

Monthly A/OPC Review Report			
Reporting Period	2021/09/20 thru 2021/10/19		Run Date: 15/11/2021 19:56:42
Hierarchy Level(s)	[XXXX] HL2 [ALL] HL3 [ALL] HL4 [ALL] HL5	Run By: <Email address of user that generated the report>	

I. Program Summary			
Line	The " " within each line item separate the description of what is captured in Value 1 and Value 2 columns.	Value 1	Value 2
1	Number of Transactions (Excluding Credits)   Dollar Value of Transactions	215,465	\$252,109,089
	<p>DESCRIPTION: Value 1 = Total count of all transactions excluding credits. Value 2 = Total sum of dollar value of all transactions excluding credits.</p> <p>SOURCE: J.S.BankRPM</p> <p>CALCULATION: Count all positive value transactions within the reporting period based on transaction posting date. Sum dollar amounts. Credits exclude fees.</p> <p>USER GUIDANCE: Users may compare against the Transaction Detail Report in Access Online.</p>		
2	Number of Convenience Checks Written   Dollar Value of Convenience Checks Written	200	\$20,000
	<p>DESCRIPTION: The total number of convenience checks written. Total sum dollar amount of convenience checks written.</p> <p>SOURCE: Oversight has a frame (VALID FOR CHECK FRAMES) that references with TRAN CODE 0104.</p> <p>CALCULATION: Count and sum of dollar amount for all 0104 transactions in the hierarchy for the period based on transaction posting date.</p> <p>USER GUIDANCE: Users may compare against the All Convenience Check custom report in Access Online and the Transaction Detail Report. review individual cases for convenience checks in the Monthly Review Exceptions Tab in IOD.</p>		
3	Number of Convenience Checks Written Equal to or Under the Convenience Check Threshold (\$5,000) [Prior Period   Reporting Period]	137	150
	<p>DESCRIPTION: The number of convenience checks written exactly for or &lt; \$5,000 in the prior period   and reporting period.</p> <p>SOURCE: Oversight has a frame (VALID FOR CHECK FRAMES) that references with TRAN CODE 0104</p> <p>CALCULATION: Count of all 0104 transactions in the hierarchy for the prior period and the reporting period based on transaction posting date.</p> <p>USER GUIDANCE: Users may review individual cases for convenience checks in the Monthly Review Exceptions Tab in IOD.</p>	Must = Row 3 Value 2 on the report run for the previous cycle	Must be dLine 2, Value1
4	Total Refunds Earned During the Reporting Period (Refunds are Earned Quarterly)   Percent of Total Dollar Value	-	-
	<p>DESCRIPTION: Will not be populated in the report</p> <p>SOURCE: TBD</p> <p>CALCULATION: TBD</p> <p>USER GUIDANCE: TBD</p>	Will display ""	Will display ""

# I. Program Summary

Line	The " " within each line item separate the description of what is captured in Value 1 and Value 2 columns.	Value 1	Value 2
5	Number of Delinquent Accounts 61 Days or More Past Statement Date [Prior Period    Reporting Period]	-	-
	<p>DESCRIPTION: Count of Managing Accounts that were ever &gt; 60 days past due during the period even if account is no longer delinquent. If the account went delinquent during the period, but paid also during the period, it will not show as delinquent. Value 1 = Prior Period Value 2 = Reporting Period.</p> <p>SOURCE: TBD</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: TBD</p>	Will display ""	Will display ""
6	Number of Disputed Transactions    Dollar Value of Disputed Transactions	8	\$5,200
	<p>DESCRIPTION: Count of disputed transactions    Total sum dollar amount of disputed transactions</p> <p>SOURCE: U.S. Bank RPM</p> <p>CALCULATION: Count all transactions posted within the reporting period that have subsequently been disputed. Sum dollar amount of these transactions</p> <p>USER GUIDANCE: None</p>		
7	Average Number of Days for CHs to Certify [Prior Period    Reporting Period]	-	-
	<p>DESCRIPTION: Will not be populated in the report.</p> <p>SOURCE: TBD</p> <p>CALCULATION: TBD</p> <p>USER GUIDANCE: TBD</p>	Will display ""	Will display ""
8	Average Number of Days for Certifying Officer (A/BO) to Certify Invoice for Payment Post Billing Cycle End Date [Prior Period    Reporting Period]	-	-
	<p>DESCRIPTION: Will not be populated in the report.</p> <p>SOURCE: TBD</p> <p>CALCULATION: TBD</p> <p>USER GUIDANCE: TBD</p>	Will display ""	Will display ""
9	Average Number of Days for Bank to Receive Payment Post Billing Cycle End [Prior Period    Reporting Period]	-	-
	<p>DESCRIPTION: Will not be populated in the report.</p> <p>SOURCE: TBD</p> <p>CALCULATION: TBD</p> <p>USER GUIDANCE: TBD</p>	Will display ""	Will display ""

