U.S. Department of
Homeland Security

United States
Coast Guard

Coast Guard
Servicing Personnel Office Manual

PPCINST M5231.3
September 2010

This page left blank intentionally

U.S. Department of Homeland Security
United States Coast Guard

COMMANDING OFFICER
U. S. COAST GUARD
PAY & PERSONNEL CENTER

444 SE QUINCY ST
TOPEKA, KS 66683-3591
Staff Symbol: P&D
Phone: 785 339-2214

PPCNOTE 5231
30 March 2011

CANCELLED:
29 March 2012

PAY & PERSONNEL CENTER NOTICE 5231

Subj: CH-1 TO PPCINST M5231.3, COAST GUARD SERVICING PERSONNEL OFFICE MANUAL

1. Purpose This notice publishes changes to PPCINST M5231.3, Coast Guard Servicing Personnel Office Manual.

2. Action Area, district, and sector commanders, commanders of maintenance and logistics commands, Commander Deployable Operations Group, commanding officer of headquarters units, assistant commandant for directorates, Judge Advocate General, and special staff offices at Headquarters with SPOs attached shall ensure that the provisions of this manual are followed. Internet release is authorized.

3. Procedures No paper distribution will be made of this Notice. Official distribution will be via the Coast Guard Pay & Personnel Center's web site: http://www.uscg.mil/ppc/spoman.asp.

4. Summary of Changes This change incorporates the contents of E-Mail ALSPO messages G/10, J/10, A/11, B/11 and C/11. A side bar in the margin marks the significant changes. Significant changes include:

Part I, Direct Access/Jumps Overview:

Chapter 1: Updated to reflect implementation of *MyPortalDirect*.

Continued on next page

DISTRIBUTION - SDL No. N/A (Note: This notice distributed electronically only)

	a	b	c	d	e	f	g	h	l	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A																										
B		*						*				*	*	*				*					*			
C																										
D																										
E		*																								
F				1			1		1												*					
G			1																							
H																										

*NON-STANDARD DISTRIBUTION: Download copies from http://www.uscg.mil/ppc/spoman

4. Summary of Changes (cont'd)

Chapter 2: Changed title to "DA SPO User Roles and Access (HRS/HRSUP)". Added Payment Approval Official (PAO) designation criteria and process. Added requirement SPO Authorized Personnel Roster.

Chapter 3: Changed title to "Documentation Standards". Added Procedures for Completing Forms & Worksheets and Evidence Supporting Military Payroll Transactions, General Guidance for Servicing Personnel Offices.

Chapter 4: Provides guidelines for SPOs to follow when providing services to members who are not permanently or temporarily assigned, for a period of more than 60 days, to a unit in the SPO's area of responsibility (AOR).

Part II, Pay Entitlements: Added review & approval process to the following sections.

Sect	Title
5-A	Basic Allowance for Subsistence
5-B	Refund of DMR for Missed Meals
7	Career Sea Pay / Time
8-A	Officer Uniform Allowance
8-C	Supplemental Clothing Allowance
8-D	Maternity Uniform Allowance
8-E	Civilian Clothing Money Allowance
9-A	CONUS Cost of Living Allowance
9-B	OUTCONUS COLA With Dependents
9-C	OUTCONUS COLA Without Dependents
9-D	Fractional OUTCONUS COLA
11-C	Combat SGLI Allowance
11-D	Combat Tax Exclusion
11-E	Diving Duty Pay
11-F	Family Separation Allowance
11-G	Flight Deck Hazardous Duty Incentive Pay
11-H	Foreign language Proficiency Pay
11-I	Hardship Duty Pay
11-J	Hazardous Duty Incentive Pay for High Pressure Chamber
	Hazardous Duty Incentive Pay for Visit, Board, Search and Seizure (HD
11-K	Boarding Team Members
11-L	Imminent Danger – Hostile Fire Pay
11-M	Personal Money Allowance
11-N	Responsibility Pay
11-O	Special Duty Assignment Pay

Continued on next page

4. Summary of Changes (cont'd)

Part II, Pay Entitlements: (cont'd)

Chapter 3: Added basic navigation for pay entitlement review & approval.

Section 11-A: Added "Notify PPC Customer Care of any erroneous ESACIP submissions. They will coordinate with PPC (ID) to have the transaction removed from the system".

Chapter 15: The View Paycheck page now includes LES data *and* comments/remarks for the current month and the previous 12 months.

Part III, General Transactions:

Chapter 4: Removed step 7 from Divorce, Annulment or Death of Spouse procedure table. It said to remove the BAH eligibility date when changing spouse to ex-spouse. However, (MAS) needs the date in that field when researching pay entitlement entries that were submitted when the member was married.

Part VI, Separations:

Chapters 3, 4 and 5: Changed procedure for completing Separation pay tab to reflect that only the Highest Pay Grade Held field is required to be completed by the SPO only when the member is authorized Disability Severance Pay and that all other fields on this tab are "read only". The other fields are populated when the separation request/authorization is approved by CG PSC.

Part VII, Reserve Unique Transactions:

Chapter 4: Removed requirement to enter stop dates on entitlements. Entitlements will reflect the RELAD date as the stop date upon approving the RELAD.

Continued on next page

5. Action Remove and insert the following pages.

Remove	Insert
Table of Contents i thru vi	Table of Contents i thru vi
Pages I-i thru I-ii	Pages I-i thru I-ii
Pages I-1-1 thru I-2-42	Pages I-2-1 thru I-2-26
Pages I-2-1 thru I-2-18	Pages I-2-1 thru I-2-12
Pages I-3-1 thru I-3-28	Pages I-3-1 thru I-3-12
(N/A New Chapter Added)	Pages I-4-1 thru I-4-4
Pages II-3-1 thru II-3-32	Pages II-3-1 thru II-3-34
Pages II-5-A-1 thru II-5-A-18	Pages II-5-A-1 thru II-5-A-18
Pages II-5-B-1 thru II-5-B-14	Pages II-5-B-1 thru II-5-B-12
Pages II-7-1 thru II-7-26	Pages II-7-1 thru II-7-28
Pages II-8-i thru II-8-ii	Pages II-8-i thru II-8-ii
Pages II-8-A-1 thru II-8-A-12	Pages II-8-A-1 thru II-8-A-12
Pages II-8-B-1 thru II-8-B-2	Pages II-8-B-1 thru II-8-B-2
Pages II-8-C-1 thru II-8-C-8	Pages II-8-C-1 thru II-8-C-8
Pages II-8-D-1 thru II-8-D-8	Pages II-8-D-1 thru II-8-D-10
Pages II-8-E-1 thru II-8-E-10	Pages II-8-E-1 thru II-8-E-10
Pages II-9-A-1 thru II-9-A-12	Pages II-9-A-1 thru II-9-A-14
Pages II-9-B-1 thru II-9-B-12	Pages II-9-B-1 thru II-9-B-14
Pages II-9-C-1 thru II-9-C-12	Pages II-9-C-1 thru II-9-C-14
Pages II-9-D-1 thru II-9-D-8	Pages II-9-D-1 thru II-9-D-10
Pages II-11-i and II-11-ii	Pages II-11-i and II-11-ii
Pages II-11-A-19 thru II-11-A-20	Pages II-11-A-19 thru II-11-A-20
Pages II-11-C-1 thru II-11-C-24	Pages II-11-C-1 thru II-11-C-24
Pages II-11-D-1 thru II-11-D-22	Pages II-11-D-1 thru II-11-D-24
Pages II-11-E-1 thru II-11-E-12	Pages II-11-E-1 thru II-11-E-14
Pages II-11-F-1 thru II-11-F-24	Pages II-11-F-1 thru II-11-F-24
Pages II-11-G-1 thru II-11-G-8	Pages II-11-G-1 thru II-11-G-8
Pages II-11-H-1 thru II-11-H-20	Pages II-11-H-1 thru II-11-H-22
Pages II-11-I-1 thru II-11-I-12	Pages II-11-I-1 thru II-11-I-12
Pages II-11-J-1 thru II-1J-I-12	Pages II-11-J-1 thru II-11-J-12
Pages II-11-K-1 thru II-11-K-6	Pages II-11-K-1 thru II-11-K-8
Pages II-11-L-1 thru II-11-L-20	Pages II-11-L-1 thru II-11-L-24
Pages II-11-M-1 thru II-11-M-12	Pages II-11-M-1 thru II-11-M-14
Pages II-11-N-1 thru II-1-N-12	Pages II-11-N-1 thru II-1-N-12
Pages II-11-O-1 thru II-1-O-18	Pages II-11-O-1 thru II-1-O-22
Pages II-15-1 thru II-15-4	Pages II-15-1 thru II-15-4
Pages III-4-69 thru III-4-70	Pages III-4-69 thru III-4-70
Pages VI-3-1 thru VI-3-24	Pages VI-3-1 thru VI-3-24

Continued on next page

5. Action **(continued)**

Remove	Insert
Pages VI-4-1 thru VI-4-24	Pages VI-4-1 thru VI-4-24
Pages VI-5-1 thru VI-5-18	Pages VI-5-1 thru VI-5-20
Pages VII-4-77 thru VII-78	Pages VII-4-77 thru VII-78

6. Environmental aspect and impact considerations

Environmental considerations were examined in the development of this notice and have been determined to be not applicable.

7. Forms and Reports

Forms referenced in this Manual are available in USCG Adobe Forms on SWSIII or on the Internet at http://www.uscg.mil/ppc/forms/.

8. Comments and Recommendations

PPC encourages user recommended revisions and corrections to the Coast Guard Servicing Personnel Office Manual. Comments or recommendations may be submitted by sending an e-mail to PPC (P&D) at PPC-PF-PD@uscg.mil.

J. D. PHILLIPS

This page blank

U.S. Department of Homeland Security
United States Coast Guard

COMMANDING OFFICER
U. S. COAST GUARD
PAY & PERSONNEL CENTER

444 SE QUINCY ST
TOPEKA, KS 66683-3591
Staff Symbol: P&D
Phone: 785 339-2214

PPCINST M5231.3
24 September 2010

PAY AND PERSONNEL CENTER INSTRUCTION M5231.3

Subj: COAST GUARD SERVICING PERSONNEL OFFICE MANUAL (SPO MANUAL)

1. Purpose

This manual instruction establishes procedures for Servicing Personnel Offices (SPOs):

- It provides guidance to the SPOs on how to accurately report personnel events and transactions into the DA/Joint Uniform Military Pay System (DA/JUMPS).
- It applies to all SPOs within the Coast Guard and the National Oceanic and Atmospheric Administration (NOAA).

2. Action

All CG unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, an chiefs of headquarters staff elements with Servicing Personnel Offices attached shall comply with the provision of this manual. Internet release is authorized.

3. Directives Affected

PPCINST M5230.3, PMIS/JUMPS Analysis Manual is cancelled.

Continued on next page

DISTRIBUTION - SDL No. N/A (Note: This notice distributed electronically only)

	a	b	c	d	e	f	g	h	I	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A																										
B		*						*				*	*	*				*					*			
C																										
D																										
E		*																								
F				1			1		1												*					
G			1																							
H																										

*NON-STANDARD DISTRIBUTION: Download copies from http://www.uscg.mil/ppc/spoman

4. Environmental aspect and impact considerations

Environmental considerations were examined in the development of this manual instruction and have been determined to be not applicable.

