

Chapter 2: Systems Overview

Introduction

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

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Direct Access

Direct Access (DA) is a streamlined human resource management and payroll system that facilitates input from various sources. This includes members, units, Personnel and Administration Offices, Servicing Pay Offices, PPC, and others. DA increases efficiency, reduces expenses related to all aspects of human resource management, and fosters a paperless environment.

Travel Preparation and Examination System

E-Gov Travel Service (ETS) is a government-wide, web-based travel system for all travel claims except Permanent Change of Station (PCS) claims. ETS consolidates travel services through the optimization of online travel booking, creating, and managing travel authorizations, the approval process, submission of travel vouchers, and receiving reimbursements, all online. Mobile capabilities allow for approval of authorizations and vouchers, receipt capture, and itinerary management. Requests for

reimbursement are submitted through ETS via the Financial System Modernization Solution (FSMS), to Treasury for disbursement.

Section A: Responsible Entities

A.1. **Introduction** This section discusses responsibilities with regards to human resource (HR) processes. Direct Access (DA) exists as part of the overall Coast Guard (CG) HR 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) [Enlistments, 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) [Coast Guard Military Human Resource Record \(CGMHRR\) System, COMDTINST 1080.10 \(series\)](#)
 - (h) [Personnel Vetting Program \(Security Clearance, Suitability and Credentialing\), COMDTINST 5520.12 \(series\)](#)
 - (i) [Coast Guard Pay Manual, COMDTINST M7220.29 \(series\)](#)
 - (j) [Body Composition Standards Program, COMDTINST 1020.8 \(series\)](#)
 - (k) [United States Coast Guard Regulations 1992, M5000.3 \(series\)](#)
 - (l) [Military Personnel Casualties and Decedent Affairs, COMDTINST M1770.9 \(series\)](#)
 - (m) [Military Drug and Alcohol Policy, COMDTINST M1000.10 \(series\)](#)
 - (n) [Commuter Transit Subsidy Benefits Program, COMDTINST 5382.1 \(series\)](#)
 - (o) [Coast Guard Military Medals and Awards Manual, COMDTINST M1650.25 \(series\)](#)
 - (p) [Directives System Program: Commandant Instruction \(CI\), ALCOAST, and Other Publications, COMDTINST 5215.6 \(series\)](#)
 - (q) [U.S. Coast Guard Certifying and Disbursing Manual, COMDTINST M7210.1 \(series\)](#)
 - (r) [Foreign Travel, Passports and Visas, COMDTINST 5000.5 \(series\)](#)

(s) [Reserve Duty Status and Participation, COMDTINST 1001.2 \(series\)](#)

A.3. **Entities**

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

| Entity | Responsibilities |
|-------------|--|
| Member | <p>The member is responsible for:</p> <ul style="list-style-type: none"> • Reporting or submitting changes in mailing address (including allotments), phone numbers, and email addresses in DA. • Reviewing and understanding their pay slips and reporting any discrepancies through their chain of command. • Reporting changes in family/dependent status. • Reporting occasions of moving into, or out of, government owned or leased quarters. • Submitting changes in allotments or direct deposit in DA. • Advising the Commanding Officer (CO)/Officer in Charge (OIC) of reenlistment/extension intentions. • Submitting an e-resume in accordance with (IAW) Reference (a). • Submitting leave requests IAW Reference (a). • Providing any other personnel data and supporting documentation as requested. • Filing travel claims for self, and dependents (if applicable), within three days of reporting to a new Permanent Duty Station (PDS) or returning from Temporary Duty (TDY) IAW Reference (b). • Contacting their Travel Approver for any travel related questions or assistance. • Maintaining a file of historical travel, 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. • If a Reserve member, must: <ul style="list-style-type: none"> ➤ Submit inactive duty and active duty order requests. ➤ Submit the Annual Screening Questionnaires (ASQ) in a timely manner IAW Reference (c). ➤ Understand their Reserve Retirement Points Statement and report any discrepancies via their chain of command. |
| Unit CO/OIC | <p>The unit CO/OIC has the authority, and is responsible for, personnel management functions, including:</p> <ul style="list-style-type: none"> • Completing enlisted evaluations in the Enlisted Evaluation System (EES) and ensuring they are completed timely, IAW Reference (d). |

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| | <ul style="list-style-type: none"> • Preparing correspondence for the unit IAW Reference (e). • Authorizing leave requests IAW Reference (a). • Endorsing e-interviews IAW Reference (a). • Conducting pre-discharge interviews IAW Reference (f). • Maintaining member's Coast Guard Military Human Resource Record (CGMHRR) in the Interactive Personnel Electronic Management System (iPERMS) IAW Reference (g). • 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) IAW Reference (h). • Providing data and supporting documentation in support of personnel/pay actions for members IAW Reference (g). • Conducting annual review of Basic Allowance for Housing (BAH)/Dependency data IAW Reference (i) and as prescribed in this publication. • Ensuring compliance with Weight and Body Composition Standards IAW Reference (j). • Reviewing orders on the Airport Terminal in DA for attached members. • Reviewing and forwarding/releasing travel claims within two business days of receipt from member IAW Reference (b). • Conducting overseas screening for departing members (if applicable) IAW Reference (a). • Authorize/delegate subordinates as Travel Authorization Officials. • Overseeing and promoting unit training and personnel development programs including administration of the unit Mandatory Training program. • On a collateral duty basis - when no full-time Education Services Officer (ESO) is assigned or in support of full-time ESO - managing and overseeing delivery of ESO services, including processing tuition assistance; administration of voluntary education testing programs including College Level Examination Program, Armed Services Vocational Aptitude Battery, College exams, Defense Activity for Non-Traditional Education Support Subject Standardized Tests, etc.; managing and processing end of course and correspondence tests; processing CG Foundation/Mutual Assistance educational grants and loans; processing Educational Assessment requests, and facilitating and supporting educational achievement through voluntary education. • Serving as Decedent Affairs Officer (DAO) within the Area of Responsibility (AOR). Overseeing and coordinating all CG |
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| | <p>funeral actions, including Burials at Sea, per the Military Funeral Honors (MFH) program IAW Reference (l). Maintain MFH Database.</p> <ul style="list-style-type: none"> • Providing Casualty Assistance Calls Officer (CACO) guidance and support in AOR when responding to a death in the line of duty. Providing training to CACOs. • Managing and overseeing the urinalysis and weight standards program for unit, and supported units, IAW References (m) and (j). • Managing and overseeing the Government Travel Charge Card (GTCC) program for the unit, and supported units; assisting units with GTCC issues IAW Reference (i). • Managing and overseeing the Mass Transit benefit program for the unit, and supported units, IAW Reference (n). • Overseeing financial assistance and grants management including CG Foundation Grant applications and CG Mutual Assistance loans or grants. • Serving as the Passport Acceptance Agent for the unit, and supported units, IAW Reference (r). |
| <p>NOTE:</p> | <p>Units with insufficient administrative capability should seek assistance from their parent command in completing these tasks. IAW Reference (k), the Sector or Group Commander is responsible for providing support for the functions performed by assigned subordinate units. **24 hr call assist at LANT and PAC area to handle/address funding & approval issues in ETS when AO or Funds Managers are unavailable**</p> |
| <p>Unit Level Admin Staff/ Admin Offices</p> | <p>Unit Level Admin Staff/Admin Offices can be defined as a unit administration office without adequate staffing to support pay and personnel transactions (e.g. cutters, MSUs, PSUs, HSWLs, etc.). Once submitted, Unit Level Admin Staff/Admin Offices must forward all required paperwork, forms and supporting documentation to their servicing P&A Office for processing.</p> |
| <p>P&A Office</p> | <p>The P&A Office is responsible for:</p> <ul style="list-style-type: none"> • Coordinating and providing expertise in unit administration and personnel actions for Active Duty, Reserve, auxiliary and civilian members assigned to the unit. • Serving as primary pay, allowances and benefits counselor for all personnel. • Reviewing, supporting and initiating (including DA data input) all Coast Guard (CG) mandated pay and/or personnel transactions. It |

