



AMIS Training Manual:

CERTIFICATION OF MATERIAL EVENTS FORM

For All CDFI Fund Programs

September 2023
CDFI FUND
U.S. Department of the Treasury

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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'.

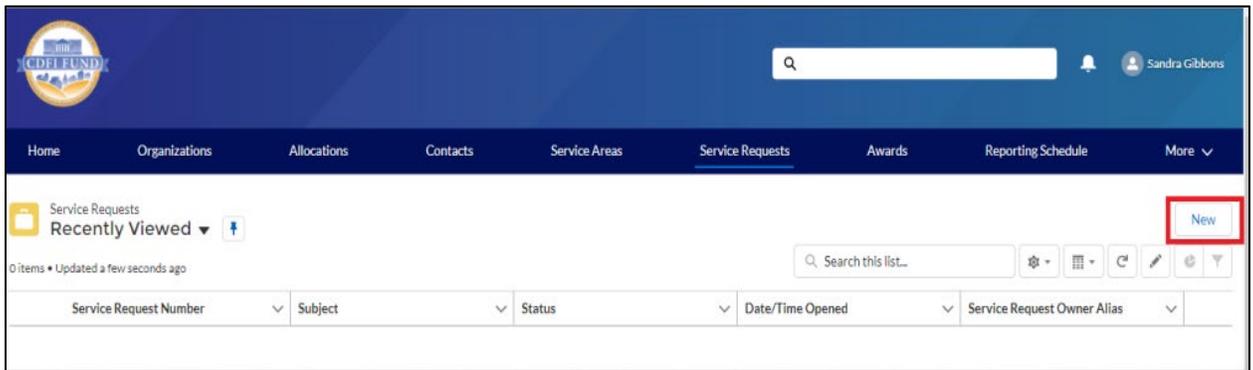
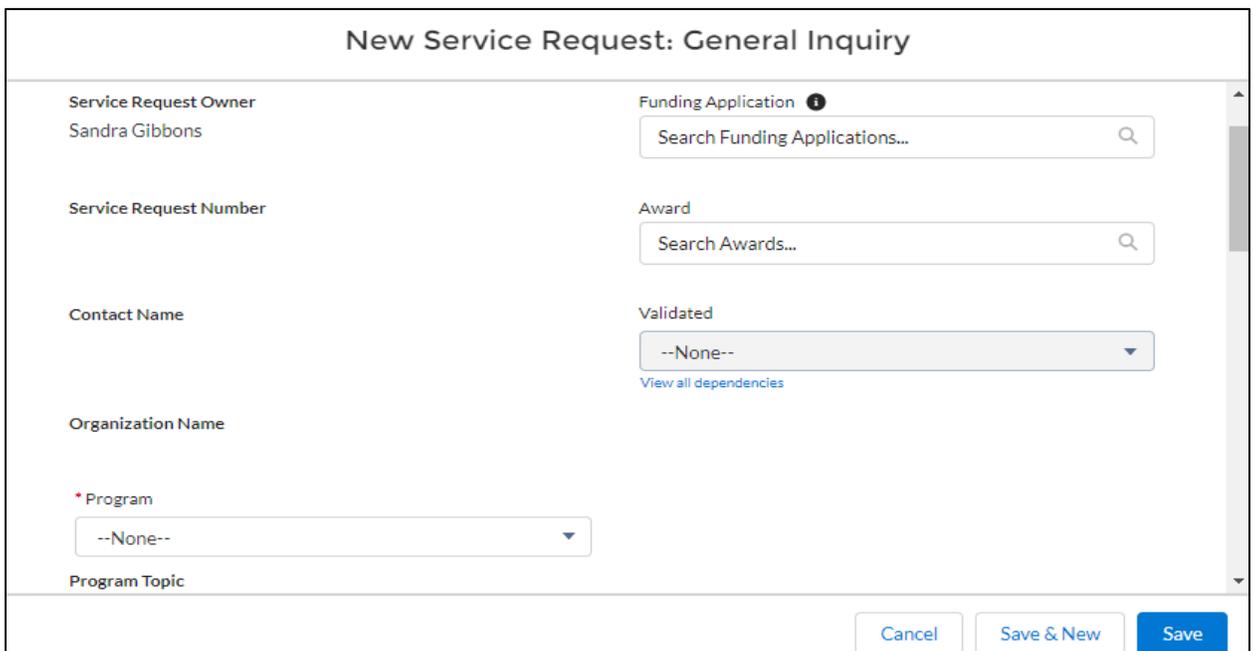


Figure 1: Service Requests page

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.

