



DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
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NSTCINST 4200.1

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NSTC INSTRUCTION 4200.1

From: Commander, Naval Service Training Command (NSTC)

Subj: GOVERNMENT COMMERCIAL PURCHASE CARD PROGRAM

Ref: (a) NAVSUPINST 4200.99 (series)
(b) General Services Administration (GSA)
Smart Pay2 Contract GS-23F-T0003
(c) Federal Acquisition Regulation (FAR)
(d) Defense Federal Acquisition Regulation
Supplement (DFARS)
(e) Financial Management Regulation (FMR) Volume 5,
Chapter 33
(f) NAVSUPINST 4200.85 (series)
(g) Uniform Code of Military Justice, Article 15

Encl: (1) [NSTC GCPC Program Guidance](#)
(2) [NSTC Staff GCPC Program Flowchart](#)
(3) [Purchase Card Log](#)
(4) [Purchase Order Request Form](#)
(5) [Appointment Letter for Agency Program
Coordinator \(Sample\)](#)
(6) [Appointment Letter for Approving Official
\(Sample\)](#)
(7) [Appointment Letter for Cardholder \(Sample\)](#)
(8) [Sample Schedule of Potential GCPC Offenses and
Remedies for Civilian Employees](#)
(9) [Sample SF 182](#)
(10) [DD Form 577](#)

1. Purpose. To establish policy, procedures, and responsibilities per Department of the Navy (DON) guidance regarding Naval Service Training Command's (NSTC) use of the Government Commercial Purchase Card (GCPC) as a method of procurement for purchases of supplies and services for official government business valued at or below the micro-purchase threshold of \$3,000 for supplies, \$2,500 for services, and \$2,000 for construction

2. Cancellation. CNSTCINST 4200.99

3. Background.

a. DON Purchase Card Program is organizationally aligned within Naval Supply System Command (NAVSUP) Corporate Operations Directorate. The Consolidated Card Program Management Division (CCPMD) provides centralized operational control and management of DON financial card programs and selected electronic transactions systems. All DON activities using the program must comply with the provisions of reference (a) through (g). DON GCPC services are provided per a tailored Task Order, GS-23F-U0006, issued under the GSA SmartPay2 contract, reference (b), which expires 29 November 2018.

b. Governing Policy. The Don GCPC program is governed by acquisition, financial management, and GCPC policies:

(1) Acquisition Policy - FAR 13.301, DFARS 213.270 and 213.301 outlines acquisition policy for using the GCPC.

(2) Financial Management Policy for the GCPC is provided in DOD 7000.14-R.

(3) GCPC Policy - This instruction encompasses legal, regulatory, and policy from:

(a) USC Title 10, Subtitle A, Part IV, Chapter 165, Section 2784, establishes legal requirements for management of GCPCs, safeguards, internal controls, and penalties for violations for GCPC misuse.

(b) Office of Management and Budget (OMB) Circular, A-123 Appendix B provides Federal policy for management on Government Charge Card Programs.

4. Policy. NSTC policy is to use the GCPC for all requirements under the micro-purchase threshold of \$3,000 for supplies, \$2,500 for services, and \$2,000 for construction, as a procurement method and, where practical and permissible, as a method of payment for contracts. The internal operating procedures in enclosures (1) through (9) provide guidance on the appropriate use of the GCPC program by NSTC personnel.


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NSTC

GOVERNMENT COMMERCIAL

PURCHASE CARD

PROGRAM GUIDANCE

Table of Contents

1. Introduction.....1

2. Citibank Purchase Card.....1

3. Definitions.....1

4. Delegation of Authority

5. Training Requirements.....9

6. Closing Cardholder Accounts.....10

7. Inactive Accounts.....11

8. Contingency Accounts.....11

9. Standards of Conduct.....11

 Civilian Personnel.....12

 Military Personnel.....12

10. Unauthorized Uses/Restrictions on the Purchase
 Card.....12

11. Training Requests (SF 182).....13

12. Local Procedures for Property Management.....14

13. Wireless Services and Devices.....14

14. Reconciliation and Certification.....15

15. Missing Documentation.....15

16. Record Retention.....15

17. Billing Errors and Disputes.....16

18. Lost or Stolen Cards.....16

19. Closing Accounts.....17

20. Internal Review of the Local Program.....17

21. Semi-Annual Level V APC Reviews.....18

22. End of Fiscal Year Procedures19

11 Sep 12

1. Introduction

a. The need for the Purchase Card Program began with Executive Order 12352, "Procurement Reform", issued in 1982. The Purchase Card program was developed to provide a fast and convenient method to procure and/or pay for all requirements under the micro-purchase threshold. After several interim programs, the General Services Administration (GSA) competed and issued a multiple award contract under the SmartPay Program. These internal operating procedures provide guidance on the appropriate use of the program by NSTC personnel.

b. NSTC policy is to use the GCPC for purchases not exceeding \$3,000 for supplies, \$2,500 for services and \$2,000 for construction under the appropriate conditions and as a method of payment for contracts exceeding the micro-purchase threshold up to \$100,000. In addition, the GCPC can be used as a method of payment for training requirements using the SF 182 (Certification of Training) valued at or below \$25,000, placing delivery and task orders (e.g. DOD EMall) against competed Indefinite Delivery, Indefinite Quantity (IDIQ) contracts for orders valued at \$150,000, and to pay for printing up to \$100,000 using the DD Form 282 through Defense Logistics Agency Document Services.

c. The purchase of office supplies will be limited to the various contracting vehicles available on the DOD EMall or from existing base supply stores (ServMarts). When using the DOD EMall, purchases are restricted to either the "Navy Contracts" or the "Federal Strategic Sourcing" corridors. Only if the product cannot be located from vendors on either the Navy Contracts corridor or the Federal Strategic Sourcing corridor should the search be expanded to all of DoD EMall.

2. Citibank Purchase Card. Citibank is the contractor who will maintain all purchase card accounts, issue cards to cardholders (CHs), send monthly statements to Approving Officials (AOs), and provide various reports to the Agency Program Coordinator (APC).

3. Definitions

a. Billing Cycle. The billing cycle is a 30-day billing period when the purchase cardholders may use their purchase card. The billing cycle ends on the 19th of each month. If the 19th falls on a Saturday or Sunday, the billing cycle ends on the preceding Friday.

11 Sep 12

b. Billing Cycle Limit (30-Day Limit). The billing cycle limit is the spending limit assigned to each CH cumulative purchases and transactions within a given billing cycle. CH and AO billing cycle limits shall be reviewed by the APC, at a minimum, quarterly.

c. Purchase Cardholder (CH). A purchase CH is any government employee who is designated by the HA or designee to be issued a purchase card or purchase card account. The purchase card bears the name/account number of the purchase cardholder.

d. Commonly Used Hazardous Material (HAZMAT). For the purpose of this instruction, commonly used HAZMAT means hazardous materials or products that are customarily sold to the general public to be used for non-governmental purposes (commercial products) which are in the same size and packaging found commercially. Examples of those materials or products include those required on a routine basis to meet daily operational needs, such as, lubricants, batteries, toner cartridges, detergents, etc.

e. Contracting Officer. The Contracting Officer is a government employee who has the authority to bind the Government to the extent of the delegated purchasing authority. Purchase CHs are granted limited contracting authority by their HAs or in writing by the issuance of a Letter of Delegation or SF 1402, Contracting Officer's Warrant.

f. Merchant Category Code (MCC) blocks. DON has blocked purchase card transactions for certain categories of merchants. Some examples include casinos, jewelry stores, drinking establishments, etc. These MCCs are automatically applied to CH account profiles at the time of set-up.

g. Monthly CH's Statement. The monthly CH's statement is the statement of charges provided to the AO at the end of the billing cycle detailing all of the transactions that posted to their account during that period.

h. Pilferable Property. Pilferable property are items that have a ready resale value or application to personal possession, making them subject to theft. Examples of property that is considered "pilferable" are cameras, lap top computers, computer accessories, cellular phones, Blackberries, and Personal Digital Assistants (PDAs).

11 Sep 12

i. Program Audit Tool (PAT). The PAT was developed for the DON Consolidated Card Program Management Division (CCPMD). Its purpose is to be a method for review and corrective action of certain infractions of procedure and policy in the administration of the DON's Purchase Card Program.

j. Purchase Card Log. The Purchase Card Log manual or automated log on which the purchase cardholder documents screening for mandatory government sources and individual transactions using the purchase card.

k. Reconciliation. Reconciliation is the process by which the CH and AO review their monthly statements and reconcile against available vendor receipts and purchase card logs.

l. Services. For the purposes of this instruction, services are firm fixed priced (including unpriced orders with an established ceiling), nonpersonal, commercially available requirements in which NSTC directly engages the time and effort of the contractor to perform a task (e.g., repairs, maintenance, annual maintenance agreements, etc.)

m. Single Purchase Limit. Single Purchase Limit is the dollar threshold assigned to each CH for a single purchase/payment action. Each CH's delegation of authority letter shall include limits commensurate with anticipated purchase requirements of the CH.

n. Split Purchase. A Split Purchase is the "intentional" breaking down of a known requirement to stay within the micro-purchase threshold or to avoid having to send a purchase to a contracting officer.

4. Delegations of Authority

a. Head of Activity (HA). The Chief of Staff is designated to serve as the HA and is responsible for support/sponsorship to all participants in the Purchase Card Program. Prior to establishing a local DON Purchase Card Program, the HA must obtain a grant or delegation of authority to operate a Purchase Card Program. The HA shall ensure program personnel, APCs, AOs and CHs are properly appointed via a Letter of Delegation and DD Form 577, documenting their responsibilities as an Accountable Official. The HA must receive initial and refresher training every two years. Documentation of this training will be maintained by the Level V APC.

11 Sep 12

b. Agency Program Coordinator (APC). The APC is designated by the HA, via a Letter of Delegation (Enclosure (5)) and DD Form 577, documenting their responsibilities as an Accountable Official. The APC is the individual responsible for day-to-day oversight and audit management of the program. The APC must receive initial and refresher training as required by reference (a) and paragraph 5 of this instruction.

(1) The Level IV APC (management level) is responsible for oversight of the GCPC program for NSTC and NSTC subordinate activities, to include Recruit Training Command, Naval Reserve Officers Training Corps unit's and Officer Training Command Newport. Oversight and operating support include procurement, contract administration, credit card policies, practices and procedures, obligation of funds, accounting, bill paying, liquidation, disputes, and office functions specifically related to the GCPC program. The day-to-day operations include the following:

(a) Review and evaluate activity requests to establish a GCPC program;

(b) Oversee and provide guidance in the establishment and maintenance of CH, AO, and APC accounts. Assist with setting and adjusting monthly dollar spending limits, log-in problems, monthly and annual reporting requirements;

(c) Perform review and audits of GCPC accounts. Conduct monthly reviews of the GCPC statements to ensure all commands certify invoices for payment in accordance with DoN requirements. Provide assistance as needed;

(d) Conduct semi-annual program reviews to ensure compliance with DoN policies and local program procedures. Maintain all mandated records and files; and

(e) Review the PAT on a monthly basis to ensure transactions are reviewed and completed by the Level V APCs in accordance with DoN requirements.

(2) The Level V APC (activity level) is responsible for oversight of the GCPC program for NSTC. The day-to-day operations include the following:

(a) Establish and ensure execution of the NSTC program per DOD and DON policies and procedures.

