Chapter 1: Introduction

Introduction

This chapter overviews the contents of this tactics, techniques, and procedures (TTP) publication. It also defines the use of notes, cautions, and warnings in TTP publications.

In This Chapter

This chapter contains the following sections:

Section A: Introduction

A.1. Introduction

This publication establishes personnel and pay procedures. It provides procedures to field units on how and when to report personnel actions to the Servicing Personnel Office (SPO) so that personnel information is quickly and accurately entered into Direct Access (DA).

Section B: Notes, Cautions, and Warnings

B.1. Overview

The following definitions apply to notes, cautions, and warnings found in TTP publications.

NOTE:	**An emphasized statement, procedure, or technique.**
CAUTION:	**A procedure, technique, or action that, if not followed, carries the risk of equipment damage; miscalculation of pay/entitlements, and/or advancements/promotions; or damage to a potential prosecution by creating inadmissible evidence or other risk of the case being lost.**
WARNING:	***A procedure, technique, or action that, if not followed, carries the risk of personnel injury or death; disciplinary action for prohibited accounting operations; or evidence contamination, further victim trauma, or harm or injury to victims and/or witnesses.***

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Chapter 2:
Personnel and Pay Systems Overview

Introduction

This chapter discusses the personnel and pay system in use by the Coast Guard. Responsibilities, which incorporate data input, communication guidelines, and signature authority, are also provided in this chapter.

Travel systems and procedures are covered in chapter three of this publication.

In This Chapter

This chapter contains the following sections:

Section A: Responsibilities

A.1. Introduction

Direct Access (DA) exists as part of the overall human resource system. Seven players (entities) within this system have a responsibility to ensure the system functions properly.

A.2. References

(a) Military Assignments and Authorized Absences, COMDTINST M1000.8 (series)
(b) Government Travel Charge Card (GTCC) Program Policies and Procedures, COMDTINST M4600.18 (series)
(c) Reserve Policy Manual, COMDTINST M1001.28 (series)
(d) Enlisted Accessions, Evaluations, and Advancements, COMDTINST M1000.2 (series)
(e) The Coast Guard Correspondence Manual, COMDTINST M5216.4 (series)
(f) Military Separations, COMDTINST M1000.4 (series)
(g) Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series)
(h) Coast Guard Pay Manual, COMDTINST M7220.29 (series)
(i) Coast Guard Weight and Body Fat Standards Program, COMDTINST M1020.8 (series)
(j) Coast Guard Supplement to the Joint Federal Travel Regulations (CGS-JFTR), COMDTINST M4600.17 (series)
(k) United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series)
(l) Military Casualties and Decedent Affairs, COMDTINST M1770.9 (series)
(m) Coast Guard Drug and Alcohol Abuse Program, COMDTINST M1000.10 (series)
(n) Commuter Transit Subsidy Benefits Program, COMDTINST 5382.1 (series)
(o) Medals and Awards Manual, COMDTINST M1650.25 (series)
(p) The Coast Guard Directives System, COMDTINST M5215.6 (series)
(q) U.S. Coast Guard Certifying and Disbursing Manual, COMDTINST M7210.1 (series)

A.3. Entities

These entities interact to perform the personnel and pay functions for the Coast Guard. Below are their respective responsibilities such as, but not limited to:

<table>
<tr><th>Entity</th><th>Responsibilities</th></tr>
<tr><td>Member</td><td>Members are to:
Report changes in mailing address (including allotments), phone numbers, and e-mail addresses.
Understand their payslips and report any discrepancies through their chain of command.
Report changes in family/dependent status.
Report occasions of moving into or out of government owned or leased quarters.
Submit changes in allotment or direct deposit in DA.
Advise their Commanding Officer (CO)/Officer-in-Charge (OinC) of reenlistment/extension intentions.
Submit an e-resume in accordance with reference (a).
Provide any other personnel data and supporting documentation as requested.
File travel claims for self and dependents, if applicable, within three days of reporting to a new permanent duty station or returning from temporary duty in accordance with reference (b).
Maintain a file of historical travel, and personnel and pay transactions. Should a member challenge a travel, pay, or personnel action, the member must produce the necessary documentation to substantiate the member’s contention.
Reserve members must enter inactive duty and active duty order requests. Submit the annual screening questionnaire in timely manner in accordance with reference (c). Understand their reserve member balances.
</td></tr>
<tr><td>Unit CO / OinC</td><td>Unit CO’s/OinC’s are to:
Complete enlisted employee reviews and ensure they are completed on time in accordance with reference (d).
Prepare correspondence for the unit in accordance with reference (e).
Authorize and submit leave authorizations in accordance with reference (a).
Endorse e-interviews in accordance with reference (a).
Conduct pre-discharge interviews in accordance with reference (f).
</td></tr>
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<tr><td></td><td>

Maintain unit PDRs in accordance with reference (g).
Provide data and supporting documentation in support of personnel/pay actions for members in accordance with reference (g).
Conduct annual review of Basic Allowance for Housing (BAH)/Dependency Form and emergency data in accordance with reference (h) and as prescribed in this publication.
Ensure compliance with Coast Guard weight and body fat standards in accordance with reference (i).
Review orders on the airport terminal in DA for attached members.
Review and forward/release travel claims within two days of receipt from member in accordance with reference (b) and (j).
Conduct overseas screening for departing members, if applicable, in accordance with reference (a).

