

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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## Chapter Overview

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**Introduction**

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

Travel systems and procedures are covered in chapter 2 of this manual.

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**In this chapter**

<b>Topic ID</b>	<b>Topic Title</b>	<b>See Page</b>
1.1	<a href="#">Responsibilities</a>	1-2
1.2	<a href="#">Information Flow</a>	1-6
1.3	<a href="#">Contacting the Pay &amp; Personnel Center</a>	1-9
1.4	<a href="#">Signature of Responsible Officer</a>	1-10
1.5	<a href="#">Procedures for Authorizing Direct Access Command Users</a>	1-12
1.6	<a href="#">Procedures for Authorizing SPO Users (HRS &amp; HRSUP)</a>	1-18
1.7	<a href="#">Document Processing Standards</a>	1-22

---

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

---

## 1.1 Responsibilities

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- 1.1.1 Reference**
- (a) [United States Coast Guard Regulations 1992, COMDTINST M5000.3\(series\)](#)
  - (b) [Certifying and Disbursing Manual, COMDTINST M7210.1 \(series\)](#)
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**1.1.2 Introduction** Direct Access (DA) and the Joint Uniform Military Pay System (JUMPS) exist as parts of the overall Coast Guard Personnel System. Six players (entities) within this system have a responsibility to ensure the system functions properly.

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

<b>Entity</b>	<b>Responsibility</b>
Member	<p>Members are responsible for the following:</p> <ul style="list-style-type: none"> <li>• Reporting changes in mailing address (including allotments.) phone numbers and e-mail addresses.</li> <li>• Understanding the LES and reporting any discrepancies via the chain-of-command.</li> <li>• Understanding the Retirement Point Statement and reporting any discrepancies via the chain-of-command (Reservists).</li> <li>• Reporting changes in family/dependent status.</li> <li>• Reporting occasions of moving into or out of government owned or leased quarters.</li> <li>• Reporting changes in allotments or direct deposit.</li> <li>• Advising CO/OIC of reenlistment/extension intentions.</li> <li>• Submitting E-Resume.</li> <li>• Providing any other personnel data and supporting documentation as requested.</li> <li>• Filing travel claims for self and dependents, if applicable, within three days of reporting to a new PDS or returning from TDY.</li> <li>• Maintaining a file of historical travel, personnel and pay transactions. Should a member challenge a travel, pay or personnel action, the member will be required to produce documentation necessary to substantiate the member's contention.</li> </ul>

*Continued on next page*

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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**1.1 Responsibilities, Continued**

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**1.1.3 Entities  
(cont'd)**

Unit CO	<p>Unit commanding officers/officers in charge are responsible for the following personnel actions:</p> <ul style="list-style-type: none"><li>• Completing Enlisted Employee Reviews and ensure they are completed no later than 30 days after the reporting period.</li><li>• Preparing correspondence for the unit.</li><li>• Authorizing and submit Leave Authorizations.</li><li>• Endorsing E-Interviews.</li><li>• Conducting pre-discharge interviews.</li><li>• Granting interim security clearance, requesting final security clearance from Adjudication Facilities or granting/suspending access to classified information if required and for the conduct of briefings/debriefings.</li><li>• Maintaining Unit Personnel Data Records (PDRs) as per PDR Manual (COMDTINST M1080 (series)).</li><li>• Providing data and supporting documentation in support of personnel/pay actions for members.</li><li>• Conducting annual reviews of BAH, Dependency and Emergency Data as prescribed by this Manual.</li><li>• Ensuring compliance with the Coast Guard weight and body fat standards program.</li><li>• Reviewing orders for attached personnel (Airport Terminal).</li><li>• Maintain Security for Direct Access by keeping on file the original CG-7421B* and checking the Direct Access Department Role Query** on a quarterly basis to confirm access levels for unit personnel.</li><li>• Reviewing and forwarding/releasing travel claims within 2 days of receipt from member.</li></ul> <p>Units with insufficient administrative capability (See “non-administrative shore unit”, in Section 7-1.1.c of reference (a)) should seek assistance from their Sector/Group Commander in completing these tasks. Per, section 3-1-7.b of reference (a), the Sector/Group commander is charged with providing "support" for functions performed by assigned subordinate units.</p> <p>*Form: <a href="http://www.uscg.mil/ppc/forms/">http://www.uscg.mil/ppc/forms/</a> **Procedure: <a href="http://www.uscg.mil/ppc/ps/self_service/commands/user_role_query.htm">http://www.uscg.mil/ppc/ps/self_service/commands/user_role_query.htm</a></p>
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*Continued on next page*