## II. Transaction Reviews

Line	The " " within each line item separate the description of what is captured in Value 1 and Value 2 columns.	Value 1	Value 2
10	Number of All DM Cases    Dollar Value of All DM Cases	34,476	\$79,984,387
	<p>DESCRIPTION: Total count and dollar value of cases created during reporting period. Includes system generated and manually created cases. Includes cases that were subsequently auto closed or closed out of scope.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Count of all cases created in the period. Sum dollar value of all cases created in the period.</p> <p>USER GUIDANCE: Users may check against the Monthly Review Entities Tab in IOD.</p>		
11	---Number of DM Cases Opened Manually    Dollar Value of DM Cases Opened Manually	0	\$0
	<p>DESCRIPTION: Count of cases that were manually created during reporting period. Sum dollar value of cases manually created during the reporting period.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Count of cases that were manually created during reporting period. Sum dollar value of cases manually created during the reporting period.</p> <p>USER GUIDANCE: Users may check against the Monthly Review Entities Tab in IOD.</p>		
12	Number of DM Cases as a Percent of the Number of All Transactions Excluding Fees and Credits    Dollar Value of DM Cases as a Percent of the Dollar Value of All Transactions	16%	32%
	<p>DESCRIPTION: Value 1 = cases created as a % of all transactions excluding fees and credits. Value 2 = dollar value of cases created as a % dollar value of all transactions excluding fees and credits.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Total cases created / All transactions in the hierarchy (Line 1 Value 1). Sum dollar amount of cases created / sum dollar amount of all transactions in the hierarchy (Line 1 Value 2).</p> <p>USER GUIDANCE: N/A</p>	Line 10 Value 1 / Line 1 Value 1	Line 10 Value 2 / Line 1 Value 2
13	Number of DM Cases Remaining Open    Percent of DM Cases Remaining Open	0	0%
	<p>DESCRIPTION: Cases created during the reporting period that remain open as of the running of this report. Value 2 = % of cases remaining open.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of case in open statuses as of the running of the report. Value 2 = Count of open cases [Line 13] / Count of all cases [Line 10]</p> <p>USER GUIDANCE: Users may check against the Monthly Review Entities Tab in IOD. Users may research individual cases using the Monthly Review Exceptions Tab.</p>	Must be dLine 10 Value 1	Line 13 Value 2 + Line 14 Value 2 = 100%
14	Total Number of DM Cases Closed    Percent of DM Cases Closed	34,476	100%
	<p>DESCRIPTION: Cases created during the reporting period that have subsequently been closed. Includes AOPC Closed, Closed, and Closed Out of Scope. Value 2 = % of cases created during the reporting period that are closed.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of cases in AOPC Closed + Closed Locked + Closed by System Customized Tier 2 Business Rule + Closed by System Transition Stratification + Closed Out of Scope + Closed Not Reviewed statuses as of the running of the report. Value 2 = Count of closed cases [Line 14] / Count of all DM cases [Line 10]</p> <p>USER GUIDANCE: Users may check against the Monthly Review Entities Tab in IOD. Users may research individual cases using the Monthly Review Exceptions Tab.</p>	Should = Sum of Line 15+16  Must be dLine 10  Line 13 Value 1 + Line 14 Value 1 must = Line 10 Value 1	Should = Sum of Line 15-16  Line 13 Value 2 + Line 14 Value 2 = 100%