Note: Units with insufficient administrative capability (see “non-administrative shore unit” in Section 7-1-1-c of reference (k)) should seek assistance from their parent command in completing these tasks. In accordance with Section 3-1-7-b of reference (k), the Sector or Group Commander is responsible for providing “support” for the functions performed by assigned subordinate units.
</td></tr>
<tr><td>Personnel and Administrative (P&A) Offices</td><td>
P&A Offices (the terms P&A Office, Admin Offices and Unit Level Admin Staff are used interchangeably (Unit Level Admin Staff is the first Admin staff in a unit’s change of command)) are to:

Coordinate and provide expertise in unit administration and personnel actions for active duty, reserve, auxiliary, and civilian members assigned to the unit.
Serve as primary pay, allowances, and benefits counselor for all personnel.
Review, support, and initiate all Coast Guard (CG) mandated pay and/or personnel transactions submitted to the Servicing Personnel Office (SPO) Divisions.
Mail or scan and email any documents authorized by Enclosure (1) of reference (g) for inclusion in the Electronically Imaged-Personnel Data Record (EI-PDR) and provide originals to the SPO.
Manage Temporary Duty and Permanent Change of Station orders for all personnel.
Act as Common Access Card (CAC) issuing authority; perform CAC pin resets.
Provide Defense Enrollment Eligibility Reporting System/Real-Time

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

	Automated Personnel Identification System services and identification cards services to eligible personnel. • Provide travel and transportation administrative support and counseling, including assistance with travel claim submission for the unit and supported units in accordance with references (b) and (j). • Act as DA coordinator for the unit and supported units. • Oversee and promote unit training and personnel development programs including administration of unit mandatory training program. • On a collateral duty basis, when no full-time Educational Services Officer (ESO) is assigned or in support of full-time ESO, manage and oversee delivery of ESO services, including processing tuition assistance , administration of voluntary education testing programs (College Level Examination Program, Armed Services Vocational Aptitude Battery, College Exam, DANTES Subject Standardized Tests, etc.), managing and processing end of course and correspondence course tests, processing CG Foundation/Mutual Assistance educational grants and loans, processing Educational Assessment requests; and facilitating and supporting educational achievement through voluntary education. • Provide administrative services by coordinating reserve mobilization administrative support, and the documentation of reserve drills. Maintain file copies of all original signed reserve orders issued to Sector reservists. • Serve as Decedent Affairs Officer within area of responsibility (AOR). Oversee and coordinate all CG funeral actions, including Burials at Sea per the Military Funeral Honors (MFH) program in accordance with reference (l). Maintain MFH database. • Provide Causality Assistance Calls Officer (CACO) guidance and support in AOR when responding to a death in the line of duty. Provide training to CACOs. • Manage and oversee the urinalysis and weight standards programs for unit and supported units in accordance with references (m) and (i). • Manage and oversee the Government Travel Charge Card (GTCC) program for unit and supported units; assist units with GTCC issues. Issue funds advances, as appropriate, in accordance with reference (h). • Manage and oversee the Mass Transit Benefit program for the unit and supported units in accordance with reference (n). • Oversee financial assistance and grants management including CG Foundation Grant applications and Mutual Assistance loans or grants.

	• Manage and oversee entry approvals in accordance with reference (a). • Oversee workforce good order and discipline by coordinating administration of military justice processes. • Manage unit's award program including award preparation, filing, and completing DA personnel transaction entries in accordance with reference (o). • Manage unit directives program including maintenance of unit directives library and promulgation of unit-generated directives in accordance with reference (p). • Provide other personnel services as required by current directives. • Liaison with SPO organization.
Servicing Personnel Office	SPOs provide support to CO's/OinC's by recording complex pay and personnel events in DA. Even though the SPO has responsibility for DA entry, the unit CO/OinC is not relieved of authority or responsibility for personnel management functions. The event which results in the generation of DA transactions must still originate at the member's parent unit and must be accurately communicated to the SPO through the P&A Office staff. SPO members that are designated Payment Approving Officials (PAO's) in accordance with reference (q), certify transactions for payment by the Authorized Certifying Officer (ACO) at Pay and Personnel Center (PPC). SPO's are to: • Oversee the responsibilities of military pay management ensuring all pay and personnel policies and procedures as outlined in this publication and other Service directives are properly adhered to. • Carry out auditor responsibilities of a PAO as required by reference (q). • Ensure all DA transactions affecting military pay and allowances (including, but not limited to, enlistments, retirements, discharges, and separations) are first supported by required documentation as outlined in Service directives, the transactions are entered accurately, and processed within prescribed timelines. • Ensure all other human resources related transactions which may not impact pay and allowances are first supported by required documentation as outlined in Service directives, the transactions are entered accurately and processed within prescribed timelines. • Process all pay and personnel transactions for active duty and reserve permanent change of station orders. • Process all pay and personnel transactions for reserve recall for

	mobilization and reserve mobilization(s) including continuance of Reservists on active duty. • Prepare and process appropriate documentation as required for administrative and disciplinary actions. • Maintain and process SPO PDRs in accordance with reference (g), to manage day to day activities and transactions, to support members' military payroll and benefits in DA and to conduct and respond to personnel review and financial audits. • Mail or scan and mail any documents authorized by Enclosure (1) of reference (g) for the EI-PDR. • Liaison with the Personnel Services organization.
Pay and Personnel Center Topeka	PPC will: • Provide feedback to SPOs when transactions are correctable. • Take corrective action on errors which cannot be corrected by SPOs. • Provide written notice of due process rights to members who are overpaid. • Provide timely and accurate personnel and pay service to all members of the CG. • Administer leave and retirement points accounting for active and reserve military personnel. • Arrange for settlement of claims on behalf of deceased or separated members and collect out of service debts. • Process applications for allotments and garnishments for certain support obligations as set forth in 5 CFR 581, 32 CFR 63, and 33 CFR 50. • Administer the Servicewide Examination program and provide enlisted advancement lists to CG Personnel Service Center (CG PSC) for official issuance. • Develop written procedures to support all areas of personnel and pay policy in accordance with reference (h). • Process travel claims. • The ACO at PPC certifies transactions/vouchers prior to release of funds by the U.S. Treasury.
Coast Guard Personnel Center (CG	CG PSC will: • Issue normal promotion/advancement authorizations and eligibility

PSC)	lists. • Approve retirements. • Consider all personnel waivers. • Issue assignment orders.
CG Institute	CG Institute will: • Distribute and score all CG correspondence courses. • Distribute educational funding. • Conduct military education credit evaluation • Enter degrees in DA.

Section B: Information Flow

B.1. Introduction

Information required to be entered into Direct Access (DA) is generated by an event occurring to a member. After the event occurs, there are different steps that need to be taken to ensure proper input into DA.

