AMIS Training Manual

Community Development Financial Institutions Program and Native American CDFI Assistance Program

Financial Assistance and Technical Assistance Awards Compliance Report Completion Guidance

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

March 2023

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Disclaimer: *The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.*

1. INTRODUCTION

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

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

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

2. TYPES OF REPORT

2.1   Organization vs. Award Specific Reports

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

Organizational Level Reports

Reports that may be required at the organization level include:
- Financial Statement Audit Report
- Single Audit Report
- Transaction Level Report[1]
- Shareholder Report

Award Level Reports

Reports that may be required at the Award level include:
- Performance Progress Report (PPR) (Applicable to FY 2015 Awards and later)
- Uses of Award Report (Applicable to FY 2015 Awards and later)
- SF-425 Report (Applicable to FY 2018 TA Awards and earlier)

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[1] Transaction Level Report instructional documents can be accessed by visiting: https://www.cdfifund.gov/amis-reporting

3. REPORTING SCHEDULE

The **Reporting Schedule²** is a central location in AMIS that allows you to track and monitor compliance reports that are due to the CDFI Fund for all Awards. It allows you to track the compliance reports due dates, and to monitor if the compliance reports have been submitted. Please note that the CDFI Fund will be sending the Authorized Representatives on the **Award Detail** page reporting reminders 30 days and 15 days prior to the report deadline. To ensure that you do not miss any important notifications from us, please confirm that the contact information for the users in your organization's AMIS account is current and correct, and make sure that your e-mail service is not marking communications from AMIS@cdfi.treas.gov as "junk" or "spam."

To access the Reporting Schedule:

1. Log into AMIS.

2. Click on the **Reporting Schedule** tab and select a list view from the dropdown menu. Note that if your organization has active awards for more than one CDFI Fund program, your list of reports will include more than just reports associated with your CDFI Program award.
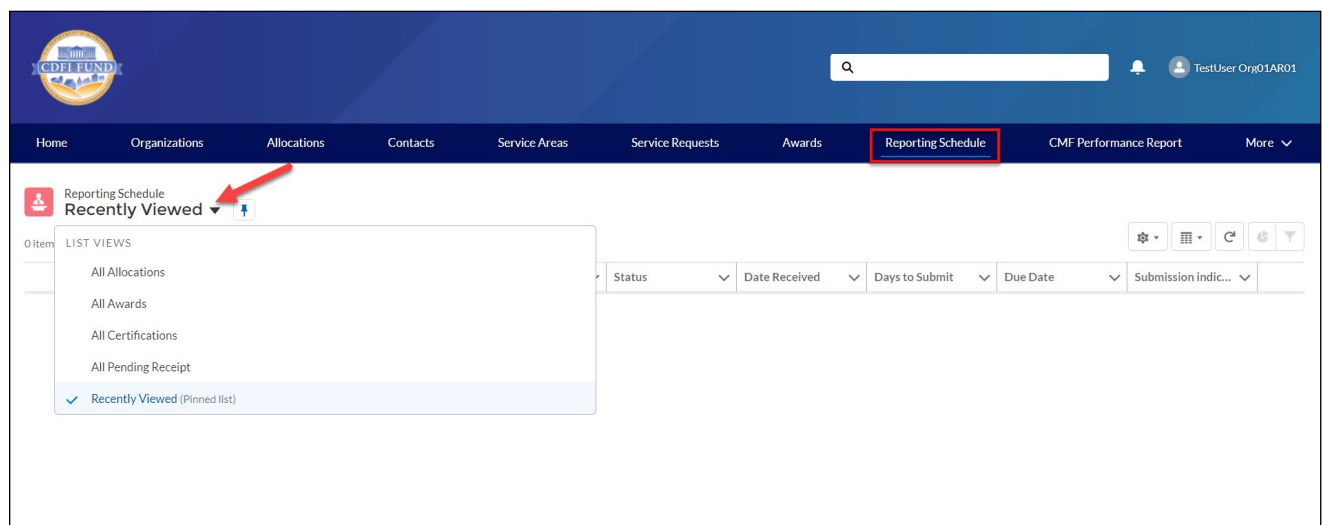

Figure 1. Retrieve Reporting Schedule

Figure 2. Reporting Schedule

4. FINANCIAL STATEMENTS AND RELATED AUDITORS AND ACCOUNTANTS REVIEW REPORTS

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

4.1 Financial Statement Audit Report (if applicable)

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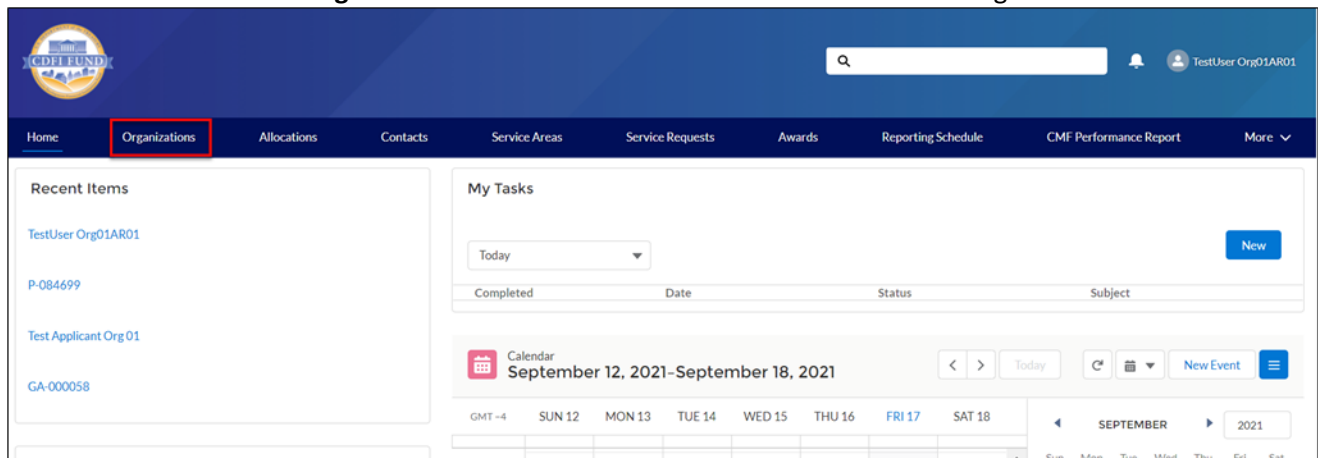

Figure 3. Home Page

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

Figure 4. Organizations Tab

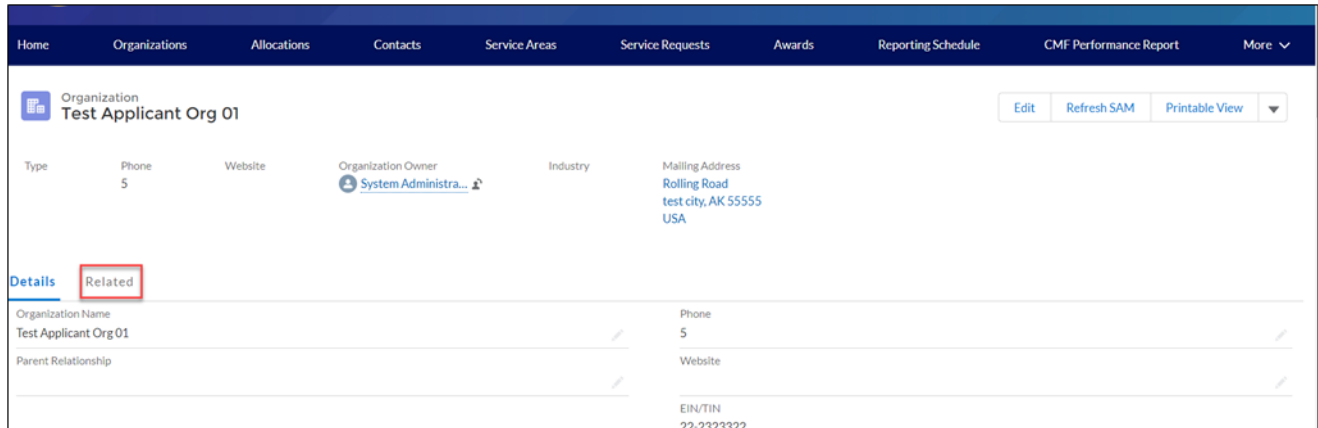3. From the **Organization Detail** page, click the Related tab.

Figure 5. Related Tab

4. Once on the **Related** page, scroll to the **Financial Statement Audit** section and select the **New** button.
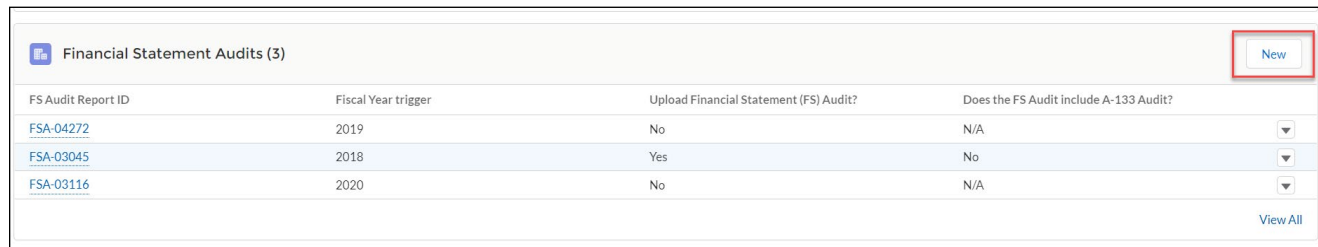

Figure 6. Financial Statement Audit Secetion - New

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

➢ When selecting the fiscal year, please select the corresponding fiscal year to be reported on. For example, if the Performance Period End Date is 6/30/2019, then you would select 2019.

