

REPORT FIELD DESCRIPTIONS – “Semi-Annual Head of Activity (HA) Review Report”

DOD Semi-Annual Head of Activity (HA) Review Report			
<b>Reporting Period:</b>	2021/03/20 thru 2021/09/19	<b>Run Date:</b>	11/15/2021 19:56:42
<b>Hierarchy Level(s):</b>	[XXXXX] HL2 [ALL] HL3 [ALL] HL4 [ALL] HL5	<b>Run By:</b>	<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	<b>Number of Transactions (Excluding Credits)     Dollar Value of Transactions</b>	215,465	\$252,109,089
	<p><b>DESCRIPTION:</b> Value 1= Total count of all transactions excluding credits over the Semi-Annual Period. Value 2 = Total sum of dollar value of all transactions excluding credits over the Semi-Annual Period.</p> <p><b>SOURCE:</b> U. S. Bank RPM</p> <p><b>CALCULATION:</b> Count all positive value transactions within the reporting period based on transaction posting date. Sum dollar amounts. Both calculations exclude fees.</p> <p><b>USER GUIDANCE:</b> Users may compare against the Transaction Detail Report in Access Online.</p>		
2	<b>Number of Convenience Checks Written     Dollar Value of Convenience Checks Written</b>	200	\$20,000
	<p><b>DESCRIPTION:</b> The total number of convenience checks written over the Semi-Annual Period.     Total sum dollar amount of convenience checks written over the Semi-Annual Period.</p> <p><b>SOURCE:</b> Oversight has a frame (VALID FOR CHECK FRAMES) that looks for RPM entries with TRAN CODE 0104.</p> <p><b>CALCULATION:</b> Count and sum of dollar amount for all 0104 transactions in the hierarchy for the Semi-Annual Period based on posting date.</p> <p><b>USER GUIDANCE:</b> Users may compare against the All Convenience Check custom report in Access Online and the Transaction Detail Report. Users may review individual cases for convenience checks in the Semi-Annual Review Exceptions Tab in IOD.</p>		
3	<b>Number of Convenience Checks Written Equal to or Under the Convenience Check Threshold (\$5,000) [Prior Period     Reporting Period]</b>	100	150
	<p><b>DESCRIPTION:</b> The number of convenience checks written equal to or &lt; \$5,000 in the reporting period and the prior period.</p> <p><b>SOURCE:</b> Oversight has a frame (VALID FOR CHECK FRAMES) that looks for RPM entries with TRAN CODE 0104</p> <p><b>CALCULATION:</b> Count of all 0104 transactions in the hierarchy for the prior Semi-Annual period and the reporting period based on posting date.</p> <p><b>USER GUIDANCE:</b> Users may review individual cases for convenience checks in the Semi-Annual Review Exceptions Tab in IOD.</p>	Must be ≤ Line 2, Value 1 from prior period	Must be ≤ Line 2, Value 1.
4	<b>Total Refunds Earned During the Reporting Period (Refunds are Earned Quarterly)     Percent of Total Dollar Value</b>	-	-
	<p><b>DESCRIPTION:</b> Will not be populated in the report.</p> <p><b>SOURCE:</b> TBD</p> <p><b>CALCULATION:</b> TBD</p> <p><b>USER GUIDANCE:</b> 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	<b>Number of Delinquent Accounts - 61 Days or More Past Statement Date [Prior Period    Reporting Period]</b>	-	-
	<p><b>DESCRIPTION:</b> Count of Managing Accounts that were ever &gt; 60 days past due during the period even if account is no longer delinquent. If an account was delinquent during a monthly cycle, but became current before the end of the cycle, it will not be counted. For the Semi-Annual period total up delinquencies that occurred during the period, regardless of whether they are delinquent at the end of the Semi-Annual period.</p> <p><b>SOURCE:</b> TBD</p> <p><b>CALCULATION:</b> Will not be populated in the report.</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display "--"	Will display "--"
6	<b>Number of Disputed Transactions    Dollar Value of Disputed Transactions</b>	4	\$10,213
	<p><b>DESCRIPTION:</b> Count of disputed transactions    Total sum dollar amount of disputed transactions.</p> <p><b>SOURCE:</b> U.S. Bank RPM</p> <p><b>CALCULATION:</b> Count all transactions posted within the reporting period that have subsequently been disputed. Sum dollar amounts of these transactions.</p> <p><b>USER GUIDANCE:</b> None</p>		
7	<b>Average Number of Days for CHs to Certify [Prior Period    Reporting Period]</b>	-	-
	<p><b>DESCRIPTION:</b> Will not be populated in the report.</p> <p><b>SOURCE:</b> TBD</p> <p><b>CALCULATION:</b> TBD</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display "--"	Will display "--"
