

E-Mail ALSPO J/12

Subj: SEGREGATION OF DUTIES, REVIEW AND APPROVAL FOR DISCIPLINARY TRANSACTIONS

Ref: (a) [OMB Circular No. A-123](#)
(b) [Coast Guard Servicing Personnel Office \(SPO\) Manual, PPCINST M5231.3 \(series\), Part III, General Transactions, Chapter 5, Disciplinary Actions](#)

Purpose This E-Mail ALSPO message announces the implementation of Direct Access I (Ver. 8.0) software changes for improved internal controls for processing disciplinary actions.

Background Direct Access (DA) pay and personnel transaction software functionality, policies, and procedures were reviewed as part of the USCG management's internal control assessment. An outcome of the review was a recommendation to segregate the user roles for certain pay and personnel transactions so a person who initiates the transaction is not the person that reviews and approves the transaction.

Reference (a) mandates the segregation of duties, which is the practice of dividing the steps in a critical function among different individuals.

Effective date Software changes described in this message are effective with transactions input after 20 November 2012.

DA segregation of duties programming changes for Disciplinary Actions Upon implementation of the software changes, DA I will programmatically enforce segregation of duties (i.e. the approver of the transaction cannot be the originator) on disciplinary actions.

The change applies to new transactions and to existing disciplinary transactions requiring affirmation, correction, deletion, modification, or vacation.

Continued on next page

E-Mail ALSPO J/12

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SPO procedures The system will display the *Approval Information* box on the *Misc Information* tab of disciplinary transactions requiring approval.

The screenshot shows a web interface for disciplinary actions. At the top, there are tabs: "Disciplinary Action", "Action Taken", "Disciplinary Results", "Fines/Forfeitures", "Rate Adjustment", and "Misc Information". The "Misc Information" tab is selected and highlighted with a green dotted border. Below the tabs, the following information is displayed: "Name: Blue,Jonathan Z", "Employee", "ID: 1234567", and "Total Incident: 1". Below this is a "Disciplinary Action" section with a "View All" link and navigation arrows. It shows "Disciplinary Type: F Non-Judicial Punishment" and "Reported Date: 08/13/2013". Below that is a "Misc Information" section with a "View All" link and navigation arrows. It contains a list of checkboxes: "Advised of Right to Counsel" (checked), "Represented by Counsel", "Waived Right to Mast Rep", "Reprimand/Admonition Letter", and "Punitive Discharge Awarded". There are also links for "JAG Audit" and "JAG Archive". A "Pay Grade of Officer Conducting Mast:" dropdown menu is set to "06". An "Approval Information" box is highlighted with a green dotted border, containing: "Disciplinary Step: INT Initial", "Originator ID: 2222222 Last,First M.", "Approver ID:" followed by a search icon, and "Approval Status: Pending" with a "Lookup Approver ID" button.

The **Approver ID** field must be completed with the employee ID number of a CGHRSUP role user (SPO Auditor/Payment Approving Official) before saving the transaction.

The approval notification will appear on the approver's worklist.

User training Video tutorials demonstrating the [routing for approval process](#) (for HRS role users) and the [approval process](#) (for CGHRSUP role users) are available on PPC's Internet web site at: <http://www.uscg.mil/ppc/multimedia.asp#spo>.

Directives affected The contents of this E-Mail ALSPO message will be incorporated into the applicable sections of reference (b). This E-Mail ALSPO message provides interim guidance which expires one year from the date of issuance unless it is incorporated into an appropriate PPC publication, reissued, or cancelled.

E-Mail ALSPO J/12

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Questions Direct questions regarding the content of this E-Mail ALSPO message to PPC
Customer Care at:



(866) 772-8724/(785) 339-2200



<http://www.uscg.mil/ppc/ccb/> (Online Trouble Ticket/Inquiry Form)



PPC-DG-CustomerCare@uscg.mil (E-Mail)

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/s/

S. L. LEBRUSKA, CAPT, USCG
Commanding Officer