➢ The following questions (circled in red) under the Financial and Audit Report Information Sections must be completed with either Yes, No or N/A:
• Material Weaknesses Resolved by FYE?
• If FS Audit not submitted, why not?
• Upload Auditor Correction Confirmation

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

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

Figure 7. New Financial Statement Audit #1

Figure 8. New Financial Statement Audit #2

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

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

7. Navigate to the **Notes & Attachments** section on the **Related** tab of the **Financial Statement Detail** page and select the **Upload Files** button to attach any Financial Statement Audit Report documents.

Figure 9. Upload FIles

8. Select a file from your computer and click the Done button.
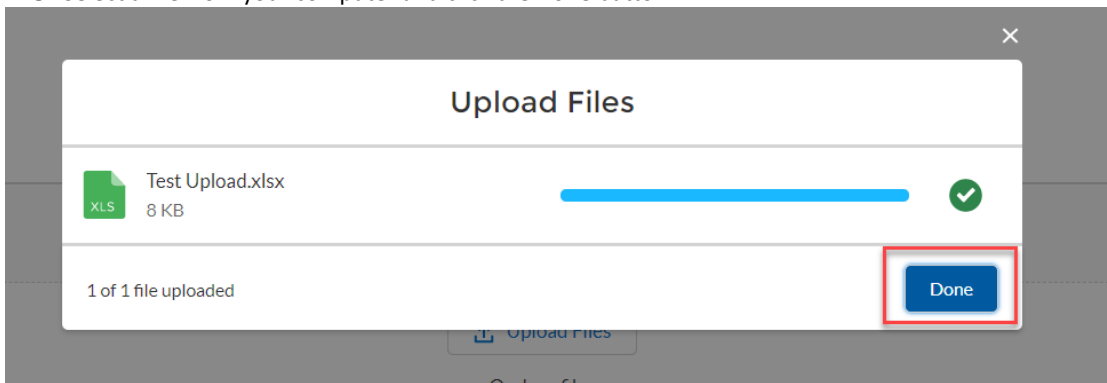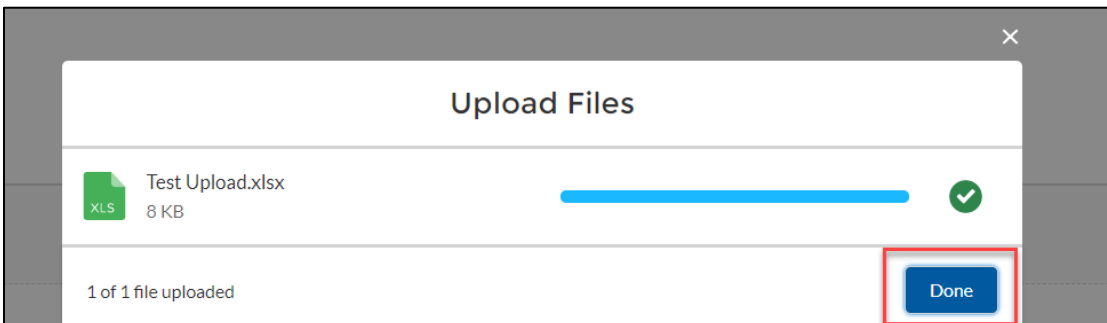

Figure 10. Upload Files - Done

Figure 11. Upload Success Message

➢ The attached file should be displayed under the **Notes & Attachments** related list. If you have a separate Single Audit Report and would like to submit it to the CDFI Fund, please include this as an attachment under this section.

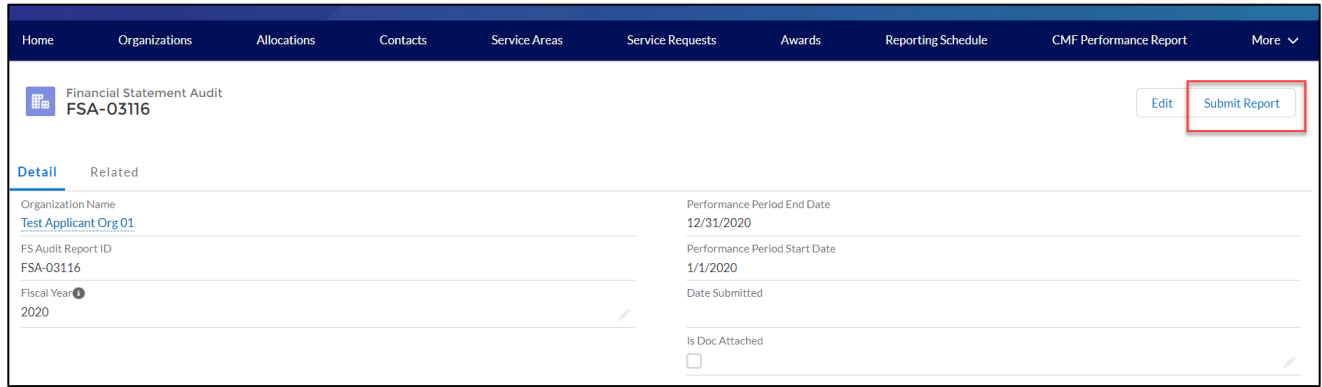9. Select the **Submit Report** button to submit your report to the CDFI Fund.

Figure 12. Submit Report

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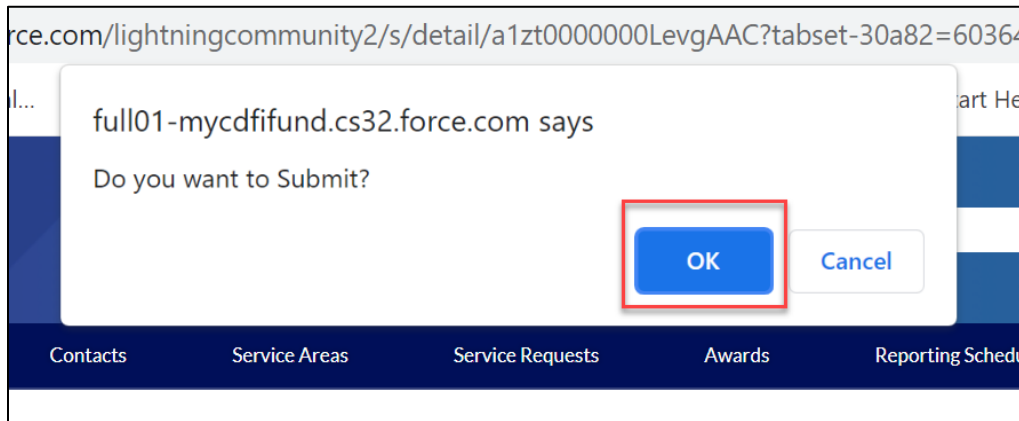

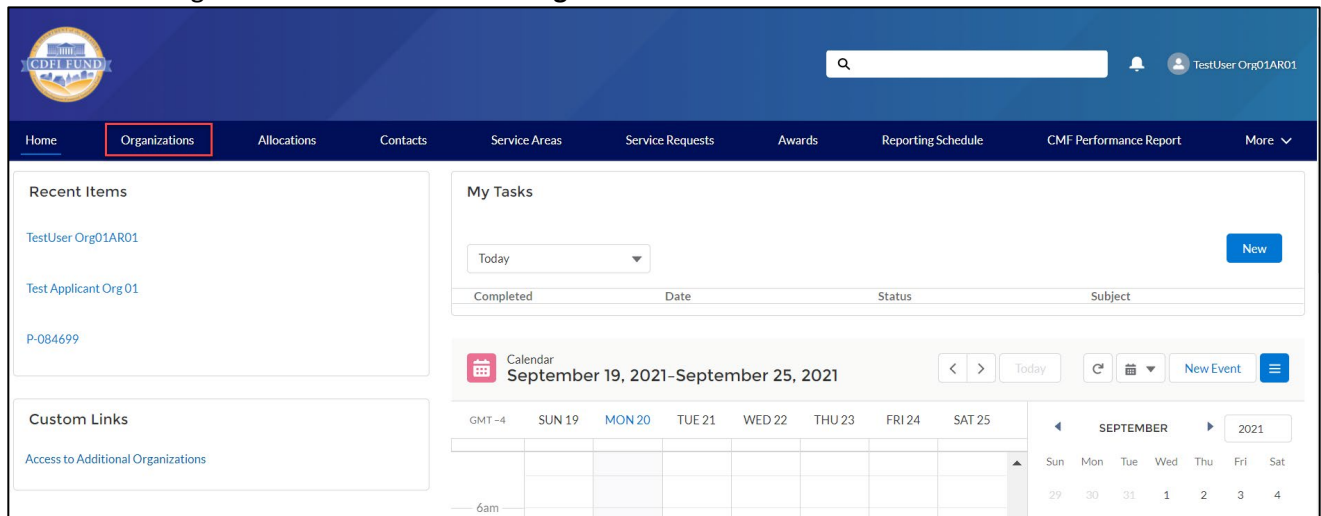*Figure 13. Submittal Confirmation*

4.2 Audit Opinion and Corrective Actions (if applicable)

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

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

To Access the Financial Statement Audit Report and complete the corrective action section:
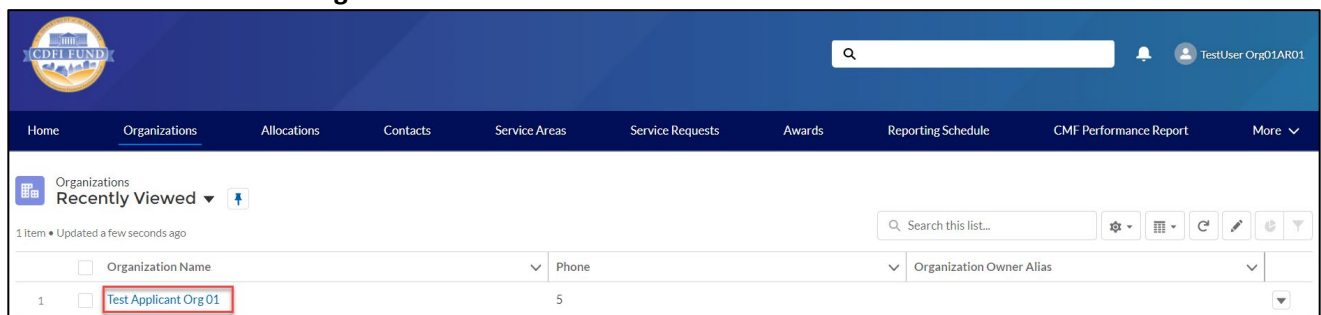
1. Login to AMIS and click on the **Organizations** tab.