8	<b>Average Number of Days for Certifying Officer (A/BO) to Certify Invoice for Payment Post Billing Cycle End Date [Prior Period    Reporting Period]</b>	-	-
	<p><b>DESCRIPTION:</b> Will not be populated in the report.</p> <p><b>SOURCE:</b> TBD</p> <p><b>CALCULATION:</b> TBD</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display "--"	Will display "--"
9	<b>Average Number of Days for Bank to Receive Payment Post Billing Cycle End [Prior Period    Reporting Period]</b>	-	-
	<p><b>DESCRIPTION:</b> Will not be populated in the report.</p> <p><b>SOURCE:</b> TBD</p> <p><b>CALCULATION:</b> TBD</p> <p><b>USER GUIDANCE:</b> 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	<b>Number of All DM Cases    Dollar Value of All DM Cases</b>	<b>34,476</b>	<b>\$79,984,387</b>
	<p><b>DESCRIPTION:</b> Total count and dollar value for cases created during reporting period. Includes system generated and manually created cases. Includes cases that were subsequently auto closed or closed-descoped.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Count of all cases and summing of transaction dollar value of those cases.</p> <p><b>USER GUIDANCE:</b> Users may check against the Semi-Annual Review Entities Tab in IOD.</p>		
11	<b>---Number of DM Cases Opened Manually    Dollar Value of DM Cases Opened Manually</b>	<b>0</b>	<b>\$0</b>
	<p><b>DESCRIPTION:</b> Count of cases that were manually created during reporting period    Sum dollar value of cases manually created during the reporting period.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Count of cases that were manually created during reporting period. Sum dollar value of cases manually created during the reporting period.</p> <p><b>USER GUIDANCE:</b> Users may check against the Semi-Annual Review Entities Tab in IOD.</p>		
12	<b>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</b>	<b>15%</b>	<b>31%</b>
	<p><b>DESCRIPTION:</b> 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><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Total cases created / All transactions in the hierarchy (Line 1 Value 1). Sum dollar amount of cases creates / sum dollar amount of all transactions in the hierarchy (Line 1 Value 2).</p> <p><b>USER GUIDANCE:</b> N/A</p>	Line 10 Value 1 / Line 1 Value 1	Line 10 Value 2 / Line 1 Value 2
13	<b>Number of DM Cases Remaining Open    Percent of DM Cases Remaining Open *</b>	<b>0</b>	<b>0%</b>
	<p><b>DESCRIPTION:</b> Cases created during the reporting period that remain open as of the running of this report.    Value 2 = % of cases remaining open.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> 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><b>USER GUIDANCE:</b> Users may check against the Semi-Annual Review Entities Tab in IOD. Users may research individual cases using the Semi-Annual Review Exceptions Tab.</p>	Must be ≤ Line 10 Value 1	Line 13 Value 2 + Line 14 Value 2 = 100%
14	<b>Total Number of DM Cases Closed    Percent of DM Cases Closed</b>	<b>34,476</b>	<b>100%</b>
	<p><b>DESCRIPTION:</b> Cases created during the reporting period that have subsequently been closed. Includes A/OPC Closed, Auto-closed, and Closed-Descoped.    Value 2 = % of cases created during the reporting period that are closed.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Value 1 = Count of cases in A/OPC Closed + Closed-Locked + Closed by System – Customized Tier 2 Business Rule + Closed by System – Transition Stratification + Closed-Descoped + 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><b>USER GUIDANCE:</b> Users may check against the Semi-Annual Review Entities Tab in IOD. Users may research individual cases using the Semi-Annual Review Exceptions Tab.</p>	Should = Sum of Line 15 +16  Must be ≤ Line 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	<b>---Number of Cases Auto Closed by System    Percent of Cases Auto Closed by System</b>	<b>21,000</b>	<b>60%</b>
	<p><b>DESCRIPTION:</b> 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.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Value 1 = Count of cases in Closed by System – Customized Tier 2 Business Rule status + Closed by System – Transition Stratification Status + Closed-Descoped. Value 2 = System Auto Closed [Line 15]/ Count of all DM cases [Line 10].</p> <p><b>USER GUIDANCE:</b> Users may view individual cases Auto-closed by Tier 2 Tailoring by looking in IOD under Profiles&gt;&gt; Closed&gt;&gt; Tier 2 Auto-closed by HL3.</p>	Must be ≤ Line 14	