11 Sep 12

Ensure that only personnel who require purchase cards for mission requirements are issued a purchase card;

(b) Ensure program personnel, APCs, AOs, and CHs are properly appointed, trained (initial and refresher), and are capable of performing their respective duties. A periodic review will be conducted to ensure training requirements of all Purchase Card participants are complete and up-to-date;

(c) Ensure AO and CH account profiles are appropriate for local mission. Perform regularly scheduled maintenance on accounts to ensure that the account profile information is current and accurate. Accounts that have not been used more than three times in the last six months should be closed. If the account is identified as a contingency account, credit limits shall be set at \$1.00 (allows for inactive accounts to remain open);

(d) Ensure that appropriate action is taken when local reviews reveal non-compliance, misuse, abuse, and/or fraud;

(e) Establish an individual file for each HA, APC, AO, and CH in accordance with reference (a). The files shall be retained for the duration the employee serves in this capacity and for three years beyond. All files will include:

1. Letter of Delegation (initial and all subsequent);

2. Initial and all refresher training;

3. Account setup form;

4. DD Form 577, Accountable Official and Certifying Official (if required); and

5. Record of disciplinary actions;

(f) Conduct semi-annual program reviews to ensure compliance with DoN policies and local program procedures. Maintain all mandated records and files;

(g) Conduct monthly transactional reviews. The review shall include all of the purchase card transactions within the previous month for all card accounts under the APCs cognizance (100 percent transactional review). In addition review transactions identified within the PAT.

11 Sep 12

Any Level V PAT review not completed within 30 days of the set due date will have the account suspended by the Level III APC. All financial and purchase card documentation is stored in a locked, secured location; and

(h) Ensure AO to CH account ratio does not exceed 1:7. APC to CH account ratio shall not exceed 1:300. Monitor span of control monthly.

c. Approving Official (AO). The AO and Certifying Official are synonymous in the DON Purchase Card program and for the purposes of this Internal Operating Procedure (IOP) will be referred to as an AO. The AO will also be designated by the HA, via a Letter of Delegation (Enclosure (6)) and DD Form 577, documenting their responsibilities as an Accountable Official and Certifying Official. The DD Form 577, shall be submitted to the appropriate DFAS office. The AO is the program's first line of defense against misuse, abuse, and fraud. The AO is responsible for ensuring proper use of the purchase card through approval of purchases and certification of monthly invoices for payment. The AO must receive initial and refresher training as required by reference (a) and paragraph 5 of this instruction. The AOs day-to-day operations include the following:

(1) Ensure proper use of the purchase card through approval of purchases. Ensure purchases accomplished by the CHs within their cognizance are appropriate and the charges accurate;

(2) Certification of monthly statements. Within eight business days of the statement date, the AO shall review, sign, and date the monthly CH statements to signify accuracy. In addition the AO shall electronically certify the CHs statement within the CitiBank system. The review should include verifying supporting CH documentation and ensuring receipt and acceptance was accomplished;

(3) Complete a monthly random transactional review, via the PAT, of CH transactions;

(4) Review, date, and sign the monthly billing statements, which are mailed to the AO and provides a summary of all transactions of the CH accounts established under the AOs account; and

(5) Notify the HA and APC in the event of any suspected unauthorized purchase (purchases that would indicate non-compliance, fraud, misuse, and/or abuse).

11 Sep 12

d. Cardholder (CH). The CH is designated by the HA, via a Letter of Delegation (Enclosure (7)) and DD Form 577, documenting their responsibilities as an Accountable Official. The CH is the individual to whom a purchase card is issued in order to buy supplies and services. They are pecuniarily liable for erroneous payments resulting from their negligent actions. The CH must receive initial and refresher training as required by reference (a) and paragraph 5 of this instruction. The CH day-to-day operations include the following:

(1) Ensure sufficient funds are committed and AO approval obtained prior to any purchase card action;

(2) The CH will solicit a quote and document the merchant's quote on the Purchase Order Request Form;

(3) Screen all requirements for their availability from the mandatory Government sources of supply as noted in reference (a);

(4) Rotate micro-purchase requirements among qualified suppliers to the maximum extent practicable;

(5) Purchase only mission essential requirements at fair and reasonable prices from responsible suppliers only if mandatory sources are unavailable;

(6) Ensure a proper separation of function for each purchase card transaction. A single individual may perform only one of the following functions (at a minimum, a two-way separation of function):

(a) Initiation of the requirement;

(b) Award of contract or placement of order; or

(c) Receipt, inspection, and acceptance of supplies or services;

(7) The cardholder must confirm, as part of the award process, that the merchant agrees:

(a) Not to charge the purchase card account until all items are shipped or, if partial quantities are shipped, to bill only for the quantity shipped;

(b) Not to back order items; and

11 Sep 12

(c) To deliver, or have available for pickup, all item(s) no later than 30 days from the date of the order.

(8) Maintain either a manual or automated purchase log that documents individual transactions. The purchase card log should be maintained by cycle, not monthly. The log and supporting documentation should provide an audit trail supporting the decision to use the purchase card and any required special approvals that were obtained. At a minimum, the purchase log shall contain the following:

- (a) Date the item or service was ordered;
- (b) The merchant name;
- (c) The dollar amount of the transaction;
- (d) A description of the item or service ordered;
- (e) Date of receipt;
- (f) Name of individual receiving item or service;
- (g) Mandatory sources screened; and
- (h) Comments or applicable information regarding the purchase (i.e. paid but not received, credit, dispute).

(9) Reconcile the monthly purchase card statement to ensure that all charges are proper and accurate. Reallocate Lines of Accounting for each transaction when required.

(10) Electronically certify and manually sign the monthly purchase card statement, forwarding to the AO with the appropriate supporting documentation within 5 working days from when it turns from "INTERIM" to "NEW," to maximize rebates and minimize prompt payment of penalties. Supporting documentation shall include at a minimum:

(a) Monthly CH Memo statement. Notes should be included on each charge, specifying document number, explanation of charge (i.e. conference attendance, books, credit etc.) and whether the charge is final or partial;

(b) Requisition/Purchase Order Request Form (showing funding approval);

11 Sep 12

(c) Sales receipt showing what was purchased and charged.

(d) Delivery and Acceptance information showing what was received and who received it. Signature should be legible (print, date, and sign);

(e) Purchase Log; and

(f) Any additional supporting documentation justifying the transaction. Anytime a transaction is made using a card, whether it is done over-the-counter, via telephone, or over the Internet, a document will be retained as proof of purchase. These documents will later be used to verify the transactions shown on the CH's monthly statement.

(11) It is the CH's responsibility to safeguard the purchase card and account number at all times. The full account number shall not be transmitted by fax or e-mail. If the purchase needs to occur using a fax or e-mail, the vendor shall contact the CH by telephone. Account information may only be transmitted over the counter, over the phone, or by internet if it is a secure/encrypted site and the command has authorized this method within the delegation letter.

(12) The CH shall not allow anyone to use his/her card or account number. A CH who permits his/her GCPC or GCPC account number to be used by another person shall have his/her card withdrawn and shall be subject to disciplinary action. Credit cards will be kept under lock and key when not in use. This action will assist in assuring the GCPC is not accidentally used for personal transactions.

e. Financial Manager (FM). An individual from the NSTC Comptrollers Department who liaisons with the APC and CH to ensure the correct lines of accounting and funds are committed to satisfy the requirements. The FM ensures all exception output from STARS files are corrected and the APC is informed of any corrections required to the CitiDirect website.

5. Training Requirements. Prior to designation as a program participant via a letter of delegation, all program participants, HA, APCs, AOs and CHs, must successfully complete initial training on the purchase card program as well as refresher training every two years. A copy of all training certificates will be maintained by the Level V APC for the

11 Sep 12

duration the participant/employee serves in the capacity and for three years beyond. Listed below is the required training for all prospective participants:

a. The DON Consolidated Card Program Management Division (CCPMD) training (HA, APC, AO, and CH) for their perspective roles at the following website:

http://www.navsup.navy.mil/ccpmd/purchase_card/training.

Refresher training is required every other year;

b. The Defense Acquisition University (DAU) Computer Learning Center (CLC) DOD Government Purchase Card Tutorial (CLG001) (APC, AO and CH). This training is required once, no refresher training required;

c. Annual ethics training (APC, AO, and CH). This training can be accomplished annually either via the DON website at <https://donogc.navy.mil/ethics> or via face to face training conducted by a Legal representative; and

d. Local Internal Operating Procedures (IOP) training (APC, AO, and CH). The Level V APC will provide training and ensure certificates are issued once training is completed. Refresher training is required every other year.

6. Closing Accounts:

a. Cardholder.

(1) The Level V APC shall ensure, to the maximum extent practicable, that the CH account is suspended at least 30 days (one billing cycle) prior to the projected date of any transfer, retirement, or termination.

(2) Once the AO has verified that all transactions and payments have cleared the account, the Level V APC will close the account. Under no circumstances shall a CH account remain open past the official detachment date of the CH.

(3) If there are transactions still outstanding, the Level V APC shall reduce the CH credit limits, as soon as practical to \$1.00 (single and monthly limits) and cut up the credit cards to avoid any more charges. This needs to be done early enough to ensure that all transactions post to the statement and can be certified prior to CH departure.

(4) Once all transactions have been posted, the APC shall close the CH account and rescind the delegated authority.

XX Aug 12

(5) All CH files shall be turned in to the APC when a CH leaves the command for retention by the APC. This will allow auditors the ability to locate documents after the CH has departed.

b. AO or APC account. The Citibank balance must be zero. If there is an outstanding balance, a manual certification will need to occur to balance the account. If there is a credit balance, request a check from Citibank made out to U.S. Treasury and have DFAS apply the money to the lines of accounting that generated the credit as determined by the APC/AO/CH.

7. Inactive Accounts. The Level V APC shall ensure that any CH account that has not been used in the previous six months or was used less than three times in a six-month period is closed unless the supervisor submits an acceptable justification to the APC (i.e. contingency or deployed).

8. Contingency Account. Contingency accounts are normally not active, but can be used if the primary CH's account is unavailable. Designating the account as a contingency account ensures the account is not closed if identified as inactive. Within the CH profile, input 'Contingency' in the discretionary Code 2 field. The APC shall ensure that any CH account designated as a contingency account is set to a credit limit of \$1.00 (single and monthly limits) until the account is activated for usage. Contingency cards are included in span of control requirements (1:7 ratio accounts to AO).

9. Standards of Conduct. Employees of NSTC staff hold a public trust; their conduct must meet the highest ethical standards. All CHs will use the GCPC only to purchase supplies within the guidance of this program and should be aware that making false statements on purchase card records may subject them to disciplinary action to include removal and criminal prosecution under Title 18, United States Code, or the Uniform Code of Military Justice for military personnel. GCPC misuse, abuse, fraud and payment delinquency will not be tolerated. The AO and/or CH shall be subject to administrative disciplinary action, prosecution under the Uniform Code of Military Justice, and/or criminal prosecution under Title 18 of the United States Code for improper, fraudulent, abusive, negligent, or unauthorized use. It is DOD policy that for each case of improper, fraudulent, abusive, or negligent use of the GCPC (by civilian or military personnel) the supervisor of the individual will be informed in a timely manner so that appropriate corrective, disciplinary, or adverse action may be taken. This includes any use at establishments or for purposes that are

11 Sep 12

inconsistent with the official business of DON or with applicable regulations.

a. Civilian Personnel. In taking corrective or disciplinary action against civilian personnel, supervisors shall use Enclosure (8) as authoritative guidance. The servicing Human Resources Office should assist the supervisor in taking disciplinary/adverse action on the selection of the charge and appropriate penalty based on the Navy's past practice, regulatory guidance, applicable case law, and good judgment of the supervisor taking the disciplinary or adverse action.

b. Military personnel. Military personnel who misuse, abuse, or commit fraud with the purchase card shall be subject to actions available under reference (g), including counseling, admonishment, reprimand, non-judicial punishment, courts-martial and administrative separation. In taking corrective or disciplinary action against military personnel who misuse or abuse the government purchase card, commanders or supervisors shall use the procedures established for each action by the appropriate military department and consult with their legal advisors as necessary.