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| | <p>is critical that the event which results in the generation of DA transactions originates at the member’s parent unit and is accurately communicated to the P&A Office for proper and timely processing.</p> <ul style="list-style-type: none"> • Ensuring all transactions are first supported by required documentation (as outlined in Service directives), are entered accurately and processed within prescribed timelines. • Investigating and resolving personnel and pay problems. • Maintaining and uploading documents to iPERMS IAW Reference (g), to manage the 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. • Assigning “By Direction Authority” to carry out P&A Office responsibilities within the boundaries of that authority. • Creating and maintaining Traveler and Arranger Pools in ETS. • Adding newly assigned personnel to the correct minor customer. • Adding newly assigned personnel to unit Pools with elevated roles in ETS if needed. • Create and maintain Approver Pools and workflows in ETS. • Managing Temporary Duty and Permanent Change of Station orders for all personnel. • Acting as the Common Access Card (CAC) issuing authority; performing CAC pin resets. • Providing Defense Enrollment Eligibility Reporting System/ Real-Time Automated Personnel Identification System services, and ID card services, to eligible personnel. • Providing travel and transportation administrative support and counseling, including assistance with travel claim submission for the unit, and supported units, IAW Reference (b). • Acting as DA coordinator for the unit and supported units. • Acting as the Active Duty for Training orders issuing authority as directed by the appropriate level staff. Providing administrative services by coordinating Reserve mobilization administrative support, and the documentation of Reserve drills. Maintaining file copies of all original signed Reserve orders issued to Sector Reservists. • Issuing travel funds, as appropriate, IAW Reference (i). • Managing and monitoring overseas entry approvals IAW Reference (a). • Overseeing workforce good order and discipline by coordinating |
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| | <p>administration of military justice processes.</p> <ul style="list-style-type: none"> • Managing unit awards program, including award preparation, filing, and completion of DA personnel transaction entries IAW Reference (o). • Managing unit directives program including maintenance of unit directives library and promulgation of unit-generated directives IAW Reference (p). • Providing other personnel services as required by current directives. • Contacting PPC Customer Care using one of the methods in Section D of this chapter to address administrative issues that cannot be resolved at their level. • Acting as liaison with the SPO, to include reporting pay issues that cannot be resolved at their level. • Contacting PPC Customer Care to address personnel and pay issues that cannot be resolved at their level. |
| <p>Servicing Pay Office (SPO)</p> | <p>The Servicing Pay Office (SPO) provides support to their P&A Offices and Units by reviewing, validating and processing complex pay-related events in DA. SPO representatives are designated Payment Approving Officials (PAOs) IAW Reference (q). They are authorized to certify transactions for payment by the Authorized Certifying Officer (ACO) at PPC. The SPO is responsible for:</p> <ul style="list-style-type: none"> • Overseeing the responsibilities of Military Pay management; ensuring all pay and allowance policies and procedures, outlined in service directives, are properly followed. • Carefully and accurately carrying out the responsibilities of a PAO as required by Reference (q). • Ensuring all DA transactions affecting military pay and allowances (including, but not limited to, enlistments, retirements, discharges, and separations) are supported by required documentation (as outlined in Service directives), are entered accurately, and processed within prescribed timelines. • Reviewing and approving all pay related transactions for Active Duty and Reserve permanent change of station (PCS) orders. • Reviewing and approving pay related transactions for Reserve recalls for mobilization and Reserve mobilization(s) including continuance of Reservists on Active Duty. • Preparing and processing appropriate documentation as required for administrative and disciplinary actions. • Providing information and feedback to the supported units and P&A Offices. • Acting as liaison with the Personnel Service Center. |

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| | <ul style="list-style-type: none"> • Contacting PPC Customer Care to address pay issues that cannot be resolved at their level. |
| PPC | <p>PPC is responsible for:</p> <ul style="list-style-type: none"> • Providing timely and accurate personnel and pay service to all members of the Coast Guard. • Providing feedback to P&A Offices and/or SPOs on transaction errors that can be corrected; taking corrective action on errors which cannot be corrected by them. • Providing written notice of due process rights to members who are overpaid. • Administering leave for Active and Reserve military personnel. Administering retirement points accounting for Reserve members. • Arranging for settlement of claims on behalf of deceased or separated members. • Processing application for allotments and garnishments for certain support obligations as set forth in 5 CFR 581, 32 CFR 63 and 33 CFR 50. • Administering the Service wide Examination program and providing enlisted advancement lists to Personnel Service Center for official issuance. • Developing written procedures to support all areas of personnel and pay policy IAW Reference (i). • Review ETS system updates and ensure JTR/FTR compliance and calculation accuracy. • The ACO at PPC certifies transactions/vouchers prior to release of funds by the U.S. Treasury. |
| Personnel Service Center (PSC) | <p>PSC is responsible for:</p> <ul style="list-style-type: none"> • Issuing normal promotion/advancement authorizations and eligibility lists. • Approving retirements. • Considering all personnel waivers. • Issuing assignment orders. |
| Education & Training Quota Management Command (ETQC) | <p>ETQC is responsible for:</p> <ul style="list-style-type: none"> • Distributing and scoring all Coast Guard correspondence courses. • Distributing educational funding. • Conducting military education credit evaluation. • Issuing "C" School orders. • Entering degrees in DA. |

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| Coast Guard Finance Center (FINCEN) | FINCEN is responsible for: <ul style="list-style-type: none">• Processing out of service debts.• Processing in service travel debts.• Disbursing travel funds. |
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Table 2-1 Entity/Responsibilities

Section B: Information Flow and Timelines

B.1. Introduction This section describes the information flow to DA after an event occurs and also defines the expected timelines for pay and personnel document processing. There are different steps that need to be taken to ensure proper input into DA.

B.2. Reference (a) [Coast Guard Military Human Resource Record \(CGMHRR\) System, COMDTINST 1080.10 \(series\)](#)

B.3. Information Flow Here is an example of how information should flow from a member to the P&A Office for entry into DA.

| Step | Who Does It | What Happens |
|--------------|---|--|
| 1 | Member | Immediately after event occurs (e. g. marriage), reports event to the Command/P&A Office by submitting the appropriate forms, worksheet(s) and supporting documentation. Also updates any information in DA (i.e. address, emergency contacts, email addresses), as appropriate. |
| 2 | Command or Unit Level Admin Staff | Within two business days of notification, ensures that member has provided all necessary information and supporting documents. Endorses as appropriate and forwards to the P&A Office. |
| 3 | P&A Office | Within two business days of receipt, reviews all information and documentation for accuracy and completeness. Contacts member for additional information, if needed. Inputs appropriate data entries in DA. Uploads required forms, worksheets and supporting documents to iPERMS IAW Reference (a). |
| 4 | SPO | Within three business days of notification, reviews pay transactions and supporting documents. Contacts P&A for additional information, if needed. Validates and approves pay related transactions in DA. |
| 5 | PPC | Processes the data for the event, updates personnel and pay entitlements, and provides feedback on the members' payslips. |
| NOTE: | If processed timely and accurately, PPC processes payroll within two pay cycles. This does not include retro transactions. | |

Table 2-2 Information Flow

Section C: Coordination of Support between P&A Offices

- C.1. Introduction** This section provides guidelines for P&A Offices to follow when providing services to members who are not permanently assigned, or are temporarily assigned to a unit within the P&A Office’s area of responsibility.
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- C.2. Reference** (a) [Coast Guard Military Human Resource Record \(CGMHRR\) System, COMDTINST 1080.10 \(series\)](#)
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- C.3. Discussion** Many transactions processed at P&A Offices at other than the member’s “permanent” P&A Office can be entered in DA without knowledge, review, or approval of the permanent P&A Office and/or SPO. For example, a non-permanent P&A Office may unknowingly enter an inaccurate transaction in DA that could have been correctly completed based on the permanent P&A Office’s more in-depth understanding of the member’s unique circumstances.
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- C.4. Review of CGMHRR** Conducting a review of the CGMHRR is an important first step in the process of creating an accurate pay and/or personnel transaction. P&A Offices should refrain from entering transactions in DA for:
- Members who are not permanently assigned or for temporarily assigned personnel, if assigned for less than 60 days, or
 - Permanently or temporarily assigned personnel for more than 60 days, until they have reviewed the member’s CGMHRR.
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- C.5. Coordination Between Units** Transactions can be input by other than the member’s home P&A Office if delaying the transactions (to review the CGMHRR or transmit the information to the permanent P&A Office) would result in a personal financial hardship to the member, or denial of benefit or privilege for the member and/or their dependents.
- If possible, the member’s permanent P&A Office should be contacted, and consent obtained before submitting any transactions.
- All required forms, worksheets and supporting documentation must be sent to the permanent P&A Office as soon as possible after entering the transaction.
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- C.6. Reports** The following reports are available to help identify and contact the responsible P&A Office based on the member’s permanently assigned unit:
- The P&A Office/Unit Relationship Report provides a listing of all units and the supporting P&A Offices.

- The SPO Contact List provides a listing of email addresses for all the SPOs.

Both of these reports are available at: <https://uscg.sharepoint-mil.us/sites/ppc/SitePages/SPO-and-PSI-Contact-Information.aspx>.

Section D: Contacting Pay and Personnel Center (PPC)

D.1. Introduction This section explains the methods used to contact PPC. Members experiencing personnel and/or pay problems are to coordinate resolution through their P&A Office. P&A Offices will coordinate resolution through their servicing SPO, as needed.

NOTE: Many issues may be resolved at the unit, P&A Office, or SPO level. Check with your supervisor and P&A Office for assistance with pay and/or personnel issues. For travel related issues, contact your Travel Approving Official (AO) for assistance prior to submitting a trouble ticket.

