



*FY 2010  
Transaction Level Report  
Entry/Upload Instructions*

*CIIS 8.0*

*August 1, 2010*

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## *FY 2010 CDFI Transaction Level Report Entry/Upload Instructions*

This document provides instructions for entering or uploading the Fiscal Year (FY) 2010 Transaction Level Report (TLR) to the Community Investment Impact System (CIIS).

This document does not provide the information technology specifications needed to complete an XML transfer of data to CIIS. The technical documents for XML are posted on the Fund's website at [www.cdfifund.gov/what\\_we\\_do/ciis.asp](http://www.cdfifund.gov/what_we_do/ciis.asp). Please do NOT use the Excel Data Format listed in these Instructions as a guide for an XML data transfer.

**The FY 2010 version of CIIS is CIIS 8.0.**

### **WHICH LOANS AND INVESTMENTS TO INCLUDE IN THE TLR**

***The reporting period for the FY 2010 TLR is the CDFI or Allocatee's fiscal year ending in 2010.***

#### **Allocatees:**

**Include all loans, investments, and advance purchase commitments made by the Allocatee and any Sub-Allocatee(s) and funded by Qualified Equity Investments (QEIs) that were outstanding at any time during the reporting period. (This includes transactions that were submitted in the previous reporting period.)**

#### ***Include:***

- **Loans to and investments in other CDEs;**
- **Loans to and investments in Qualified Active Low-Income Community Businesses (QALICBs); and**
- **Advance Purchase Commitments (categorized and reported as "QALICBs" in the TLR.**

***Exclude*** (the following are reported in the Institution Level Report (ILR)):

- **Loan purchases (except advance purchase commitments);**
- **Financial Counseling and Other Services (FCOS); and**
- **Transfers of Allocation to Sub-Allocatee(s).**

**If an Allocatee is providing loans to or investments in other CDEs, report the details of both the loan to or investment in the CDE as well as the details of the resulting QALICB(s).** In other words, for each investment in a CDE, the Allocatee must report a minimum of two transactions: (1) The investment in the CDE and (2) the resulting loan or investment in the QALICB(s).

**CDFIs:**

Include all loans and investments that were outstanding at any time during the reporting period. Exclude any New Markets Tax Credit (NMTC) activity that was funded by Qualified Equity Investments (QEIs). Also exclude loans made to affiliates. **The reporting period for the FY 2010 TLR is the Organization's fiscal year ending in 2010.**

***All data must be reported as of the reporting period end date unless otherwise noted.***

Some of the TLR data points are not static from reporting period-to-reporting period (Principal Balance Outstanding, Jobs at Reporting Period End, etc.). The appropriate response may change from day-to-day in the Organization's system. Please respond "as of" the reporting period end date. *For example, for each loan, report the principal balance outstanding and number of days delinquent on the last day of the reporting period.*

## TLR "PROJECT" GUIDANCE

Many CDFIs and Allocatees are financing a single Project with more than one Financial Note (e.g., loan, line of credit, or equity investment). Organizations will now be able to report which Financial Notes belong to a single Project. The Fund requires that each Financial Note that finances a single project have the same:

- Borrower (indicated by Client ID);
- Investee Address;
- Project Address or set of Project Addresses; and
- Total Project Cost.

Users indicate Financial Notes belong to a single Project by assigning the same "Project Number" to each of the related Financial Notes.

In previous versions of CIIS, Financial Notes were referred to as "transactions." In this version of CIIS "transaction" and "Financial Note" are used interchangeably.

**Allocatees:**

**Financial Note vs. Project-Level Data Points**

In CIIS 5.1, each Allocatee data point is designated as either Financial Note-level data or Project-level data. The designation of Financial Note-level data points and Project-level data points can be found in the "Allocatee QuickStart" or the "Allocatee

TLR Data Points Guidance” document at [http://www.cdfifund.gov/what\\_we\\_do/ciis.asp](http://www.cdfifund.gov/what_we_do/ciis.asp).