10. Unauthorized uses/Restrictions on the Purchase Card.

Unauthorized purchases or negligence may constitute fraud and the CHs may be financially liable to the government. CHs are subject to disciplinary action for unauthorized or negligent use.

a. The CHs will be held pecuniarily liable to the Government for the amount of any transaction not made for official government use. Per 18 U.S.C. 287, misuse of the purchase card could result in a fine of not more than \$10,000 or imprisonment for not more than five years or both. Military members that misuse the purchase card are subject to court martial under 10 U.S.C. 932, UCMJ Article 132.

b. Reference (a) provides a comprehensive listing of prohibited and special attention items related to purchase card buys, some include:

(1) Split purchases. No CH may fragment/split purchases that exceed their delegated purchase limit as a means to use the purchase card.

(2) Cash advances (not permitted under any circumstances).

11 Sep 12

(3) Rental or lease of land, buildings, or long-term rentals (one-month).

(4) Fuel or oil for DON-owned aircraft, vessels, and vehicles, unless specifically authorized by reference (a), chapter 5.

(5) Rental or lease of commercial or GSA Vehicles (without drivers). CH are not authorized to use their purchase cards to rent/lease commercial or GSA vehicles including boats, vessels, helicopters, etc. due to contractual requirements.

(6) Repair of GSA-leased vehicles.

(7) Gift Checks, Rebates or Incentives. Under no circumstances will the CH retain gift checks, vendor rebates, or other purchase incentives that can be converted to personal use.

(9) Expenses associated with official travel including transportation, lodging, or meals.

11. Training Requests (SF 182)

a. The SF 182 is authorized for all training costs associated with an individual or group when the training is an off-the-shelf event, conference, or instructional service available to the general public and priced the same for everyone valued at or below \$25,000.

b. The GCPC may not be used to pay for training in excess of \$25,000 when using the SF 182.

c. Each employee initiates the SF 182 and submits it to their immediate supervisor for approval. The form is then forwarded to the N8 representative authorizing expenditure of funds (see Enclosure (9)).

d. After signatures have been received on the SF 182, the CH will ensure AO approval, obligation of funds, and payment of training.

e. When an employee completes training, if a certificate of completion is not received, the supervisor shall complete Section F of the SF 182, certifying that training was completed, forwarding the signed form to the CH that paid for the training.

12. Local procedures for property management. Reference (a) details requirements for the management of Government Personal Property.

11 Sep 12

CHs are the first level of enforcement for the control of high-value and pilferable equipment. The CH shall identify whether the GCPC purchased material needs to be recorded in a Pilferable Item Inventory Control List or within the Minor Property Inventory.

a. If the item is identified as a pilferable item, the CH must provide a copy of the "pilferable item inventory control list" to the Level V APC. At a minimum, this control list must contain the date of purchase, description of item purchased, serial number, cost of item(s), location of item, property custodian, and disposition (i.e. lost, stolen, or forwarded to Defense Logistics Agency (DLA) Disposition Services). The individual CHs will maintain the pilferable item inventory, ensuring all pilferable items purchased with the GCPC are under signature custody.

b. If the item is identified as a Minor Property item, the CH will ensure the item is input into the property management database and physically marked, when feasible, with an appropriate designation indicating U.S. Navy ownership along with a locally established identification number. Minor Property refers to equipment which requires special management. All IT equipment purchased with Government Funds shall be inventoried and reported within the Property Management Database. Note: NSTC N6 approval shall be obtained prior to any IT equipment purchase (see NSTCINST 5230.1 series).

13. Wireless Service and Devices. Only the nation-wide DON wireless contract awarded by the NAVSUP Fleet Logistics Center San Diego (NAVSUP FLCSD) or the Navy Marine Corp Intranet (NMCI) contract shall be used to obtain Continental United States (CONUS) wireless services and devices. In no case shall these equipments or services be obtained under any other contractual vehicle (e.g. provided under a program or support services contract). This policy does not apply to secure communication devices. Authority to approve waivers to this policy is delegated to PEO-IT (www.peo-it.navy.mil).

14. Reconciliation and Certification

a. At the end of each monthly billing cycle, the CH shall reconcile the transactions appearing on their online statement. Each transaction must be matched with records to verify accuracy. CitiBank notes will be annotated with each transaction containing corresponding document numbers and payment status (partial or final).

11 Sep 12

The CH must print and sign the statement and complete reconciliation within five working days of the end of the billing cycle. Online statements shall then be submitted to the AO along with supporting documentations for each transaction.

b. If the CH cannot review their online statement within five working days of billing cycle end, the AO is responsible for reviewing and certifying the CHs online statement. The AO shall review the CH's statements online ensuring all transactions are proper, and the AO shall meet with the CHs upon their return to properly reconcile the statement.

c. The AO is responsible for certifying CHs monthly statements and releasing the monthly invoice for payment within ten days of end of billing cycle. The AO will review each transaction made by the CHs to ensure they were appropriate and the charges accurate. Sign and date the printout of the monthly CH statement. Electronically submit the monthly invoice for payment. Additionally, the AO will complete the monthly transactional review in the PAT within 15 days of the cycle close date.

d. The Level V APC will conduct or oversee/manage the monthly transactional reviews within the PAT. Any Level V review not completed within 30 days of the set due date will have the account suspended by the Level III APC.

15. Missing Documentation. If for some reason the CH does not have documentation of the transaction to send with the statement, he/she must attach an explanation that includes a description of the item, date of transaction, merchant's name, and why there is no supporting documentation.

16. Record Retention. Financial records such as monthly invoices and statements must be retained for six years and three months. APCs, AOs, and CHs must maintain purchase-related records, such as purchase card logs and requisitions, for a minimum of three years.

17. Billing Errors and Disputes

a. Questionable Items. If a CH receives a statement that lists an unrecognized transaction, the CH (or the AO) must notify the Dispute Office at Citibank and complete the Citibank Government Cardholder Dispute Form. This may include circumstances where the CH did not make the transaction, the amount of the transaction is incorrect, or the quality of service is an issue. Citibank will credit the transaction until

11 Sep 12

the dispute is resolved. In addition, a copy of the form must be attached to the CHs monthly statement and sent to the APC.

b. Defective Items. If items purchased with the card are found to be defective, the CH has the responsibility to obtain a replacement or correction of the item as soon as possible. If the merchant refuses to replace or correct the faulty item, then the purchase of the item will be considered in dispute. Items in dispute are handled in the same manner as billing errors.

c. Credit Balances occur due to duplicate certifications and over-payments due to manual certification, erroneous postings by the bank, or credits that post after the account has been closed. CHs are responsible for reconciliation of their monthly statement using procedures found within the CH desk guide at

[http://www.navsup.navy.mil/ccpmd/purchase card/desk guides](http://www.navsup.navy.mil/ccpmd/purchase_card/desk_guides).

APCs need to ensure that when credit balances are outstanding, the credits are applied to the same LOA within the same fiscal year before requesting a refund check from the bank. APCs will need to contact the Client Account Specialist (CAS) at Citibank to transfer credit balances between accounts or to request a refund check, payable to "U.S. Treasury."

18. Lost or Stolen Cards

a. Telephone Notification. If the card is lost or stolen, it is important that the cardholder immediately notify Citibank by calling 1-800-790-7206.

b. Written Notification. The cardholder must also notify the AO and the Level V APC of the lost or stolen card within one work day after discovering the card missing. The AO will submit a written report to the APC within one work day. The report will include:

- (1) Card number;
- (2) Cardholder's complete name;
- (3) Date and location of the loss;
- (4) If stolen, date reported to police;
- (5) Date and time Citibank was notified;
- (6) Any purchase(s) made on the day the card was lost or stolen; and

11 Sep 12

(7) Any other pertinent information.

c. Card Replacement. Citibank will mail a replacement card within one business day of the reported loss or theft. A card that is subsequently found by the cardholder, after being reported lost or stolen, will be cut in half and given to his/her AO or the APC. The APC will notify Citibank that the card has been destroyed.

19. Closing Accounts

a. Cardholder. Upon departure of a CH, the CH must surrender the card to his/her AO or APC. The APC shall ensure that the CH account is suspended at least 30 days (one billing cycle) prior to the projected date of loss. Once the AO has that the CH account is suspended at least 30 days (one billing verified all transactions and payments have cleared for the account, the APC will close the account. Under no circumstances will the account remain open past the official detachment date.

b. AO or APC. Once an AO/APC is due to transfer, retire, or a new AO/APC is assigned, the Level V or IV APC must be notified. Requests to remove the old AO or APC and add a new AO or APC will be forwarded to the Level V or IV APC.

20. Internal Review of the Local Program

a. Monthly Level V APC Reviews. The Level V APC shall conduct or oversee/manage the monthly transactional reviews. The review(s) shall include all of the purchase card transactions within the previous month for all card accounts under the APC's cognizance (100 percent transaction review). Results shall be reported to the CO on a monthly basis.

b. The review shall target the following critical elements:

(1) Suspicious vendors;

(2) Split purchases;

(3) Equitable distribution of business on stand-alone purchases;

(4) Exceeding the micro-purchase threshold and any delegated authority; and

(5) Suspected fraudulent or potential misuse/abuse transactions.

11 Sep 12

c. This process, at a minimum, should consist of reviewing each CH statement with supporting documentation. This should include reviews of the following:

- (1) CH Log;
- (2) Integrity of purchase request (signatures for approval of purchase, quantity matches, etc.);
- (3) Receipt, inspection, and acceptance procedure;
- (4) Proper separation of function being performed; and
- (5) Verification that the AO has reviewed the CH purchases.

d. The Level V APC shall also conduct or oversee/manage the monthly transactional reviews within the PAT. The review shall include all the purchase card transactions identified within the PAT as well as completing the monthly review and submitting to the Level IV APC. Any Level V review not completed within 30 days of the set due date will have the account suspended by the Level II APC.

21. Semi-Annual Level V APC Reviews. Semi-annual reviews shall consist of two reviews: 1) an evaluation of internal procedures and management controls and 2) a transactional review. The Level V APC shall submit the reviews, as well as applicable reports, to the HA for review and signature, ensuring concurrence with all the disciplinary actions taken on any noted findings on the semi-annual review. A copy of the report(s) shall be provided to the Level III APC (through the Level IV APC). The reporting periods for the semi-annual reviews shall encompass the billing cycles of 20 March - 19 September and 20 September - 19 March.