B.2. Information Flow

This is an example of how information should flow from a member to the Servicing Personnel Office (SPO) for entry into DA.

Step	Who Does It	What Happens
1	Member	Event occurs (i.e. marriage). Event is reported to the Command and the Personnel & Administration (P&A) Office (Local Unit Admin Staff) by submitting the appropriate worksheet(s) (listed in applicable sections of this publication) and supporting documentation and updating any information in DA (i.e. address, emergency contacts, email addresses).
2	Local Unit Admin Staff	Ensures that member has provided all necessary information in accordance with instructions from the appropriate section of this publication or from the instructions on the form then reports the event to the SPO.
3	Servicing Personnel Office	Reviews the members' personnel data record (PDR), contacts the P&A Office for additional information if needed, inputs appropriate data entries into DA, and files the required documents into the SPO PDR, including forms and worksheets, supporting those DA entries.
4	Pay and Personnel Center	Processes the data for the event, updates personnel and pay entitlements, and provides feedback on the members' payslip.

Section C: Coordination of Personnel & Administration Office and Servicing Personnel Office Data Entry

C.1. Introduction

This section provides guidelines for Personnel and Administration (P&A) Offices and Servicing Personnel Offices (SPO) to follow when providing services to members who are not permanently, or are temporarily assigned for a period of more than 60 days, to a unit within the P&A Office or the SPOs area of responsibility.

C.2. References

(a) Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series)

C.3. Discussion

Many transactions processed at P&A Offices or SPOs at other than the member's "permanent P&A Office or SPO can be entered in Direct Access (DA) without knowledge, review, or approval of the permanent P&A Office and/or SPO. For example, a non-permanent SPO may unknowingly enter an inaccurate transaction in DA that could have been correctly completed based on the permanent SPOs more in-depth understanding of the member's unique circumstances.

C.4. Review of SPO Personnel Data Record

Conducting a review of the SPO personnel data record (PDR) is an important first step in the process of entering an accurate pay and/or personnel transaction. P&A Offices and SPOs should not enter transactions in DA:

- Members who are not permanently assigned or for temporarily assigned personnel, if assigned for less than 60 days.
- For SPOs, permanently or temporarily assigned personnel until they have received and have had the opportunity to review the member's SPO PDR.

See reference (a) for procedures to follow in the event that the member's SPO PDR is not received within the timelines listed in reference (a) for permanent or temporary assigned personnel.

C.5. Coordination Between Units

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

If possible, the member's permanent P&A Office and/or SPO should be contacted and consent obtained prior to submitting any transactions.

All required supporting documentation must be sent to the home P&A Office and/or SPO as soon as possible after entering the transaction.

C.6. Reports

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

- The SPO/Unit Relationship Report – provides a listing of all units and the supporting SPO.
- SPO Contact List – provides a listing of email addresses for all the SPOs.

Both reports are available on Pay and Personnel Center's website at: https://cg.portal.uscg.mil/units/ppc/Pages/SPO%20Contact%20List.aspx.

Section D: Contacting Pay and Personnel Center (PPC)

D.1. Introduction

Members experiencing personnel and/or pay problems are to coordinate resolution through their Personnel and Administration (P&A) Office. P&A Offices will coordinate resolution through their Servicing Personnel Office (SPO).

Note: Many issues may be resolved at the unit, P&A Office, or at the SPO level. Check with your supervisor and P&A Office for assistance with personnel and/or pay issues. For travel related issues, contact your travel approving official for assistance prior to submitting a trouble ticket.

D.2. Contacting Pay and Personnel Center

There are three methods, in order of preference, for contacting PPC.

Method	Uses
Online Trouble Ticket	This method allows the P&A Office or the SPO point of contact to provide a more detailed description of the problem, resulting in faster resolution and enable PPC to track and correct recurring problems. Select "Trouble Ticket" from either link. Internet link: http://www.uscg.mil/ppc/ccb/. Intranet link, use this link if you have supporting documentation to attach: https://cg.portal.uscg.mil/units/ppc/SitePages/Home.aspx.
Email	Email can be sent to PP-DG-CustomerCare@uscg.mil.
Telephone	Phone support is available on weekdays from 0700 to 1600 (Central Time). See the "Telephone Contact" tab for information on weekend staffing on PPC's Customer Care page (http://www.uscg.mil/ppc/ccb/). **Note: Password resets cannot be provided by telephone. Utilize email or submit a trouble ticket to request password resets for Direct Access or Travel Preparation and Examination System (T-PAX).**

Section E: Signature of Responsible Officer

E.1. Introduction

The requirements to sign various forms and worksheets in this publication and to electronically sign Direct Access (DA) and Travel Preparation and Examination System transactions are necessary to affirm and give legal credence to the information contained on the form or in the transaction.

Note: Commanding Officers (CO) and Officers in Charge (OinC) must avoid situations where the responsible officer lacks the knowledge or time to validate the information and may sign just as a formality.

E.2. References

(a) United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series)
(b) U.S. Coast Guard Certifying and Disbursing Manual, COMDTINST M7210.1 (series)

E.3. Authority to Sign Correspondence, Forms, and Worksheets

In accordance with reference (a), the CO/OinC may authorize in writing for officers, chief petty officers, and first class petty officers to sign, by their direction, correspondence, forms, and worksheets in the performance of their duties. These “by direction” authorizations must be kept on file to support any audits. “By direction” authorizations are subject to restrictions. For example, “by direction” is not authorized for oaths, enlistment contracts, reenlistment and extension contracts, PCS Departing Worksheet or Advances Worksheet (with liquidation period in excess of 12 months) and some Administrative Remarks (CG-3307).

E.4. Authority to Sign Pay and Personnel Transactions

The CO of a unit with a Servicing Personnel Office (SPO) must designate at least one Payment Approving Official (PAO). PAOs will be designated in accordance with reference (b). Only properly designated PAOs have the authority to process transactions as a SPO Supervisor and/or Auditor. PAOs are designated when they request the CG SPO Auditor role in DA.