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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**1.1 Responsibilities, Continued**

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**1.1.3 Entities  
(cont'd)**

<b>Servicing Personnel Office</b>	<p>Servicing Personnel Offices (SPOs) provide support to commanding officers/offices in charge by recording complex pay and personnel events in the DA/JUMPS system. Even though the SPO has responsibility for DA/JUMPS data entry, the unit commanding officer/officer in charge is not relieved of an authority or responsibility for personnel management functions. The event which results in the generation of DA/JUMPS transactions must still originate at the member's parent unit and must be accurately communicated to the SPO as prescribed in this manual. SPO staff members, who are authorized and designated Payment Approving Officials (PAOs) in accordance with section 1.6 of this manual, certify transactions for payment by the Authorized Certifying Officer (ACO) at PPC.</p> <p>SPOs are responsible for:</p> <ul style="list-style-type: none"><li>• Maintaining SPO PDRs on all officers and enlisted members.</li><li>• Providing expiration of enlistment/expiration of reserve orders information including those personnel needing physicals and pre-discharge interviews and the information necessary to conduct the initial interview.</li><li>• Providing information feedback to the unit.</li><li>• Investigating and resolve personnel and pay problems.</li><li>• Ensuring that all DA/JUMPS transactions are supported by correctly executed (properly filled out and signed) documentation including source documents, forms, worksheets, and checklists.</li><li>• Ensuring that required transactions are submitted within 2 working days of an event affecting a member's pay.</li><li>• Ensuring that 99 percent or more of DA/JUMPS transactions successfully process on initial submission.</li><li>• Taking corrective action on erroneous transactions within 1 update cycle after notification via the DA/JUMPS error feedback report.</li></ul>
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**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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**1.1 Responsibilities, Continued, Continued**

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**1.1.3 Entities (cont'd)**

Pay & Personnel Center (PPC) Topeka	<ul style="list-style-type: none"> <li>• Provide feedback to SPOs when transaction errors are correctable.</li> <li>• Take corrective action on errors which cannot be corrected by SPOs.</li> <li>• Provide written notice of due process rights to members who are overpaid.</li> <li>• Provide timely and accurate personnel and pay service to all members of the Coast Guard.</li> <li>• Administer leave and retirement point accounting for active and reserve military personnel.</li> <li>• Arrange for settlement of claims on behalf of deceased or separated members and collect out of service debt.</li> <li>• Process application for allotments and garnishments for certain support obligations as set forth in <a href="#">5 CFR 581</a>, <a href="#">32 CFR 63</a>, and <a href="#">33 CFR 50</a>.</li> <li>• Administer the SWE program and provide enlisted advancement lists to CGPSC for official issuance.</li> <li>• Develop written procedures to support all areas of personnel and pay policy.</li> <li>• Process Travel Claims.</li> <li>• The ACO at PPC certifies transactions/vouchers prior to release of funds by the U. S. Treasury.</li> </ul>
Coast Guard Personnel Service Center (CGPSC)	<ul style="list-style-type: none"> <li>• Issue normal promotion/advancement authorizations and eligibility list.</li> <li>• Approve retirements.</li> <li>• Consider all personnel waivers.</li> <li>• Issue assignment orders.</li> </ul>
CG Institute	<ul style="list-style-type: none"> <li>• Distribute and score Coast Guard correspondence courses.</li> <li>• Distribute educational funding.</li> <li>• Conduct military education credit evaluation.</li> </ul>

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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## **1.2 Information Flow**

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### **1.2.1 Information**

Information required by Direct Access 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 Direct Access.

