



# United States Army Europe

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## Civilian Pay Audit Readiness

This presentation is intended to provide **guidance on audit readiness requirements** for the Civilian Payroll process for all employing activities serviced by HQ USAREUR, G1, Defense Civilian Pay Theater Support Division. The guidance relates to internal control activities that have been identified to mitigate risks within the process. Each control activity includes the following information:

- Description of the control activity, objective, owner, frequency, retention period, and applicable policy.
- Procedures on how to perform the control and the supporting documentation that is created/used during the completion of the control or as a result of the control.



# United States Army Europe

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## Civilian Payroll Audit Readiness

### Topics

- Audit Readiness Background
- Army's Approach to Audit Readiness
- Army wide controls
- USAREUR Time and Attendance Timeline
- Civilian Payroll Internal Controls
- SBR Monthly Testing Cover Sheet
- Suggested Time and Attendance Checklist
- Suggested Appointment Memorandum



# Audit Readiness Background

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## Mandated by Law

Financial Management Legislation and Mandates:

Chief Financial Officers Act (CFO) of 1990

Federal Managers Financial Integrity Act (FMFIA) of 1996

National Defense Authorization Act (NDAA) FY 2010 & FY 2011

NDAA of 2010 mandated the Department of Defense to achieve financial statement audit readiness NLT Sept 2017

Secretary of Defense, Leon Panetta directed audit readiness NLT 2014

UNCLASSIFIED  
**GUIDANCE**



OFFICE OF THE UNDER SECRETARY OF DEFENSE (COMPTROLLER)

Welcome to the OUSD(C) Public Website <http://comptroller.defense.gov/>

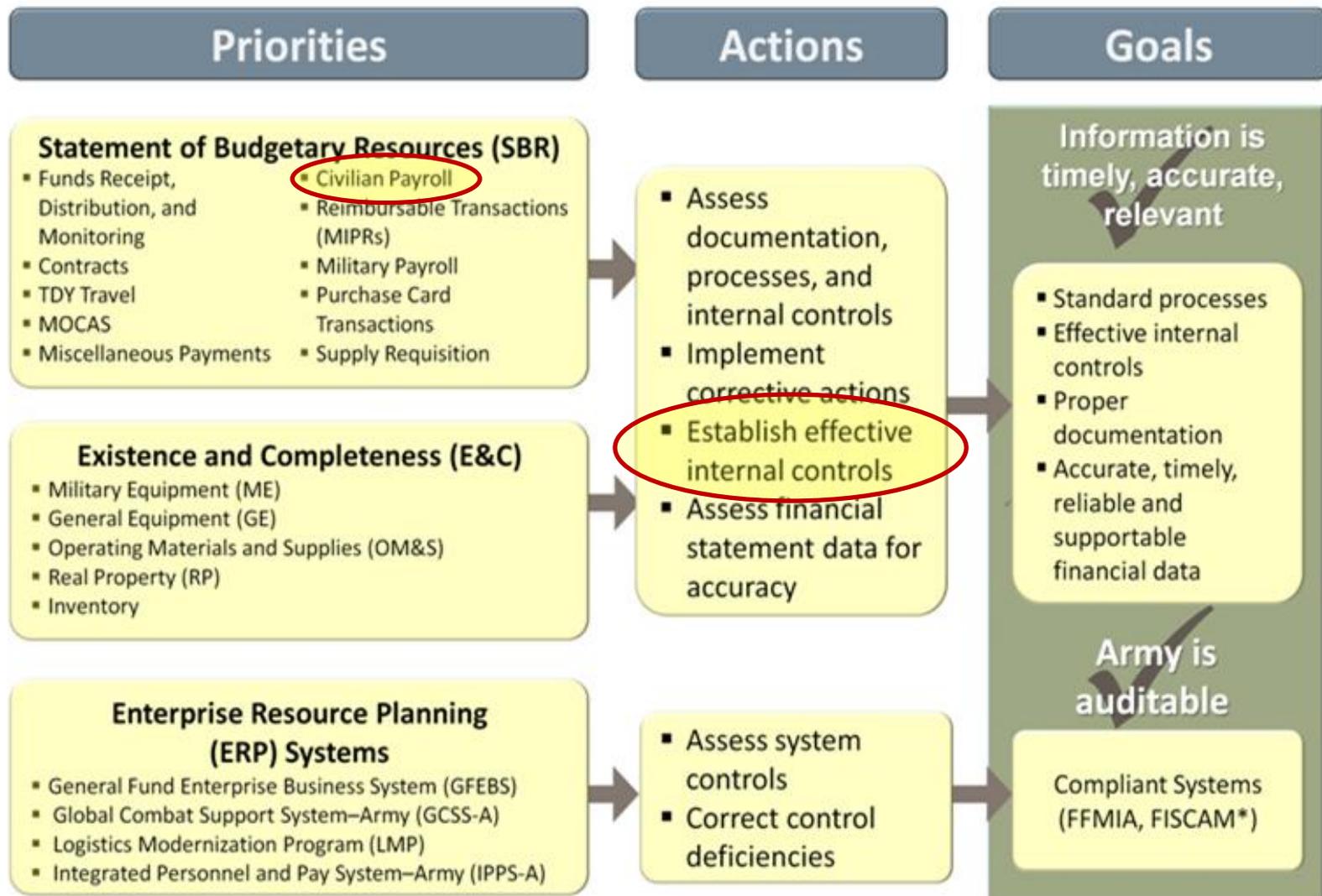
Information you need to understand the budget and financial management policy of the Department of Defense. In addition to performance measures you will also find information about the Department's ongoing effort to improve efficiency and accountability.