**Entering FINANCIAL NOTE Data**

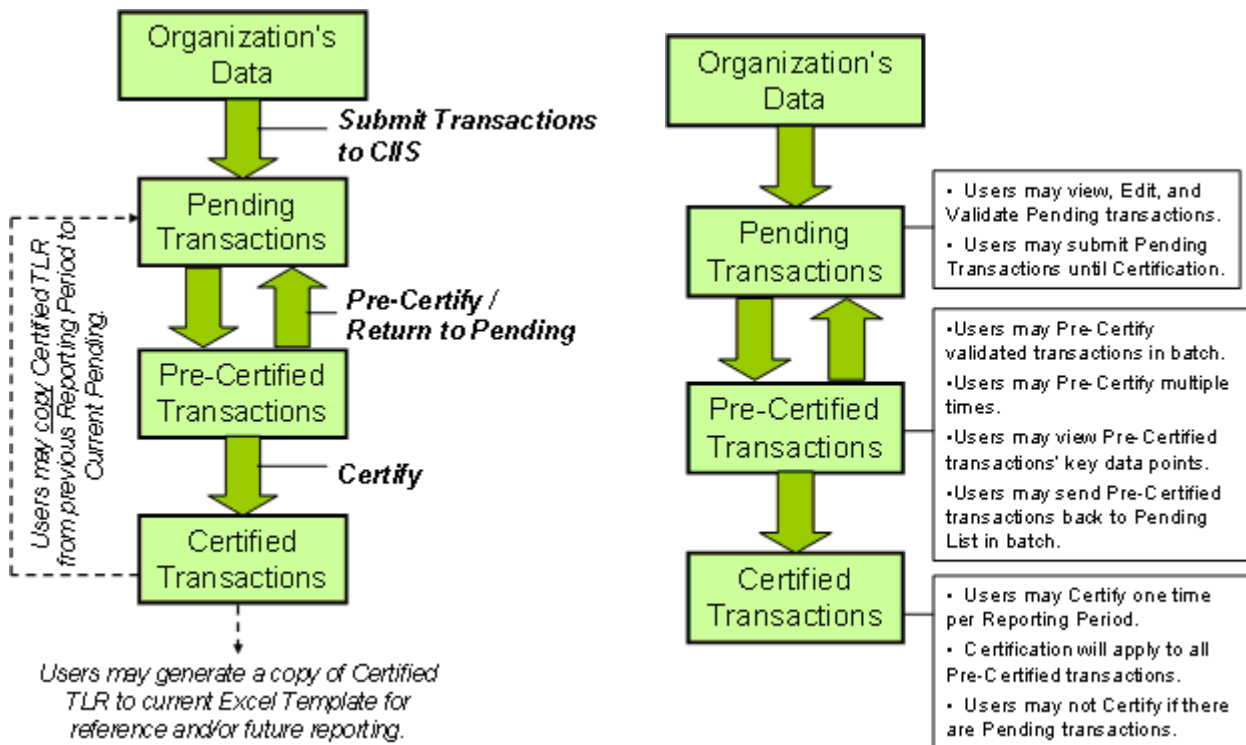
As in past years, users will be required to enter/upload every Financial Note and the pertinent Financial Note-level data in CIIS. Financial Notes are identified by the unique “Originator Transaction ID.”

