFI required to measure and report on progress toward its Performance Goals and Measures (PG&Ms) to the CDFI's Board of Directors or governing body at least annually? \*

No

Please provide an explanation: \*

1500 Characters Remaining

Figure 121 Text Entry Box

Question C.15 requires a response of ‘Annually or More Frequently’, ‘Less than once per year’ or ‘Not Required’. Choosing ‘Not Required’ will trigger a mandatory text box to provide an explanation.

C15. If this CDFI is a prior or current award Recipient, how frequently is the CDFI required by its policies and procedures to self-evaluate and track performance on PG&Ms? \*

Not required

Please provide an explanation: \*

1500 Characters Remaining

Save

Figure 122 Text Entry Box

## 18.0 Appendix 8: Forms and Certifications

2022 ERP Application - Appendix 8: Forms and Certifications

### Appendix 8: Forms and Certifications

**Appendix 8: Forms and Certifications**

**1. Environmental Review Form**

*This form must be completed by all Applicants in AMIS.*

**2. Assurances and Certifications**

*In addition to signing the SF-424, an Applicant must indicate "Yes" that it is certifying the Assurances and Certifications in AMIS.*

By signing the certification on the SF-424, the Applicant is certifying the Assurances and Certifications listed below. Certain of these Assurances and Certifications may not be applicable to the Applicant. An Applicant may not modify any of the Assurances and Certifications.

**3. 501(c)(4) Questionnaire**

*An Applicant must only complete this form in AMIS if it is recognized as a 501(c)(4) entity. No other Applicants should complete this form.*

[Print Section](#)

Figure 123 Appendix 8: Forms and Certifications

### 18.1 The Environmental Review Form

**Responses are required to all Environmental Review Form Questions.**

2022 ERP Application - Appendix 8: Forms and Certifications - Environmental Review Form

[Bookmark Subsection](#) ☐

**TIP:** This form must be completed in AMIS by all Applicants. Note, by selecting "No" for the questions, the Applicant indicates that it does not have any projects that may require environmental review.

The CDFI Fund's environmental review requirements are set forth in 12 CFR Part 1815. The Applicant should review such regulations carefully before completing this section. In order to assure compliance with those regulations and other requirements related to the environment, the Applicant shall provide the following information:

1. Are there any actions proposed in the Application that do not constitute a "categorical exclusion" as defined in 12 CFR 1815.110? \*

2. Are there any activities proposed in the Application that involve:

2.1. Historical or archaeological sites listed on the National Register of Historic Places, or that may be eligible for such listing? \*

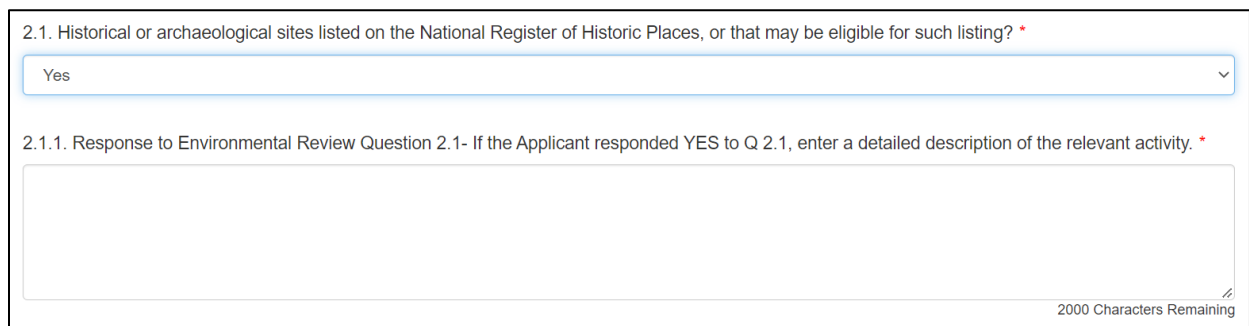
2.2. Wilderness areas designated or proposed under the Wilderness Act? \*

2.3. Wild or scenic rivers proposed or listed under the Wild and Scenic Rivers Act? \*

Figure 124 The Environmental Review Form



Answering ‘Yes’ to any question will trigger a justification to provide more context for your response. In such instances, a new mandatory text box will appear directly beneath the question asking you to “Please provide an explanation.”