**Quick Links**

- Budget Materials
- **DoD Financial Accountability Message from U.S. Defense Secretary (SECDEF) Chuck Hagel**
- DoD Financial Management Regulation 7000.14-R (FMR)
- DoD Agency Financial Report/Performance and Accountability Report
- DoD Agency-Wide and Component Financial Statements
- DoD Managers' Internal Control Program

- <https://cpolrhp.cpol.army.mil/eur/overseas/index.htm> - **Living and Working Overseas**
- <http://www.eur.army.mil/g1/content/CPD/dcps.html> - Civilian Personnel Directorate
- <http://www.opm.gov/> - Office of Personnel Management
- <https://tsp.gov/index.shtml> - Thrift Savings Plan
- <https://mypay.dfas.mil/mypay.aspx> - myPay
- <https://ataaps.csd.disa.mil/index5.htm> - ATAAPS (USAREUR ONLY)
- [https://aepubs.army.mil/pdfpubs/AER690-110\\_1002337!.pdf](https://aepubs.army.mil/pdfpubs/AER690-110_1002337!.pdf) - **Civilian Timekeeping in Europe**
- [https://aepubs.army.mil/pdfpubs/AER690-990-100\\_1004227!.pdf](https://aepubs.army.mil/pdfpubs/AER690-990-100_1004227!.pdf) - **Alternative Work schedule**
- [https://aepubs.army.mil/pdfpubs/AEP690-630\\_1004927!.pdf](https://aepubs.army.mil/pdfpubs/AEP690-630_1004927!.pdf) - **Excused Absence**
- [http://comptroller.defense.gov/Portals/45/documents/fmr/Volume\\_08.pdf](http://comptroller.defense.gov/Portals/45/documents/fmr/Volume_08.pdf) - **DoD FMR Volume 8 (Civilian Pay)**
- <https://eopf1.nbc.gov/army/> - e-OPF (your personnel folder)
- <https://www.ebis.army.mil/login.aspx> **Employee Benefits Information System (EBIS)**
- <http://www.BENEFEDS.com> **Manages FEDVIP, FSA Feds, The FLTCIP**
- <https://www.abc.army.mil/> - **Army Benefits Center (ABC)**

# Army's Approach to Audit Readiness



The Federal Financial Management Improvement Act and Federal Information System Controls Audit Manual



# Civilian Payroll Process Map

## Manpower Assessment

- Table Distribution Allowance (TDA)
- Required, Authorized, Actual

## Personnel Actions

- Standard Form (SF) 52, Request for Personnel Action (RPA)
- New Hires, Separations, Awards, etc.

## Obligating and Committing Funds

- Time Entry and Certification
- ATAAPS / DCPS

## Reviews and Reconciliations

- Master Employee Record (MER)



# General Controls vs. Process Specific Controls

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- General control activities are primarily manual controls that impact a number of business processes and should be implemented across Army Commands or States/Territories to prevent or detect material misstatements from occurring.
- **Process-specific internal control activities are related to specific transactions generated as a result of business process activities (e.g., Payroll, Contractual Services/Acquisition of Assets, and Reimbursables), and are primarily manual controls that should be implemented across Army Commands or States/Territories to prevent or detect material misstatements from occurring.**
- These internal control activities should be implemented to detect any potential errors or mitigate identified risks.



# Civilian Payroll Controls

## Civilian Payroll Sub-Process and Related IT Systems

Sub-Process	Related IT Systems
Civilian Payroll	ATAAPS, AUTONOA, DCPS, DCPDS, ADS, SDA, GFEB

**SBR 13.01 – Time and Attendance Certification**

**SBR 13.02 – Payroll Exceptions Review**

SBR 13.05 – RPA approval

SBR 13.06 – Master Employee Record



# SBR 13.01 Time and Attendance Certification

## Control Activity:

Bi-weekly, a supervisor or alternate reviews time sheets (manual or electronic formats) as submitted by staff to ensure that the information entered is valid and accurate. This review and approval is evidenced by the supervisor or alternate's signature and date on the time sheet.

