VOLUME 1, CHAPTER 6: "UNDER SECRETARY OF DEFENSE (COMPTROLLER) FINANCIAL MANAGEMENT AWARDS PROGRAM"

SUMMARY OF MAJOR CHANGES

All changes are denoted by blue font.

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

Unless otherwise noted, chapters referenced are contained in this volume.

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

The previous version dated December 2014 is archived.

PARAGRAPH	EXPLANATION OF CHANGE/REVISION	PURPOSE
060101	Condensed previous subparagraph C into the new subparagraph B.	Revision
060101	Combat Zone category now offers two awards.	Addition
060103	Added Provision identifying statutory authority for honorary recognition of civilian employees and members of the armed forces.	Addition
060403	Clarified nominations may not be added or edited after respective submission or review dates.	Revision
060404	Included a new paragraph to assist identifying responsibility for nominating individuals and teams.	Addition
Figure 1-1	Nomination character count limits have been redistributed among the two sections.	Revision
Figure 2-1	Nomination character count limits have been redistributed among the two sections.	Revision

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CHAPTER 6

<u>UNDER SECRETARY OF DEFENSE (COMPTROLLER) FINANCIAL MANAGEMENT AWARDS PROGRAM</u>

*0601 GENERAL

    *060101   Overview

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 for their significant contribution(s) during the preceding calendar year, in the form of an engraved plaque, shall be presented to, and retained by, the individual and team within each of the four award categories. Fourteen awards are conferred:

    1.   Contributions in budget formulation or execution:

    a. Individual at Headquarters and Major Command Level

    b. Individual below Headquarters and Major Command Level

    c. Team at Headquarters and Major Command Level

    d. Team below Headquarters and Major Command Level

    2.   Contributions in financial management (excluding budget):

    a. Individual at Headquarters and Major Command Level

    b. Individual below Headquarters and Major Command Level

    c. Team at Headquarters and Major Command Level

    d. Team below Headquarters and Major Command Level

    3.   Contributions to financial improvement and audit readiness:

    a. Individual at Headquarters and Major Command Level

    b. Individual below Headquarters and Major Command Level

    c. Team at Headquarters and Major Command Level

d.   Team below Headquarters and Major Command Level

4.   Contributions in financial management in a combat zone:

a.   Individual at any level

b.   Team at any level

C.   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"). The individual or team's accomplishment must have occurred within the preceding calendar year.

D.   Any military member or DoD civilian employee (to include Reserve Components) is eligible for nomination. General/Flag Officers, Senior Executive Service, and contractors cannot be nominated for individual awards, but can be named and recognized as members of team awards.

060102.   Purpose

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

*060103.   Authoritative Guidance

The Government Employees Incentive Awards Act at 5 USC § 4503 authorizes agency heads to award an honorary recognition to an employee who contributes to the efficiency, economy, or other improvement of government operations or achieves a significant reduction in paperwork, or performs a special act or service in the public interest in connection with or related to his official employment. 10 USC § 1125 authorizes the Secretary of Defense to award medals, trophies, badges, and similar devices to members, units, or agencies of an armed force under his jurisdiction for excellence in accomplishments.

0602   AWARD CATEGORIES, TYPES, AND LEVELS

060201.   Award Categories.

The four award categories in the USD(C) Financial Management Awards Program are:

A.   Contributions in Budget Formulation or Execution. This category recognizes one individual and one team at each of the two award levels who have made significant contributions in improving the budget build process or execution of DoD funds. Improved execution of budgets serves to minimize Anti-Deficiency Act violations and ensures protection of Departmental assets. Examples of appropriate efforts include:

1.   Identifying and correcting deficiencies in administrative control of funds.

2.   Enhancements in methodology and processes resulting in more accurate budget formulation estimates.

3.   Information Technology System improvements that support reliable cost projections for building budgets.

B.   Contributions to Financial Management (excluding Budget). This category recognizes one individual and one team at each of the two award levels who have made significant contributions to modernize and improve financial management in areas other than budget. Improvements may be in areas such as finance, auditing, accounting, cost analysis, workforce development, or other fields outside of budgeting. Examples of appropriate efforts include:

1.   Changing or improving an accounting process to eliminate or reduce improper payments.

2.   Developing a validated and verified cost or life cycle model used in economic, cost benefit, or cost effective analysis.