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### **1.2.2 Information flow from the member**

This is an example of how information should flow from the member to Direct Access.

<b>Stage</b>	<b>Who Does It</b>	<b>What Happens</b>
1	Member	Event occurs (e.g., marriage) Event is reported to the unit by submitting appropriate supporting documentation and forms (listed in applicable sections of this Manual) and updating any information in Direct Access.
2	Unit	Insures that member has provided all necessary information in accordance with the instructions from the appropriate section of this manual or from the instructions on the form and reports the event to the SPO.
3	SPO	Reviews PDR; contacts unit for additional information, if needed, inputs appropriate data entries into DA , and provides required documents to the SPO PDR, including forms, and worksheets supporting those DA entries .
4	PPC	Processes the data for the event, updates personnel and pay entitlements, and provides feedback on the eLES.

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*Continued on next page*

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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**1.2 Information Flow, Continued**

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**1.2.4  
Supporting  
Documentation**

Forms/worksheets, which are properly completed per section 1.7 of this manual, bearing the authorizing official's signature serve as sufficient supporting documentation for most DA/JUMPS transactions. Accession and dependency changes require additional legal documents such as:

- Birth certificate
- Marriage certificate
- Death certificate
- Final or interlocutory divorce decree

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

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

*Continued on next page*

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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**1.2 Information Flow, Continued**

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**1.2.5  
Electronically  
Imaged  
Documents and  
Digital  
Signatures**

Documents which are electronically signed and transmitted in accordance with [Commandant Instruction 5200.5, Electronic Signatures and Management of Electronically Signed Records](#), are presumed legally sufficient, valid, and enforceable. Electronically signed correspondence, worksheets and forms, with the exception of the Enlistment/Reenlistment Document Armed Forces of the United States, DD Form 4/1, the Agreement to Extend/Reextend Enlistment, CG-3301B and the Certificate of Release or Discharge from Active Duty, DD-214 and DD-215, are acceptable source documents for transactions described in this manual.

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

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**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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## **1.3 Contacting the Pay & Personnel Center (PPC)**

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**1.3.1 Introduction** There are three methods to contact the Pay & Personnel Center in Topeka, KS.

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**1.3.2 Methods** These three methods, in order of preference, are the means for Coast Guard personnel to establish contact with PPC.

<b>Method</b>	<b>Uses</b>
Online Trouble Ticket	This method allows the member or unit/SPO point of contact to provide a more detailed description of the problem, resulting in faster resolution and enables PPC to track and correct recurring problems. <a href="http://www.uscg.mil/ppc/ccb/">http://www.uscg.mil/ppc/ccb/</a> or <a href="http://cgweb.uscg.mil/ccb/">http://cgweb.uscg.mil/ccb/</a> (use this link if you have supporting documentation to attach).
E-Mail	Contact can be established using this email address: <a href="mailto:PPC-DG-CustomerCare@uscg.mil">PPC-DG-CustomerCare@uscg.mil</a> . The Customer Service Team has a three day timeframe in which to respond to email sent to this address.
Telephone	1-(866)-PSC-USCG (772-8724) or 1-(785)339-2200. Phone support hours of operation are weekdays 0700 to 1600 Central Time and on scheduled weekends. See “Weekend Staffing Schedule” in the “Important Notices” section of the PPC Customer Care webpage ( <a href="http://www.uscg.mil/ppc/ccb/">http://www.uscg.mil/ppc/ccb/</a> or <a href="http://cgweb.usg.mil/ccb/">http://cgweb.usg.mil/ccb/</a> ) for dates and hours.  <b>Note: Password resets cannot be provided by telephone. Utilize E-Mail or the Online Trouble Ticket to request password resets for Direct Access, JUMPS or T-PAX.</b>