D.2. Reference (a) [Coast Guard Pay Manual, COMDTINST M7220.29 \(series\)](#)

D.3. Methods There are three methods, in order of preference, for contacting PPC:

| Method | Uses |
|-----------------------|---|
| Online Trouble Ticket | Allows the P&A Office or SPO point of contact to provide a more detailed description of the problem and attach important documentation, resulting in faster resolution. It also enables PPC to track and correct recurring problems. Select “Trouble-Ticket Form” via: PPC Customer Care (uscg.mil) . |
| Email | Emails can be sent to PPC-DG-CustomerCare@uscg.mil . |
| Telephone | Call 1-866-PPC-USCG (772-8724). Phone support is available on weekdays from 0730 to 1600 (Central Time). |

Table 2-3 Methods for Contacting PPC

NOTE: Password resets cannot be provided by telephone. Utilize email or the Online Trouble Ticket to request password resets for DA.

Section E: Signature of Responsible Officer

E.1. **Introduction** This section explains signature requirements. The requirements to sign various forms and worksheets, and to electronically sign DA and ETS transactions are necessary to affirm and give legal credence to the information contained on the form or in the transaction.

NOTE:

COs/OICs must avoid situations where the responsible officer lacks the knowledge or time to validate the information. The responsible officer should never just sign as a formality.

E.2. **References** (a) [United States Coast Guard Regulations 1992, 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** The CO/OIC may authorize in writing for officers, chief petty officers, 1st and 2nd class petty officers and GS-7 civilian employees to sign, by their direction, correspondence, forms, and worksheets in the performance of their duties IAW Reference (a). “By Direction” authorizations must specifically list each applicable task and must be kept on file to support any audits. A template memo is available at https://uscg.sharepoint-mil.us/sites/psc_spo/psc-bops/SitePages/Personnel-Support-In.aspx.
More information can be found in [ACN 067/21](#).

E.4. **Authority to Sign Pay Related Transactions** The CO of a unit with a SPO must designate at least one Payment Approving Official (PAO). PAOs will be designated IAW Reference (b) and only properly designated PAOs have the authority to authorize pay related transactions.

E.5. **PAO Responsibilities and Liabilities** It is Coast Guard policy that Payment Approving Officials (PAOs) have the same level of responsibility and financial liability as an Authorized Certifying Officer (ACO) IAW 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** PAOs must be E6/GS7 or above IAW Reference (b). An E5 may be recommended for designation only if extenuating circumstances create a situation where E6s/GS7s and above are not available for designation. COs of SPO units can submit their recommendations to PPC (CSD) for consideration. The minimum requirements for PAO designation are:

- Being in a proper position number and Dept 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 online PAO course (LMS Course #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, PPC will reply with a designation memorandum 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 (CSD).

E.7. Online Training Courses/Competency Codes

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 the 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 required training courses, 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 can be assigned in DA.

E.8. Maintaining PAO Status

All PAOs 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**
- This section provides the standards for document processing. Much of the documentation in the member's CGMHRR supports the validity of transactions within 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. Attention to detail is critical to ensure that the supporting documentation is a complete and accurate match to data contained in DA.
- Enclosure (1) to Reference (a) prescribes the required supporting evidence for material military payroll transactions. The matrix lists the source document (e. g. memorandum, message, email, form, or worksheet), filing location, and retention period. The matrix is not all-inclusive and will be periodically updated to accommodate policy changes and to increase its comprehensiveness.
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- F.2. References**
- (a) [Coast Guard Military Human Resource Record \(CGMHRR\) System, COMDTINST 1080.10 \(series\)](#)
 - (b) [United States Coast Guard Regulations 1992, M5000.3 \(series\)](#)
 - (c) [The Coast Guard Correspondence Manual, COMDTINST M5216.4 \(series\)](#)
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- 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 P & A Office for processing and inclusion in CGMHRR must be originals, notarized copies, or certified copies. The procedure for creating certified copies is:

F.4. Creating Certified Copies

Follow the procedure below for creating certified copies:

| Step | Who Does It | What Happens |
|--------------|--|--|
| 1 | 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 Member | <ul style="list-style-type: none"> • Makes a photocopy of the document and handwrites or stamps “Certified Copy” on each page of the photocopy. • Prints his or her first name, middle initial, last name, and rank/rate, if applicable. • Signs and dates immediately below the printed name. • Returns the original to the member. |
| NOTE: | <p>Per Reference (a), any supporting documents should be authenticated, complete and a legible copy of the original. It is NOT AUTHORIZED to use personal or government cellular phones or any other personal devices to make copies of documents or identification cards that contain Personally Identifiable Information (PII). Only government-owned copy machines should be used. Do not make a photocopy of a copy, which includes previously certified copies, faxes, emails, etc. Making copies of the “Certified Copy” is unacceptable.</p> | |

Table 2-4 Creating Certified Copies

“Authorized member” is a Coast Guard civilian employee or service member that is serving in a SPO, P&A, Admin or Command Cadre capacity.

F.5. Electronically Imaged Documents and Digital Signatures

Documents which are electronically signed and transmitted IAW 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.

P&A Offices 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 P&A Office tracks hard copy delivery and ensures that the updates are received within seven

working days for contiguous United States (CONUS) units and 30 days for outside the contiguous United States (OCONUS) and deployed units.

F.6. Importance of Evidence

Everyone is responsible for ensuring that transactions are valid when processing HR 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 HR and military pay transactions.

Evidence includes source documents that are required by Reference (a) and the Coast Guard, Department of Defense (DOD) and Veteran Affairs (VA) forms that have been specifically established to document the processing of a transaction. Documentation is specifically identified in CG 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 CGMHRR through the routine use of source documents (Social Security card, birth certificate, marriage certificate, etc.) supported by a summary checklist(s) and/or worksheet(s). 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, if the checklist/worksheet has been properly and completely filled out, as designed.

F.7. Alternative Evidence

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

F.8. 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.9. Accepting Non-Standard Sources

Examples of non-standard source 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 their role)?
- Is it necessary to use this supporting information 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 an explanation on the alternative document if space permits or attach another sheet to include this explanation. Print, sign, and date your explanation.

F.10. Combining Sources

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

- Consider other forms designed for supporting related transactions that also contain the necessary information to support the validity of 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 PPC to consider including them as part of the standard documentation process.

F.11. 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 guidance from more experienced personnel. Within each 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.12. Error Corrections

Corrections to forms, worksheets, and checklists need to 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 need to be initialed and dated.

Writing an error correction in a small space makes it hard to read. 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.

| | | | |
|--|--|---|--|
| U.S. DEPARTMENT OF HOMELAND SECURITY U.S. Coast Guard CG-2020 (Rev. 02-10) | | DEPENDENCY WORKSHEET | |
| 1. Employee Number: | | 3. Participant Code: | |
| 2. Name (Last, First, MI): | | | |
| Important | Emergency Contacts: To change your emergency contact information, please use the self-service menu in Direct Access. | | |
| | SGLI: To change to your Servicemen's Group Life Insurance (SGLI) beneficiary, you must complete a new SGLV-8286 . You must also submit form SGLV-8286A, SGLI Family Election when reporting a marriage or divorce (http://www.insurance.va.gov/sglISite/forms/forms.htm) | | |
| | Beneficiary Data: To change your emergency contacts, beneficiaries for the gratuity pay, unpaid pay and allowances, or person to receive allotment of pay if missing or unable to transmit funds, complete form 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 (FMDFP) 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: <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. Notify in case of emergency? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| If adding a child who is not in your custody provide: | | 16. Name of Custodian: | |
| 17. Is custodian spouse in the service? <input type="checkbox"/> NO <input type="checkbox"/> YES (complete 17-1, 17-2, 18, 19 & 20) | | 18. SSN: | |
| 17-1. Is custodian spouse receiving Basic Allowance for Housing with dependents? <input type="checkbox"/> NO <input type="checkbox"/> YES | | 19. Branch: | |
| 17-2. Is custodian spouse assigned to government owned/leased quarters? <input type="checkbox"/> NO <input type="checkbox"/> YES | | 20. Unit: | |
| | | 21. Monthly amount of support \$ | |
| | | 22. Method of support (allotment, check, cash): | |
| | | 23. Date of divorce/separation (if applicable): <i>REMOVED SUPPORT ALLOWANCE: 11/01/2024</i> | |