2.1. Historical or archaeological sites listed on the National Register of Historic Places, or that may be eligible for such listing? \*

Yes

2.1.1. Response to Environmental Review Question 2.1- If the Applicant responded YES to Q 2.1, enter a detailed description of the relevant activity. \*

2000 Characters Remaining

Figure 125 Text Entry Box

**NOTE:** If YES to any of the above questions, attach a detailed description of each action, clearly identifying the category in which the action falls.

As stated in 12 CFR 1815.105, if the CDFI Fund determines that the Application proposes actions which require an environmental assessment or an environmental impact statement, any approval and funding of the Application will be contingent upon:

1. The Applicant supplying to the CDFI Fund all information necessary for the CDFI Fund to perform or have performed any required environmental review;
2. The Applicant not using any CDFI Fund Financial Assistance to perform any of the proposed actions in the Application requiring an environmental review until approval is received from the CDFI Fund; and
3. The outcome of the required environmental review.

In addition, as stated in 12 CFR 1815.106, if the CDFI Fund determines that an Application, or any part thereof, is not sufficiently definite to perform a meaningful environmental review prior to approval of the Application, final approval and funding of the Application shall require supplemental environmental review prior to the taking of any action directly using CDFI Fund Financial Assistance for any action that is not a categorical exclusion.

## 18.2 Additional Certifications

Read through all of the information in section B, then select 'Yes' or 'No' from the dropdown. Selecting 'No' will trigger a mandatory textbox to provide additional information. Once complete, click 'Save'. **Responding to this question is required.**

2022 ERP Application - Appendix 8: Forms and Certifications - B. Additional Certifications

Bookmark Subsection

Certain of these Assurances and Certifications may not be applicable to the Applicant. An Applicant may not modify any of the Assurances and Certifications.

In addition to the assurances and certifications provided by the Applicant pursuant to OMB Standard Form 424, the Applicant hereby assures and certifies that:

1. It is duly organized and validly existing under the laws of the jurisdiction in which it was incorporated or otherwise established, and is (or within 30 day will be) authorized to do business in any jurisdiction in which it proposes to undertake activities specified in this Application;
2. Its Board of Directors (or similar governing body) has by proper resolution or similar action authorized the filing of this Application, including all understandings and assurances contained herein, and directed and authorized the person identified as the authorized representative of the Applicant to act in connection with this Application and to provide such additional information as may be required;
3. It will comply with all applicable requirements of the Community Development Banking and Financial Institutions Act of 1994 (the Act) [12 U.S.C. 4701 et seq.], regulations implementing the Act and all other applicable Department of the Treasury regulations and implementing procedures (and any regulations or procedures which are later promulgated to supplement or replace them);
4. It will comply, as applicable and appropriate, with the requirements of 2 CFR 200 and any regulations and circulars which are later promulgated to supplement or replace them, including standards for fund control and accountability;
5. It has not knowingly and willfully made or used a document or writing containing any false, fictitious or fraudulent statement or entry as part of this Application or any related document, correspondence or communication. (The Applicant and its authorized representative should be aware that, under 18 U.S.C. 1001, whoever knowingly and willfully makes or uses such document or writing shall be fined or imprisoned for not more than five years, or both); and
6. It has not had proceedings instituted against it in, by, or before any court, governmental agency, or administrative body, and a final determination made within the last 3 years as of the date of the NOFA indicating that the Applicant has violated any of the following laws: Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d); Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794); the Age Discrimination Act of 1975 (42 U.S.C. 6101-6107); Title VIII of the Civil Rights Act of 1968, as amended (42 U.S.C. 3601 et seq.); and Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency.
7. The information in this Application, and in these assurances and certifications in support of the Application, is true and correct to the best of the Applicant's knowledge and belief and the filing of this Application has been duly authorized.

