

**STANDARD OPERATING PROCEDURE**  
**-CPOC INTERNAL AUDIT AND REPORTING-**

- 1. Purpose**
- 2. Scope**
- 3. Responsibilities**
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*Enclosure*

1. **Purpose.** The purpose of this document is to establish uniform operating procedures and a monthly reporting requirement for internal audit and evaluation of civilian personnel actions processed by CONUS CPOCs. The audits are intended to: (1) provide a continuous assessment of CPOC program performance and adherence to statutory and regulatory requirements; (2) identify and correct erroneous personnel actions, and; (3) provide a mechanism to identify technical competency levels and training needs for CPOC staff. The audits conducted and reported in accordance with this procedure do not supplement and/or supersede reviews of Army CPOCs conducted by the U.S. Army Civilian Personnel Evaluation Agency or other agencies.
2. **Scope.** This operating procedure applies to all CONUS CPOCs.
3. **Responsibilities.**
  - a. CPOC Directors.
    - (1) Oversee conduct of internal audit/evaluation actions
    - (2) Ensure reviews are conducted in accordance with this procedure
    - (3) Ensure findings are corrected in accordance with this procedure
    - (4) Certify written internal audit/evaluation reports to CPOCMA
    - (5) Establish and maintain internal audit files
    - (6) Determine make-up of internal audit/evaluation teams
    - (7) Direct special/out of cycle audits of other actions processed within CPOC
  - b. CPOCMA
    - (1) Respond to inquiries and provide guidance on these procedures, as necessary
    - (2) Compile and analyze monthly evaluation reports from CPOCs
    - (3) Provide significant audit feedback/lessons learned to CPOCs, as necessary

(4) Elevate findings/issues to HQDA not within CPOCs/CPOCMA control or ability to fix

(5) Issue corrective procedural guidance where systemic error trends are identified

(6) Direct special/out of cycle audits of other actions processed within CPOCs

**4. Procedures.**

a. CPOCs will conduct a monthly internal audit/evaluation of no less than 2% (randomly selected) of their PERSACTION requested actions (i.e., fill/recruit, promotions, reassignments, realignments, etc.) which were completed and closed in the reported month.

b. Actions will be reviewed to determine their procedural, regulatory and statutory compliance (i.e., NOAC, legal authority, remarks, effective date, pay, qualifications, etc.). Where action was a competitive fill via local merit promotion, DEU, etc., the corresponding close-out/administrative files for the action will be audited concurrently with the PERSACTION request.

c. CPOC Directors will submit a written narrative report summarizing the audit to Director, CPOCMA NLT the end of the second month following the audit. The report will contain the following information, at a minimum:

(1) Total PERSACTION requests completed/closed in reported month

(2) Total actions audited (by type/NOAC)

(3) Total number and brief description of reviewed actions with errors by type—regulatory, procedural, or statutory (i.e., 8 actions wrong authority code, 2 missing eligibility documentation, etc.).

(4) Corrective action (include actual or projected date for actions requiring 002 or 001); report all other corrective actions in narrative such as, issued internal guidance, training, etc.

**APPENDIX A**

**AUDIT SUMMARY SHEET**

Action: Employee Name \_\_\_\_\_ Org \_\_\_\_\_

Action Audited: NOA/Legal Auth \_\_\_\_\_ Effective Date: \_\_\_\_\_

Audited by: \_\_\_\_\_

Processed by: \_\_\_\_\_

Action previously corrected: YES NO

**FINDINGS:**

**CORRECTIVE ACTION(S):**

Corrective action completed: Signature \_\_\_\_\_ Date: \_\_\_\_\_

Reviewer: Signature \_\_\_\_\_ Date: \_\_\_\_\_

**(To be completed for each action reviewed)**

## APPENDIX B

### AUDIT CHECKLISTS

(checklists may be expanded/restricted to fit unique situations)

NEW APPTS/CONVERSIONS TO APPT (includes VRA and other noncomp appts)