**IMPORTANT NOTE:** The certification of T&A is an authorization for the expenditure of government funds. Each employee's T&A must be certified correct by the employee's supervisor, acting supervisor, other equivalent official, or a higher level manager authorized to act as an alternate certifier at the end of the pay period.

## Control Objective:

To ensure all employee time and attendance information is reviewed by a supervisor or alternate individual.

Owner	Supervisor, Alternate individual
Frequency	Bi-Weekly
Document Retention	6 years, 3 months
Control Type	Preventive
Policy	DoD FMR 7000.14-R <ul style="list-style-type: none"><li>- Volume 8, Civilian Pay Policies and Procedures; Chapter 2: Time and Attendance</li><li>- Volume 8, Civilian Pay Policies and Procedures; Chapter 5: Leave</li></ul> GAO-03-352G Maintaining Effective Control over Employee Time and Attendance Reporting



## SBR 13.01 Control Procedures

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- Review the time sheet to ensure that the employee's name, hours worked and classification during associated time period are correct.
- Sign the time sheet (electronically/manually).
- Date the time sheet (electronically/manually).
- Retain the documentation for 6 years, 3 months.



# SBR 13.01 Evidential Matter

EMPLOYEE SSN required	Activity required	Organization required	Tag # required	EMPLOYEE NAME (LAST, FIRST, MI) required	PAY PERIOD ENDING required
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HOURS OF WORK																	
TOUR	AWS	WK 1	1 SUN	2 MON	3 TUE	4 WED	5 THU	6 FRI	7 SAT	WK 2	1 SUN	2 MON	3 TUE	4 WED	5 THU	6 FRI	7 SAT
optional				8	8	8	8	8			8	8	8	8	8	8	
supervisor's established work schedule for the pay period																	
GRADED ND																	

WK#	DAY#	TYPE HOUR	HOURS	JOB ORDER NUMBER	E/H OTH	LST HR	TMP SFT	NIGHT DIFF	INJURY NUM	START TIME	INIT
1	4	LA	8	0	sample of employee taking annual leave. Documentation required						
2	5	OS	2	0	Only enter overtime hours worked						

Review the time sheet to ensure hours recorded are accurate and complete

some type four codes require additional entries in these fields. Occasional night differential entries are entered here

required	required ( not certified without supervisor's signature)		
EMPLOYEE SIGNATURE	DATE	SUPERVISOR SIGNATURE	DATE

CODES		
CA-Religious Comp Time Taken	HC-Holiday Call Back	OC-Overtime CallBack
CB-Comp Time for Travel Earned	HF-Holiday Work, First Shift (Ungraded)	OS-Overtime Scheduled
CC-Comp Time CallBack	HG-Holiday Work (Graded)	OU-Overtime Unscheduled
CD-Credit Hours Earned	HS-Holiday Work, Second Shift (Ungraded)	OX-Overtime Exception (Intermittents)
CE-Comp Time Earned	Holiday Work, Third Shift (Ungraded)	RF-Regular, 1st Sft (Ungraded)
CF-Comp Time for Travel Taken	KA-LWOP	RG-Regular, Graded
CN-Credit Hours Taken	KC-AWOL	RS-Regular, 2nd Sft (Ungraded)
CR-Religious Comp Time Earned	LA-Annual Leave	RT-Regular, 3rd Sft (Ungraded)
CT-Comp Time Taken	LH-Holiday	SG-Sunday Graded (GS-Employees)
DA-Birth of Son/Daughter (FMLA)	LK-Home Leave	
DB-Adoption or Foster Care (FMLA)	LM-Military Leave	
DC-Care of Immed. FM w/a Serious Health Condition (FMLA)	LN-Administrative Leave	
DD-Serious Health Condition of Employee (FMLA)	LS-Sick Leave	
DE-Use of Sick Leave Family Care Purposes (FMLA)	LT-Days Off due to Injury	
DF-Adoption or Foster Care (FFLA)	LU-Day Of Injury	
	LV-Excused Lateness	
	LY-Time Off Award	

Regularly used Type Hour codes

CERTIFICATION: ATTENDANCES AND ABSENCES CERTIFIED CORRECT. OVERTIME APPROVED IAW EXISTING LAWS AND REGULATIONS FOR NON-EXEMPT FLSA. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED FOR THIS PAY PERIOD. CONTAINS INFORMATION SUBJECT TO THE PRIVACY ACT OF 1974 AS AMENDED.