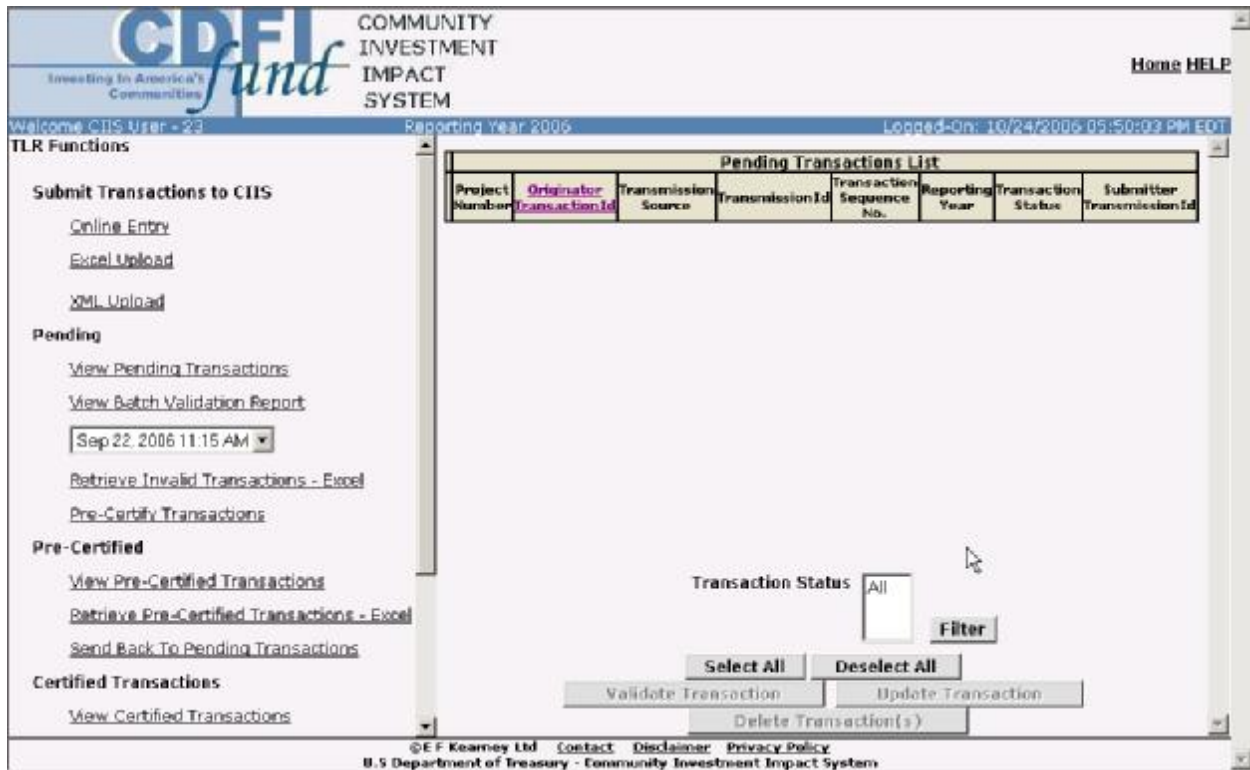
**Entering PROJECT Data**

Users will enter/upload a “Project Number” for each Project. CIIS will require the user to associate one or more “Originator Transaction IDs” with each “Project Number.” The Project-level data will only need to be entered one time in CIIS for each Project, regardless of the number of associated Financial Notes. (Some Organizations may have only one Financial Note for each Project.)

**TLR SUBMISSION TO CERTIFICATION FLOW CHART**

The following flow charts and instructions document and describe the TLR process.





**SUBMIT TRANSACTIONS TO CIIS**

There are three options for submitting the TLR to CIIS:

- (1) XML Interface,**
- (2) Excel Template Upload, and**
- (3) Manual Data Entry.**

Each of these is explained below.

**Option (1) XML Interface**

What is XML?

XML is a data transfer protocol designed for information exchange on the World Wide Web. XML allows Organizations to upload data directly from their information systems to CIIS. The XML interface is the most reliable TLR option for ensuring accurate data transmission because it eliminates human error that may occur during manual data entry or copying and pasting.

Who Can Use XML?

Organizations that choose to use the XML interface are responsible for programming their systems to provide the appropriate data to CIIS or purchasing software that can do so. For programming, the Fund anticipates that Organizations will need the assistance of their information technology (IT) staff or consultant.

CIIS Compatible Software

If an Organization is interested in learning about software that is compatible with CIIS, you may go to the “CIIS Compatible Software” link available at [http://www.cdfifund.gov/what we do/ciis.asp](http://www.cdfifund.gov/what_we_do/ciis.asp) for a current list of software products that demonstrated that they track all of the required TLR data and can transmit this data via XML to CIIS.

The Fund invites all vendors to test their products, so you may want to inform your vendor of this opportunity. Please note: It is important that Organization’s use software that has been tested for the current Reporting Period. As vendors test with CIIS using the fiscal year 2010 TLR format, the website will be updated to reflect the results.

Preparing the XML TLR:

- The Fund suggests that Organizations prepare the TLR by reviewing the TLR Data Points Guidance document (available at <http://www.cdfifund.gov/what we do/ciis.asp>) and identifying:
  - “Mandatory” and “Conditionally Required” data points;
  - “Compliance” data points;
  - Data point guidance;
  - Where the Organization electronically stores the data; and
  - The type of entries allowed by each data point.
  - However, do NOT use the Excel Data Format listed in these Instructions as a guide for an XML data transfer.
- The technical specifications, or XML schema, for the XML Interface are posted at:
  - <http://www.cdfifund.gov/what we do/ciis.asp> and
  - Under “Template Download” from the TLR menu on the CIIS homepage.

Reserved Characters

- XML users should **not** enter any of the following Reserved Characters in the TLR submission. If any of these Reserved Characters are used, CIIS cannot guarantee that the data will save and/or transmit properly.

, (comma)	* (asterisk)	( ) (parentheses)
‘ (apostrophe)	< (less than)	^ (carat)
“ ” (quotes)	> (greater than)	@ (at sign)
# (pound sign)	= (equals)	+ (addition sign)
& (ampersand)	% (percentage)	! (exclamation point)
(vertical bar)		

Transmitting the XML TLR to CIIS:

- Users must complete the Crosswalk Setup prior to transmitting the TLR. The Crosswalk translates an Organization’s data entries into values defined in CIIS. A complete description of the Crosswalk is provided in the following section.
- After completing the Crosswalk Setup, upload the XML:
  - Select “Data Entry” option from “TLR” Menu from CIIS Home Page;
  - Select “XML Upload” under “Submit Transactions to CIIS”;

- Select the data file path; and
- Select "Upload XML data" button.

Validating the XML TLR in CIIS:

- After the XML TLR is uploaded, CIIS will validate each transaction in the transmission. The specific validations are noted in the TLR Data Points Guidance.
- If the transmission contains any errors, CIIS will generate an error report that specifies the errors on a transaction-by-transaction basis. Users may view the error report by selecting "View Batch Validation Report" from the TLR home page.
- The Organization will need to resubmit data to make the corrections.
- Users may correct the errors by resubmitting the XML TLR or by using the online interface.

