

**COMMANDER NAVY INSTALLATIONS COMMAND (CNIC)
MANAGEMENT and ASSISTANCE TEAM (N9G)**



**Local
Internal Control Questionnaire (ICQ)
FY17**

HUMAN RESOURCES

5720 INTEGRITY DRIVE
MILLINGTON TN 38055-6520

REVISED OCTOBER 2016

REVIEW COVER SHEET

HOST COMMAND: _____

DATE OF REVIEW: _____

REVIEW CONDUCTED BY: _____

Business Office POC

Name_____

Email: _____

Phone: _____

Region Internal Review Officer

Name_____

Email: _____

Phone: _____

Briefly describe the Human Resource program at this activity:

Program:

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PERSONNEL AND PAYROLL			
1.	<p>Does each employee have a Official Personnel Folder (OPF) and does the tab contain the pertinent employee information, i.e. name, DOB, SSN?</p> <p>Reference: CNICINST 5300.2, Chapter 2, Sec 203g. OPM Guide to Personnel Record Keeping Chapter 2, Establishing Personnel Records.</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
2.	<p>Are the personnel folders maintained in a locked metal fireproof cabinet in the Human Resources Office and are the termed files separated from the active employees?</p> <p>Reference: OPM Guide to Personnel Record Keeping Chapter 1, Safeguarding Personnel Records</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
3.	<p>Does the personnel folder contain the appropriate documents and are those documents filed correctly, either right or left side of OPF?</p> <p>Note: Performance records transferred from agency to agency will be on the left side of the personnel folder.</p> <p>Reference: CNICINST 5300.2, para 215a. 317b. 203c.(3) OPM Guide to Personnel Record Keeping Chapter 3, Folder Filing Instructions</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
4.	<p>If employee has prior military service, is a DD214 in the personnel folder; did HRO complete SF813 and send to the record center for verification of military campaign badges and did the employee receive credit for that service?</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>

PERSONNEL AND PAYROLL			
	<p>Reference: CNICINST 5300.2, 404a.(3) OPM Guide to Personnel Record Keeping, Chapter 3, Folder Filing Instructions.</p> <p>Comments:</p>	<p>NR <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
5.	<p>Are performance appraisals conducted annually to include an Individual Development Plan (IDP).</p> <p>Reference: CNICINST 5300.2, 220</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
6.	<p>If pay increases or cash awards are given to employees, are there a recommending supervisor signature and an approving authority signature? (unless CO is issuing official)</p> <p>Note: Consideration of local established policy/instruction (if applicable).</p> <p>Reference: CNICINST 5300.2, Chapter 2, Sec 221</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
7.	<p>Does each vacancy file contain the proper documentation?</p> <p>Reference: CNICINST 5300.2, Chapter 2, Sec 205</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>

PERSONNEL AND PAYROLL			
8.	<p>Are changes in employment category, grade and/or reassignments involving pay increases competitive, i.e. part time to full time, flexible to regular properly annotated on the Personnel Action Report (PAR) and filed in the OPF ?</p> <p>Reference: CNICINST 5300.2, Chapter 2, Sec 212b.</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
9.	<p>Have all NF 5 positions been classified by CNIC N94?</p> <p>Reference: CNICINST 5300.2, 318a.3</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
10.	<p>Is there a position description in the personnel file that corresponds to the employee's current position and rate of pay?</p> <p>Reference: CNICINST 5300.2, 303 OPM Guide to Personnel Record Keeping, Chapter 3, Folder Filing Instructions.</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
11.	<p>Are employee's additions and deletions from payroll, as well as changes in pay and promotions, evidenced by an approved PAR?</p> <p>Reference: CNICINST 5300.2, 221f.(e)(4)(c); 303c.(b), Appendix A, pg. A-7</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
12.	<p>Are craft and trade employee's receiving step increases after completion of required waiting period?</p> <p>Reference:</p>	<p>YES <input type="checkbox"/></p> <p>NR</p>	<p>NO <input type="checkbox"/></p> <p>N/A</p>