16	<b>---Number of Cases Closed by A/BO-A/OPCs    Percent of Cases Closed by A/BO-A/OPCs</b>	<b>13,476</b>	<b>39%</b>
	<p><b>DESCRIPTION:</b> Value 1 = Count of cases created during the reporting period and subsequently closed all the way through the A/OPC level. Cases Adjudicated by A/BO but not yet assessed by A/OPC are not included.    Value 2 = Cases closed by A/BO and A/OPC during the period as a % of all cases during the reporting period.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Value 1 = Count of all cases in A/OPC Closed + Closed-Locked + Closed-Not Reviewed. Value 2 = Cases Closed by A/BO-A/OPC [Line 16]/Count of all DM cases [Line 10]</p> <p><b>USER GUIDANCE:</b> Users may review individual closed cases by looking in IOD under Profiles&gt;&gt; Closed&gt;&gt; Summary By Billing Cycle.</p>	Should = Sum of Line 17 and 18 Must be ≤ Line 14	Line 16 Value 1 / Line 10 Value 1
17	<b>-----Number of Cases Closed with No Determination **    Percent of Cases Closed by A/BO-A/OPC</b>	<b>11,000</b>	<b>32%</b>
	<p><b>DESCRIPTION:</b> Cases created during the reporting period and subsequently closed all the way through the A/OPC level with No Determination, which includes No Findings, External Fraud, and Disputable Transaction. Cases Adjudicated by A/BO but not yet assessed by A/OPC are not included.    Value 2 = Cases closed by A/BO and A/OPC during the period with no determination as a % of all cases during the reporting period.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Value 1 = Count of cases in A/OPC Closed AND 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><b>USER GUIDANCE:</b> Users may review individual closed cases by looking in IOD under Profiles&gt;&gt; Closed&gt;&gt; Summary by Billing Cycle.</p>	Must be ≤ Line 16	Line 17 Value 1 / Line 10 Value 1 Line 17 Value 2 + Line 18 Value 2 must = Line 16 Value 2
18	<b>-----Number of Cases Closed with a Determination ***    Percent of Cases Closed by A/BO-A/OPC</b>	<b>2,476</b>	<b>7%</b>
	<p><b>DESCRIPTION:</b> Cases created during the reporting period and subsequently closed all the way through the A/OPC level with a Determination. Cases Adjudicated by A/BO but not yet assessed by A/OPC 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 the A/BO and A/OPC during the reporting period.</p> <p><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Value 1 = Count of cases in A/OPC Closed AND Closed Locked statuses with a Determination. Value 2 = Closed with a Determination [Line18]/Count of all DM cases [Line10]</p> <p><b>USER GUIDANCE:</b> Users may review individual closed cases by looking in IOD under Profiles&gt;&gt; Closed&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 ≤ Line 16	Line 17 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	<b>---Number of Determinations Identified [Prior Period    Reporting Period] ****</b>	<b>2,556</b>	<b>2,476</b>
	<p><b>DESCRIPTION:</b> 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><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Value 1 = Count of cases in A/OPC Closed AND Closed Locked statuses with determinations in the prior period. Value 2 = Count of cases in A/OPC Closed + Closed Locked statuses with determinations in this period.</p> <p><b>USER GUIDANCE:</b> Users may review determinations for individual cases using the Findings and Determinations report in IOD.</p>	Must be = to Line 18 Value 1 from prior period	Must be = to Line 18 Value 1
20	<b>---Number of Corrective Actions Taken/ Planned [Prior Period    Reporting Period] ****</b>	<b>1,721</b>	<b>1,869</b>
	<p><b>DESCRIPTION:</b> When a determination is selected A/OPCs 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><b>SOURCE:</b> IOD</p> <p><b>CALCULATION:</b> Value 1 = Count of corrective actions for cases in A/OPC Closed + Closed Locked statuses in the prior period. Value 2 = Count of corrective actions for cases in A/OPC Closed + Closed Locked statuses in this period.</p> <p><b>USER GUIDANCE:</b> Users may review corrective actions for individual cases using the Findings and Determinations Report in IOD.</p>	Must be ≥ Line 18 Value 1 from prior period	Must be ≥ Line 18 Value 1
* May include cases “Not Closed Due to Deployment or Exemption”			
** Includes: No Determination Necessary, External Fraud and Disputed Transaction			