***If the Organization corrects errors manually online, please make sure that the same errors are corrected in the Organization's information system.*** If the errors are not corrected, the Organization is in danger of submitting the same errors the following year and of carrying erroneous data in there files.

Transaction Status

- Users may select "View Pending Transactions" from the TLR home page to check the status of the transactions as follows:
  - "Entry" - Transaction is not validated.
  - "Error" - Errors exist in general validations (see "Understanding the Data Points").
  - "Error: Address Verification Failed" - Passed general validations. Errors exist in address verification.
  - "Address Verification Passed" - Passed general validation and address verification. **Ready to pre-certify.**

Pending Transactions List								
	Project Number	Originator TransactionId	Transmission Source	TransmissionId	Transaction Sequence No.	Reporting Year	Transaction Status	Submitter transmissionId
<input type="checkbox"/>		Tran - 1	ONLINE	4500	1	2006	Entry	

**Option (2) Excel Template Upload**

- A sample Excel Submission can be found at [www.cdfifund.gov/what we do/ciis.asp](http://www.cdfifund.gov/what_we_do/ciis.asp) or from the "Training" link on the CIIS Home Page.

Preparing the Excel TLR:

- The Fund suggests that Organizations prepare the TLR by reviewing the "TLR Data Points Guidance" document (available at [www.cdfifund.gov/what we do/ciis.asp](http://www.cdfifund.gov/what we do/ciis.asp)) and identifying:
  - "Mandatory" and "Conditionally Required" data points;
  - "Compliance" data points;
  - Data point guidance;
  - Where the Organization electronically stores the data; and



- The type of entries allowed by each data point.
- The Excel Template is posted at:  
[http://www.cdfifund.gov/what\\_we\\_do/ciis.asp](http://www.cdfifund.gov/what_we_do/ciis.asp) and
  - Under “Template Download” from the TLR menu on the CIIS homepage.

**New Allocatee Excel Template:**

The new Allocatee Excel Template contains four worksheets:

- “Notes-Investments” sheet includes all Financial Note-level data points (except Disbursement data).
  - Financial Notes are identified by a “Project Number” and an “Originator Transaction ID.” These data points are described in the “Allocatee TLR Data Points Guidance.”
  - Each Financial Note will be entered as a single row of data. Each row in the Excel Template will include a column for the unique Project Number and Originator Transaction ID identifiers.
- “Disbursements” sheet includes all Disbursement data points
  - Disbursements are identified by an “Originator Transaction ID” and a “Disbursement ID.” These data points are described in the “Allocatee TLR Data Points Guidance.”
  - Each Disbursement will be entered as a row of data. If there are multiple QEIs funding a single disbursement, there will be one additional row of data for each QEI used for a particular disbursement. (This process is described in greater detail in the “Multiple Data Points for one Financial Note or Project” section below.) Each row in the Excel Template will include a column for the unique Originator Transaction ID and Disbursement identifiers.
- “Projects” sheet includes all Project-level data points (except Address data)
  - Projects are identified by a “Project Number.”
  - Each Project will be entered as a single row of data. Each row in the Excel Template will include a column for the unique Project Number.
- “Addresses” sheet includes all Address data points.
  - Addresses are related to a “Project Number.”
  - Each Address will be entered as a row of data. If there are multiple Project Addresses for a single Project Number, there will be an additional row of data for each Project Address. (This process is described in greater detail in the “Multiple Data Points for one Financial Note or Project” section below.) Each row in the Excel Template will include a column for the unique Project Number identifiers.

**Reserved Characters**

- Excel users should **not** enter any of the following Reserved Characters in their TLR submission. If any of these Reserved Characters are used, CIIS cannot guarantee that the data will save and/or transmit properly.

, (comma)	* (asterisk)	( ) (parentheses)
‘ (apostrophe)	< (less than)	^ (carrot)
“ ” (quotes)	> (greater than)	@ (at sign)
# (pound sign)	= (equals)	+ (addition sign)

& (ampersand)	% (percentage)	! (exclamation point)
(vertical bar)		

Multiple Data Points for one Financial Note or Project:

- The **Disbursement ID** (Allocatees only), and **Disbursements Source** (Allocatees only), and **Project Address** data points may require the Organization to submit multiple responses for a single transaction. *For example, a single real estate loan will have multiple project addresses if more than one property is being developed with the loan.*
- In these cases, each response must be provided on a separate row. As a result, there will be multiple rows of data for these transactions.

Allocatees:

- **Disbursement ID** and **Disbursements Source:** On the Disbursement sheet, users must submit the **Originator Transaction ID** for any additional rows (must be the same Originator Transaction ID for every row that corresponds to the particular disbursement).
  - Any data other than the **Originator Transaction ID, Disbursements ID, Disbursement Source, and Source Amount** fields will cause errors if supplied in these additional rows.
- **Project Address:** On the Address sheet, users must submit the **Project Number** for any additional rows (must be the same Project Number for every row that corresponds to the particular Project Address data).
  - Any data other than the **Project Address** and **Project Number** fields will cause errors if supplied in these additional rows.