Figure 14. Home Page - Organizations Tab

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

Figure 15. Organization Tab

3. Click on the **Related** tab.

Figure 16. Details Page - Related Tab

4. From the **Organization Related** page, click on the **Financial Statements Audits** section and click on the **FS Audit ID** link to access the report.

Figure 17. FS Audit ID Link

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

Figure 18. Audit Opinion and Corrective Actions

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

Figure 19. Recipient -Explain Audit Opinion and Corrective Actions

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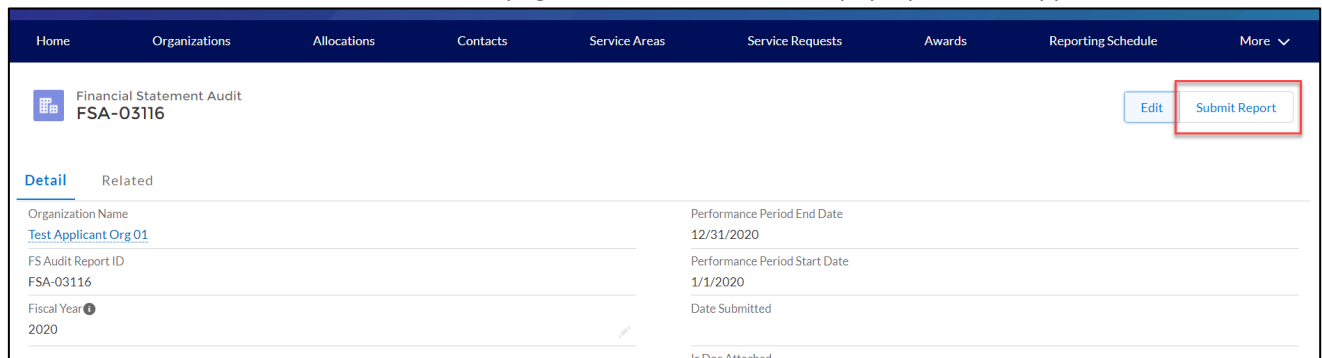

Figure 20. Financial Statement Audit Detail Page

4.3 Complete the Single Audit Report (if applicable)

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

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

4.4 Complete Noncompliance Section for Single Audit

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

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

1. To submit the Single Audit Report in AMIS, navigate to the "Organization Related" page, click the **A-133 Audit Reports** section link.

2. Select the **A-133 Audit Report Record ID** link.

Figure 21. A-133 Audit Reports Section

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

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

Figure 22. A-133 Audit Report Detail Page

4. If you selected "Yes" within the Material Weaknesses dropdown, you will need to complete the additional steps below following completion of the remaining questions on the Audit Report Detail page.

5. Click on the **Related** tab of the A133-Audit Report record.

Figure 23. Related Tab

6. Scroll to the **Material Weaknesses** Section and click **New**.

Figure 24. Material Weaknesses Section

7. Complete the following information displayed on the page:
    a. "What caused Material Weakness"
    b. "Actions to address Material Weakness"
    c. "Current status of Material Weakness"
    d. "Material Weakness corrected by next FYE"
    e. "Why Material Weakness will not be corrected"

8. Click the **Save** button once you are done.
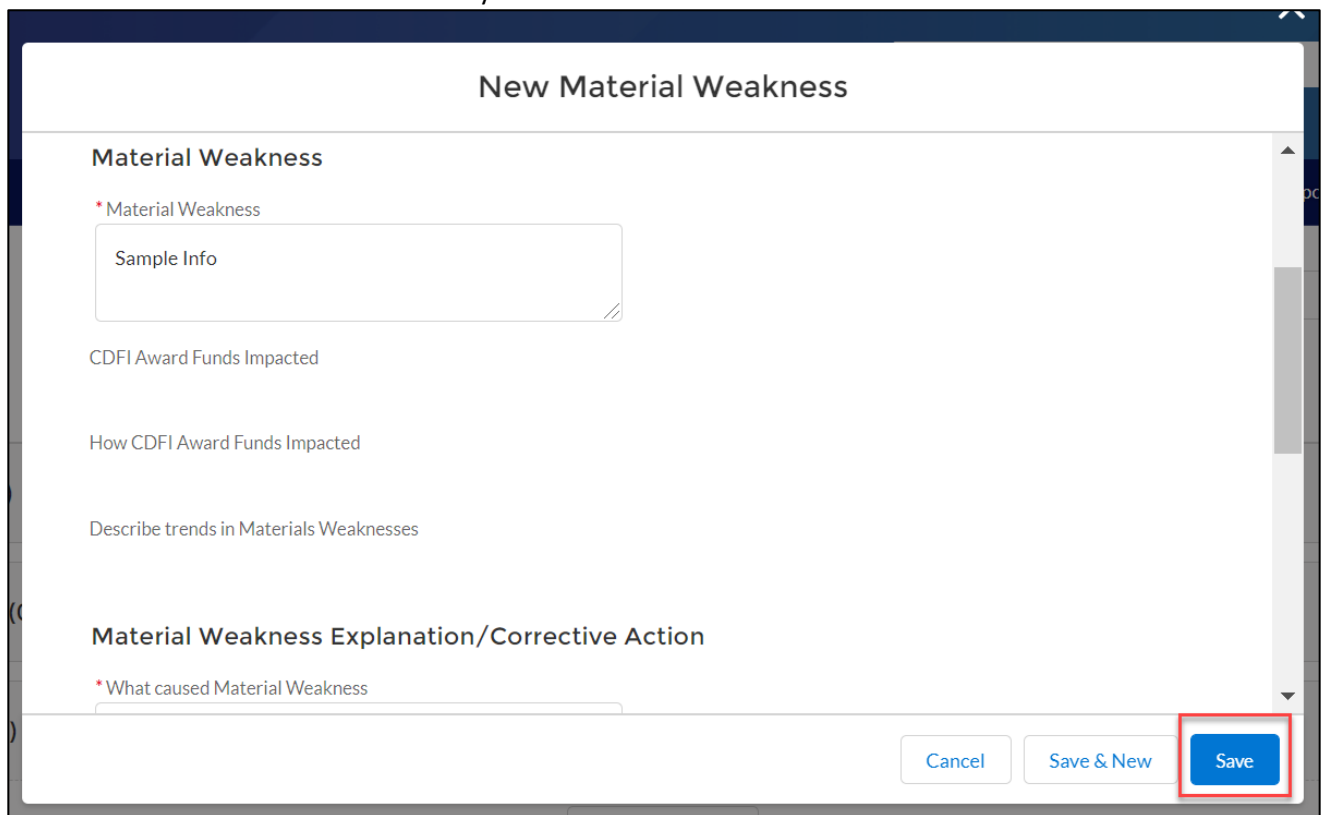
Figure 25. New Material Weakness

9. Repeat steps #4-7 to explain all the material weaknesses in the report.

    Once the record is saved, click the **A-133 Audit Report** link to return back to the "A-133 Audit Report Detail" page.
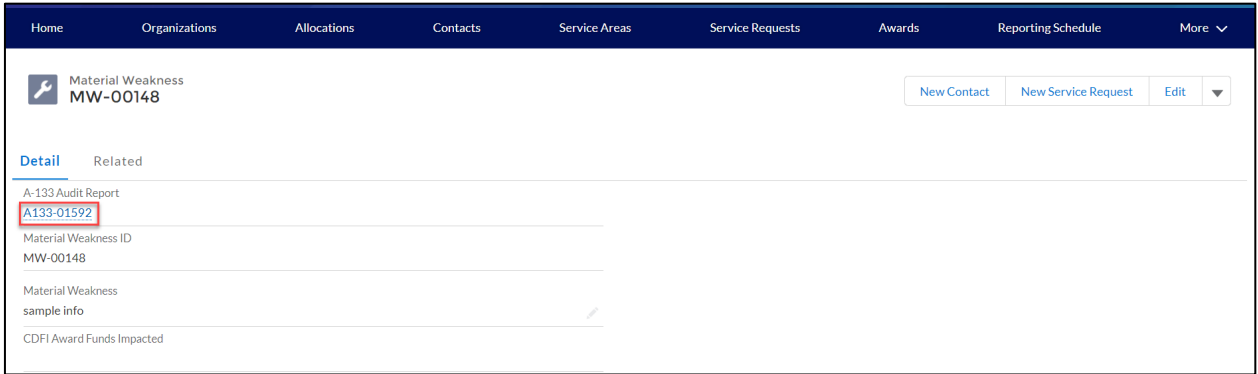
Figure 26. Material Weakness Detail Page

