



DEPARTMENT OF THE AIR FORCE
WASHINGTON, DC

OFFICE OF THE UNDER SECRETARY

MEMORANDUM FOR SEE DISTRIBUTION LIST

20 Feb 2003

FROM: SAF/IAPX
1080 Air Force Pentagon
Washington, DC 20330-1080

SUBJECT: Approving Officials Responsibilities for TDY Orders and Vouchers (IAPX 03-009)
(Air Force Audit Agency Project, 99062001, Foreign Military Sales Travel Requirements)

The Air Force Audit Agency Project, Foreign Military Sales Travel Requirements, recommended SAF/IA establish oversight procedures to ensure orders approving officials (AOs) adequately review and validate travel orders and vouchers. The attached PowerPoint presentation illustrates the “who”, the “what” and the “how” on the responsibilities of an AO. This guidance sets forth procedures to ensure AOs review and validate travel orders and vouchers in compliance with DoD and Air Force directives and regulations

The SAF/IAPX POC for budget/travel issues is Roy Eason, DSN 425-8364, email: roy.eason@pentagon.af.mil. The SAF/IAPX POC for this audit/policy issues is Sheilah Boyd, DSN 425-8366, email: sheilah.boyd@pentagon.af.mil.

//SIGNED//
TERRY BATES
Chief, Security Assistance Policy Division
Dep Under Secretary, Int'l Affairs

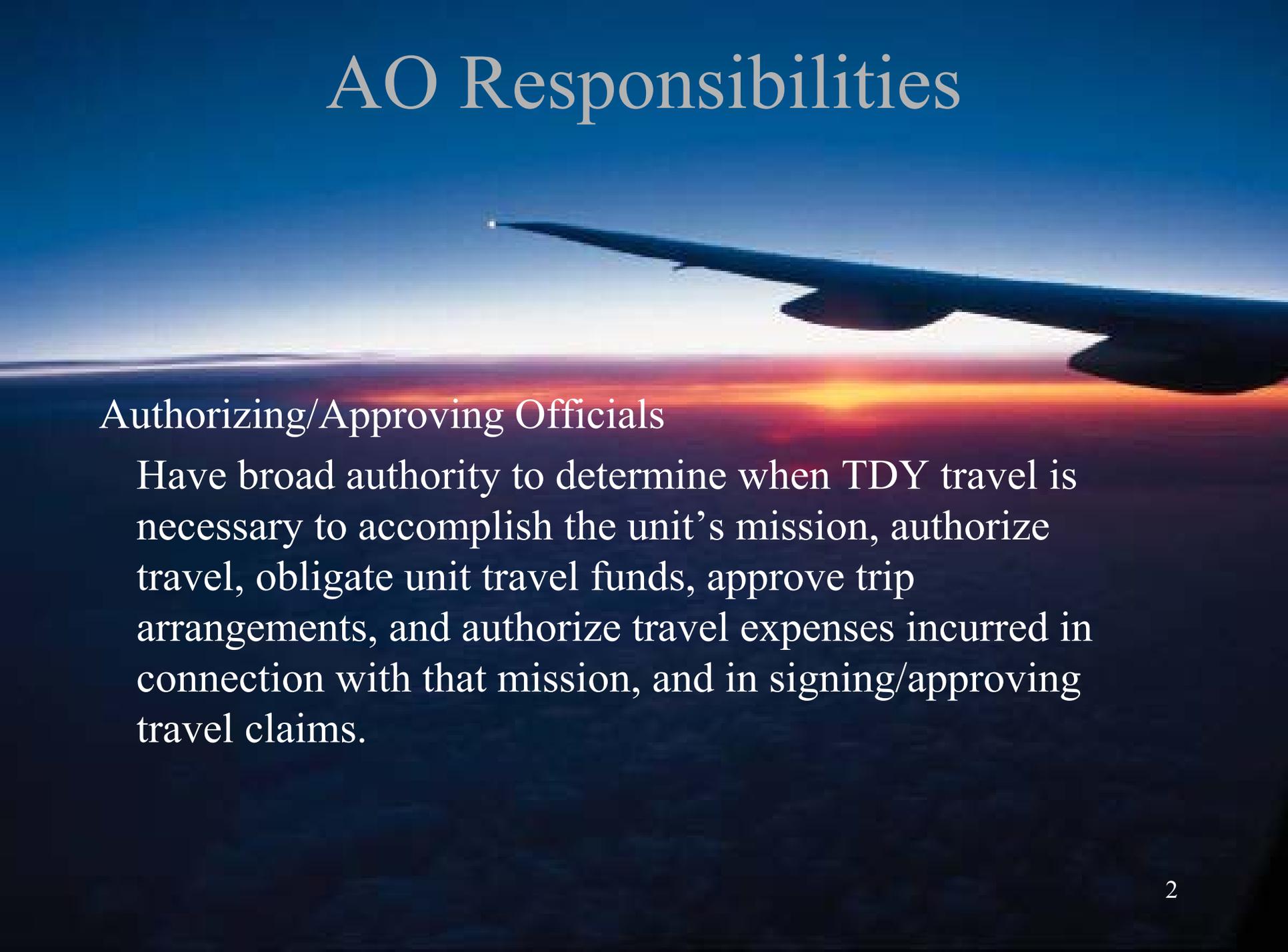
Attachments:

1. PowerPoint Presentation Slides
2. AFAA Project 99062001, Audit Finding A.2.b.
3. Distribution List

A silhouette of an airplane wing is shown against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side of the frame towards the center.

APPROVING
OFFICIAL'S (AO)
RESPONSIBILITIES
in TM/FAST

AO Responsibilities

The background of the slide features a silhouette of an airplane wing against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side towards the center of the frame.