Handwritten note:
- Where difficult to read

Figure 2-1 Example of Improper Error Correction

| | | | |
|---|--|---|--|
| U.S. DEPARTMENT OF HOMELAND SECURITY U.S. Coast Guard CG-2020 (Rev. 02-10) | | DEPENDENCY WORKSHEET | |
| <p>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 and date demonstrating authorization and accountability for the correction.</p> | | <p>1. Participant Unit</p> <p>2. Please use the self-service menu in Direct Access.</p> <p>3. If beneficiary, you must complete a new SGLV-8286. You must also submit for the gratuity pay, unpaid pay and allowances, or person to receive DEERS. If adding dependents, failure to update DEERS will result in late DEERS could result in continued deductions of premiums for the Family to a person who is no longer eligible.</p> | |
| Use this worksheet to add/remove up to two dependents, complete additional worksheets as necessary | | | |
| <p>I want to: <input type="checkbox"/> 4. Add dependent, (see documentation requirements on reverse)</p> | | <p><input type="checkbox"/> 5. Remove dependent (Attach documentation as applicable and enter reason below)</p> | |
| 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. Family in case of emergency? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| <p>If adding a child who is not in your custody provide:</p> <p>17. Is custodian/spouse in the service? <input type="checkbox"/> NO <input type="checkbox"/> YES (complete 17-1, 17-2, 18, 19 & 20)</p> <p>17-1. Is custodian/spouse receiving Basic Allowance for Housing with dependents? <input type="checkbox"/> NO <input type="checkbox"/> YES</p> <p>17-2. Is custodian/spouse a member in command/boat/master? <input type="checkbox"/> NO <input type="checkbox"/> YES</p> | | 16. Name of Custodian | |
| 18. SSN | | 19. Branch | |
| 20. Unit | | 21. Monthly amount of support | |
| 22. Method of support (allowance, check, cash) | | 23. Date of divorce/separation (if applicable) | |

10/27/08 -> see attached document

Figure 2-2 Example of Proper Error Correction

F.13. Proper Signature and Dates

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 review or approving official is not acceptable. All SPO approval signatures must be listed on the SPO Authorized Personnel Roster (see Figure 2-8).

| | | |
|--|-------|---|
| Member's Signature <i>John Smith</i> | Date: | For SPO Use Only Command Checklist for Overseas Screening verified by SPO Supervisor (if applicable): |
| Supervisor's Signature | Date: | |
| Department Head's Signature | Date: | |
| Command Approval | Date: | |
| <p>Initials: _____ Date: _____</p> <p>Action Completed Initials: _____ Date: _____</p> | | se Only |

The signature must be a signature, in cursive, and not a PRINTED name. Signature lines and dates must be filled in and not left blank.

Figure 2-3 Example of Improper Signature and Date

Here each line has been signed and dated as required.

| | | |
|--|---------------------------|---|
| Member's Signature <i>John Smith</i> | Date: <i>8/15/2010</i> | For SPO U |
| Supervisor's Signature <i>Anne Jones</i> | Date: <i>8/15/2010</i> | Command Checklist for Ove by SPO Supervisor (if applic Initials: _____ Date: _____ |
| Department Head's Signature <i>Mark White</i> | Date: <i>8/17/2010</i> | Action Completed Initials: _____ Date: _____ |
| Command Approval <i>Joe Black</i> | Date: <i>8/18/2010</i> | For Transportation Initials: _____ Date: _____ Action Completed Initials: _____ Date: _____ |

PREVIOUS EDITION MAY NOT BE USED.
The CG-2000 must be prepared in original and one copy as follows:
The original is given to the SPO, and the copy is taken to the Transportation Officer.

Figure 2-4 Example of Proper Signature and Date

F.14.
**Completing
Checklists**

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 was actually completed, reviewed, and/or approved.

RECRUIT PERSRU ACCESSION CHECKLIST
RESERVE RECRUIT

RECRUIT: Smith, John ANNEXES: _____

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

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

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

| Auditor's Task | YNI Initials |
|--|--------------|
| Hire Applicant | MJ |
| Dependent Information | |
| DATE ORDERS G... T... ERP... T... ERP... | MJ |
| | MJ |
| | 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 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 Improperly Completed Checklist

RECRUIT PERSRU ACCESSION CHECKLIST

ACTIVE DUTY RECRUIT

RECRUIT: Evans, Jacob ANNEXES: _____

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

App. ID no: _____

EMPLID: _____

DEP Date: _____

Contract Term: _____

Rank/Rate: _____

Enlist Date: _____

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

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

"Sign and line", a common practice leaves it open to interpretation if the data entry person or reviewer actually performed all the tasks as indicated. This will not pass an external audit.

the recruit actually came onto Active Duty, and will not be used in the Military Entry Date Block, and are used to determine the Enlistment Date and the Expected Loss Date which is 8 years later when the enlistment is calculated.

| |
|--|
| |
| |
| |
| |
| |

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

Figure 2-6 Example of Improperly Completed Checklist

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 |

| | YN1 Initials |
|--|--------------|
| | AJ |
| | AJ |
| | AJ |
| | AJ |
| | AJ |
| | AJ |
| | AJ |
| | AJ |

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

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 Properly Completed Checklist

F.15. P&A Office Staff Active Duty and Reserve Members permanently assigned to a position in a P&A Office are granted the CG Field Admin role in DA.

P&A Office staff assignments and approval authorities must be documented on a “P&A Office Authorized Personnel Roster” showing the full name, initials, signature (in cursive), their role and date arrived at and

departed from, the P&A Office. The roster must be stored locally and continually updated with a historical chronology maintained to substantiate the approval authorities executed by these members.

| P&A Office Authorized Personnel Roster | | | | | |
|--|----------|-----------|---|---|-------------------------------------|
| Name Last, First, MI | Initials | Signature | Specify Role: Data Entry “E” or Reviewer / Approver “RA”) | Date Arrived for Duty at P&A Office | Date Departed from P&A Office |
| | | | | | |
| | | | | | |
| | | | | | |

Figure 2-8 P&A Office Authorized Personnel Roster

Section G: Direct Access User Roles

G.1. Introduction This section discusses the user roles in Direct Access (DA). Access to 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) [Requesting New User Roles User Guide](#)
- (b) [United States Coast Guard Regulations 1992, M5000.3 \(series\)](#)
- (c) [U.S. Coast Guard Certifying and Disbursing Manual, COMDTINST M7210.1 \(series\)](#)

G.3. Functional Roles Functional roles have been created to assist members with requesting user roles. These functional roles will give the user all the roles required to perform in their position. Most users no longer need to ask for specific roles. Specific roles required for these functional roles are handled at PPC.

See G.10 for a list of functional roles.

NOTE:

Functional roles are approved based on the position filled. For example, if the user request Commanding Officer and OIC functional role, PPC will verify that the user is in a Commanding Officer or OIC designated position and ensure that any other criteria is met before approving the request. If the user is not in that position, or the DA Job Data Row lists their position incorrectly, the request will be denied. All positions are verified through Direct Access Job Data.

G.4. Self Service for Command Role The Command User role (CGSSCMD) 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. Each unit must designate at least one Command user. Additional Command users should be designated based on the need to access the information listed below.

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. Command Officers and Officers in Charge should

clearly define an individual's role when making Command User designations.

When considering 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 ADT/IDT information?

E6 and below will not be authorized the CC Self Service Command role.

CAUTION:

Granting full command access may not always be necessary or appropriate. Consider granting a Functional Role. For example, for a supervisor that needs to provide input on evaluations, consider granting them the CG Enlisted Evaluation Manager functional role or if they manage reserve members, consider giving them the CG Reserve Manager.

G.5. Approving Officials

Personnel approving DA eUser access requests must be properly designated IAW Reference (b), 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 and/or investigations.

COs and OICs may route their requests to anyone within their commands having "By direction" authority to approve DA eUser requests. All systematically routed to PPC for final approval.

See Figure 2-9 for a sample "By direction" memorandum.

G.6. Required Documents

Several of the functional roles require additional source documents such as a designation memo to be submitted with the eUser request.

See G.10 for a list of functional roles to determine if a designation memo is required.

G.7. Request Waiver for Roles

If the Command determines that a member requires a role they would not normally be authorized, the Command may submit a memorandum to PPC (CSD-Roles Team). The request must state why the role is required, dates role is needed for, if applicable, and attach any supporting documentation to the request. For example, if BM1 Someone (in a Coxswain position) from STA East Coast is going to STA West Coast to fill an XPO position for 6 months. The Command may request that BM1 Someone be

authorized to receive the Executive Officer/XPO functional role, include copy of TDY orders for documentation.

G.8. Automatic Revocation of User Roles

Elevated DA user roles are automatically terminated upon reassignment of duties, such as PCS, fleet-up, or interoffice transfer. They are also terminated upon separation from the CG.

Members that are reassigned will retain CG Self-Service access. Separated members will be given CG Self Service access for 18 months following separation. This will allow the member to access payslips and year-end tax forms. Retirees will be given CG Retiree Self Service access, effective on the members retirement date.

NOTE:

If a member submits an eUser request and it is processed prior to the P&A Office completing the transfer transactions, the system will automatically terminate the user's roles that were previously requested and processed.

In accordance with laws and policies, all members with roles greater than CG Self Service Member are required to recertify their roles yearly. Direct Access will send the member "Alerts" at 90, 60, and 30 days prior to roles being deleted. If the member does not recertify timely, Direct Access will remove all roles except CG Self Service Member and the member will need to submit a new request for roles. See the [Recertifying DA User Roles and Functions](#) guide to recertify your roles.

G.9. 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 PPC at PPC-DG-CustomerCare@uscg.mil. If immediate revocation is requested, contact PPC at 1-866-772-8724.

If a designated Payment Approving Official (PAO) from the Servicing Personnel Office is removed from their PAO position, the CO must notify PPC (CSD – Roles Team) by memorandum and must cite the reason(s) and effective date.