A screenshot of the 'New Service Request: General Inquiry' form. The form is titled 'New Service Request: General Inquiry' and contains several fields. On the left side, there are fields for 'Service Request Owner' (Sandra Gibbons), 'Service Request Number', 'Contact Name', 'Organization Name', and 'Program' (a dropdown menu with '--None--' selected). On the right side, there are fields for 'Funding Application' (a search box), 'Award' (a search box), and 'Validated' (a dropdown menu with '--None--' selected). At the bottom of the form, there are three buttons: 'Cancel', 'Save & New', and 'Save'.

New Service Request: General Inquiry

* Status Completed Date

New ▼

[View all dependencies](#)

* Service Request Origin

Web ▼

Priority

Medium ▼

Description Information

* Subject

Test Material Events

* Description

Test

Figure 2: New Service Request Data Entry - Required Fields

- Once you have answered all the required fields, click 'Save'.

New Service Request: General Inquiry

Test

Resolution

Resolution

Web Information

Web Email Web Company

Web Name Web Phone

Figure 3: New Service Request Save Button

4. After clicking 'Save', you will be redirected to the Service Request record page.

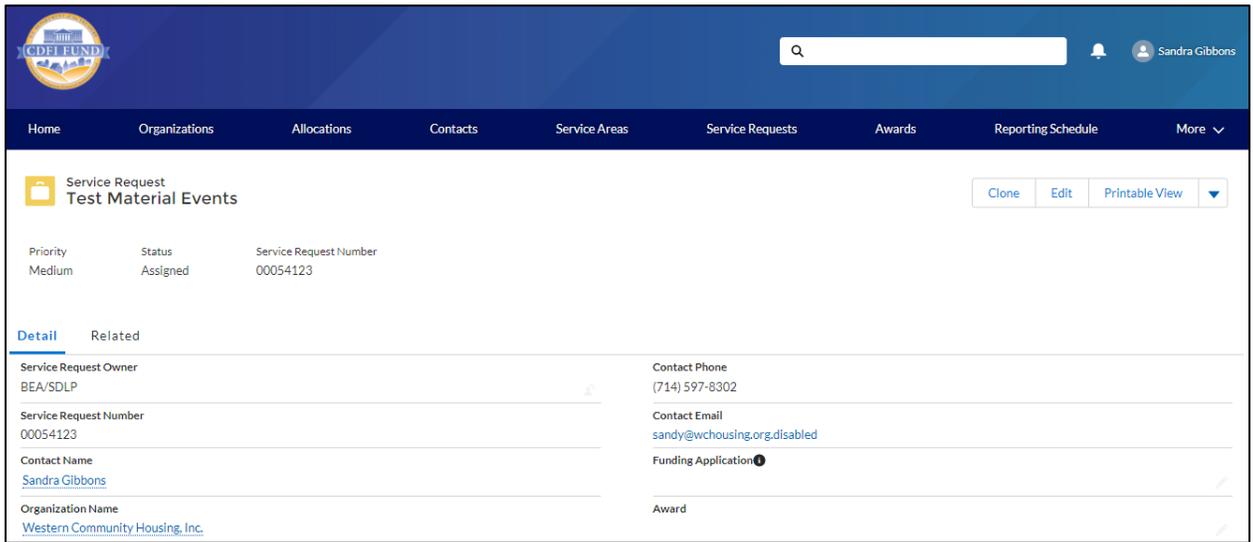


Figure 4: Service Request Record page

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'.