5. Forms Availability

Forms and worksheets referenced in the Personnel and Pay Procedures Manual, PPCINST M1000.2 (series), shall be used as the source documentation to enter personnel data information into DA/JUMPS. Other types of communication are authorized and encouraged when an existing worksheet does not provide for the necessary information (i.e., E-mail). Applicable forms and worksheets are listed at: http://www.uscg.mil/ppc/forms/.

6. Change Management

Changes are numbered consecutively and are issued annualy. A PPC Notice (PPCNOTE) promulgates changes. SPOs are notified by e-mail when changes are issued. Interim changes are published via E-Mail ALSPO message. Base Commanders and Personnel Services and Support Unit supervisors and commanding officers of units with SPOs attached shall ensure an e-mail distribution list or public folder (with the ability to receive e-mail) is established for each SPO and that the e-mail address is provided to PPC (P&D). PPC (P&D) maintains the SPO Contact List, which is available at http://cgweb.psc.uscg.mil/spocontactlist.asp, for review and verification.

7. Comments/ Suggestions

PPC relies on user input and feedback for improvement of this and other publications we provide. If there are any areas that are not clear, complete or accurate, additional procedures that should be included, or any other recommendations you may have for improvement, we would like to know about them. Comments or recommendations may be submitted by E-mail to "PPC-PF-PD@uscg.mil".

J. D. PHILLIPS

Record of Changes

Change Number	Dated	Date Entered	Signature of Person Entering Change
1	30 March 2011	31 March 2011	R.A.Etheridge, Editor, USCG PPC (p&d)

Note: Additional/Replacement copies of this manual instruction or changes may be obtained by downloading them from http://www.uscg.mil/ppc/spoman/

THIS PAGE LEFT BLANK INTENTIONALLY

Table of Contents

Introduction

The Coast Guard Servicing Personnel Office Manual is comprised of ten parts covering all aspects pay and personnel data entry.

Contents

Part I - Overview

Part II - Pay Entitlements

Continued on next page

Table of Contents, Continued

Part III - General Transactions

Part IV - PCS Transfer

Continued on next page

Part V - Reenlistments and Extensions

Continued on next page

Part VI - Separations

Part VII - Reserve Unique Transactions

Part VIII - Accessions

Continued on next page

Part VIII - Accessions, Continued

Part IX - Joint Uniform Military Pay System (Jumps)

Part X - Reports and Queries

THIS PAGE LEFT BLANK INTENTIONALLY

Coast Guard Servicing Personnel Office Manual

Part I, Overview

Overview

Introduction

The Pay and Personnel Center Servicing Personnel Office Manual (DA SPO Manual) was created to better enable Servicing Personnel Office (SPO) personnel in the pursuit of proper human resource management.

Part Outline

There are 10 Parts that comprise the DA SPO Manual:

- Part I – Direct Access / JUMPS Overview
- Part II – Pay Entitlements
- Part III – General Transactions
- Part IV – PCS Transfer
- Part V – Reenlistments and Extensions
- Part VI – Separations
- Part VII – Reserve
- Part VIII – Accessions
- Part IX – Joint Uniform Military Pay System (JUMPS)
- Part X – Error Feedback, Reports, and Queries

Contents

This part contains the following chapters

This page left blank intentionally.

Coast Guard Servicing Personnel Office Manual

Part I, Direct Access/Jumps Overview

Chapter 1, Getting Started with Direct Access

Overview

Introduction This Chapter provides the procedure for navigating Direct Access.

Contents This chapter contains the following topics.

This page left blank intentionally

Signing In

Introduction	This section provides instructions for signing on to the system.
Procedure	Follow the steps at http://www.uscg.mil/ppc/ps/index.htm#usingda/signing_in.htm to sign into *MyPortalDirect*.

Your Direct Access Password

Introduction

This section provides the procedures for changing your password and setting up forgotten password help.

Passwords are a common form of authentication and are often the only barrier between a user and your personal information. Choosing a good password keeps your personal information confidential, making it more difficult for an unauthorized access to your information.

Procedure

Follow the steps at http://www.uscg.mil/ppc/ps/index.htm#usingda/how_to_change_your_password.htm to change your password and setup forgotten password help.

Verifying the e-mail address in your user profile

Introduction

Your business e-mail address may appear correct, but some user's profile addresses are blank or out-of-date. The profile address (which is used to send your reports and password resets to) is updated by changing your business e-mail address.

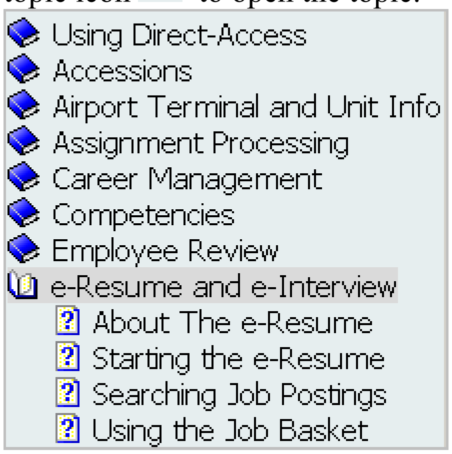
Procedure for Verifying your E-mail

Follow the steps at http://www.uscg.mil/ppc/ps/index.htm#self_service/members/e_mail_address.htm to verify or update your e-mail address.

Using the Online Help Feature

Information about the Help feature

Help topics are organized into "books" covering the PeopleSoft modules that have been implemented in Direct-Access. Click on one of the book icons in the left panel of the window to explore the topics available. Click on a topic icon to open the topic.



Note: You only need to click once. This is a web page; you don't need to double-click items to open them.

Each book contains a brief introductory topic, explaining the capabilities of the module. Subsequent topics provide procedures for accomplishing specific tasks or viewing data.

Conventions used in the Online Help Feature

Links are formatted as follows:

- Most words and phrases that are underlined are links to other parts of the help file or other Internet/Internet web pages. Links to other web pages will open in a new window, while links to other parts of the help file will open in the window you are currently viewing.

Some underlined words and phrases are expanding hot spots. These are used to introduce terms and acronyms you may not be familiar with. They will be formatted in green text. Click on them to expand the topic and then click on the underlined word again to dismiss the expanded text.

Using Index, Search and Glossary in the Online Help

Introduction

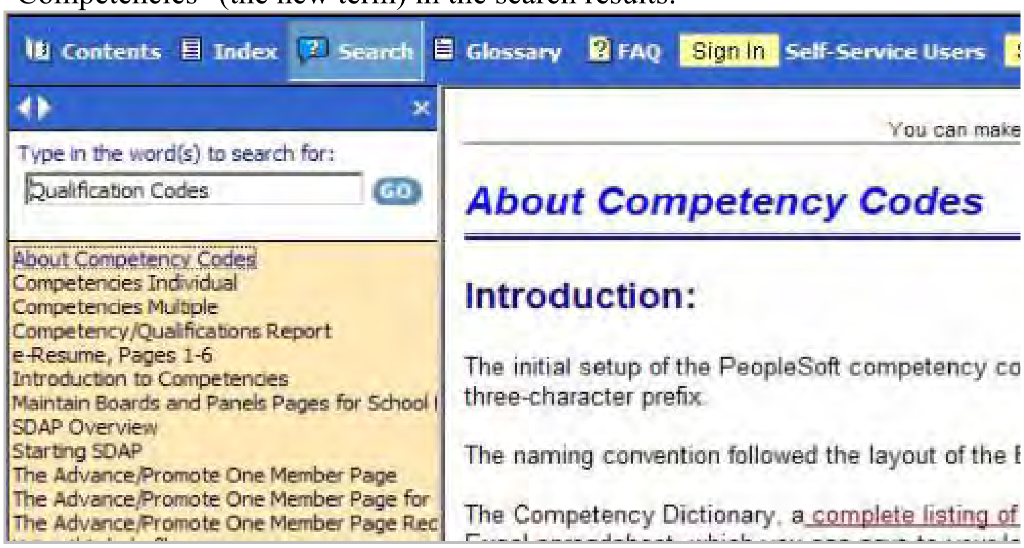
Use the ***Index, Search and Glossary*** features of the help file to quickly locate information. These features are accessed via the toolbar at the top left part of the Help screen:

Using Search

Using Search: Click the  button and then type your query in the search text field, and click the  button. A list of topics matching your search will display in the area below the toolbar. Click on a topic to view it.

Example of Search Results

Notice how we used the old term "Qualification Codes" but were directed to "Competencies" (the new term) in the search results:



Using the Index

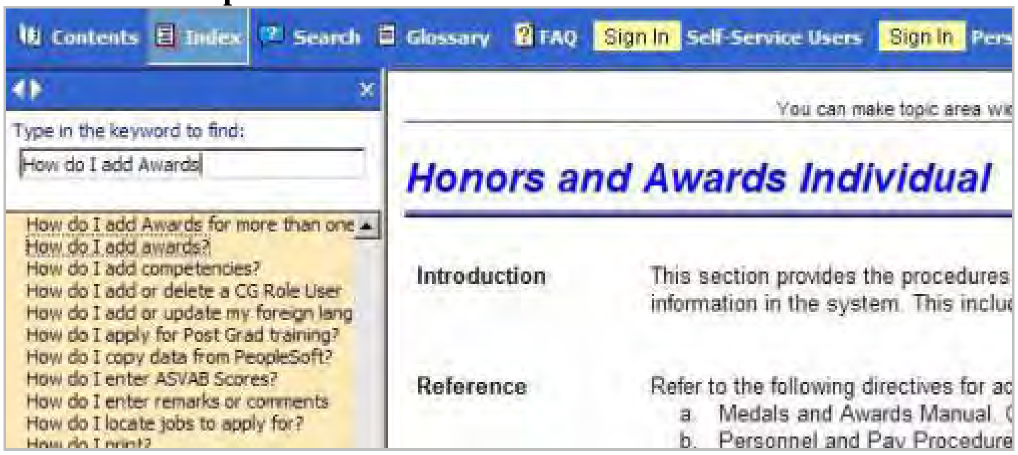
The index works much like the search feature. Click the  button, type your query into the text field that appears just beneath the tool bar. You can also scroll through the list without entering a keyword.

Continued on next page

Using Index, Search and Glossary in the Online Help, Continued

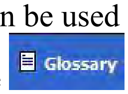
Example of Index Search

Here is an example:



Using the Glossary

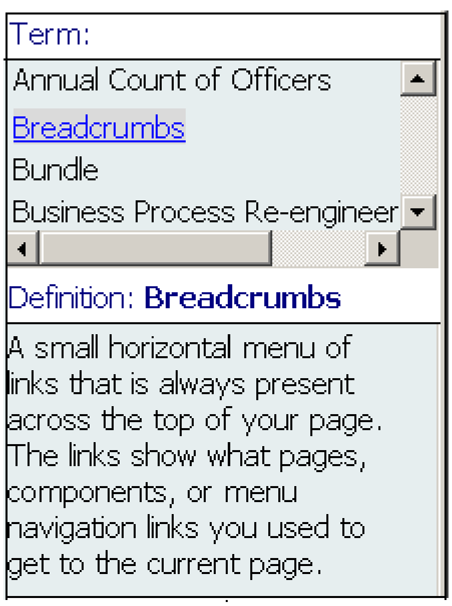
The Glossary can be used to lookup new terms you may not be familiar with.

Simply click the 

button and scroll through the list of terms displayed just below the toolbar. Select a term and read the definition in the bottom half of the panel.

Example of Glossary

Here is an example of a glossary term and its definition:



Basic Navigation

Introduction

This section provides instructions for navigating Direct Access menus.