Commander
United States Coast Guard
Force Readiness Command

Coast Guard Island
Alameda, CA 94501
Phone (510) 437-2541

1570

MEMORANDUM

From: J. B. Smith, CAPT
CG FORCECOM

To: I. B. Smith, YN1

Subj: AUTHORITY TO SIGN "BY DIRECTION"

Ref: (a) United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series)
(b) The Coast Guard Correspondence Manual, COMDTINST M5216.4 (series)
(c) Administrative Remarks, Form CG-3307, COMDTINST 1000.14 (series)
(d) Personnel and Pay Procedures Manual, PPCINST M1000.2 (series)

1. In accordance with references (a) thru (d), you are authorized to sign "By Direction" of the Commander, Force Readiness Command, on official correspondence, forms, documents, CG-3307's, DA Roles Requests, and certifications in connection with your duties as the Admin Officer.
2. You are directed to use your discretion in exercising this authority and shall refer any controversial or policy material up the chain of command for signature.
3. This authority extends only to matters directly related to the duties you are assigned while at this unit. You are to comply with the guidelines listed in references (a) thru (d) while signing "By Direction".
4. This authority will terminate upon your relief or transfer from your current assignment.

#

FIRST ENDORSEMENT

From: I. B. Smith, YN1

To: J. B. Smith, CAPT
CG FORCECOM

1. I hereby acknowledge the above designation.

#

Figure 2-9 Sample “By Direction” Memorandum List of

G.10. List of Functional Roles

| DA User Role | Description / Use |
|--|--|
| YN Roles | |
| CG Admin (YN-PERS Only) | This role is for units that have NOT went through PSI integration. Authorized for PERS and YNs. |
| CG Admin (PSI Enhanced) (YN3-YN2 Only) | This role is for units that have went through PSI integration. Authorized for YNs |
| CG Admin (PSI Enhanced) (YN2-PERS w/”By Dir” Only) | This role is for units that have went through PSI integration. Authorized for PERs and YNs that have “By Direction” authority. |
| CG Legal Yeoman | This role is authorized to YNs assigned to Legal Offices. |
| CG SPO Technician | The role is authorized for YN2s and below assigned to a SPO. |
| CG SPO Technician (CG Academy) | The role is authorized for YN2s and below assigned to the SPO at the CG Academy. |
| CG SPO Technician (Cape May RSPO) | This role is authorized for YN2s and below assigned to the SPO at TRACEN Cape Pay. |
| CG SPO Technician (PSC-RPM-3) | The role is authorized for YN2s and below assigned to the SPO at PSC-RPM-2. |
| CG SPO Auditor | This role is authorized for YN1s and above assigned to a SPO. <i>YN2s may request this role if they have been given PAO authority.</i> |
| CG SPO Auditor (CG Academy) | This role is authorized for YN1s and above assigned to a SPO at the CG Academy. <i>YN2s may request this role if they have been given PAO authority.</i> |
| CG SPO Auditor (Cape May RSPO) | This role is authorized for YN1s and above assigned to the RSPO at TRACEN Cape May. <i>YN2s may request this role if they have been given PAO authority.</i> |
| CG SPO Auditor (PSC-RPM-3) | This role is authorized for YN1s and above assigned to the SPO at PSC-RPM-2. <i>YN2s may request this role if they have been given PAO authority.</i> |
| | |

| Misc and Collateral Duty Roles | |
|---------------------------------------|---|
| CG Urinalysis Coordinator | This role is authorized for personnel designated as Urinalysis Coordinators. Designation memo must be attached to request |
| CG Training Officer | This role is authorized for personnel designated as Training Officers. Designation memo must be attached to request. |
| CG Enlisted Evaluation Manager | This role is authorized for members E6 and above that submit/approve evaluations for subordinates. |
| CG Educational Services Officer | This role is authorized for members in permanent ESO positions or those that are designated as ESO. Designation memo must be attached to request for designated ESOs. |
| CG CGIS/CGCIS Investigator | This role is for members assigned to CGIS Investigator, CGIS Analyst, and CGCIS Investigator positions. For personnel assigned to CGIS units, you must route your request through CGIS Mission Support Division Personnel Officer, P&A Division Chief, or Command Security Officer. |
| CG Passport Acceptance Agent | This role is authorized to personnel designated as Passport Acceptance Agents. Designation memo stating designation and all training requirements has been met must be attached to request. |
| CG Command Security Officer | his role is authorized for personnel that have been designated as a Command Security Officer. Designation memo must be attached to request. |
| CG Security Specialist (C5ISC) | This role is authorized for Security Specialist assigned to C5ISC. |
| CG Security Specialist (SECCEN) | The role is authorized for Security Specialist assigned to SECCEN. |
| CG Roles Recertification | This role is used to recertify user accounts. |
| CG Reserve Manager | This role is authorized for personnel that support reserve members. |
| CG Roles Recertification | This role is used to recertify user accounts. |

| Command and Command Staff Roles | |
|---|---|
| Commanding Officer & OIC | This role is for members assigned to Commanding Officer and Officer in Charge positions. <i>Functional role includes CGSSCMD, Disciplinary Actions View Only, and Training Officer roles. Training Officer designation memorandum is not required to be submitted.</i> |
| XO/XPO Gold & Silver Badge MC | This role is for members assigned to Executive Officer, Executive Petty Officer, Gold and Silver Badge Master Chiefs. <i>Function role includes CGSSCMD and Disciplinary Actions View Only roles.</i> |
| CG Senior Reserve Officer (SRO) | This role is approved for personnel assigned as a SRO. |
| CG Senior Enlisted Reserve Advisor (SERA) | This role is approved for personnel assigned as a SERA. |
| CG Rating Force Master Chiefs – Supervisors | This role is authorized for personnel assigned as supervisors to Rating Force Master Chiefs. |
| CG Rating Force Master Chiefs | This role is authorized for personnel assigned as Rating Force Master Chiefs. |
| CG Mobilization Roles | |
| CG Mobilization View Only | The role is authorized for members that need view only access to Mobilization components |
| CG Mobilization Resume Endorser | This role is authorized for members that endorse Mobilization resumes. |
| CG Mobilization Processor | This role is authorized for members that process Mobilization requests. <i>Provides access to Mobilization components, reports, and the ability to approve Mobilization requirements.</i> |
| CG Mobilization Approver | This role is authorized for members that approve Mobilization requests. <i>Provides access to Mobilization components, reports, and the ability to approve and cancel Mobilization requirements.</i> |
| CG Mobilization Administration | This role is authorized to members in charge of surge staffing at AREA, District, LOGCOM, and PSC units. This role may be approved to members at other units on a case-by-case basis and must be routed to separately to PSC-PSD-SSS as the approver, with justification listed. |

| | |
|--|--|
| | <i>Provides access to Mobilization setup tables, components, reports, and the ability to approve and cancel Mobilization requirements.</i> |
| Recruiting Staff Roles | |
| CG Recruiter in Charge | This role is authorized for personnel assigned as Recruiters In Charge. Request must be routed to CG Recruiting Command P&A Branch Chief or Chief (YNC) |
| CG Recruiter | This role is authorized for personnel assigned as Recruiters. Request must be routed to CG Recruiting Command P&A Branch Chief or Chief (YNC). |
| CG Recruiting Command Regional Leader | This role is authorized for personnel assigned to CG Recruiting Command as Regional Leaders. Request must be routed to CG Recruiting Command P&A Branch Chief or Chief (YNC). |
| CG Recruiting Command HQ Personnel | This role is authorized for personnel assigned to CG Recruiting Command HQ. Request must be routed to CG Recruiting Command P&A Branch Chief or Chief (YNC). |
| Training and School Staff Roles | |
| CG TQC Scheduler | This role is authorized for personnel assigned to ETQC |
| CG Training Facilities | This role is authorized for personnel assigned to Training Centers to enter courses, course sessions, equipment, manage rosters, etc. |
| CG Training Program Managers (TAS) | This role is authorized for personnel assigned as training program managers, typically at the Headquarters level, to allow them to manage course attendees. |
| Work-Life Staff Roles | |
| CG Sexual Assault Specialist | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |

| | |
|--|--|
| CG Sexual Assault Program Manager | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Special Needs Program Manager | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Substance Abuse CDAR | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Substance Abuse SAP | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Substance Abuse Program Manager | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Victim Witness Specialist | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Victim Witness Program Manager | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Wkpl Violence & Threatening Behavior Specialist | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Wkpl Violence & Threatening Behavior Prgm Mgr | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Employee Assistance Specialist | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Employee Assistance Program Manager | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Family Advocacy Specialist | This role is authorized for personnel assigned to Work-Life staff. Request |