- DoD PPP/other special placement programs cleared
- Prom record/appropriate certificate
- Pay determination (i.e., HPR, advance in-hire rate, etc)
- Veterans preference verified (i.e., SF-15, DD 214, etc)
- Age
- Qualified/eligibility for appt
- Time limit satisfied
- Revalidated eligibility
- Excepted/Competitive
- Tenure
- SF-52 documentation (i.e., signed on/before effective date)
- SF-50 mandatory remarks
- Probation/Trial period
- NOA/Authority
- SCD determination
- Previous OPF requested
- Health/Life insurance forms
- 180 day waiver
- 3-R bonus documentation
- VA letter
- Inprocessing forms completed (i.e. SF-61/61B, etc)

#### REINSTATEMENT

- DoD PPP/other special placement programs cleared
- Reinstatement eligibility
- If to higher grade, IAW MPP plan
- Probation period completed/required
- Tenure
- SF-52 documentation (i.e., signed on/before effective date)
- SF-50 mandatory remarks
- Pay determination
- Request other government service file
- NOA/Authority

TRANSFER-IN

- DoD PPP/other special placement programs cleared
- Break in svc less than 1 day
- Qualified/eligible
- SF-52 documentation
- Copy of SF-52/SF-50 sent to losing Agency
- Probation period completed
- Pay determination
- NOA/Authority
- SCD

CHANGE IN WORK SCHEDULE/HOURS

- SF-52 documentation
- SF-50 mandatory remarks
- NOA/Authority Code
- Employee concurrence

WITHIN GRADE INCREASE

- Waiting period/LEI documented
- LWOP
- Pay determination
- SF-50 mandatory remarks
- NOA/Authority Code

AWARDS

- NOA/Authority Code
- SF-50 mandatory remarks
- Award amount

VERTERANS PREFERENCE CHANGE

- Verify type of preference
- SF-15 (if applicable)
- DD-214
- NOA/Authority Code
- SCD determination
- SF-50 mandatory remarks
- Letter from Veterans administration

TERMINATION OF GRADE RETENTION

- NOA/Authority Code
- Time period of grade retention completed
- Pay setting
- Pay rate determinant
- Subsequent grade retention period
- SF-50 mandatory remarks
- Effective Date

SUSPENSIONS

- NOA/Authority Code
- SF-50 mandatory remarks
- SF-52 documentation
- Time limits
- Reasons

QUALITY STEP INCREASE

- Effective date
- Only 1 in 52 wk period
- Pay determination
- NOA/Authority Code
- SF-52 documentation

LWOP/FURLOUGH/LEAVE WITH PAY/EXTENSION OF LWOP

- LWOP (80 hours or more)
- Furlough (1 day or more)
- LWOP (more than 30 days)
- SF-50 mandatory remarks
- NOA/Authority Code

RETURN TO DUTY

- Does not extend beyond LWOP NTE date
- SF-50 mandatory remarks
- If over 6 months, SCD change
- Probationary period extended
- NOA/Authority Code

CONV TO CAREER TENURE

- Service requirement
- SF-50 mandatory remarks
- Periods of LWOP over 30 days
- NOA/Authority Code

NAME CHANGE

- Benefits
- SF-50 mandatory remarks
- New OPF label
- Annotation of SSA notification on SF-52
- NOA/Authority Code

REDUCTION IN FORCE (internal e.g., Reassignment)

- Qualified
- Grade Retention (if CLG)
- Pay determination
- SF-52 documentation
- SF-50 mandatory remarks
- NOA/Authority

REDUCTION IN FORCE SEPARATION

- Document severance pay and verify severance pay
- SF-52 documentation
- SF-50 mandatory remarks
- NOA/Authority
- Benefits

RESIGNATION

- Employee reason and signature on SF-52
- SF-50 mandatory remarks
- Reemployment rights (RIF)
- Benefits
- Reprimand/(remove from OPF)
- Deferred annuity
- Temporary action terminated
- NOA/Authority
- VSIP recalculate