## II. Transaction Reviews

Line	The " " within each line item separate the description of what is captured in Value 1 and Value 2 columns.	Value 1	Value 2
15	---Number of Cases Auto Closed by System    Percent of Cases Auto Closed by System	21,000	61%
	<p>DESCRIPTION: Cases created during the reporting period and subsequently Auto Closed by Tier 2 Tailoring, Transition Stratification or Descoped. Cases auto-closed as a % of all cases closed.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of cases in Closed by System Customized Tier 2 Business Rule statuses Closed by System- Transition Stratification Status Closed Descoped. Value 2 = System Auto Closed. [Line 14] / Count of all DM cases [Line 10].</p> <p>USER GUIDANCE: Users may view individual cases Auto Closed by Tier 2 Tailoring by looking in IOD under Profile Close &gt;&gt; Tier 2 Auto Closed by HL3.</p>	Must be dLine 14	
16	---Number of Cases Closed by A/BOPCs    Percent of Cases Closed by A/BOPCs	13,476	39%
	<p>DESCRIPTION: Value 1 = Count of cases created during the reporting period and subsequently closed all the way through the AOPC level. Cases Adjudicated A/BO but not yet accessed by AOPC are not included. Value 2 = Cases closed by A/BO and A/OPC during the period as a % of all cases closed during the period.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of all cases in AOPC Closed + Closed Not Reviewed. Value 2 = Cases Closed by A/BOPC [Line 16] / Count of all DM cases [Line 10].</p> <p>USER GUIDANCE: Users may review individual closed cases by looking in IOD under Profile Close &gt;&gt; Summary by Billing Cycle.</p>	Should = Sum of Line 17 and 8 Must be dLine 14	Line 16 Value 1 / Line 10 Value 1
17	-----Number of Cases Closed with No Determination    *Percent of Cases Closed by A/BOPC	11,000	32%
	<p>DESCRIPTION: Cases created during the reporting period and subsequently closed all the way through the AOPC level with No Determination, which includes Findings, External Fraud, and Disputable Transaction. Cases Adjudicated by A/BO but not yet accessed by AOPC are not included. Value 2 = Cases closed by A/BO and A/OPC during the period with no determination as a % of all cases closed by A/BO and A/OPC during the period.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of cases in AOPC Closed Locked statuses with No Determination including External Fraud and Disputable Transactions + Closed Not Reviewed. Value 2 = Closed No Determination [Line 17] / Count of all DM cases [Line 10].</p> <p>USER GUIDANCE: Users may review individual closed cases by looking in IOD under Profile Close &gt;&gt; Summary by Billing Cycle.</p>	Must be dLine 16	Line 17 Value 1 / Line 10 Value 1 Line 17 Value 2 + Line 18 Value 2 must = Line 16 Value 2
18	-----Number of Cases Closed with a Determination    *Percent of Cases Closed by A/BOPC	2,476	7%
	<p>DESCRIPTION: Cases created during the reporting period and subsequently closed all the way through the AOPC level with a Determination. Cases Adjudicated by A/BO but not yet accessed by AOPC are not included. Cases found to be External Fraud or Disputable Transactions are also not included.    Value 2 = Cases closed by A/BO and A/OPC during the period with a determination as a % of all cases closed by A/BO and A/OPC during the period.</p> <p>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of cases in AOPC Closed Locked statuses with a Determination. Value 2 = Closed with a Determination [Line 18] / of all DM cases [Line 10].</p> <p>USER GUIDANCE: Users may review individual closed cases by looking in IOD under Profile Close &gt;&gt; Summary by Billing Cycle. Users may also view the determinations for individual cases using the Findings and Determinations Report in IOD.</p>	Must be dLine 16	Line 18 Value 1 / Line 10 Value 1 Line 18 Value 2 + Line 17 Value 2 must = Line 16 Value 2