Direct Access Menus

The following tutorials, available at http://www.uscg.mil/ppc/multimedia.asp#da, provide MyPortalDirect basic navigation familiarization:

- **Basic Navigation for All Users**. This demo provides an overview of the new Self-Service menu and introduces some of the new features in the Portal.
  - Basic/Self Service Navigation Video-Demo (Video/Flash)
  - Basic/Self Service Navigation Guide (PDF)
- **Command User**. This demo provides an overview of the navigation for Command Users
  - Command User Video-Demo (Video/Flash)
  - Command User Guide (PDF)
- **SPO and Other Users**. This demo introduces the "Enterprise Menu" navigation.
  - Enterprise Menu Video-Demo(Video/Flash)
  - Enterprise Menu Guide(PDF)

Search Tips

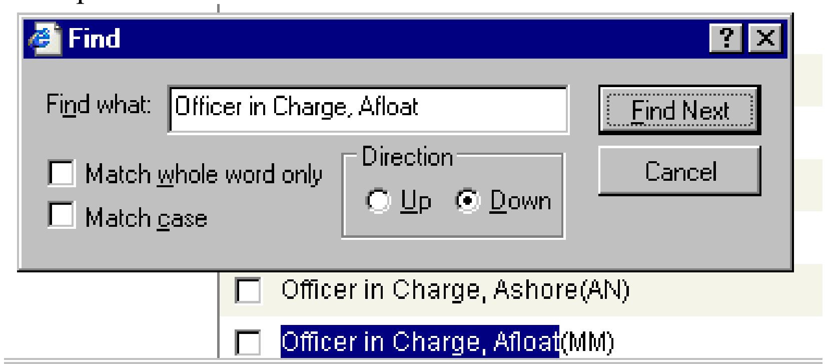
Introduction

This section provides procedures for searching in Direct Access.

Internet Explorer Find Function

Since the PeopleSoft 8 application is browser-based, you can use the web browser's Control-F find feature to locate a string on the page. This is useful for large queries and search result lists.

To access the browser's find function, press **Ctrl**+**F** on the keyboard or choose **Edit** > **Find (on This Page)...** from the Internet Explorer menu bar at the top of the window:



Find Links

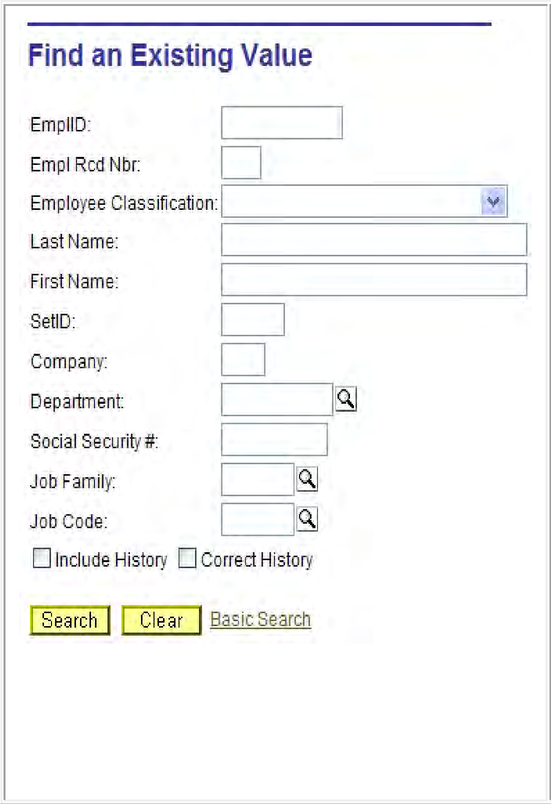
Find Links appear on many grids so you can easily search for data in the grid even if it is not displayed. For example, a grid may contain 100 rows of data, but the page only displays the first 10. Using the grid find functionality, you can quickly search for a string within the 100 rows. The following is the navigation bar from a grid that contains the "Find" link:

Employee Search

Most pages require you to provide the member's employee ID number to add, update or view data.

Continued on next page

Search Tips, Continued



If you do not know the EmplID, provide some search criteria, such as the member's last name and department number, in the appropriate fields to perform a search.

<u>You do not need to complete all the fields</u>. The EmplID or SSN alone are sufficient. Complete one or more of the other fields if you do not have the EmplID or SSN.

When choosing a member from the search results, please verify that it's the person you actually need to make changes for. Certify the employee ID or national ID before making any changes.

Since a member can have multiple records if they're both a Regular or Reserve Member and an Auxiliary Member or Civilian Employee, please be sure you are selecting the correct Employee Classification.

Wildcard Search

PeopleSoft applications support three wildcard features when searching for data. These wildcards can be helpful in finding the exact information you want to process. The following are the supported standard wildcard features.

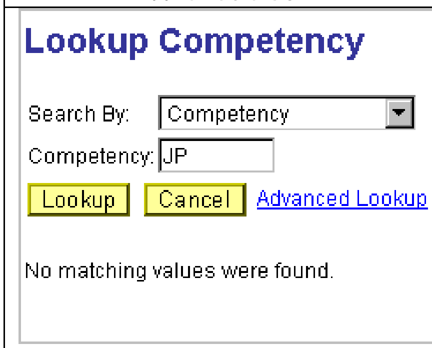
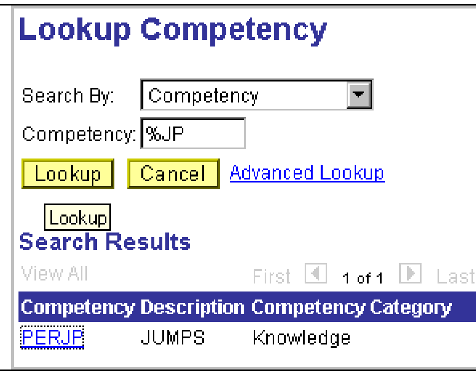
Character	Function
% (percent sign)	Match one or more characters.
_ (underscore)	Match any single character.
\ (back slash)	Escape character -- don't treat the next character as a wildcard.

Continued on next page

Search Tips, Continued

Wildcard Search Example

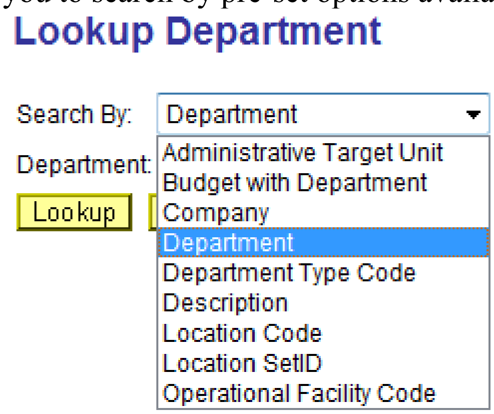
A wildcard (% character) entered in the beginning of a text search string will display all rows containing the text. The examples below show two searches, one without a wildcard and one with.

Without %	With %
	
The search without the wildcard did not find any matches.	The search with the wild card located a matching entry.

Looking Up Department ID Numbers

Finding Dept IDs

If you do not know the department ID, click the magnifying glass. (***Note:*** You must enter AUSCG in the SetID field, before you click the button.) This key indicates a lookup function is available. A simple department lookup allows you to search by pre-set options available in the drop-down list.



Select the one you want. On Department, you may enter all or part of the department number and press Lookup. Any available departments with the numbers you entered will return on a list.

If you know a location (but no part of the department number), select the ***Advanced Search*** link.

This will allow you to search for departments using a greater range of criteria. We suggest you:

- Do a search of key words in the description of the department (e.g., %Baltimore), or
- Search by department type (e.g., unit, group, STA, etc.).

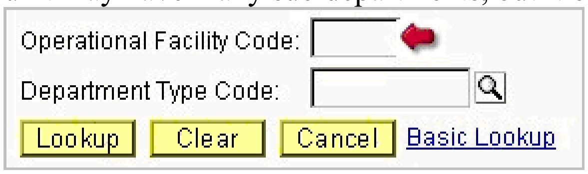
Remember that use of the % symbol will return any department with a description that contains "Baltimore". Review the list returned and select the department you need from the list, or continue to run new search criteria until you find the department.

Continued on next page

Looking Up Department ID Numbers, Continued

Finding Dept IDs (continued)

The ***Advanced Search*** link also ensures that you get a list of all the sub departments associated with a parent department. It allows you to search by the parent department's Operational Facility Code (OPFAC) number (a unit may have many sub departments, but it only has one OPFAC).



Click the Lookup button. If the unit has multiple department ID numbers they will all be listed based on the OPFAC number entered.
Example: The OPFAC for TRACEN Petaluma (61200) has **49** department ID numbers associated with it.

Finally, print the lookup results for easy access.

Keyboard Shortcuts

Introduction

Browser Hot Keys and Access Keys allow you to quickly initiate frequently used processing, such as save and lookup processing, without using the mouse.

Hot Keys and Access Keys

The following is a summary of the Hot Keys and Access Keys available. A Hot Key performs an immediate action. For example, when in a field that has lookup processing, Alt-5 invokes the Lookup page. An Access Key is an Alt-*x* key combination that moves the focus to a specific field on the current page. It does not perform any action. Pressing the Enter key invokes the processing. For example, Alt-1 moves focus to the Save key and pressing enter invokes save processing.

Short Cut Keys

Here is a list of short cut keys you can use.

Hot Key	Access Key	Function
	Alt 1	Moves to "Save" button in page, moves to "Search " / "Add button in search and lookup pages, moves to "OK" button i secondary page.
	Alt 2	Moves to "Return to Search" button.
	Alt 3	Moves to "Next in List" button.
	Alt 4	Moves to "Previous in List" button.
Alt 5		Invokes Lookup and Calendar processing.
Alt 6		Invokes Pop Up menu processing.
Alt 7		Invokes Insert Row processing in scroll/grid.
Alt 8		Invokes Delete Row processing in scroll/grid.
	Alt 9	Moves to menu items in breadcrumbs and New Window link.

Continued on next page

Keyboard Shortcuts, Continued

Short Cut Keys (Continued)

Hot Key	Access Key	Function
Alt 0		Triggers Refresh in Expert Entry mode.
Alt .		Invokes Next > processing in grid, scroll, result list.
Alt ,		Invokes Previous < processing in grid, scroll, result list.
Alt /		Invokes Find processing in grid, scroll, result list.
Alt '		Invokes View All processing in grid, scroll, result list.
**Alt **		Toggles between modes in component, toggles between
Add/		Updates in search page.
Ctrl J		Provides details on the end user's current connection information.
Enter		Invokes search processing, using the current criteria, when in the lookup and search pages.
Esc		Cancels the currently active page in search, lookup, calendar, and secondary pages.
	Page Tabs	Each page in a component may have an Access Key associated with it. The underlined character in the tab is the Access Key for that page.

Internet Explorer Keyboard Shortcuts

Internet Explorer Shortcuts

You can use shortcut keys to view and explore Web pages, use the Address bar, work with favorites, and edit.