10. You will be forwarded to the "A-133 Audit Report Detail" page

11. To attach a document, click on the **Related** tab.
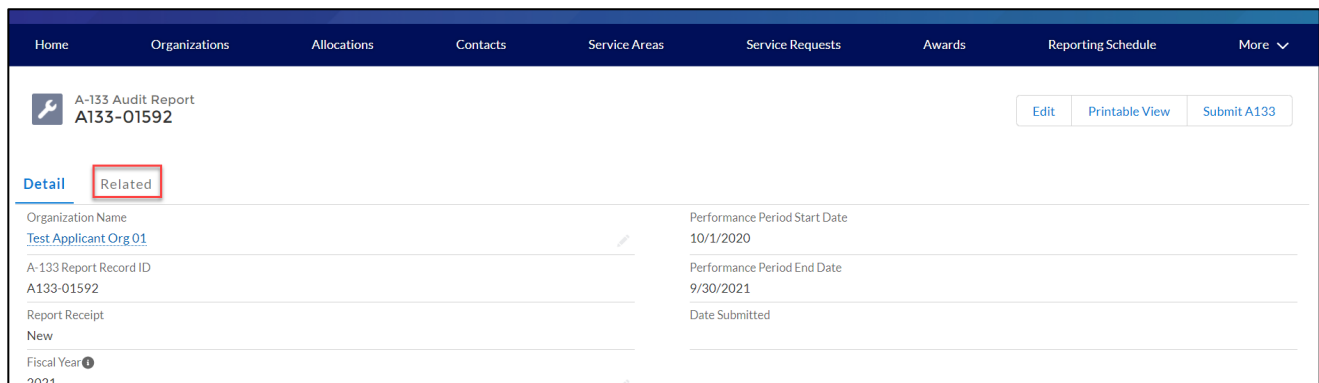
Figure 27. A-133 Audit Report Detail Page

12. Scroll to the **Notes & Attachments** section and select **Upload Files**.
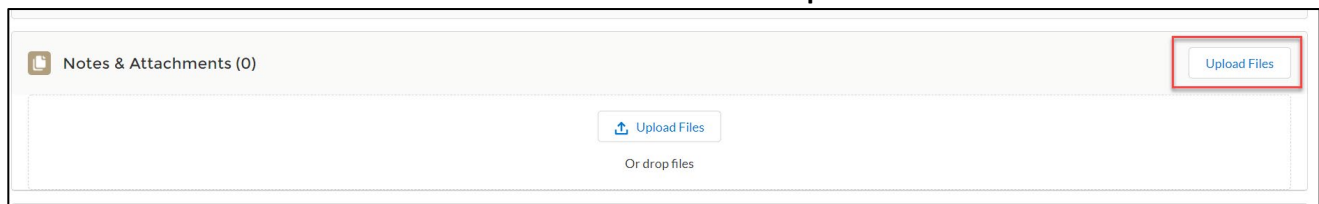
Figure 28. Notes & Attachments Section

13.   Select the desired file from your computer and click **Done** once the file is uploaded.
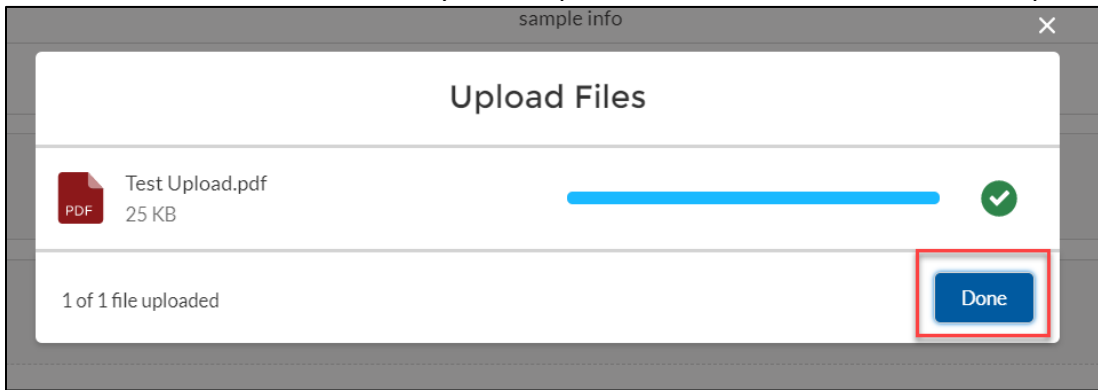
Figure 29. Attach File Page

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

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

16. A "Confirm to Submit" pop-up box will appear, click **OK**.
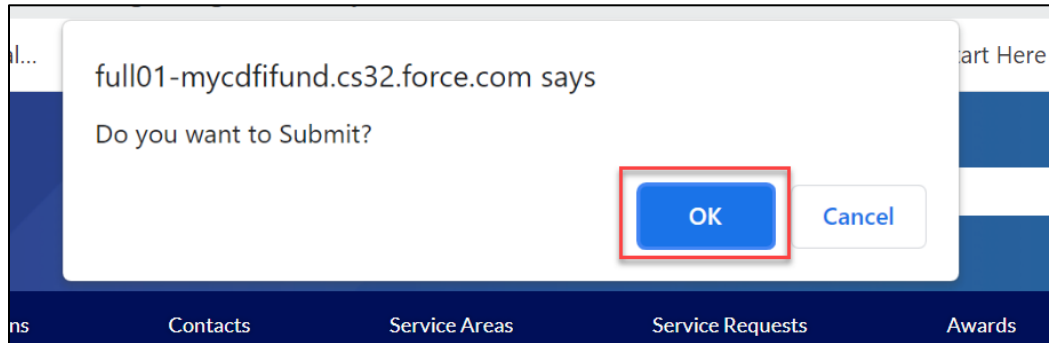
Figure 30. Submit Confirmation

5. COMPLETING THE SHAREHOLDERS REPORT (IF APPLICABLE)

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

1. To complete a **Shareholders Report**, navigate to the Organization Home page.
2. Click on the **Organizations tab**.
3. Click on the Organization Name link to open the Organization Detail page.
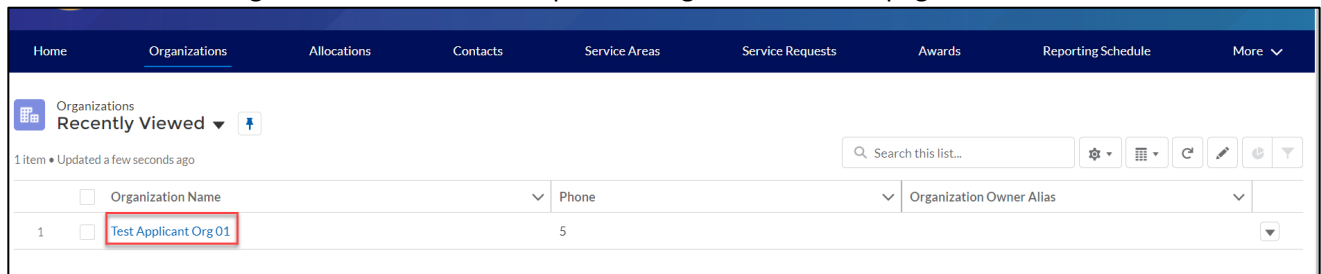
Figure 31. Home Page - Organization Tab

4. From the **Organization Detail page**, click the **Related** tab.
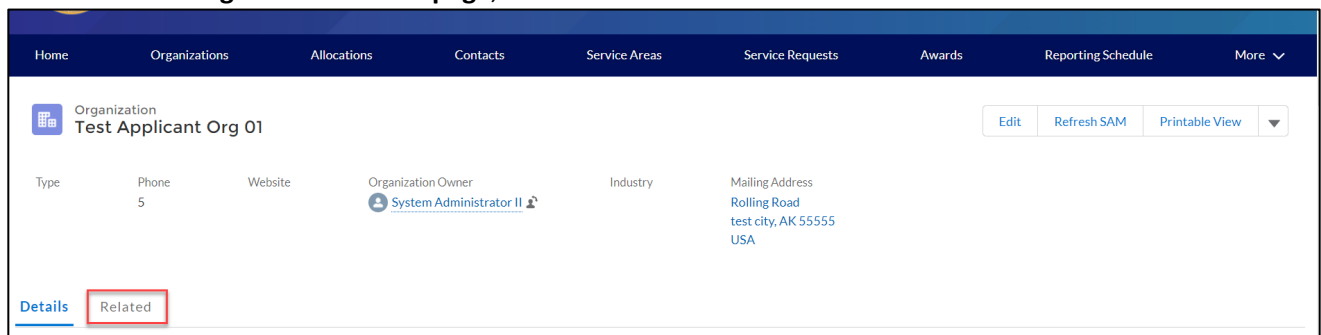
Figure 32. Related Tab

5. Sroll to the **Shareholder Report** section and click the **New button.**

Figure 33. New Shareholder Report

6. Select the appropriate **Record Type** and click **Next**.
.
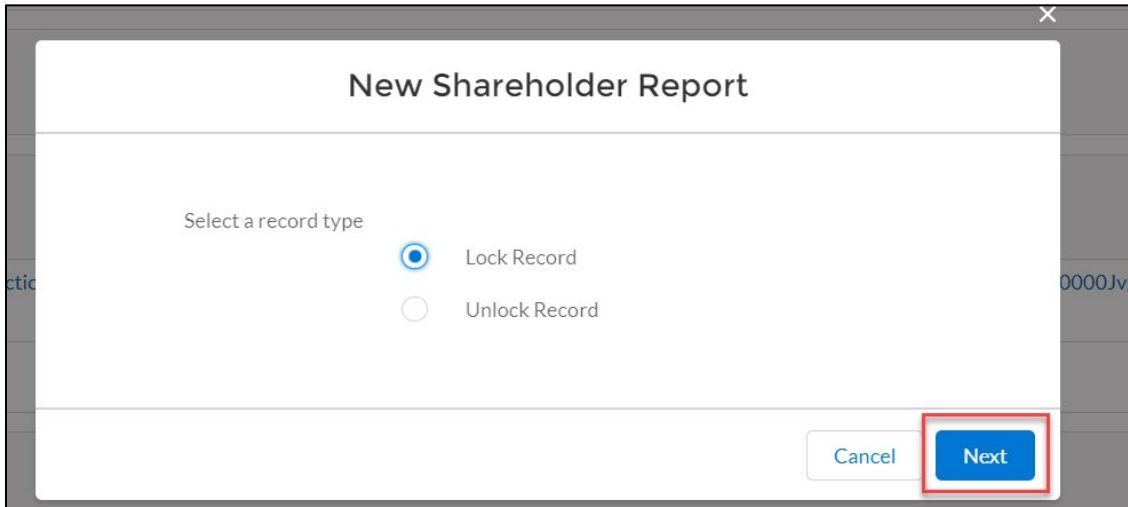
Figure 34. Record Type