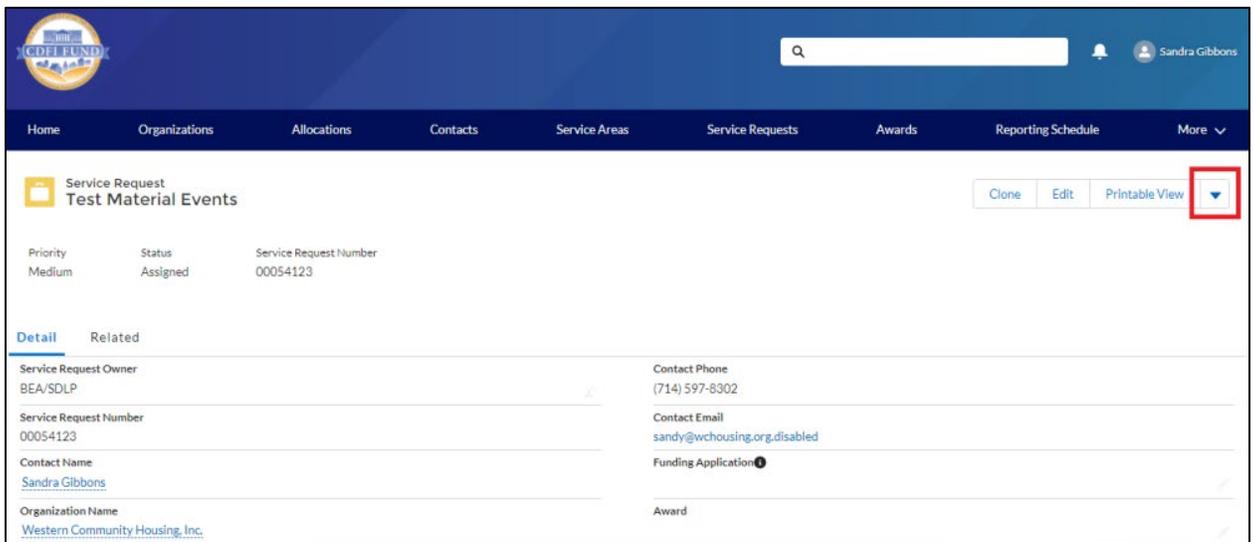


Figure 5: New Material Event Form Button

2. Click on 'Open Material Event Form' button.

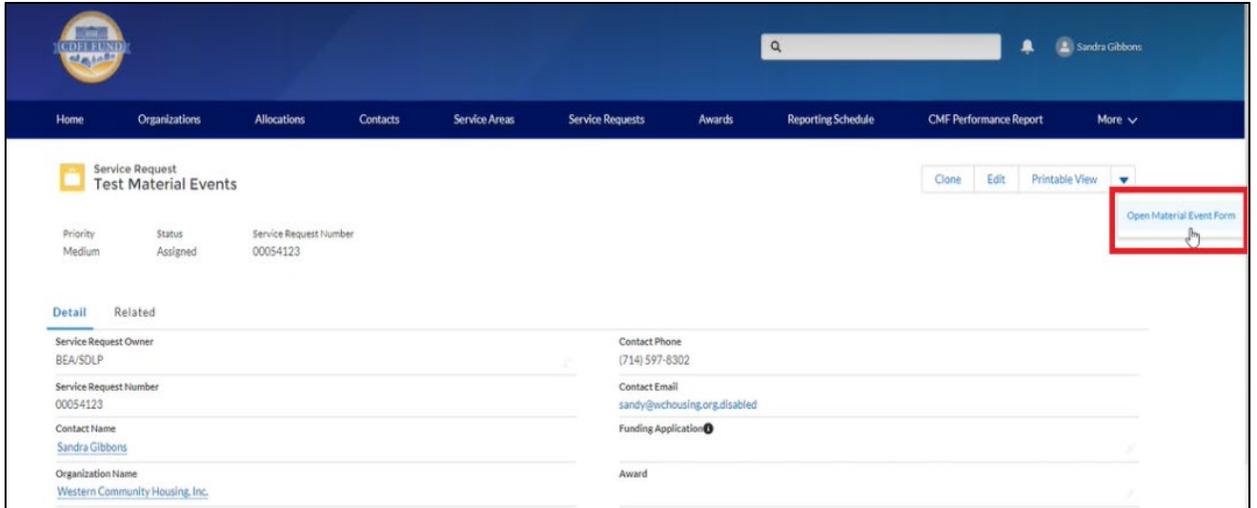


Figure 6: Open Material Event Form button

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.