Press this	To do this
F1	Display the Internet Explorer Help, or when in a dialog box, display context help on an item
F11	Toggle between Full Screen and regular view of the browser window
TAB	Move forward through the items on a Web page, the Address bar, and the Links bar
SHIFT+TAB	Move back through the items on a Web page, the Address bar, and the Links bar
ALT+HOME	Go to your Home page
SHIFT+F10	Display a shortcut menu for a link
CTRL+TAB or F6	Move forward between frames
SHIFT+CTRL+TAB	Move back between frames
UP ARROW	Scroll toward the beginning of a document
DOWN ARROW	Scroll toward the end of a document
PAGE UP	Scroll toward the beginning of a document in larger increments
PAGE DOWN	Scroll toward the end of a document in larger increments
HOME	Move to the beginning of a document
END	Move to the end of a document
CTRL+F	Find on this page
F5 or CTRL+R	Refresh the current Web page only if the time stamp for the Web version and your locally stored version are different
CTRL+F5	Refresh the current Web page, even if the time stamp for the Web version and your locally stored version are the same
ESC	Stop downloading a page
CTRL+O or CTRL+L	Go to a new location
CTRL+N	Open a new window

Continued on next page

Internet Explorer Keyboard Shortcuts, Continued

Internet Explorer Shortcuts (continued)

Press this	To do this
CTRL+W	Close the current window
CTRL+S	Save the current page
CTRL+P	Print the current page or active frame
ENTER	Activate a selected link
CTRL+E	Open Search in Explorer bar
CTRL+I	Open Favorites in Explorer bar
CTRL+H	Open History in Explorer bar
CTRL+click	In History or Favorites bars, open multiple folders

Using the Address Bar Shortcuts

Press this	To do this
ALT+D	Select the text in the Address bar
F4	Display the Address bar history
CTRL+LEFT ARROW	When in the Address bar, move the cursor left to the next logical break (. or /)
CTRL+RIGHT ARROW	When in the Address bar, move the cursor right to the next logical break (. or /)
CTRL+ENTER	Add "www." to the beginning and ".com" to the end of the text typed in the Address bar
UP ARROW	Move forward through the list of AutoComplete matches
DOWN ARROW	Move back through the list of AutoComplete matches

Using Favorite Keyboard Shortcuts

Press this	To do this
CTRL+D	Add the current page to your favorites
CTRL+B	Open the Organize Favorites dialog box
ALT+UP ARROW	Move selected item up in the Favorites list in the Organize Favorites dialog box
ALT+DOWN ARROW	Move selected item down in the Favorites list in the Organize Favorites dialog box

Copying & Printing

Copying while in Direct Access

Press this	To do this
CTRL+X	Remove the selected items and copy them to the Clipboard
CTRL+C	Copy the selected items to the Clipboard
CTRL+V	Insert the contents of the Clipboard at the selected location
CTRL+A	Select all items on the current Web page

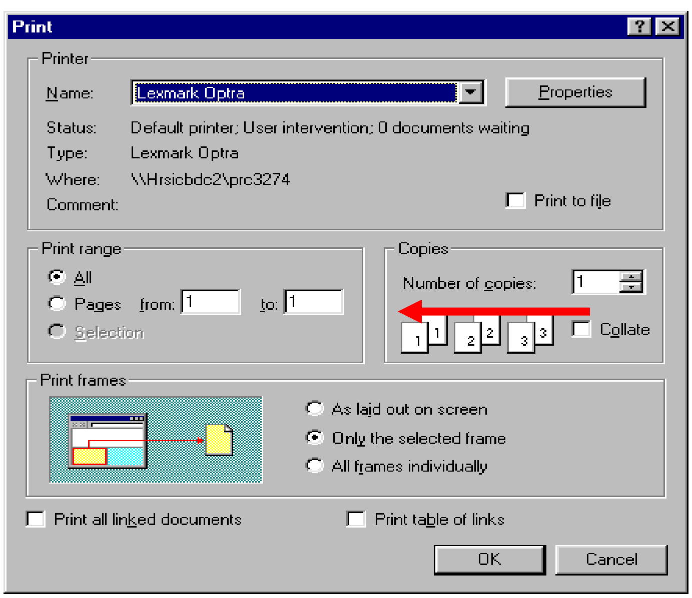
Copying from the Web - Procedure

Click and hold the left mouse button while dragging the pointer over the table to select the data, release the mouse button. Choose **Edit > Copy** from the menu bar (or press **Ctrl** + **C** on the keyboard). Start or switch to the application you want to copy the data to and Choose **Edit** > **Paste** from the menu bar (or press **Crtl** + **V** on the keyboard).

Printing Procedure

Click the View All link at the top of the table to display all rows. Click the Internet Explorer Printer Icon on the tool bar at the top of the window, or choose **File** > **Print** from the menu bar to print the page.

You can print individual pages of the help file by right-clicking in the topic window and selecting Print. In the print frames section, make sure the "Only the selected frame" radio button is selected before clicking OK.

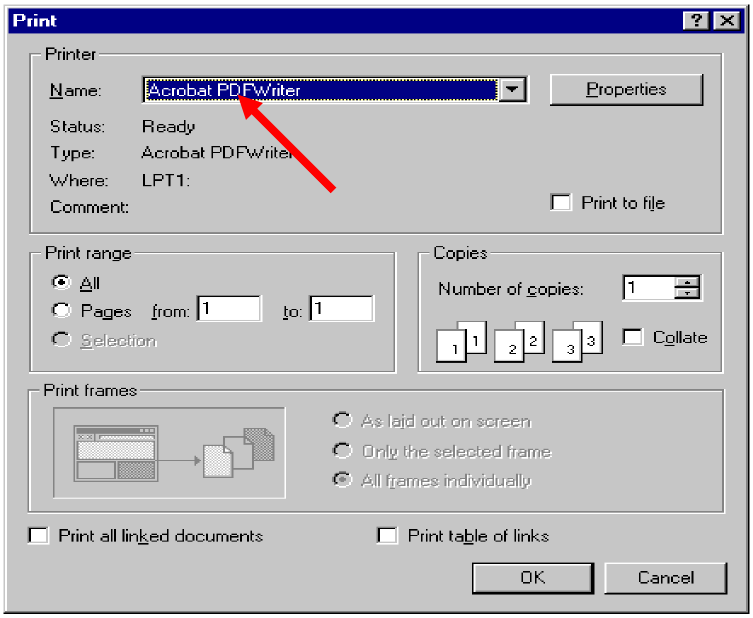


Continued on next page

Copying & Printing, Continued

Procedure (continued)

If you are on Coast Guard Standard Workstation III, or have Adobe Acrobat® installed on your computer, you can print pages to a PDF file. The file can then be printed, saved or sent, via email, to another person. To create a PDF file choose **File** > **Print** from the menu bar and set the printer to Acrobat PDF Writer. Click the OK button on the print dialog box. PDF Writer will prompt you for a file a name and the location to save the PDF file.



Direct Access Action Types

Purpose

Use Action types to access data within the system. DA has four (4) general options to use within the system when accessing information. Based on the user and/or level of security they are given on the system, all of the options may not be available to every user.

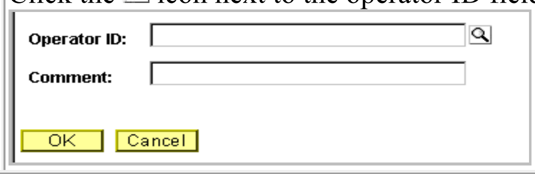
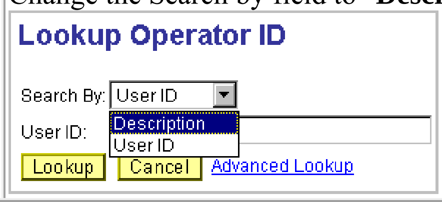
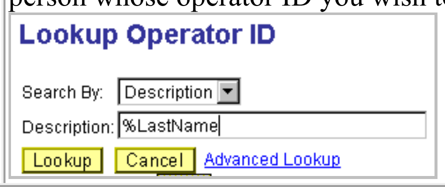
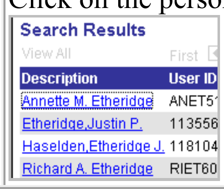
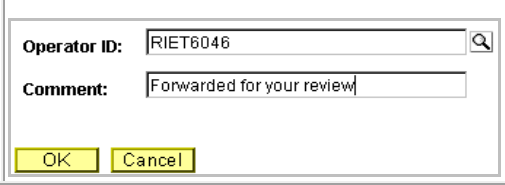
Details

The action you select tells PeopleSoft the type of activity you want to perform.

Action Type	Action
Add a New Value or Add	Add actions *add* a new row of information. If you think of it in terms of a file cabinet, you are adding a new file folder to the filing cabinet.
Update/Display	The default when you enter a page is Update/Display. With Update/Display, you can either update or display information about a specific item. To update information, insert a new row of data by using the insert (+) button. The only restriction when using this action type is when you enter or review a row of data within the system; the effective date must be greater than the date on the current row.
Include History or Include History	This action type works the same way as Update/Display, but will allow the user to review not only Current and Future rows of information, but also History rows of data.
Correct History or Correct History	Correct History is the most powerful of action types. When you choose this option, you can view, change, and insert rows of data regardless of the effective date. Be mindful of who you give this option to within your organization.

Worklist Reassign Operator ID Lookup

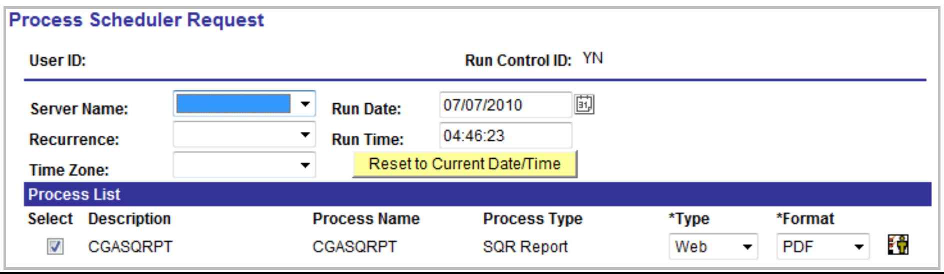
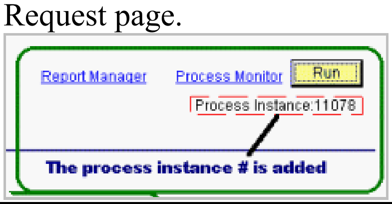
Procedure Follow these steps to lookup a operator ID

Step	Action
1	Click the Reassign button
2	Click the icon next to the operator ID field. 
3	Change the Search by field to "**Description**". 
4	Complete the description field with the percent character (%) followed by the last name of the person whose operator ID you wish to locate. 
5	Click the Lookup button.
6	Click on the person's name in the search results. 
7	You will be returned to the operator ID entry page, the operator ID field will be completed. You may add comments in the comment field (Comments are visible when the recipient clicks the Detail View button on the worklist). 
8	Click the **OK** button. The worklist item will be removed from your worklist.

Using Process Scheduler's Web Delivery Option

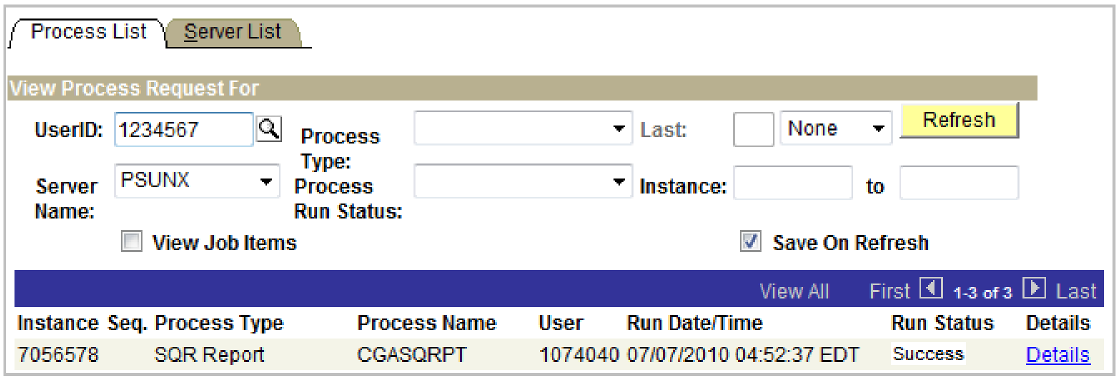
Background Most reports use the Process Scheduler to run and deliver the report.