As the Authorized Representative of the Applicant, I hereby assure and certify to the General Certification Questions 1 through 7 above: \*

No

If you are unable to make any of these certifications, please specify which one(s) and describe the reason you are unable to provide the certification. \*

2000 Characters Remaining

Save

Figure 126 Additional Certifications

## 18.3 Certification Regarding Debarment, Suspension, And Other Responsibility Matters - Primary Covered Transactions: Instructions for Certification

Read through all of the information in section C, then select 'Yes' or 'No' from the dropdown and click 'Save'. **Responding to this question is required.**

2022 ERP Application - Appendix 8: Forms and Certifications - C. Certification Regarding Debarment, Suspension, And Other Responsibility Matters -- Primary Covered Transactions: Instructions for Certification

Bookmark Subsection

The following are instructions for subsection D. Certifications Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions.

- By signing and submitting this Application, the prospective primary participant (the Applicant) is providing the certification set out below.
- The inability of a person to provide the certification required below will not necessarily result in the denial of participation in this covered transaction. The prospective Applicant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the CDFI Fund's determination whether to enter into this transaction (approval and funding of the Application). However, failure of the Applicant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- This certification is a material representation of fact upon which reliance is placed when the CDFI Fund determines to enter into this transaction. If it is later determined that the Applicant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the CDFI Fund may terminate this transaction for cause or default.
- The Applicant shall provide immediate written notice to the CDFI Fund if at any time the Applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- The terms "covered transactions," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal", and "voluntarily excluded," as used in this clause (certification), have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the CDFI Fund for assistance in obtaining a copy of those regulations (31 CFR part 19).
- The Applicant agrees by submitting this Application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the CDFI Fund.
- The Applicant further agrees by submitting this Application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," to be provided by the CDFI Fund, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions (see 31 CFR part 19, Appendix B). A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals.
- A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals.
- Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the CDFI Fund may terminate this transaction for cause or default.
- Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

I have read and understand the above instructions for subsection D. Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions.

Yes

Save

Print Page

Figure 127 Certification Regarding Debarment, Suspension, And Other Responsibility Matters - Primary Covered Transactions: Instructions for Certification

## 18.4 Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

### Responses are required to all Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions Questions.

2022 ERP Application - Appendix 8: Forms and Certifications - D. Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

Bookmark Subsection ☐

Please make sure that you have reviewed the instructions for the below certifications in subsection C.

1. The prospective primary participant (the Applicant) certifies to the best of its knowledge and belief, that it and its principals:

a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency; \*

Yes

b) have not within a three-year period preceding this Application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; \*

Yes

c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and \*

Yes

d) Have not within a three-year period preceding this Application had one or more public transactions (Federal, State or local) terminated for cause or default. \*

No

If the Applicant is not able to certify statement 1d, please provide a written explanation. \*

2000 Characters Remaining

Save

Figure 128 18.4 Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

Answering 'No' to any question will trigger a justification to provide more context for your response. In such instances, a new mandatory text box will appear directly beneath the question asking you to "Please provide an explanation."

## 18.5 Certification Regarding Drug-Free Workplace Requirements

Read through all of the information in section E, then select 'Yes' or 'No' from the dropdown. Selecting 'No' will trigger a justification to provide more context for your response. In such instances, a new mandatory text box will appear directly beneath the question asking you to "Please provide an explanation." When complete, click 'Save'. **Responding to this question is required.**

2022 ERP Application - Appendix 8: Forms and Certifications - E: Certification Regarding Drug-Free Workplace Requirements
Bookmark Subsection

Please read and certify the Certification Regarding Drug-Free Workplace Requirements below.