## II. Transaction Reviews

Line	The " " within each line item separate the description of what is captured in Value 1 and Value 2 columns.	Value 1	Value 2
19	---Number of Determinations Identified [Prior Period    Reporting Period] ****	2,240	2,476
	<p>DESCRIPTION: This is a count of all determinations for closed cases. Closed cases may have multiple findings but only a single determination. Value 1 = prior period and    Value 2 = reporting period.</p> <p>SOURCE: AOPC</p> <p>CALCULATION: Value 1 = Count of cases in AOPC Closed AND Closed Locked statuses with determinations in the prior period. Value 2 = Count of cases in AOPC Closed + Closed Locked statuses with determinations in this period.</p> <p>USER GUIDANCE: Users may review determinations for individual cases using the Findings and Determinations report in IOD.</p>	Must be = to Line 18 Value 1 on the report run for the previous cycle.	Must be = to Line 18 Value 1
20	---Number of Corrective Actions Taken/ Planned [Prior Period    Reporting Period] ****	1,200	1,869
	<p>DESCRIPTION: When a determination is selected AOPCs must select Corrective Actions. A single case can have one or more corrective actions. At least one corrective action must be selected before a case with a determination can be closed. This is a count of corrective actions, not a count of cases with corrective actions. Value 1 = prior period and    Value 2 = reporting period.</p> <p>SOURCE: AOPC</p> <p>CALCULATION: Value 1 = Count of corrective actions for cases in AOPC Closed + Closed Locked statuses in the prior period. Value 2 = Count of corrective actions for cases in AOPC Closed + Closed Locked statuses in this period.</p> <p>USER GUIDANCE: Users may review corrective actions for individual cases using the Findings and Determinations Report in IOD.</p>		
* May include cases "Not Closed Due to Deployment or Exemption"			
** Includes: No Determination Necessary, External Fraud and Disputed Transaction			

## III. Monthly Review Questions

Line		Prior Period	Reporting Period
21	How many HAs are in your program?	-	-
	<p>DESCRIPTION: Count of the number of individuals who serve as a HA on your program</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: N/A</p>	Will display ""	Will display ""
22	How many HAs reported above do NOT have documented evidence of training per current activity/component instruction?	-	-
	<p>DESCRIPTION: Count of the number of individuals required to sign the Semi-Annual HA Report who have NOT completed training per current instruction.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: N/A</p>	Will display ""	Will display ""

### III. Monthly Review Questions

Line		Prior Period	Reporting Period
23	Number of Primary and Alternate A/OPCs	-	-
	<p>DESCRIPTION: Count of the number of individuals who serve as a Primary or Alternate A/OPC on your program. Individuals who serve both a Primary and Alternate A/OPC are only counted once.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: N/A</p>	Will display ""	Will display ""
24	How many A/OPCs reported above do NOT have documented evidence of training per current activity/component instruction?	-	-
	<p>DESCRIPTION: Count of the number of individuals who are Primary or Alternate A/OPCs on your program who have NOT had training per current instruction.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: N/A</p>	Will display ""	Will display ""
25	How many Primary and Alternate A/BO are in your program? (number of individuals, not accounts)	-	-
	<p>DESCRIPTION: Count of the number of individuals (not accounts) who serve as a Primary or Alternate A/BO on your program. Any individual who serves as a Primary or Alternate A/BO on more than one account is counted only once.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: N/A</p>	Will display ""	Will display ""
26	How many A/BOs reported above do NOT have documented evidence of training per current activity/component instruction?	-	-
	<p>DESCRIPTION: Count of the number of individuals who serve as a Primary or Alternate A/BO on your program who have NOT had training per current instruction.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: N/A</p>	Will display ""	Will display ""
27	How many Cardholders are in your program? (number of individuals, not accounts)	8,682	8,731
	<p>DESCRIPTION: Count of the number of individuals (not accounts) who hold both active and suspended Cardholder and convenience check accounts. Individual who has more than one Cardholder and/or convenience check account is counted only once per period and reporting period.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Pass through manual entry for A/OPC Monthly. Rollup and sum for A/OPC and CPM Monthly.</p> <p>USER GUIDANCE: N/A</p>		