A. Award and Contact Information

* Organization

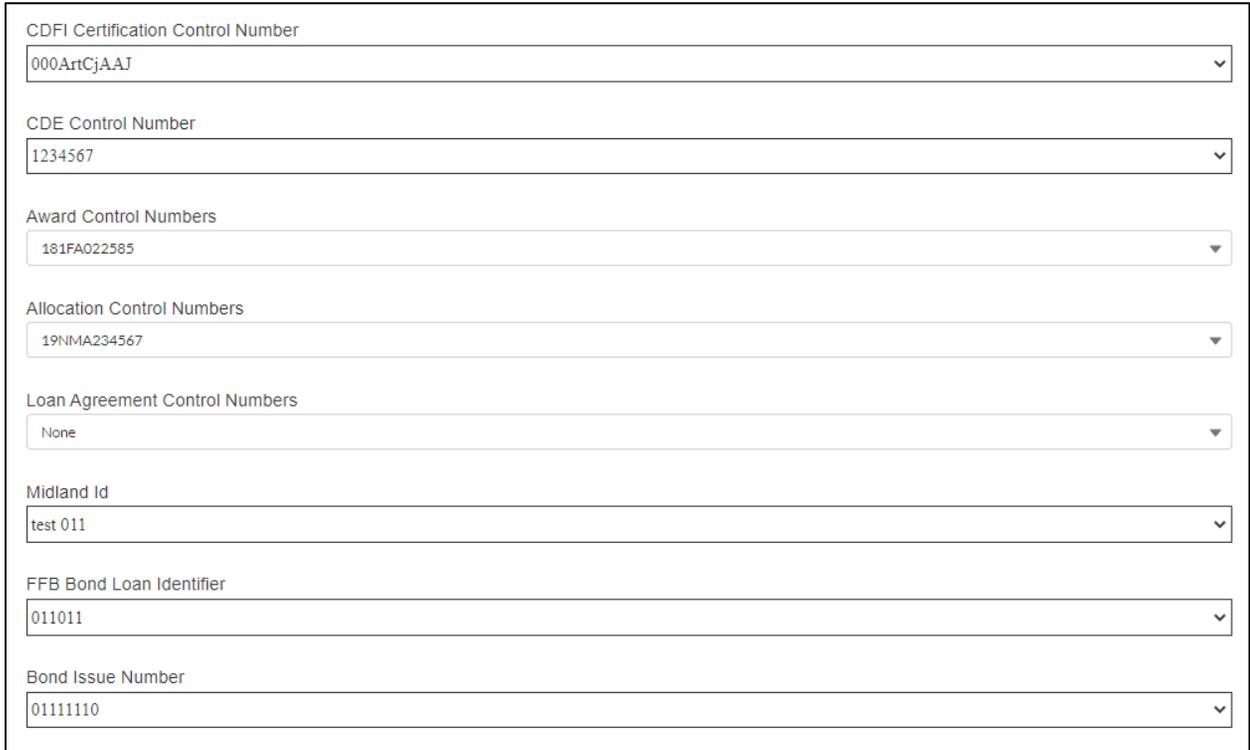
×

Employer Identification Number (EIN)

Unique Entity Identifier (UEI)

Figure 7: Award and Contact Information section on the Material Event form.