- The Applicant certifies that it will provide a drug-free workplace by:
  - publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employee for violations of such prohibition;
  - establishing a drug-free awareness program to inform employees about:
    - the dangers of drug abuse in the workplace;
    - the Applicant's policy of maintaining a drug-free workplace;
    - any available drug counseling, rehabilitation, and employee assistance program;
    - the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by subparagraph (a);
  - notifying the employee in the statement required by subparagraph (a) that, as a condition of employment in such grant, the employee will:
    - abide by the terms of the statement; and
    - notify the employer of any criminal drug use statute conviction for a violation occurring in the workplace no later than five calendar days after such conviction;
  - notifying the granting agency in writing, within ten calendar days after receiving notice of a conviction under subparagraph (d) (i) from an employee or otherwise receiving actual notice of such conviction;
  - taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(i), with respect to any employee who is so convicted:
    - taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
    - requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
  - making a good faith effort to continue to maintain a drug-free workplace through implementation of subparagraphs (a), (b), (c), (d), (e), and (f).
- The Applicant may insert in the space provided below the site(s) for the performance of work (activities carried out by the Applicant) to be done in connection with the award (Place of Performance (Street Address, City, County, State and zip Code)): Not Applicable.

As the Authorized Representative of the Applicant, I hereby assure and certify to the Drug Free Workplace Requirements statements 1 through 2 above: \*

No

If you are unable to make any of these certifications, please specify which one(s) and describe the reason you are unable to provide the certification. \*

2000 Characters Remaining

Save

Figure 129 Certification Regarding Drug-Free Workplace Requirements

## 18.6 Certification Regarding Lobbying

Read through all of the information in section F, then select 'Yes' or 'No' from the dropdown. Selecting 'No' will trigger a justification to provide more context for your response. In such instances, a new mandatory text box will appear directly beneath the question asking you to "Please provide an explanation." When complete, click 'Save'. **Responding to this question is required.**

2022 ERP Application - Appendix 8: Forms and Certifications - E. Certification Regarding Drug-Free Workplace Requirements
Bookmark Subsection

Please read and certify the Certification Regarding Drug-Free Workplace Requirements below.

- The Applicant certifies that it will provide a drug-free workplace by:
  - publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employee for violations of such prohibition;
  - establishing a drug-free awareness program to inform employees about:
    - the dangers of drug abuse in the workplace;
    - the Applicant's policy of maintaining a drug-free workplace;
    - any available drug counseling, rehabilitation, and employee assistance program;
    - the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by subparagraph (a);
  - notifying the employee in the statement required by subparagraph (a) that, as a condition of employment in such grant, the employee will:
    - abide by the terms of the statement; and
    - notify the employer of any criminal drug use statute conviction for a violation occurring in the workplace no later than five calendar days after such conviction;
  - notifying the granting agency in writing, within ten calendar days after receiving notice of a conviction under subparagraph (d) (i) from an employee or otherwise receiving actual notice of such conviction;
  - taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(ii), with respect to any employee who is so convicted:
    - taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
    - requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
  - making a good faith effort to continue to maintain a drug-free workplace through implementation of subparagraphs (a), (b), (c), (d), (e), and (f).
- The Applicant may insert in the space provided below the site(s) for the performance of work (activities carried out by the Applicant) to be done in connection with the award (Place of Performance (Street Address, City, County, State and zip Code)): Not Applicable.

As the Authorized Representative of the Applicant, I hereby assure and certify to the Drug Free Workplace Requirements statements 1 through 2 above. \*

No

If you are unable to make any of these certifications, please specify which one(s) and describe the reason you are unable to provide the certification. \*

2000 Characters Remaining

Save

Figure 130 Certification Regarding Lobbying

## 18.7 501(C)(4) Questionnaire

*An Applicant will only be required to complete this form in AMIS if it is recognized as a 501(c)(4) entity. No other Applicants should complete this form.*

### Responses are required to all Questionnaire Questions.

Read through all of the information in section B, then select 'Yes' or 'No' from the dropdown. Selecting 'No' will trigger a mandatory textbox to provide additional information. Once complete, click 'Save'.