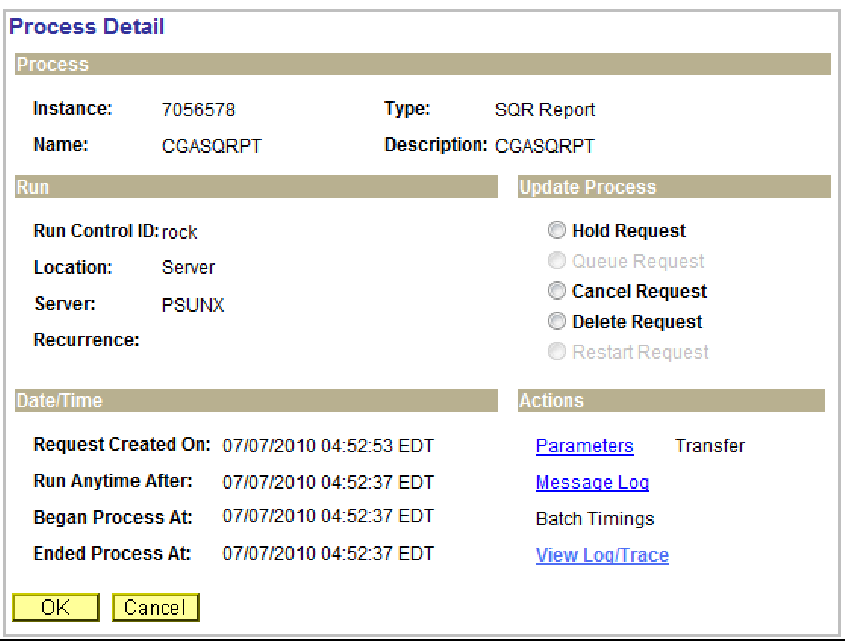
Procedure Follow these steps to use Process Schedule's Web delivery options

Step	Action
1	Access the Process Scheduler for the report you want to run and complete the run control page per that report's instructions. Then, click the Run button to access the Process Scheduler Request page. 
2	Select **Web** from the Process Type drop down menu. 
3	Select the file format. Not all file formats are supported by all reports. CSV and PDF are the most reliable. **CSV** = Readable by MS Excel, text editors, other spreadsheet programs and database applications. **HTM** = Web page **PDF** = Adobe Acrobat
4	Click the OK button to launch the process and return to the Process Scheduler Request page.
5	Click the Process Monitor link in the upper right-hand corner of the Process Scheduler Request page. 

Continued on next page

Using Process Scheduler's Web Delivery Option, Continued

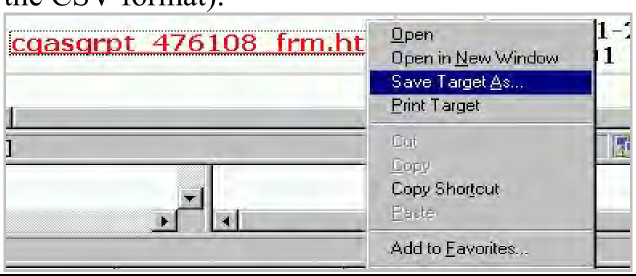
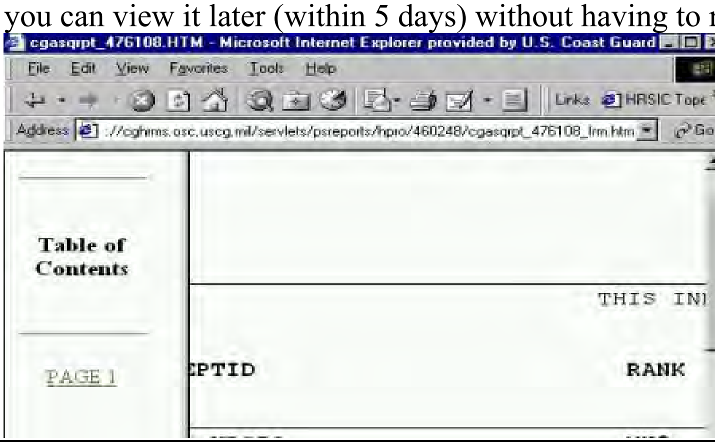
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>6</td><td>The Process Monitor page will display. Click the Refresh button periodically until the Run Status shows "Success" and the Details link is active. It could take some time for the status to change if you are running a large report or the system is heavily loaded.


</td></tr>
<tr><td>7</td><td>Click the Details link. The Process Detail Page will display. Click the View Log/Trace link.


</td></tr>
</table>

Continued on next page

Using Process Scheduler's Web Delivery Option, Continued

Step	Action
8	The Report Log Viewer page will open in a new window. Access your report by clicking the link with the report name and number in it (In the example below, cgasqrpt_476108_frm.htm is the link to the report).  ***Note:*** You can also right mouse click and save the report (advisable if you selected the CSV format). 
9	Your report will open and display in the web browser. Bookmark the report page and you can view it later (within 5 days) without having to run the report again. 

This page left blank intentionally.

Coast Guard Servicing Personnel Office Manual

Part I, Direct Access/Jumps Overview

Chapter 2, DA SPO User Roles and Access (HRS/HRSUP)

Introduction

This chapter discusses Direct Access User Roles for Servicing Personnel Offices

Contents

This chapter contains the following topics.

This page left blank intentionally

Payment Approving Officials

Discussion

The requirements to sign various forms and worksheets in this manual and to electronically sign Direct Access transactions are necessary to affirm and give legal credence to the information contained on the form or in the transaction. **The Commanding Officer (CO) should avoid situations where the responsible officer lacks the knowledge or time to validate the information and may sign as a formality.**

Reference

(a) COMDTINST M5000.3 (series), CG Regulations
- Chapter 7-1-8, Administration of Oaths
- Chapter 7-1-9, Signing Official Correspondence

(b) COMDTINST M7210.1 (series), Certifying and Disbursing Manual

Authority to sign forms and worksheets

The CO may authorize in writing for officers, Chief Petty Officers, First Class Petty Officers, and Second Class Petty Officers to sign forms and worksheets "by direction". These "by direction" authorizations must be documented, and maintained locally in an authorization file to support future audit inquiries. The authorizations are subject to the following restrictions.

- Only officers, the Master Chief Petty Officer of the Coast Guard (MCPO-CG), Commandant designated Command Master Chiefs, and designated recruiting office Chief Petty Officers and Petty Officers may administer enlisted oaths and sign enlistment contracts.
- Only Officers, the MCPO-CG, Commandant designated Command Master Chiefs, and permanently assigned Enlisted Officers-in-Charge may administer reenlistment and extension of enlistments oaths and sign the appropriate reenlistment or extension document.
- The "by direction" authority granted to Second Class Petty Officers (PO2) shall normally be limited to routine transactions such as leave and personnel transactions. PO2s shall only be given authority to sign specific Direct Access transactions "by direction" in cases where there is a shortage of Officers, Chief Petty Officers, and First Class Petty Officers.
- Only the CO may sign the PCS Departing Worksheet (CG-2000) or the Advances Worksheet (CG-2010) *when* the member is requesting Advance Pay & Allowances or Advance Pay with liquidation period in excess of 12 months.
- Only the CO may sign Adverse Administrative Remarks (CG-3307) entries.

Continued on next page

Payment Approving Officials, Continued

Authority to sign Pay and Personnel Transactions

The Commanding Officer (CO) of a unit with a SPO must nominate at least one Officer, Chief Petty Officer, First Class Petty Officer, Second Class Petty Officer, or Civilian employee in grade GS-7 or above, for designation by PPC (MAS) as a Payment Approving Official (PAO)/SPO Supervisor-Auditor

- Only properly designated PAOs/SPO Supervisors-Auditors have the authority to approve Direct Access transactions for transmission to PPC.
- Only properly designated PAOs (see Payment Approving Officials' responsibilities and liabilities below) may have SPO Supervisor/Auditor (CGHRSUP) capability in Direct Access.

Payment Approving Officials' responsibilities and liabilities

It is Coast Guard Policy that PAOs have the same level of financial liability as an Authorized Certifying Officer (ACO), as described in Chapter 1 of Certifying and Disbursing Manual. Thus, if a PAO incorrectly certifies a document to an ACO that directly results in an erroneous or improper payment, the PAO is responsible for the error. PAOs remain fully accountable to the Coast Guard and may be found to have pecuniary liability; and/or may have their personal evaluations (OER/CIV Performance Appraisal/Enlisted Employee Review) impacted by such action by an official in their chain with evaluation approving authority.

Designation Procedure for PAO

PAO designations and Direct Access Human Resource Site Supervisor (HRSUP) user role authorizations are processed together. See Procedures for Authorizing SPO Users (HRS & HRSUP), on page I-2-5 of this chapter for the PAO/HRSUP user role designation procedure.

Procedures for Authorizing SPO Users (HRS & HRSUP)

Purpose

This section provides guidelines for determining who will be granted Human Resource Site (HRS) or HRS Supervisor/PAO access at SPOs and procedures for granting HRS access to Direct Access for users assigned to Servicing Personnel Offices (SPOs).

Form

HRS and HRSUP/PAO user requests/designations are submitted on form CG-7421B, Direct Access User Access Authorization and Payment Approving Official (PAO) Designation. See exhibit 1-2-1 on page 9 of this chapter. Fax completed access forms to PPC (ps&r) at (785) 339-2297 for processing.

HRS Access Defined

HRS access permits a Direct Access user to create transactions, which effect changes in a member's pay entitlements. HRS users can also access and maintain non-payroll data, such as competencies, awards, enlisted employee reviews, etc. HRS access duplicates the Self-Service for Employees and Self-Service for Commands roles to allow users at (SPOs) to service members and commands that do not have access to Direct Access or are administratively limited.

SPO Supervisors/ Payment Approving Officials – HRSUP Access Defined

HRS Supervisor (HRSUP) role users have the ability to release Direct Access transactions that require approval. HRSUP role users are also designated Payment Approving Officials (PAOs). See Payment Approving Officials on page I-2-3 of this chapter for PAO duties and responsibilities. Certain Direct Access entitlements transactions require review and approval before they can be released for processing. Approval of these transactions is limited to properly designated Pay Approving Officials (PAOs). PAOs are assigned the HRS Supervisor (HRSUP) role in Direct Access.

The Commanding Officer of a unit with a SPO must nominate at least one person for designation by PPC (MAS) as a Payment Approving Official (PAO). Commanding Officers may designate as many PAOs as necessary to meet the SPO's needs and maintain a smooth workflow while ensuring the requirements for segregation of duties are complied with. The approver of a pay or accession transaction cannot be the originator of the transaction.

Continued on next page

Procedures for Authorizing SPO Users (HRS & HRSUP),
Continued

Prerequisites for HRSUP/PAO Designation

PAOs must be E-6 / GS-7 or above. E-5's may be recommended for designation only if extenuating circumstances create a situation where E-6's and above are not available for designation. Recommendations are from Commanding Officers of units with SPOs to the Pay and Personnel Center (Military Accounts Support Branch).