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**Note:** Refer all Servicewide Exam, Striker and Supplemental Advancement List questions directly to PSC (adv) at (785) 339-3400 or email to [ppc-dg-adv@uscg.mil](mailto:ppc-dg-adv@uscg.mil). Waiver requests must be sent by message to COGARD PPC TOPEKA//ADV// in accordance with [PSCINST M1418 \(series\)](#), [Servicewide \(SWE\) Examination Guide](#), and prior to scheduled deadlines.

## **1.4 Signature of Responsible Officer**

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### **1.4.1 Discussion**

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

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### **1.4.2 Reference**

- [COMDTINST M5000.3 \(series\), CG Regulations](#)
    - (a) Chapter 7-1-8, Administration of Oaths
    - (b) Chapter 7-1-9, Signing Official Correspondence
  - [COMDTINST M7210.1 \(series\), Certifying and Disbursing Manual](#)
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### **1.4.3 Authority to sign forms and worksheets**

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

- Only officers, the Master Chief Petty Officer of the Coast Guard (MCPO-CG), Commandant designated Command Master Chiefs, and designated recruiting office Chief Petty Officers and Petty Officers may administer enlisted oaths and sign enlistment contracts.
  - Only Officers, the MCPO-CG, Commandant designated Command Master Chiefs, and permanently assigned Enlisted Officers-in-Charge may administer reenlistment and extension of enlistments oaths and sign the appropriate reenlistment or extension document.
  - The “by direction” authority granted to Second Class Petty Officers (PO2) shall normally be limited to routine transactions such as leave and personnel transactions. PO2s shall only be given authority to sign specific Direct Access transactions “by direction” in cases where there is a shortage of Officers, Chief Petty Officers, and First Class Petty Officers.
  - Only the CO may sign the PCS Departing Worksheet (CG-2000) or the Advances Worksheet (CG-2010) when the member is requesting Advance Pay & Allowances or Advance Pay with liquidation period in excess of 12 months.
  - Only the CO may sign Adverse Administrative Remarks (CG-3307) entries. However, Per CG Regulations, (7-I-9.F), an officer, temporarily succeeding to command may sign as acting.
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*Continued on next page*

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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**1.4 Signature of Responsible Officer, Continued**

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**1.4.4  
Authority to  
sign Pay and  
Personnel  
Transactions**

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

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

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

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**1.4.6  
Designation  
Procedure for  
PAO**

PAO designations and Direct Access Human Resource Site Supervisor (HRSUP) user role authorizations are processed together. See section 1.6, [Procedures for Authorizing SPO Users \(HRS & HRSUP\)](#), of this chapter for the PAO/HRSUP user role designation procedure.

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*\*Form CG-7421B and all other PPC forms and worksheets are available at <http://www.uscg.mil/ppc/forms/>*

## **1.5 Procedures for Authorizing Direct Access Command Users**

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### **1.5.1 Introduction**

Access to command functions of Direct Access is limited to authorized personnel -- *Command Users*. This section provides guidelines and procedures for designating Command Users.

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### **1.5.2 The Command User**

The Command User role in Direct Access provides the user with the ability to access the Self-Service for Command functions of the system. It is a powerful, multipurpose role, intended for use by trusted, mature and responsible members of the command cadre. Command Users must be designated by the unit Commanding Officer/Officer in Charge or Executive Officer/Executive Petty Officer.

The Direct Access Command User has the ability to:

- Schedule and approve (for payment) reserve IDT drills.
- Initiate and view enlisted evaluations (employee reviews).
- Access the Airport Terminal, which provides a list of personnel in receipt of orders to or from the unit and the ability to view, modify and print travel orders.
- Generate and view member competency reports.
- Print BAH/Dependency and Emergency Contacts reports.
- View command information including roster and personnel allowance list.
- View member service record information (CG Member Info) including assignment history, competencies, training history, contact telephone numbers and address.

