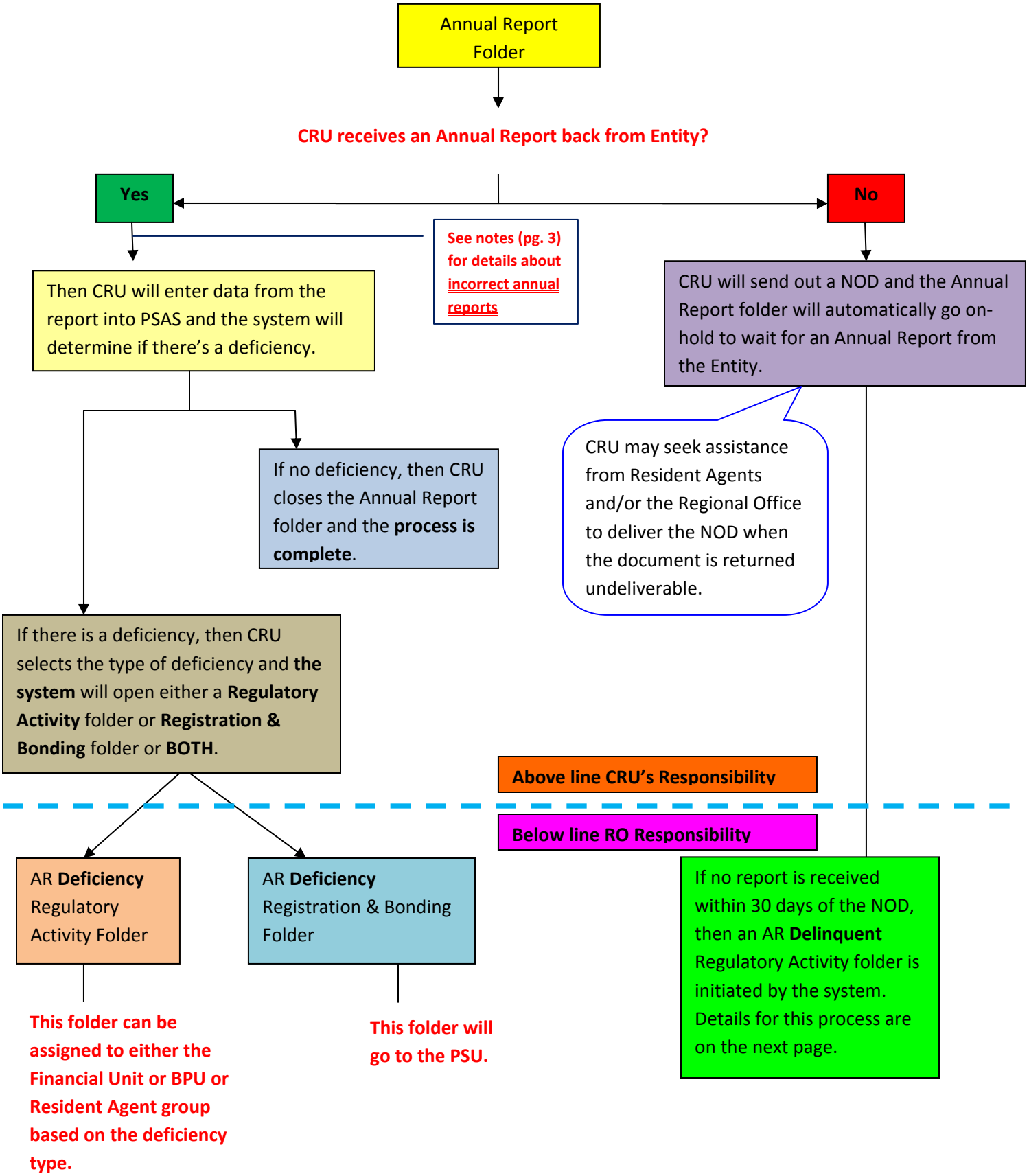
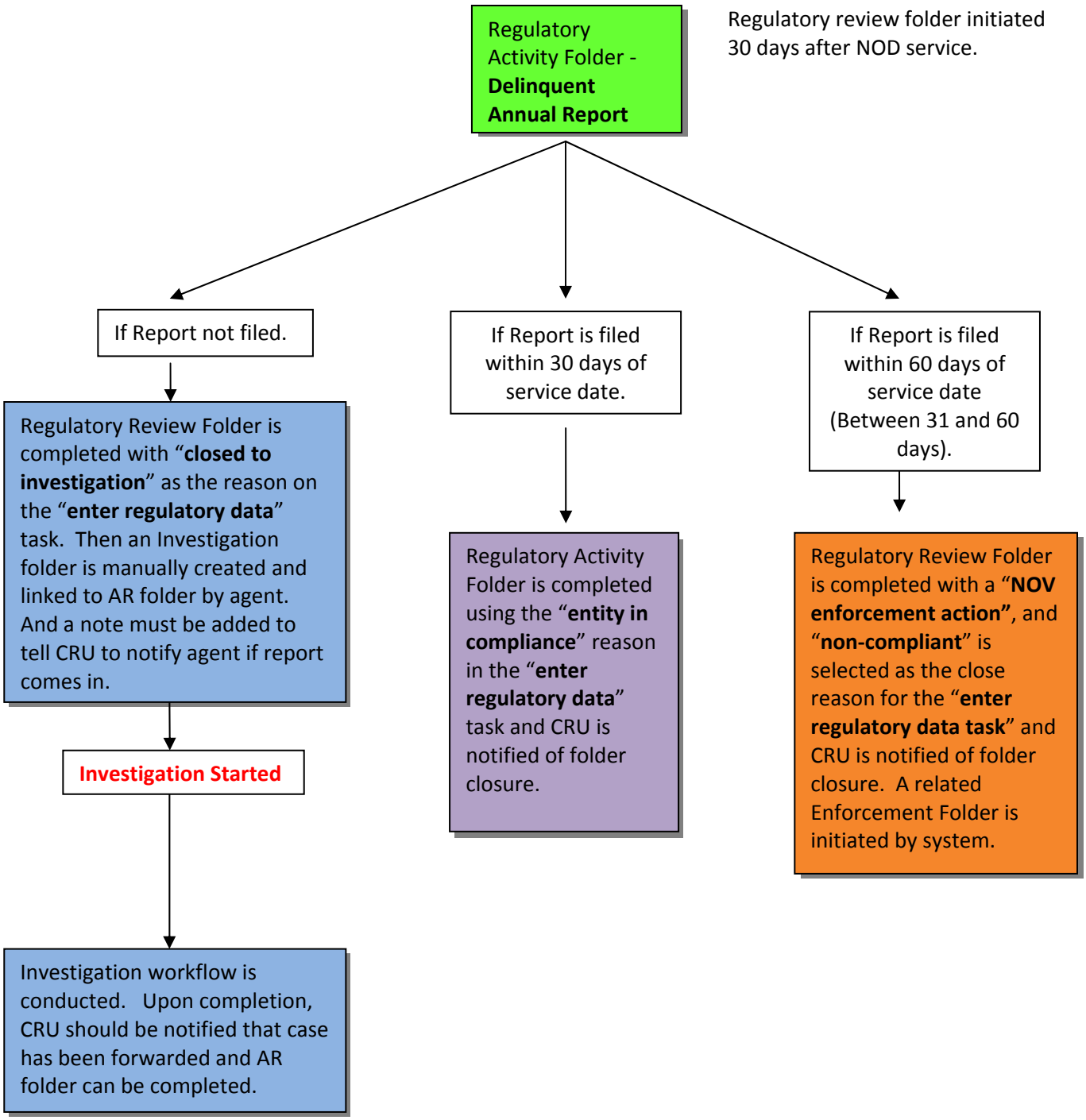