## III. Semi-Annual Review Questions

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

### III. Semi-Annual Review Questions

Line		Prior Period	Reporting Period
23	<b>Number of Primary and Alternate A/OPCs</b>	-	-
	<p><b>DESCRIPTION:</b> Count of the number of individuals who serve as a Primary or Alternate A/OPC on your program. Individuals who serves as both a Primary and Alternate A/OPC are only counted once.</p> <p><b>SOURCE:</b> Monthly A/OPC Checklist</p> <p><b>CALCULATION:</b> Will not be populated in the report.</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display "--"	Will display "--"
24	<b>How many A/OPCs reported above do NOT have documented evidence of training per current activity/component instruction?</b>	-	-
	<p><b>DESCRIPTION:</b> Count of the number of individuals who are Primary or Alternate A/OPCs on your program who have NOT completed training per current instruction.</p> <p><b>SOURCE:</b> Monthly A/OPC Checklist</p> <p><b>CALCULATION:</b> Will not be populated in the report.</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display "--"	Will display "--"
25	<b>How many Primary and Alternate A/BO are in your program? (number of individuals, not accounts)</b>	-	-
	<p><b>DESCRIPTION:</b> 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><b>SOURCE:</b> Monthly A/OPC Checklist</p> <p><b>CALCULATION:</b> Will not be populated in the report.</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display "--"	Will display "--"
26	<b>How many A/BOs reported above do NOT have documented evidence of training per current activity/component instruction?</b>	-	-
	<p><b>DESCRIPTION:</b> Count of the number of individuals who serve as a Primary or Alternate A/BO on your program who have NOT completed training per current instruction.</p> <p><b>SOURCE:</b> Monthly A/OPC Checklist</p> <p><b>CALCULATION:</b> Will not be populated in the report.</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display "--"	Will display "--"
27	<b>How many Cardholders are in your program? (number of individuals, not accounts)</b>	<b>8,448</b>	<b>8,731</b>
	<p><b>DESCRIPTION:</b> Count of the number of individuals (not accounts) who hold both active and suspended Cardholder and convenience check accounts. Any individual who has more than one Cardholder and/or convenience check account is counted only once. Prior period and reporting period.</p> <p><b>SOURCE:</b> Monthly A/OPC Checklist</p> <p><b>CALCULATION:</b> Passthrough last monthly manual entry value for A/OPC and passthrough rolled up monthly value for OA/OPC and CPM.</p> <p><b>USER GUIDANCE:</b> Users may check this against the value entered on the A/OPC Monthly Checklist for the last month of the semi-annual cycle.</p>	Will be identical to Line 27 Value 2 from the last Monthly A/OPC Review Report in the prior period	Will be identical to Line 27 Value 2 from the last Monthly A/OPC Review Report

### III. Semi-Annual Review Questions

Line		Prior Period	Reporting Period
28	<b>How many Cardholders reported above do NOT have documented evidence of training per current activity/component instruction?</b>	9,501	8,649
	<p><b>DESCRIPTION:</b> Count of the number of individuals who hold one or more Cardholder accounts who have NOT completed training per current instruction. Prior period and reporting period.</p> <p><b>SOURCE:</b> Monthly A/OPC Checklist</p> <p><b>CALCULATION:</b> Passthrough last monthly manual entry value for A/OPC and passthrough rolled up monthly value for OA/OPC and CPM.</p> <p><b>USER GUIDANCE:</b> Users may check this against the value entered on the A/OPC Monthly Checklist for the last month of the semi-annual cycle.</p>	Will be identical to Line 28 Value 2 from the last Monthly A/OPC Review Report in the prior period	Will be identical to Line 28 Value 2 from the last Monthly A/OPC Review Report
29	<b>Number of Credit Card Accounts (excludes Convenience Check Accounts) *</b>	9,300	9,035
	<p><b>DESCRIPTION:</b> Count of the number of active and suspended Cardholder accounts. Each account is counted, even if one Cardholder holds multiple accounts. Prior period and reporting period.</p> <p><b>SOURCE:</b> U. S. Bank RPM</p> <p><b>CALCULATION:</b> 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><b>USER GUIDANCE:</b></p>		
30	<b>Number of Convenience Check Accounts (excludes Credit Card Accounts) *</b>	24	29
	<p><b>DESCRIPTION:</b> 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><b>SOURCE:</b> U.S. Bank Account File</p> <p><b>CALCULATION:</b> N/A</p> <p><b>USER GUIDANCE:</b> The number of accounts can be determined by running the Cardholder Account List report including Account Detail in Access Online.</p>		
31	<b>Number of Convenience Check Accounts NOT audited within the last 12 months</b>	7	13
	<p><b>DESCRIPTION:</b> 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><b>SOURCE:</b> Semi-Annual A/OPC Checklist</p> <p><b>CALCULATION:</b> Passthrough manual entry for A/OPC, Rollup and sum for OA/OPC and CPM</p> <p><b>USER GUIDANCE:</b> None</p>		
32	<b>Number of Purchase Card/Convenience Check Accounts with Single Purchase Limits over the Micro Purchase Threshold</b>	42	36
	<p><b>DESCRIPTION:</b> 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><b>SOURCE:</b> U. S. Bank Account File</p> <p><b>CALCULATION:</b> N/A</p> <p><b>USER GUIDANCE:</b> None</p>		