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## **1.5. Procedures for Authorizing Direct Access Command Users, Continued**

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**1.5.3 Choosing Command Users** Each unit must designate at least one Command User. Additional Command Users should be designated based on the need to access the information listed above.

Commanding Officers may designate as many Command Users as necessary to meet the unit's needs and maintain a smooth workflow. However, designations of Command Users in pay grades below E-6 are subject to review and approval by PPC and/or COMDT (CG-10). There are alternative access roles available for personnel who do not need access to all of the Command User functions (see section 1.5.5).

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**1.5.4 Command User Responsibilities** Direct Access, based on the Operator ID, allows a Command User access to all command functions. Any Command User has the ability to enter comments and approve an employee review, enter IDT drills, or view transfer information. Commanding Officers should clearly define an individual's role when making Command User designations.

When you consider designating Command Users, you should first ask yourself these questions:

Does the individual have your authorization to:

- View enlisted evaluations?
  - Initiate enlisted evaluations?
  - View pending transfer information?
  - Run reports and rosters?
  - Input reserve drill/ADT information?
- 

*Continued on next page*

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

## 1.5 Procedures for Authorizing Direct Access Command Users, Continued

**1.5.5 Alternatives to Command User Access** Granting full command access may not always be necessary or appropriate. Consider granting one or more of these roles in lieu of full command access.

<b>Role</b>	<b>Functions</b>	<b>Suggested users</b>
Airport Terminal Only (CGAIRTRM).	Allows access to the Airport Terminal	Housing Officers/staffs and Relocation Specialists.
Employee Review Only (CGEMPREV)	User can initiate, route or approve enlisted employee reviews	Supervisors (E-6 and above) and Marking Officials. <b>Note:</b> Employee Reviews may be initiated using the worksheets (CG-3788a, CG-3788b or CG-3788c). A Command User can handle final data entry in the system. It is not necessary for every person in the chain of command to use Direct Access to complete an employee review.  Use this rule to determine if you should authorize someone at your command Employee Review Access: <i>If the evaluation was being completed using the old paper-process, would that person's name and signature appear on the form as the supervisor, marking official or approving official?</i> <ul style="list-style-type: none"> <li>○ If <b>yes</b>, the person should be authorized access in Direct Access.</li> <li>○ If <b>no</b>, the person's input on the evaluation may be captured using the Employee Review worksheets.</li> </ul>
Reserve Orders Manager (CGRSVMGR)	Create, review, and endorse requests for reserve orders.	Allows supervisor to initiate requests for reserve orders on behalf of members who can't access Self-Service and allows the user to review and endorse requests for orders.
Field Admin (CGFIELDADM)	User can view and modify member competencies, run reports, view dependency data, print BAH/ Dependency Data and Emergency Contacts reports, view and print travel orders, and most other non-pay related personnel actions.	Unit administrative staff.  <b>Note:</b> Applications must be approved by the SPO and be accompanied by a Memorandum of Understanding (MOU). This is to ensure the SPO is aware that the unit will be assuming responsibility for entering competency data and prevents duplicate data entry. A template for the MOU is included as exhibit 1-1. <b>MOUs are valid for a maximum of two years.</b>
Global Workforce Inquiry Solution (CGGWIS)	Allows <b>view-only</b> access to member and unit data. Includes ability to access the Airport Terminal.	HR Managers (CO/OIC, XO/XPO, Admin Officer, HQ/CGPSC Staffs).

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## **1.5 Procedures for Authorizing Direct Access Command Users, Continued**

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### **1.5.6 Designation Procedure**

To designate a Command User (or other role types), utilize CG-7421B (Direct-Access User Access Authorization).