7. Select the **Fiscal Year** and click the **Save** button.
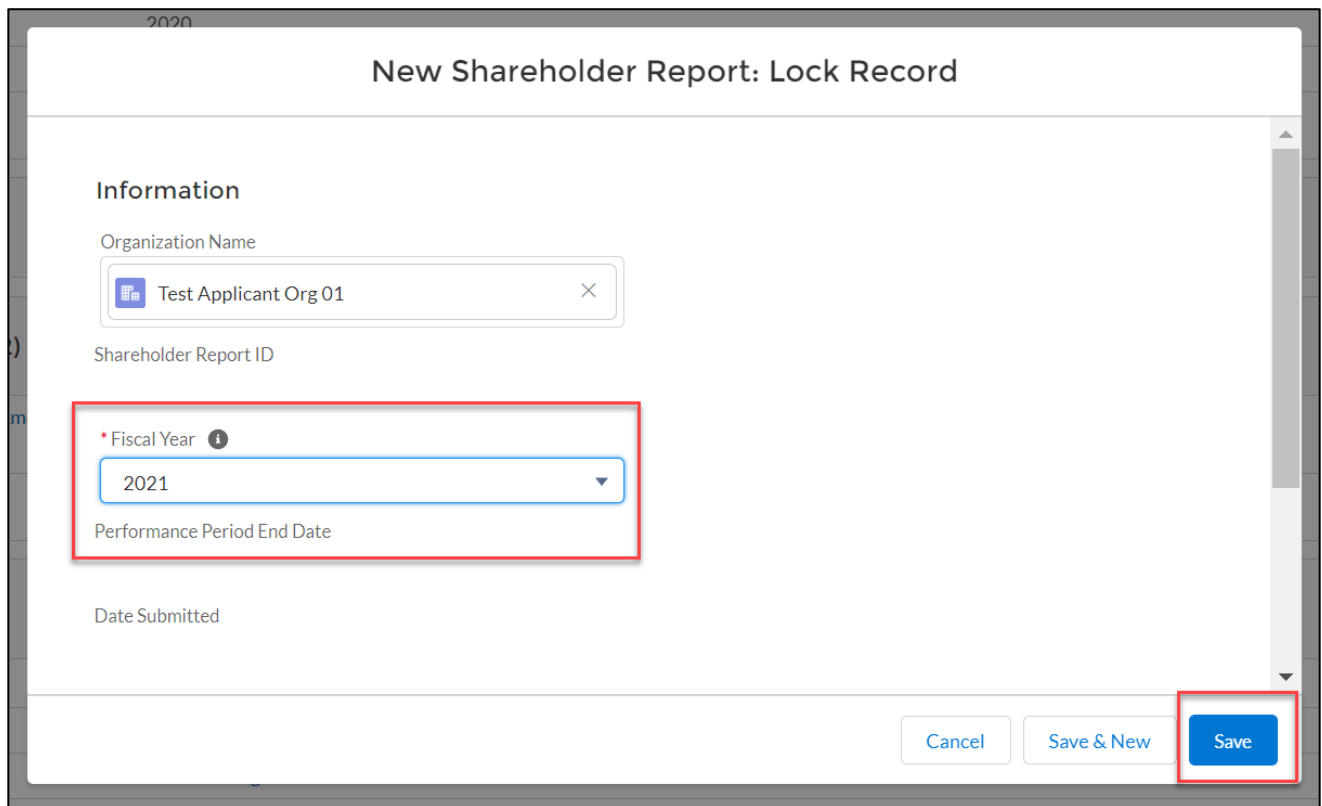
Figure 35. New Shareholder Report

8. You will receive a Shareholder Report confirmation popup.
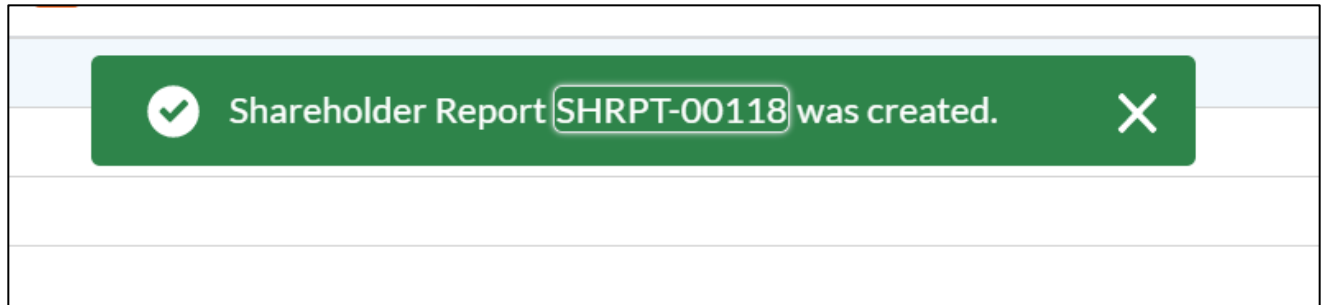
Figure 36. Shareholder Report Confirmation

9. From the Shareholder Report Detail page, select the **Related** tab.
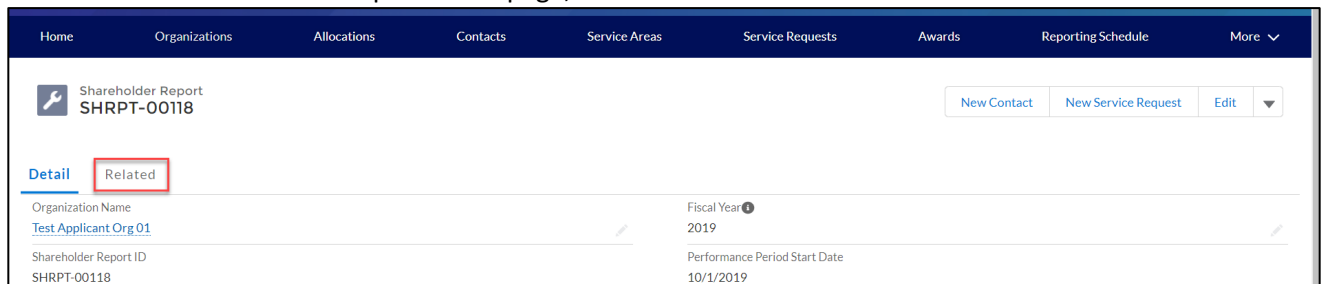
Figure 37. Related Tab

10. Navigate to the **Shareholders** section and click the **New** button.
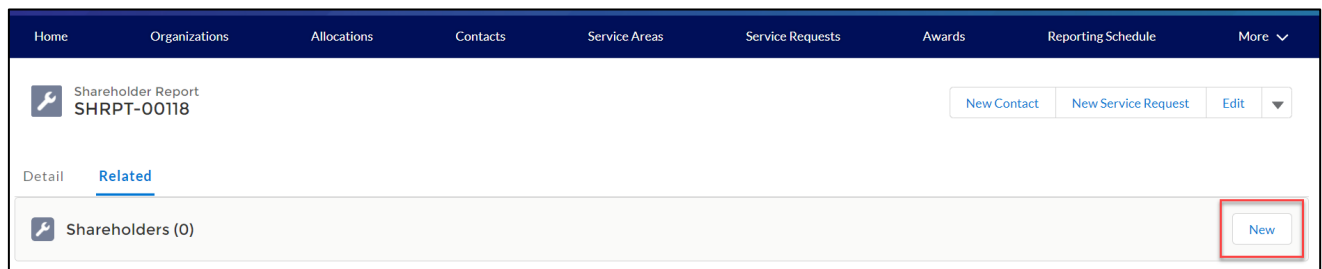
Figure 38. Shareholders Section - New Button

11. You will be sent to the **New Shareholders Edit page**.

Figure 39. New Shareholders Edit Page

Complete all the required information on the page:

Figure 40. New Shareholders - Required

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

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

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

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

Figure 41. Shareholder Report Link

12. To add supporting documentation, click on the **Related** tab.
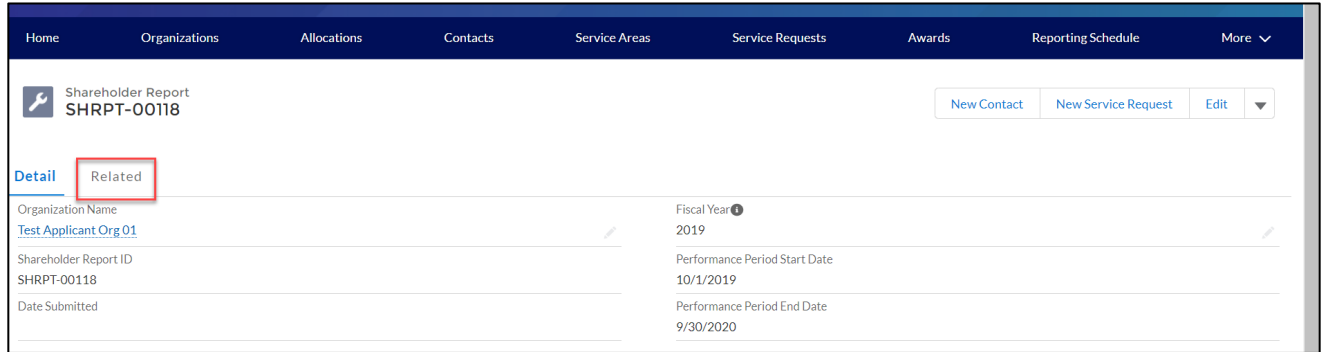
Figure 42. Shareholder Report Detail Page - Related Tab