CDFIs:

- **Project Address:** Users must submit the **Originator Transaction ID** for any additional rows of Project Address data. Any data other than the **Project Address** and **Originator Transaction ID** fields will cause errors if supplied in these additional rows.
- Other than for these special cases, duplicate rows related to a specific Originator Transaction ID or Project Number will be rejected as an error.

Format Numeric Fields

- Please pay close attention to the “Crosswalk Values / Definitions” provided in the “TLR Data Points Guidance” document. Lead zeroes will not appear for fields denoted as “Numeric.” *For example, a 5 digit zip code starting in zero should be entered as “1810”, and CIIS will then add a zero to the beginning of the zip code once the transmission has been received.*

Utilization of the Excel Template:

***An Organization should NOT change, update, re-order, or manipulate the Excel Template in any way, unless specified in these instructions.*** If the Template has been changed in ways other than those specified in the instructions, CIIS will reject the transmission.

- In order to delete an entry from a cell or a row in the Excel Template, the User must 1) Right-click in the cell/row; 2) Select delete; 3) Select “shift cells up” or “delete entire row”; and 4) Click “OK.” The User will not be able to simply click the delete button on their keyboard to remove unwanted entries.

Transmitting the Excel TLR to CIIS:

***Practice: The Fund recommends that users attempt to upload only 2-3 transactions on the first transmission attempt.*** If there are errors in the format or set-up of the spreadsheet, it will be much easier to review the error report and make corrections to a small transmission. Once the user has successfully transmitted and validated the 2-3 transactions, successfully formatting, transmitting, validating the entire portfolio should be simpler.

- Users must verify the Crosswalk is setup prior to transmitting the TLR. The Crosswalk translates an Organization’s data entries into values defined in CIIS. A complete description of the Crosswalk is provided in the following section.
- After verifying that the Crosswalk is setup, upload the Excel:
  - Select “Data Entry” option from the “TLR” Menu from CIIS Home Page;
  - Select “Excel Upload” under “Submit Transactions to CIIS”;
  - Select the data file path; and
  - Select “Upload Excel data” button.

Validating the Excel TLR in CIIS:

- After the Excel TLR is uploaded, CIIS will validate each transaction in the transmission. The specific validations are noted in the “TLR Data Points Guidance” document.
- If the transmission contains any errors, CIIS will generate an error report that specifies the errors on a transaction-by-transaction basis. Users may view the error report by selecting “View Batch Validation Report” from the TLR home page.
- The Organization will need to resubmit data to make the corrections.
- Users may correct the errors by resubmitting the Excel TLR or by using the online interface.

Retrieve Invalid Transactions - Excel

- Users may select the “Retrieve Invalid Transactions – Excel” to download an Excel Template containing all of the Organization’s invalid pending transactions. (Please note the user must first filter the Pending Transactions List to include only those transactions in a status of “Error” and “Error: Address Verification Failed.”)

- User may choose to make corrections to the invalid data in the Excel template and upload these transactions again to replace the errors.

***If the Organization corrects errors manually online, please make sure that the same errors are corrected in the Organization's information system.*** If the errors are not corrected, the Organization is in danger of submitting the same errors the following year and of carrying erroneous data in there files.

Transaction Status

- Users may select “View Pending Transactions” from the TLR home page to check the status of the transactions as follows:
  - “Entry” - Transaction is not validated.
  - “Error” - Errors exist in general validations (see “Understanding the Data Points”).
  - “Error: Address Verification Failed” - Passed general validations. Errors exist in address verification.
  - “Address Verification Passed” - Passed general validations and address verification. **Ready to pre-certify.**

Pending Transactions List								
	Project Number	Originator TransactionId	Transmission Source	TransmissionId	Transaction Sequence No.	Reporting Year	Transaction Status	Submitter transmissionId
<input type="checkbox"/>		Tran - 1	ONLINE	4500	1	2006	Entry	

**Option (3) Manual Data Entry:**

Preparing the Manual Data Entry TLR:

- The Fund suggests that Organizations prepare the TLR by reviewing the “TLR Data Points Guidance” and identifying:
  - “Mandatory” and “Conditionally Required” data points;
  - “Compliance” data points;
  - Data point guidance;
  - Where the Organization stores the data; and
  - The type of entries allowed by each data point.