### III. Monthly Review Questions

Line		Prior Period	Reporting Period
28	How many Cardholders reported above to NOT have documented evidence of training per current activity/component instruction?	36	25
	<p>DESCRIPTION: Count of the number of individuals who hold one or more Cardholder accounts who have NOT completed training per current instruction period and reporting period.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Passthrough manual entry for A/OPC Monthly. Rollup and sum for A/OPC and CPM Monthly.</p> <p>USER GUIDANCE: N/A</p>		
29	Number of Credit Card Accounts (excludes Convenience Check Accounts)	9,050	9,035
	<p>DESCRIPTION: Count of the number of active and suspended Cardholder accounts. Each account is counted, even if a cardholder holds multiple accounts. Prior period and reporting period.</p> <p>SOURCE: E.S. Bank Account File</p> <p>CALCULATION: Count of card accounts with the following card status codes: 'ACTIVE','B3','AV','AW','B1','DR','F3','F4','FF','FM','FP','FT','W1','Z1','V9'</p> <p>USER GUIDANCE: N/A</p>		
30	Number of Convenience Check Accounts (excludes Credit Card Accounts)	14	17
	<p>DESCRIPTION: Count of the number of Convenience Check Accounts in your program's span of control. Number of accounts at the close of the prior period in column 1; number at the close of the current period in column 2.</p> <p>SOURCE: E.S. Bank Account File</p> <p>CALCULATION: N/A</p> <p>USER GUIDANCE: The number of accounts can be determined by running the Cardholder Account List report including Account Detail in Access.Online</p>		
31	Number of Convenience Check Accounts NOT audited within the last 12 months	-	-
	<p>DESCRIPTION: Count of the number of Convenience Check Accounts that have NOT been audited within the last 12 months. Prior period and reporting period.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Passthrough manual entry for A/OPC Monthly. Rollup and sum for A/OPC and CPM Monthly.</p> <p>USER GUIDANCE: N/A</p>	Will display ""	Will display ""
32	Number of Purchase Card/Convenience Check Accounts with Single Purchase Limits over the Micro Purchase Threshold	42	36
	<p>DESCRIPTION: Card and convenience check accounts with SPL &gt;\$10,000. Number of accounts at the close of the prior period in column 1; number at the close of the current period in column 2.</p> <p>SOURCE: E. S. Bank Account File</p> <p>CALCULATION: N/A</p> <p>USER GUIDANCE: None</p>		
*Includes: Active and Suspended Accounts			