# SBR 13.01 Evidential Matter, Cont.

## ATAAPS Online Time and Attendance Certification

The appropriate Supervisor/Certifier reviews and approves the time card in ATAAPS. Must be certified no later than close of business on Friday before the end of each pay period.

**Objective of Control: All employee time and attendance information is reviewed by an authorized approver/certifier.**

August	25	26	27	28	29	30	31	1	2	3	4	5	6	7	Total	
Type	hr	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Total
LH									8.00							8.00
RG				8.00	5.15	4.30					8.00	8.00	8.00			41.45
LS		8.00	8.00		2.45											18.45
LA																11.80
deducted	Hours	0.00	8.00	8.00	8.00	8.00	8.00	0.00	0.00	8.00	8.00	8.00	8.00	0.00	80.00	
deducted	Hours	0.00	8.00	8.00	8.00	8.00	8.00	0.00	0.00	8.00	8.00	8.00	8.00	0.00	80.00	

Employee Information			AWS Code	Scheduled	Reported	Regular	PdLeave	UnPdLeave	Premium	Leave	Premium	Comment
Detail	Certify	Concurred										
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	1	80.00	80.00	72.00	8.00	0.00	0.00	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	1	80.00	80.00	56.00	24.00	0.00	0.00	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	

Leave	Premium	Comment
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Employee on T-LWOP
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Employee on T-LWOP
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Employee on T-LWOP
<input type="checkbox"/>	<input checked="" type="checkbox"/>	KE and multi lv request
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	

**Frequency: Bi-Weekly**

**Document Retention Period: 6 years, 3 months**

**Recurring Points of Concern: Ensure reviewer has the required authority to review and sign off on an employee's time card.**



# SBR 13.02 Payroll Exception Review

## Control Activity:

Bi-weekly, a designated individual reviews the Missing Time Report and the Invalid Transaction Report from DCPS and resolves any identified payroll exceptions. This review is evidenced by the designated individual's signature and date on the exception reports.

Reports must be generated every pay period.  
Reports **can not** be generated for previous pay periods

## Control Objective:

To ensure civilian payroll exceptions are reviewed and resolved during bi-weekly civilian payroll processing.

Owner	Designated individual, Customer Service Representative (CSR)
Frequency	Bi-Weekly
Document Retention	6 years, 3 months
Control Type	Preventive
Policy	DoD FMR 7000.14-R <ul style="list-style-type: none"><li>- Volume 8, Civilian Pay Policies and Procedures; Chapter 2: Time and Attendance. Section 0206, Adjustments and Corrections</li><li>- Volume 8, Civilian Pay Policies and Procedures; Chapter 9: Records , Files, and Reports. Section 0902, Reports</li></ul> GAO-03-352G Maintaining Effective Control over Employee Time and Attendance Reporting



# Printed reports must be signed and dated every pay period

```

V13.10      3:49:28      T&A REPORTS MENU      08/26/13
-----DAILY-----
1. MISSING TIME      PPE date
   PROCESSING DATE
2. CONTROL OF HOURS
   PROCESSING DATE
3. INVALID TRANSACTION (SDA)  08/12/13
4. INVALID TRANSACTION (ND020) NONE
-----BIWEEKLY-----
5. MISSING TIME      (NB010) 08/13/13
6. MISSING TIME      (NB020) 08/14/13
7. CONTROL OF HOURS  (NB010) 08/13/13
8. CONTROL OF HOURS  (NB020) 08/14/13
9. INVALID TRANSACTION (NB000) NONE
10. INVALID TRANSACTION (NB010) NONE
11. INVALID TRANSACTION (NB020) NONE
12. CONVERSION OF HOURS (NB000) NONE
13. CONVERSION OF HOURS (NB010) 08/13/13
14. CONVERSION OF HOURS (NB020) 08/14/13
15. NON PAY BEF/AFT  (NB000) NONE
-----BIWEEKLY-----
16. NON PAY BEF/AFT (NB010) NONE
17. NON PAY BEF/AFT (NB020) NONE
18. SCHEDULE EDIT   (NB000) NONE
19. SCHEDULE EDIT   (NB010) NONE
20. SCHEDULE EDIT   (NB020) NONE
21. ENV CALLBACK    (NB000) NONE
22. ENV CALLBACK    (NB010) NONE
23. ENV CALLBACK    (NB020) NONE
24. RELIGIOUS COMPTIME  NONE
25. TIMESHEETS
26. EMERGENCY TIME    NONE
27. NON PAY BEF/AFT WEEKEND NONE
-----RETRO-----
28. INVALID TRANSACTION  08/25/13
29. CONVERSION OF HOURS  08/21/13
30. NON PAY BEF/AFT      NONE
31. SCHEDULE EDIT        NONE
32. ENV CALLBACK          NONE

TA GROUP      PRINTER ID  your assigned printer ID  PRINT OPTION (R/D) R
ENTER OPTION # & REQUIRED DATA, <PF1> TO EXIT OR <PF24> TO LOGOFF:

```

Run missing time report on Tuesday (USAREUR only) after the end of each pay period

Print and review invalid transactions #3, #4, and #28  
 a screen print signed and dated by designated individual will suffice if NONE is displayed  
 All discrepancies must be cleared.