1. Complete the first section (Blocks 1 through 7) of the form.
2. The authorizing official's name, rank, title and phone number must be printed or typed in Block 8 and the block must be signed.  
**Note:** "By direction" is not authorized. Only the CO/OIC, XO/XPO or Division or Branch Chiefs at HQs/ DCMS/ CGPSC/ PPC/ FORCECOM/OPCOM (and their sub-units), Districts or Sectors may sign as authorizing officials. If the applicant is the CO/OIC, then they may sign their own application.
3. Fax the form to PPC's imaging system at: (785)-339-2297.
4. PPC (PS&R) will enable Command User privileges in Direct Access and notify the user, via email, when completed. Forms are *usually* processed within 3-working days of receipt.

Retain the original CG-7421B until the member/employee departs the unit (transfer, discharge, etc.), or the designation is otherwise terminated or revoked.

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### **1.5.7 Terminating Privileges**

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

- Access, to all but self-service applications, will automatically terminate when a military member departs on PCS orders. All access to Direct Access will automatically be revoked when a military member is separated from the service.
  - If termination of access is desired prior to transfer/separation, notify PPC Customer Care (See Para 1.3.2). Include the user's employee ID number and the user access role(s) to be revoked.
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**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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Exhibit 1-1: Suggested format for MOU between Unit and SPO for maintenance of member competency data

**U.S. Department of  
Homeland Security**

**United States  
Coast Guard**



Commanding Officer  
Unit Name

Address.  
City, ST Zip  
Staff Symbol: ()  
Phone: ( )  
Fax: ( )  
Email:

5230

## MEMORANDUM

From: Unit and Servicing SPO

Reply to  
Attn of: Unit Point of Contact

To: Distribution  
Thru:

Subj: MEMORANDUM OF UNDERSTANDING FOR UNIT TO MAINTAIN MEMBER  
COMPETENCY DATA

Ref:

1. To allow field units to maintain member competency and other non-payroll related personnel data, using the Direct-Access, these parties have entered into an agreement on the following items:

- (a) **SYSTEMS ACCESS:** (Enter Name of Unit) will complete a user access form (CG-7421B) for each person that will be authorized CG Field Admin access, to Direct Access applications, in order to provide personnel support for members assigned to the following units:

List Units

Access forms must be delivered to SPO Chief for expedited processing through PPC.

- (b) **RESOURCES:** No additional YN resources will be provided to Name of Unit.
- (c) **RESPONSIBILITIES:** Data input responsibilities will shift from (SPO) to (Unit) . (Unit) will be responsible for entering all member competency information (**Education, Honors and Awards, Qualification Codes and Training, collectively know as “Competencies”**), for those units listed above, on the effective date of this agreement. (Unit) must incorporate internal controls to safeguard data input integrity. Failure to establish internal controls may result in your access being terminated.
- (d) **SUPPORT:** (SPO) will provide training, as requested, on data input requirements and software navigation.

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

---

(e) **EFFECTIVE DATE:** This agreement is entered into effective (date) and will remain in effect for a period not to exceed two years from the effective date or until terminated by both parties, whichever occurs first.

(f) **Agreed to by** (Signatures Below):

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FIRST LAST NAME RANK, USCG Title: (CO, XO, or SPO Chief only)	FIRST LAST NAME RANK, USCG Executive Officer, Unit  #
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Enclosures: List of CG-7421B forms (Direct-Access Form) For Each Unit Member Who Is To Be Authorized Access

Dist: Original SPO General Files  
Copy Unit General Files  
Copy Fax to PPC (PS&R) with User Access Forms (fax to the number on the form)

Copy: COMDT (DCMS-81), YN Rating Force Manager

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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## **1.6 Procedures for Authorizing SPO Users (HRS & HRSUP)**

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

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

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**1.6.3 SPO Supervisors/ Payment Approving Officials – HRSUP Access Defined** HRS Supervisor (HRSUP) role users have the ability to release Direct Access transactions that require approval. HRSUP role users are also designated Payment Approving Officials (PAOs). See sections [1.4.4](#) and [1.4.5](#) of this chapter for PAO duties and responsibilities. Certain Direct Access entitlements transactions require review and approval before they can be released for processing. Approval of these transactions is limited to properly designated Pay Approving Officials (PAOs). PAOs are assigned the HRS Supervisor (HRSUP) role in Direct Access.