Authorizing/Approving Officials

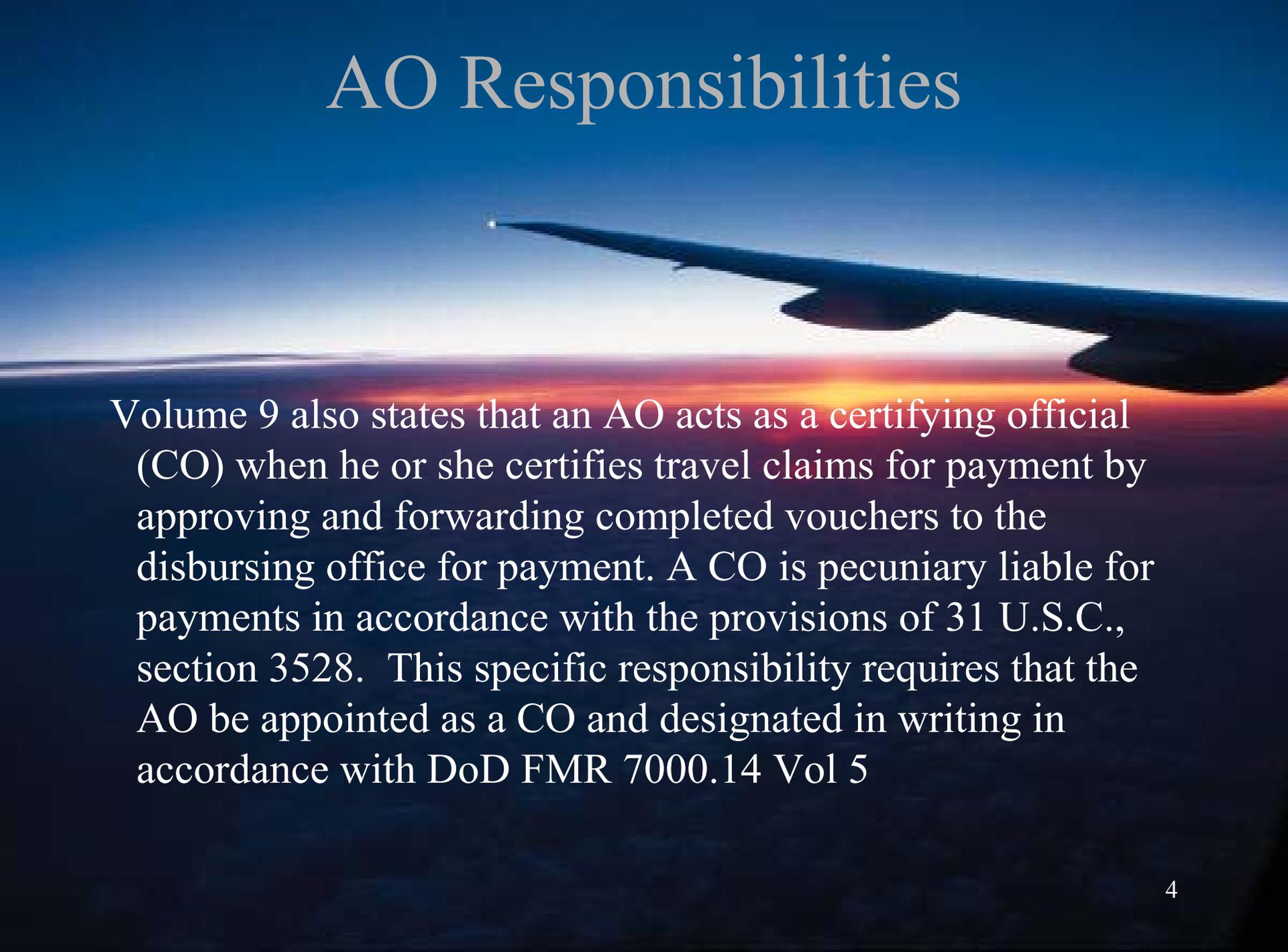
Have broad authority to determine when TDY travel is necessary to accomplish the unit's mission, authorize travel, obligate unit travel funds, approve trip arrangements, and authorize travel expenses incurred in connection with that mission, and in signing/approving travel claims.

AO Responsibilities

The background of the slide features a silhouette of an airplane wing against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side of the frame towards the center.

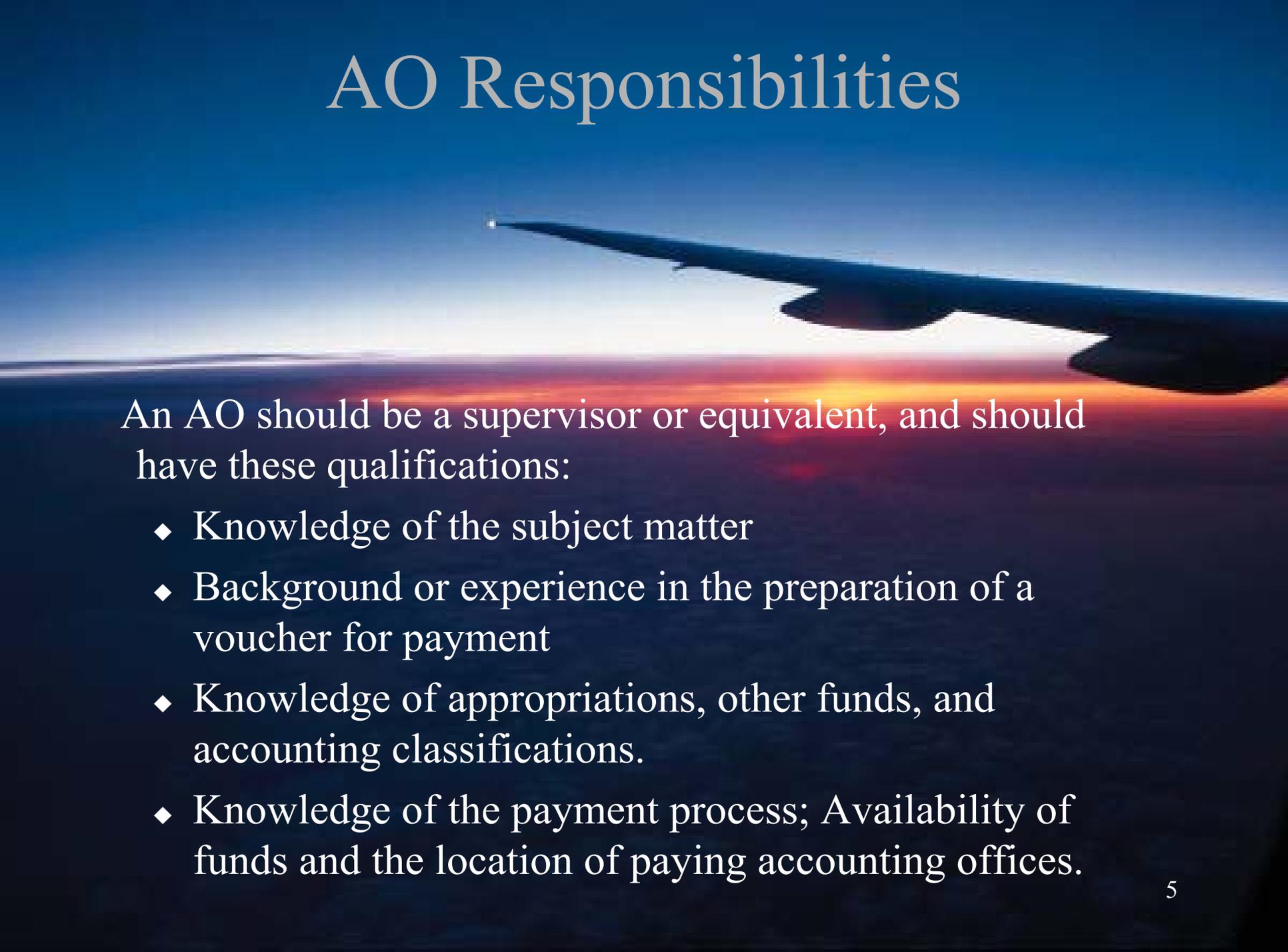
Volume 9 page xii of the Financial Management Regulation defines approving officials (AOs) as “*an official, or the designated representative, to whom final authority to issue travel orders is delegated in writing by a DoD Component.*”

