Form FHA 021-4

UNITED STATES DEPARTMENT OF AGRICULTURE
RURAL DEVELOPMENT
HARRISBURG, PENNSYLVANIA

TO: State Office Area Office Local Office	STATE PROCEDURE NOTICE	ISSUE NO. 302 DATE: 12/6/06

RURAL DEVELOPMENT MANUAL CHANGE
PA Instruction 1905-A

GENERAL: Reports Management. This instruction is completely revised to remove reports no longer required and add report currently required. Exhibits will be added and deleted as necessary.

REMOVE:	INSERT:
PA PN 275 (5/28/03) and PA PN 278 (9/13/03)	PA PN 302 (12/6/06) and Exhibits A-W

Area Directors will determine and/or develop tracking systems to be used by their Local Offices to ensure reports are prepared and received timely and accurately.

CHECKLIST of REPORTS

1. Area Office Inventory of Debt Instruments, Exhibit B
2. Review of Incomplete Development, Exhibit C
3. Freedom of Information Act - Monthly and Annual, Exhibit D
4. Contingency Plan/Emergency Plans Update/Testing, Exhibit E
5. Area Director Oversight Reports, Exhibit F
6. Rural Utility and Community Facility Graduation Review and Lender Survey, Exhibit G
7. Collection Review, Exhibit H
8. GSA Motor Vehicle Mileage Report, Exhibit I
9. Cost Per Copy Meter Readings, Exhibit J
10. Calendar of Work, Exhibit K
11. Semi-Annual Labor Compliance Report, Exhibit L
12. Performance Reviews, Exhibit M
13. Supervised Bank Account Reconciliation, Exhibit N
14. MFIS Goals, Exhibit O
15. Vehicle Commitment and Authorization, Exhibit P
16. Property Reports, Exhibit Q
17. Property Inventory Reports, Exhibit R
18. Borrower Case Classification Reports, Exhibit S
19. Retention of Application Processing Cards, Exhibit T
20. Verification of Credit Report Charges, Exhibit U
21. Faith Based and Community Organization Initiative (FBCI), Exhibit V
22. Report of Prior Year Unliquidated Obligations, Exhibit W

1. AREA OFFICE INVENTORY OF DEBT INSTRUMENTS (Report to State Director)

TIME: By July 31st of each year

PREP: Send memo along with a copy of RC 830 (certified by Area Director) to State Office. Local Offices report to Area Director. Area Director submits one report to State Director.

DIST: Original to State Director - Attn: Management Control Officer
MCO distributes to S/O CP and MFH Staff
Copy retained in Area Office
Copy retained in Local Office

FILE: Operational File "2018-E Security of Valuable Documents"

REF: RD Instruction 2018-E, 2018.208

NOTE: Type statement on RC 830 for Area Director to sign:

"Listing is certified accurate."

____
Area Director Signature

2. REVIEW OF INCOMPLETE DEVELOPMENT

TIME: Annually - due no later than September 30.

PREP: Original and two copies - Completed by Area Director during Local Office
oversight visit.

DIST: Original to State Director, ATTN: Management Control Officer
MCO Distributes to appropriate State Office Program Division
Copy retained in Local Office and Area Office

FILE: Operational file "1924-A Planning & Performing Construction & Other
Development"

REF: RD Instruction 1924-A, 1924.11

NOTE: Annually, the Area Director will make a comprehensive review of all development work not completed within the time scheduled. For incomplete development financed with loan or grant funds within the responsibility of the Area Director, the Area Director will take the necessary actions to assure that the borrower or grantee completes the planned development. For incomplete development financed with loan or grant funds within the responsibility of the Rural Development Manager, the Area Director will give the necessary direction to the Rural Development Manager to assure completion of the work. In connection with these responsibilities, the Area Director will consider:

(1) Revisions to the development plan.

(2) Funds remaining in the supervised bank account.

(3) Need for additional funds.

(4) Personal funds that could be furnished by the borrower.

(5) Estimated completion dates.

(6) The borrower's attitude with respect to completing the development.

