

**SUMMARY OF MAJOR CHANGES TO
DOD 7000.14-R, VOLUME 1, CHAPTER 6
“UNDER SECRETARY OF DEFENSE (COMPTROLLER) FINANCIAL
MANAGEMENT AWARDS PROGRAM”**

All changes are denoted by blue font.

Substantive revisions are denoted by a ★ preceding the section, paragraph, table, or figure that includes revision

Hyperlinks are denoted by *underlined, bold italic, blue font.*

PARA	EXPLANATION OF CHANGE/REVISION	PURPOSE
060204 060205	Incorporated the Office of the Under Secretary of Defense (Comptroller) memorandum dated October 26, 2009, which updated the eligibility and team criteria for the Comptroller Financial Management Awards Program.	Update

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MANAGEMENT AWARDS PROGRAM**

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CHAPTER 6

UNDER SECRETARY OF DEFENSE (COMPTROLLER)
FINANCIAL MANAGEMENT AWARDS PROGRAM

0601 PURPOSE

The purpose of the Under Secretary of Defense (Comptroller) (USD(C)) Financial Management Awards Program is to recognize significant contributions of individuals or groups to financial management improvement.

0602 APPLICABILITY AND SCOPE

The Program applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense (DoD), the Defense Agencies, and the DoD Field Activities, and all other organizational entities within the DoD (hereafter referred to collectively as “the DoD Components”).

060201. It is DoD policy that:

A. Military and civilian members who make outstanding contributions to the improvement of DoD financial management should be recognized.

B. Recognition, in the form of an engraved plaque and certificate, shall be presented to, and retained by, the individual and group deemed to have achieved the most outstanding contribution(s) to the improvement of financial management internal controls, financial management initiatives, or financial management process improvement, during the preceding calendar year.

060202. The following (A through C, below) are the three award categories in the USD(C) Financial Management Awards Program.

A. Improvement of Financial Management Internal Controls. This category recognizes achievements in improving financial management internal controls. Examples of appropriate efforts are:

1. Resolving systemic weaknesses in financial management internal controls.

2. Improving techniques used to discover weaknesses in the current financial environment.

3. Executing corrective action plans that are consistent with laws, regulations, and administrative policy.

4. Ensuring the improved processes and effective controls are sustainable.

5. Providing documented quantitative and qualitative measures of improvement (e.g., return on investment, cost savings, and cost avoidance)

6. Ensuring that adequate determination (validation or metric) is made prior to reporting a material weakness as resolved.

B. Financial Management Initiative. This category recognizes improvement in aspects of financial management programs. Improvements can be in budgeting, accounting, financial analysis, auditing, and other fields related to financial management. Examples of appropriate efforts include:

1. Obtaining a “clean” audit opinion for an entity or segment.
2. Correcting an audit deficiency.
3. Reducing problem disbursements.
4. Reducing aged accounts receivable and payable.
5. Improving the quality and timeliness of report content.
6. Prompt recording of commitments and obligations.
7. Improving funds control.
8. Consolidating organizations under tight deadlines.
9. Training to enhance performance.
10. Interfacing with other areas to ensure more efficient processes.
11. Improving accounting policies and procedures.
12. Improving budget formulation and execution.

C. Financial Management Process Improvement. This category recognizes improvement in financial management processes for recording, processing, and reporting of financial information. Examples of appropriate efforts include:

1. Documenting an existing process to determine how the process can be improved.

2. Changing a process or steps of a process from a manual to an automated operation by using technology as an enabler, such as: (a) using electronic commerce/electronic data, or (b) developing and implementing electronic interfaces between systems to reduce manual entry of data.

3. Improving a process using “Lean Six Sigma.”

4. Reengineering a process to make the process better, faster, and/or cheaper.

5. Eliminating processes that do not add value.

6. Achieving audit readiness for an end-to-end business process.

7. Developing and reengineering a process or processes to implement an enterprise resources planning system.

060203. Award Levels. Twelve separate awards--four for each of the three categories listed above--can be awarded. Within each category, there will be four awards, one from among the individual nominees from the headquarters and major command level, one from among the team nominees from the headquarters and major command level, one from among the individual nominees from organizations below major command level, and one from among the team nominees from organizations below major commands.

★ 060204. Eligibility. Any military member or civilian employee of the DoD (to include Reserve Components) is eligible for nomination. Contactors cannot be nominated for individual awards.

★ 060205. Team Criteria. For purposes of these awards, a team is considered as a group of individuals, made up of 3 to 20 individuals, brought together to perform a specific task within a specific time frame. When two individuals work together on an applicable project or effort, they may be submitted jointly for an individual award. Teams of greater than 20 individuals are not eligible for these awards. Contractors cannot comprise more than 20 percent of the team. Contractors cannot use these awards as support for performance clauses in contracts.

0603 RESPONSIBILITIES

060301. The USD(C) will select awards recipients for each award category and present awards to each recipient in an annual ceremony.

060302. The Deputy Chief Financial Officer (DCFO) annually will convene a Financial Management Awards Program Board to receive nominations from the DoD Components and to make award recommendations to the USD(C).

060303. The Financial Management Awards Program Board shall:

A. Be comprised of the DCFO, or designee, (Chair) with a representative from each of the Military Departments, the Defense Finance and Accounting Service (DFAS), and one from the Defense-wide community--which encompasses all other Defense Agencies and DoD Field Activities. Board nominees should be members of the Senior Executive Service, or general/flag officers, and should not have been nominators for any of the award nominations to be considered.