AO Responsibilities

The background of the slide features a silhouette of an airplane wing against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side towards the center of the frame.

Volume 9 also states that an AO acts as a certifying official (CO) when he or she certifies travel claims for payment by approving and forwarding completed vouchers to the disbursing office for payment. A CO is pecuniary liable for payments in accordance with the provisions of 31 U.S.C., section 3528. This specific responsibility requires that the AO be appointed as a CO and designated in writing in accordance with DoD FMR 7000.14 Vol 5

AO Responsibilities



An AO should be a supervisor or equivalent, and should have these qualifications:

- ◆ Knowledge of the subject matter
- ◆ Background or experience in the preparation of a voucher for payment
- ◆ Knowledge of appropriations, other funds, and accounting classifications.
- ◆ Knowledge of the payment process; Availability of funds and the location of paying accounting offices.

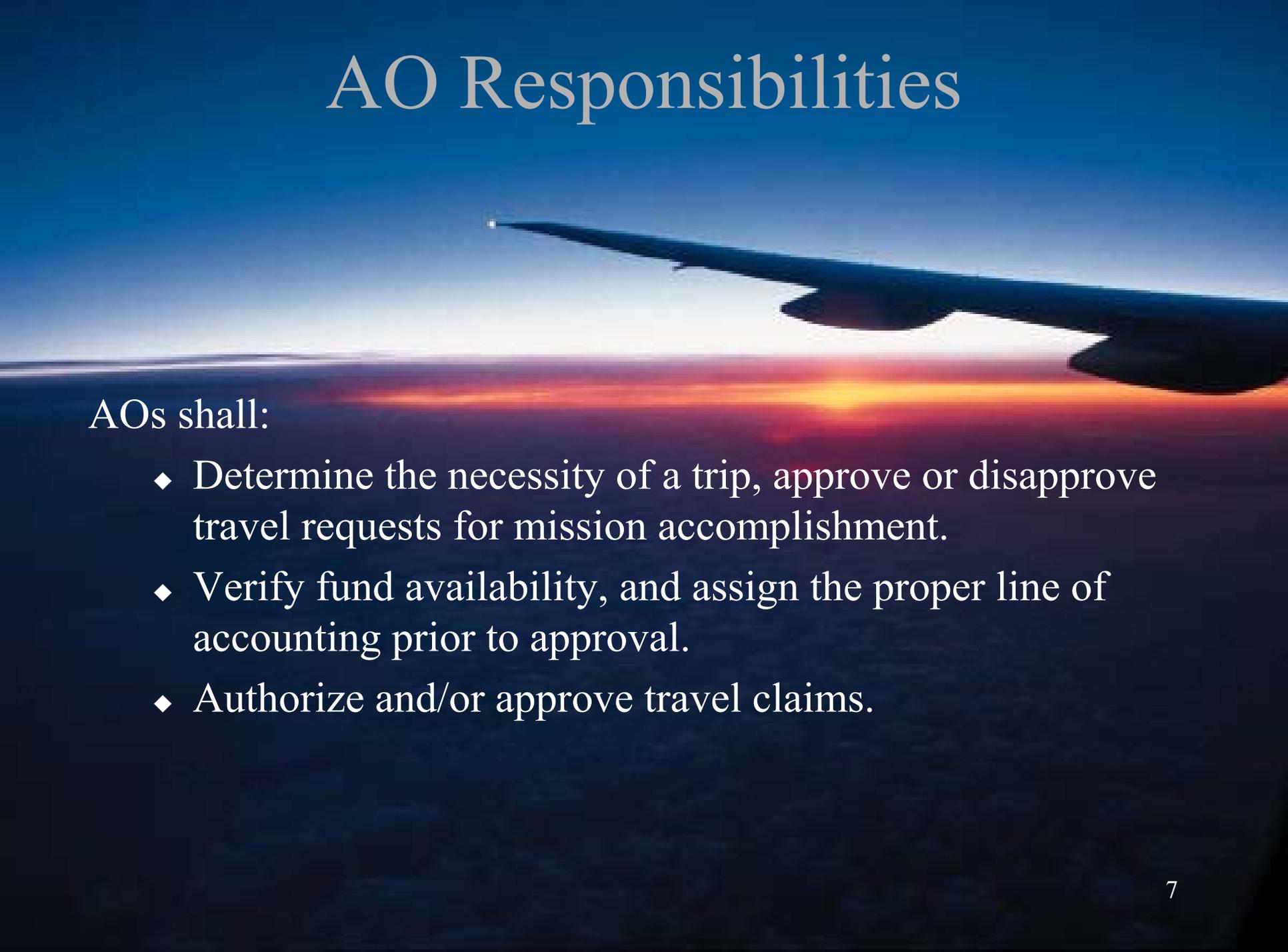
AO Responsibilities

The background of the slide features a silhouette of an airplane wing against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side towards the center of the frame.