After a complete review of the status of development in the Local Office has been made, the Area Director will make a written report to the State Director, ATTN: RH Program Director which will include observations and recommendations regarding incomplete development, and will include:

(1) The number of cases in which borrowers have not completed their development within 9, 15 or 24 months when authorized, and also the number of cases in which funds have been exhausted and the work is incomplete.

(2) The number of borrowers who have not completed their development within 3 years from the loan closing, and indicate the action that was taken in each such case.

3. ANNUAL/MONTHLY FREEDOM OF INFORMATION ACT

TIME: Monthly (by 30th of each month) and Annually, October

PREP: **Monthly** – by 30th of each month using format distributed in November 30, 2006 email, report # of FOIA requests that are currently open including media requests. Negative reports required.

Annual: When instructed by the State Office, Local Office sends FOIA Questionnaire to Area Office. Area Office compiles all log information into one report and forwards logs and report to State Office. State Office program staffs send information to Administrative Program Director.

DIST: **Monthly** – via email to ADM staff
Annual - State Director – Attention Administrative Program Director
Original log retained by Area and Local Office.

FILE: Operational file "2018-F - Availability of Information (FOIA)"
(retention - 5 fiscal years)

REF: RD Instruction 2018-F

NOTE: Negative reports are required.

4. CONTINGENCY PLANS/EMERGENCY PLANS UPDATE/TESTING

TIME: Annual Contingency/Emergency Plans update - **July 31**
Annual Contingency/Emergency Plans Testing – **July 31**
Following is a list of the different plans/reports which must be completed/updated:
Contingency/Disaster Recovery Plan (with test);
Emergency Action Plan; Emergency Response Plan;
Occupant Emergency Plan; Safety and Health Inspections

PREP: In an effort to reduce the number of times we have to prepare updates to the many emergency plans/reports, in 1999 a memo was issued to make the reporting dates all the same.

These plans/reports must be revised and/or **tested** at least annually; however, they should be updated/revised if there are any changes in the office staff, locations, phone numbers, etc., at the time of the changes.

There are specific instructions for updating/revising the Contingency/Disaster Recovery Plan. Changes will be handled using the standard Rural Development revision format of a vertical line in the right margin where changes occur. (A complete reissue must be done at least every three years.)

TESTING: The purpose of testing is to discover weaknesses in the Plan and not necessarily to “pass” the test. Keep in mind – IT IS OK TO FAIL THE TEST – IT IS NOT OK TO FAIL THE DISASTER.

Once the Plan has been developed, you must test the Plan to validate the information it contains and to ensure that it works. Section 3.0 – Test Procedures, set Rural Development policy and procedures for testing and maintaining the Plan. **The entire Plan must be tested at least annually.**

REF: OMB Circular A-130, DM 3140, DR 1650-2, RD Insts., 2069-A, 2021-A, RD Information Systems Security Handbook, Computer Security Act of 1987, FIPS Pubs. 31 & 87

FILE: Contingency Plan should be filed in a secured place(sensitive information)

DIST: Submitted to the Contingency/Disaster Recovery Coordinator (DCRC). Plans (Copies of the existing Plan with changes marked in red may be used. Proposed additions or any new verbiage shall be on the form shown in Section 2.0, page A-1 of the Plan/Guide.) and **Tests** (see Section 3.0).

Distributed to all office employees.

5. Area Director Oversight Reports

TIME: Quarterly - October 15, January 15, April 15, July 15

PREP: Narrative format distributed via email to Area Directors

DIST: Email to State Director and Assistant to the State Director

FILE: 2006-M Area Director Oversight Visit Reports

6. RURAL UTILITY AND COMMUNITY FACILITY GRADUATION REVIEW AND LENDER SURVEY

TIME: Annually January

PREP: GLS and CPAP Reports

DIST: Follow instructions issued by S/O Community Programs Director

FILE: 1951-F

REF: 1951-F, 1951.263
Lender survey - 1942-A, 1942.2(a)(2)(i) and 1780.7(d)

7. COLLECTION REVIEW (MONTHLY/ANNUALLY)

TIME: STATE OFFICE - MCO reviews monthly/annually
AREA/LOCAL OFFICE - Area Director or delegated Specialist reviews monthly. MCO reviews annually.