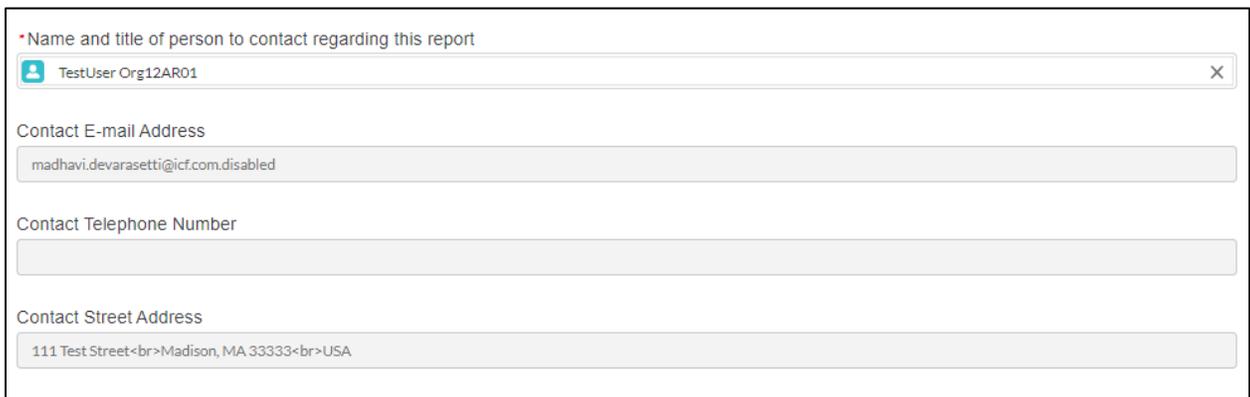
3. Indicate the Certification Control Number and/or Award/Allocation/Loan Agreement Control Number/Future Advance Promissory Bond Number. Note, multiple selections are allowed.



A screenshot of a form with eight dropdown menus. Each menu has a label and a selected value. The labels and values are: CDFI Certification Control Number (000ArtCjAAJ), CDE Control Number (1234567), Award Control Numbers (181FA022585), Allocation Control Numbers (19NMA234567), Loan Agreement Control Numbers (None), Midland Id (test 011), FFB Bond Loan Identifier (011011), and Bond Issue Number (01111110).

Figure 8: Control Number fields

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.



A screenshot of a form showing contact information. The first field is a lookup field labeled “Name and title of person to contact regarding this report” with a selected value “TestUser Org12AR01”. Below it are three text input fields: “Contact E-mail Address” with the value “madhavi.devarasetti@icf.com.disabled”, “Contact Telephone Number” (empty), and “Contact Street Address” with the value “111 Test Street
Madison, MA 33333
USA”.

Figure 9: Contact Fields

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.

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.
- 20. The occurrence of any event described in 31 C.F.R. §19.350.
- 21. The filing of any bankruptcy proceeding or the appointment of a conservator for the Allocatee or its Affiliates, including the Controlling Entity.

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

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."**

Narratives

- C. Provide a narrative explanation of the material event(s). Be sure to include the date the event(s) occurred.

- D. Provide a narrative statement indicating how the organization intends to correct or address the Material Event.

Figure 11: Narratives Sections.

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.

Upload Files

Upload Files Or drop files

Figure 12: Upload Files

2. If you have uploaded a file by mistake, use the 'X' to delete it from your form.

Upload Files

Upload Files Or drop files

Files Provided, total 12 KB

X test upload.docx

Click to delete the uploaded file.

Figure 13: Delete Uploaded Files

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

*E. The Certification of Material Events form must be signed by the organization’s Authorized Representative or authorized designee. To the best of my knowledge and belief, all information contained in the Certification of Material Events statement is true and correct. My signature indicates authorization on behalf of the organization’s governing body.