Manually Entering the TLR in CIIS:

- In order to begin the Manual Data Entry option:
  - Select “Data Entry” option from “TLR” Menu from CIIS Home Page.
  - Select “Online Entry” menu option from TLR Functions to begin to enter the transaction.
- For each Financial Note, CIIS requires the user to complete key data points before allowing them to navigate through the other data points or save the Financial Note:

**Allocates 7 Key Data Points:**

- 1) Project Number
- 2) Originator Transaction ID;
- 3) QLICI Type;
- 4) Investee Type;

- 5) Purpose;
- 6) Transaction Type; and
- 7) Loan Status.
- Project Number
  - **Parent Financial Note for a Project**
    - § The Parent Financial Note is indicated by an \* (asterisk) in the Pending Transactions list.
    - § The first note entered for a Project is automatically deemed the Parent Financial Note.
    - § If you are entering the Parent (or only) Financial Note for a particular Project, enter the new project number in the Project Number field.
    - § You will need to enter both the Financial Note-level data and the Project-level data in this Parent Financial Note.
  - **Adding a Child Financial Note to a Project**
    - § If you are adding a Child Financial Note to an existing Project, select the appropriate Project Number from the dropdown.
    - § In this case, you will only need to enter the Financial Note-level data. CIIS will prefill (read-only) the Project-level data with your responses to the Parent Financial Note. If you make changes to the Project-level data in the Parent Financial Note, CIIS will update the Project-level data in the Child Financial Note(s).
  - **Moving a Financial Note to a Different Project**
    - § You may move a Child or Parent Financial Note to a new Project by entering a new Project Number in the entry screen.
      - In this case, any Project-level data associated with the Financial Note will be removed.
      - You cannot move a Parent Financial Note with no Child Financial Notes to a new Project.
    - § You may move an existing Financial Note to another existing Project by selecting a different Project Number on the entry screen or selecting “Change Project Number” on the first data entry screen.
      - In this case, any Project-level data associated with the Financial Note will be replaced by the Project-level data from the updated Project.

**CDFI's 5 Key Data Points:**

- 1) Originator Transaction ID;
  - 2) Investee Type;
  - 3) Purpose;
  - 4) Transaction Type; and
  - 5) Loan Status.
- Once the key data fields have been entered, the User can navigate using the Table of Contents and may then enter the data in any order.

Please **note** that the User **must** click the 'Save' button before navigating using the Table of Contents to ensure that all data entered on the page is saved.

- Once the key data points have been entered, the user can save and exit the transaction at any time.
- When a user attempts to leave a page, CIIS will notify the User of any "Mandatory" or "Conditionally Required" (CDFI only) fields that are not complete and if any of the data cannot be validated. Specific validations are noted in the "TLR Data Points Guidance" document.
- CIIS allows the User to update or complete any of the transactions at any time prior to transmission by using the "Pending Transactions" list that can be viewed after selecting the "Data Entry" of the TLR menu.
- Validating the Manually Entered TLR:
  - Users must validate each transaction for general validations (described in the "TLR Data Points Guidance") and address verification prior to submitting the TLR.
  - If the transactions contain any errors, CIIS will generate an error report that specifies the errors on a transaction-by-transaction basis. The Organization will need to update data to make the corrections.

#### Validating the Manually Entered TLR:

- Users must validate each transaction for general validations (described in "TLR Data Points Guidance") and address verification prior to submitting the TLR.
- If the transactions contain any errors, CIIS will generate an error report that specifies the errors on a transaction-by-transaction basis. The Organization will need to update data to make the corrections.

***If the Organization corrects errors manually online, please make sure that the same errors are corrected in the Organization's information system.*** If the errors are not corrected, the Organization is in danger of submitting the same errors the following year and of carrying erroneous data in there files.

#### **1. General Validations:**

- For general validations, CIIS will only validate one transaction at a time.
- Users may complete general validations at any time. CIIS will validate all available data for a given transaction.
- The general validations must be completed a final time when all data is entered.
- CIIS provides a "Validate Transaction" button on:
  - § Pending Transactions page (CIIS will validate selected transaction).
  - § Each page of the manual data entry (CIIS will validate the transaction being entered).

#### **2. Address Verification:**

- CIIS will not complete the address verification until all general validations are complete (Transaction Status = "Address Verification Passed" for all transactions indicates that the address verification has passed.)

- Use the “Validate Transaction” button on Pending Transactions page (CIIS will validate the transaction(s) selected.)