E.5. Payment Approving Official Responsibilities and Liabilities

It is Coast Guard policy that PAOs have the same level of financial liability as an Authorized Certifying Officer (ACO) in accordance with reference (b). If a PAO incorrectly certifies a document/transaction to an ACO that directly results in an erroneous or improper payment, the PAO is responsible and is fully accountable to the Coast Guard for that error.

E.6. Prerequisites for PAO Designation

In accordance with reference (b), PAOs must be an E6/GS7 or above. An E5 may be recommended for designation only if extenuating circumstances create a situation where E6s/GS7s and above are not available for designation. The minimum requirements for PAO designation are:

- Being in a proper position number and Department ID for this authority.
- Proper paygrade.
- Successful completion of the Internal Controls Over Financial Reporting (ICOFR) online training course (Course Code: 810047)
- Successful completion of the PAO online training course (Course Code: 502360).

If an E5 is being recommended for PAO authority, the CO must submit a memorandum justifying the recommendation and explaining the authority that will be granted to the E5. If approved, and after the member's information has been verified, Pay and Personnel Center (PPC) will reply with a designation memo to the member through the member's chain of command.

PAOs may not perform any PAO duties until a letter of designation is received by the member from PPC (MAS).

E.7. Online Training Courses / Competency Code

The PAO and ICOFR online training courses can be accessed via the Learning Management System (LMS) at https://elearning.uscg.mil. Both courses are listed in the LMS Acquisitions Catalog. PAOs must re-certify annually for their designation to remain in effect.

PAO and ICOFR course completions are tracked in Training Management Tool (TMT). For individuals who need to obtain the PAO competency, their Training Officer (TO) will need to assign them the PAO competency in TMT. After the TO has assigned the member the PAO competency, and the member completes the training, course completion will be marked as completed in TMT.

It is recommended that members print their LMS transcript for proof of completion.

Upon successful completion of the PAO and ICOFR courses, the PAO competency code may be entered in DA.

E.8. Maintaining PAO Status

All PAO's must take the required training annually.

PPC will verify those that have not completed the re-designation requirements and will suspend PAO privileges for those individuals not in compliance.

Section F: Document Processing Standards

F.1. Introduction

Much of the documentation in the Servicing Personnel Office (SPO) personnel data record (PDR) supports the validity of transactions in Direct Access (DA), as such, it is critical that this documentation be accurate, authorized, approved, and appropriate for the transaction it supports. The examples presented in this section address the correct preparation of documents and shows examples of correct and incorrect document processing. Clear and correct processing can make a difference between full compliance with internal controls for financial reporting standards; or the inability to prove the accuracy of DA transactions, resulting in failing financial audits. Attention to detail is critical to ensure that the supporting documentation is a complete and accurate match to data contained in DA.

Enclosure (6) to reference (a) prescribes the required supporting evidence for material military payroll transactions. The matrix lists the source documents (e.g. memo, message, email, form, or worksheets), filing location, and retention period. The matrix is not an all-inclusive list and will be periodically updated to accommodate policy changes and to increase its comprehensiveness.

F.2. References

(a) Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series).
(b) United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series)
(c) Electronic Signatures and Management of Electronically Signed Records, COMDTINST 5200.5

F.3. Supporting Documentation

Properly completed forms/worksheets, bearing the authorizing official's signature, serves as sufficient supporting documentation for most DA transactions. Accession and dependency changes require additional legal documents such as:

- Birth Certificate
- Marriage Certificate
- Death Certificate
- Final or Interlocutory Divorce Decree

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

Step	Who Does It	What Happens

1	Member	Member provides an original or notarized document bearing the seal of the issuing authority (e.g. county registrar, clerk of the county, etc.) or notary.
2	Authorized Service Member or Civilian Employee	Make a photocopy of the document and handwrite or stamp "Certified Copy" on each page of the photocopy. Print his or her first name, middle initial, last name, and rank/rate, if applicable. Sign and date immediately below the printed name. Return the original to the member.
	CAUTION:	**"Authorized member" is a Coast Guard employee or service member that has "By direction" authority by the Commanding Officer/Officer in Charge to sign documents in the performance of their duties in accordance with reference (b).**

F.4. Electronically Imaged Documents and Digital Signatures

Documents which are electronically signed and transmitted in accordance with reference (c) are presumed legally sufficient, valid, and enforceable. Electronically signed correspondence, worksheets, and forms are acceptable documents for transactions described in this publication, unless noted otherwise.

SPOs are to accept other types of scanned, emailed, and faxed supporting documentation in the interest of providing timely service, with the understanding that the original, hard copy documents or properly electronically signed documents are forthcoming. The SPO tracks hard copy deliver and ensures that the updates are received within seven working days for continental United States units and 30 days for outside continental United States and deployed units.

F.5. Importance of Evidence

Everyone is responsible for ensuring that transactions are valid when processing human resource and payroll transactions for military pay. The Coast Guard employs many documents, and in the process of ensuring payroll transactions are properly entered, we are confronted with many types of evidence. Often there are many options as to what to accept or reject as supporting evidence. This section provides general criteria to determine acceptable documentary evidence to support human resource and military pay transactions.

Evidence includes source documents that are required by reference (a) and the Coast Guard, Department of Defense and Veterans Affairs that have been specifically established to document the processing of a transaction. Documentation is specifically identified in Coast Guard policies and procedures, and therefore is considered authoritative and sufficient. One of the most important aspects of supporting evidence is consistency. Consistency is demonstrated in the development of the PDR through the routine use of source documents (Social Security Card, birth certificate, marriage certificate, etc.) supported by a summary checklist (e.g. DD-1966) or a worksheet (e.g. Dependency Worksheet, CG-2020). These checklists and worksheets comprise sufficient source documentation (reliable because they were generated by a reliable external source) with member and/or higher review to provide both documentary and testimonial evidence that a transaction is supported, approved, and correct. It also supports that a system of internal controls is in place and operating effectively. That is of course, that the checklists and/or worksheets are properly and completely filled out as designed.