Figure 14: Signature Checkbox

3.6. Submitting the Material Events Form

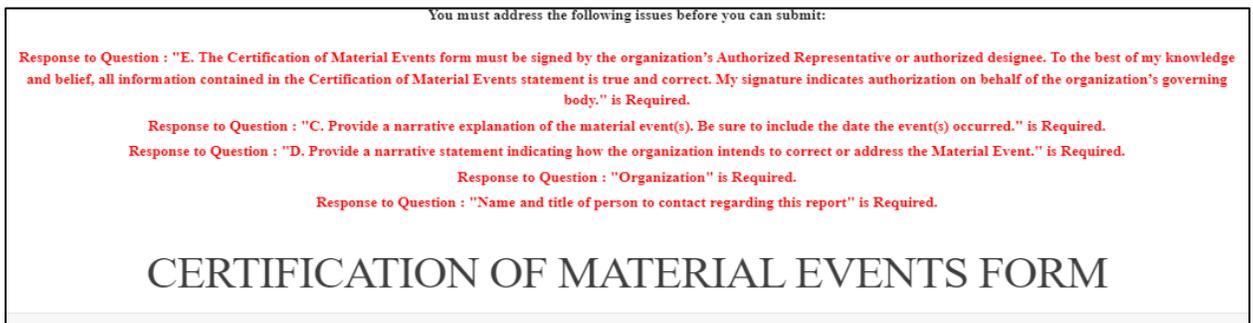
1. Once you have completed all the required sections along with any applicable section to your situation, you can click on ‘Submit’ to validate and lock your record. Once you submit you will be redirected to the Material Event review record page.



Submit

Figure 15: Submit Button

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.



You must address the following issues before you can submit:

Response to Question : "E. The Certification of Material Events form must be signed by the organization’s Authorized Representative or authorized designee. To the best of my knowledge and belief, all information contained in the Certification of Material Events statement is true and correct. My signature indicates authorization on behalf of the organization’s governing body." is Required.

Response to Question : "C. Provide a narrative explanation of the material event(s). Be sure to include the date the event(s) occurred." is Required.

Response to Question : "D. Provide a narrative statement indicating how the organization intends to correct or address the Material Event." is Required.

Response to Question : "Organization" is Required.

Response to Question : "Name and title of person to contact regarding this report" is Required.

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Figure 16: Error Message

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:

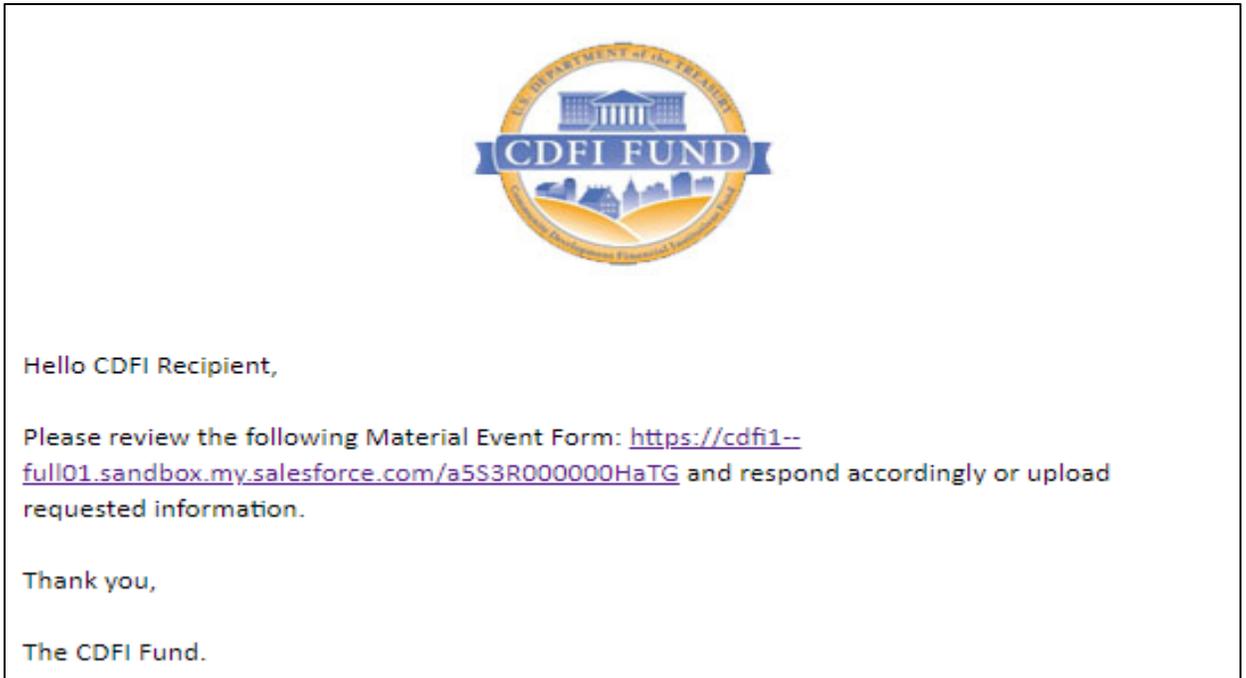


Figure 17: Email to CDFI Recipient Requesting Additional Information

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

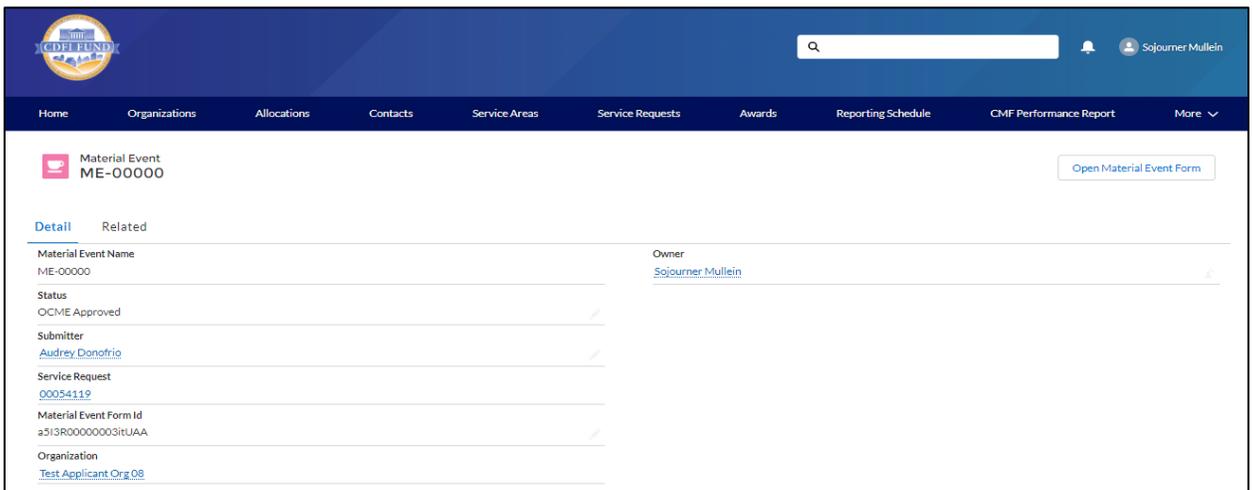


Figure 18: Information Request on Detail of Material Event

- Navigate to the various business unit review section to view the request for additional information.

The screenshot shows a web interface for a Material Event (ME-00125). At the top, there are tabs for 'Detail' and 'Related'. The 'Detail' tab is active, displaying a list of fields with edit icons:

- Material Event Name:** ME-00125
- Status:** OCME Approved
- Submitter:** TestUser_Org01AR01
- Service Request:** 00051406
- Material Event Form Id:** a5O3R0000000AmnUAE
- Organization:** Test Applicant Org 01
- OCME Review:** >
- OCPE Review:** >
- BEA Review:** >
- CMF Review:** >
- NMTC Review:** v
- NMTC Reviewer:** Rosa Martinez
- NMTC Reviewer Signed Date:** 5/18/2023 3:40 PM
- NMTC Reviewer Approved:**
- NMTC Reviewer Document Needed:**
- NMTC Reviewer Comments:** More information please
- CDFI/RRP/SDLP Review:** >

Figure 19: Business Unit specific request.

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

The screenshot shows a web interface for a Material Event (ME-00000). At the top, there is a navigation bar with links for Home, Organizations, Allocations, Contacts, and Service Areas. Below the navigation bar, there are tabs for 'Detail' and 'Related'. The 'Related' tab is highlighted with a red rectangular box. The 'Detail' tab is active, displaying a list of fields with edit icons:

- Material Event Name:** ME-00000
- Status:** OCME Approved
- Submitter:** Audrey Donofrio
- Service Request:** 00054119
- Material Event Form Id:** a5I3R000000003itUAA
- Organization:** Test Applicant Org 08

Figure 20: Navigate to the Related List

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.