2022 ERP Application - Appendix B: Forms and Certifications - 501(C)(4) Questionnaire

**AMIS TIP:** An Applicant must only complete this form in AMIS if it is recognized as a 501(c)(4) entity. No other Applicants should complete this form.

This questionnaire is necessary for the CDFI Fund to determine whether an Applicant with a 501(c)(4) designation from the IRS is eligible to receive an award from the Fund (see 2 U.S.C. 1801, et al.). Please read all definitions before responding to the questions and continue to refer to such definitions in responding to this questionnaire. If the answer to any question is yes, please describe in detail on a separate sheet(s) of paper the facts and circumstances, including: subject matter; date(s); names and titles of all individuals and their employers and their organizations. The CDFI Fund reserves the right to seek follow-up responses from an Applicant. Failure to complete this questionnaire and, if applicable, respond timely to follow-up questions, will delay the CDFI Fund's processing of the Application, and may result in the disqualification of the Application from further consideration. After submitting responses to this questionnaire, the Applicant is under a continuing obligation to: (1) supplement its responses upon a change in circumstances; and (2) revise or modify its responses within 10 business days of having actual or constructive knowledge that the responses previously submitted and certified are no longer complete, accurate, or true. You may contact the CDFI Fund's Office of Legal Counsel at (202) 653-0300 if you have any questions about this form.

Scope: The scope of this questionnaire is limited to activities on or after January 1, 1996.

1. Has any officer, employee, director, partner, proprietor, or board member contacted a Covered Executive Branch Official<sup>1</sup> with regard to the formulation, modification, or adoption of Federal legislation (including legislative proposals)? \*

Yes

1.1 501(c)(4) Question 1 Applicant Explanation- If the Applicant answered "Yes" to Question 1, please describe in detail the facts and circumstances, including: subject matter; date(s); names and titles of all individuals and their employers and their organizations. \*

2000 Characters Remaining

2. Has any officer, employee, director, partner, proprietor, or board member contacted a Covered Executive Branch Official with regard to the formulation, modification, or adoption of a Federal rule, regulation, Executive Order, or any other program, policy, or position of the United States Government? \*

No

3. Has any officer, employee, director, partner, proprietor, or Board member contacted a Covered Executive Branch Official with regard to the administration or execution of a Federal program or policy (including the negotiation, award, or administration of a Federal contract, grant, loan, permit, or license)? \*

No

4. Has any officer, employee, director, partner, proprietor, or Board member contacted a Covered Executive Branch Official with regard to the nomination or confirmation of a person for a position subject to confirmation by the United States Senate? \*

No

5. Has any officer, employee, director, partner, proprietor, or Board member engaged in efforts supporting and coordinating the contact by others of a Covered Executive Branch Official including preparation and planning activities, research and other background work that was intended, at the time performed, for a purpose described in Questions 1-4? \*

No

6. Has any officer, employee, director, partner, proprietor, or Board member contacted a Covered Legislative Branch Official<sup>2</sup> with regard to the formulation, modification, or adoption of Federal legislation (including legislative proposals)? \*

No

7. Has any officer, employee, director, partner, proprietor, or Board member contacted a Covered Legislative Branch Official with regard to the formulation, modification, or adoption of a Federal rule, regulation, Executive Order, or any other program, policy, or position of the United States Government? \*

No

8. Has any officer, employee, director, partner, proprietor, or Board member contacted a Covered Legislative Branch Official with regard to the administration or execution of a Federal program or policy (including the negotiation, award, or administration of a Federal contract, grant, loan, permit, or license)? \*

No

9. Has any officer, employee, director, partner, proprietor, or Board member contacted a Covered Legislative Branch Official with regard to the nomination or confirmation of a person for a position subject to confirmation by the United States Senate? \*

No

10. Has any officer, employee, director, partner, proprietor, or Board member engaged in efforts supporting and coordinating the contact by others of a Covered Legislative Branch Official including preparation and planning activities, research and other background work that was intended, at the time performed, for a purpose described in Questions 6-9? \*

No

Save

Figure 131 501(C)(4) Questionnaire

## 19.0 Appendix 9: Financial Attachments

This subsection is applicable to both Regulated and Non-Regulated Applicants. Regulated Applicants will see a subsection called “Call Reports” whereas Non-Regulated Applicants will see a subsection called “Financial Attachments”.