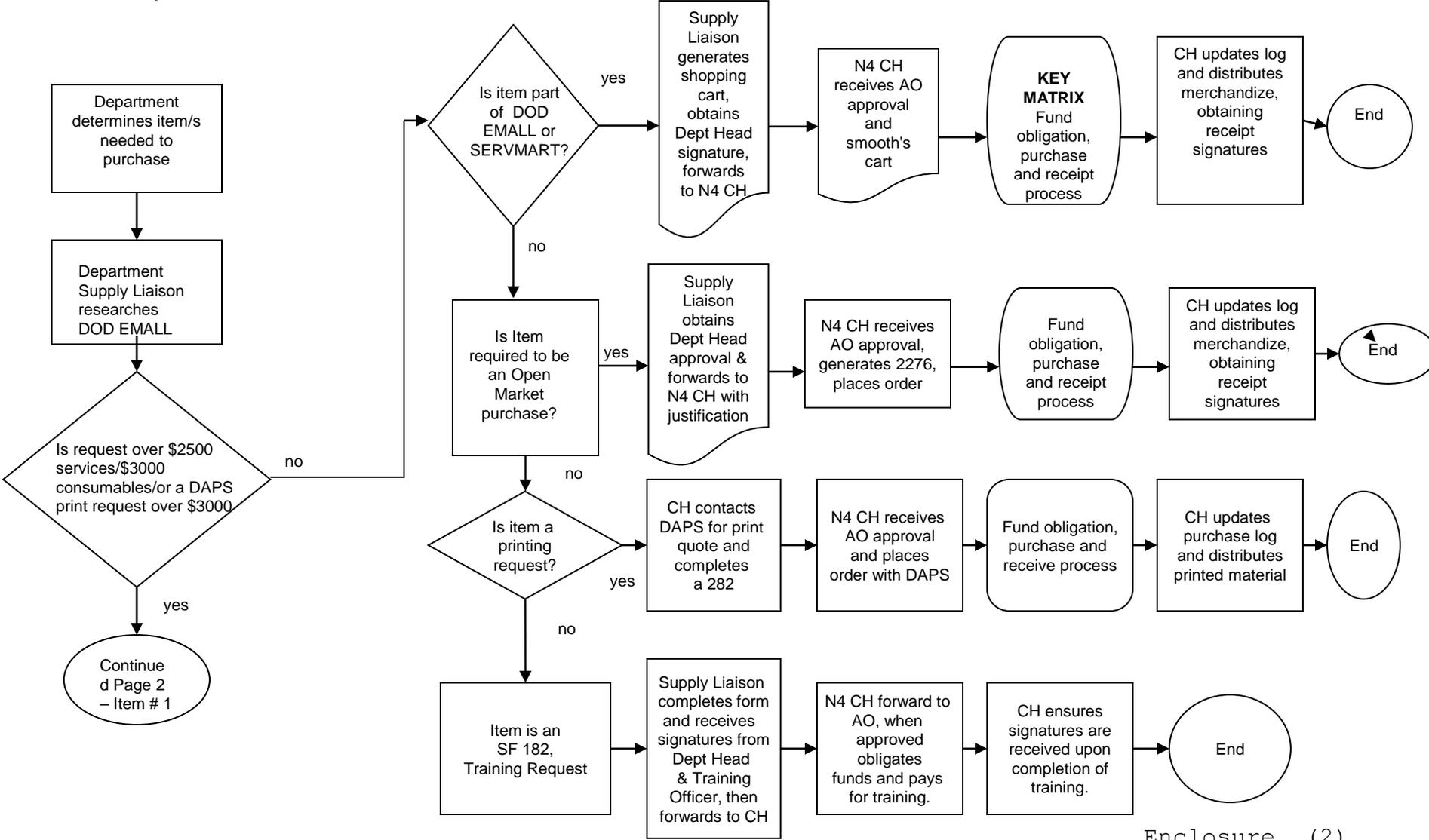
22. End of Fiscal Year Procedures. In order to minimize the end of fiscal year impact, the NSTC Comptroller will establish the cut-off date for Fiscal Year (FY) and will take control of remaining FY OPTAR funds. This cut-off date will ensure control of FY end funds. Card Holders must ensure that all transactions have been processed and purchased prior to close of business on the established cut-off date.

NSTC GCPC PROCUREMENT PROCESS

Purpose: Process by which NSTC uses the GCPC to obtain materials and equipment per NAVSUPINST 4200.99

Process Owner: N4 Supply Officer, (847) 688-4509 x357

Reviewed: May 2012

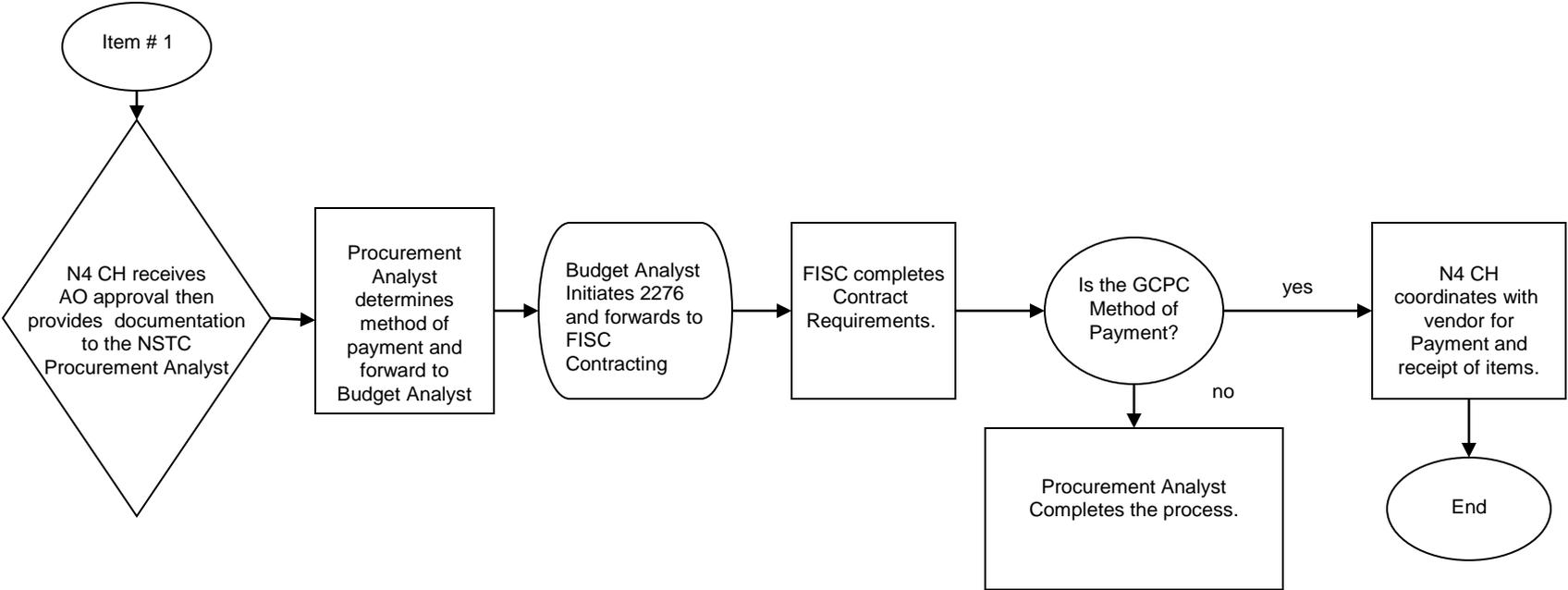


NSTC GCPC PROCUREMENT PROCESS

Purpose: Process by which NSTC uses the GCPC to obtain materials and equipment per NAVSUPINST 4200.99

Process Owner: N4 Supply Officer, (847) 688-4509 x357

Reviewed: May 2012





DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
2601A PAUL JONES STREET
GREAT LAKES, ILLINOIS 60088-2845

4200
Ser N4/
___ (Date)

From: Commander, Naval Service Training Command
To: _____, Naval Service Training Command

Subj: APPOINTMENT AS NAVAL SERVICE TRAINING COMMAND AGENCY
PROGRAM COORDINATOR FOR THE GOVERNMENT COMMERCIAL
PURCHASE CARD

Ref: (a) NAVSUPINST 4200.99 series
(b) Federal Acquisition Regulation (FAR) 1.6
(c) Defense Federal Acquisition Regulation (DFAR) 201.6
(d) NSTCINST 4200.99 (series)
(e) Joint Ethics Directive-DOD 5500.7 series

Encl: (1) DD577 Appointment/Termination Record

1. This letter is formal notification that you are hereby designated as the Naval Service Training Command (NSTC) Level 5 Agency Program Coordinator (APC) to oversee the Government-wide Commercial Purchase Card (GCPC) Program. References (a) through (e) provide detailed guidance for operation of the program.

2. As the Agency Program Coordinator you will be responsible for ensuring purchases made with the GCPC are in accordance with the Federal Acquisition Regulation, agency regulations and local guidance. The specific limits of your authority are established as follows:

a. Personally accountable for strict adherence to the Department of Defense and Department of the Navy (DoN) purchase card policies and procedures.

b. Have overall responsibility for general oversight, implementation, management, administration, and day-to-day operations of the GCPC Program at this command. Responsible for providing guidance and direction on all matters relating to the GCPC Program to GCPC designated and command personnel.

c. Keeping the command's internal operating procedures reference (d) current.

d. Ensuring cardholders and approving officials are trained in the Purchase Card Procedures, documenting all training,

Enclosure (5)

Subj: APPOINTMENT AS NAVAL SERVICE TRAINING COMMAND AGENCY
PROGRAM COORDINATOR FOR THE GOVERNMENT COMMERCIAL
PURCHASE CARD

ensuring all GCPC personnel accomplish Government Ethics training in accordance with reference (e). Retain documentation for the tenure of the designated personnel and three years thereafter for audit purposes.

e. Assignment of purchase restrictions: (Merchant Category Codes (MCC) blocks, etc). Setup profiles for AOs and CHs, ensuring proper authority is granted.

f. Serve as liaison with the NETC Level Four, CitiBank, Approving Official(s), cardholder(s) to resolve any conflicts within the program.

g. Review Fleet Industrial Supply Center (FISC) PPMAP Activity reviews of the purchase card program to assure the integrity of the Activity's program and ensure all noted deficiencies have been corrected. Confirm that adequate local internal controls are in place to assure the integrity of the purchase card program.

h. Perform, oversee and manage monthly transactional purchase card reviews along with semi-annual reviews.

i. Utilize reports available through the CitiDirect Customer Reporting System to monitor span of control, delinquency, etc.

3. Prior to assumption of these duties, accomplish all mandated Purchase Card training per reference (a) and Government Ethics training per reference (e). Sign enclosure (1) designating you as an Accountable Official and retain on file for audit purposes during your tenure and three years thereafter. Refresher training is to be accomplished every two years.

4. You are also delegated authority to appoint Approving Officials, Certifying Officers, and cardholders and set necessary monetary limitations along with methods of procurement, (over-the-counter, over-the-telephone, and/or over-the-internet). Additionally, you are hereby granted authority to designate cardholders and Approving Officials as Accountable Officials via a DD577 (Appointment/Termination Record-Authorized Signature). Cardholders and Approving Officials are responsible for supporting the certification of payment vouchers and must be advised of their responsibilities upon performing the reconciliation function. Retain all documentation on file for audit purposes even when documentation is updated.

Subj: APPOINTMENT AS NAVAL SERVICE TRAINING COMMAND AGENCY
PROGRAM COORDINATOR FOR THE GOVERNMENT COMMERCIAL
PURCHASE CARD

5. The purchase card shall only be used for authorized United States (U.S.) Government purchases. Intentional use of the purchase card for other than official government business will be considered an attempt to commit fraud against the U.S. Government and may result in immediate cancellation of an individual's purchase card and further disciplinary action. Under 18 U.S.C. 287, misuse of the purchase card could result in a fine of not more than \$10,000 or imprisonment of not more than five years or both. Military members that misuse the purchase card may be subject to courts martial under 10 U.S.C. 932, UCMJ Article 132.

6. Improper, fraudulent, abusive or negligent use of the government purchase card is prohibited. Supervisors who receive information indicating that an employee (military or civilian) has engaged in any fraud, misuse or abuse of a purchase card shall take appropriate corrective action as defined with the activity internal operating procedures. Your signature on this letter indicates that you have read and understand that policy.

Head of Activity

Date:

ACKNOWLEDGMENT

By signature hereon, I acknowledge my appointment as the Alternate Agency Program Coordinator for the Government-wide Commercial Purchase Card Program. I have read and understand my

Subj: APPOINTMENT AS NAVAL SERVICE TRAINING COMMAND AGENCY
PROGRAM COORDINATOR FOR THE GOVERNMENT COMMERCIAL
PURCHASE CARD

responsibilities, accountability, and duties as described in references (a) and (d). I further understand that this appointment will remain in effect until revoked in writing by you (or your successor) or until I am transferred, separated for any reason, or retire from service.

