AMIS Training Manual:

CERTIFICATION OF MATERIAL EVENTS FORM
For All CDFI Fund Programs

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CDFI FUND
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1.0 Summary

This Awards Management Information System (AMIS) Training Manual for the Community Development Financial Institutions Fund (CDFI Fund) Certification of Material Events Form (Material Events Form) is intended to help the organization’s Authorized Representative or Authorized Designee complete the Material Events Form in AMIS.

Launching a Material Events Form (Section 2) describes how to create your Material Events Form in AMIS.

User Interface (UI) Appearance and Navigation (Section 3) provide guidance on navigating the application’s UI.

➢ What is a “Material Event”?  

A “Material Event” is an occurrence specified in any applicable Assistance, Award, Allocation, or Bond Loan Agreement, or Agreement to Guarantee between the CDFI Fund and an Award Recipient/Allocatee/Borrower. Certified organizations, Award Recipients and Borrowers should consult each applicable agreement to determine which events must be reported. At a minimum, a Material Event includes any change in an organization’s condition that may lead to or cause the actual violation of terms and conditions of an Assistance, Award, Allocation, or Bond Loan Agreement, Agreement to Guarantee, regulation, or law. Certified Community Development Entities (CDEs) and Community Development Financial Institutions (CDFIs) must also report any event or condition that may cause the entity to no longer meet one or more certification criteria.

➢ When should a Material Event report be filed?

A Material Event must be reported within 30 days of the occurrence or as specified in the agreement(s) for the specific CDFI Fund Program. The failure to timely report a Material Event is considered a violation of the terms and conditions of the applicable agreement and may be deemed an event of Default or Noncompliance.

This form is to be used by CDFI Fund award Recipients/Allocatee/Borrowers to report a Material Event. A separate Material Events form must be filed for each subsequent Material Event.

Upon receipt of the Material Events Form, the CDFI Fund will review the content and assess its impact on the submitting organization.
2.0 Launching a Material Events Form

This section includes guidance for launching a Material Events Form.

2.1 Create a Service Request

To create a Material Events Form, you will first need to create a Service Request.

1. To create a Service Request, log in to AMIS and click on the Service Requests tab. Select ‘New’.

![Figure 1: Service Requests page](image)

2. Answer the required fields: Program, Subject, and Description. Please note that the fields ‘Status’ and ‘Service Request Origin’ are required but the information will automatically be generated for you.

![New Service Request: General Inquiry](image)
3. Once you have answered all the required fields, click ‘Save’.
4. After clicking ‘Save’, you will be redirected to the Service Request record page.

![Service Request Record page](image)

**Figure 4: Service Request Record page**

### 2.2 How to Launch a Material Events Form

1. On the Service Request record, locate and click on the arrow pointing down button next to ‘Printable View’.

![New Material Event Form Button](image)

**Figure 5: New Material Event Form Button**

2. Click on ‘Open Material Event Form’ button.
3.0 User Interface (UI) Appearance and Navigation

Filling out the Material Events Form
Please note that you will be required to answer all the questions marked by a red asterisk. Everything else on the form is optional and depends on each individual case.

3.1. Award and Contact Information
1. Click on the ‘Organization’ lookup field and select the Organization that you are creating a Material Events Form for.
2. The Employer Identification Number (EIN) and/or Unique Entity Identifier (UEI) will automatically populate once you choose an organization.

Please verify that the UEI and EIN numbers are correct.
3. Indicate the Certification Control Number and/or Award/Allocation/Loan Agreement Control Number/Future Advance Promissory Bond Number. Note, multiple selections are allowed.

![Figure 8: Control Number fields](image)

4. Provide a contact person by selecting a name from the lookup field “Name and title of person to contact regarding this report”.

5. Once you have selected a contact, the “Contact Email Address”, “Contact Telephone Number” and “Contact Street Address” fields will automatically populate the information related to the contact.

![Figure 9: Contact Fields](image)
3.2. Selecting Applicable Material Events

1. Select the applicable Material Event(s). Note that this form is used for all CDFI Fund programs and not all Material Events will be applicable.