Those who are eligible to be appointed an AO include (but are not limited to):

- ◆ Commanders
- ◆ Deputy commanders
- ◆ Resource managers/fund holders
- ◆ Travel authorizing officials
- ◆ Other personnel in equivalent positions

AO Responsibilities

The background of the slide features a silhouette of an airplane wing against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side towards the center of the frame.

AOs shall:

- ◆ Determine the necessity of a trip, approve or disapprove travel requests for mission accomplishment.
- ◆ Verify fund availability, and assign the proper line of accounting prior to approval.
- ◆ Authorize and/or approve travel claims.

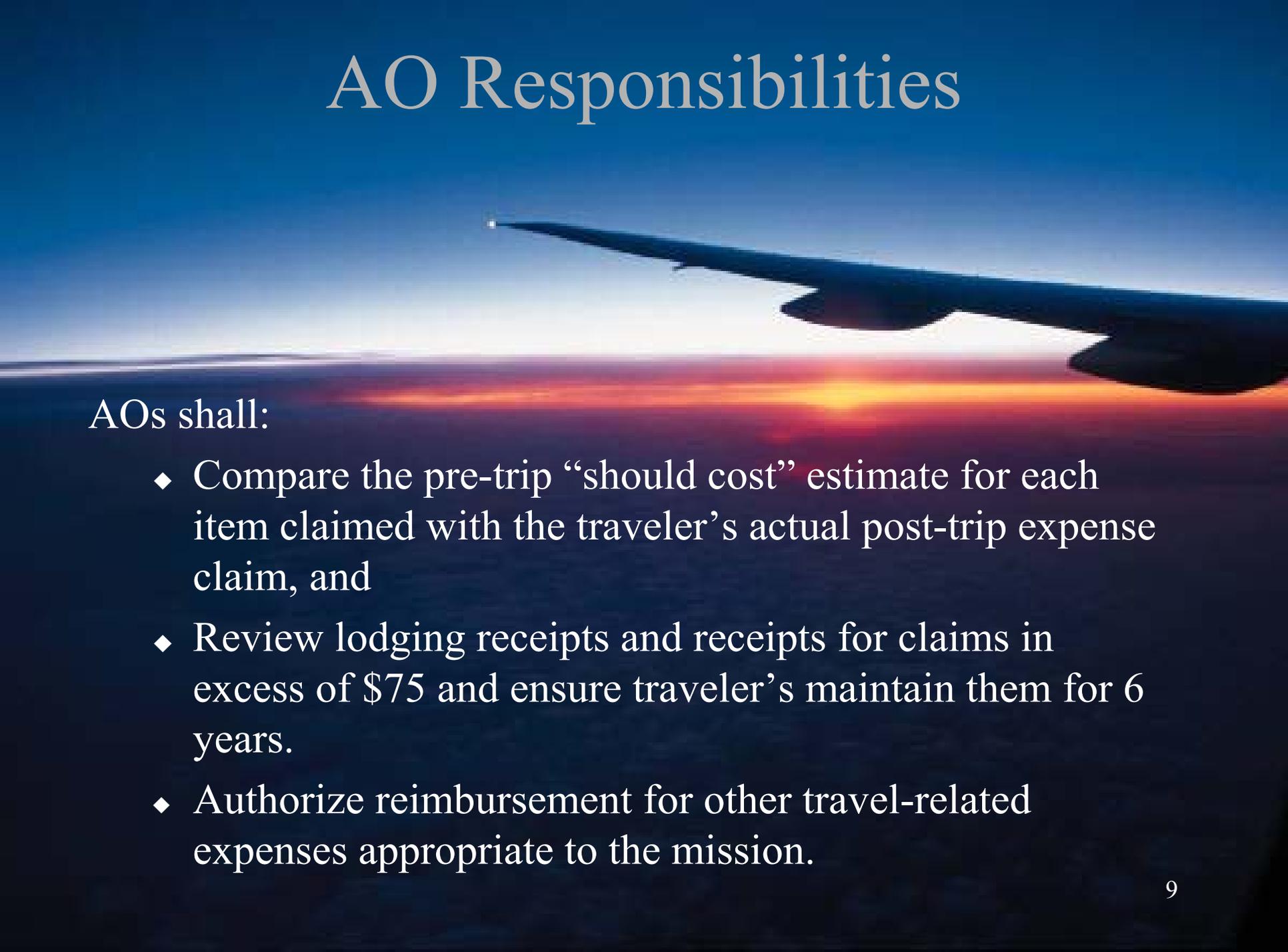
AO Responsibilities



AOs shall:

- ◆ Review and approve:
 - ◆ trip requests
 - ◆ “should cost” estimates
- ◆ Rely upon the edit and policy checks (audits) built into TM/FAST in the review and approval of travel arrangements.