Prerequisites for HRSUP/ PAO Designation (cont'd)

PAOs must be E-6/GS-7 or above. E-5's may be recommended for designation only if extenuating circumstances create a situation where E-6's and above are not available for designation.

Minimum requirements for designation include:

- Being in proper billet for this authority.
- Being the proper rank.
- Having successfully completed the ICOFR online training course (Course code 810047).
- Having successfully completed the PAO online training course (Course code 502360).

If an E-5 is being recommended for PAO, the Authorizing Official must attach a letter to Form CG-7421B that describes the justification for PAO responsibilities being granted to an E-5 (as prescribed in block 8 on Form CG-7421B).

Upon verification of the minimum requirements, and application approval, PPC will provide a formal letter of designation to the member, via the chain of command. (The letter and all minimum requirements supporting documentation must be maintained at the SPO or unit and be made available for external review and audit, to substantiate PAO application due process.)

- PAOs may not perform any of the duties of a PAO until receipt of email notification by PPC (PS&R).

Continued on next page

Procedures for Authorizing SPO Users (HRS & HRSUP), Continued

Online Training Courses / Competency Code

The PAO and ICOFR online training courses can be accessed via the Coast Guard Portal (https://cgportal.uscg.mil/) or by accessing the Learning Management System (LMS) (https://elearning.uscg.mil/). Both courses are listed in the **Acquisitions** catalog.

Both courses must be completed/reviewed annually during order for PAO/HSRUP designations to remain in effect.

Tracking Course Completions

PAO and ICOFR course completions can be tracked in the Training Management Tool (TMT). For individuals who need to obtain the PAO competency (current and prospective), their unit Training Officers will need to assign the PAO competency to that individual within TMT. Once the unit Training Officer has assigned the PAO competency to the individual, their course completions will be marked as complete in TMT. If the training officer does not do this, an individual’s training completion will not be recorded in TMT.

Individuals may also print their LMS transcript, which can be accessed under the **My Account** link in the LMS, for proof of completion.

Upon successful completion of the PAO and ICOFR courses the **PAO -** Payment Approving Official competency code may be assigned in Direct Access and certified in TMT.

Maintaining PAO status

All PAOs must take the required training by 1 August, 2011 to maintain current PAO status. Beginning in 2012, all PAOs must be re-designated by 31 December each year, requiring prospective PAOs to repeat the online training courses, submit a new Form CG-7421B, and accompanying letters, if required.

Annually, during the month of January, PPC will verify those who have not completed the re-designation requirements and suspend PAO privileges for those individuals not in compliance.

Continued on next page

Procedures for Authorizing SPO Users (HRS & HRSUP), Continued

Terminating Privileges

Access terminates automatically upon transfer or separation. There is no need to notify PPC when a member is transferred or is separated:

- Access, to all but self-service applications, will automatically terminate when a military member departs on PCS orders.
- All access to Direct Access will automatically be revoked when a military member is separated from the service.

If a designated PAO is removed from his or her PAO position prior to the end of the year, the Commanding Officer shall notify PPC (MAS) by formal letter and must cite the reasons and effective dates.

When the PAO designation is no longer required, the unit TO should remove the competency requirement from TMT.

U.S. DEPARTMENT OF HOMELAND SECURITY U. S. Coast Guard CG-7421B (Rev. 02-11)	DIRECT ACCESS USER ACCESS AUTHORIZATION AND PAYMENT APPROVING OFFICIAL (PAO) DESIGNATION	
1. User's Name (Last, First, MI.) (Please print or type)	2. Rank/Rate:	3. Employee ID #
4. Dept ID & Unit Name (Include Staff Symbol)	5. Area Code & Phone Number:	6. e-Mail address:

7. User Role Description (Note: See Chapter 1 of the Personnel and Pay Procedures Manual, PPCINST M1000.2(series) for an explanation of user roles common to field units). (Include current roles, this authorization supersedes all of your previous authorizations):

- ☐ **CGSSCMD**--Command User (evals, drills, Airport Terminal, etc.)
- ☐ **CGEMPREV** -- Employee Review Only (not needed if you have CGSSCMD or CGHRS)
- ☐ **CGRSVDRL** – Schedule, Edit and Approve Reserve IDT Drills (Only)
- ☐ **CGRSVMGR** – Create, review, and endorse requests for reserve orders.
- ☐ **CGAIRTRM**--Airport Terminal Only (Relocation Specialists/Housing Office)
- ☐ **CGFIELDADM**--Unit with access to Member Competencies (Quals, Awards & Schools) (Route request through your Servicing Personnel Office – Per Pay & Personnel Procedures Manual, PPCINST M1000.2(series), Chap 1.)
- ☐ **CGGWIS**--Global Workforce Inquiry System (Provides View Only Access to Personal Data)
- ☐ **CGHRS** -- (SPO) DEPT ID ________________ (See Chapter 1 of the CG SPO Manual, PPCINST M5231.3(series) for rules)
  - ☐ **CGAPPL –** Applicant Data (Use with CGHRS for accessions. This role is necessary to create applicant IDs. **Cannot be selected with CGHRSUP**.)
- ☐ **CGHRSUP—(SUPERVISOR, Payment Approving Official (PAO)) (Application must be approved by PPC (MAS)).** (See Chapter 1 of the CG SPO Manual, PPCINST M5231.3(series))
  - ☐ **CGSIPDR** (SPO Access to the EI-PDR via WebNow - also complete form CG-7421D)

PPC (MAS) PAO Designation Approved by (name/signature): ________________________
Date:__________

- ☐ **CGMRS** — Medical Readiness System Clinical Access (Med care providers)
- ☐ **CGTRNOFF** – Electronic Training Request (ETR). Unit ESOs.
- ☐ **CGFTESO** – Unit Educational Services Officer. Unit ESOs.
- ☐ **CGSECURN**--Unit Security Manager (View Only)
- ☐ **CGSECUVW**--Area/Dist Security Manager (View Only). Fax completed form to COMDT (CG-86) at **202-372-3950** for approval. CG-86 will forward to PPC.

CG-86 Name/Sign:____ Date:________________

- ☐ **CGTRNFAC**--Training Center (TAS Course Sessions)
- ☐ **CGTRNTQC--**TQC/TAS Course Scheduler
- ☐ **CGASGN**--CGPSC (epm/opm/rpm) or District/PSSU/BASE Reserve Assignment Officer
- ☐ **CGRSVISC/CGRSVORD**—Reserve Orders Approval/Funding, District (r)/PSSUs only.
- ☐ Others Not Listed. Please describe (in the space below) what you need to access in DA:

Revocation:
Direct Access Roles are automatically terminated upon PCS, separation, retirement, reassignment of duties (Fleet-Ups) and change of organization (inter-office transfer).

CGHRSUP user roles for PAOs are automatically terminated each fiscal year unless the PAO completes annual required training and is re-designated in accordance with Chapter 1 of CG SPO Manual, PPCINST M5231.3(series)

Users who have been reassigned (PCS, Change of Department IDs) will retain Self-Service access.

The user role termination process is kicked off by submission of a PCS departing endorsement. If the member submits a new access form, and it is processed by PPC before the SPO submits the PCS departing endorsement, the system will terminate the new access. Please be sure to submit transactions in a timely manner.

If Revocation is due to reasons other than those listed above contact PPC Customer Care via on-line trouble-ticket at http://www.uscg.mil/ppc/ccb or http://cgweb.ppc.uscg.mil/ccb/ or via email at PPC-DG-CustomerCare@uscg.mil

8. **Authorizing Official** *(Signature & **Typed or printed** name, Rank, Title ("By direction" is not authorized. Only the* CO/OIC, XO/XPO or Division/Branch Chiefs at HQs/DCMS/CGPSC/PPC/FORCECOM/OPCOM (and their sub-units), Districts or Sectors may sign*) & Phone Number:*
I certify that the access I have authorized is based on an official need. I am aware of the general functionality I have authorized and I am aware of what this will allow this member/employee to complete. If this is for a PAO Designation, I certify the member has completed online mandatory training requirements. If I have recommended an E5 be designated as a PAO, I have attached required justification. If this is for a contractor, the Contracting Officer's Technical Representative (COTR) signs as AO.

Signature **AND PRINTED or TYPED** Name, Rank, Title,	Area Code & Phone (ext)	9 Date:

Privacy Act Statement

AUTHORITY:	Executive Order 10450, 9397; and Public Law 99-474, the Computer Fraud and Abuse Act.
PRINCIPAL PURPOSE:	To record names, signatures, and other identifiers for the purpose of identifying individuals requesting access to U. S. Coast Guard (USCG) systems and information. NOTE: Records may be maintained in both electronic and/or paper form.
ROUTINE USES:	None.
DISCLOSURE:	Disclosure of this information is voluntary; however, failure to provide the requested information may impede, delay or prevent further processing of this request.

Acknowledgment: I understand that I am authorized to access the Direct Access system and that accessing it for purposes beyond the Scope of Authorization is a violation of Federal law (18 U.S.C. 1030 et al) (Note: Refer to the Automated Information Systems (AIS) User Acknowledgement Form (CG-5500A), which is required for all U.S. Coast Guard AIS users, it contains the full Scope of Authorization and Acknowledgement.)

10. User's Signature:	11. Date:	**Fax to: (785) 339-2297** (fax only page 1, do not fax instructions)

This page left blank intentionally

SPO Authorized Personnel Roster

SPO Staffs

Active duty, reserve and civilian employees permanently assigned to a position in one of the existing SPOs may be granted HRS access in Direct Access. A Yeoman, temporarily assigned to a SPO, may be granted access. SPO staff assignments/approval authorities must be documented, in a SPO Authorized Personnel Roster, showing the name, initials, signature, role, date arrived, and date departed from the SPO. This roster must be continually updated and a historical chronology maintained to substantiate the approval authorities executed by these members. See roster example below.

Exhibit 1-2-2:

SPO AUTHORIZED PERSONNEL ROSTER					
Name, last, first, MI	Initials	Signature	Role: Specify Data Entry(E), or Reviewer-Approver (RA)	Date arrived on duty at SPO	Date departed from SPO

This page left blank intentionally

Coast Guard Servicing Personnel Office Manual

Part I, Direct Access/Jumps Overview

Chapter 3, Documentation Standards

Introduction

This chapter provides the supporting documentation standards for Direct Access pay transactions.

Contents

This chapter contains the following topics.