PREP: Form RD 1951-44

DIST: Area Director or designee completes monthly review and files original in office reviewed.
MCO completes annual review, original filed in office reviewed, copy in S/O file.

FILE: File in 1951-B Collections file.

REF: 1951-B, 1951.53, FMI 1951-44, and PA PN 301 (10/17/2006)

8. GSA MOTOR VEHICLE MILEAGE REPORT

TIME: Due to GSA at the end of each month.

PREP: Record of miles driven on GSA vehicle.

DIST: Mileage entered online (http://drivethru-fss.gsa.gov) prior to end of each month

FILE: 2018-G Operational File

REF: RD Instructions 2018-G, 2036-A

9. COST PER COPY METER READINGS

TIME: Monthly - on the 15th day of each Month.

PREP: Record of copy machine usage (RD cost per copy machines only - not shared machines in Satellite Offices)

DIST: One copy of report - to S/O, ATTN: Budget Analyst

FILE: 2027-B Operational File

REF: RD Instruction 2027-B, Printing for Field Offices (CASU)

10. CALENDAR OF WORK

TIME: Monthly

PREP: Program Directors and Area Directors submit monthly calendars of work to S/D Secretary.
S/D Secretary compiles calendars and posts on PA Intranet

DIST: Posted on PA Intranet

FILE: 2006-I - PA Calendars of Work/Work Organization

REF: PA PN 276 (7/23/03)

11. SEMI-ANNUAL LABOR COMPLIANCE REPORT

TIME: Semi-Annual - by October 20th
April 20th

PREP: Form 440-29 completed by Local Office and forwarded to S/O, ATTN: MCO
MCO sends compiled Pennsylvania Report to Dept. of Labor

DIST: Copy in Local Office, Copy in Area Office, Original to S/O

FILE: 1940-C

REF: RD Instruction 1940-C, 1901.158 (f)

12. PERFORMANCE REVIEWS

TIME: Mid-Year Performance - by April 30
Year-end Performance - by October 30 (for the previous FY)

PREP: EmpowHR

DIST: Employee, Supervisor, Reviewer, Human Resources

FILE: Supervisory File, Employee's Official Performance File

REF: RD Instruction 2060-A

13. SUPERVISED BANK ACCOUNT RECONCILIATION

TIME: When Financial Institution issues statement of account, checking (SBA) accounts will be reconciled promptly with Area and Local Office records.

PREP: The person making the reconciliation will initial the record and indicate the date of the action. Ensure funds are used within one year.

DIST: Statements of accounts filed in the borrower's case file.

FILE: See above

REF: RD Instruction 1902-A

14. MFIS Goals

TIME: Quarterly

PREP: By October 1st of each year, the MFH Coordinator will provide a copy of MFIS Reports TRK 1000 (Supervisory Activity Tracking) and TRK 2000 (Servicing Effort Tracking) to the Area Directors. These reports will show all MFH Servicing/Supervisory activities due for the upcoming fiscal year. MFH Coordinator will provide updated TRK 1000 and TRK 2000 reports to the Area Directors by January 15, April 15 and July 15 of each year.

DIST: Area Director or designee completes quarterly review.

FILE: HB-3-3560

REF: HB-3-3560

15. Vehicle Commitment and Authorization

TIME: Annually – by July 15th

PREP: All employees who drive on official agency business must complete Parts I, II and III and sign "Vehicle Commitment and Authorization," Form RD 2018-1, and send the original to the State Office, ATTN: Budget Analyst.

The Budget Analyst will review then submit to the Administrative Program Director for signature as the Approving Official.

DIST: Original to S/O, Budget Analyst
Copy retained in the employee's travel file.

FILE: Operational File 2018-G, Vehicle Commitment & Authorization

REF: RD Instruction 2018-G, 2018.305

NOTE: The Form 2018-1 covers the next fiscal year. If there are any changes during the fiscal year, update the form and re-submit to the Budget Analyst.

16. Property Reports

TIME: Employees submit reports when government personal property is to be transferred, disposed of, donated or considered excess. Reports, both verbal and written, must be submitted for lost or stolen property.