13. Scoll to the **Notes & Attachments** section and click the **Upload Files** button.
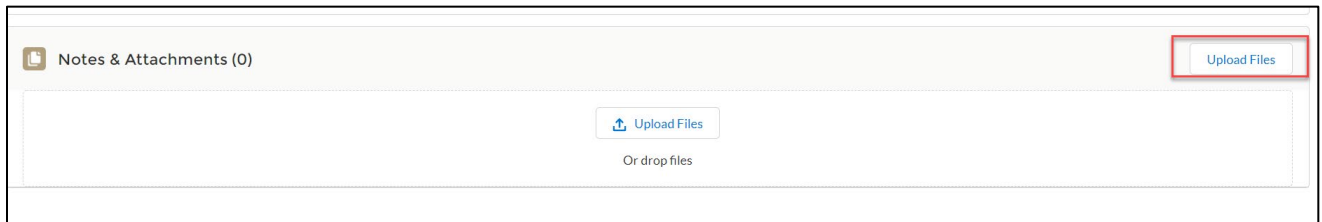
Figure 43. Notes & Attachments - Upload Files

14. Select the desired file from you compluter and click **Done**.
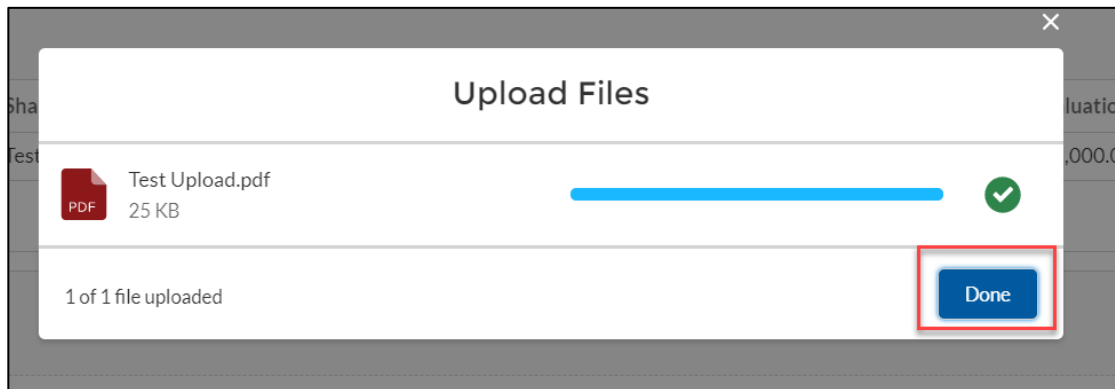
Figure 44. Attach File Page

7. The attached file should be displayed under the Notes & Attachments related list.

8. Once you are satisfied with the responses you have provided, click the Submit for Approval button on the Shareholder Report Detail page to submit your report to the CDFI Fund.

9. Complete the Comments section and click **Submit**.
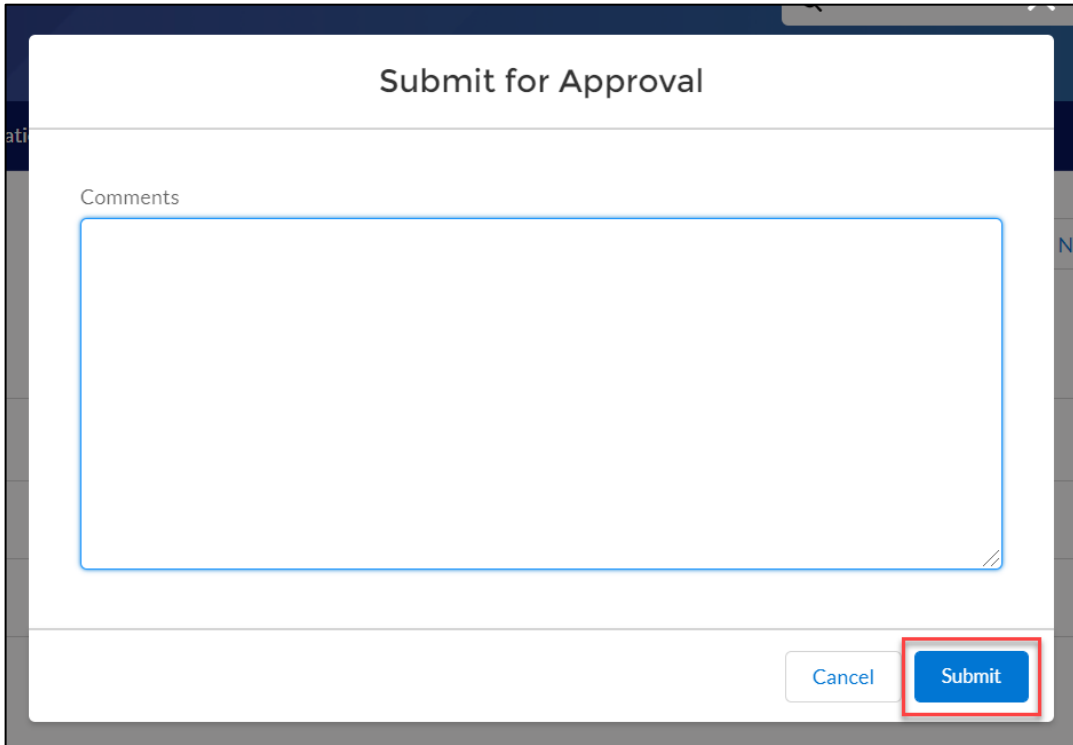
Figure 45. Submit for Approval

10. You will receive a confirmation pop-up.
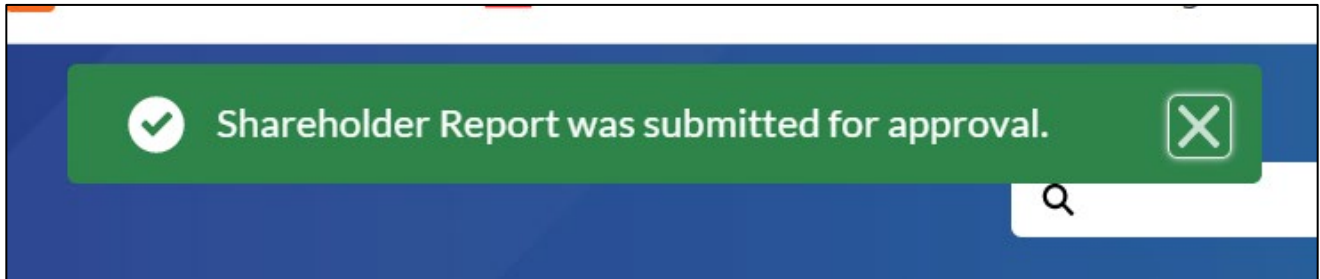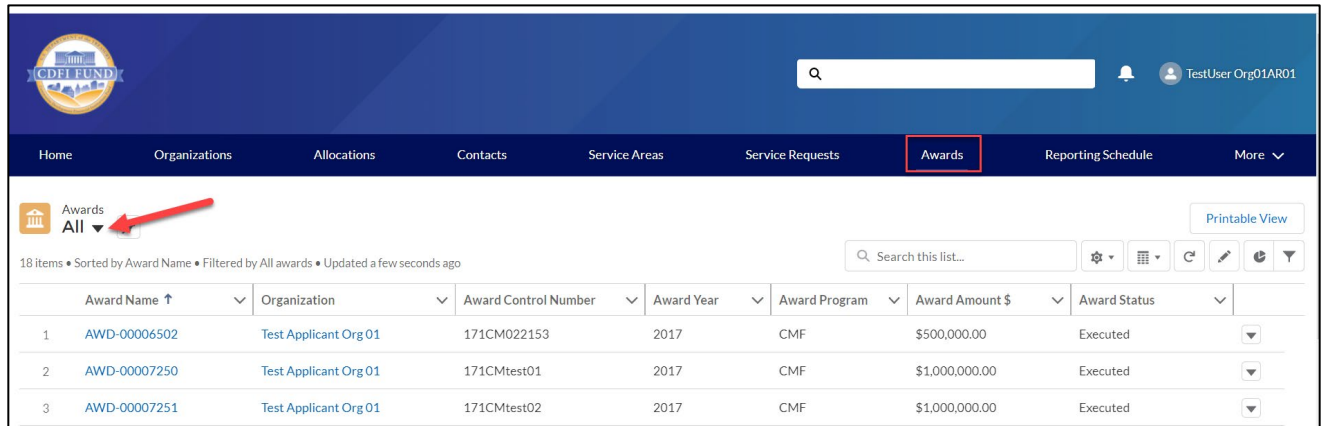
Figure 46. Shareholder Report Submittal Confirmation

6. COMPLETING THE PERFORMANCE PROGRESS REPORT (PPR)

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

6.1 Creating a new PPR

To create a new PPR, click on the **Awards** tab on the main page, select **All** from the drop down.

Figure 47. Home Page - Awards Tab

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

Figure 48. Award Name Link

You will be sent to the **Award Detail** page. Click on the **Related** tab.

Figure 49. Award Detail Page

Navigate to the **Performance Progress Report** section and select **New**.