### ***Regulated Applicants***

Regulated Applicants must attach Year-end Call reports for their three most recent historic fiscal years.

2022 ERP Application - Appendix 9: Financial Attachments - Call Reports


## Call Reports

Regulated Applicants (credit unions, banks, thrifts, bank holding companies, and other Insured Depository Institutions) must attach the required attachments.

1. **Year-end Call reports** for your organization's three most recent historic fiscal years.


- This question requires 3 attachments.

Year-end Call reports Attachment 1:




Upload Document Here \*

Year-end Call reports Attachment 2:



Upload Document Here \*

Year-end Call reports Attachment 3:



Upload Document Here \*

Save

Figure 132 Regulated Applicants Additional Attachments

Use the drag and drop upload field to provide all required Attachments. Please be aware of the validations for the full set of attachments for which error messages may be generated.

### **Non-Regulated Applicants**

Non-Regulated Applicants must attach Audited Financial Statements for their two most recent historic fiscal years, as well as current year-to-date unaudited internally-prepared financial statements. If the audit for the Applicant's most recent historic fiscal year is not complete as of the due date of the AMIS Application, the Applicant must attach audited financial statements for its two historic fiscal years prior to the most recent historic fiscal year, as well as current year-to date unaudited internally-prepared financial statements. In this case, do not attach unaudited internally-prepared financial statements for the most recent historic fiscal year. If the CDFI Fund needs this information during the review process, it reserves the right to request it.



2022 ERP Application - Appendix 9: Financial Attachments - Financial Attachments

Financial Attachments

Bookmark Subsection

Non-Regulated Applicants (loan funds, venture capital funds, and other non-Insured Depository Institutions) must attach the required attachments.

1. Audited Financial Statements for your organization's two most recent historic fiscal years.

This question requires 2 attachments.

Audited Financial Statement Attachment 1:

DRAG & DROP

Upload Document Here

Audited Financial Statement Attachment 2:

DRAG & DROP

Upload Document Here

2. Interim Financial Statements: Current Year-to-Date Unaudited Internally Prepared Financial Statements.

This question requires 1 attachment.

DRAG & DROP

Upload Document Here

Figure 133 Non-Regulated Applicants Additional Attachments

Use the drag and drop upload field to provide all required Attachments. Please be aware of the validations for the full set of attachments for which error messages may be generated.

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3. A **Management Letter** for the most recent historic year OR a **Statement in Lieu of Management Letter** for the most recent historic fiscal year is required from Applicants.

If your organization did not receive a Management Letter, as defined in the applicable Notice of Funds Availability (NOFA), a template is provided in AMIS to be completed in this section.

The Statement in Lieu of a Management Letter is attested to for accuracy and completeness by an Authorized Representative of your organization as part of the overall Attestation when you submit the Application.

Click to view a sample [Management Letter](#). Note: this is not your auditor's opinion letter.

Please read the two options below and select a corresponding choice that describes your organization from the drop-down box at the bottom of the section. All Applicants must select one of the two available options for Question 3.1.

3.1.a. **Applicant with a Management Letter to attach:** My CDFI has a Management Letter meeting the requirements as defined in the FY 2022 CDFI ERP NOFA, or my CDFI's A-133 (Single Audit) is included in the attached audited financial statements. **Note: If you have questions about whether a document meets the requirements set forth in the CDFI ERP Application guidance, reach out to CDFI Fund staff via a service request.**

- This selection requires 1 attachment.

