



U.S. Department of Treasury

Community Development Financial Institutions Fund

XML Vendor Guide CDFI NACA TLR

August 2019

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Overview

The purpose of this document is to provide guidance to the CDFI Vendors who support CDFI Award Organizations upload their annual CDFI Transaction Level Reports (TLR) into The CDFI Fund's Awards Management Information System (AMIS) via XML.

This guidance document will cover TLR's from the CDFI/NACA Program. For a broader and more detailed explanation about the nature of the data points and validations for the CDFI NACA TLR, please refer to the "CDFI TLR Data Point Guidance".

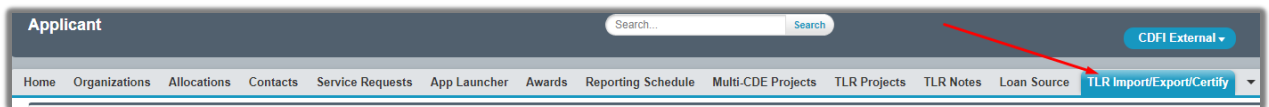
Assumptions

This document's instructions are based on the following Assumptions.

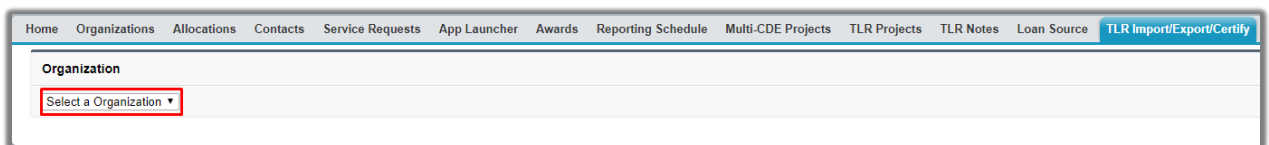
1. All Vendors who support the TLR via XML maintain the Awardee Organization's TLR data in the vendors own system and that this data is accurate and contains all the TLR fields noted in the CDFI's TLR Guidance by Program (CDFI/NACA) based on the year of the award.
2. All Vendors currently have access to AMIS and are able to view/edit all the TLR related dated of their respective Awardee Organizations.

XML Schema for CDFI TLR and Consumer Loans/Investments Originated

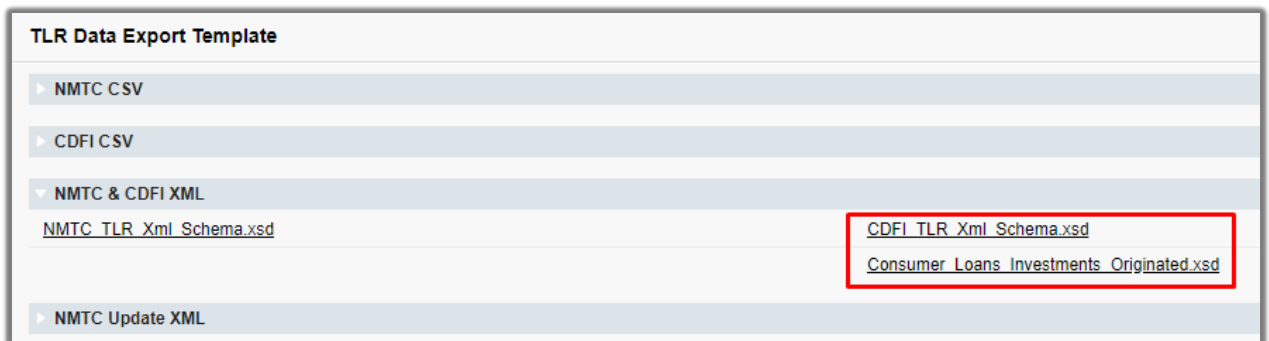
1. To access the XML Schema file for the CDFI TLR, navigate to the “TLR Import/Export/Certify” tab.



2. Use the “Select a Organization” drop-down field to select the name of the organization the user is associated with and/or wishes to upload XML files for.