RETIREMENT

- SF-50 mandatory remarks
- Effective Date
- Employee signature on SF-52
- NOA/Authority
- VERA recalculate
- Benefits

REMOVAL

NOA/Authority  
 SF-50 mandatory remarks  
 SF-52 documentation  
 Benefits

REASSIGNMENT/REASSIGNMENT NTE/TERMINATION OF REASSIGNMENT/POS CHG/CLG

DoD Stopper cleared  
 Competed (known prom potential)  
 Qualified  
 Pay determination  
 Time after appt from cert  
 SF-52 documentation (i.e., signed before effective date)  
 SF-50 mandatory remarks  
 Termination, if temporary  
 NOA/Authority Code  
 Supervisory Prob  
 Reassignment NTE, Date  
 If competitive action check Merit Promotion Package

PROMOTIONS

DoD Stopper cleared  
 Time after competitive appt from cert  
 IAW MPP/Except to MPP reg  
 Time-in-Grade requirement  
 Qualified  
 Pay determination  
 Verify WIGI if due  
 If accretion of duties, documented  
 SF-52 documentation (i.e., signed before effective date)  
 SF-50 mandatory remarks  
 NOA/Authority Code  
 Supervisory/Mgr probationary period required/completed  
 If competitive action check Merit Promotion Package

TEMP PROMOTIONS/EXTENSION TEMP PROMOS

- \_\_\_ DoD Stopper cleared
- \_\_\_ Time after list comp appt from cert
- \_\_\_ Comp/noncomp (if competitive, use promotion above also)
- \_\_\_ Time-in-Grade requirement
- \_\_\_ Qualified
- \_\_\_ SF-52 documentation
- \_\_\_ SF-50 mandatory remarks
- \_\_\_ Does not exceed 5 years
- \_\_\_ Temp action within last 12 months (non competitive)
- \_\_\_ Pay determination
- \_\_\_ NOA/Authority Code
- \_\_\_ NTE Date
- \_\_\_ If competitive action check Merit Promotion Package
- \_\_\_ NTE 120 days (extension 59 days)
- \_\_\_ Temp letter of notification completed/filed

DETAILS/TERM OF DETAILS/EXTENSION OF DETAILS

- \_\_\_ DoD PPP Stopper documented
- \_\_\_ Time after appt from cert
- \_\_\_ NTE 120 days (extension 59 days for downsizing)
- \_\_\_ Competed if more than 120 days to higher grade
- \_\_\_ Approval to exceed time limit documented
- \_\_\_ Temp action within last 12 months
- \_\_\_ SF-52 documentation (i.e., signed before effective date)
- \_\_\_ NOA/Authority Code
- \_\_\_ SF-50 mandatory remarks (K55 remark code OPM required)
- \_\_\_ If competitive action check Merit Promotion Package

EXTENSION OF TEMPORARY APPOINTMENTS/EXTENSION OF TERM APPOINTMENTS

- \_\_\_ NOA/Authority
- \_\_\_ SF50 mandatory remarks
- \_\_\_ Pay (for way schedule)
- \_\_\_ DoD stopper cleared
- \_\_\_ NTE Date/Time limits
- \_\_\_ Effective Date

POSITION BUILD

- \_\_\_ Position action e-date
- \_\_\_ Date PD classified
- \_\_\_ PAS code
- \_\_\_ Position status indicator
- \_\_\_ Bargain Unit Status
- \_\_\_ Position NTE date
- \_\_\_ GSA GEOLoc
- \_\_\_ Sensitivity

\_\_\_ Locality Pct  
\_\_\_ Pay table identifier  
\_\_\_ Agency sub element  
\_\_\_ Work schedule  
\_\_\_ AMS code  
\_\_\_ Comp lvl  
\_\_\_ Para/Ln