Your designated printer ID enables you to print reports from your office printer.

Report number



# SBR 13.02 Evidential Matter

REPORT NO. : P6605R02

REPORT DATE: 09/18/13 09:31

MISSING TIME/CREATED LEAVE REPORT

PAY PERIOD ENDING DATE 09/21/13

T&A SITE: WATL9800

T&A GROUP: MP00

ACT	ORG CODE	SSN	NAME	DATE
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Timekeeper Run and Review the Missing Time Report and resolve any errors identified

**Sign and date the Missing Time Report to evidence review**

Annotate the cause (if any) and action taken to resolve discrepancy



# SBR 13.02 Evidential Matter, Cont.

REPORT NO. : P6608R01  
REPORT DATE: 08/19/13 17:28

INVALID TRANSACTION REPORT  
PAY PERIOD ENDING DATE RETRO

T&A SITE: WATL9800 TA GROUP: MC10

**Timekeeper Run and Review the Invalid Transaction Report and resolve any errors identified**

ACT ORG SSN NAME  
W6LVAA AEA 123-45-6789 Karson, Silyo ROBERT C

DATE EFF WK DY JOB ORDER NUMBER TYP HRS CD SFT CD OVRD SIGN IDC HRS/AMT E/H SIGN IDC  
12/31/12 \* \*  
REMARKS 2112 TOTAL BASE HOURS ARE LESS THAN TOUR OF DUTY HOURS FOR DAY RETRO PAY PD EN

DATE EFF WK DY JOB ORDER NUMBER TYP HRS CD SFT CD OVRD SIGN IDC HRS/AMT E/H SIGN IDC  
01/01/13 \* \*  
REMARKS 2112 TOTAL BASE HOURS ARE LESS THAN TOUR OF DUTY HOURS FOR DAY RETRO PAY PD EN

DATE EFF WK DY JOB ORDER NUMBER TYP HRS CD SFT CD OVRD SIGN IDC HRS/AMT E/H SIGN IDC  
01/02/13 \* \*  
REMARKS 2112 TOTAL BASE HOURS ARE LESS THAN TOUR OF DUTY HOURS FOR DAY RETRO PAY PD EN

DATE EFF WK DY JOB ORDER NUMBER TYP HRS CD SFT CD OVRD SIGN IDC HRS/AMT E/H SIGN IDC  
01/03/13 \* \*  
REMARKS 2112 TOTAL BASE HOURS ARE LESS THAN TOUR OF DUTY HOURS FOR DAY RETRO PAY PD EN

DATE EFF WK DY JOB ORDER NUMBER TYP HRS CD SFT CD OVRD SIGN IDC HRS/AMT E/H SIGN IDC  
01/04/13 \* \*  
REMARKS 2112 TOTAL BASE HOURS ARE LESS THAN TOUR OF DUTY HOURS FOR DAY RETRO PAY PD EN

DATE EFF WK DY JOB ORDER NUMBER TYP HRS CD SFT CD OVRD SIGN IDC HRS/AMT E/H SIGN IDC

**Sign and date the invalid Transaction Report to evidence review**  
Annotate the cause (if any) and action taken to resolve discrepancy



## SBR 13.02 Control Procedures

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Review the Missing Time Report from DCPS.

- Ensure all missing time sheets have been approved and entered in DCPS.
- Perform after every pay period end (bi-weekly).

Review the Invalid Transaction Report from DCPS.

- Ensure all civilian payroll exceptions have been identified and resolved.
- Perform after every pay period end (bi-weekly).

Maintain documentation of resolved exceptions with the DCPS Civilian Payroll Exception Reports.

Sign the DCPS Civilian Payroll Exception Reports (electronically/ manually).

- A designated individual or Customer Service Representative (CSR).

Date the DCPS Civilian Payroll Exception Reports (electronically/ manually).

Retain documentation for 6 years, 3 months.