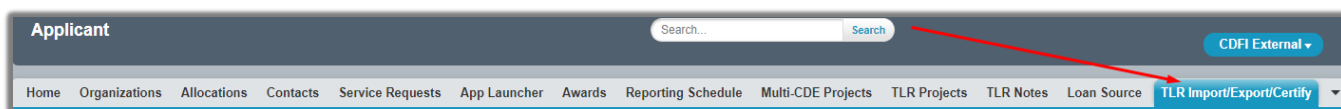
3. Once an organization has been selected the user will be able to access the XML Schema files for CDFI and for Consumer Loans/Investments Originated. These files are in the “TLR Data Export Template” section underneath the “NMTC & CDFI XML” subsection.



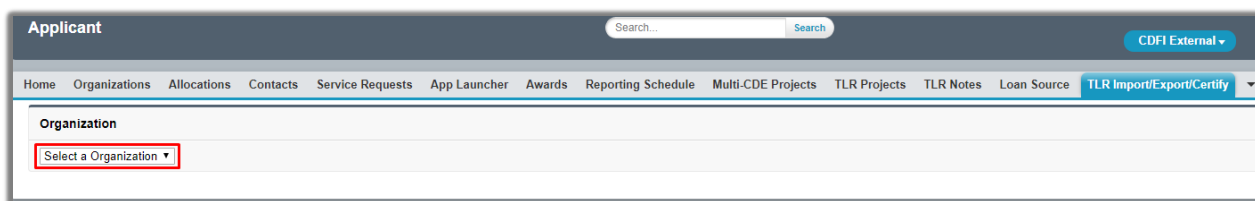
Instructions

Following are the steps in uploading data in XML into AMIS

1. Vendor personnel logs into AMIS.
2. Navigates to “TLR Import/Export/Certify” tab / page.



3. Select Your Organization from the “Select a Organization” drop-down field.



4. Once the user has selected their organization, AMIS presents the option to download the XML schema document that defines the elements and the structure of the XML data file to be created and uploaded into AMIS. For the CDFI TLR the user would select the “CDFI TLR Xml Schema” link and for the Consumer Loans/Investments Originated the user would select the “Consumer Loans Investments Originated” link.

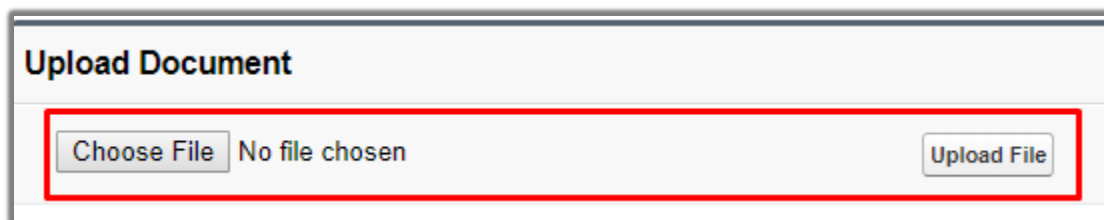


5. User downloads the schema file, creates TLR XML data file based on the schema file.

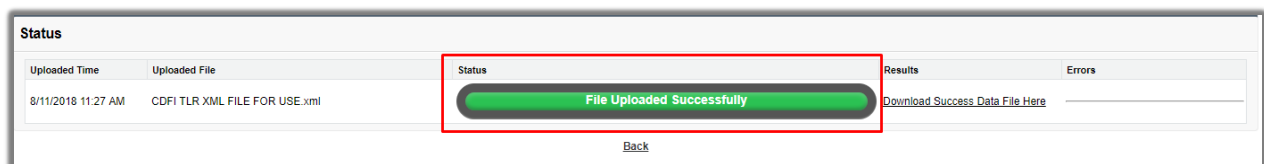
6. User comes back to the “TLR Import/Export/Certify” tab / page and selects the option to upload the CDFI TLR XML or the Consumer Loans/Investments Originated document.



7. Once the user has clicked on the appropriate import link, the user will select the CDFI TLR XML or Consumer Loans/Investments Originated file from their local computer and click Upload File.



8. The system will process the uploaded document and shows the status of the upload on the upload status section.



9. User has the option to come back to the upload status page anytime they wish and will be presented with the latest upload status.