F.6. Alternate Evidence

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

F.7. Accepting a Copy Versus an Original

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

F.8. Accepting Non-Standard Sources

Examples of non-standard sources documents that may be accepted are email(s) or report(s) that may provide the necessary supporting documentation. In other words, evidence other than that prescribed in official guidance. This kind of evidence presents the following concerns:

- What is the source of the non-standard information? Who created it (is this an authorized person, do you know who they are, and what is there role)?
- Is it necessary to use this supporting documentation or is the standard source available (can it be obtained)? If the standard documents can be obtained or used, always use them as they are an established part of the process.
- Document instances where an alternative has been used and exercise professional judgment when accepting non-standard supporting data. Keep in mind that this transaction may be reviewed or questioned years from now when you are no longer available to explain your reason(s) for accepting this alternative source. Always include your explanation on the alternative document if space permits, or attach another sheet to include this explanation. Print, sign, and date your explanation.

F.9. Combining Sources

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

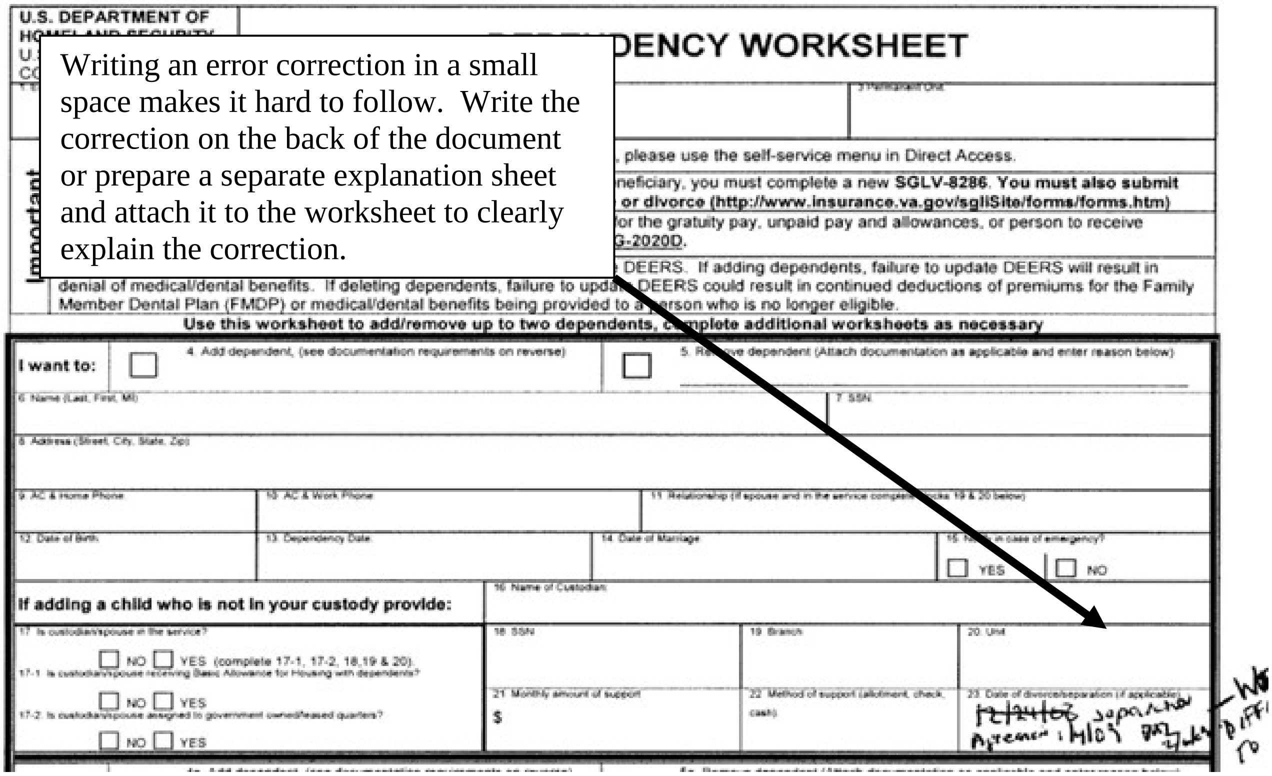
- Consider other forms designed for supporting related transactions that also contain the necessary information to support the validity of the transaction.
- Document the use of alternative source documents in your file. Explain your use of combined sources. Print, sign, and date your explanation.
-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

F.10. Additional Guidance

Providing adequate evidence of transactions involves applying judgment, which will continue to be a major part of managing military pay. Those who may not have the experience necessary to make an informed judgment should seek the guidance from more experienced personnel. Within each Personnel and Administration (P&A) Office or SPO, this would involve junior personnel routinely asking more experienced personnel for guidance. If a situation arises that falls out of the experience of members at a P&A Office or SPO, PPC will provide guidance to resolve the issue.

F.11. Error Corrections

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



U.S. DEPARTMENT OF HOMELAND SECURITY

DEPENDENCY WORKSHEET

Writing an error correction in a small space makes it hard to follow. Write the correction on the back of the document or prepare a separate explanation sheet and attach it to the worksheet to clearly explain the correction.

Important

, please use the self-service menu in Direct Access.

neficiary, you must complete a new **SGLV-8286**. **You must also submit** **or divorce (http://www.insurance.va.gov/sgliSite/forms/forms.htm)**

for the gratuity pay, unpaid pay and allowances, or person to receive **G-2020D**.

DEERS. If adding dependents, failure to update DEERS will result in denial of medical/dental benefits. If deleting dependents, failure to update DEERS could result in continued deductions of premiums for the Family Member Dental Plan (FMDP) or medical/dental benefits being provided to a person who is no longer eligible.