B. Convene annually to evaluate nominations and make recommendations for winners in each award category.

C. Recommend award winners for each award category based on the criteria in paragraph 060401.

060304. Heads of the Military Departments and the DFAS, each shall select a representative to the Financial Management Awards Program Board and notify the DCFO by the first week in February, each year, of the representative selected from their Component. The DCFO shall appoint a representative of the Defense Agencies and DoD Field Activities (other than the DFAS) from among nominees submitted to the DCFO.

060305. Heads of DoD Components each year shall nominate individuals for the Financial Management Awards in accordance with the procedures and criteria in section 0604.

0604 DOD FINANCIAL MANAGEMENT AWARD CRITERIA AND PROCEDURES

The procedures and criteria for the DoD Financial Management Award are:

060401. Award Criteria. Nominations for DoD Financial Management Awards shall be based on individual or team achievements during the preceding calendar year and evaluated using the following criteria:

- A. Cost reduction (in dollars and/or human resources).
- B. Improvement in the timeliness and accuracy of information.
- C. Enhanced customer service.
- D. Streamlined policies and procedures.
- E. Standardized policies, procedures and systems.

060402. Nomination Format. Follow Figures 1-1 and 1-2 (Parts A and B) for individual and team nominations, respectively.

A. Part A includes the calendar year of the accomplishment, award category, nominee(s) data, nominating official data, nominating official signature, and citation.

B. Part B includes the nominee or team name, a brief description of the project or effort, and a narrative of the outstanding achievement. This part is limited to one page.

060403. Submission of Nominations. Heads of DoD Components shall submit nominations to the Office of the Deputy Chief Financial Officer, Room 3C653A, the Pentagon, Washington, DC 20301-1100. Nominations must be received by the date designated in the memorandum that is sent to the Components.

0605 AWARD DESCRIPTION (PLAQUES AND CERTIFICATES)

060501. For an individual award, the award recipient shall receive an engraved plaque and a certificate signed by the USD(C).

060502. For a team award, the team shall receive a single engraved plaque and each team member shall receive a certificate signed by the USD(C).

UNDER SECRETARY OF DEFENSE (COMPTROLLER)				
FINANCIAL MANAGEMENT AWARDS PROGRAM				
NOMINATION FORM FOR INDIVIDUAL AWARDS – PART A				
Calendar Year _____				
Award Category:	<input type="checkbox"/> Improvement to Financial Management Internal Controls <input type="checkbox"/> Financial Management Initiative <input type="checkbox"/> Financial Management Process Improvement			
Level:	<input type="checkbox"/> Headquarters and major command			<input type="checkbox"/> Below major command
Nominee Data: (For teams, complete nominee data for each team member)				
Name: _____				
	Rank/Grade	First	MI	Last
Duty Title:	_____		E-mail: _____	
Office Address: _____				
(include office symbol and base)				

Phone No: _____				
	DSN	Com (include area code)	FAX	
Nominating Official Data:				
Name: _____				
	Rank/Grade	First	MI	Last
Duty Title:	_____		E-mail: _____	
Office Address: _____				
(include office symbol and base)				

Phone No: _____				
	DSN	Com (include area code)	FAX	

_____ Signature of Nominating Official			_____ Date	
Citation: (Do not exceed 5 lines)				

Figure 1-1: Nomination Form for Individual Awards

**UNDER SECRETARY OF DEFENSE (COMPTROLLER)
FINANCIAL MANAGEMENT AWARDS PROGRAM
NOMINATION FORM FOR INDIVIDUAL AWARDS – PART B
(Limited to one page)**

A. Nominee’s Name: _____

B. Name of Project/Effort: _____

C. Brief Description of Project/Effort:

D. Narrative Statement of Achievement: (The narrative must be specific and factual, giving concrete examples of the accomplishment, how it was accomplished, what benefits or results were realized, and why or how such benefits significantly improved financial management.)

Figure 1-1: Nomination Form for Individual Awards (cont’d)

**UNDER SECRETARY OF DEFENSE (COMPTROLLER)
 FINANCIAL MANAGEMENT AWARDS PROGRAM
 NOMINATION FORM FOR TEAM AWARDS – PART A**

Calendar Year _____

Award Category: Improvement to Financial Management Internal Controls
 Financial Management Initiative
 Financial Management Process Improvement

Level: Headquarters and major command Below major command

Nominee Data:

<u>Grade/Rank</u>	<u>Name</u>	<u>Title</u>	<u>Email</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Office Address: _____

Phone: _____
 DSN Commercial (include area code)

Nominating Official Data:

Name/Grade/Title: _____

Phone : _____ **E-mail:** _____
 DSN and commercial (include area code)

Office Address: _____

Signature of Nominating Official **Date**

Citation: (Example) For exceptional achievement for your participation on the xxxx Team. Your efforts have contributed significantly to improving Financial Management in the Department of Defense.

Note: Citation is limited to five lines.

Figure 1-2: Nomination Form for Team Awards

**UNDER SECRETARY OF DEFENSE (COMPTROLLER)
FINANCIAL MANAGEMENT AWARDS PROGRAM
NOMINATION FORM FOR TEAM AWARDS – PART B
(Limited to one page)**

A. Team Name: _____

B. Name of Project/Effort: _____

C. Brief Description of Project/Effort:

D. Narrative Statement of Achievement: (The narrative must be specific and factual, giving concrete examples of the accomplishment, how it was accomplished, what benefits or results were realized, and why or how such benefits significantly improved financial management.)

Figure 1-2: Nomination Form for Team Awards (cont'd)