Error Handling

Error handling is similar to CSV upload and following is a brief overview. To view the process for CSV file upload for the CDFI TLR please refer to the “CDFI TLR Data Point Guidance”.

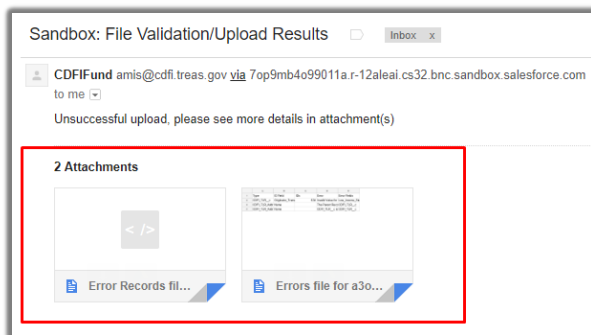
Errors are handled in multiple stages:

- 1st stage is basic validation to check file content. If there are any errors, they will be shown on the screen.
- 2nd stage is detailed back-end validations. This step addresses detailed validations at individual field level. If there are any errors, an error file will be generated for the users to download, correct and resubmit.

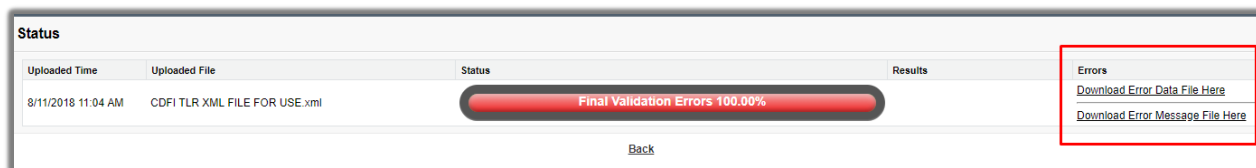
Error Records

The system generates and presents an Error Records file that contains the error records to download, and an Error file that contains the fields that did not pass validations that need to be edited. These error files will be displayed on the portal, as well as emailed to the user.

Email:



Portal:



As stated above, the error file lists the fields that did not pass validation which caused the file to not be uploaded. The error file for the CDFI TLR will state the “Type”, “ID Field”, “IDs”, “Error”, and the “Error Fields” to help the user better understand what needs to be fixed. Below you can see an example:

	A	B	C	D	E
1	Type	ID Field	IDs	Error	Error Fields
2	CDFI_TLR__c	Originator_Transaction_ID__c	634	Invalid Value for Restricted Pick List Field	Low_Income_Status__c
3	CDFI_TLR_Address__c	Name		The Parent Record not Found. The parent might not import successfully.	CDFI_TLR__c
4	CDFI_TLR_Address__c	Name		CDFI_TLR__c is Required.	CDFI_TLR__c

Once the user has reviewed the errors file, they will then edit those error fields on the Error records file, so that they may re-upload it. The Error records file contains the actual records that were not uploaded into the system due to validation issues and that need to be edited for the errors listed in the errors file. Below is an example of the error records file for the CDFI TLR.

