

DOD SemiAnnual Head of Activity (HA) Review Report			
Reporting Period	2021/03/20 thru 2021/09/19		Run Date: 11/15/2021 19:56:42
Hierarchy Level(s)	[XXXXX] 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 over the SemiAnnual Period. Value 2 = Total sum of dollar value of all transactions excluding credits over the SemiAnnual Period.</p> <p>SOURCE: J. S. Bank RPM</p> <p>CALCULATION: Count all positive value transactions within the reporting period based on transaction posting date. Sum dollar amount. Both calculations 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 over the SemiAnnual Period Total sum dollar amount of convenience checks written over the SemiAnnual Period.</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 SemiAnnual Period based on posting date.</p> <p>USER GUIDANCE: Users may compare against the All Convenience Check custom report in Access Online and the Transaction Detail Report to review individual cases for convenience checks in the Semiannual 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]	100	150
	<p>DESCRIPTION: The number of convenience checks written equal to or <\$5,000 in the reporting period and the prior 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 SemiAnnual period and the reporting period based on posting date.</p> <p>USER GUIDANCE: Users may review individual cases for convenience checks in the Semiannual Review Exceptions Tab in IOD.</p>	Must be dLine 2, Value 1 from prior period	Must be dLine 2, Value 1.
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 > 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 Reporting Period total up delinquencies that occurred during the period, regardless of whether they are delinquent at the end of the 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	4	\$10,213
	<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: TBD</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 and summing of transaction dollar value of those cases.</p> <p>USER GUIDANCE: Users may check against the Semi-Annual 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 Semi-Annual 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	15%	31%
	<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 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	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 Closed, Auto 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 APCClosed + 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 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 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	60%
	<p>DESCRIPTION: Cases created during the reporting period and subsequently closed by Tier 2 Tailoring, Transition Stratification or Descoped. Cases auto closed as a % of all cases.</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 >> Tier 2 Auto closed by HL3.</p>	Must be dLine 14	
16	---Number of Cases Closed by A/BO/OPCs Percent of Cases Closed by A/BO/OPCs	13,476	39%
	<p>DESCRIPTION: Value 1 = Count of cases created during the reporting period and subsequently closed all the way through OFCA 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>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of all cases in A/OPC Closed + Closed Locked + Closed Not Reviewed. Value 2 = Cases Closed by A/BO/OPC. 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 > 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/BO/OPC	11,000	32%
	<p>DESCRIPTION: Cases created during the reporting period and subsequently closed all the way through A/OPC level with No Determination, which includes No Findings, External Fraud, and Disputable Transaction. Cases Adjudicated by A/BO but 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>SOURCE: IOD</p> <p>CALCULATION: 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>USER GUIDANCE: Users may review individual closed cases by looking in IOD under Profile Close > 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/BO/OPC	2,476	7%
	<p>DESCRIPTION: Cases created during the reporting period and subsequently closed all the way through 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>SOURCE: IOD</p> <p>CALCULATION: Value 1 = Count of cases in A/OPC Closed AND Closed Locked statuses with a Determination. Value 2 = Closed with a Determination. Line 18 / Count of all DM cases [line 10]</p> <p>USER GUIDANCE: Users may review individual closed cases by looking in IOD under Profile Close > 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 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	---Number of Determinations Identified [Prior Period Reporting Period] ****	2,556	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: IOD</p> <p>CALCULATION: 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>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 from prior period	Must be = to Line 18 Value 1
20	---Number of Corrective Actions Taken/ Planned [Prior Period Reporting Period] ****	1,721	1,869
	<p>DESCRIPTION: When a determination is selected in A/OPC, users 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: IOD</p> <p>CALCULATION: 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>USER GUIDANCE: 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	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: TBD</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: TBD</p>	Will display ""	Will display ""

III. SemiAnnualReview 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 serves Primary and Alternate AOPC 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: TBD</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 NOTed 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: TBD</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 program 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: TBD</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 NOTed 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: TBD</p>	Will display ""	Will display ""
27	How many Cardholders are in your program? (number of individuals, not accounts)	8,448	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 once per period and reporting period.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Passthrough last monthly manual entry value for A/OPC and passthrough rolled up monthly value for OA/OPC and CPM</p> <p>USER GUIDANCE: Users may check this against the value entered on the A/OPC Monthly Checklist for the last month of the the same 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. SemiAnnualReview Questions