Use this worksheet to add/remove up to two dependents, complete additional worksheets as necessary

I want to: ☐ 4. Add dependent. (see documentation requirements on reverse) ☐ 5. Remove dependent (Attach documentation as applicable and enter reason below)

6. Name (Last, First, MI) | 7. SSN

8. Address (Street, City, State, Zip)

9. AC & Home Phone | 10. AC & Work Phone | 11. Relationship (if spouse and in the service complete blocks 19 & 20 below)

12. Date of Birth | 13. Dependency Date | 14. Date of Marriage | 15. Notify in case of emergency? ☐ YES ☐ NO

If adding a child who is not in your custody provide: | 16. Name of Custodian

17. Is custodian/spouse in the service? ☐ NO ☐ YES (complete 17-1, 17-2, 18, 19 & 20)

17-1. Is custodian/spouse receiving Basic Allowance for Housing with dependents? ☐ NO ☐ YES

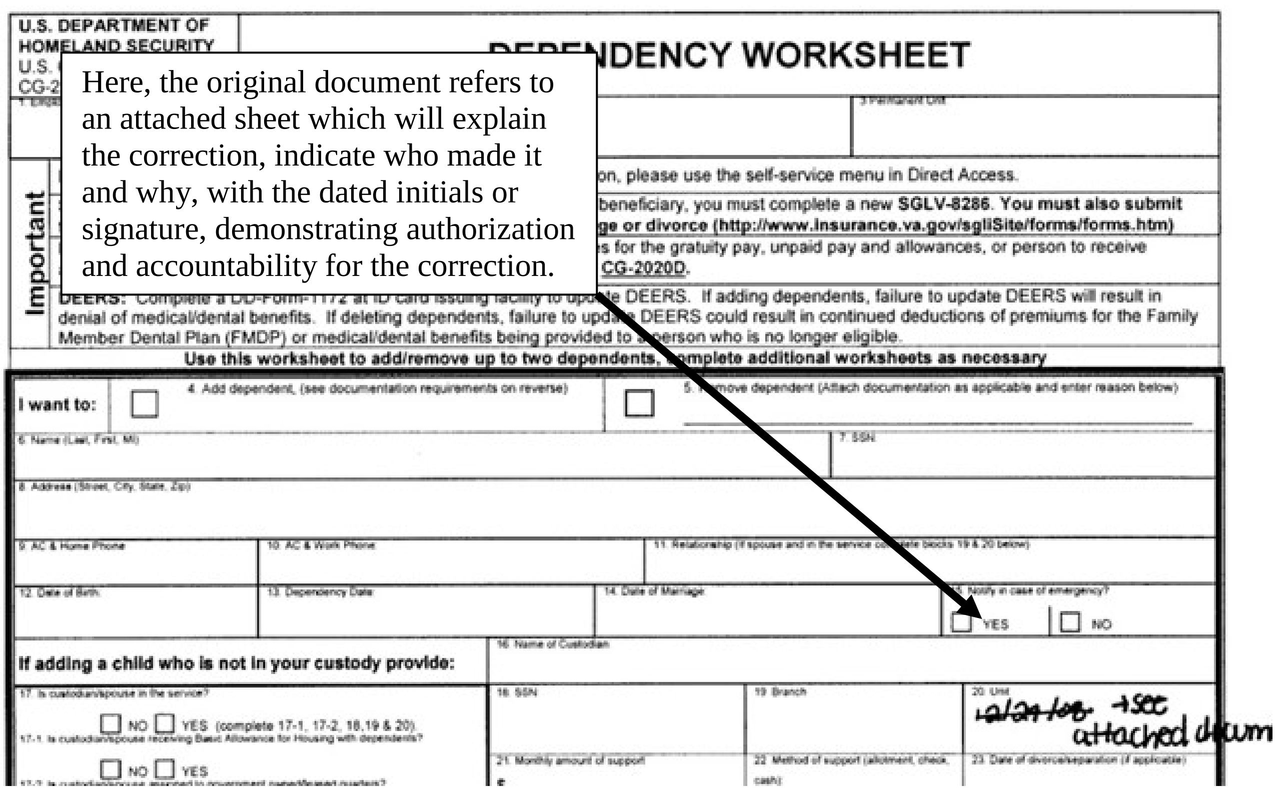
17-2. Is custodian/spouse assigned to government owned/leased quarters? ☐ NO ☐ YES

18. SSN | 19. Branch | 20. Unit

21. Monthly amount of support $ | 22. Method of support (allotment, check, cash) | 23. Date of divorce/separation (if applicable)

12/24/08 separation Agreement 1/10/09

Figure 2-1 Example of Bad Error Correction



U.S. DEPARTMENT OF HOMELAND SECURITY

DEPENDENCY WORKSHEET

Here, the original document refers to an attached sheet which will explain the correction, indicate who made it and why, with the dated initials or signature, demonstrating authorization and accountability for the correction.

Important

on, please use the self-service menu in Direct Access.

beneficiary, you must complete a new **SGLV-8286**. **You must also submit** **ge or divorce (http://www.insurance.va.gov/sgliSite/forms/forms.htm)**

s for the gratuity pay, unpaid pay and allowances, or person to receive **CG-2020D**.

DEERS: Complete a DD-Form-1172 at ID card issuing facility to update DEERS. If adding dependents, failure to update DEERS will result in denial of medical/dental benefits. If deleting dependents, failure to update DEERS could result in continued deductions of premiums for the Family Member Dental Plan (FMDP) or medical/dental benefits being provided to a person who is no longer eligible.

Use this worksheet to add/remove up to two dependents, complete additional worksheets as necessary

I want to: ☐ 4. Add dependent. (see documentation requirements on reverse) ☐ 5. Remove dependent (Attach documentation as applicable and enter reason below)

6. Name (Last, First, MI) | 7. SSN

8. Address (Street, City, State, Zip)

9. AC & Home Phone | 10. AC & Work Phone | 11. Relationship (if spouse and in the service complete blocks 19 & 20 below)

12. Date of Birth | 13. Dependency Date | 14. Date of Marriage | 15. Notify in case of emergency? ☐ YES ☐ NO

If adding a child who is not in your custody provide: | 16. Name of Custodian

17. Is custodian/spouse in the service? ☐ NO ☐ YES (complete 17-1, 17-2, 18, 19 & 20)

17-1. Is custodian/spouse receiving Basic Allowance for Housing with dependents? ☐ NO ☐ YES

18. SSN | 19. Branch | 20. Unit

12/24/08 - see attached docum

21. Monthly amount of support | 22. Method of support (allotment, check, cash) | 23. Date of divorce/separation (if applicable)

Figure 2-2 Example of Good Error Correction

F.12. Proper Signatures and Dates

An unsigned form is not sufficient evidence of review or approval. A signature is defined as the signing on one's name, in cursive, in the appropriate block of a particular form. Simply printing the name of the reviewer or approving official is not acceptable. All SPO approval signatures must be listed on the SPO Authorized Personnel Roster (see Figure 2-8).