| | |
|--|--|
| | must be approved by Work-Life Division Deputy. |
| CG Family Advocacy Program Manager | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG Family Resource Specialist | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG CISM Specialist | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| CG CISM Program Manager | This role is authorized for personnel assigned to Work-Life staff. Request must be approved by Work-Life Division Deputy. |
| Other Program Roles | |
| CG HS Medical Records Manager | This role is for medical (clinic) members to access the Member Info Report |
| CG Housing Representative | This role is authorized for members assigned to Housing Offices to access information needed to manage housing eligibility. |
| CG Mutual Assistance HQ Allotment Managers | This role is authorized for member assigned to CG Mutual Assistance HQ Office to provide access to enter CGMA allotments in DA |
| CG Manpower Determination (MRD) Office | This role is authorized for members assigned to the CG Manpower Determination (MRD) Office. |
| CG-811 PAL | This role is authorized for members assigned to the CG-811 PAL Team. |
| PSC Staff Roles | |
| CG PSC-EPM Assignment Officer | This role is authorized for Assignment Officers assigned to PSC EPM. |
| CG PSC-EPM Assignment Officer CAC | This role is authorized for personnel assigned to PSC EPM as the CAC. |
| CG PSC-EPM Assignment Officer CAC-5 | This role is authorized for personnel assigned to PSC EPM-CAC5. |

| | |
|---|--|
| CG PSC-OPM Assignment Officer | This role is authorized for personnel assigned as Assignment Officers at PSC OPM-2. |
| CG PCS-RPM Assignment Officer-Enlisted | This role is authorized for personnel assigned to PSC RPM-2. |
| CG PCS-RPM Assignment Officer – Officer | This role is authorized for personnel assigned to PSC RPM-2. |
| PPC Staff roles | |
| CG PPC DA Helpdesk | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Bonus Team Technician | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Bonus Team Auditor | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Pay Team Technician | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Pay Team Auditor | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Payroll Specialist | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Payroll Manager | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Payroll Maintenance Manager | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS TSP Team Technician | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS TSP Team Auditor | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC MAS Branch Chief | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC TVL Audit Team Technician | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC TVL Audit Team Supervisor | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC TVL Systems Team | This role is authorized for personnel assigned to the Pay & Personnel Center. |
| CG PPC User Access Final Approver | This role is authorized for personnel assigned to the Pay & Personnel Center (CSD Roles Team). |
| | |

Section H: The Travel Claim Process and Responsibilities

H.1. **Introduction** This section outlines the travel claim process and shows the responsibilities associated with each stage of the process.

H.2. **References**

(a) [Records & Information Management Program Roles and Responsibilities, COMDTINST 5212.12 \(series\)](#)

(b) [Coast Guard Supplement to the Joint Travel Regulations \(CGS-JTR\), COMDTINST M4600.17 \(series\)](#)

H.3. **ETS Process and Responsibilities** The table below shows the automated E-Gov Travel System ([ETS](#)) travel claim process and responsibilities.

| Stage | Who Does It | What Happens |
|-------|---------------|--|
| 1 | Traveler | <p><u>For TDY Authorization</u>: Prior to departure:</p> <ul style="list-style-type: none"> • Completes request for TDY Authorization and "Sends to Approver" to submit to Funds Manager to ensure funds are available. • Completes request for TDY Advance and "Sends to Approver" to submit to Funds Manager to ensure funds are available (if applicable). <p><u>For TDY Voucher</u>: Within 3 days after completion of TDY travel IAW Reference (b):</p> <ul style="list-style-type: none"> • Completes request for TDY Voucher and "Sends to Approver: for approval. • Uploads required receipts IAW Reference (b). • Works directly with their Approvers to complete vouchers, resolve errors, and obtain information regarding voucher status, audits, supplemental vouchers, travel policy, or requests for explanation of travel payments. • Retains copy of travel voucher, orders, and receipts: Member must retain copies for 6 years, three months IAW Reference (a). |
| 2 | Funds Manager | <p><u>For TDY Authorization</u>: Prior to departure:</p> <ul style="list-style-type: none"> • Reviews request for TDY Authorization. Obligates funds, completes Project, Organization, Expenditure and Task (POET) details, and then Submits to Approver. • Reviews request for TDY Advance. Obligates funds, completes POET details, and then "Submits" to Approver, (if applicable). |

| | | |
|---|------------------|--|
| 3 | Approver | <p>Within 2 days of receipt from Funds Manager, reviews Authorization and Voucher in ETS for accuracy and completeness.</p> <ul style="list-style-type: none"> • If incorrect, returns to Traveler with remarks to correct. • Ensures funds are obligated prior to approval. • If accurate and complete, approves in ETS, releasing it to FSMS. • Works directly with their members to complete vouchers, resolve errors, and obtain information regarding voucher status, audits, supplemental and reclaim vouchers, travel policy, or requests for explanation of travel payments. • If an issue cannot be resolved at the Approver level, the Approver will submit a trouble ticket to PPC. • Retains copy of travel voucher, authorization, and receipts: Unit must retain copies for 6 years, three months IAW Reference (a). |
| 4 | PPC (TVL) | <p>Daily conducts a review of any Authorizations and Vouchers that meet High Risk criteria.</p> |
| 5 | PPC (TVL) SPO | <p>Conducts audit to verify it is complete, accurate and IAW JTR/FTR.</p> <ul style="list-style-type: none"> • If underpayment due to traveler and/or AO oversight, the responsibility is on the traveler to submit a supplemental voucher to receive entitlement. • If overpayment due to system error or due to traveler and/or Approver oversight, the traveler submits a supplemental to establish collection of debt. |

Table 2-5 ETS Process & Responsibilities

H.4. Benefits of using ETS

Utilizing stored data from the [ETS](#) Travel Authorization to complete the [ETS](#) Voucher for travel settlement eliminates paperwork and improves data accuracy in the following ways:

- Increased percentage of correct entitlements and payments for travelers.
- Per Diem rates are available to ALL system users on a “real-time” basis.
- Travelers can verify/inquire about the status of all vouchers on-site by accessing the [ETS](#) My E2 page.
- A single system creates and produces ALL travel documents necessary to execute government travel.
- Eliminating manual processes decreases reimbursement cycle time.
- If voucher is pulled for “Audit” and documentation is uploaded the traveler will not be notified unless missing documentation is required.

H.5. Critical Elements of ETS

These “Critical Elements” should be addressed to successfully manage the [ETS](#) process at your unit:

- Number of Approvers. Unit commands should designate enough Approvers to establish internal controls to ensure only mission critical travel is approved and cannot be achieved by a less-expensive method, ensure funds are properly managed and obligated, and approve only legal and accurate travel transactions. Approvers should have enough time to ensure documents are carefully reviewed before approval and not signed merely as a formality. The number of Approvers should be dependent upon mission, number of travelers, other duties assigned, and avoiding process delays. It is recommended that one Approver be designated in each section, or otherwise at a ratio of 1:12.
- Obligating Travel Funds. [ETS](#) requires funds be obligated to generate and approve an Authorization and Voucher. Unit commands must designate Funds Managers within ETS to obligate funds and update POET details on the Authorization. Develop internal procedures that streamline and coordinate this activity at your unit
- Empowering ETS Approvers. The [ETS](#) Approver cannot approve an ETS transaction without first having a valid POET details. Develop internal procedures that streamline and coordinate this activity at your unit.
- Record-keeping. The unit controlling the authorization of travel must maintain copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all supporting documents relating to official travel IAW Reference (a). These official travel records shall be maintained for a period of six years, 3 months IAW Reference (a).
- The traveler is required to maintain complete and accurate records of all travel claims for 6 years and 3 months IAW Reference (a).
- Airline. It is mandatory policy that all travelers use the designated Travel Management Center for all official transportation requirements. Failure to do so could result in transportation reimbursement being denied or limited to the City Pair contract rate and goes against GTCC policy.
- Hotel Reservations. When making lodging reservations, travelers must use the Travel Management Center. Third party lodging reimbursement is authorized for hotel lodging obtained through an online booking agent only when the TMC cannot find lodging. The TMC will email the traveler the non-availability and must be verified by the Approver. The traveler can provide a documented itemized receipt for room costs from the hotel or online booking agent showing the following charges: daily hotel room costs, daily hotel taxes, and daily miscellaneous fees,

if applicable. Please see GTCC manual for specific regulations when booking outside the TMC.

- Rental Car/GARS. It is mandatory policy that a traveler uses an available TMC to obtain the least expensive authorized/approved rental vehicle. Use of a company and rental car location participating in the Defense Travel Management Office (DTMO) rental car agreement is encouraged because its government rate includes full liability and vehicle loss and damage insurance coverage for the traveler and the government. DTMO vehicle rental agreements apply to all Uniformed Services. When an available TMC is not used, reimbursement is limited to what the cost would have been if a TMC had made the rental vehicle arrangements. When filing a travel claim, list the rental car charges separate from the rental car Government Administrative Rate Supplement (GARS) charge.
- User Identification and Passwords. User identification and passwords are the most common method of controlling access to the system. Identification involves the identifier or name by which the user is known to the system (e.g., user). Each user should have a unique user identification (normally the USCG- and the member’s Employee ID Number: USCG-1234567) and password. Passwords must be a minimum of 8 characters and a maximum of 12 characters. Passwords must contain at least one numeric character, one upper case character, one lower case character, and one special character.
- Security Questions. The user is required to set up two security questions in the event the user forgets their password. The security information will be used to verify the user’s identity and assist in resetting the user’s password.