The Commanding Officer of a unit with a SPO must nominate at least one person for designation by PPC (MAS) as a Payment Approving Official (PAO).

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

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*Continued on next page*

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

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### **1.6.4 Prerequisites for HRSUP/PAO Designation (cont'd)**

Minimum requirements for designation include:

- being in proper billet for this authority,
- proper rank,
- having successfully completed the Internal Controls Over Financial Reporting (ICOFR) online training course (Course code 810047).
- having successfully completed the Payment Authorizing Official online training course (Course code 502360).

If an E-5 is being recommended for PAO, the CO must attach a letter to the CG-7421B that explains the authority that will be granted to the E-5.

If approved and after the member's information has been verified, PPC, will reply with a formal letter of designation to the member, via the chain of command. PPC (MAS) will forward a separate request to set the PAO's direct access level to CGHRSUP.

PAOs may not perform any of the duties of a PAO until the letter of designation is received from PPC.

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### **1.6.5 Online Training Courses / Competency Code**

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

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

PAO and ICOFR course completions are not in the Training Management Tool (TMT). Users should print their LMS transcript, which can be accessed under the **My Account** link in the LMS, for proof of completion.

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

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*Continued on next page*

## **1.6 Procedures for Authorizing SPO Users (HRS & HRSUP),**

Continued

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### **1.6.6 Terminating Privileges**

PAO designations shall remain in effect through the current fiscal year, after which all PAOs must be re-designated requiring the prospective PAOs to repeat the online training courses, obtain CO's recommendation and submit a new CG-7421B and accompanying letters, if required.

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

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

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

CGHRSUP user roles for PAOs are automatically terminated each fiscal year unless the PAO completes annual required training and is re-designated in accordance with this chapter.

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**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

## 1.7 Document Processing Standards

### 1.7.1 Introduction

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

### 1.7.2 Error Corrections

#### **(Figures 1 and 2)**

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

#### **Example of Improper Error Correction (Figure 1)**

U.S. DEPARTMENT OF HOMELAND SECURITY  
U.S. Coast Guard

**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.

Handwritten correction: *Planned separation Agreement: 1/10/17*

Handwritten note: *Handwritten correction is difficult to read*

Continued on next page

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

**1.7 Document Processing Standards, Continued**

**1.7.2 Error Corrections (cont'd)**

**Example of Proper Error Correction (Figure 2)**

U.S. DEPARTMENT OF HOMELAND SECURITY U.S. Coast Guard CG-2020 (Rev. 10/01)		<b>DEPENDENCY WORKSHEET</b>	
<b>Important</b> Emerg SGLV: 7 form SC Benefic allotmer DEERS denial of Member		3. Treatment Unit  service menu in Direct Access. complete a new SGLV-8286. You must also submit <a href="http://www.insurance.va.gov/sgliSite/forms/forms.htm">www.insurance.va.gov/sgliSite/forms/forms.htm</a> unpaid pay and allowances, or person to receive  dependents, failure to update DEERS will result in ill in continued deductions of premiums for the Family longer eligible. tional worksheets as necessary	
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.			
I want to: <input type="checkbox"/> 4. Add dependent, (see documentation requirements on reverse) <input type="checkbox"/> 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. Ability in case of emergency? <input type="checkbox"/> YES <input type="checkbox"/> NO
If adding a child who is not in your custody provide: 17. Is custodial spouse in the service? <input type="checkbox"/> NO <input type="checkbox"/> YES (complete 17-1, 17-2, 18, 19 & 20) 17.1. Is custodial spouse receiving Basic Allowance for Housing with dependents? <input type="checkbox"/> NO <input type="checkbox"/> YES		16. Name of Custodian	20. Unit
18. SSN		19. Branch	20. Unit <i>12/22/10 - see attached document</i>
21. Monthly amount of support		22. Method of support (allowance, check, cash)	23. Date of divorce/separation (if applicable)