## IV. Controls Compliance

Line		Prior Period	Reporting Period
33	Span of Control Policy Exceptions Accounts to a Managing Account (Number of Accounts over 7:1)	1	3
	<p>DESCRIPTION: Span of control, card and convenience check accounts (not cardholders) to managing account. Prior period and reporting period.</p> <p>SOURCE: BOD Internal Controls Table</p> <p>CALCULATION: Value 1 = Count relevant accounts and compare</p> <p>USER GUIDANCE: The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
34	Activity Span of Control Exceptions Accounts and Managing Accounts to an A/OPC (Number of Accounts over 300:1)	0	2
	<p>DESCRIPTION: Span of control, card convenience check accounts + managing accounts to an A/OPC. Prior period and reporting period.</p> <p>SOURCE: BOD Internal Controls Table</p> <p>CALCULATION: Value 1 = Count accounts and compare</p> <p>USER GUIDANCE: The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
35	Number of Convenience Checks Over the Convenience Check Threshold (\$5,000)	0	1
	<p>DESCRIPTION: Count of convenience checks that are over \$5,000. Prior period and reporting period.</p> <p>SOURCE: U.S. Bank RP, MOST VALID FOR CHECK FRAME</p> <p>CALCULATION: Oversight has a frame (VALID FOR CHECK FRAMES) that RPL matches with TRAN CODE 0104.</p> <p>USER GUIDANCE: The values shown will match those in the IOD Entities Tab Internal Controls Table</p>		Line 35 Value 2 + Line 3 Value 2 = Line 2 Value 1
36	Number of Managing Accounts that do not have a Primary A/BO or Alternate A/BO assigned to the account	-	-
	<p>DESCRIPTION: Identifies managing accounts without either a Primary or an Alternate. Prior period and reporting period.</p> <p>SOURCE: BOD</p> <p>CALCULATION: Will not be populated in Phase I of this report.</p> <p>USER GUIDANCE: BOD</p>	Will display ""	Will display ""
37	Large Volume of Business with One Merchant	-	-
	<p>DESCRIPTION: Identify where a card account does a large number of transactions with one merchant. Prior period and reporting period.</p> <p>SOURCE: BOD</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: BOD</p>	Will display ""	Will display ""



## IV. Controls Compliance

Line		Prior Period	Reporting Period
38	Number of Accounts with Excessive Credit Risk Exposure	757	773
	<p>DESCRIPTION: Measures accounts that have high available balances. Prior period and reporting period.</p> <p>SOURCE: J. S. Bank Account and RPLs</p> <p>CALCULATION: At the card/convenience check account level if the unused available credit is more than 50% of the cycle limit, then count. The count can be more than 1 if multiple accounts are found to have unused available credit &gt;50% of the cycle limit.</p> <p>USER GUIDANCE: The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
39	Number of Cards That Have Been Inactive for Six Cycles or Have Never Been Used	448	495
	<p>DESCRIPTION: Card accounts that have been inactive for 6 months or longer or have never been used. Does not include convenience check accounts. Prior period and reporting period.</p> <p>SOURCE: J. S. Bank Account and RPLs</p> <p>CALCULATION: As of the last day of the reporting period, Count cards that are in these statuses: Active, V9, FR, and where the status date on the current card is within the cycle, and where there are transactions for the previous 6 months; + Count cards that have not had any transactions regardless of how long they have been in that state.</p> <p>USER GUIDANCE: The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
40	Number of Transactions Without Electronic Authorizations	28	34
	<p>DESCRIPTION: These are so-called "forcethroughs" where the bank did not approve an authorization request. Prior period and reporting period.</p> <p>SOURCE: J. S. Bank RPM</p> <p>CALCULATION: Count any transactions that trigger DoD Business Rule 11.</p> <p>USER GUIDANCE: Individual cases for forcethroughs may be reviewed in the Monthly Review Exceptions Tab.</p>		