# Reports dates and Pay Cycle

August 2014							Search Calendar
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	
Jul 27 <b>BEGIN PAY PERIOD</b>	28	29	30	31	Aug 1	2	
		ATAAPS leave update; ATAAPS clear invalid transaction discrepancy clear missing time	Payroll runs; DCPS	Leave Availability Report is sent out LES STATEMENT ONLINE	Review / concur with labor hrs; ATAA		
<b>PAY WEEK</b>							
3	4	5	6	7	8	9	
Review / concur with labor hrs; ATAA		Review / concur with labor hrs; ATAA Review required reports; T&A sites	CERTIFICATION DAY; ATAAPS Review / concur with labor hrs; ATAA	CERTIFICATION DAY; ATAAPS DAC payday; ONLINE Review / concur with labor hrs; ATAA	CERTIFICATION DAY; ATAAPS Review / concur with labor hrs; ATAA	END OF PAY PERIOD; DCPS	
<b>NON PAY WEEK</b>							
10	11	12	13	14	15	16	
<b>BEGIN PAY PERIOD</b>		ATAAPS leave update; ATAAPS clear invalid transaction discrepancy clear missing time	Payroll runs; DCPS	Leave Availability Report is sent out LES STATEMENT ONLINE	Review / concur with labor hrs; ATAA		
17	18	19	20	21	22	23	
Review / concur with labor hrs; ATAA		Review / concur with labor hrs; ATAA Review required reports; T&A sites	CERTIFICATION DAY; ATAAPS Review / concur with labor hrs; ATAA	CERTIFICATION DAY; ATAAPS DAC payday; ONLINE Review / concur with labor hrs; ATAA	CERTIFICATION DAY; ATAAPS Review / concur with labor hrs; ATAA	END OF PAY PERIOD; DCPS	
24	25	26	27	28	29	30	
<b>BEGIN PAY PERIOD</b>		ATAAPS leave update; ATAAPS clear invalid transaction discrepancy clear missing time	Payroll runs; DCPS	Leave Availability Report is sent out LES STATEMENT ONLINE	Review / concur with labor hrs; ATAA		
31	Sep 1	2	3	4	5	6	
Review / concur with labor hrs; ATAA		Review / concur with labor hrs; ATAA Review required reports; T&A sites	CERTIFICATION DAY; ATAAPS Review / concur with labor hrs; ATAA	CERTIFICATION DAY; ATAAPS DAC payday; ONLINE Review / concur with labor hrs; ATAA	CERTIFICATION DAY; ATAAPS Review / concur with labor hrs; ATAA	END OF PAY PERIOD; DCPS	



# Audit Readiness Cover Sheet

## OASA (FM&C) SBR Monthly Testing Coversheet Control 13.02

Sample # XXX (provided by DCPS Support Division)

**Directions:** For each sample item:

1. Provide the following supporting documentation requested below, as it relates to each sample.
2. Place a checkmark in the box to confirm the requested documentation is included in this submission.
3. Please be sure to number all documents provided as indicated below (O1, O2, etc).
4. If the requested document is not available, kindly attach a memo explaining the reason why.
5. Any Personally Identifiable Information (PII) must be redacted prior to submitting to us; otherwise we cannot accept the document.

**Disclaimer:** All samples must clearly demonstrate a clear and direct connection to the data element provided in the PBC List. Documentation that lacks this demonstrated information is at risk for failure due to an inability to corroborate supporting documentation to the data elements in the PBC List.

### 13.02 Payroll Exceptions Review

- O1  Missing Time Report from requested date with evidence of review.
- O2  Invalid Transactions Report from requested date with evidence of review.
- O3  Documentation demonstrating that all differences were researched and resolved (e.g., annotated report describing the action taken for each exception, a report describing action taken for all exceptions, a memo stating no action was taken).
- O4  Provide evidence for one example of the successful resolution of a discrepancy on the report (e.g., GFEBs screenshot, email traffic, corrected report).

If you need to provide explanation of any supporting documents, please attach in a memo or use the space below.

**Provide a brief explanation in this section if the requested document is not available or if the document provided does not meet audit readiness requirements**

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Any questions regarding knowledge of this sample and/or the checklist items provided should be directed to:

Name: Elaine P. Jeanpierre-Bailey

Phone # Civilian: (49) 06 11-705-3120

Email: elaine.p.jeanpierre-bailey.civ@mail.mil

Or: Karen Whitten; Karen.m.whitten.civ@mail.mil



## SBR 13.05 RPA approval

### Control Activity:

A final review of the RPA is performed by a designated official to ensure that personnel data has been entered completely and accurately. This review is evidenced by the designated official's signature and date on the RPA in DCPDS.

### Control Objective:

To ensure that a designated official confirms that all personnel data on the RPAs has been entered completely and accurately.

Owner	Designated individual
Frequency	Ad hoc
Document Retention	6 years, 3 months
Control Type	Preventive
Policy	Further research is being done to determine the current policies and regulations in place for this control.