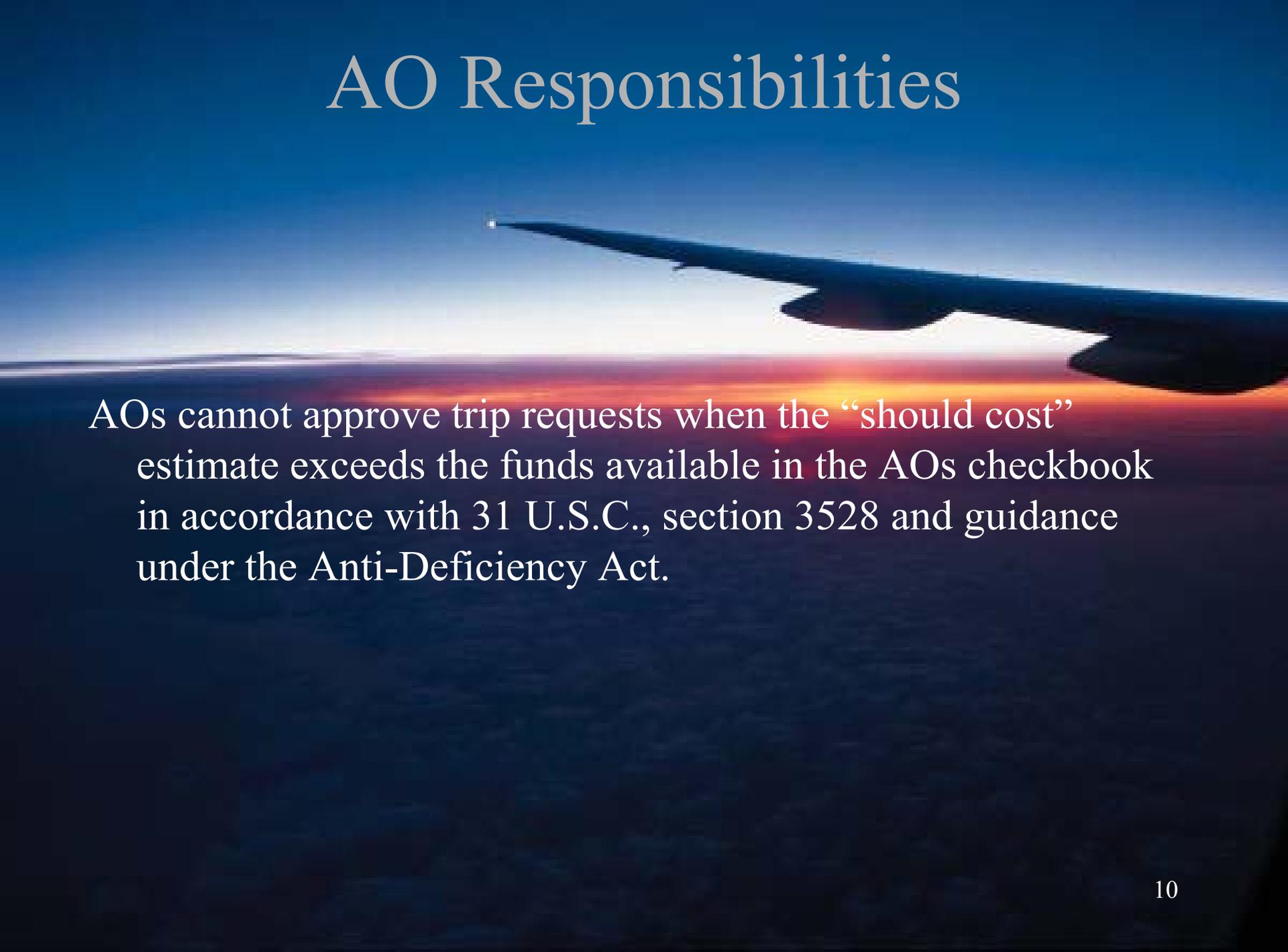
AO Responsibilities



AOs shall:

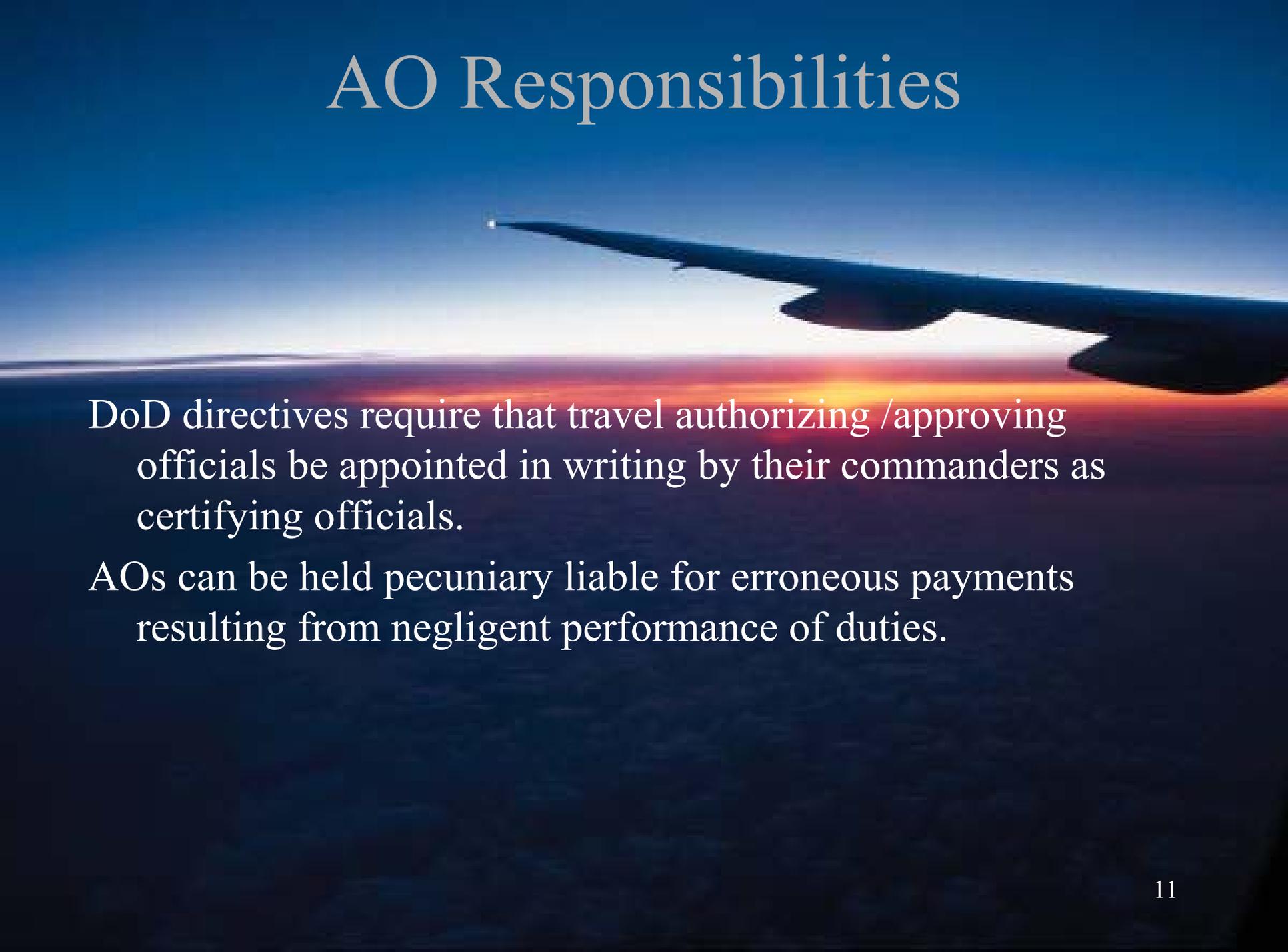
- ◆ Compare the pre-trip “should cost” estimate for each item claimed with the traveler’s actual post-trip expense claim, and
- ◆ Review lodging receipts and receipts for claims in excess of \$75 and ensure traveler’s maintain them for 6 years.
- ◆ Authorize reimbursement for other travel-related expenses appropriate to the mission.