(New APC Name)

SAMPLE

4200
Ser N4/
_____(Date)

From: Commander, Naval Service Training Command
To: _____, Naval Service Training Command

Subj: APPOINTMENT AS APPROVING OFFICIAL FOR GOVERNMENT-WIDE
COMMERCIAL PURCHASE CARD (GCPC) REQUIREMENTS

Ref: (a) NAVSUPINST 4200.99 series
(b) Federal Acquisition Regulation (FAR) 1.6
(c) Defense Federal Acquisition Regulation (DFAR) 201.6
(d) NSTCINST 4200.99 series
(e) Joint Ethics Directive DOD 5500.7 series

Encl: (1) DD577 Appointment/Termination Record for Accountably
and Certifying Officer

1. This letter is formal notification that you are hereby appointed as the Officer Development Approving Official (AO) for cardholders under your purview not to exceed (NTE) seven. Your Billing Cycle (monthly) Limit, which is 30 days, will not exceed \$100,000.00. Additionally, you will function as a Certifying Officer for the Government-wide Commercial Purchase Card (GCPC) vouchers/invoices to DFAS Cleveland, 1240 East 9th Street, Cleveland, OH 44199-2001, for invoices associated with GCPC transactions.

2. As an AO, you will be responsible for ensuring purchases made with the GCPC are per the Federal Acquisition Regulation, agency regulations and local guidance. The specific limits of your authority are established as follows:

a. Personally accountable for strict adherence to Department of the Navy (DON) Purchase Card policies and procedures when the card is used.

b. Ensure strict adherence by cardholders to accomplish authorized purchases within the categories and dollar thresholds assigned to them via their designation letters.

c. Ensure cardholders accomplish purchases within assigned Merchant Category Codes or other restrictions as applicable.

Enclosure (6)

Subj: APPOINTMENT AS APPROVING OFFICIAL FOR GOVERNMENT-WIDE
COMMERCIAL PURCHASE CARD (GCPC) REQUIREMENTS

d. Verify that all purchases were necessary and for official government purposes per the provisions of references (a) thru (e), and local guidance which governs the use of the card.

e. Nominating perspective cardholders, verifying the necessity of purchase card transactions, ensuring transactions are per the Internal Operating Procedures (IOP), identifying misuse of the purchase card, reconciling monthly statements and recommending appropriate action to your Agency Program Coordinator (APC) as a remedy for inappropriate use.

f. Approving authorized transaction types designated to assigned cardholders, over the counter, telephone orders or Internet orders.

g. Under your designation as a Certifying Officer, certify GCPC invoices for payment, either electronically or manually within authorized not to exceed limits.

3. Prior to assumption of these duties, accomplish all mandated Purchase Card training per reference (c) and Government Ethics training per reference (f). Refresher training is to be accomplished every two years. After completion of the acknowledgment below and the signature form, keep the original letter and a copy of the DD577. Forward a copy of the letter and the original DD577 Appointment/Termination Record to your Agency Program Coordinator.

4. The purchase card shall only be used for authorized United States (U.S.) Government purchases. Intentional use of the purchase card for other than official government business will be considered an attempt to commit fraud against the U.S. Government and may result in immediate cancellation of an individual's purchase card and further disciplinary action. You will be held personally liable to the Government for the amount of any non-government transactions. Under 18 U.S.C. 287, misuse of the purchase card could result in a fine of not more than \$10,000 or imprisonment of not more than five years or both. Military members that misuse the purchase card may be subject to court martial under 10 U.S.C. 932, UCMJ Article 132.

5. Improper, fraudulent, abusive or negligent use of the government purchase card is prohibited. Supervisors who receive information indicating that an employee (military or civilian) has engaged in any fraud, misuse or abuse of a purchase card

Subj: APPOINTMENT AS APPROVING OFFICIAL FOR GOVERNMENT-WIDE
COMMERCIAL PURCHASE CARD (GCPC) REQUIREMENTS

shall take appropriate corrective action as defined with the activity internal operating procedures. Your signature on this letter indicates that you have read and understand that policy.

6. Notify your APC of any problems you experience with the purchase card program, including questionable items found in the monthly statements. He/she is responsible for the overall administration and management of the program and is available for any assistance you may need.

Head of Activity

FIRST ENDORSEMENT

1. By signature hereon and on enclosures (1) and (2), I acknowledge my appointment as an Approving Official and Certifying Officer. I have read and understand my responsibilities, accountability, and duties as described in references (a) through (f). I understand that I have the right to request relief of liability for any payment I authorized that is determined to be an illegal, improper, or incorrect payment. I further understand that this appointment will remain in effect until revoked in writing by you (or your successor) or until I am transferred, separated for any reason, or retire from service.

(New AO Name)

Copy to:
APC FILE

4200
Ser ___/
(Date)

From: Commander, Naval Service Training Command
To: (Cardholder name), Naval Service Training Command

Subj: DELEGATION OF AUTHORITY TO USE THE GOVERNMENT PURCHASE
CARD

Ref: (a) NAVSUPINST 4200.99
(b) Federal Acquisition Regulation (FAR) 1.6
(c) Defense Federal Acquisition Regulation (DFAR) 201.6
(c) NSTCINST 4299.99 series
(d) Joint Ethics Directive DOD 5500.7 series

1. Per references (a) through (d), you are hereby appointed as a ordering officer for the United States of America, limited to the use of the Government Commercial Purchase Card (GCPC) to purchase supplies and services using over-the-counter, over-the-telephone or via-the-Internet as procurement methods. The GCPC will be used to pay for such purchases. The amount of any single purchase will not exceed \$3,000.00. The billing cycle limit, which is 30 days, will not exceed \$30,000.00, and the total fiscal year limit will not exceed \$300,000.00. When purchasing/ordering via the Internet, you will ensure that appropriate account safeguarding measures are taken.

2. Authorized purchases are:

a. Stand-alone procurement method not to exceed (NTE) \$3,000.00 for supplies, \$2,500.00 for services and \$2,000.00 for construction;

b. Method of payment against contract documents issued by a contracting officer NTE \$20,000.00;

c. Place electronic firm fixed price orders against Indefinite Delivery Type contracts issued by the Navy located on the DoD Email using the purchase card as a payment method up to \$25,000;

d. Method of payment against requirements with Document Automation Production Service (DAPS) when using the DD form 282 NTE \$15,000.00;

Enclosure (7)

Subj: DELEGATION OF AUTHORITY TO USE THE GOVERNMENT PURCHASE CARD

e. Method of payment against training documents when using the Standard Form 182, Request, Authorization, Agreement, Certification of Training and Reimbursement Form NTE \$25,000.00;

f. Requirements outside the scope of the above shall be forwarded to the nearest contracting office per reference (c).

3. Purchase Restrictions:

a. Merchant Category Code Blocks

b. Other, as applicable

4. Supplies or services may be purchased, consistent with your organizational responsibilities and monthly purchase limits established by the approving official designated to review your purchases, to satisfy legitimate requirements. The delegation does not authorize you to purchase supplies or services on the open market that are required to be obtained from mandatory sources of supply. It also does not authorize you to procure supplies or services for which procurement responsibility has been assigned to another organizational element.

5. All purchases must be made following applicable laws and regulations including, but not limited to, references (a) through (e) for procedures using the GCPC service.

6. Your attention is directed to Page 24 of reference (d) paragraph 11 entitled "Improper, Fraudulent, Abusive, Negligent, or Unauthorized Use of a Purchase Card" and Paragraph 12 "Restrictions on the Use of the Purchase Card." This delegation does not authorize you to purchase any of the supplies or services listed in reference (c), enclosure (1) Chapter 5.

7. Your Approving Official, (specify name), is responsible for review and approval of all transactions made using this authority which is effective upon receipt of a purchase card with your name embossed on it. This delegation of authority is valid as long as you are employed at this command or until formally suspended, modified, or revoked by the head of this command or his/her designee.

8. The purchase card shall only be used for authorized U.S. Government purchases. Intentional use of the purchase card for other than official government business will be considered an

Subj: DELEGATION OF AUTHORITY TO USE THE GOVERNMENT PURCHASE
CARD

attempt to commit fraud against the U.S. Government and may result in immediate cancellation of your purchase card and further disciplinary action. You will be held personally liable to the government for the amount of any non-government transactions. Under 18 U.S.C. 287, unauthorized use of the purchase card could result in a fine of not more than \$10,000 or imprisonment of no more than 5 years, or both. Military members that misuse the purchase card may be subject to court martial under 10 U.S.C. 932, UCMJ Article 132.

9. Questions concerning your delegation of authority or purchase card account should be directed to the Command Agency Program Coordinator, who can be reached at (847) 688-4141.

Head of Activity

Date:

ACKNOWLEDGMENT

By signature hereon, I acknowledge my appointment as a Government-wide Commercial Purchase Card cardholder and/or Convenience Check Cashier. I have read and understand my responsibilities and accountability. I understand my right to request relief of liability for any transaction that is determined to be illegal, improper, or incorrect. I further understand that this letter of delegation will remain in effect and will automatically terminate upon separation from Naval Service Training Command.

(Cardholder Name)

Copy to:
APC

11 Sep 12

**SAMPLE SCHEDULE OF POTENTIAL GCPC OFFENSES AND
REMEDIES FOR CIVILIAN EMPLOYEES**

The chart below is one example of potential charge card offenses and remedies or penalties for such offenses. Components must otherwise comply with all applicable law and regulatory guidance in determining whether to impose disciplinary or adverse action in any specific case.

| OFFENSES | FIRST OFFENSE | SECOND OFFENSE | THIRD OFFENSE |
|---|---------------------------------|------------------------------|------------------------------|
| Unauthorized use of or failure to appropriately control use of Government Purchase Charge Card as a cardholder, approving official responsible for use or oversight of the card | Letter of Counseling to removal | 14-day suspension to removal | 30-day suspension to removal |

11 Sep 12

AUTHORIZATION, AGREEMENT AND CERTIFICATION OF TRAINING

A. Agency, code agency subelement and submitting office number

B. Request Status (Mark (X) one)

- Resubmission Initial
 Correction Cancellation

Section A - TRAINEE INFORMATION
 Please read instructions on page 6 before completing this form

| | | | | | |
|---|--|--|--|---|--|
| 1. Applicant's Name (Last, First, Middle Initial) DOE, JANE | | 2. Social Security Number/Federal Employee Number 000-00-1234 | | 3. Date of Birth (yyyy-mm-dd) 0000-00-00 | |
| 4. Home Address (Number, Street, City, State, ZIP Code) (Optional) 2601A PAUL JONES ST BLDG 1 GREAT LAKES, IL 60088-2845 | | 5. Home Telephone (Optional) (Include Area Code) 123-456-7891 | | 6. Position Level (Mark (X) one) <input checked="" type="checkbox"/> a. Non-supervisory <input type="checkbox"/> b. Manager <input type="checkbox"/> c. Supervisory <input type="checkbox"/> d. Executive | |
| 7. Organization Mailing Address (Branch-Division/Office/Bureau/Agency) 2601A PUAL JONES ST BLDG 1 GREAT LAKES, IL 60088-2845 | | 8. Office Telephone (Include Area Code and Extension) 847-688-5855 | | 9. Work Email Address JANE.DOE@NAVY.MIL | |
| 10. Position Title PROGRAM ANALYST | | 11. Does applicant need special accomodation? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | If yes, please describe below | |
| 12. Type of Appointment CC | | 13. Education Level (click link to view codes or go to page 7) 7 | | 14. Pay Plan GS | |
| | | 15. Series 343 | | 16. Grade 09 | |
| | | | | 17. Step | |