H.6. ETS User Categories/Privileges

ETS users may belong to more than one category, if authorized. All ETS users’ initial view when they log in as a traveler is My E2 ‘At a Glance’. If the user is authorized more than one type of access (Arranger, Funds Manager, or Approver) they must navigate to the appropriate tab. After completing actions as an Arranger, Funds Manager, or Approver, the user may return to their My E2 page or select Logout from the drop-down to exit E2.

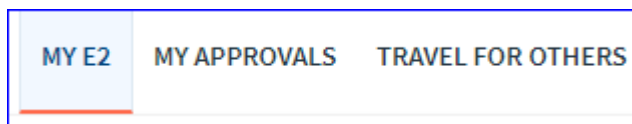


Figure 2-10 View in ETS

There are five categories of [ETS](#) users, each with a different role and responsibility. These ETS user categories are:

| User Category | ETS Menu Selection | This privilege can... | How to set privilege |
|----------------------|---|---|---|
| TRAVELER | My E2 | Allows a traveler to create their own travel documents, make reservations, and forward to the appropriate designee. | Set automatically, this is a basic, universal user setting. |
| ARRANGER | Travel for Others | Allows a traveler to designate another user (Arranger) to create, sign for, and forward travel documents to the appropriate designee. | The traveler would designate an arranger, someone of the same unit, in the E2 user profile. |
| NOTE: | A member cannot serve as Arranger, Funds Manager and Approver. | | |
| FUNDS MANAGER | My Approvals | Allows the Funds Manager to enter POET details and approve the travel documents to go to the final Approver. | Each Command Unit designates enough Funds Managers to keep ETS work flowing. |
| APPROVER | My Approvals | Allows an Approver to approve travel documents. Approvers ensure that the mission was completed and that travel expenses were reasonable, justified, and consistent with the mission. | Each Command unit designates enough Approvers to keep ETS work flowing. |
| ADMINISTRATOR | My E2 – Administer Users | Allows the user to create and delete E2 users, unlock users, and configure approval and routing of travel documents and manage settings. | PPC Travel role |

Table 2-6 ETS User Categories & Privileges

H.7. The Approver Role

The Approver authorizes travel, approves authorized expenses and forwards travel vouchers in [ETS](#). Each unit must designate Approvers to approve their [ETS](#) transactions. Remember: Approvers are required to electronically possess the authorization and all required receipts for the electronic approval of vouchers. Once approved, all documentation shall be retained by both the traveler and the Command Unit for six years and three months IAW Reference (a).

H.8. Who can be an Approver?

Any E-5, GS-7, or WS-8 and above who possesses an understanding of Government travel regulations and DHS/CG travel policy can be designated as an Approver.

H.9. Approver Duties

Approvers must:

- Confirm each individual traveler possesses a GTCC when commencing official travel.
- Authorize and approve travel in support of the required mission(s).
- Make certain that directed travel is performed in the most efficient manner.
- Determine that travel expenses were necessary, reasonable, justified, and consistent with completing the assigned objective or mission.
- Deny/disapprove travel and travel expenses that DO NOT adhere to [JTR/FTR](#).
- Review and approve travel documents within two days of receipt.
- Review the authorization request and all required receipts for the advance or voucher prior to electronic approval in [ETS](#). Once approved, all documentation shall be retained by both the traveler and Command Unit for six years and three months IAW Reference (a).

NOTE:

The unit controlling the authorization of travel must maintain copies of records relating to reimbursing individuals, such as travel authorizations, per diem vouchers, and all supporting documents relating to official travel. These official travel records shall be maintained for a period of six years and three months IAW Reference (a).

H.10. Terminating Approver Privileges

A Command Unit must notify their unit Administrator to terminate ETS Approver designation and privileges.

H.11. **Administrator Duties** Administrators have the authority to initialize user credentials, unlock users, create, edit, and delete profiles, and delete users in [ETS](#). Administrator permissions correspond with Administrator level (Minor Customer, Major Customer, Organization, and Agency).

H.12. **Terminating Administrator Privileges** To terminate Administrator privileges, the Command Unit submits a PPC customer service ticket. Administrator privileges are terminated based on the date the ticket was worked.

NOTE:

It is the Command Unit responsibility to ensure all members of the unit with elevated rolls are validated annually.

H.13. **PPC ETS Responsibilities** PPC (TVL) provides the following support services:

| Service | Description |
|---------------------------|--|
| Technical Support | Assistance troubleshooting ETS software errors, providing feedback to the field, and reporting corrections and enhancements to programmers. |
| Travel Entitlement Review | Review any authorization or voucher requesting High Risk entitlements. |
| ETS Liaison | Act as liaison by coordinating and reviewing software updates and upgrades ensuring JTR/FTR compliant and processing accuracy and resolving reported errors. |
| FINCEN Liaison | Act as liaison by coordinating and releasing all travel debts to FINCEN for processing. |
| Resources | Travel Branch maintains several valuable links on travel entitlements at: https://www.dcms.uscg.mil/ppc/travel/ |

Table 2-7 PPC (TVL) Support Services

H.14. **FINCEN ETS Responsibilities** CG FINCEN provides the following support services:

| Service | Description |
|-----------------|--|
| Travel Debts | FINCEN processes all travel debts. |
| FINCEN Websites | Visit FINCEN's sites at: <ul style="list-style-type: none"> • https://www.uscg.mil/fincen/Payment/ • https://cgweb.fincen.uscg.mil. |

Table 2-8 FINCEN Support Services

Section I: ETS Records Maintenance

- I.1. **Introduction** This section provides the information regarding ETS records maintenance.
-
- I.2. **Reference** (a) [Records & Information Management Program Roles and Responsibilities, COMDTINST 5212.12 \(series\)](#)
-
- I.3. **Traveler** It is the traveler's responsibility to manage records for all travel transactions related to [ETS](#). This includes printing travel authorizations BEFORE traveling, printing claims AFTER approval by the Approver and retaining authorizations, vouchers (both with signatures of traveler and Approver) and required receipts for a period of not less than six years and three months following completion of travel IAW Reference (a).
-
- I.4. **Travel Document Verification** Prior to approving transactions for claim settlement in [ETS](#), the Approver must have all supporting documentation, including printed original signed authorization, claim and receipts, and verify the data entered in [ETS](#) is accurate. Without the original travel authorization, amendments, receipts, and advance requests, the Approver should not approve the transaction for payment. Once approved, all documentation shall be returned to the traveler and informed to maintain for six years and three months IAW Reference (a).
- The unit controlling the authorization of travel must maintain copies of records relating to reimbursing individuals, such as travel authorization, per diem vouchers, and all supporting documents relating to official travel. These official travel records shall be maintained for a period of six years, 3 months IAW Reference (a).
-
- I.5. **Records Retention** The traveler must retain travel claim records (listed below) for six years and three months including the following:
- Original Travel Authorization with signatures of the traveler and Approver.
 - Amendments to the Travel Authorization, if applicable.
 - Voucher with signatures of the traveler and Approver. When the traveler files an electronic voucher in [ETS](#), the traveler's and Approver's printed name and electronic signatures appear. It's not necessary to re-sign these claims in ink.
 - Receipts as required by current regulation (JTR/DOD policy). A receipt must show what and when specific services were rendered or articles purchased, and the unit price. See JTR, section 010301. Receipts are required for:

- Lodging expenses regardless of dollar amount
- Any claimed expenditures of \$75.00 or more.
- Rental vehicles and commercial travel (airfare, train, etc.), regardless of cost.

NOTE:

See Section 4.K.7 of this Publication for guidance on the documentation necessary in the event a required receipt is lost or missing.

Section J: moveLINQ by mLINQS

J.1. Introduction This section describes the PCS processes for using moveLINQ developed by mLINQS LLC., to be the first comprehensive, fully functional web-based application designed expressly to manage government PCS relocation.

J.2. References

- (a) [Joint Travel Regulations \(JTR\)](#)
- (b) [Title 41, Chapter 302 Relocation Allowances](#)
- (c) [Records & Information Management Program Roles and Responsibilities, COMDTINST 5212.12 \(series\)](#)
- (d) [Coast Guard Supplement to the Joint Travel Regulations \(CGS-JTR\), COMDTINST M4600.17 \(series\)](#)
- (e) [mLINQS PPC Travel website](#)

J.3. Authorization All PCS claims will be calculated in the [mLINQS](#) system via CAC card log on. Please follow the [mLINQS “Single Sign On”](#) user guide per Reference (e) for access via CAC card.

J.4. mLINQS Access To request mLINQS approver access, please click on the [PPC Customer Care Ticket Template for mLINQS](#) found in Reference (e).

NOTE:

All YNs/ Admin E4 and above who have completed the required mLINQS training may have access to proxy members PCS claims in mLINQS. ONLY AOs E5/GS7 and above may input and/or approve authorizations in mLINQS.