### Transaction Status

- Users can use the “Pending Transactions” page to check the status of the transactions as follows:
  - “Entry” - Transaction is not validated.
  - “Error” - Errors exist in general validations (see “TLR Data Points Guidance”).
  - “Error: Address Verification Failed” - Passed general Validations. Errors exist in address verification.
  - “Address Verification Passed” - Passed general validations and address verification. **Ready to pre-certify.**

The screenshot shows the CIIS web interface. On the left, there are navigation menus for 'Submit Transactions to CIIS', 'Pending', 'Pre-Certified', and 'Certified Transactions'. The 'View Pending Transactions' link is circled in red. The main area displays a table of transactions with the following data:

Project Number	Disbursed Transaction	Transmission Source	Transmission Id	Transaction Sequence No	Reporting Year	Transaction Status	Submitter Transaction Id
	Tran - 1	ONLINE	4500	1	2006	Entry	

Annotations on the screenshot include:

- A red circle around 'View Pending Transactions' in the left menu.
- A red circle around 'Disbursed Transaction' in the table header.
- A green box labeled 'Indicates Manual Entry' pointing to the 'ONLINE' value in the 'Transmission Source' column.
- A yellow box labeled 'ID numbers generated by CIIS' pointing to the 'Transmission Id' (4500) and 'Transaction Sequence No' (1) columns.
- A yellow box labeled 'Year selected by user upon entry to CIIS' pointing to the 'Reporting Year' (2006) column.

At the bottom of the table, there are buttons for 'Select All', 'Deselect All', 'Validate Transaction', 'Update Transaction', and 'Delete Transaction(s)'. A 'Transaction Status' dropdown menu is set to 'All Entry'.

### Updating the TLR Manually:

- Users may update data using the manual data entry system:
  - On the Pending Transactions page, select the Transaction to be updated.
  - Select the “Update Transaction” button.

## CROSSWALK

***The Crosswalk must be completed by Organizations using the XML interface or the Excel Upload.***

### What is the Crosswalk?

The Crosswalk translates your Organization’s data entries into values defined in CIIS. For example, if your Organization’s loan monitoring system uses the code “F” for

*“female borrower” and CIIS uses the code “Female,” the Crosswalk will tell CIIS to accept “F” for “female borrower.”* The Crosswalk does not include data points that accept general numeric or text entries.

The Crosswalk allows Organizations that are already capturing data required by CIIS to submit the data without changing the existing values stored in their software systems.

**The Crosswalk is a one-time set-up that will be saved in CIIS from year to year.** The Organization will only be required to record changes when 1) additional data points are added to CIIS or 2) the crosswalked values from the submitting Organization have changed.

### Where to Find Crosswalk Values

A complete list of the Crosswalk values are posted on the Fund’s website at [www.cdfifund.gov/what\\_we\\_do/ciis.asp](http://www.cdfifund.gov/what_we_do/ciis.asp). CIIS values are also described in the “TLR Data Points Guidance” document.

### Completing the Crosswalk

Users will have an option to select “Same as CIIS” once they enter the Crosswalk setup. This option will set all values to “Same as CIIS.”

**Crosswalk**

**IMPORTANT!**

PLEASE REVIEW THE TLR CROSSWALK INSTRUCTIONS BELOW BEFORE CONTINUING

- ALWAYS click the **SAVE** button at the bottom of the screen before leaving a Crosswalk page to ensure that data entered is saved properly.
- Please use the Table of Contents to navigate easily between different sections in the Crosswalk, remembering to click to **SAVE** button before leaving the page.

Same as CIIS

Next Save

Users will also have three options available to crosswalk their data values to CIIS values. See the three columns below: **Your System**, **Same as CIIS**, and **Does not Apply**.



1. **Your System:** Use the “Your System” option to record the Organization’s value or values as they will appear in the TLR transmission. *For example, if the Organization records “FXD” for loans with a fixed interest rate, the user would enter “FXD” in the “Your System” column next to Fixed.*

If the Organization has multiple values for a single CIIS value, the user will report each of the Organization’s values separated by a “,” (comma) in the corresponding “Your System” entry field. *For example, if the Organization uses both “FXD” and “FIX” to represent loans with a fixed interest rate, the user would enter “FXD, FIX” in the “Your System” entry field next to Fixed.*

***It is critical that the Crosswalk entry represent the exact text being transmitted. All transmitted data must match the identified crosswalk option(s).***

2. **Same as CIIS:** If the Organization’s value is the same as the CIIS value, the User should select the “Same as CIIS” check box next to the appropriate option. The CIIS values are provided in the “TLR Data Points Guidance” document. *For example, if the Organization uses “FIXED” to represent loans with a fixed interest rate, the user would select the “Same as CIIS” check box.*

If the Organization’s value is the same as the CIIS value for all data points in a section, the user may check the *section level* “Same as CIIS” check box and move to the next section. If the “Same as CIIS” check box is selected at the *section level*, the user will not be able to record any other data in that section.

3. **Does Not Apply:** If the data point or option does not apply to the Organization, the User should select the “Does Not Apply” check box. *For example, if the Organization does not offer loans with a fixed interest rate, the user could select the “Does Not Apply” check box.* A section level check box is provided to allow the user to select “Does Not Apply” for all values in the section. Please note, the “Does Not Apply” check box is not available for the key data points required for a transaction. The key data points that must be crosswalked are QLICI Type (Allocatees only), Investee Type, Purpose, Transaction Type, and Loan Status.