Section B - TRAINING COURSE DATA

| | | | |
|---|--|--|--|
| 1a. Name and Mailing Address of Training Vendor (No., Street, City, State, ZIP Code) I/ITSEC EDUCATION TRAINING ORANGE COUNTY CONVENTION CENTER INTERNATIONAL DRIVE ORLANDO, FL | | 1b. Location of Training Site (if same, mark box) <input checked="" type="checkbox"/> | |
| | | 1c. Vendor Telephone Number 123-456-7891 | |
| | | 1d. Vendor Email Address WWW.IITSEC.ORG | |
| 2a. Course Title Interservice/Industry Training Simulation & Education Conference (I/ITSEC) | | 2b. Course Number Code | |
| | | 3. Training Start Date (Enter Date as yyyy-mm-dd) 2012-06-12 | |
| | | 4. Training End Date (Enter Date as yyyy-mm-dd) 2012-06-15 | |
| 5. Training Duty Hours 36 | | 6. Training Non-Duty Hours | |
| | | 7. Training Purpose Type (Click link to view codes or go to page 9) 03 | |
| | | 8. Training Type Code (Click link to view codes or go to page 9) 08 | |
| 9. Training Sub Type Code (Click link to view codes or go to page 9) 08 | | 10. Training Delivery Type Code (Click link to view codes or go to page 12) 04 | |
| | | 11. Training Designation Type Code (Click link to view codes or go to page 13) 05 | |
| | | 12. Training Credit | |
| | | 13. Training Credit Type Code (Click link to view codes or go to page 13) | |
| 14. Training Accreditation Indicator (Check below) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | 15. Continued Service Agreement Required Indicator (Check below) <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | |
| | | 16. Continued Service Agreement Expiration Date (Enter date as yyyy-mm-dd) (if above 80 hrs complete) | |
| | | 17. Training Source Type Code (Click link to view codes or go to page 13) 03 | |
| 18. Training Objective Participant/Exhibitor | | 19. AGENCY USE ONLY "Advance Payment is Authorized" (only used if vendor stipulated the course fee must be paid in advance or if a registration fee is required) | |

Section C - COSTS AND BILLING INFORMATION

| | | | | | |
|---|-----------|--------------------|--|--------|--------------------|
| 1. Direct Costs and Appropriation / Fund Chargeable | | | 2. Indirect Costs and Appropriation / Fund Chargeable | | |
| Item | Amount | Appropriation Fund | Item | Amount | Appropriation Fund |
| a. Tuition and Fees | \$ 275.00 | | a. Travel | \$ | |
| b. Books & Material Costs | \$ | | b. Per Diem | \$ | |
| c. TOTAL | \$ 275.00 | | c. TOTAL | \$ | |
| 3. Total Training Non-Government Contribution Cost | | | 6. BILLING INSTRUCTIONS (Furnish invoice to): Naval Service Training Command 2601A Pual Jones Street Great Lakes, IL 60088-2845 | | |
| 4. Document / Purchasing Order / Requisition Number N0021086Q101 (Doc No. from FASTDATA) | | | "Method of Payment will be the GCPC. Command POC is _____ at 847-688-_____. | | |
| 5. 8 - Digit Station Symbol (Example - 12-34-5678) | | | | | |

Section D - APPROVALS

1a. Immediate Supervisor - *Name and title*
(Supervisor)

1b. Area Code / Telephone Number

1c. Email Address

1d. Signature

1e. Date

2a. Second-line Supervisor - *Name and title*

(Comptroller) Anne Hemingway, Comptroller

2b. Area Code / Telephone Number

2c. Email Address

2d. Signature

2e. Date

3a Training Officer - *Name and title*

3b. Area Code / Telephone Number

3c. Email Address

3d. Signature

3e. Date

Section E - APPROVALS / CONCURRENCE

1a. Authorizing Official - *Name and title*

(NSTC GCPC APPROVING OFFICIAL)

1b. Area Code / Telephone Number

1c. Email Address

1d. Signature

Approved Disapproved

1e. Date

Section F - CERTIFICATION OF TRAINING COMPLETION AND EVALUATION

1a. Authorizing Official - *Name and title*

(Signature from training course or supervisor verifying course completion)

1b. Area Code / Telephone Number

1c. Email Address

1d. Signature

1e. Date

TRAINING FACILITY - Bills should be sent to office indicated in item C6. Please refer to number given in item C4 to assure prompt payment.

Enclosure (9)

Privacy Act Statement

Authority – This information is being collected under the authority of 5 U.S.C. § 4115, a provision of The Government Employees Training Act.

Purposes and Uses – The primary purpose of the information collected is for use in the administration of the Federal Training Program (FTP) to document the nomination of trainees and completion of training. Information collected may also be provided to other agencies and to Congress upon request. This information becomes a part of the permanent employment record of participants in training programs, and should be included in the Governmentwide electronic system, (the Enterprise Human Resource Integration system (EHRI) and is subject to all of the published routine uses of that system of records.

Effects and Nondisclosure – Providing the personal information requested is voluntary; however, failure to provide this information may result in ineligibility for participation in training programs or errors in the processing of training you have applied for or completed.

Information Regarding Disclosure of your Social Security Number (SSN) Under Public Law 93-579, Section 7(b) – Solicitation of SSNs by the Office of Personnel Management (OPM) is authorized under provisions of the Executive Order 9397, dated November 22, 1943. Your SSN will be used primarily to give you recognition for completing the training and to accumulate Governmentwide training statistical data and information. SSNs also will be used for the selection of persons to be included in statistical studies of training management matters. The use of SSNs is necessary because of the large number of current Federal employees who have identical names and/or birth dates and whose identities can only be distinguished by their SSNs.

Enclosure (9)

Note: This agreement must be signed by the nominee for Government training that exceeds 80 hours (or such other designated period, less than 80 hours as prescribed by the agency) for which the Government approves payment of training costs prior to the commencement of such training. Nothing contained in this SAMPLE agreement below shall be construed as limiting the authority of an agency to waive, in whole or in part, an obligation of an employee to pay expenses incurred by the Government in connection with the training.

Continued Service Agreement

Employees, who are selected to training for more than a minimum period as prescribed in Title 5 USC 4108 and 5 CFR 410.309, see your supervisor for more information on the internal policies to implement a continued service agreement.

Employees Agreement to Continue in Service

To be completed by applicant:

1. I AGREE that, upon completion of the Government sponsored training described in this authorization, if I receive salary covering the training period, I will serve in the agency three (3) times the length of the training period. If I received no salary during the training period, I agree to serve the agency for a period equal to the length of training, but in no case less than one month. (The length of part-time training is the number of hours spent in class or with the instructor. The length of full-time training is eight hours for each day of training, up to a maximum of 40 hours a week).

NOTE: For the purposes of this agreement the term "agency" refers to the employing organization (such as an Executive Department or Independent Establishment), not to a segment of such organization.

2. If I voluntarily leave the agency before completing the period of service agreed to in item 1 above, I AGREE to reimburse the agency for fees, such as the tuition and related fees, travel, and other special expenses (EXCLUDING SALARY) paid in connection with my training. These fees are reflected in Section C Costs and Billing Information. Note: Additional information about fees and expenses can be found in the Guide to Human Resource Reporting (GHRR).
<http://www.opm.gov/feddata/ghrr/index.asp>
3. I FURTHER AGREE that, if I voluntarily leave the agency to enter the service of another Federal agency or other organization in any branch of the Government before completing the period of service agreed, I will give my organization written notice of at least ten working days during which time a determination concerning reimbursement will be made. If I fail to give this advance notice, I AGREE to pay the full amount of additional expenses 5 U.S.C. 4108 (a) (2) incurred by the Government in this training.

4. I understand that any amount of money which may be due to the agency as a result of any failure on my part to meet the terms of this agreement may be withheld from any monies owed me by the Government, or may be recovered by such other methods as are approved by law.
5. I FURTHER AGREE to obtain approval from my organization and the person responsible for authorizing government training requests of any proposed change in my approved training program involving course and schedule changes, withdrawals or incompletions, and increased costs.
6. I acknowledge that this agreement does not in any way commit the Government to continue my employment. I understand that if there is a transfer of my service obligation to another Federal agency or other organization in any branch of the Government, the agreements will remain in effect until I have completed my obligated service with that other agency or organization.

Period of obligated Service: _____

Employee's Signature: _____

Date: _____

Agency Training Electronic Reporting Instructions

General Instructions:

1. You must complete all questions in sections A-E on the training application. In addition, your financial institution must complete Section F Certification of Training Completion and Evaluation section.
2. Electronic Requirements - An agency should only submit data for completed training that is defined as a training event for which the student has accomplished all components in the title of the event.
3. Collection of training data requires completed training events and that all mandatory data elements have been recorded. Training may vary from agency to agency. This form provides conformity and standardization for the required core data.
4. Codes for underlined elements will link you to the chart. Identify the correct code, then return to the form (links will not automatically return you to the form).

Section A - Trainee Information

1. **Applicant's Name** - Last Name, First Name, Middle Initial.
2. **Social Security Number** - Use employee's nine (9) digit SSN. (123-45-6789)
OR
Federal Employee Number - The unique number that Enterprise Human Resources Integration (EHRI) will assign to an employee to identify employee records within the EHRI system. (Agency)
3. **Date of Birth (format yyyy-mm-dd)** - Employee's date of birth (e.g. if employee's birth date is March 25, 1951, it would appear as (1951-03-25).
4. **Home Address** - Employee's home address, include the street number, city, state, and zip code.
5. **Home Telephone Number** - Employee's area code, home telephone number.
6. **Position Level** - Select whether the employee's position level is one of the following:
 - 6a. **Non supervisory** - Anyone who does not have supervisory/team leader responsibilities.
 - 6b. **Supervisory** - First line supervisors who do not supervise other supervisors; typically those who are responsible for an employee's performance appraisal or approval of their leave.
 - 6c. **Manager** - Those in management positions who typically supervise one or more supervisors.
 - 6d. **Executive** - Members of the Senior Executive Service (SES) or equivalent.
7. **Organization Mailing Address** - This is the internal agency address of the employee Branch-Division/Office/Bureau/Agency, include the street name, city, state and zip code.
8. **Office Telephone Number** - Insert the employee's area code, office telephone number and extension.
9. **Work E-mail Address** - Agency e-mail address.
10. **Position Title** - Employee's current position within the agency.