## SBR 13.05 Control Procedures

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- Review the RPA to ensure that the personnel data has been entered completely and accurately.
- Sign the RPA (electronically/manually).
- Date the RPA (electronically/manually).
- Retain the documentation for 6 years, 3 months.

# SBR 13.05 RPA approval

## Supporting Document: SF 52, RPA

Standard Form 52  
Rev. 7/91  
U.S. Office of Personnel Management  
FPM Supp. 296-33, Subch. 3

### REQUEST FOR PERSONNEL ACTION

**PART A - Requesting Office (Also complete Part B, Items 1, 7-22, 32, 33, 36, and 39.)**

1. Actions Requested  
2. Request Number  
3. For Additional Information Call (Name and Telephone Number)  
4. Request Effective Date  
5. Action Requested By (Typed Name, Title, Signature, and Request Date)  
6. Action Authorized By (Typed Name, Title, Signature, and Concurrence Date)

**PART B - For Preparation of SF 50 (Use only codes in FPM Supplement 292-1. Show all dates in month-day-year order.)**

1. Name Last, First, Middle  
2. Social Security Number  
3. Date of Birth  
4. Effective Date

FIRST ACTION				SECOND ACTION							
5.A. Code	5.B. Nature of Action			5.A. Code	5.B. Nature of Action						
5.C. Code	5.D. Legal Authority			5.C. Code	5.D. Legal Authority						
5.E. Code	5.F. Legal Authority			5.E. Code	5.F. Legal Authority						
7. FROM: Position Title and Number				15, 10: Position Title and Number							
8. Pay Plan	9. Code	10. Grade or Level	11. Step or Rate	12. Total Salary	13. Pay Band	14. Pay Plan	15. Code	16. Grade or Level	17. Step or Rate	18. Total Salary (Award)	19. Pay Band
12A. Basic Pay	12B. Locality Adj.	12C. Adj. Basic Pay	12D. Other Pay	19A. Basic Pay	19B. Locality Adj.	19C. Adj. Basic Pay	19D. Other Pay				
14. Name and Location of Position's Organization						22. Name and Location of Position's Organization					

**EMPLOYEE DATA**

23. Veterans Preference  
1 - None  
2 - 5 years  
3 - 10 years/Disability  
4 - 10 years/Combat  
5 - 10 years/Other  
6 - 10 years/Combat/50%

24. Tenure  
0 - None  
1 - Permanent  
2 - Conditional

25. Agency Use  
26. Veterans Prof for RPA  
YES  NO

27. FRO  
28. Annuitant Indicator  
29. Pay Rate Determinant

30. Referral  
31. Work Schedule  
32. Post-Term Hours Per Week  
33. Pay Period

**POSITION DATA**

34. Position Occupied  
1 - Civilian Service  
2 - General Service  
3 - Special Service  
4 - SES Officer

35. RPA Category  
1 - Example  
2 - Example  
3 - Example  
4 - Example  
5 - Example  
6 - Example  
7 - Example  
8 - Example  
9 - Example  
10 - Example

36. Appropriation Code  
37. Bargaining Unit Status

38. Duty Station Code  
39. Duty Station (City - County - State or Overseas Location)

40. Agency Code  
41. Agency Code  
42. Agency Code  
43. Agency Code  
44. Agency Code

45. Educational Level  
46. Year Degree Attained  
47. Academic Discipline  
48. Functional Class  
49. Functional Class

**PART C - Reviews and Approvals (Not to be used by requesting office)**

1. Office/Division  
2. Job/Position  
3. Date

A. Processing Team Lead's Signature & Date  
B.  
C.

Signature  
Date

3. I certify that the information is accurate and that the requirements are met.

OVER

Editions Prior to 7/91 Are Not Usable After 6/30/93  
NCR 7540-01-323-6229

= Redact this information.

= DO NOT REDACT when submitting sample.

**Processing Team Lead signs and dates to evidence review and approval.**



## SBR 13.06 Master Employee Record

### Control Activity:

Army management performs a monthly review of the MER in DCPDS to confirm that employees included in the record are currently employed by the Army. This review is evidenced by management's signature and date on the MER system generated listing.

### Control Objective:

To ensure employees leaving the Army are properly removed/deactivated in personnel and payroll systems.

Owner	Designated individual, Army Management
Frequency	Monthly
Document Retention	6 years, 3 months
Control Type	Detective
Policy	Further research is being done to determine the current policies and regulations in place for this control.

## SBR 13.06 Control Procedures

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- *At this time, the data required to perform the control is either unavailable or is not available in the necessary format needed to execute the control.*



## Common Issues

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- Unsubmitted Documentation
  - Supporting documentation is not provided.
  