## V. Findings and Determinations

Data only includes cases closed by users (A/BOs-A/OPCs). System Auto Closed cases are not included in section V of the report.		No Determination Necessary		Findings(All)				Total			
		Total	Percent	Total	Percent	Total	Percent*				
41	Total Number of Cases Closed	11,000	81%	2,476	18%	13,476	100%				
		# and % of ALL cases closed with no Determination Must = Line 17 Value		# and % of ALL cases closed with Determination Must equal Line 18 Value 1.		# and % of ALL cases closed					
	<i>--N/As represent a value that is not possible in the IOD application for a given Determination. Additionally, although multiple findings can be selected per case, the most significant finding is reported. Transaction Types of External Fraud &amp; Disputable Transactions are not included in the "Total number of Cases Closed with Findings" as they are not Findings. External Fraud is a Disciplinary Category Determination; Disputable Transaction is an interim category that is captured as a transaction type, but is neither</i>	Administrative Discrepancy (Unintentional)		Misuse (Unintentional)		Abuse (Intentional)		Potential Internal Fraud (Malicious Intent)		Total Determinations	
		Total	Percent*	Total	Percent*	Total	Percent*	Total	Percent*	Total	Percent*
42	Total Number Cases Closed with Findings	250	1%	763	5%	856	6%	607	4%	2,476	18%
		# and % of ALL cases closed by Determination		# and % of ALL cases closed by Determination		# and % of ALL cases closed by Determination		# and % of ALL cases closed by Determination		# and % of ALL cases closed by Determination	
43	---Not for Government Use (Personal Use)	N/A	N/A	100	13%	100	13%	200	26%	400	2%
		# and % of cases closed by Finding and Determination		# and % of cases closed with assigned Finding and Determination		# and % of cases closed with assigned Finding and Determination		# and % of cases closed with assigned Finding and Determination		# and % of cases closed with assigned Finding and Determination	
		SAME FOR ROWS BELOW		SAME FOR ROWS BELOW		SAME FOR ROWS BELOW		SAME FOR ROWS BELOW		SAME FOR ROWS BELOW	
44	---Unauthorized Use	N/A	N/A	78	10%	0	0%	30	3%	108	1%
45	---Prohibited Item	N/A	N/A	102	13%	200	2%	N/A	N/A	302	2%
46	---Split Purchase to Circumvent the Micro Purchase Threshold	N/A	N/A	N/A	N/A	32	4%	N/A	N/A	32	0%
47	---Exceeds the Authorized Limits	N/A	N/A	123	16%	329	43%	N/A	N/A	452	3%
48	---Exceeds Minimum Mission Need	N/A	N/A	223	29%	60	7%	N/A	N/A	283	2%
49	---Failure to Use/Screen Required Sources Where Applicable	N/A	N/A	49	6%	123	16%	N/A	N/A	172	1%
50	---Separation of Duties NOT Performed	239	95%	N/A	N/A	N/A	N/A	192	25%	431	3%
51	---Sustainable (Green) Procurement Procedures NOT Followed	N/A	N/A	88	11%	12	1%	N/A	N/A	100	1%
52	---Incomplete Purchase Records	11	4%	N/A	N/A	N/A	N/A	185	24%	196	1%
53	External Fraud	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0	N/A
54	Disputable Transaction	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0	N/A

\*As a Percent of the Determination Category (percent may not add to 100% due to rounding)

## VI. Corrective Actions

Line		Prior Period		Reporting Period	
		Number	Percent	Number	Percent
55	Total Number of Correction Actions Taken/Planned	1,200	100%	1,869	100%
	<p>DESCRIPTION: Count of corrective actions, prior period number and %, reporting period number and %.</p> <p>SOURCE: IOD Corrective Actions Table (Populated from the A/B/O/PC Case Questionnaire)</p> <p>CALCULATION: Number=Count of corrective actions in cases in IOD Closed + Closed/locked statuses for the prior or current period. Percent = Count of corrective actions / Count of corrective actions.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number should equal Line 20 Value 1 Percent will always be 100%		Number should equal Line 20 Value 2 Percent will always be 100%	
56	---Elevate to investigative agency	3	0%	122	7%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: IOD Corrective Actions Table (Populated from the A/B/O/PC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action in IOD Closed + Closed/locked statuses for the prior or current period. Percent = Line 56 / Line 55</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
57	---Elevate through chain of command	102	9%	235	13%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: IOD Corrective Actions Table (Populated from the A/B/O/PC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action in IOD Closed + Closed/locked statuses for the prior or current period. Percent = Line 57 / Line 55.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
58	---Suspend or remove employee from program	123	10%	182	10%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: IOD Corrective Actions Table (Populated from the A/B/O/PC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action in IOD Closed + Closed/locked statuses for the prior or current period. Percent = Line 58 / Line 55.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
59	---Reimbursement to program	76	6%	222	12%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: IOD Corrective Actions Table (Populated from the A/B/O/PC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action in IOD Closed + Closed/locked statuses for the prior or current period. Percent = Line 59 / Line 55.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	