Figure 50. Performance Progress Report - New

6.2 Performance Progress Report Layout

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

Performance Progress Report					
Organization:	Test Credit Union	Award:	AWD-00009906	Performance Report:	PPR-00001465
Authorized Rep:	Jamie Dixon	Award Control Numer:	161FA099999	Performance Period Year:	1
Report Fiscal Year:	2018	Award Year:	2016	Status:	Submitted
Period of Performance End Date:	8/31/2018	Award Amount:	$2,000,000.00	Date Submitted:	3/29/2019 10:41 AM

Figure 51. Performance Progress Report

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

Figure 52. Performance Report Attestation

6.3 Performance Progress Report Navigation

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

Figure 53. Performance Progress Report

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

Figure 54. Goal Compliance Status

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

Figure 55. Explanation of Noncompliance

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

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

Figure 56. Submit Report

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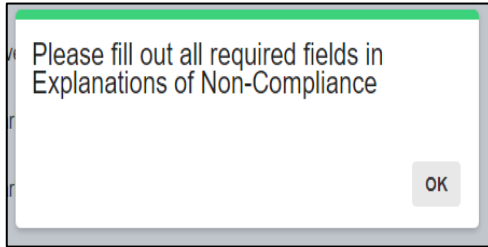

Figure 57. Error Message- Noncompliance Explanations Required

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

Figure 58. Submit Report

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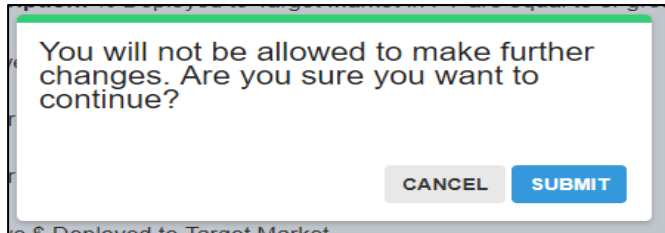

Figure 59. Submission Confirmation

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

Figure 60. Report Status

NOTE: New: HFFI-FA reporting on PPR.

For HFFI-FA Awardees, you will now report amounts on the PPR page, for both 3-1a and 3-1b amounts. Note that Recipients are still required to enter individual transactional HFFI data in the CDFI TLR.

Figure 61. HFFI-FA Goals

Figure 62. 3-1a Goal

Figure 62. 3-1b Goal

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

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

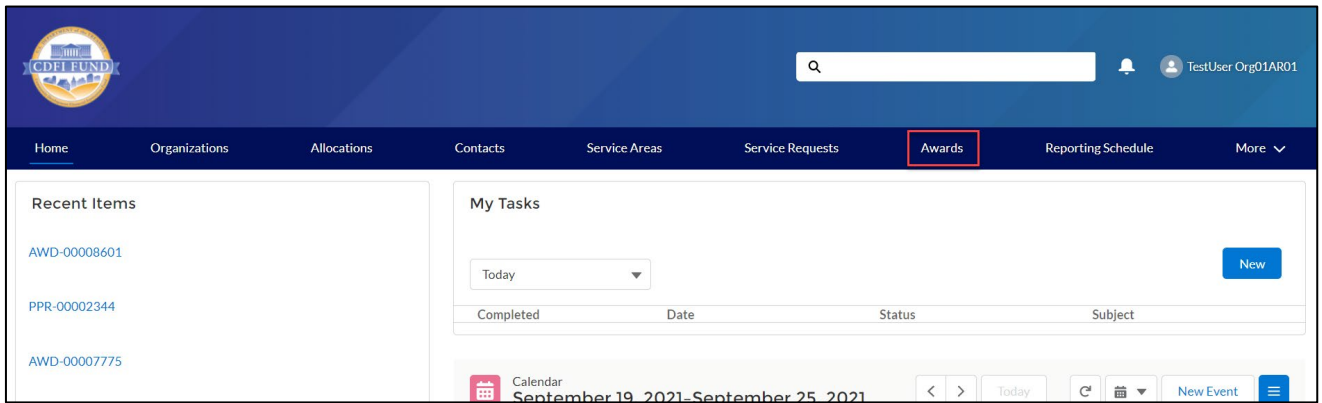1. To complete a SF-425 report, click on the **Awards** tab in the navigation bar to locate the proper report.

Figure 63. Home Page - Awards

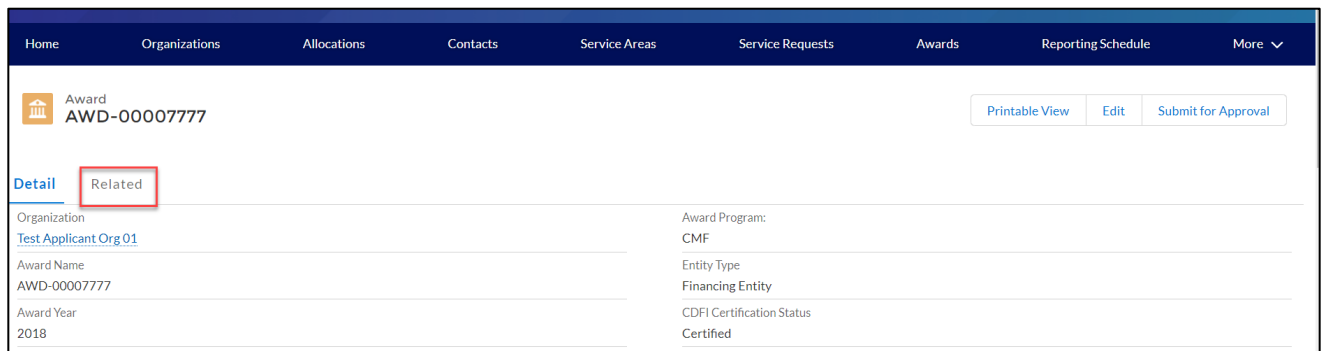2. From the **Award Detail** page, click the Related tab.

Figure 64. Award Detail - Related Tab

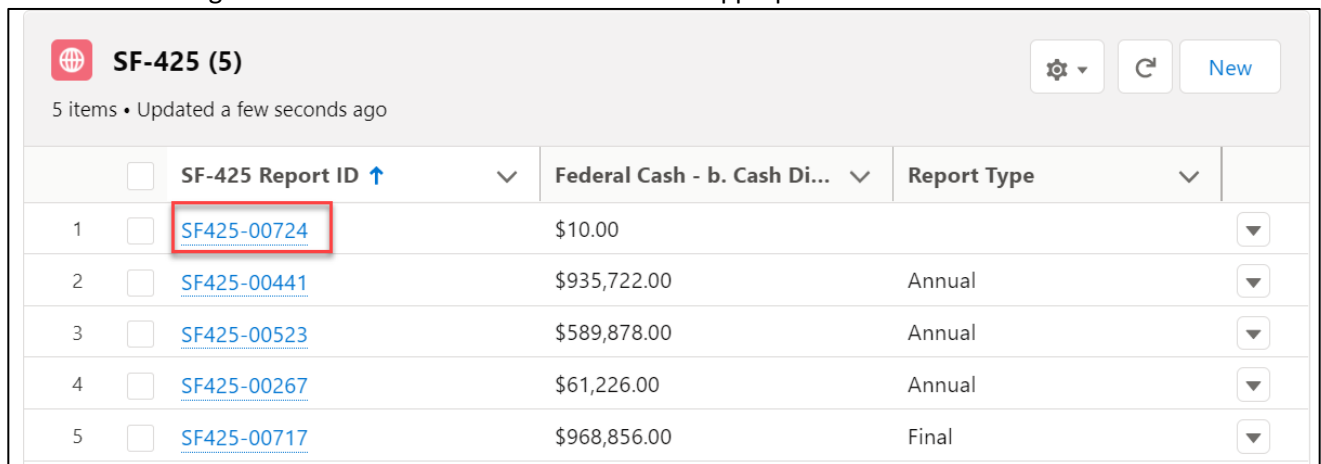3. Navigate to the **SF-425** section and click on the appropriate record.

Figure 65. SF-425 Report Link

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

Figure 66. SF-425 Edit

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

Figure 67. SF-425 Save

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

6. Click on the **Related** tab.

Figure 68. SF-425 Details Page - Related Tab

7. Use the **Notes and Attachments** section to attach any supporting information you would like to include in your SF-425 report. To attach a document, navigate to the **Notes and Attachments** section and select **Upload Files**.
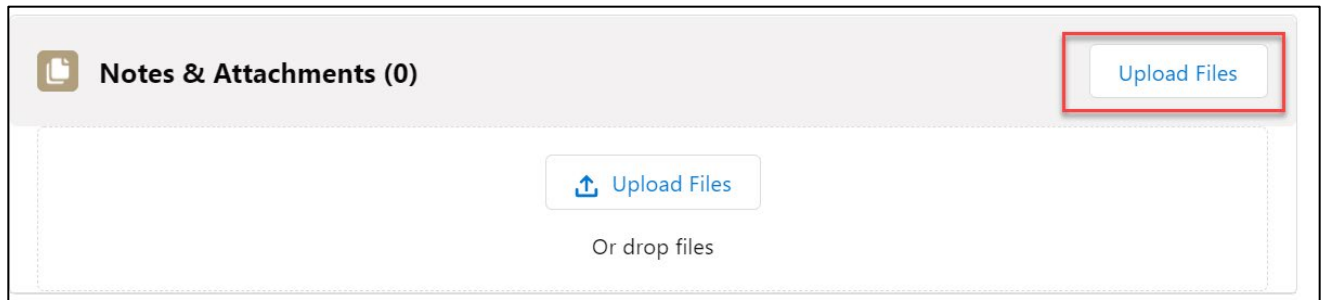
Figure 69. Attach File

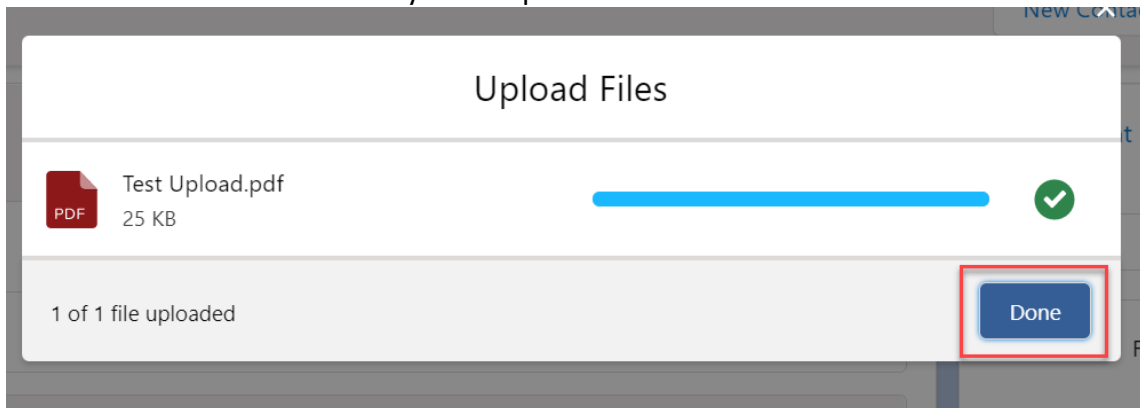8. Select the desired file from your computer and click **Done**.