PREP: Review details in RD Instruction 2024-H. Complete AD-107 to transfer property within RD or make a donation to eligible recipients, including other government agencies. Complete AD-112 to dispose of obsolete, lost, stolen, damaged or destroyed personal property.

DIST: Original to S/O, Budget Analyst
Copy retained in the office.

FILE: Operational File 2024-H

REF: RD Instruction 2024-H, 2024.360 and 2024.362, and 7 CFR Part 2812

17. Property Inventory Reports

TIME: By May 15th, in even numbered calendar years, physical inventories of governmental personal property must be conducted and reported.

PREP: Reports are sent from the Property Custodian (PC) in each Local Office to the Accountable Property Officer (APO) The APO submits the reports to the Property Management Officer (PMO) for reconciliation. The APO inventories State Office property and submits report to PMO.

For physical inventories, the PC and APO must physically locate each item in the office for which they are responsible, i.e., desks, tables, chairs, typewriters, digital cameras, etc. Do not include items such as computers, printers, fax machines, postal meters, etc. Once the item is located, verify acquisition cost, acquisition date, serial number, document number, etc.

Physical inventories will also be conducted and reports submitted to PMO where there is a change of accountability (resignation, retirement, reassignment, etc.)

DIST: Original to S/O, Budget Analyst
Copy retained in the office files.

FILE: Operational File 2024-H

REF: RD Instruction 2024-H, 2024.358 and 2024.359

18. Borrower Case Classification Reports

TIME: Annually, when RC 836B and 836C received in field office.

PREP: Reports 836B and 836C are sent from the Finance Office to each L/O.

DIST: Original maintained in Local Office files

FILE: Operational File 1904

REF: RD Instructions 1904-C (Community Programs) and 1904-D (MFH Programs)

19. Retention of Application Processing Cards

TIME: Annually, on September 30

PREP: Unifi reports and application processing cards

DIST: Original maintained in Local Office files

FILE: HB-1-3550-3, Waiting Lists

REF: HB-1-3550-3

20. Verification of Credit Report Charges

TIME: Monthly, immediately after receipt of credit monthly billing detailed statement from National Office. This report details all infile reports and RMCRs ordered by each local office and the fees charged. The report generally is received in the State Office within 2 weeks following the end of each billing cycle, and is immediately forwarded to the area offices.

PREP: Offices are to verify the accuracy of fees charged for credit reports from the credit bureau. Reconcile the detail page of credit reports ordered with the "History of Credit Bureau Reports Received Since Last Billing Cycle" pulled from UniFi. This can be found under Credit Report Request Information on the UniFi Reporting Menu.

DIST: Send email to appropriate S/O RH Personnel verifying correct charges.

FILE: Local Office - File in 1910-B, operational file - retain 2 FYs

Ref: RD Instruction 1910-B

NOTE: Email verifying the detail report should be sent monthly to RH, Attn: Linda Rhoades marked with the following notations:

- If no discrepancies are found: "**Accurate billing.**"
- If discrepancies are found, please provide detailed information to Linda so she can work with National Office to get deficiencies corrected immediately.

"***This report contains errors***"

____

(Office) (Signature) (Date)

IMPORTANT: The reconciliation should be done as soon as you receive the monthly billing detail report from the State Office and an email sent to RH, Linda Rhoades, in order to allow time for any discrepancies to be researched by RH through National Office and the invoice to be paid by National Office when due.

21. Faith Based & Community Organization Initiative (FBCI) and FBCI Outreach Monthly Report

TIME: Monthly – 3rd day of each Month for previous Month Activity

PREP: Review S/O memorandum issued 10/16/06 for FBCI report format

DIST: Mail reports to S/O ATTN: FBCI Coordinator
Copy Retained in Local Office

FILE: 1901-E, Civil Rights

REF: Executive Order 13279

22. Report of Prior Year Unliquidated Obligations

TIME: Semi-Annual - April and October - also reviewed quarterly by Area Director in oversight report

PREP: L/O reviews S/O issued RC 743

DIST: Mail reports to S/O ATTN: _______ Program Division
Copy Retained in Local Office

FILE: Operational File 2009-B

REF: RD Instruction 2009-B