AO Responsibilities

The background of the slide features a silhouette of an airplane wing against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side towards the center of the frame.

AOs cannot approve trip requests when the “should cost” estimate exceeds the funds available in the AOs checkbook in accordance with 31 U.S.C., section 3528 and guidance under the Anti-Deficiency Act.

AO Responsibilities

The background of the slide features a silhouette of an aircraft wing against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side of the frame towards the center.

DoD directives require that travel authorizing /approving officials be appointed in writing by their commanders as certifying officials.

AOs can be held pecuniary liable for erroneous payments resulting from negligent performance of duties.

AO Responsibilities

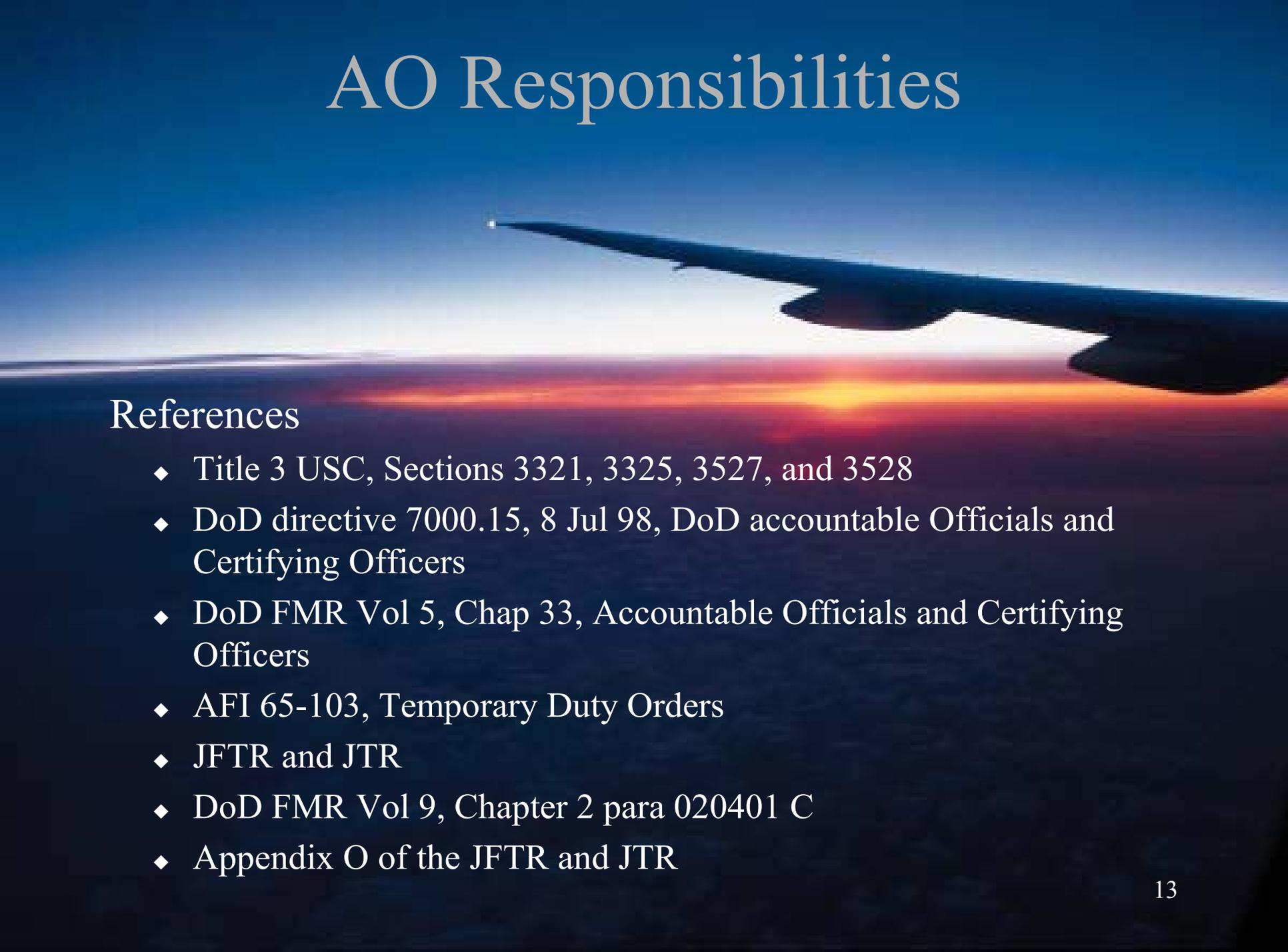
A silhouette of an aircraft wing is shown against a sunset sky. The sky transitions from a deep blue at the top to a bright orange and yellow near the horizon, where the sun is setting. The wing is dark and extends from the right side of the frame towards the center.

The AOs approval of the trip request and arrangements will be authenticated by the AO's electronic signature. AO approval also establishes an obligation for future payment of travel expenses.

All items that the TM/FAST software identifies as policy exceptions must be reviewed by the AO on an individual basis. AOs must exercise discretion consistent with mission requirements, the JTR or the JFTR, as applicable, in approving or denying items that are identified by TM/FAST as exceptions to policy.

Temporary duty travel entitlements are listed in simplified form in Appendix O of 12 the JFTR and the JTR.