Section A - Trainee Information (Continued)

11. **Does Applicant Need Special Accommodations?** - Indicate "Yes" or "No". If the applicant is in need of special arrangements (brailing, taping, interpreters, facility accessibility, etc), describe the requirements in the space provided or on a separate sheet.
12. **Type of Appointment** - The employee type of appointment (e.g., Career Conditional (CC), Career (C), Temporary (Temp.), Schedule A, etc.).
13. **Education Level** -Use the employee educational level codes listed below.

| <u>Code</u> | <u>Short Description</u> | <u>Long Description (If Applicable)</u> |
|-------------|---|---|
| 1 | No formal education or some elementary school--did not complete | Elementary school means grades 1 through 8, or equivalent, not completed. |
| 2 | Elementary school completed--no high school | Grade 8 or equivalent completed. |
| 3 | Some high school--did not graduate | High school means grades 9 through 12, or equivalent. |
| 4 | High school graduate or certificate of equivalency | |
| 5 | Terminal occupational program--did not complete | Program extending beyond grade 12, usually no more than three years; designed to prepare students for immediate employment in an occupation or cluster of occupations; not designed as the equivalent of the first two or three years of a baccularate degree program. Includes cooperative training or apprenticeship consisting of formal classroom instruction coupled with on-the-job training. |
| 6 | Terminal occupational program--certificate of completion, diploma or equivalent | See code 5 above for definition of terminal occupational program. Two levels are recognized: (1) The technical and/or semi-professional level preparing technicians or semiprofessional personnel in engineering and nonengineering fields; and (2) the craftsman/clerical level training artisans, skilled operators, and clerical workers. |
| 7 | Some college--less than one year | Less than 30 semester hours completed. |
| 8 | One year college | 0-59 semester hours or 45-89 quarter hours completed. |
| 9 | Two years college | 60-89 semester hours or 90-134 quarter hours completed. |
| 10 | Associate Degree | 2-year college degree program completed. |
| 11 | Three years college | 90-119 semester hours or 135-179 quarter hours completed. |
| 12 | Four years college | 120 or more semester hours or 180 or more quarter hours completed--no baccularate (Bachelor's) degree. |
| 13 | Bachelor's Degree | Requires completion of at least four, but no more than five, years of academic work; includes Bachelor's degree conferred in a cooperative business, industry, or Government to allow student to combine actual work experience with college studies. |

Section A - Trainee Information (Continued)

| <u>Code</u> | <u>Short Description</u> | <u>Long Description (If Applicable)</u> |
|-------------|--------------------------|--|
| 14 | Post-Bachelor's | Some academic work beyond (at a higher level than) the Bachelor's degree but no additional higher degree. |
| 15 | First professional | Signifies the completion of academic requirements for selected professions that are based on programs requiring at least two academic years of previous college work for entrance and a total of at least six academic years of college work for completion, e.g., Dentistry (D.D.S. or D.M.D.), Law (LL. B. or J.D.), Medicine (M.D.), Theology (B.D.), Veterinary Medicine (D.V.M.), Chiropody or Podiatry (D.S.C. or D.P.), Optometry (O.D.), and Osteopathy (D.O.). |
| 16 | Post-first professional | Some academic work beyond (at a higher level than) the first professional degree but no additional higher degree. |
| 17 | Master's degree | For liberal arts and sciences customarily granted upon successful completion of one (sometimes two) academic years beyond the Bachelor's degree. In professional fields, an advanced degree beyond the first professional but below the Ph.D., e.g., the LL.M.; M.S. in surgery following the M.D.; M.S.D., Master of Science in Dentistry; M.S.W., Master of Social Work, and MA, Master of Arts. |
| 18 | Post-Master's | Some academic work beyond (at a higher level than) the Master's degree but no additional higher degree. |
| 19 | Sixth-year degree | Includes such degrees as Advanced Certificate in Education, Advanced Master of Education, Advanced Graduate Certificate, Advanced Specialist in Education Certificate, Certificate of Advanced Graduate Study, Certificate of Advanced Study, Advanced Degree in Education, Specialist in Education, Licentiate in Philosophy, Specialist in Guidance and Counseling, Specialist in Art, Specialist in Science, Specialist in School Administration, Specialist in School Psychology, and Licentiate in Sacred Theology. |
| 20 | Post-sixth year | Some academic work beyond (at a higher level than) the sixth-year degree but no additional higher degree. |
| 21 | Doctorate degree | Includes such degrees as Doctor of Education, Doctor of Juridical Science, Doctor of Public Health, and the Ph.D. (or equivalent) in any field. Does not include a Doctor's degree that is a first professional degree, per code 15. |
| 22 | Post-Doctorate | Work beyond the Doctorate. |

14. **Pay Plan** - The employee's pay plan. (e.g., GS, WG, ES...**Pay Band**)

15. **Series** - The position classification four digit series. (e.g., 0201)

16. **Grade** - The employee's grade level. (1-15)

17. **Step** - The employee must insert the appropriate step. (1-10)

Enclosure (9)

Section B - Training Course Data

- 1a. **Name and Mailing Address of Training Vendor** - Street number, city, state, and ZIP code of the appropriate vendor. (Agency specific)
- 1b. **Location of the Training Site** - Provide mailing address of the training site if different from 1a. (Agency specific)
- 1c. **Vendor Telephone Number** - Self explanatory. (Agency specific)
- 1d. **Vendor E-mail Address** - Self explanatory. (Agency specific)
- 2a. **Course Title** - Insert the title of the course or the program that the employee is scheduled to complete.
- 2b. **Course Number Code** - Insert the Course Number Code.
3. **Training Start Date** - Insert the start date of the training completed by the employee. (yyyy-mm-dd)
4. **Training End Date** - Insert the end date of the training completed by the employee. (yyyy-mm-dd)
5. **Training Duty Hours** - Insert the number of duty hours for training.
6. **Training Non Duty Hours** - Insert the number of non-duty hours for training.
7. **Training Purpose Type** - Insert the purpose for taking this course or program using the appropriate training purpose type code.

| <u>Code</u> | <u>Short Description</u> | <u>Long Description (If Applicable)</u> |
|-------------|--------------------------------------|---|
| 01 | Program/Mission | Training to provide the knowledge, skills and abilities needed as a result of agency mission, policies, or procedures. |
| 02 | New Work Assignment | Training to acquire the knowledge, skills and abilities needed as a result of assignment to new duties and responsibilities when such training is not part of a planned, career development program (e.g., training provided to a staffing specialist who has been newly assigned to a position involving classification duties). |
| 03 | Improve/Maintain Present Performance | Training to provide the knowledge, skills and abilities needed to improve or maintain proficiency in present job. |
| 04 | Future Staffing Needs | Training to provide the knowledge, skills, and abilities needed to meet future staffing needs (e.g., to implement succession planning). |
| 05 | Develop Unavailable Skills | Training to acquire the knowledge, skills and abilities needed for fields of work for which the labor market cannot produce a sufficient number of trained candidates (e.g., air traffic controllers or Information Technology (IT) professionals). |
| 06 | Retention | Training/education used to address staffing issue of retaining an employee (e.g., academic degree training). |

8. **Training Type Code** - There are three (3) different Training Type Codes. The employee must select one from the Training Type Codes. (Select from the chart on pages 10-12.)
9. **Training Sub-Type Code** - There are *Sub-Type Categories* for each of the three (3) different Training Type Codes. Select one (1) Sub-Type Category code that applies to the training type code you selected. (Select from the chart on pages 10-12.)

Enclosure (9)

Section B - Training Course Data (Continued)

| Training Type Code | Training Sub Type Code |
|---|--|
| 01 - Training Program Area Description: Functional or specialized training programs. | 01 - Legal Education or training in the concepts, principles, and theories, or techniques of law. |
| | 02 - Medical and Health Education or training in the concepts, principles, and theories, or techniques of medicine. |
| | 03 - Scientific Education or training in the concepts, principles, and theories, or techniques of disciplines such as the physical, biological, natural, and social sciences; education; economics; mathematics; or statistics. |
| | 04 - Engineering or Architecture Education or training in the concepts, principles, and theories, or techniques of disciplines such as architecture and engineering. |
| | 05 - Human Resources Education or training in the concepts, principles, and theories of such fields as: public administration, personnel training, equal employment opportunity, human resources policy analysis, succession planning, performance management, classification, and staffing. |
| | 06 - Budget/Finance Business Administration Education or training in the concepts, principles, and theories of business administration, accounts payable and receivable, auditing and internal control, and cash management. |
| | 07 - Planning and Analysis Education or training in the concepts, principles, and theories of systems analysis; policy, program or management analysis; or planning, including strategic planning. |
| | 08 - Information Technology Education and training in the concepts and application of data and the processing thereof; e.g., the automatic acquisition, storage, manipulation (including transformation), management, system analysis, movement, control, display, switching, interchange, transmission or reception of data, computer security and the development and use of the hardware, software, firmware, and procedures associated with this processing. This training type does not include any IT training on agency proprietary systems. |
| | 09 - Project Management Education and training in the concepts, principles, and theories necessary to develop, modify, or enhance a product, service, or system which is constrained by the relationships among scope, resources, and time. |
| | 10 - Acquisition Education or training in the concepts, principles, and theories or techniques related to the 1102 occupation, e.g., procurement, contracting. |
| | 11 - Logistic Specialty Training for professional skills of a specialized nature in the methods and techniques of such fields as supply, procurement, transportation, or air traffic control. |
| | 12 - Security Training of a specialized nature in the methods and techniques of investigation, physical security, personal security, and police science. |

Section B - Training Course Data (Continued)

| Training Type Code | Training Sub Type Code |
|---|---|
| <p>01 - Training Program Area (continued)</p> | <p>13 - Clerical (Non-supervisory clerical/administrative) Training in skills such as office management, typing, shorthand, computer operating, letter writing, telephone techniques; or word processing.</p> |
| | <p>14 - Trade and Craft Training in the knowledge, skills, and abilities needed in such fields as electronic equipment installation, maintenance, or repair; tool and die making; welding, and carpentry.</p> |
| | <p>15 - Foreign Affairs Training for professional skills of a specialized nature in the methods and techniques of such fields as foreign languages, foreign culture, diplomacy, or strategic studies.</p> |
| | <p>16 - Leadership/Manager/Communications Courses Training that addresses skill areas such as Leadership/Management and Communication (e.g., written, oral and interpersonal) coursework.</p> |
| <p>02 - Developmental Training Area Description: Formal developmental/training programs.</p> | <p>20 - Presupervisory Program Development/training program for non-supervisors.</p> |
| | <p>21 - Supervisory Program Development/training program which provides education or training in supervisory principles and techniques in such subjects as personnel policies and practices (including equal employment opportunity, merit promotion, and labor relations); human behavior and motivation; communication processes in supervision, work planning, scheduling, and review; and performance evaluation for first-line supervisors.</p> |
| | <p>22 - Management Program Development/training program which provides mid-management level education or training in the concepts, principles, and theories of such subject matters as public policy formulation and implementation, management principles and practices, quantitative approaches to management, or management planning organizing and controlling. (Supervisors of supervisors; GS-14/15 supervisors; GS-14/15 direct reports to SES).</p> |
| | <p>23 - Leadership Development Program Formal developmental program that provides leadership training and development opportunities.</p> |
| | <p>24 - SES Candidate Development OPM-approved program to prepare potential SES members.</p> |
| | <p>25 - Executive Development Continuing development for leaders above the GS-15 level.</p> |
| | <p>26 - Mentoring Program Formal stand-alone program with established goals and measured outcomes. Open to all who qualify; protégées and mentors paired to facilitate compatibility, training and support provided, and company benefits directly.</p> |
| | <p>27 - Coaching Program Formal stand-alone program which provides ongoing partnership with an employee and coach that helps employee produce desired results in professional life.</p> |

Section B - Training Course Data (Continued)

| Training Type Code | Training Sub Type Code |
|---|---|
| 03 - Basic Training Area Description: Fundamental and/or required training programs. | 30 - Employee Orientation Training of a general nature to provide an understanding of the organization and missions of the Federal Government, employing agency or activity, or a broad overview and understanding of matters of public policy. |
| | 31 - Adult Basic Education Education or training to provide basic completeness in such subjects as remedial reading, grammar, arithmetic, lip reading or Braille. |
| | 32 - Federally Mandated Training Mandatory training for all employees Governmentwide. This includes training mandated by federal statute or regulation; such as in the areas of computer security awareness (5 CFR 930.301-305), ethics (5 CFR 2638.703 and 704), or executives, managers, and supervisors (5 CFR Part 412). |
| | 33 - Work-life Training to promote work-life (e.g., health and wellness training, employee retirement/benefits training, etc). |
| | 34 - Soft Skills Training involving development of employees ability to relate to others (e.g., customer service, dealing with difficult people, etc). |
| | 35 - Agency Required Training Agency specific training required by the agency and provided to Federal employees in order to achieve the goals and objectives of the Agency as needed. For example: agency training based on Inspector General's Audit; agency training aimed at improving individual's needs based on Performance Improvement Plan (PIP); agency training based on signing agreement between Union and Management. |