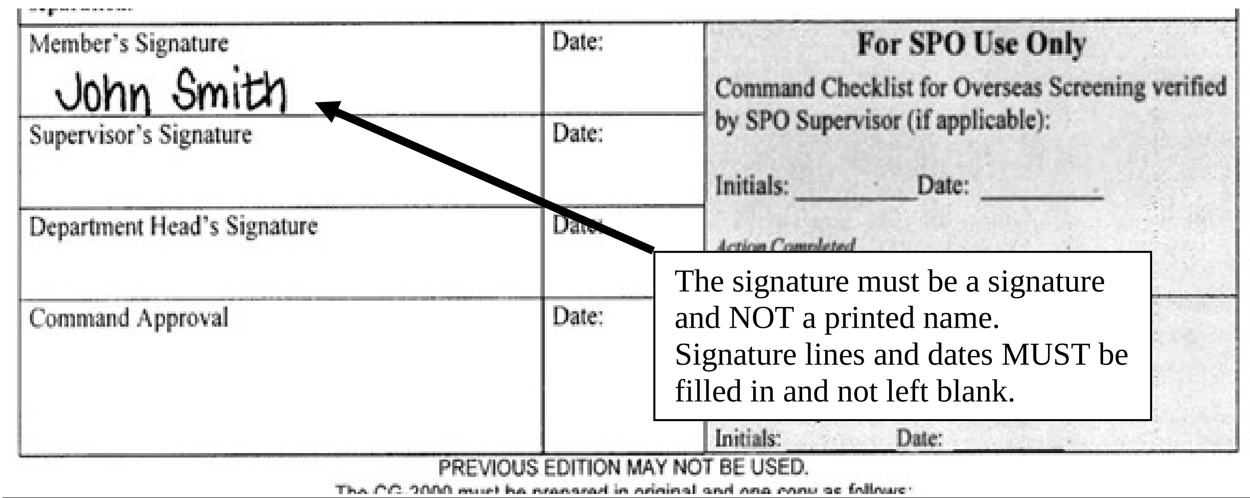


Figure 2-3 Example of Bad Signature

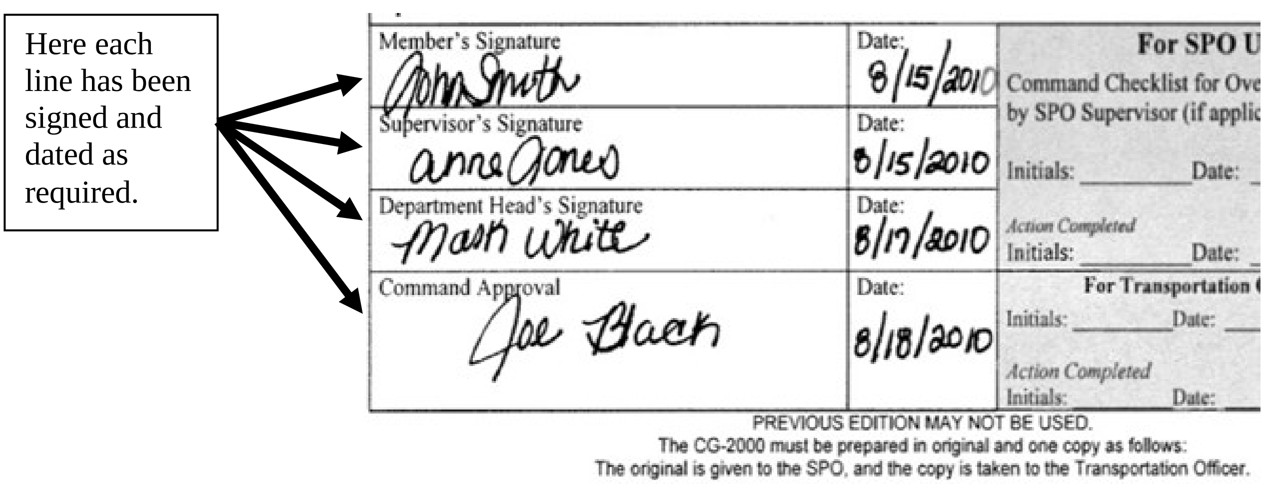


Figure 2-4 Example of Good Signature

F.13. Completing Worksheets

All checklists must be filled out completely, with each line individually filled out. Each line represents an action for which a Yeoman and/or service representative is personally responsible and accountable for. If applicable, must include both data entry and reviewer entries to demonstrate appropriate segregation of duties. If a particular checklist line item does not apply, it must be marked "N/A" (not applicable) to demonstrate that it was not missed or ignored. Initialing the first block and drawing a line through subsequent boxes ("sign and line") is not an acceptable practice and will fail audits performed by external auditors. Although this practice is used for other functions across the Coast Guard, it does not provide sufficient evidence of action, review, and/or approval for audit purposes, since it does not support that each line item was actually completed and/or approved. Only by initialing each line can an auditor gain assurance that each action line item was actually completed, reviewed, and approved.

RECRUIT PERSRU ACCESSION CHECKLIST

RESERVE RECRUIT

RECRUIT: Smith, John ANNEXES: ____________________

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

...ctions associated with a new active duty hire. Each step is to be ... with initials already on the checklists are not authorized. Also, ... authorized. Everything must be HAND WRITTEN.