CDFI TLR:

```
<?xml version="1.0" encoding="UTF-8"?>
- <Transmission>
  - <CDFI_TLR_c Year_of_HFFI_Award_c="" Women_Owned_or_Controlled_c="" No" Type_of_Jobs_Reported_c="" Transaction_Type_c="" TERM" Total_Project_Cost_c="" 1000000"
    Total_Number_of_New_Retail_Healthy_Food_c="" Term_in_months_c="" 1" Target_Market_c="" Square_Ft_of_Non_Retail_Food_Outlets_c="" Square_Ft_of_New_Retail_Healthy_Food_c=""
    Square_Feet_of_Real_Estate_Total_c="" Square_Feet_of_Real_Estate_Retail_c="" Square_Feet_of_Real_Estate_Office_c="" Square_Feet_of_Real_Estate_Manufacturi_c=""
    Source_of_Job_Estimates_Other_c="" Test" Source_of_Job_Estimates_c="" OTHER" Race_c="" DO NOT KNOW" Purpose_c="" HOMEIMP" Projected_Jobs_to_be_Created_Construct_c=""
    Proj_Perm_Jobs_to_be_Created_Financ_c="" Proj_Perm_Jobs_Created_Tenant_Bus_c="" Points_c="" 1" OTP_End_Users_c="" African American/Black" Other_Targeted_Populations_c="" African
    American/Black" Other_Impact_2_Number_of_Units_c="" Other_Impact_2_Explain_c="" Other_Impact_1_Number_of_Units_c="" Other_Impact_1_Explain_c="" Originator_Transaction_ID_c="" 634"
    Origination_Fees_c="" 100" Original_Loan_Investment_Amount_c="" 1000" New_Non_Retail_Healthy_Food_Lending_Actv_c="" 1" NAICS_c="" Minority_Owned_or_Controlled_c="" No"
    Low_Income_Status_c="" Extremely low-income: less than 30% AMI" Low_Income_Owned_or_Controlled_c="" Yes" Loan_Status_c="" ACTIVE" LITP_End_Users_c="" YES" Investee_Type_c="" IND"
    Interest_Type_c="" FIXED" Interest_Rate_c="" 1" IA_End_Users_c="" Yes" Housing_Units_Sale_c="" Housing_Units_Rental_c="" Hispanic_Origin_c="" Yes" HFFI_FA_Activity_c=""
    Healthy_Foods_Project_Description_c="" Healthy_Food_Outlet_Activity_Other_c="" Healthy_Food_Outlet_Activity_c="" Guarantees_c="" SBA" Gender_c="" MALE" Forgivable_Loan_c="" Yes"
    Food_Desert_Identifier_Source_Other_c="" Food_Desert_Identifier_Source_c="" ERS" First_Time_Home_Buyer_c="" Yes" Female_Headed_Household_c="" Yes" FA_Program_Type_c="" FA"
    Equity_Like_Features_c="" OTHER" Entity_Structure_c="" NONPROFIT" Description_of_the_Other_Approved_OTP_c="" Desc_of_Other_Approved_OTP_End_Users_c="" Date_Originated_c="" 2017-12-
    13" Date_Business_Established_c="" 2017-12-13" Credit_Score_c="" 750" Community_Facility_c="" NO" Client_ID_c="" 555666444" Capacity_of_Other_Community_Facility_c=""
    Capacity_of_Healthcare_Community_Facilit_c="" Capacity_of_Educational_Community_Facili_c="" Capacity_of_Childcare_Community_Facility_c="" Capacity_of_Arts_Center_Community_Facili_c=""
    Banked_at_Time_of_Intake_c="" No" Annual_Gross_Revenue_from_Business_Oper_c="" Amortization_Type_c="" FULLAMORT" Affordable_Housing_Units_Sale_c=""
    Affordable_Housing_Units_Rental_c=""
    <CDFI_TLR_Address_c Project_Zip_Code_Plus_4_c="" Project_Zip_Code_5_c="" Project_Y_Coordinates_c="" Project_X_Coordinates_c="" Project_Street_Address_Line_2_c=""
    Project_Street_Address_Line_c="" Project_State_c="" Project_FIPS_Code_c="" 12345678901" Project_City_c="" />
  </CDFI_TLR_c>
</Transmission>
```

The file contains error records that are:

1. Complete Error records are where both parent and child records failed processing. Complete error records are a result of the parent record (CDFI TLR Project) not passing validations so it will not be able to be successfully uploaded, which results in the child records (CDFI TLR Address) not being able to be uploaded since the parent record was not uploaded. The status of a complete error record will resemble the following:

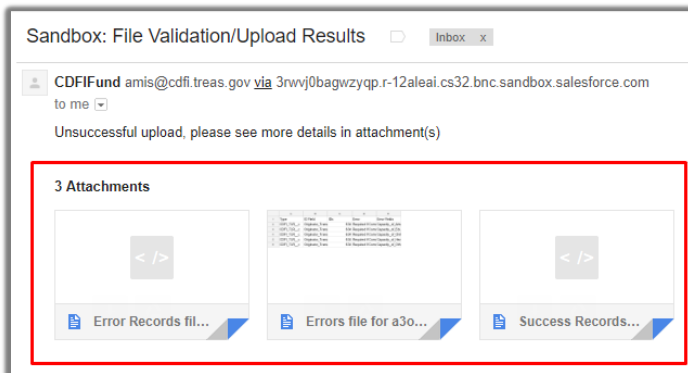
Status				
Uploaded Time	Uploaded File	Status	Results	Errors
8/11/2018 11:42 AM	CDFI TLR XML FILE FOR USE.xml	<div>Final Validation Errors 100.00%</div>		Download Error Data File Here Download Error Message File Here
Back				

