

Sample email delivered to A/OPCs and A/OPC Supervisor identifying a completed A/BO review for a Data Mining High Risk Flagged Transaction

The A/OPC or A/OPC Supervisor must complete an Independent Review (IR) within 16 business days of the A/BO case review being completed

From: <PCOLS_noreply@dmdc.osd.mil>
Date: Sat, Nov 23, 2013 at 9:54 AM
To: Primary A/OPC@mail.mil, Alt A/OPC@mail.mil
Cc: A/OPC Supervisor@mail.mil
Subject: [PCOLS DM] High Risk Transaction Review Completed

The A/BO has completed their review of the High Risk transaction referenced below. You are required to perform an independent review on this transaction.

The transaction has been given a disposition of: Valid Transaction

The following is a summary of the transaction:

Cardholder Account Number: *1361
Cardholder Name: Terry Johnson
Primary A/BO Name: James Hibachi
TBR Hierarchy: 47163-00005-00055-05555-24435
Case Number: 1252994
Transaction ID: 0051c5bbf50bc350
Date of the Transaction: 03-05-2013 13:04:29
Merchant Name: ULINE *SHIP SUPPLIES
Transaction Amount: \$86.46

To complete an independent review of this transaction:

1. Access PCOLS using the link below.
https://pki.dmdc.osd.mil/appi/pcols-web/CACAuthenticateAction.do?newSession=true&case_num=1252994
2. Authenticate yourself using your Common Access Card (CAC)
3. Select your role associated with this account (TBR Hierarchy 47163-00005-00055-05555-24435).
4. Review the transaction.
5. Click Add Independent Review
6. Enter a disposition and, if required, the planned action.
7. Click Save to complete the independent review.

For PCOLS technical support, including system access, please contact the PCOLS help desk at the following phone numbers.
. US (CONUS) - Commercial (toll-free): 1-800-376-7783; OCONUS - DSN: 661-7307; Direct dial: 269-961-7307

If a required Independent Reviews is not completed timely it will appear as an exception in RAD under Control 5.3.

Purchase Card Risk Assessment Dashboard

Welcome James Vincent Tew. You are logged in as HCA Agent (47163)

HCA Agent (Level 3) Dashboard

Total Level 4s: 17

Overall Risk Assessment: ●

Quarterly Reports: Select Cycle: 19-Feb-2016

Control ID	Description	Level 4 Risks	Level 3 Risks	Level 2 Risks	Level 1 Risks
Category 1: Span of Control					
Control 1.1: Cardholder Accounts to Managing Accounts	More than seven Cardholder Accounts to one Managing Account	12	0	0	0
Control 1.2: Accounts to A/OPC TBR	More than 300 accounts to 1 A/OPC TBR Level	17	0	0	0
Category 2: Separation of Duties					
Control 2.1: Inadequate Separation of Duties	Accounts for which the Cardholder and A/BO are the same individual	12	0	0	0
Category 3: Authorization Controls					
Control 3.1: Spending Ratio - Underutilized Credit Limits	Accounts for which the three-cycle spending average is less than 70% of the average cycle limit	5	2	10	0
Control 3.2: Single Merchant Spending	Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant	17	0	0	0
Category 4: Account Status					
Control 4.1: Delinquent Accounts	Managing Accounts delinquent for more than 30 days	13	4	0	0
Control 4.2: Account Usage	Accounts that have been inactive for six cycles or have never been used	15	1	1	0
Control 4.3: Lost/Stolen Cards	Managing Accounts that have more than one lost/stolen card(s) in the last six cycles	12	0	0	0
Control 4.4: Transaction Disputes	Cardholder Accounts that have three or more transaction disputes over the last three cycles	15	1	1	0
Category 5: Transaction Review Controls					
Control 5.1: Average Cycle Transactions	Higher than average number of transactions (>100) for a Managing Account per cycle, based on three cycles of data	16	1	0	0
Control 5.2: A/BO Response Rate	A/BO failure to complete case review in Case Management for flagged transactions within 16 business days	13	1	3	0
Control 5.3: A/OPC Response Rate	A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review	8	1	8	0
Control 5.4: Flagged Transaction Determination	Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)	15	2	0	0
Control 5.5: Convenience Check Amounts	Accounts that have a Convenience Check transaction for more than \$3,500	17	0	0	0
Control 5.3: A/OPC Response Rate	A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review	9	1	7	0
Control 5.4: Flagged Transaction Determination	Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)	15	2	0	0
Control 5.5: Convenience Check Amounts	Accounts that have a Convenience Check transaction for more than \$3,500	17	0	0	0



Drill down options include selecting the actual control 5.3 or selecting the exception numbers in the right hand column

-Select "Red" exception number of 7 to drill down

[Control 5.3: A/OPC Response Rate](#)

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

Level 4 Risks 9
 1
 7

[Control 5.4: Flagged Transaction Determination](#)

Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)

Level 4 Risks 15
 2
 0

[Control 5.5: Convenience Check Amounts](#)

Accounts that have a Convenience Check transaction for more than \$3,500

Level 4 Risks 17
 0
 0

Select "Number of Exceptions" to drill to specifics on High Risk transactions

DMDC
Information and Technology for Better Decision Making
Help | Select Role | Logoff

Purchase Card Risk Assessment Dashboard

Welcome James Vincent Tew.