3.1.b. **Applicant needing to Attest to a Statement in Lieu of Management Letter in AMIS:** I do hereby certify and attest that the audit firm that conducted our CDFI's most recent historic fiscal year audit did not provide a Management Letter, as defined in the FY 2022 CDFI ERP NOFA.

\*

Use the drop-down box to select one of the two options above.

▼

Save

Figure 134 Management Letter Dropdown Selection

Question 3 requires that an Applicant select one of the following options from a dropdown:

**3.1.a. Applicant with a Management Letter to attach**

**3.1.b. Applicant needing to Attest to a Statement in Lieu of Management Letter in AMIS**

If 3.1.b. is selected, the Statement in Lieu of Management Letter 3.2 & 3.3 subsection will appear (shown below) and Applicants must complete two more dropdowns.

## Statement in Lieu of Management Letter 3.2 & 3.3

 [Bookmark Subsection](#) ☐

For questions 3.2 and 3.3, please read both options and select the option from each drop-down box that describes your organization. Applicants must make a selection for both questions.

**3.2.a. Applicant with Unqualified Opinion and no audit findings:** I further certify and attest that for all audited financial information submitted as part of this Application, that the Audit Opinion was Unqualified and denoted no deviations from GAAP.

**3.2.b. Applicant with Qualified Opinion and/or audit findings:** I further certify and attest that for all audited financial information submitted as part of this Application, any qualified opinions, deviations from GAAP, and/or audit findings are thoroughly addressed in Question II of the Compliance Evaluation Questions in the aforementioned Application. \*

Use the drop-down box to select one of the two options above.

**3.3.a. Applicant with no additional items to report:** I further certify and attest that in my opinion, my organization's accounting policies and procedures, internal controls, and operating policies are appropriate and prudent for a CDFI of our size and complexity, and; That our auditors did not inform us of, and I am not aware of, any issues with our accounting policies and procedures, internal controls, and operating policies, including any material weaknesses, significant deficiencies, and other matters identified during the audit.

**3.3.b. Applicant with additional items to report:** I am aware of the following issues with our accounting policies and procedures, internal controls, and/or operating policies, including any material weaknesses, significant deficiencies, and other matters identified during the audit. \*

Use the drop-down box to select one of the two options above.

Figure 135 Statement in Lieu of Management Letter 3.2 & 3.3

In the first dropdown, choose between two options based on whether or not the Applicant has a qualified opinion and/or audit findings. In the second, choose between **3.3.a. Applicant with no additional items to report** and **3.3.b. Applicant with additional items to report**.

If the Applicant has additional items to report, then select 3.3.b and the Statement in Lieu of Management Letter 3.3.b subsection will appear.

Statement in Lieu of Management Letter 3.3.b

Bookmark Subsection

In the previous subsection, you selected 3.3.b, which indicated you had additional items to report. Please use the table below to provide this additional information. Applicants may add up to twenty-five (25) additional items.

Complete the information and click "Save." Click on the "Add Row" link to create additional records.

3.3.b. Applicant with additional items to report: I am aware of the following issues with our accounting policies and procedures, internal controls, and/or operating policies, including any material weaknesses, significant deficiencies, and other matters identified during the audit.

Overview (1)

Add Row

Record Name	Completed	Management Letter 3.3b - Type of Issue
New Row (active)		
24 Remaining Rows		Add Row

New Row

1. Name of Issue:

2. Type of Issue: \*

Figure 136 Statement in Lieu of Management Letter 3.3b

Click **New Row** and fill in the following fields. It is recommended but not required to give the issue a name (question 1).

New Row

1. Name of Issue:

2. Type of Issue: \*

3. Description of Issue: \*

1500 Characters Remaining

4. Steps CDFI is Taking to Address the Concern: \*

1500 Characters Remaining

Save

Download CSV

Delete Record

Figure 137 New Row - Issue

Once you are done, click **Save**. You also have the option to download the Comma Separated Values File (CSV File) or to delete the record at the bottom of the page.