This page left blank intentionally

Document Processing Standards

Introduction

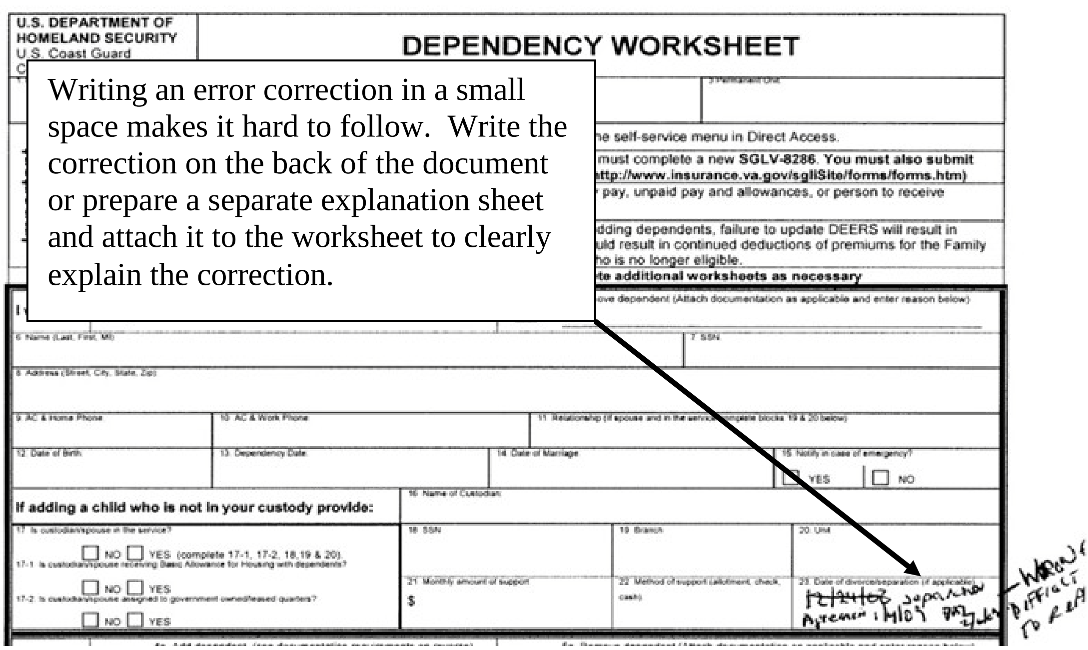
Much of the documentation in the SPO-PDR supports the validity of transactions within DA as such; it is critical that this documentation be accurate, authorized, and approved and appropriate for the transaction it supports. The examples presented in this section address the correct preparation of documents and show examples of correct and incorrect processing. Clear and correct processing can make the difference between full compliance with internal control for financial reporting standards; or the inability to prove the accuracy of DA transactions. Attention to detail is critical to ensure that the supporting documentation is a complete and accurate match to data contained within DA.

Error Corrections

(Figures 1 and 2)

Corrections to forms, worksheets and checklists should be legible to enable an outside reviewer to easily read and understand the change without prior knowledge or prompting. If space on the document does not permit for a legible, easily understood correction, either write it on the back of the document or attach a separate sheet. To clearly identify the correction, place a reference at the point of correction such as, “see back” or “see attached sheet,” on the original document, and initial and date the correction.

Example of Improper Error Correction (Figure 1)

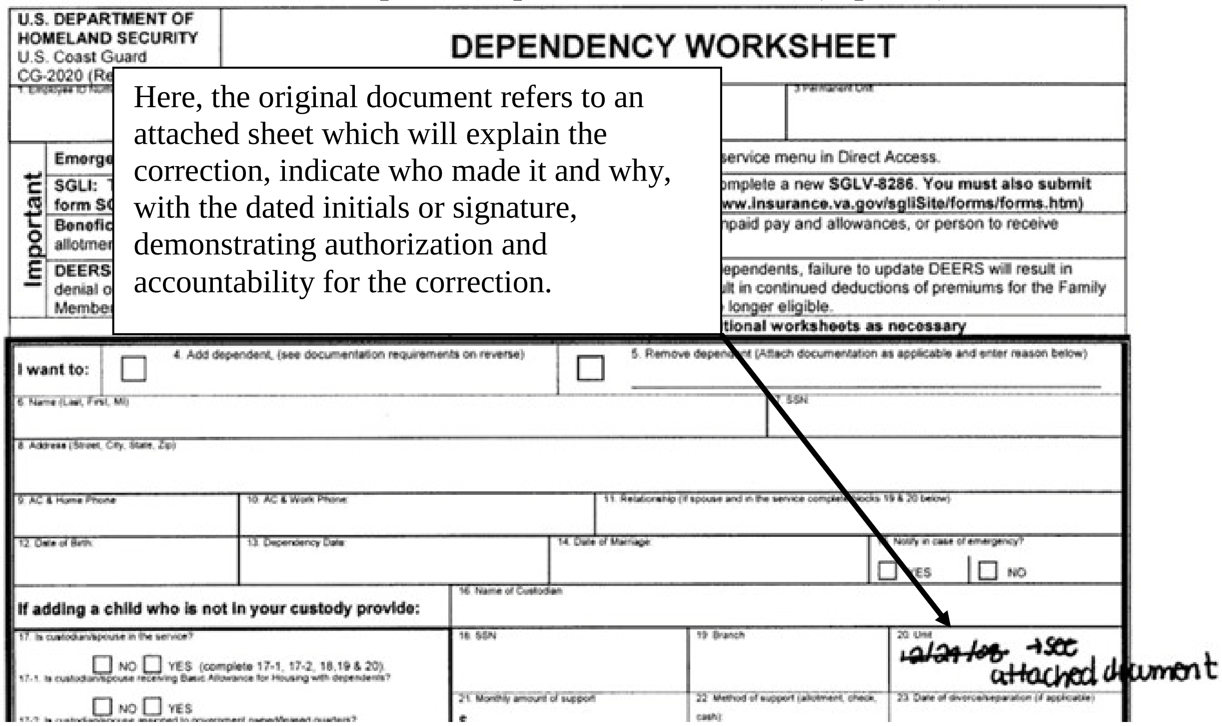


Continued on next page

Document Processing Standards, Continued

Error Corrections (cont'd)

Example of Proper Error Correction (Figure 2)



Proper Signatures and Dates

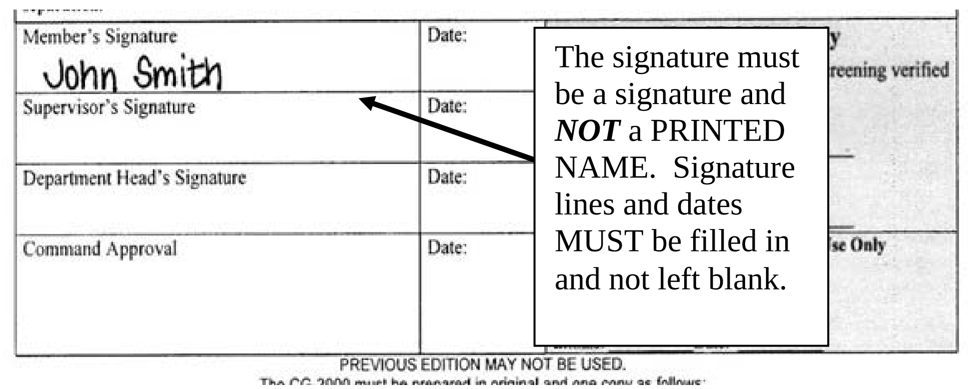
(Figures 3 and 4)
An unsigned form is not sufficient evidence of review or approval. A signature is defined as the signing of one's name (in cursive) in the appropriate block of a particular form. Simply printing the name of the reviewer or approving official is not acceptable. As a best practice, all SPO approval signatures should be listed on the SPO Authorized Personnel Roster shown in section 1.6.

Continued on next page

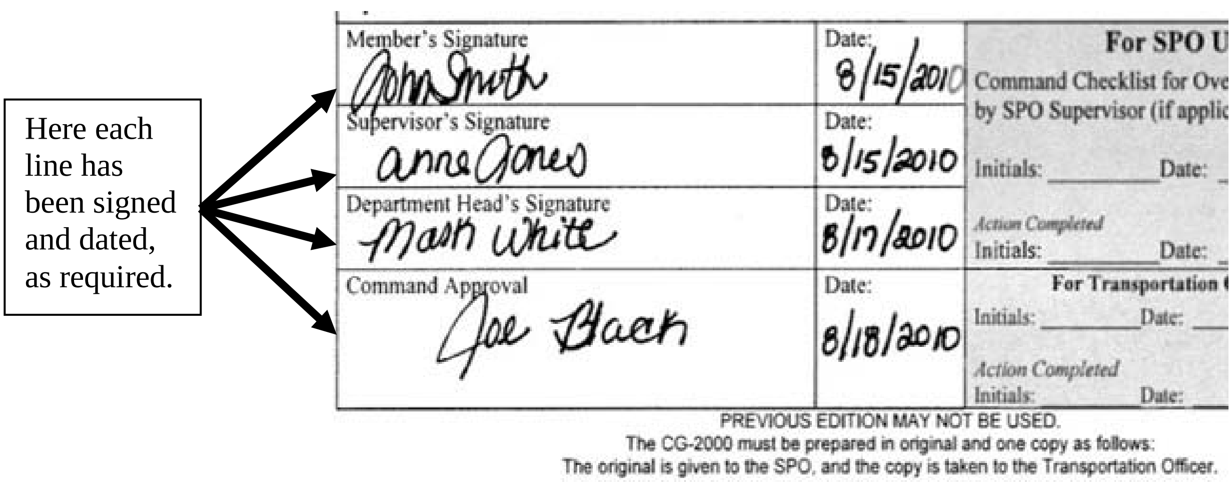
Document Processing Standards, Continued

Proper Signatures and Dates (cont'd)

Example of Improper Signatures and Dates (Figure 3)



Example of Proper Signatures and Dates (Figure 4)



Completing Checklists

<u>**(Figures 5, 6 and 7)**</u>
All checklists must be filled out completely, with each line individually filled out. Each line represents an action for which a Yeoman is personally responsible and accountable, and must include both data entry and reviewer initials to demonstrate appropriate segregation of duties. If a particular checklist line does not apply, it should be marked "N/A" (not applicable) to demonstrate that it was not missed or ignored.

Continued on next page

Document Processing Standards, Continued

Completing Checklists (cont'd)

Initialing the first box and drawing a line through subsequent boxes ("sign and line") is not an acceptable approval practice and will fail tests performed by external auditors. Although this practice is used in other functions across USCG, it does not provide sufficient evidence of action, review and/or approval for audit since it does support that each step/action was actually approved. Only by initialing each line can an auditor gain assurance that the action the line item represents was actually taken, reviewed and/or approved.

Example of Improperly Completed Checklist (Figure 5)

RECRUIT PERSRU ACCESSION CHECKLIST

RESERVE RECRUIT

RECRUIT: Smith, John ANNEXES: ____________

NOTE: This checklist includes ALL transactions associated with a new active duty hire. Each step is to be initialed off when completed, and "copies" with initials already on the checklists are not authorized. Also, "copies" with your name at the top are not authorized. Everything must be HAND WRITTEN.

App. ID no: ____________ EMPLID: ____________

DEP Date: ____________ Contract Term: ____________

Rank/Rate: ____________ Enlist Date: ____________

Production Yeoman's Task	YN Initials
Applicant Data	JS
Identification Data	
Applicant Contract Data	JS
FWD to YN1 for Hire	JS
Enter Direct Deposit Info once EMPLID is established.	

Auditor's Task	YN1 Initials
Hire Applicant	MJ
Dependent Information	
IADT ORDERS (Long Term if RP, Short Term if RK)	MJ
R990	MJ
BAH	
COLA	MJ
MGIB SR START (USE CODE "AB")	

NOTE: The Application Date is the date that the recruit actually came onto Active Duty, and will not be the date that a recruit enters the DEP. DEP dates are used in the Military Entry Date Block, and are used to calculate the Date Completed Military Obligation Date and the Expected Loss Date which is 8 years later and calculated the same way that an End of Enlistment is calculated.

Missing Accession Paperwork:

- Any changes to this checklist must be approved by a Recruit PERSRU YN1

Blank lines indicate a check that needed to be performed but wasn't. This will not pass an external audit.