## UPDATING USING PREVIOUS YEAR SUBMISSIONS

***Transactions that have been certified in previous reporting years can be updated without re-entering/uploading the entire transaction. It is highly recommended that Users take advantage of this function to minimize your workload and User errors.***

### **Allocatees:**

In each reporting year, Allocatees must submit the entire portfolio of transactions that were **funded by Qualified Equity Investments (QEIs)** and that were active at any time during the reporting year. CIIS provides the option of beginning with the previous reporting year’s certified TLR.

**CDFIs:**

In each reporting year, CDFIs must submit their entire portfolio of transactions that were active at any time during the reporting year. CIIS provides the option of beginning with the previous reporting year's certified TLR.

Retrieving Previous "Online" Transmissions

- Select "Data Entry" from the "TLR" menu on the CIIS Home Page.
- Select which reporting year you would like to use to load the data.
- Select the "Retrieve Certified Transactions - Online" option to load a past TLR submission in to the Pending Transaction list.
  - Downloaded data will display in the current reporting year's format from the Pending Transactions List.
  - Users may use the online entry system to update or delete transactions.
  - Users may not use this feature if their CIIS Reports have already been Certified for the current reporting period.

***Please note, if there are Pending transactions online when you select "Retrieve Certified Transactions - Online", CIIS will use the downloaded transactions to replace any Pending transactions. As a result, you will lose the Pending Transactions.***

Retrieving Previous "Excel" Transmissions

- Select which reporting year you would like to use to load the data.
- Select the "Retrieve Certified Transactions - Excel" option to download an Excel spreadsheet that contains a past certified TLR.
  - Downloaded data will populate in an Excel file which is generated in the current reporting year's format. Users should save this file to their computer before making any updates to the data.
  - Users may upload changes to the data for current year's submission.

Updating for Submission

- CIIS requires users to update certain data points for each report year. These data points are noted with "Annual Update Required" in "TLR Data Points Guidance" document.
- Users must complete validations for all transactions.
  - The Fund has added additional Mandatory and Conditionally Required fields. Please review the instructions to ensure that these fields are complete in order to complete the validations.

**MANAGING PENDING TRANSACTIONS**

Filter Pending Transactions

- Use the "Filter" features on the bottom of the Pending page to filter the Pending transactions by Transaction Status.

## PRE-CERTIFY TRANSACTIONS

### How to Pre-Certify Transactions

- Select “Pre-Certify Transactions” from TLR home page to Pre-Certify Transactions.
- Users may only Pre-Certify validated transactions (Transaction Status on Pending List is “Address Verification Passed” and “Error: Address Verification Failed” (CDFI’s only)).
- Users must Pre-Certify transactions in batch. This means that all transactions on the Pending List must be Pre-Certified at one time.
- Users may Pre-Certify multiple times. After a User Pre-Certifies a batch of transactions, the User may submit additional transactions to the Pending List and Pre-Certify again.
- Users may view the Pre-Certified transactions’ key data points by selecting “View Pre-Certified Transactions” on the TLR home page. (Please note: The Pre-Certification process runs every 15 minutes, so although your transactions will immediately disappear from the Pending Transactions List, it will take up to 15 minutes for them to redisplay in the Pre-Certified Transactions List.)
- Users may retrieve the Pre-Certified transactions in Excel by selecting “Retrieve Pre-Certified Transactions – Excel” from the TLR home page. Updates can be made to the retrieved Excel document, and it can be re-uploaded in CIIS. These transactions will need to be Pre-Certified again.
- Users may send Pre-Certified transactions back to the Pending List in batch by selecting “Send Back to Pending Transactions” from the TLR home page.
  - If Pre-Certified transactions are sent back to Pending, all Pending transactions will be replaced with the transactions being moved.

## CERTIFY TRANSACTIONS

### ***The User must Certify the TLR upon completion.***

CIIS has a single Certification process for the ILR and TLR. Users will be able to Certify the TLR when:

- The ILR is complete. (On the CIIS Home Page, select “ILR” menu ➡ “ILR Status” to check for completion.)
  - The TLR is complete.
- All transactions are Pre-Certified. There cannot be any transactions in the Pending List

### How to “Certify”

- Select the “Certify” tab, which is available on the CIIS Home page.
- Check that the ILR and TLR are complete in CIIS.
- Enter the “As of Date of Transaction Level Report.”
  - The “as of date” is the day that the TLR data was current. *For example, if the data shows the transactions’ delinquency and disbursement status as of 12/31/10, the “as of date” is 12/31/10.*
  - The Fund requires that the TLR represent the last date of the reporting period.
- Select “Next” button.

## FY 2010 Transaction Level Report Entry/Upload Instructions

- Review Certification Statement and select appropriate checkbox to agree with the statement.
- Select “Submit CIIS Reports” button.

Please note, if during the cleansing process or the Compliance review, it is determined that the Organization did not submit the data required, the Organization will be contacted to correct the data.