## 20.0 Attestation and Submission

The screenshot displays the '2022 MLP Application' interface. At the top, a navigation bar includes a 'Control Number' (050705), a 'Due Date' (4/30/2022 11:59 PM EST), a 'Remaining Time' (39 days 6 hours 55 minutes), and a 'Progress: 54% Complete' indicator. The left sidebar shows a 'Table of Contents' with sections like 'Part 1: Project Performance', 'Part 2: Organizational Capacity', and 'Appendix 1: Accountability and Financing Track Record to Minority Individuals and Minority Communities'. The main content area is titled 'Attestation and Submission' and contains a 'Authorized Representative Signature' section. It includes a paragraph of legal text, a checkbox for 'By selecting this checkbox, I agree to the terms stated above. (Any Authorized Representatives)', and fields for 'Name: AAT Test Org 2 AR' and 'Date: 3/22/2022 11:03 PM'. A 'Submit Application' button is located at the bottom right of the main content area.

Figure 138 Attestation and Submission

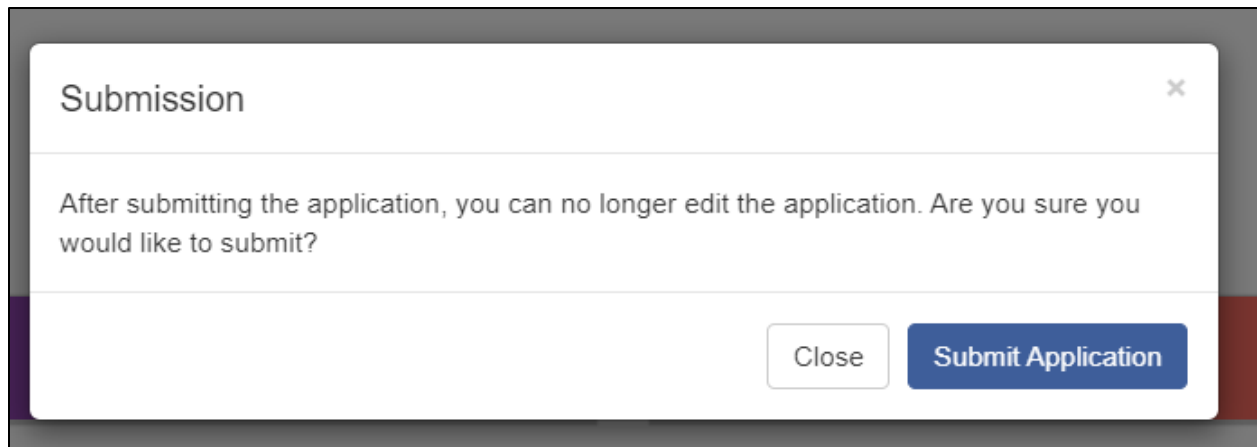
The final step to the Application process is the Attestation and Submission of the Application. All subsections must be marked complete in order for you to submit your Application. To check which subsections have been marked complete, look for a green checkmark next to that subsection on the menu bar. Subsections that are incomplete will not have a checkmark and will prevent you from successfully submitting the Application.

**You will not be able to submit an Application until all items are marked complete.**

**If you attempt to submit your Application before all subsections are complete, you will receive error messages identifying which subsections remain incomplete or contain validation errors. Correct these subsections before trying to re-submit your Application.**

When you are ready to submit your Application:

1. Navigate to the Attestation and Submission subsection and review the terms.
2. Click the check box to agree to the terms.
3. Click the **'Submit Application'** button.
4. A popup window will appear confirming your intent to submit. Click the **'Submit Application'** button.



*Figure 139 Submit Application*

You will receive an email confirming that your Application has been submitted including the text of the Authorized Representative's attestation for reference.