## VI. Corrective Actions

Line		Prior Period		Reporting Period	
		Number	Percent	Number	Percent
60	---Formal supervisory counseling (repeat finding, personnel action)	98	8%	111	6%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/B/C/DPC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action if OPC Closed + Closed/locked statuses for the prior or current period. Percent = Line 60 / Line 55.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
61	---Card suspended or canceled	111	9%	128	7%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/B/C/DPC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action if OPC Closed + Closed/locked statuses for the prior or current period. Percent = Line 61 / Line 55.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
62	---Refresher training	100	8%	223	12%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/B/C/DPC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action if OPC Closed + Closed/locked statuses for the prior or current period. Percent = Line 62 / Line 55.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
63	---Informal counseling	200	17%	111	6%
	<p>DESCRIPTION: Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/B/C/DPC Case Questionnaire)</p> <p>CALCULATION: Number=Count of this corrective action if OPC Closed + Closed/locked statuses for the prior or current period. Percent = Line 63 / Line 55.</p> <p>USER GUIDANCE: Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	

## VI. Corrective Actions

Line		Prior Period		Reporting Period	
		Number	Percent	Number	Percent
64	---Resolve administrative discrepancy	167	14%	232	12%
	<p>DESCRIPTION Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE IOD Corrective Actions Table (Populated from the A/B/C/DPC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if O/P Closed + Closed statuses for the prior or current period. Percent = Line 64 / Line 55.</p> <p>USER GUIDANCE Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
65	---Report as external fraud	120	10%	223	12%
	<p>DESCRIPTION Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as a % of all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE IOD Corrective Actions Table (Populated from the A/B/C/DPC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if O/P Closed + Closed statuses for the prior or current period. Percent = Line 65 / Line 55.</p> <p>USER GUIDANCE Corrective actions for individual cases may be reviewed using Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	
66	---Request merchant credit/dispute the transaction	100	8%	80	4%
	<p>DESCRIPTION Number of selections of the indicated corrective action. Number of selections of the indicated corrective action as a % of all corrective actions (in other words how frequently this corrective action is selected compared to all others) period and reporting period.</p> <p>SOURCE IOD Corrective Actions Table (Populated from the A/B/C/DPC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if O/P Closed + Closed statuses for the prior or current period. Percent = Line 66 / Line 55.</p> <p>USER GUIDANCE Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55		Number must be ≤ Line 55	

## Notes:

This section documents observations at the Managing Account level and/or any noteworthy program successes, issues, or trends

DESCRIPTION User entered notes. PLEASE DO NOT USE "?", "\", ",", ":", "<", or ">" IN THE NOTES AS THESE CHARACTERS CAUSE AN ERROR.

SOURCE Report parameters.

CALCULATION/A

USERGUIDANCE Users may enter any information in this section that they desire.

## A/OPC Endorsement

Monthly A/OPC Review for the period 2021/09/20 thru 2021/10/19 Report generated on: MM/DD/YYYY

I have reviewed the management control information identified in this report. I concur with the Findings, Determinations, and any Corrective Actions Taken/ Planned. Appropriate action will be taken for any issues identified.

A/OPC Signature: \_\_\_\_\_

Date: \_\_\_\_\_ MM/DD/YYYY

Name: \_\_\_\_\_

Email Address: <Email address of user who generated the report>

### *Monthly A/OPC Review Requirements*

- Review management control summarized in this report.
- Validate that all DM cases are closed or validly included in a Deployed or Exempt status.
- Perform a summary assessment of 100% of the transactions made during this billing cycle to ensure awareness of purchasing activity and identify purchasing and behavior patterns not otherwise identified.
- Ensure a data mining case is created to document every Finding, Determination, and any Corrective Action Taken/Planned.