**1.7.3 Proper Signatures and Dates**

**(Figures 3 and 4)**

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

*Continued on next page*



**Chapter 1  
PERSONNEL AND PAY SYSTEMS OVERVIEW**

**1.7 Document Processing Standards, Continued**

**1.7.4  
Completing  
Checklists  
(cont'd)**

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

**Example of Improperly Completed Checklist (Figure 5)**

**RECRUIT PERSRU ACCESSION CHECKLIST**

**RESERVE RECRUIT**

RECRUIT: Smith, John ANNEXES: \_\_\_\_\_

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

App. ID no: \_\_\_\_\_ EMPLID: \_\_\_\_\_  
 DEP Date: \_\_\_\_\_ Contract Term: \_\_\_\_\_  
 Rank/Rate: \_\_\_\_\_ Enlist Date: \_\_\_\_\_

Production Yeoman’s Task	YN Initials
Applicant Data	JS
Identification Data	JS
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	MJ
IADT ORDERS (Long Term if RL, Short Term if RK)	MJ
R990	MJ
BAH	MJ
COLA	MJ
MGR OR START (USE CODE “AB”)	MJ

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

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

Accession Paperwork:


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

*Continued on next page*

**Chapter 1  
PERSONNEL AND PAY SYSTEMS OVERVIEW**

**1.7 Document Processing Standards, Continued**

**Example of Improperly Completed Checklist (Figure 6)**

**RECRUIT PERSRU ACCESSION CHECKLIST  
ACTIVE DUTY RECRUIT**

RECRUIT: Evans, Jacob ANNEXES: \_\_\_\_\_

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

App. ID no: \_\_\_\_\_ EMPLID: \_\_\_\_\_  
 DEP Date: \_\_\_\_\_ Contract Term: \_\_\_\_\_  
 Rank/Rate: \_\_\_\_\_ Enlist Date: \_\_\_\_\_

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

Auditor's Task	YNI Initials
Hire Applicant	MJ
Dependent Information	↓
BAH	↓

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

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

Missing Accession Paperwork:


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

*Continued on next page*

**Chapter 1  
PERSONNEL AND PAY SYSTEMS OVERVIEW**

**1.7 Document Processing Standards, Continued**

**Example of Properly Completed Checklist (Figure 7)**

**RECRUIT PERSRU ACCESSION CHECKLIST  
RESERVE RECRUIT**

RECRUIT: Jones, Tim ANNEXES: \_\_\_\_\_

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

App. ID no: \_\_\_\_\_ EMPLID: \_\_\_\_\_  
 DEP Date: \_\_\_\_\_ Contract Term: \_\_\_\_\_  
 Rank/Rate: \_\_\_\_\_ Enlist Date: \_\_\_\_\_

Production Yeoman's Task	YN Initials
Applicant Data	TJ
Identification Data	TJ
Applicant Contract Data	TJ
FWD to YN1 for Hire	TJ
Enter Direct Deposit Info once EMPLID is established.	TJ
Auditor's Task	YN1 Initials
Hire Applicant	AL
Dependent Information	AL
IADT ORDERS (Long Term if RP, Short Term if RK)	AL
R990	AL
BAH	AL
COLA	AL
MGIB SR START (USE CODE "AB")	AL

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

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

**Chapter 1**  
**PERSONNEL AND PAY SYSTEMS OVERVIEW**

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