Figure 70. File Attachment

8. USES OF AWARD REPORT

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

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

Figure 71. Awards List

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

Figure 72. Award Link

4. You will be sent to the **Award Detail** page. Click the **Related** tab.
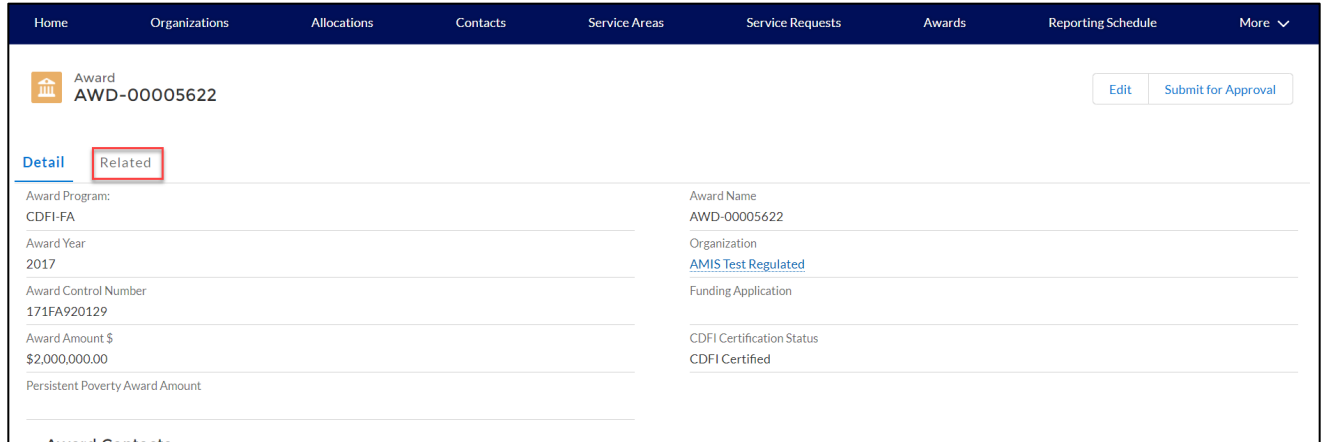
Figure 73. Award Detail - Related Tab

5. Navigate to the **Uses of Award** section and click **New**.

Figure 74. Uses of Award - New

6. You will be sent to the **Use of Award Edit** page. Certain information will be auto populated. Start by selecting the **Fiscal Year** from the dropdown menu**.** Please remember that the FY you are selecting should be for the Period of Performance you are reporting on. For example, if the Period of Performance you are reporting on ended on 12/31/2017, you would select 2017 from the dropdown menu.

7. If there were no funds expended during the Period of Performance for which you are reporting on, select the **No Activities During Performance Period** box.

8. The four questions below regarding interest earned are only applicable to FA Award Recipients. If you received a TA Award, please do not answer these questions.
    a. "$ earned > 500 in interest bearing acct"
    b. "If yes, how much"
    c. "If yes, have you remitted to HHS"
    d. "Eligible Market Attestation"

Figure 75. New Use of Award - Save

9. Once you are done answering all the questions, click the **Save** button.

You will be sent to the **Use of Award Detail** page with a message stating the "Use of Award has been saved". If you selected the **No Activities During Performance Period** box in step 7 above, select the **Submit Report** button to complete the reporting requirement.

Figure 76. Submit Report

10. If you need to report on how Award funds were expended, select the **Add Categories** button.

Figure 77. Add Categories

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

New Category of Activity: SDL

Information

* Use of Award

[UOA-05070] ✕

Record Type

SDL

Category of Activity Name

* Fund Type

SDL TA ▾

--None--

✓ SDL TA

SDL LLR

Description of Activity

* Total Dollar Amount

Cancel   Save & New   Save

Figure 78. Category of Activity- Fund Type Dropdown

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

Figure 79. Category of Activity

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

Figure 80. Save Category of Activity

You will be sent to the **Category of Activity Detail** page with a message saying "Category of Activity has been saved." Click the **Use of Award** link to navigate back to the **Use of Award Detail** page.

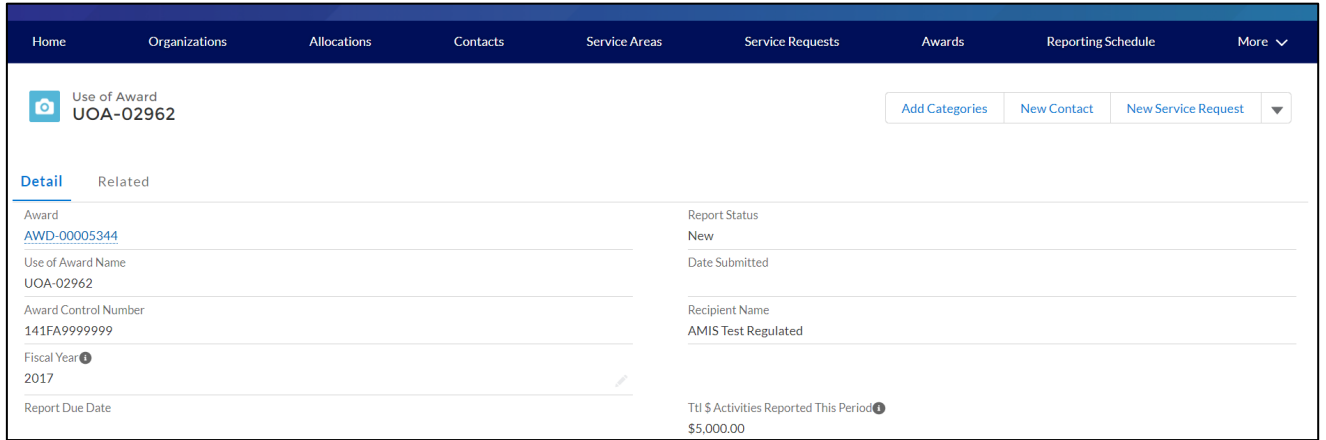*Figure 81. Category of Activity – Detail Page*

Figure 82. Use of Award Detail Page

To Submit the Use of Award Report:

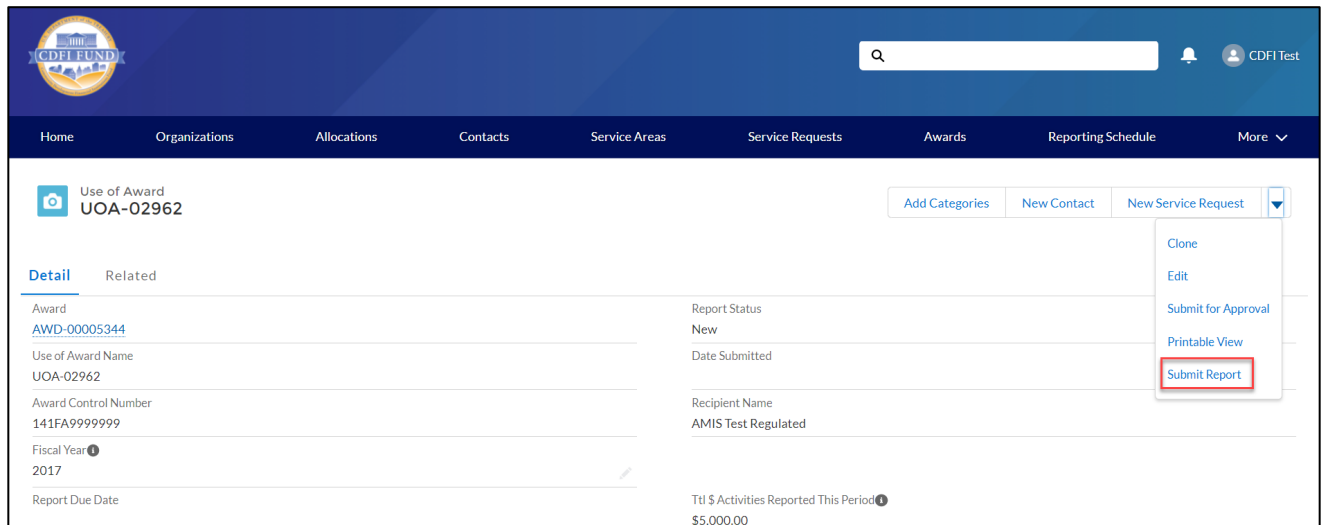1. From the **Use of Award Detail** page, select the **Submit Report** button.

Figure 83. Submit Report

NOTE: SDLP Combo award recipients must attach documentation showing the separated general ledger account and any activity made in the separated general ledger account to cover losses for the Recipient's Small Dollar Loans, in order to submit the report. If this information is not provided – an error message will occur.

Figure 84 Submit Report - Error