2. Partial Errors where the parent record processing is successful, and one or more child records failed processing. Partial error records are a result of the parent record (CDFI TLR Project) being successfully uploaded, but there is an error in the child record (CDFI TLR Address) that does not pass validation which does not allow that child record to be successfully uploaded. The status of a partial error file will resemble the following:

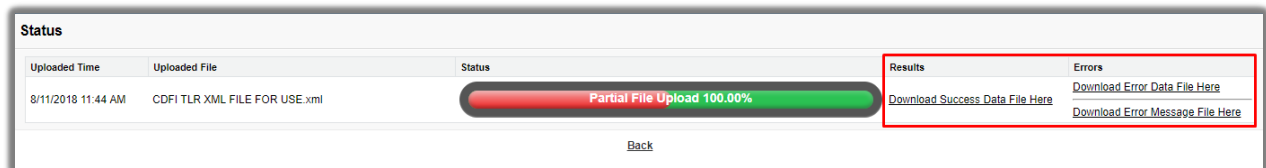
Status				
Uploaded Time	Uploaded File	Status	Results	Errors
8/11/2018 11:44 AM	CDFI TLR XML FILE FOR USE.xml	<div>Partial File Upload 100.00%</div>	Download Success Data File Here	Download Error Data File Here Download Error Message File Here
Back				

3. The error record file for partial errors will return the parent record (CDFI TLR Project) that was successfully uploaded and only the child records (CDFI TLR Address) that did not pass validations which did not allow them to be successfully uploaded. It is important to edit the error records file the system returned to you and reupload that file instead of creating a new file to ensure no duplications occur. Partial error files will return the success records, errors file, and the error records file as seen below.

Email:



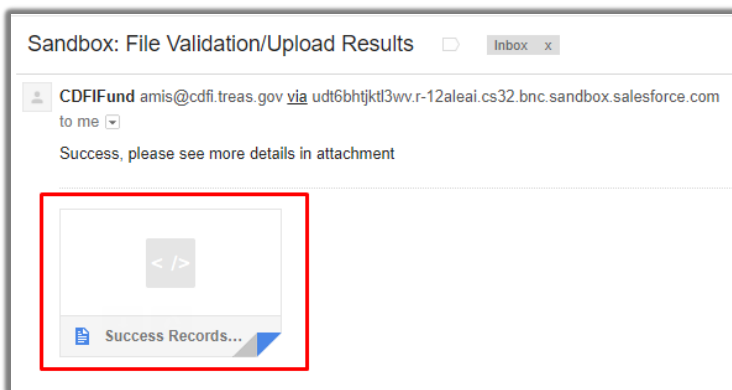
Portal:



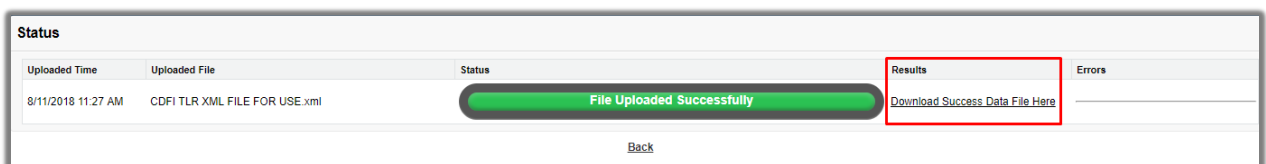
Success Records

There will also be Success Record files generated that contain success records to download, this file will be emailed to the user as well as available on the portal.

Email:



Portal:



This is for informational purpose and no need to do anything with this file.
Contents of this file include:

1. Complete Success record where both parent and children are successful.
2. Partial Success where parent is successful, and one or more children are failed processing (system still returns the whole record which includes the parent and complete list of children including the error ones).