10. Training Delivery Type Code --

| Code | Short Description | Long Description (If Applicable) |
|-------------|---------------------------------------|---|
| 01 | Traditional Classroom (no technology) | Individual or multiple person led, face-to-face training. |
| 02 | On the Job | Formal methods/activities planned and structured to promote learning by doing; e.g., detail assignments/programs. |
| 03 | Technology Based | Methods mainly using technology, which may include tutorials embedded in software, CD ROM products, Web-based courses, and interactive media. |
| 04 | Conference/workshop | An organized learning event which has an announced educational or instructional purpose; more than half the time is scheduled for a planned, organized exchange of information between presenters and audience which meets the definition of training in 5 U.S.C. 4110; content of the conference/retreat is germane to improving individual and/or organizational performance; and developmental benefits will be derived through the employee's attendance. |
| 05 | Blended | Training that requires two or more methods of delivery that must be completed in order to satisfy the educational requirements. |
| 06 | Correspondence | Self-study course material: Training provided via the assignment of non-interactive methods such as a book, document, regulation, or manual. |

Section B - Training Course Data (Continued)

11. **Training Designation Type Code** - Select and insert the appropriate training credit designation type code:

| <u>Code</u> | <u>Short Description</u> | <u>Long Description (If Applicable)</u> |
|-------------|---------------------------|---|
| 01 | Undergraduate Credit | N/A |
| 02 | Graduate Credit | N/A |
| 03 | Continuing Education Unit | N/A |
| 04 | Post Graduate Credit | N/A |
| 05 | N/A | N/A |

12. **Training Credit** - Amount of academic credit hours of continued education units (1, 1.5, or .75) earned by the employee for the completed training. (This should be completed by the agency).

13. **Training Credit Type Code** - Select and insert the appropriate training credit designation type code:

| <u>Code</u> | <u>Short Description</u> |
|-------------|---------------------------|
| 01 | Semester Hours |
| 02 | Quarter Hours |
| 03 | Continuing Education Unit |

14. **Training Accreditation Indicator** - Insert a Yes (Y) or No (N).

15. **Continued Service Agreement Required Indicator** - Insert Yes (Y) or No (N) or non applicable (N/A) in appropriate space. (Agency response.)

16. **Continued Service Agreement Expiration Date** - (Enter date as yyyy-mm-dd).

17. **Training Source Type Code** --

| <u>Code</u> | <u>Short Description</u> | <u>Long Description (If Applicable)</u> |
|-------------|---------------------------------------|--|
| 01 | Government Internal | Training provided by a Federal department, agency, or independent establishment for its own employees. |
| 02 | Government External | Training provided by an interagency training activity, or a Federal department, agency, or independent establishment other than the one which currently employs the trainee. |
| 03 | Non-government | Sources include commercial or industrial concern, educational institutions, professional societies or associations, or consultants or individuals who are not Government employees, (but are contracted to develop and/or provide training course or program.) |
| 04 | Government State/Local | Training provided by a state, county, or municipal Government. Education provided by State-operated or other public educational institutions is reported as non-Government. |
| 05 | Foreign Governments and Organizations | Training provided by non United States entities which may or may not be outside the United States. |

18. **Training Objectives** - It is important that the objectives for the employee(s) enrolling in this course or program is related to the strategic objectives of the organization for which the employee works. Provide text to explain how the training event meets agency objective(s) and purpose type.

19. **Agency Use Only** -For use by an agency as needed.

Enclosure (9)

11 Sep 12

Section C - Costs and Billing Information

1. ***Direct costs and appropriation/fund chargeable***
 - a. ***Training Tuition and Fees Cost*** - Insert the actual/final cost of training tuition and fees for training completed by the employee that was paid for by the Federal Government.
 - b. ***Books and Materials Costs*** - Insert the materials cost for training completed by the employee that was paid for by the Federal Government. (Refer to the Guide for Human Resources Reporting Guide at <http://www.opm.gov/feddata/guidance.asp> for more information).
 - c. ***Total Cost*** - Insert the actual/final cost.
2. ***Indirect costs and appropriation/fund chargeable***
 - a. ***Training Travel Cost*** - Insert the actual/final travel cost excluding per diem for training completed by the employee that was paid for by the Federal Government.
 - b. ***Training Per Diem Cost*** - Insert the actual/final per diem cost (e.g., meals, lodging, miscellaneous expenses) for training completed by the employee that was paid for by the Federal Government.
 - c. ***Total Cost*** - Insert the actual/final cost.
3. ***Total Training Non-Government Contribution Cost*** - Insert the cost contributed by the employee or other non-Government organizations for the training completed by the employee.
4. ***Document/Purchase Order/Requisition Number*** - Enter Document/Purchase Order/Requisition Number for reimbursement of training costs to responsible Training Vendor. This number is to be referenced in the billing process.
5. ***8-Digit Station Symbol*** - Fill in 8-digit station symbol of the nominating Agency Finance Office.
6. ***Billing Instructions*** - Enter name and mailing address of nominating Agency Finance Office for billing purposes.

Section D - Approvals

- 1-3e. ***Approvals*** - To be completed by the employee's immediate and/or second-line supervisor(s) before submission of application to nomination Agency Training Office.

Section E - Approvals/Concurrence

- 1-1e. ***Approval/Concurrence*** - To be completed by the nominating Agency Official who is authorized to approve or disapprove request.

Section F - Certification of Training Completion and Evaluation

NOTE: Agency Certifying Officials are certifying the employee has completed the requirements for the training and an evaluation has been completed. The requirement to evaluate training is found in 5 CFR 410.601. The agency head shall evaluate training to determine how well it meets short and long-range program needs of the agency and the individual. The needs should be aligned with the strategic plan to strengthen and develop the performance and behavior of the individual whose positive results will impact the performance of the agency.

Enclosure (9)

APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE

(Read Privacy Act Statement and Instructions before completing form.)

PRIVACY ACT STATEMENT

AUTHORITY: E.O. 9397, 31 U.S.C. Sections 3325, 3528, DoDFMR, 7000.14-R, Vol. 5.

PRINCIPAL PURPOSE(S): To maintain a record of certifying and accountable officers' appointments, and termination of those appointments. The information will also be used for identification purposes associated with certification of documents and/or liability of public records and funds.

ROUTINE USE(S): The information on this form may be disclosed as generally permitted under 5 U.S.C Section 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the the Federal Reserve banks to verify authority of the accountable individual to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published in the Federal Register.

DISCLOSURE: Voluntary; however, failure to provide the requested information may preclude appointment.

SECTION I - FROM: APPOINTING AUTHORITY

| | | | |
|---------------------------------------|--------------|----------------------------|---|
| 1. NAME (First, Middle Initial, Last) | | 2. TITLE Chief of Staff | 3. DOD COMPONENT/ORGANIZATION Naval Service Training Command |
| 4. DATE (YYYYMMDD) | 5. SIGNATURE | | |

SECTION II - TO: APPOINTEE

| | | | |
|---|--|--|----------|
| 6. NAME (First, Middle Initial, Last) | | 7. SSN 000-00-0000 | 8. TITLE |
| 9. DOD COMPONENT/ORGANIZATION Naval Service Training Command | | 10. ADDRESS (Include ZIP Code) 2601A Paul Jones Street Great Lakes, IL 60088 | |
| 11. TELEPHONE NUMBER (Include Area Code) | | 12. EFFECTIVE DATE OF APPOINTMENT (YYYYMMDD) | |
| 13. POSITION TO WHICH APPOINTED (X as applicable (one only)) | | | |
| <input type="checkbox"/> DISBURSING OFFICER | <input type="checkbox"/> DEPUTY DISBURSING OFFICER | <input type="checkbox"/> DISBURSING AGENT | |
| <input type="checkbox"/> PAYING AGENT | <input type="checkbox"/> CASHIER | <input type="checkbox"/> COLLECTION AGENT | |
| <input type="checkbox"/> CHANGE FUND CUSTODIAN | <input type="checkbox"/> IMPREST FUND CASHIER | <input type="checkbox"/> CERTIFYING OFFICER | |
| <input checked="" type="checkbox"/> DEPARTMENTAL ACCOUNTABLE OFFICIAL | | | |

14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY IDENTIFIED IN ITEM 13. YOUR RESPONSIBILITIES INCLUDE:

As a Certifying Officer you are responsible for certifying Purchase Card Invoices. As a Department of the Navy Purchase Card Approving Official you are designated as a Department Accountable Official (DAO). DAOs are accountable and pecuniarily liable for any erroneous payments that result from inaccurate information and data, including designation of the proper appropriations or other funds, if the erroneous payment is the result of negligence relative to the performance of assigned duties.

15. YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED:

DoD FMR, Vol 5, Chapter 33

SECTION III - ACKNOWLEDGEMENT OF APPOINTMENT

I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that my official signature is shown in item 17 below.

| | |
|--|---------------|
| 16. PRINTED NAME (First, Middle Initial, Last) | 17. SIGNATURE |
|--|---------------|

SECTION IV - TERMINATION OF APPOINTMENT

| | | | |
|--|-----------|---------------------|------------------------|
| The appointment of the individual named above is hereby revoked. | | 18. DATE (YYYYMMDD) | 19. APPOINTEE INITIALS |
| 20. NAME OF APPOINTING AUTHORITY | 21. TITLE | 22. SIGNATURE | |

11 Sep 12

**INSTRUCTIONS FOR COMPLETING
APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE**

This form may be used to:

1. Appoint disbursing officers and their agents, e.g., deputy disbursing officers, disbursing agents, paying agents, cashiers, change fund custodians, and collection agents.
2. Appoint certifying officers. Certifying officers are those individuals, military or civilian, designated to attest to the correctness of statements, facts, accounts, and amounts appearing on a voucher for payment.
3. Appoint accountable officials. Accountable officials are those individuals, military or civilian, who are designated in writing and are not otherwise accountable under applicable law, who provide source information, data or service to a certifying or disbursing officer in support of the payment process.
4. Appoint other individuals for which an appointing authority considers this form appropriate; see item 13.

SECTION I.

1. Enter the name of the commander/appointing authority.
2. Enter the commander/appointing authority's title.
3. Enter the commander/appointing authority's DoD component/organization location.
4. Enter the date the form is completed.
5. The commander/appointing authority must place his or her legal signature in the block provided. **Enter a digital signature in this item ONLY after completion of items 6 through 16, as this signature will "lock" those items.**

SECTION II.

6. Enter the appointee's name.
7. Enter the appointee's social security number. The full social security number is required for pecuniary liability determination purposes.
8. Enter the appointee's title.
9. - 11. Enter the name, complete address, and telephone number of the DoD component/organization activity to which appointed.
12. Enter the date the appointment is to be effective.
13. Mark X in the appropriate box indicating the purpose for the appointment. For "other", specify the type of appointment.
14. The appointing authority should identify the types of payments affected, but need only be specific as he or she considers necessary. Include any other pertinent information (e.g., system involved).
15. List all regulations the appointee must review and follow in order to adequately fulfill the requirements of the appointment.

SECTION III.

16. - 17. The appointee prints his or her name and enters his or her legal signature in the spaces provided.

SECTION IV.

Completing this section terminates the original appointment as of the effective date. If partial authority is to be retained, complete a new DD Form 577.

18. Enter the date the termination is effective.
19. The appointee will initial in the space provided acknowledging revocation of the appointment.
20. - 22. The appointing authority must place his or her name, title and legal signature in the spaces provided.