*\*Includes: Active and Suspended Accounts*

## IV. Controls Compliance

Line		Prior Period	Reporting Period
33	<b>Span of Control Policy Exceptions – Accounts to a Managing Account (Number of Accounts over 7:1)</b>	4	3
	<p><b>DESCRIPTION:</b> Span of control, card and convenience check accounts (not cardholders) to managing account. Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Internal Controls Table</p> <p><b>CALCULATION:</b> Count relevant account statuses and compare.</p> <p><b>USER GUIDANCE:</b> The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
34	<b>Activity Span of Control Exceptions – Accounts and Managing Accounts to an A/OPC (Number of Accounts over the threshold)</b>	5	4
	<p><b>DESCRIPTION:</b> Span of control, card/convenience check accounts + managing accounts to an A/OPC. Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Internal Controls Table</p> <p><b>CALCULATION:</b> Value 1 = Count relevant account statuses and compare.</p> <p><b>USER GUIDANCE:</b> The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
35	<b>Number of Convenience Checks Over the Convenience Check Threshold (\$5,000)</b>	0	1
	<p><b>DESCRIPTION:</b> Count of convenience checks that are over \$5,000. Prior period and reporting period.</p> <p><b>SOURCE:</b> U. S. Bank RPM; OST VALID FOR CHECK FRAME</p> <p><b>CALCULATION:</b> Oversight has a frame (VALID FOR CHECK FRAMES) that looks for RPM entries with TRAN CODE 0104.</p> <p><b>USER GUIDANCE:</b> The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>	Line #2 Value 1 (Total Checks) = Line #3 Value 2 (CC under MPT) + Line #35 Value 2 (CC over MPT) from prior period	Line #2 Value 1 (Total Checks) = Line #3 Value 2 (CC under MPT) + Line #35 Value 2 (CC over MPT)
36	<b>Number of Managing Accounts that do not have a Primary A/BO OR Alternate A/BO assigned to the account</b>	-	-
	<p><b>DESCRIPTION:</b> Identifies managing accounts without either a Primary or an Alternate. Prior period and reporting period.</p> <p><b>SOURCE:</b></p> <p><b>CALCULATION:</b> Will not be populated in the report.</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display “-“	Will display “-“
37	<b>Large Volume of Business with One Merchant</b>	-	-
	<p><b>DESCRIPTION:</b> Identify where a card account does a large number of transactions with one merchant.</p> <p><b>SOURCE:</b> N/A</p> <p><b>CALCULATION:</b> Not currently populated in the report.</p> <p><b>USER GUIDANCE:</b> TBD</p>	Will display “-“	Will display “-“