Line		Prior Period	Reporting Period
28	How many Cardholders reported above to NOT have documented evidence of training per current activity/component instruction?	9,501	8,649
	<p>DESCRIPTION: Count of the number of individuals who hold one or more Cardholder accounts who have NOT completed training per current activity/component in prior period and reporting period.</p> <p>SOURCE: Monthly A/OPC Checklist</p> <p>CALCULATION: Passthrough last monthly manual entry value for OPC and passthrough rolled up monthly value for OPC and CPM.</p> <p>USER GUIDANCE: Users may check this against the value entered on the A/OPC Monthly Checklist for the last month of the current 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	Number of Credit Card Accounts (excludes Convenience Check Accounts)	9,300	9,035
	<p>DESCRIPTION: Count of the number of active and suspended Cardholder accounts. Each account is counted, even if one Cardholder holds multiple accounts in prior period and reporting period.</p> <p>SOURCE: J. S. Bank RPM</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','G1','Z1',</p> <p>USER GUIDANCE:</p>		
30	Number of Convenience Check Accounts (excludes Credit Card Accounts)	24	29
	<p>DESCRIPTION: Count of the number of Convenience Check Accounts in your program's span of control at the close of the prior period in column 1; number at the close of the current period in column 2.</p> <p>SOURCE: J.S. Bank Account File</p> <p>CALCULATION: 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	7	13
	<p>DESCRIPTION: Count of the number of Convenience Check Accounts that have NOT been audited within the last 12 months in prior period and reporting period.</p> <p>SOURCE: SemiAnnual A/OPC Checklist</p> <p>CALCULATION: Passthrough manual entry for OPC, Rollup and sum for OPC and CPM</p> <p>USER GUIDANCE: None</p>		
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 >\$10,000 at the close of the prior period in column 1; number at the close of the current period in column 2.</p> <p>SOURCE: J. S. Bank Account File</p> <p>CALCULATION: 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)	4	3
	<p>DESCRIPTION: Span of control, card and convenience check accounts (not cardholders) to managing account. Prior and reporting period.</p> <p>SOURCE: IOD Internal Controls Table</p> <p>CALCULATION: Count relevant account statuses 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)	5	4
	<p>DESCRIPTION: Span of control, card convenience check accounts + managing accounts to an A/OPC. Prior and reporting period.</p> <p>SOURCE: IOD Internal Controls Table</p> <p>CALCULATION: Value 1 = Count relevant account statuses 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 RPM; OST VALID FOR CHECK FRAME</p> <p>CALCULATION: Oversight has a frame (VALID FOR CHECK FRAMES) that looks for RPM entries with TRAN CODE 0104</p> <p>USER GUIDANCE: 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	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 Alternate. Prior period and reporting period.</p> <p>SOURCE: N/A</p> <p>CALCULATION: Will not be populated in the report.</p> <p>USER GUIDANCE: TBD</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.</p> <p>SOURCE: N/A</p> <p>CALCULATION: Not currently populated in the report.</p> <p>USER GUIDANCE: TBD</p>	Will display ""	Will display ""

IV. Controls Compliance

Line		Prior Period	Reporting Period
38	Number of Accounts with Excessive Credit Risk Exposure	838	773
	<p>DESCRIPTION: Measures card convenience check accounts that have high available balances. Prior period and reporting period.</p> <p>SOURCE: U.S. Bank Account file and IOD calculation</p> <p>CALCULATION: At the account level, if the unused available credit is more than 50% of the cycle limit, then the count can be >1 if multiple accounts within the managing account are found have unused available credit >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	500	495
	<p>DESCRIPTION: Card accounts that have been inactive for 6 months or longer that have never been used. Does not include convenience check accounts. Prior period and reporting period.</p> <p>SOURCE: U.S. Bank RPM</p> <p>CALCULATION: Passthrough from last Monthly APC 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 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	45	34
	<p>DESCRIPTION: These are so-called "force-throughs" where the bank did not approve an authorization request for prior period and reporting period.</p> <p>SOURCE: U.S. Bank RPM</p> <p>CALCULATION: Count any transactions that trigger Dodd-Frank Business Rule 11.</p> <p>USER GUIDANCE: Individual cases for force-throughs may be reviewed in the Semi-Annual 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 1		# and % of ALL cases closed with Determination Must equal Line 18 Value 1.		# and % of ALL cases closed					
--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 & 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		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	26.21%	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	26%	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 when 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	2%	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	1,900	100%	1,869	100%
	<p>DESCRIPTION: Count of corrective actions, prior period number and reporting period number and %.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/BOA/OPC Case Questionnaire)</p> <p>CALCULATION: Number=Count of corrective actions in cases/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>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 2 from prior period Percent will always be 100%		Number should equal Line 20 Value 2 Percent will always be 100%	
56	---Elevate to investigative agency	125	7%	122	7%
	<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) prior period and reporting period.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/BOA/OPC 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 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 from prior period		Number must be ≤ Line 55	
57	---Elevate through chain of command	237	12%	235	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) prior period and reporting period.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/BOA/OPC 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 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 from prior period		Number must be ≤ Line 55	
58	---Suspend or remove employee from program	208	11%	182	9%
	<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) prior period and reporting period.</p> <p>SOURCE: EOD Corrective Actions Table (Populated from the A/BOA/OPC 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 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 from prior period		Number must be ≤ Line 55	
59	---Reimbursement to program	200	11%	222	11%

VI. Corrective Actions

Line		Prior Period		Reporting Period	
		Number	Percent	Number	Percent
	<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 OD Corrective Actions Table (Populated from the A/B/C/D PC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if OPC Closed + Closed 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 from prior period		Number must be ≤ Line 55	
60	---Formal supervisory counseling (repeat finding, personnel action)	107	6%	111	5%
	<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 OD Corrective Actions Table (Populated from the A/B/C/D PC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if OPC Closed + Closed 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 from prior period		Number must be ≤ Line 55	
61	---Card suspended or canceled	133	7%	128	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 OD Corrective Actions Table (Populated from the A/B/C/D PC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if OPC Closed + Closed 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 from prior period		Number must be ≤ Line 55	
62	---Refresher training	215	11%	223	11%
	<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 OD Corrective Actions Table (Populated from the A/B/C/D PC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if OPC Closed + Closed 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 from prior period		Number must be ≤ Line 55	
63	---Informal counseling	130	7%	111	5%
	<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 OD Corrective Actions Table (Populated from the A/B/C/D PC Case Questionnaire)</p> <p>CALCULATION Number=Count of this corrective action if OPC Closed + Closed 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 from prior period		Number must be ≤ Line 55	

VI. Corrective Actions

Line		Prior Period		Reporting Period	
64	---Resolve administrative discrepancy	250	13%	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 from prior period		Number must be ≤ Line 55	
65	---Report as external fraud	220	12%	223	11%
	<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 65 / 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 from prior period		Number must be ≤ Line 55	
66	---Request merchant credit/dispute the transaction	75	4%	80	4%
	<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 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 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: _____