- Evidence of Review
  - Supporting documentation is missing a signature and/or date.



# Suggested Time and Attendance Check list

Pay period \_\_\_\_\_

Invalid Transaction cleared (daily, bi-weekly, retro) \_\_\_\_\_

Missing time cleared \_\_\_\_\_

## Departed employees

ATAAPS account closed \_\_\_\_\_

DCPS T&A status updated \_\_\_\_\_

Change of address forwarded to CSR \_\_\_\_\_

HR Outprocessing form completed \_\_\_\_\_



# Certifiers appointment memo for non - ATAAPS USERS

Command Letter head

DATE:

MEMORANDUM FOR RECORD  
From: (Command Name)  
To: (Appointee)

**YOU ARE HEREBY APPOINTED AS CERTIFYING OFFICIAL FOR TIME AND ATTENDANCE LABOR HOURS FOR (THE FOLLOWING TAG(S). YOUR RESPONSIBILITIES INCLUDE:**

- Ensure your employees' time and attendance records and supporting documents, e.g., leave, overtime, and compensatory time, is accurate and that all labor hours are certified no later than close of business on Friday before the end of each pay period.
- An independent reviewer appointed by the employing activity will review paper timecards entered into DCPS to ensure accuracy and validity (i.e., timecards were approved by authorized personnel). All differences are documented and resolved promptly. This review is evidenced by a signature and date on the reconciliation
- Procedural guidance is clear and adequate to ensure that timekeeping and time and attendance certification are correctly performed.
- Review the missing time and invalid transactions. This review is evidenced by signature and date of the preparer and reviewer on the exception reports or related checklist.
- All hard copy timecards and required supporting documentation are kept for 6 years and 3 months and readily available for audit purposes.

**YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED:**

- AE 690-110 Civilian Timekeeping in Europe
- AE 690-990-100 Alternative Work Schedule
- AE 690-630 Excused Absence
- DFAS Concept of Operations

I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that the signature below is my official signature.

Signature: \_\_\_\_\_  
Effective date: 01 January XXXX  
Expiration: 3 years from effective date

This appointment expires every three years or when there is a change in certifying official for this team (s). At the end of the three year period or when a change is made a new memorandum must be submitted to the Defense Civilian Pay System Support Division (DCPS) via email to [edgardo.d.burdios.civ@mail.mil](mailto:edgardo.d.burdios.civ@mail.mil).

POC for the above is the undersigned at DSN \_\_\_\_\_.

(Signature block)  
Name and Title of Appointing Official



# Timekeepers appointment memo for ATAAPS USERS

Command Letter head

DATE:

MEMORANDUM FOR RECORD

From: (Command Name)

To: Appointee

YOU ARE HEREBY APPOINTED AS PRIMARY **TIMEKEEPER** FOR (THE FOLLOWING) TEAM(S) IN ATAAPS.

YOUR RESPONSIBILITIES INCLUDE:

- Accurate and timely submission of labor hours approved "exception" data and corrections to that data
- Ensure all supporting documentations are signed by supervisor and the employee. Ensure all leave, overtime and comp time entries are approved and totals are correct before certification
- Print, review and clear discrepancies on the missing time and invalid transaction reports. This review is evidenced by signature and date of the preparer and reviewer on the exception reports or related checklist
- All required supporting documentation is available for audit purposes

YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED:

- AE 690-110 Civilian Timekeeping in Europe
- AE 690-990-100 Alternative Work Schedule
- AE 690-630 Excused Absence
- DFAS Concept of Operations

I acknowledge and accept the position and responsibilities defined above.

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

Effective date: 01 January XXXX

Expiration: 31 December XXXX

This appointment expires every three years or when there is a change in timekeeper for this team (s). At the end of the three year period or when a change is made a new memorandum must be submitted to the Defense Civilian Pay System Support Division (DCPS) via encrypted email to **usarmy.badenwur.usareur.mbx.odcs-g1-dcps-new-hire**

**Please use the following format as the subject line:**

**Timekeeper Last Name, UIC Physical Location**  
**Ex: Timekeeper Doe, J., UIC (UIC that appears on the main menu of ATAAPS), location of timekeeper**  
 POC for the above is the undersigned at DSN \_\_\_\_\_.

(Signature block)  
Name and Title of Appointing Official

- **DCPS Theater Support Office**
- **Contact Your Customer Service Representative**
- **Clay Kaserne, WAAF, Wiesbaden, Germany**

For additional information please click on below link:

<https://akologin.us.army.mil/>

Upon successful login go to search and type Army audit readiness



Type Army Audit Readiness  
Then click search