## IV. Controls Compliance

Line		Prior Period	Reporting Period
38	<b>Number of Accounts with Excessive Credit Risk Exposure</b>	838	773
	<p><b>DESCRIPTION:</b> Measures card/convenience check accounts that have high available balances. Prior period and reporting period.</p> <p><b>SOURCE:</b> U.S. Bank Account file and IOD calculation</p> <p><b>CALCULATION:</b> At the account level, if the unused available credit is more than 50% of the cycle limit, then count. The count can be &gt;1 if multiple accounts within the managing account are found have unused available credit &gt;50% of the cycle limit.</p> <p><b>USER GUIDANCE:</b> The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
39	<b>Number of Cards That Have Been Inactive for Six Cycles or Have Never Been Used</b>	500	495
	<p><b>DESCRIPTION:</b> Card accounts that have been inactive for 6 months or longer or that have never been used. Checks are intentionally excluded from this metric because they are intended to be used infrequently and as a last resort, resulting in desired long-term dormancy of a small number of accounts. Prior period and reporting period.</p> <p><b>SOURCE:</b> U.S. Bank RPM</p> <p><b>CALCULATION:</b> Passthrough from last Monthly A/OPC Report in the Semi-Annual Period. 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 version of the card is within the cycle, and where there are no 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><b>USER GUIDANCE:</b> The values shown will match those in the IOD Entities Tab Internal Controls Table.</p>		
40	<b>Number of Transactions Without Electronic Authorizations</b>	45	34
	<p><b>DESCRIPTION:</b> These are so-called "force-throughs" where the bank did not approve an authorization request. Prior period and reporting period.</p> <p><b>SOURCE:</b> U. S. Bank RPM</p> <p><b>CALCULATION:</b> Count any transactions that trigger DOD Business Rule 11.</p> <p><b>USER GUIDANCE:</b> Individual cases for force-throughs may be reviewed in the Semi-Annual Review Exceptions Tab.</p>		



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	<b>Total Number of Correction Actions Taken/Planned</b>	1,900	100%	1,869	100%
	<p><b>DESCRIPTION:</b> Count of corrective actions, prior period number and % and reporting period number and %.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of corrective actions in cases in A/OPC Closed + Closed-Locked statuses that have a determination for the prior or current period. Percent = Count of corrective actions / Count of corrective actions.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number should equal Line 20 Value 2 from prior period Percent will always be 100%	Number should equal Line 20 Value 2 Percent will always be 100%		
56	<b>---Elevate to investigative agency</b>	125	7%	122	7%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 56 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period	Number must be ≤ Line 55		
57	<b>---Elevate through chain of command</b>	237	12%	235	12%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 57 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period	Number must be ≤ Line 55		
58	<b>---Suspend or remove employee from program</b>	208	11%	182	9%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 58 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period	Number must be ≤ Line 55		
59	<b>---Reimbursement to program</b>	200	11%	222	11%

## VI. Corrective Actions

Line		Prior Period		Reporting Period	
		Number	Percent	Number	Percent
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 59 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		Number must be ≤ Line 55	
60	<b>---Formal supervisory counseling (repeat finding, personnel action)</b>	107	6%	111	5%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 60 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		Number must be ≤ Line 55	
61	<b>---Card suspended or canceled</b>	133	7%	128	6%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 61 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		Number must be ≤ Line 55	
62	<b>---Refresher training</b>	215	11%	223	11%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 62 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		Number must be ≤ Line 55	
63	<b>---Informal counseling</b>	130	7%	111	5%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 63 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		Number must be ≤ Line 55	

## VI. Corrective Actions

Line		Prior Period		Reporting Period	
64	<b>---Resolve administrative discrepancy</b>	250	13%	232	12%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 64 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		Number must be ≤ Line 55	
65	<b>---Report as external fraud</b>	220	12%	223	11%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 65 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		Number must be ≤ Line 55	
66	<b>---Request merchant credit/dispute the transaction</b>	75	4%	80	4%
	<p><b>DESCRIPTION:</b> 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). Prior period and reporting period.</p> <p><b>SOURCE:</b> IOD Corrective Actions Table (Populated from the A/BO - A/OPC Case Questionnaire)</p> <p><b>CALCULATION:</b> Number=Count of this corrective action in A/OPC Closed + Closed-Locked statuses for the prior or current period. Percent = Line 66 / Line 55.</p> <p><b>USER GUIDANCE:</b> Corrective actions for individual cases may be reviewed using the Findings and Determinations Report in IOD.</p>	Number must be ≤ Line 55 from prior period		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:**

**CALCULATION:**

**USER GUIDANCE:** Users may enter any information in this section that they desire.

## HA Endorsement

Semi-Annual Head of Activity Program Review for the period: 2019/03/20 thru 2020/09/19 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.

HA Signature: \_\_\_\_\_

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

HA Printed Name: \_\_\_\_\_

A/OPC Printed Name: \_\_\_\_\_

Email Address: \_\_\_\_\_