App. ID no.: ____________ EMPLID: _______________

DEP Date: ____________ Contract Term: ___________

Rank/Rate: ____________ Enlist Date: _______________

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

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

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

Missing Accession Paperwork:

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

Figure 2-5 Example of Bad Checklist

RECRUIT PERSRU ACCESSION CHECKLIST

ACTIVE DUTY RECRUIT

RECRUIT: Evans, Jacob ____ ANNEXES: ____________________

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

tions associated with a new active duty hire. Each step is to be
vith initials already on the checklists are not authorized. Also,
uthorized. Everything must be HAND WRITTEN.

EMPLID: ______________

DEP Date: ____________ Contract Term: ___________

Rank/Rate: ____________ Enlist Date: _______________

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

Auditor's Task	YN1 Initials
Hire Applicant	MJ
Dependent Information	
BAH	
COLA	

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

Missing Accession Paperwork:

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

Figure 2-6 Example of Bad Initials (Missing Initials)

RECRUIT PERSRU ACCESSION CHECKLIST

RESERVE RECRUIT

RECRUIT: Jones Tim ______ ANNEXES: ____________________

On this checklist each line is separately initialed. Also it is clear that the data entry and review were done by different people, indicating a segregation of duties. This can be confirmed against the SPO Authorized Personnel Roster.

...nsactions associated with a new active duty hire. Each step is to be ...es" with initials already on the checklists are not authorized. Also, ...ot authorized. Everything must be HAND WRITTEN.

EMPLID: ______________

Contract Term: ___________

Rank/Rate: ____________ Enlist Date: ______________

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

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

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

Missing Accession Paperwork:

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

Figure 2-7 Example of Good Initials

F.14. Servicing Personnel Office Staff

Active duty and reserve members permanently assigned to a position in a SPO are granted CGHRS and/or CGHRSUP user roles in DA. SPO staff assignments and approval authorities must be documented. SPOs must maintain a "SPO Authorized Personnel Roster" showing the full name, initials, signature (in cursive), their role, and date arrived and departed to the

SPO. The roster must be stored locally and continually updated with a historical chronology maintained to substantiate the approval authorities executed by these members.

SPO Authorized Personnel Roster					
Name Last, First, MI	Initials	Signature	Specific Role (Date Entry "E" or Reviewer / Approver "RA"	Date Arrived for Duty to SPO	Date Departed from SPO

Figure 2-8 SPO Authorized Personnel Roster

Section G: Direct Access User Roles

G.1. Introduction

Access to Direct Access (DA) must be limited to the greatest extent possible to prevent access to personally identifying information and other sensitive information. To achieve this, many different roles are available for users.

G.2. References

(a) United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series)

G.3. Approving Officials

Members approving DA user access requests must be properly designated in accordance with reference (a) specifically stating the member has the authority to approve these requests. "By direction" memorandums must be kept on file at the unit to support any audit requests.

Commanding Officers and Officers in Charge may route their requests to anyone within their command having "By direction" authority to approve DA user requests. All requests must be routed to Pay and Personnel Center for final approval.

G.4. Automatic Revocation of User Roles

Elevated DA user roles are automatically terminated upon reassignment of duties (fleet-up), change of organization (interoffice transfer), permanent change of station (PCS), separation (to include reserves being released from active duty), and retirement.

Members that fleet-up, interoffice transfer or PCS will only retain member self service access. Members that separate will retain limited access for 18 months (ability to view payslips and tax data). Members that retire will receive retiree self service functions (effective on the member's retirement date).

NOTE: **If a member submits a user request and it is processed prior to the Servicing Personnel Office completing the transfer transactions, the system will automatically terminate the user's roles that were previously requested and processed.**

G.5. Manual Revocation

If the command determines that a member's role(s) needs to be revoked, submit an email citing the reason and which roles to revoke to the Pay and Personnel Center at PPC-DG-CustomerCare@uscg.mil. If immediate revocation is requested, contact PPC at (785) 339-2200.

Direct Access (DA) User Roles Checklist

This checklist is to be used by the member and the command to request DA user roles.

Step	Who Does It	What Happens
1	Member	Servicing Personnel Office (SPO) and Coast Guard Investigative (CGIS) Personnel **ONLY**: • Request roles using the Requesting New User Roles procedural Guide; or • Request roles be removed using the Removing User Roles procedural guide. All other users must complete and submit a Direct Access User Role Designation Form (CG-7421B).
2	Command	Within two working days of receiving a member's request, approve or deny the request using: • For requests received by SPO or CGIS personnel follow the procedures in the Approving/Denying User Roles procedural guide. • For all other requests, you will receive the member's request via email. Review the member's request and if approved, select the "Click Here – Email form to PPC" link.
	CAUTION:	**Members approving DA user access requests must be properly designated in accordance with reference (a) specifically stating the member has the authority to approve these requests. "By direction" memorandums must be kept on file at the unit to support any audit requests.**
3	Pay and Personnel Center	Within three working days of receiving the request, process DA user roles request.

Figure 2-9 Direct Access (DA) User Roles Checklist

Functional Role Name	Who Can Approve	Description
CG Admin Technician	Member's Command	This role will give an administrative Yeoman all the necessary roles to perform their job. This role is restricted to personnel assigned to Personnel & Administrative Offices (Admin Offices). This role will allow access to view and update non-payroll data such as training, awards, and competencies. It will allow view only access to SPO functions and to run various reports.
CG CGIS Investigator	CGIS HQ	This role will give a CGIS Investigator all the necessary roles to perform their job. This role is restricted to CGIS Investigators. This role will permit the user to view pay and personnel data. These requests must be approved by CGIS Mission Support Division Personnel Officer, P&A Division Chief, or the Command Security Officer.
CG SPO Auditor	Member's Command	This role will give a SPO Auditor all the necessary roles to perform their job. This role is restricted to Yeoman, E6 and above, that are assigned to a SPO. The role permits the user to approve DA transactions that require approval for payment to members.
CG SPO Technician	Member's Command	This role will give a SPO Technician all the necessary roles to perform their job. This role is restricted to Yeoman assigned to a SPO. The role will allow the member to create transactions which effects changes to a member's pay entitlements and/or personnel data. They can also access non-payroll data such as competencies and awards.

Table 2-1 List of Direct Access Functional Roles

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