[Role Selection](#) > [Dashboard](#) > Control Report 5.3

A/OPC Response Rate

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

View: HCA Agent Select Cycle: 19-Feb-2016
 PCPO >> Select Risk Level: High

Risk Level(s) Displayed:

Level 3	Level 4	A/OPC Name	Number of Managing Accounts	Number of Cardholder Accounts	Total Transactions	Flagged Transactions	Flag %	Number of Exceptions
			29	64	345	15	4.35%	5
			52	66	398	15	3.77%	2
			21	24	108	17	15.74%	2
			28	69	311	16	5.14%	4
			25	64	355	26	7.32%	4
			109	184	1892	74	3.91%	7
			4	11	231	14	6.06%	2

-Select "Transaction Amount" to continue drill down on specifics of the case from Data Mining

Welcome James Vincent Tew.

[Role Selection](#) > [Dashboard](#) > Control Report 5.3

A/OPC Response Rate

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

View: Approving/Billing Official

Select Cycle: 19-Feb-2016

[PCPO](#) >>

Level 4	Level 5	Cardholder Account Number	Single Purchase Limit	Cycle Spending Limit	Total Cycle Spend	Cycle Transactions	Transaction Amount	Merchant	Transaction Date	Case Close Date
		*****0161	\$3,000.00	\$5,000.00	\$60.76	1	\$376.96	PARADISE LUA INC	10-Dec-2015	19-Dec-2015
		*****1511	\$3,000.00	\$20,000.00	\$2,815.00	7	\$2,244.00	LA QUINTA INNS 4010	04-Oct-2015	26-Oct-2015
		*****4391	\$3,000.00	\$0.00	\$0.00	0	\$2,924.10	HOME GYM CENTER	16-Oct-2015	21-Oct-2015
		*****0762	\$3,000.00	\$0.00	\$2,885.14	6	\$2,890.00	IN *THE MONTEREY COMPANY,	16-Oct-2015	05-Nov-2015

Specific case information is displayed

DMDC Information and Technology for Better Decision Making

Help | Select Role | Logoff



Purchase Card Risk Assessment Dashboard

Welcome James Vincent Low. You are logged in as Help Desk Manager (42163)

DM/RA Case Information

Cardholder Account Number	Cardholder Name	Managing Account Number	Primary A/BO Name	Case Number	Case Status	Case Reviewed By	A/BO Case Disposition	A/BO Review Date	Independent Review Status
*****0762	Michael	*****4475	Eric	1687!	Closed	Eric	Valid Transaction	05-NOV-2015	None

[Return to Report](#)

The case can be looked up and viewed in Data Mining by using the Case Number under the “Find Transactions” tab. When the case is viewed in Data Mining it confirms the IR was not completed.

Case Management **Find Transactions**

Case Details

VIEW: Summary | All - Grouped

Transaction Information

Account Number:	*****760762	Cardholder Last Name	Managing Account Number:	*****084475	Primary A/BO Last Name
Transaction Date:	Fri Oct 16 2015 04:56:28		Transaction Type:	O	
Transaction Amount:	\$ 2890.00		Case Created Date:	Tue Oct 20 2015 11:03:24	
Self Initiated:			Case Opened Date:	Thu Nov 05 2015 10:52:51	
Merchant Name:	IN *THE MONTEREY COMPANY, 877-2909290 , OR , 977020000 840		Last Updated Date:	Thu Nov 05 2015 10:55:36	
MCC:	5199 (NON-DURABLE GOODS - DEFAULT)		Last Action:	Valid Transaction	

Action History

DATE	TYPE	DISPOSITION	RECOMMENDED ACTION	A/OPC NOTIFIED	REFERRED TO DOD ORGANIZATION	COMMENTS	USER
Thu Nov 05 2015 10:55:36	A/BO	Valid Transaction				View	Eric

Describe Product or Service Acquired

Data Mining confirms no Independent Review was completed

Example of a completed Independent Review in the Action History section of a Data Mining case

Action History

DATE	TYPE	DISPOSITION	RECOMMENDED ACTION	A/OPC NOTIFIED	REFERRED TO DOD ORGANIZATION	COMMENTS	USER
Fri Jun 15 2012 15:46:21	A/BO	Valid Transaction				View	Derek (
Mon Jun 18 2012 10:17:57	IR	Valid Transaction				View	Byron

Add Independent Review