Continued on next page

Document Processing Standards, Continued

Example of Improperly Completed Checklist (Figure 6)

RECRUIT PERSRU ACCESSION CHECKLIST

ACTIVE DUTY RECRUIT

RECRUIT: Evans, Jacob ANNEXES: ____________________

NOTE: This checklist includes ALL transactions associated with a new active duty hire. Each step is to be initialed off when completed, and "copies" with initials already on the checklists are not authorized. Also, "copies" with your name at the top are not authorized. Everything must be HAND WRITTEN.

App. ID no: ___________ EMPLID: _______________

DEP Date: ____________ Contract Term: ___________

Rank/Rate: ____________ Enlist Date: _______________

Production Yeoman's Task	YN Initials
Applicant Data	JE
Identification Data	
Applicant Contract Data	
FWD to YN1 for Hire	
Enter Direct Deposit Info once EMPLID is established.	

Auditor's Task	YN1 Initials
Hire Applicant	mJ
Dependent Information	
BAH	

Sign and line, a common practice, leaves it open to interpretation if the data entry person or reviewer actually performed all the tasks. indicated.

)ate is the date that the recruit actually came onto Active Duty, and will not be
rs the DEP.DEP dates are used in the Military Entry Date Block, and are used to
ted Military Obligation Date and the Expected Loss Date which is 8 years later
ay that an End of Enlistment is calculated.

Missing Accession Paperwork:

- Any changes to this checklist must be approved by a Recruit PERSRU YN1

Continued on next page

Document Processing Standards, Continued

Example of Properly Completed Checklist (Figure 7)

RECRUIT PERSRU ACCESSION CHECKLIST

RESERVE RECRUIT

RECRUIT: Jones, Tim ANNEXES: ____________________

NOTE: This checklist includes ALL transactions associated with a new active duty hire. Each step is to be initialed off when completed, and "copies" with initials already on the checklists are not authorized. Also, "copies" with your name at the top are not authorized. Everything must be HAND WRITTEN.

App. ID no: ____________ EMPLID: ________________

DEP Date: _____________ Contract Term: ____________

Rank/Rate: _____________ Enlist Date: ________________

Production Yeoman's Task	YN Initials
Applicant Data	TJ
Identification Data	TJ
Applicant Contract Data	TJ
FWD to YN1 for Hire	TJ
Enter Direct Deposit Info once EMPLID is established.	TJ

Auditor's Task	YN1 Initials
Hire Applicant	AL
Dependent Information	AL
IADT ORDERS (Long Term if RP, Short Term if RK)	AL
R990	AL
BAH	AL
COLA	AL
MGIB SR START (USE CODE "AB")	AL

NOTE: The Application Date is the date that the recruit actually came onto Active Duty, and will not b the date that a recruit enters the DEP.DEP dates are used in the Military Entry Date Block, and are use calculate the Date Completed Military Obligation Date and the Expected Loss Date which is 8 years la and calculated the same way that an End of Enlistment is calculated.

Missing Accession Paperwork:

- Any changes to this checklist must be approved by a Recruit PERSRU YN1

On this checklist each line is separately initialed. Also, it is clear that the data entry and review were done by different people, indicating a segregation of duties. This can be confirmed against the authorized data entry and reviewer roster illustrated in Section 1.6.7

Evidence Supporting Military Payroll Transactions General Guidance for Servicing Personnel Offices

Reference

Enclosure (6) to the Military Personnel Data Records (PDR) System Manual, COMDTINST M1080.10 (series), prescribes the required supporting evidence for material military payroll transactions. The matrix lists the source document (memo, message, email, form/worksheet), filing location and retention period.

The matrix is not all-inclusive and will be periodically updated to accommodate policy changes and to increase its comprehensiveness.

Supporting Documentation

Forms/worksheets, which are properly completed, as described in the Document Processing Standards section of this chapter, bearing the authorizing official's signature serve as sufficient supporting documentation for most DA/JUMPS transactions. Accession and dependency changes require additional legal documents such as:

- Birth certificate(s) for dependent child(ren)
- Marriage certificate (for spouse)
- Death certificate (for spouse or dependent children)
- Final or interlocutory divorce decree (for former spouse)

Legal documents submitted to the SPO for processing and inclusion in the SPO PDR shall be originals, notarized copies or certified to be true copies. The procedure for creating certified to be true copies is:

Step	Action
1	Member provides an original or notarized document bearing the seal of the issuing authority (e.g. county registrar, clerk of the court, etc.) or notary. Note: Documents notarized by commissioned officers of the armed forces of the United States are valid without a seal.
2	*Authorized USCG employee or service member* makes a photo static copy of the document. Handwrites or stamps "Certified to be a true copy" on each page of the photocopy. Prints his/her first name, middle initial, last name and rate/rank along with the date below *Certified to be a true copy*, leaving sufficient for their signature.
3	Signs, above their name, in blue ink.
4	Returns original to member.

Continued on next page

Evidence Supporting Military Payroll Transactions General Guidance for Servicing Personnel Offices, Continued

Electronically Imaged Documents and Digital Signatures

A SPO, at the supervisor's discretion, may accept scanned, emailed, and faxed supporting documentation, in the interest of providing timely service, with the understanding that original, hard-copy documents are forthcoming. The SPO must track hard copy delivery ensuring that updates are received within seven working days for CONUS shore units, 15 working days for OUTCONUS shore units and 30 days for deployed units.

Importance of Evidence

Each yeoman (YN) is responsible for ensuring that transactions are valid when processing payroll transactions for military payroll (MILPAY). The Coast Guard employs many documents, and in the process of ensuring payroll transactions are promptly entered, the YN is confronted with many types of evidence. Often there are many options as to what to accept or reject as supporting evidence. This section provides general criteria to YNs to determine acceptable documentary evidence to support MILPAY transactions.

Evidence that can be relied upon

This evidence includes source documents that are required by the Personnel Data Record (PDR) Manual and USCG/DOD/VA forms that have been specifically established to document the processing of a transaction. This documentation is specifically identified in USCG guidance (PDR Manual, PERSMAN, PPPM, SPO Manual etc.) and therefore is considered authoritative and sufficient. One of the most important aspects of supporting evidence is **consistency**. Consistency is demonstrated in the development of the PDR through the routine use of source documents, (SSN Card, Birth Certificate, Marriage Certificate, Orders) supported by a summary checklist (e.g., DD-1966) or a worksheet (e.g., BAH Dependency Worksheet, CG-2020). These checklists and worksheets comprise sufficient source documentation (reliable because they were generated by a reliable external source) with member and/or higher level review to provide both documentary and testimonial evidence that a transaction is supported, approved, and correct. It also supports that a system of internal controls is in place and operating effectively. That is, of course, if the checklist or worksheet has been properly and completely filled out, as designed.

Continued on next page

Evidence Supporting Military Payroll Transactions General Guidance for Servicing Personnel Offices, Continued

Alternative Evidence

Alternative evidence should not be rejected as a standard practice. However, certain judgments need to be made before requesting or accepting additional evidence, or rejecting evidence. Some common circumstances are described below

Accepting a copy versus an original

The main risk with accepting a copy is that it may have been altered in some way, a highly plausible situation with the use of computers. To accept a copy, consider the source of the copy. Also, is there additional authentication such as a stamp with a signature indicating that the copy is a true copy, and has been attested to, are/or there issues with legibility that may indicate the document has been altered?

Accepting a non-standard source

An example of a non-standard source includes email or a report that may provide the necessary supporting information. In other words, evidence other than that prescribed in official guidance. This kind of evidence presents the following concerns:

- What is the source of the non-standard information…who created it (is this an authorized person, do you know who they are and what their role is)?

- Is it necessary to use this supporting information, or is the standard source available or can it be obtained? If the standard documents can be obtained or used, always use them, as they are an established part of the process.

- Document instances where an alternative has been used and exercise professional judgment when accepting non-standard supporting data. Keep in mind that this transaction may be reviewed or questioned years from now when you are no longer available to explain your reasons for accepting this alternate source. Always include an explanation on the alternative document if space permits, or attach another page to include this explanation. Print, sign, and date your explanation.

Continued on next page

Evidence Supporting Military Payroll Transactions General Guidance for Servicing Personnel Offices, Continued

Combine sources

Often the combination of alternative source documents provides sufficient evidence to support the transaction where a single alternate source document may be questioned:

- Consider other forms designed for supporting related transactions that also contain the necessary information to support the validity of this transaction.
- Document the use of alternative source documents in the file. Explain your use of combined sources, sign, and date it.
- Forward your identified alternatives to PPC to consider including them as part of the standard documentation options.

Additional guidance

Providing adequate evidence of transactions involves applying judgment, which will continue to be a major part of managing military pay. For those who may not have the experience necessary to make an informed judgment, it may be necessary to ask more experienced personnel for advice. Within each SPO, this would involve junior personnel routinely asking more experienced personnel. If a situation arises that falls out of the experience of members of the SPO, PPC will provide guidance to resolve the issue.

Coast Guard Servicing Personnel Office Manual

Part I, Direct Access/Jumps Overview

Chapter 4, Coordination of SPO Data Entry

Introduction

This chapter provides guidelines for SPOs to follow when providing services to members who are not permanently or temporarily assigned, for a period of more than 60 days, to a unit in the SPO's area of responsibility (AOR).

In this chapter

This chapter contains the following topics.

This page left blank intentionally.

Data Entry Responsibility

Introduction

This section provides guidelines for coordinating data entry responsibility with other SPOs.

Reference

(a) Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series)
(b) Pay & Personnel Center Servicing Personnel Office (SPO) Online Manual

Discussion

Transactions processed at SPOs other than the member's "home SPO" can be executed in Direct Access (DA) without knowledge, review, or approval of the home SPO. For example, a non-home SPO may unknowingly enter an inaccurate transaction into DA that could have been completed correctly based on the home SPO's more in-depth understanding of the member's unique circumstances. Moreover, a service member could potentially "SPO shop" for an answer to an entitlement question until the desired response is received.

Review of SPO PDR required for accurate data entry

Conducting a review of the SPO PDR is an important, first step, in the process of creating an accurate pay transaction. SPOs should not enter transactions in DA for:

- Members who are not permanently or temporarily assigned, for a period of more than 60 days, to a unit in the SPO's AOR.
- Permanently or temporarily assigned personnel until they have received and had the opportunity to review the SPO PDR from the member's previous or home SPO per paragraphs 2.C and 2.D of reference (a).

Reference (a), paragraph 2.C.3, provides the procedure to follow in the event the SPO PDR is not received within 5 days of the member's reporting for permanent or temporary duty.

Continued on next page

Coordination between SPOs is required in unusual or urgent situations

A transaction may be input by other than a member's home SPO if delaying the transaction (to review the SPO PDR or transmit the information to the home SPO) would result in a personal financial hardship to the member or denial of a benefit or privilege for the member and/or dependents.

If possible, the member's home SPO should be contacted and consent obtained before submitting the transaction.

All required supporting documentation must be sent to the home SPO as soon as practicable after entering the transaction.

Reports

The following reports are available to help identify and contact the responsible SPO based on the member's permanently assigned unit:

- The Servicing Personnel Office to Unit Relationship Report provides a listing of all units and the corresponding responsible SPO.
- The Servicing Personnel Office Contact List provides a listing of e-mail addresses, points of contact, and phone numbers for SPOs.

Both of these reports are available on PPC's intranet/CGWEB site at: http://cgweb.ppc.uscg.mil/spocontactlist.asp