   - Options 1 to 14 are related to all programs.
   - Options 15 and 16 are related to CDFI/NACA Program, CDFI Rapid Response Program, CDFI Equitable Recovery Program and Small Dollar Loan Program Only.
   - Option 17 is related to Bank Enterprise Award Program Only.
   - Options 18 to 21 are related to New Markets Tax Credit Program Only.
   - Options 22 and 23 are related to Capital Magnet Fund Program Only.
   - Options 24 to 32 are related to Bond Guarantee Program Only.

![Figure 10: Example of Material Events to select from the NMTC section.]

New Markets Tax Credit Program Only

- ☐ 18. The occurrence of any event that may be a recapture event pursuant to IRC § 45D(g) and 26 C.F.R. §1.45D-1(e)(2).
- ☐ 19. The Allocatee’s Controlling Entity (as identified in the relevant Allocation Application) no longer meets the definition of a Controlling Entity as stipulated in the relevant Allocation Application/Allocation Agreement.
- ☐ 21. The filing of any bankruptcy proceeding or the appointment of a conservator for the Allocatee or its Affiliates, including the Controlling Entity

Recipients, Borrowers, and Allocatees should consult their particular CDFI Fund agreement(s) for more information on the specific Material Events that apply. These agreements provide controlling authority in the event of any conflict regarding Material Event reporting requirements.

3.3. Providing Narrative Explanation

1. Once you’ve made your selection of all the applicable Material Events, you will be required to enter 2 different narrative explanation for your choices. The first one will ask to: “Provide a narrative explanation of the Material Event(s). Be sure to include the date the event(s) occurred.”

2. The second required narrative explanation will ask you to: “Provide a narrative statement indicating how the organization intends to correct or address the Material Event.”
3.4. Uploading Files

1. In this section of the form, you will be able to upload any files that you want to. You can either upload the file or use the drag and drop feature.

2. If you have uploaded a file by mistake, use the ‘X’ to delete it from your form.
3.5. Signing the Material Events Form

1. You will be required to check a checkbox under the “Signature” section to electronically sign the form.

The completed form will be addressed to the attention of the Compliance Monitoring and Evaluation Manager and submitted via a Service Request through the Organization’s AMIS account. Any supporting documentation (i.e., certificate of merger, name change form, etc.) can be attached to the Service Request.

Please note that this form should not be used to request an amendment to any applicable Assistance, Award, Allocation, or Bond Loan Agreement, or Agreement to Guarantee between CDFI Fund and an Award Recipient/Allocatee/Borrower.

![Signature Checkbox](image)

3.6. Submitting the Material Events Form

1. Once you have completed all the required sections along with any applicable section to your situation, you can click on ‘Submit’ to validate and lock your record. Once you submit you will be redirected to the Material Event review record page.

![Submit Button](image)

2. If you try to submit your form without answering all the required fields, you will be redirected to the top of the page where the list of error message(s) will be displayed.

![Error Message](image)
4.0 What Happens Next?

After submission of your Material Events Form, the Portfolio Manager assigned to your organization will receive a notification that a Material Event was submitted.

Depending on the situation, the Portfolio Manager may request additional documentation or information. If so, you will receive the following email:

Hello CDFI Recipient,

Please review the following Material Event Form: [https://cdfi--full01.sandbox.my.salesforce.com/a5S3R0000000HGTQ](https://cdfi--full01.sandbox.my.salesforce.com/a5S3R0000000HGTQ) and respond accordingly or upload requested information.

Thank you,
The CDFI Fund.

*Figure 17: Email to CDFI Recipient Requesting Additional Information*

1. Click the link on the email. You will be redirected to the Material Event Review record page.

*Figure 18: Information Request on Detail of Material Event*
2. Navigate to the various business unit review section to view the request for additional information.

![Figure 19: Business Unit specific request.](image)

3. Click on “Related” if there is a need to upload requested information or documentation.

![Figure 20: Navigate to the Related List](image)
4. You will see the related list of all the existing attachments for your Material Event. Click on “Upload Files” to upload the documentation requested by the Reviewer(s). Upon completion of the upload, enter a Public Comment in the Service Request informing the CDFI Fund that the requested documentation has been provided.

![Figure 21: Upload Additional Files]

5. Upon completion of the review of the Material Event the CDFI Fund will close the associated Service Request and provide confirmation of the resolution.