AO Responsibilities



References

- ◆ Title 3 USC, Sections 3321, 3325, 3527, and 3528
- ◆ DoD directive 7000.15, 8 Jul 98, DoD accountable Officials and Certifying Officers
- ◆ DoD FMR Vol 5, Chap 33, Accountable Officials and Certifying Officers
- ◆ AFI 65-103, Temporary Duty Orders
- ◆ JFTR and JTR
- ◆ DoD FMR Vol 9, Chapter 2 para 020401 C
- ◆ Appendix O of the JFTR and JTR

TRACKING SUMMARY

Format for Tracking AFAA Audit Findings, Recommendations,
and Potential Monetary Benefits -
Air Force Reports of Audit

PART I (TO BE COMPLETED BY AFAA)

MANAGEMENT OPR: SAF/IAX	ACTION OFFICER: Ms. Sheilah Boyd
AUDIT CONTROL POINT: AFAA/MSM	AUDIT MANAGER: Ms. Beverly Willis
PROJECT (REPORT) NO: 99062001	REPORT DATE: 29 January 2001
REPORT TITLE: Foreign Military Sales Travel Requirements	
RESULTS LETTER: Results - A	DISCUSSION (FINDING) PAGE NUMBER: Page 4
RECOMMENDATION NO: A.2	PLANNED COMPLETION DATE: 15 JUL 03
ESTIMATED MONETARY BENEFITS \$ 0	(SEE PART III)

DISCUSSION (FINDING): Foreign Military Sales program directors, authorizing officials, and travelers did not properly schedule or perform en route RON stops for over 90 percent of the OCONUS destinations examined. Specifically, FMS personnel inappropriately (a) scheduled RON stops when reasonable rest periods would occur upon arrival at 67 TDY locations, (b) specified RON locations on 45 travel orders, (c) allowed RON stops to exceed 24 hours at 57 travel locations, and (d) authorized 76 FMS travelers RON stops during return trips. As a result, travelers could be required to repay approximately \$51,700 of inappropriate travel expenses, and order authorizing officials could be personally liable for noncompliance with regulatory guidance.

Reasonable Rest. Of 191 travel itineraries examined, 67 (35 percent) authorized travelers to take en route RON stops in addition to arriving at the TDY destination with ample rest time before beginning the mission. For example, four Hill AFB FMS travelers, with TDY destinations beginning in Greece and continuing to Turkey and Egypt, took a Friday night stop in Belgium. The travelers arrived in Greece on Saturday evening, with the workweek beginning on Monday. Consequently, the foreign customer had to pay over \$2,400 in additional per diem and lodging costs (e.g., extra travel expenses that could have been avoided by better schedule planning).

Specified Rest Location. Order authorization officials incorrectly specified, or travelers inappropriately scheduled, RON locations as mission-essential stops for 45 of 191 travel itineraries reviewed. For example, at Hanscom AFB, all 13 travel orders reviewed specified RON locations. At Wright-Patterson AFB, 29 travel itineraries identified the RON location as mission essential. To illustrate, one traveler to Saudi Arabia requested the Traffic Management Office (TMO) provide mission-essential

stops in London, England, for the flights to and from Saudi Arabia. The two RON stops in England were not mission essential. At Hill AFB, the following statement was included in three travel orders reviewed: "RON authorized both ways for one day, alternate routing on return trip authorized as long as increased cost does not exceed \$3,000." As a result, this routing authorization did not allow the TMO to (a) schedule Patriot Express flights, (b) determine when and where the RON stops should occur, or (c) book reduced airfare, per diem, and lodging costs. In addition, authorizing non-mission costs as mission essential is inappropriate, and travelers and order approving officials can be held liable in accordance with AFI 65-103, Temporary Duty Orders, 1 September 1997.

Stops Exceeding 24 Hours. The RON periods for 57 of 191 trips reviewed did not follow JTR and DoD policy prohibiting stops that exceed 24 hours. Specifically, 30 percent of the FMS travelers reviewed at Hill and Wright-Patterson AFBs stayed at RON locations more than 24 hours. For example, one Wright-Patterson AFB FMS traveler stayed at a RON location (London, England) for 39 hours. This action did not follow JTR and DoD guidance and extended travel time that increased cost to the foreign customer.

Stops on Return Trips. Although some travel orders provided that RON stops were mission essential, 76 FMS travelers took questionable RON stops on return trips. Travelers, in most instances, are authorized rest at the home station where they do not incur additional TDY expenses. Also, Secretariat and Air Staff personnel have stated that RON stops on return trips should not be authorized due to additional costs and the availability of reasonable rest periods at the end of the trip. Nevertheless, one Wright-Patterson AFB traveler, on his return trip, stopped in Hong Kong on Friday and stayed through Saturday. The traveler arrived at his home station on Sunday and reported for duty on Monday. If the traveler had not stopped and had arrived home on Saturday, a sufficient rest period would have been available at the end of the trip, and at least a day of additional per diem expense could have been avoided. As a result, the 76 FMS travelers accumulated \$11,200 for RON stops on return trips that may have been unnecessary.

Overall, these conditions occurred for two reasons. First, management had not established or implemented adequate oversight procedures to prevent travelers from inappropriately scheduling RON stops. Specifically, no over night procedures were in place to ensure order authorizing officials, to whom final authority to issue travel orders is delegated, (a) prepared travel orders in accordance with JTR and DoD policy guidance (e.g., orders should not specify RON locations) and (b) effectively reviewed voucher expenses as required to ensure only allowable payments were authorized. With the implementation of the new Defense Travel System, authorizing officials may be personally held pecuniarily liable for excessive unjustified costs. Second, although both FMS and transportation officials stated it was not in the Air Force's best interest to allow RON stops on return trips, Air Force written policy did not include this guidance.

AUDIT COMMENT. Because directorate and base authorizing officials approved travel orders with RON discrepancies, installation-level reports addressed the collection of any travel overpayments. Therefore, we made no recommendations in this report to collect the estimated \$51,700 in potential excess cost. Further, we referred potential fraud, waste, and abuse issues (e.g., the inappropriate

justifications for specified airlines, flight numbers, and rest stops resulting in excessive expenditures) to the Office of Special Investigations.

RECOMMENDATION: SAF/IA should establish adequate oversight procedures to ensure order authorizing officials or their designated representatives:

a. Prepare travel orders in accordance with AFI 65-103 guidance (i.e., discontinue identifying specific RON locations as mission-essential on orders without appropriate justification).

b. Adequately review and validate travel claims, and approve or disapprove voucher expenses in accordance with DoD FMR 7000.14-R.

c. Review OCONUS travel itineraries or schedule changes to ensure RON authorization and approval is appropriate.

MANAGEMENT COMMENTS: SAF/IA stated:

A.2.a. “Concur. Exceptions will be appropriately justified and documented on orders.