Annual Report Folder
CRU receives an Annual Report back from Entity?
Yes
No
See notes (pg. 3) for details about incorrect annual reports
Then CRU will enter data from the report into PSAS and the system will determine if there's a deficiency.
CRU will send out a NOD and the Annual Report folder will automatically go on-hold to wait for an Annual Report from the Entity.
If no deficiency, then CRU closes the Annual Report folder and the process is complete.
CRU may seek assistance from Resident Agents and/or the Regional Office to deliver the NOD when the document is returned undeliverable.
If there is a deficiency, then CRU selects the type of deficiency and the system will open either a Regulatory Activity folder or Registration & Bonding folder or BOTH.
Above line CRU's Responsibility
Below line RO Responsibility
AR Deficiency Regulatory Activity Folder
AR Deficiency Registration & Bonding Folder
If no report is received within 30 days of the NOD, then an AR Delinquent Regulatory Activity folder is initiated by the system. Details for this process are on the next page.
This folder can be assigned to either the Financial Unit or BPU or Resident Agent group based on the deficiency type.
This folder will go to the PSU.


Regulatory Activity Folder - **Delinquent Annual Report**
Regulatory review folder initiated 30 days after NOD service.
If Report not filed.
If Report is filed within 30 days of service date.
If Report is filed within 60 days of service date (Between 31 and 60 days).
Regulatory Review Folder is completed with "**closed to investigation**" as the reason on the "**enter regulatory data**" task. Then an Investigation folder is manually created and linked to AR folder by agent. And a note must be added to tell CRU to notify agent if report comes in.
Regulatory Activity Folder is completed using the "**entity in compliance**" reason in the "**enter regulatory data**" task and CRU is notified of folder closure.
Regulatory Review Folder is completed with a "**NOV enforcement action"**, and "**non-compliant**" is selected as the close reason for the "**enter regulatory data task**" and CRU is notified of folder closure. A related Enforcement Folder is initiated by system.
Investigation Started
Investigation workflow is conducted. Upon completion, CRU should be notified that case has been forwarded and AR folder can be completed.

Some additional notes:
-**Delinquent Report** is an annual report that was either never mailed into CRU or was received untimely.

-**Deficient Report** is an annual report that was received and entered by CRU however did not pass all of the AR checks built into the data entry module. Details about the pass/fail checks can be found at J:\Psp Specific\PSAS\PSAS AMS - User Guide addendum 2v2.docx, pages 33-41.

-If an Annual Report is returned to CRU incomplete, then CRU will contact the entity with NOD and/or phone call to get a corrected report (All phone calls by CRU are made prior to the NOD being sent). The AR folder goes on-hold for 30 days after the delivery date of the NOD awaiting the corrected Annual Report. If no corrected report is received by deadline, then the system will initiate a Regulatory Activity to the region to pursue corrected report.

-Be sure to add notes to the ECM folder after you have contacted the entity regarding the annual report. Otherwise, your supervisor doesn't know what you did.

-The notifications to CRU are **important** as the AR folder can't be closed until the Regulatory folder is completed and closed. Unfortunately, at this point, notification tasks are not a part of the workflow so CRU won't know what is going on in the Regulatory folder without manually looking and vice versa with the Agent and the AR folder. When emailing CRU, include the respective folder numbers to ensure accuracy.

-The Enter Regulatory Data task requires three inputs, the Review Date, location, and Close Reason. At this point, no sub-process module needs to be entered as there isn't one until the formal investigation is initiated.

- When sending an NOV, the violation is "**delinquent report**" and the correct box should be checked. Add the remark "Annual report not timely filed".