J.5. mLINQS Guides All mLINQS user guides are available per Reference (e) and require access to the CG SharePoint online.

J.6. mLINQS Training A training video and website demo are also available per Reference (e).

J.7. PCS Process Refer to Chapter 4 of this publication for all aspects of PCS travel.

Section K: ETS Accounts non-Coast Guard Travelers

K.1. Introduction This section describes the processes, procedures and authorizations necessary for ETS account profile and FINCEN deposit information for any traveling personnel who are not assigned an EMPLID in Direct access .

K.2. References (a) [Joint Travel Regulations \(JTR\)](#)
(b) DHS Chapter 7 of the Financial Management Policy Manual (FMPM)

K.3. Authorization Travelers will need to complete and send the Supplier [Maintenance Request Form](#) as listed in the directions on the form.

K.4. Process Frequently traveling non-CG members must use the following steps:

| Stage | Who Does It | What Happens |
|-------|-----------------|--|
| 1 | Non-CG traveler | Submits a completed Supplier Maintenance Form to FINCEN - Form |
| 2 | FINCEN | Will provide a Supplier ID for use in building ETS Profile |
| 3 | PPC (TVL) | PPC will build the non-Traveler profile |

Table 2-9 Process for Non-CG Member to Request FSP

K.5. Full Signature Proxy Responsibilities

The FSP must:

- Complete travel submissions on behalf of the non-CG Traveler into ETS IAW policy.
- Upload all required documentation and forward to the AO for approval.
- Once notified by ETS of claim processing/kick back, acquire documentation and resubmit for processing.

NOTE:

The form requires password protection and 2 emails. 1 email with the encrypted form and 1 with the password. Directions and email address to send the from to can be found on the form.

Please allow 60 days for processing the requests.

**Financial Systems Modernization Solution (FSMS)
 Supplier Request Form**

Attention Coast Guard, TSA and CWMD members:

This form is used for FSMS Supplier Requests, Electronic Fund Transfer and Automated Clearing (ACH) payments. Recipients of these payments should bring this information to the attention of their financial institution. **This form is for FSMS only.**

Attention Commercial Vendors:

For commercial vendors, please register your EFT/ACH information through the System for Award Management web site at this address: www.sam.gov

Email Submission Instructions:

1. Fill out Section 1 and then fill out the section that pertains to your request.
2. Add **password protection** to PDF file.
3. Email PDF file to FIN-SMB-FSMS-VendorSupport@uscg.mil
 Subject: EFT/ACH Form (Last name).
4. Email the **password** to FIN-SMB-FSMS-VendorSupport@uscg.mil
 Subject: Additional Information (Last name).

Note: Two emails are required. The **password protected** PDF and the **password** must be sent separately. Include your last name in the subject line of both emails.

For any questions/assistance please email: FIN-SMB-FSMS-VendorSupport@uscg.mil

Privacy Act Statement

The following information is provided to comply with the Privacy Act of 1974 (P.L. 93-579). All information collected on this form is required under the provisions of 31 U.S.C. 3322 and 31 CFR 210. This information will be used by the Treasury Department to transmit payment data, by electronic means to member's financial institutions. Failure to provide the requested information may delay or prevent the receipt of payments.

| AGENCY INFORMATION | |
|---|--|
| FEDERAL PROGRAM AGENCY COAST GUARD FINANCE CENTER | AGENCY IDENTIFIER USCG |
| ADDRESS 1430 KRISTINA WAY | CITY, STATE, POSTAL CODE CHESAPEAKE, VA, 23326 |
| CONTACT PERSON CUSTOMER SERVICE | TELEPHONE NUMBER (757) – 523 – 6940 |

Section 1

*****THE FOLLOWING FIELDS ARE REQUIRED*****

**** VENDOR TYPE:** Select a Vendor Type

**** AGENCY:** **USCG** **TSA** **CWMD**

**** THIS FORM IS BEING SUBMITTED BY THE:** **Payee (Self)** **On Behalf of Payee**

SUBMITTER'S NAME: **SAME AS BELOW**

SUBMITTER'S TELEPHONE NUMBER: **SAME AS BELOW**

SUBMITTER'S EMAIL ADDRESS: **SAME AS BELOW**

This information will expedite processing this request should we need any additional information.

Figure 2-11 Sample FSMS Supplier Request Form

Section 2

| TRAVELER'S PAYEE INFORMATION | | |
|---|---|--------------------|
| NAME | SSN OR TAXPAYER NO. | Re-Enter |
| ADDRESS | | |
| CITY | STATE | POSTAL CODE |
| PHONE NUMBER | DATE | |
| EMAIL ADDRESS | | Re-Enter |
| TYPE OF TRAVELER | <input checked="" type="radio"/> IMMEDIATE <input type="radio"/> INVITATIONAL | |
| BANK NAME | | |
| ROUTING TRANSIT NUMBER (9 DIGIT NUMBER) | | |
| DEPOSITOR ACCOUNT NUMBER | | |
| TYPE OF ACCOUNT | <input checked="" type="radio"/> CHECKING <input type="radio"/> SAVINGS | |
| IS THIS ACCOUNT THE SAME AS THE TRAVELER'S PAYROLL ACCOUNT? | | |
| <input checked="" type="radio"/> YES <input type="radio"/> NO | | |
| TSA TRAVELER MUST ENTER SPONSOR/BENEFITTING ORG | | |

Section 3

| TRAVELER'S GOVERNMENT ISSUED CREDIT CARD INFORMATION (IF APPLICABLE) |
|---|
| ACCOUNT NUMBER |

Section 4

| USCG AUXILIARY BANKING INFORMATION (USCG ONLY) | | |
|--|---|--------------------|
| COAST GUARD – AUXILIARY – ALC 70060000 MUST ENTER AUXILIARIST MEMBER ID | | |
| NAME | SSN OR TAXPAYER NO. | Re-Enter |
| ADDRESS | | |
| CITY | STATE | POSTAL CODE |
| PHONE NUMBER | DATE | |
| EMAIL ADDRESS | | Re-Enter |
| BANK NAME | | |
| ROUTING TRANSIT NUMBER (9 DIGIT NUMBER) | | |
| DEPOSITOR ACCOUNT NUMBER | | |
| TYPE OF ACCOUNT | <input checked="" type="radio"/> CHECKING <input type="radio"/> SAVINGS | |

Figure 2-12 Sample FSMS Supplier Request Form

Section 5

| TSA SETTLEMENT BANKING INFORMATION | | |
|--|--|--------------------------------------|
| NAME | | Only if needed |
| ADDRESS | | |
| CITY | STATE | POSTAL CODE |
| PHONE NUMBER | DATE | |
| EMAIL ADDRESS | | Re-Enter |
| BANK NAME | | |
| ROUTING TRANSIT NUMBER (9 DIGIT NUMBER) | | |
| DEPOSITOR ACCOUNT NUMBER | | |
| TYPE OF ACCOUNT | <input checked="" type="radio"/> CHECKING | <input type="radio"/> SAVINGS |
| REQUEST TO BE PAID BY CHECK | <input type="checkbox"/> | |

Section 6

| SAM VENDOR INFORMATION | |
|---|--|
| Only if needed | |
| <small>Provide DUNS and Vendor Name as it shows in System for Award Management (SAM) in the ServiceNow request and the supplier will be established with all information as it is in SAM.</small> | |
| NAME | |
| DUNS NUMBER or UEI NUMBER | |
| DUNS PLUS 4 (If Different Than Default '0000') | |
| CAGE CODE | |

Section 7

| FEDERAL VENDOR INFORMATION | | |
|--|---------------------|--------------------|
| Only if needed | | |
| <small>Provide Federal Agency Name and ALC in a ServiceNow request and the vendor team will establish the federal entity with the information as captured on the Treasury ALC listing. If a new site needs to be created under an existing Federal Agency in FSMS that data should be included in the ServiceNow ticket and if the site will have a different ALC than the header Federal Agency then that should be noted in the ServiceNow ticket.</small> | | |
| ALC | | |
| NAME | | |
| ADDRESS LINE 1 | | |
| ADDRESS LINE 2 | | |
| CITY | STATE | POSTAL CODE |
| POINT OF CONTACT | PHONE NUMBER | |

Section 8

| FOREIGN NON-SAM VENDOR INFORMATION | | |
|---|--------------|--------------------|
| NAME | | Only if needed |
| ADDRESS LINE 1 | | |
| ADDRESS LINE 2 | | |
| CITY | STATE | POSTAL CODE |
| ADDITIONAL INFORMATION | | |

Section 9

| NON-SAM & NON-FEDERAL VENDOR INFORMATION (Provide Reason in Comments Below) | | |
|--|--------------|--------------------|
| NAME | | Only if needed |
| U.S. ADDRESS LINE 1 | | |
| U.S. ADDRESS LINE 2 | | |
| CITY | STATE | POSTAL CODE |
| COMMENTS | | |

Figure 2-13 Sample FSMS Supplier Request Form

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