A.2.b. “Concur. SAF/IA will issue a policy letter to re-emphasize the responsibility of authorizing officials for travel orders and vouchers in accordance with DoD FMR 7000.14-R. Estimated completion date is 28 February 2001.

A.2.c. “Concur. The revised AFMAN 16-101 will contain policy guidance/instructions to ensure RON authorization and approval is appropriate. Estimated completion date is 31 March 2001.”

PART II (TO BE COMPLETED BY MANAGEMENT OPR)

CORRECTIVE ACTIONS TAKEN (OR EXPLANATION FOR NOT MEETING PLANNED COMPLETION DATE):

STATUS OF MANAGEMENT ACTIONS AS OF 31 MAR 01:

b. Personnel resources were not available to staff this issue, however, new personnel have been assigned and are currently working on a policy memo to be distributed to all Centers that re-emphasizes the responsibility of authorizing officials for travel orders and vouchers. ECD: 15 Sep 01

c. The draft AFMAN 16-101 is undergoing a rewrite to include all comments from agencies. The AFMAN was sent out for comment and review to Air Staff and MAJCOMs. Comments were received that needed to be included in the AFMAN for clarity to ensure content was inclusive. ECD: 15 Sep 01

STATUS OF MANAGEMENT ACTIONS AS OF 15 AUG 02:

A.2.b. Policy guidance was issued emphasizing responsibilities of authorizing officials. CLOSED.

A.2.c. AFMAN 16-101 was revised to ensure policy on RON is adhered to. ECD: Dec 02

STATUS OF MANAGEMENT ACTIONS AS OF 31 DEC 02:

The AFMAN 16-101 has not been published yet, pending review by our SES. Revised completion date: 15 Jul 03

STATUS OF MANAGEMENT ACTIONS AS OF 15 JUL 03:

REVISED COMPLETION DATE (IF PLANNED COMPLETION DATE NOT MET):

PART III (TO BE COMPLETED BY MANAGEMENT OPR)

POTENTIAL MONETARY BENEFITS:

X THIS PART N/A

TO BE COMPLETED WHEN AUDIT RECOMMENDATION IS CLOSED

AFAA EST: \$ ADJUDICATED AMT (IF APPLICABLE) \$

AFAA ESTIMATE (OR ADJUDICATED AMOUNT) REMAINS VALID?

YES NO

IF NO, PROVIDE EITHER FINAL ESTIMATE \$ OR ACTUAL AMOUNT \$ AND RATIONALE THEREFORE:

AFAA METHODOLOGY USED TO COMPUTE POTENTIAL MONETARY BENEFIT:

PART IV (TO BE COMPLETED BY MANAGEMENT OPR)

DATE MANAGEMENT ACTION COMPLETED:

RESULTS OF FOLLOWUP (BRIEFLY DESCRIBE ACTION TAKEN TO DETERMINE EFFECTIVENESS OF CORRECTIVE ACTION AND INDICATE WHETHER OR NOT ACTIONS TAKEN DID, IN FACT, CORRECT THE DEFICIENT CONDITION):

TYPE NAME, GRADE, AND OFFICE SYMBOL OF INDIVIDUAL ACCOMPLISHING THE FOLLOWUP:

DISTRIBUTION LIST

SAF/IA POLICY LETTERS

AFSAT/CC

315 J Street West
Randolph AFB TX 78150-4354
Email: thomas.moe@randolph.af.mil
Afsat/cc@randolph.af.mil

HQ AFSAC/IA

4225 Logistics Ave
WPAFB, OH 45433-5006
Email: afsac.ccx@wpafb.af.mil

DFAS-DE/IF/AY/DE

6760 East Irvington Place
Denver CO 80279-5000

HQ AMC/FMP

402 Scott Drive, Unit 1K1
Scott AFB IL 62225-5311

HQ AMC/XPRI

402 Scott Drive, Unit 1A3
Scott AFB III 62225-5311
Email: michael.wilmore@scott.af.mil

ANGRC/FMBO

1411 Jefferson Davis Hwy
Arlington, VA 22202-3231

HQ ACC/DOTS

205 Dodd Blvd, Suite 101
Langley AFB VA 23665-2789
Email: acc.dots@langley.af.mil

HQ PACAF/XPZP

Security Assistance Office (SAO)
25 E Street, Suite F207
Hickam AFB HI 96853-5417
Email: pacaf.xpzp@hickam.af.mil

HQ USAFE/LGX1

Unit 3050, Box 105
APO AE 09094-0105
Email: usafe.lg@ramstein.af.mil

ANG/XPP

1411 Jefferson Davis Hwy
Arlington, VA 22202-3231
Email: rossj@ngb.ang.af.mil

HQ AFSPC/XPIP

150 Vandenberg St, Suite 1105
Peterson AFB CO 80914-4620
Email: thomas.dickinson@peterson.af.mil
Email: john.tucker@peterson.af.mil

HQ CPSG ESC/DIWP

230 Hall Blvd, Suite 202
San Antonio, TX 78243-7057
Email: henry.morales@lackland.af.mil

SAF/FMBIS

Pentagon, Room 4D223
Email: patricia.vestal@pentagon.af.mil

SAF/GCI

Pentagon, Room 4C941
Email: ileene.berfield@pentagon.af.mil

SAF/IAPA

Email: RSS - SAF/IAPA

SAF/IAPD

Email: RSS - SAF/IAPD

SAF/IARE

Email: RSS - SAF/IARE

SAF/IARL

Email: RSS - SAF/IARL

SAF/IARM

Email: RSS - SAF/IARM

SAF/IARP

Email: RSS - SAF/IARP

DISTRIBUTION LIST
SAF/IA POLICY LETTERS

SAF/IAPQ

Email: RSS - SAF/IAPQ

SAF/IARS

Email: RSS - SAF/IARS

SAF/IARW

Email: RSS - SAF/IARW

cc:

DISAM/DM

Area B, Bldg 52

2745 K Street

WPAFB OH 45433-7641

Email: ed.smith@disam.dsca.mil

Please review this distribution list to ensure organizational names, mailing and email address are current. If your office no longer requires information concerning security assistance policies and procedures, please contact Sandy Harding, SAF/IAPX, email: sandy.harding@pentagon.af.mil to update your information.