PERSONNEL AND PAYROLL			
	CNICINST 5300.2, 304 OPM Operating Manual, Federal Wage System NAF Comments:	<input type="checkbox"/>	<input type="checkbox"/>
13.	Are written approved work schedules available for all employees and are changes to the approved schedule authorized in writing by the supervisor or their designated representative? Reference: CNICINST 5300.2, Chapter 4 sec 402) Comments:	YES <input type="checkbox"/> NR <input type="checkbox"/>	NO <input type="checkbox"/> N/A <input type="checkbox"/>
14.	Is there a Group Benefit Enrollment Form (GIP-2) electing/waiving benefits in the OPF? Reference: CNICINST 5300.2, para 203g. Comments:	YES <input type="checkbox"/> NR <input type="checkbox"/>	NO <input type="checkbox"/> N/A <input type="checkbox"/>
15.	Are appropriate retirement election forms in the OPF? Reference: CNICINST 5300.2, para 203g. Comments:	YES <input type="checkbox"/> NR <input type="checkbox"/>	NO <input type="checkbox"/> N/A <input type="checkbox"/>
16.	Is there documentation establishing competitive areas for BBA's? Document must be at least 90 days old (90 days from publication and employee notification of the change) before the new competitive area can be used in a BBA. Note: Documentation shall be placed on bulletin boards (if applicable) Reference: CNICINST 5300.2, Chapter 6 Sec 604 Comments:	YES <input type="checkbox"/> NR <input type="checkbox"/>	NO <input type="checkbox"/> N/A <input type="checkbox"/>

PERSONNEL AND PAYROLL

17.	<p>Review Re-employment Priority List (RPL). Regular non-probationary employees and flexible employees who have 3 years or more in the NAFI immediately prior to the announcement of the BBA, will be placed on the RPL to provide placement assistance to those separated by BBA.</p> <p>Reference: CNICINST 5300.2, Sec 206A</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
18.	<p>Review new employee orientation paperwork for appropriate forms.</p> <p>Reference: CNICINST 5300.2, Sec 215</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
19.	<p>Review payment of overtime to exempt employees for management approval. No employee identified as exempt may be paid overtime or given compensatory time off unless the overtime pay or compensatory time off is requested and authorized in advance by the designated approving official.</p> <p>Reference: CNICINST 5300.2, Sec 305 and 306</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
20.	<p>Are CNIC CYP standardized position descriptions (PDs) used for all CYP operations? If the standardized PDs are not used, has the new PD been approved</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>

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	<p>by CNIC (N912)?</p> <p>Note: A copy of NAF standardized PDs are available on the MWR NAF Personnel Website. NAF standardized PDs are on the G2.</p> <p>Reference: OPNAV 1700.9E, Chapter 13, Section 3.</p> <p>Comments:</p>	<p>NR <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
21a.	<p>Are all CYP employees who deliver direct care services paid at the appropriate GS equivalent rate of pay?</p> <p>Note: Direct care staff is defined as those employees who deliver or assist in delivering child care, educational, or recreational services to children or youth participating in Child Development Centers (CDC), School Age Care (SAC), Youth Programs (YP) or 24/7 Child Care Centers. Are covered employees paid in accordance with Table 2 of the CY Pay Plan?</p> <p>Reference: OPNAV 1700.9E, Chapter 13 CY Pay Plan Letter DOD 1400.25-M, Volume 1405, Civilian Personnel Management System: NAF Pay and Allowance Appendix 3 to Enclosure 2, Table 18 CNICINST 5300.2, Sec 305</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
21b.	<p>Are employee qualifications reviewed and placed in the appropriate PD based on experience and education level?</p> <p>Reference: OPNAV 1700.9E, Chapter 13 CY Pay Plan Letter DoD 1400.25-M, Volume 1405, Civilian Personnel Management System: NAF Pay and Allowance Appendix 3 to Enclosure 2, Table 18 CNICINST 5300.2, Sec 305</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>

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	Comments:		
21c.	<p>Are employees who have completed their CDA or equivalent brought in at full-performance level?</p> <p>Reference: OPNAV 1700.9E, Chapter 13 CY Pay Plan Letter DOD 1400.25-M, Volume 1405, Civilian Personnel Management System: NAF Pay and Allowance Appendix 3 to Enclosure 2, Table 18 CNICINST 5300.2, Sec 305</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
22.	<p>An IRC, which includes a check of base security, Substance Abuse Rehabilitation Program (SARP), and Central Registry, is conducted for all employees with DOD affiliation?</p> <p>Reference: OPNAV 1700.9E, Chapter 16</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
23.	<p>A local police check is conducted for all employees who do not have a DOD affiliation?</p> <p>Reference: OPNAV 1700.9E, Chapter 16</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
24.	<p>A NACI is initiated as part of the employee's initial in-process and results are documented in the OPF and communicated to the CYP Director?</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>

PERSONNEL AND PAYROLL

	<p>Reference: OPNAV 1700.9E, Chapter 16</p> <p>Comments:</p>	<p>NR <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
25.	<p>A record re-verification is conducted every 5 years?</p> <p>Reference: OPNAV 1700.9E, Chapter 16</p> <p>Comments:</p>	<p>YES <input type="checkbox"/></p> <p>NR <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
<p>Notes:</p>			