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## Appendix H: Semi–Annual Surveillance Report Template

MEMORANDUM FOR ARMY LEVEL II A/OPC *insert Level 2 A/OPC*, HQ, Department of the Army, ATTN: DASA(P) (SAAL-PB), 2800 Crystal Drive, Arlington, VA 22202.

SUBJECT: Semi-Annual Surveillance Report for *insertagency,* Government Purchase Card Program (GPC) *insert period* Quarter Fiscal Year *insert year*.

ENCLS: (A) Department of Defense Purchase Card Review Checklist and Certification, Department of the Army Government Purchase Card Operating Procedures (AGPCOP) 22 July 2015, Appendix D

(B) Formal Reporting Requirements, AGPCOP Appendix G

1. Subject report is provided in accordance with AGPCOP, 22 July 2015, Chapter 4-2 Program Oversight and Reviews. The following provides an analysis and summary of findings identified in Enclosures (A) and (B) for *insert agency*. The subject report explains GPC Program systemic weaknesses, corrective actions, and lessons learned. The review was conducted by *insert reviewer name* for the period *insert time period*.

2. Formal Reporting Requirements:*Address reporting requirements found in Enclosure*

*(B).****Analysis should include the following:***

1. *Span of Control Waivers (BO:A/OPC=7:1, A/OPC:BO=300:1; Is justification sufficient/approved for increased span of control?*
2. *Accounts inactive > 3 months-justification sufficient?*
3. *Numberof BO accounts inspected, number of transactions reviewed for each BO, number of BO accounts reviewed during prior reporting period*
4. *Compliant with 100% yearly BO review?*
5. *Number of CH accounts inspected, number of transactions reviewed for each CH (1 per CH preferred/6% sample size is DoD standard)*
6. *Method of compliance review for BO and CH (PCOLS, Bank’s EAS, in person, remotely, or electronically)*
7. *Mandatory transaction log review of new CHs within initial 4 months of CH appointment?*
8. *What metrics are being utilized to manage your GPC Program (i.e.Delinquency (0.75), Financial Exposure)?*

Appendix H: Semi-Annual Surveillance Report Template (continued)

3. Appointment and Account Issuance and Maintenancefor A/OPCs, BOs, and CHs: *Address Section A, 1-14 of Enclosure (A).****In addition to*** *items on the checklist, address the following:*

* *Level 3 and 4 A/OPC training requirement*
* *Is Level 4 A/OPC certified at Level II in Contracting or Purchasing or will individual have acquired the certification within 24 months of appointment?*
* *Organization’s Delegation of Authority (i.e. SCO*?*CCO, SCO*?*Level III A/OPC and Alternate, CCO*?*Level 4 A/OPC and Alternate, Level 4 A/OPC or CCO*?*BO and CH)*
* *Are appointment letters current?*

4. GPC Usage Requirements:*Address Section B, 1-39 of Enclosure (A).****In addition to*** *items on the checklist, address the following:*

*Adherence to GPC Program requirements: transaction activity; systemic problems, delinquencies and corrective action, abuse, or fraud; summary of adverse actions (type and number) against the responsible individual; formal reports issued to the Chief of the Contracting Office (CCO)*

*Incidents ofsplitting purchasesto override purchase threshold*

*Incidents of “After the fact” buys*

*Rotating sources in order to give vendors a fair opportunity*

*Use of mandatory sources, specifically CHESS,AbilityOne, FSSI BPAs on DoD EMALL Corridor*

*Credits and rebates-were they adequately accounted for*

*What Strategic Sourcing initiatives are in place?*

5. Documentation Requirements:*Address Section C, 1-14 of Enclosure (A).****In addition to*** *items on the checklist, address the following:*

*File Documentation (hard copy)- Does Level 4 A/OPC file contain purchase card applications and approvals, account maintenance, CH and BO delegation of appointment letters, ethics and training certifications, results of annual reviews?*

*Do BO files contain hard copy CH statements, original receipts, invoices, logs, approvals, supporting documentation, CH delegation of authority letters, BO appointment letters?*

*Do CH files contain purchase logs, statements of record, billing statements, documentation supporting purchase (fair and reasonable, competition, legitimate need, receipt and acceptance), appointment letter, training certificates?*

Appendix H: Semi-Annual Surveillance Report Template (continued)

6. Processing Requirements:*Address Section D, 1-3 of Enclosure (A).****In addition to*** *items on the checklist, address the following:*

*Reconciliation and certification of invoice payments-review and reconciliation of CH statement against receipt documentation within 5 days; prior bills paid; purchases necessary, mission essential, meet minimum need of the Government; contains valid line of accounting*

7. Financial Requirements:*Address Section E, 1-2 of Enclosure (A).*

8. Convenience Check Writer Requirements:*Address Section F, 1-10 of Enclosure (A).*

9. GPC Accounts Used to Place Orders by Ordering Officer: A*ddress Section G, 1-9 of Enclosure (A).*

10. Contract Payment Requirements:*Address Section H, 1-10 of Enclosure (A).*

11. Payments to Document and Automation Production Services (DAPS) or Other Government Entities: A*ddress Section I, 1-4 of Enclosure (A).*

12. Training Payments:*Address Section J, 1-7 of Enclosure (A).*

13. Previous Findings:*Address adverse findings from previous quarterly reviews, corrective actions taken, and results.*

14. Surveillance Reporting:*Have all Level 4 A/OPCs received proper training and oversight for conducting surveillance? How is information transferred from Level 3 A/OPC to Level 4 A/OPCs; how is information packaged and presented to Level 2 A/OPC? To what extent is PCOLS used to collect surveillance data. What tools within PCOLS were utilized (EMMA, AIM, DM, Risk Assessment)?*

15. Program Summary:*Summarize repetitive or systemic weaknesses at the individual command and organizational level. What corrective actions will be taken and how will corrective actions be tracked?*

16. Exceptional Performance:*Identify examples of exceptional GPC programs or performance and/or lessons learned.*

17. Any questions may be directed to the undersigned at *insertLevel 3 A/OPC* at *(XXX)XXX-XXXX*.

Level 3 Agency/Organizational Coordinator

*Insert A/OPC Signature*