3.   Establishing a training program to improve workforce proficiency in a key area of deficiency.

C.   Contributions in Financial Management in a Combat Zone. This category recognizes one individual or one team who has made significant contributions to modernize and improve financial management while deployed in a combat zone. Improvements can be in auditing, accounting, budget, cost analysis, workforce development, and other Financial Management fields. Examples of appropriate efforts include:

1.   Implementing controls that improve auditability of funds managed in a combat zone.

2.   Changing and/or reengineering a process or steps of a process to make the process better, faster, and/or less expensive by using technology as an enabler in a combat zone.

3. Identifying, proposing, and implementing an improvement to a problem, project, or effort using analysis to better utilize resources and improve mission effectiveness in a combat zone.

D. <u>Contributions to Financial Improvement and Audit Readiness.</u> This category recognizes one individual and one team at each of the two award levels who have made significant achievements to improve Financial Improvement and Audit Readiness efforts. Financial Improvement and Audit Readiness helps the Department achieve its goal of unmodified financial statement audits by (1) improving the Department's financial management operations, (2) providing our service members with the resources essential for mission success, (3) and improving taxpayer trust in our stewardship of resources. Examples of appropriate efforts include:

1. Implementing end-to-end business process, reengineering efforts leading to improved auditability.

2. Executing action plans to correct internal controls deficiencies at a local or command level that are consistent with laws, regulations, and administrative policy.

3. Implementing effective improvements to controls over financial reporting in financial systems at the service or enterprise level.

060202. Award Types

The two award types in the USD(C) Financial Management Awards Program are:

A. Individual awards may be given to one person at the Headquarters and Major Command level and Below Major Command level in the four award categories.

B. One team award may be given to teams at the Headquarters and Major Command level and the Below Major Command level in each of the four award categories. Teams are made up of two to twenty individuals brought together to perform a specific task within a specific time frame. Teams of greater than twenty individuals are not eligible for these awards. The team lead must be one of the twenty members of the team. Contractors cannot comprise more than 20 percent of the team. Contractors cannot use these awards as support for performance clauses in contracts.

060203. Award Levels

The two award levels in the USD(C) Financial Management Awards Program are:

A. Headquarters level and Major Command level.

1. Headquarters level is defined as the headquarters of a Military Service Department, Defense Agency, or Field Activity.

2. Major Command Level is defined as the highest level of command below headquarters level within the Military Department. For the Defense Agencies and Field Activities, Major Command level is based on the organization's structure, not the nature of the work covered by the award. Major Command level refers to the next level of subordinate organizations to the Headquarters location.

B. Below Major Command level includes any organization not meeting the requirements to be considered Headquarters and Major Command level. For Defense Agencies and Field Activities, this includes regional offices or other organizations subordinate to the Headquarters or Major Command level.

Award Level Matrix	
Organizational Level Performing the Work	**Award Level**
Headquarters	Headquarters and Major Command
Military Department Major Command	Headquarters and Major Command
Combatant Command Headquarters	Headquarters and Major Command
Brigade/Afloat Command/Group	Below Major Command
Regional Office	Below Major Command
Examples	
DFAS Headquarters	Headquarters and Major Command
DFAS Major Center (Cleveland, Columbus, Indianapolis)	Headquarters and Major Command
DFAS Other (Rome, Limestone, Japan, Europe, Non-Appropriated Funds)	Below Major Command

0603   RESPONSIBILITIES

060301.   The USD(C)

A.   Will select awards recipients for each award category, type, and level.

B.   Will present awards to each recipient.

C.   Will release an annual memorandum announcing any changes to this regulation, calling for submission of nominations for this awards program, and delineating the nomination and review timeline.

060302.   The OUSD(C) Human Capital Resource Management Director

A.   Will annually convene a Financial Management Awards Program Board to review nominations from the DoD Components.

B.   Will make award recommendations to the USD(C).

C.   Will appoint a representative from among the Defense Agencies and DoD Field Activities (other than the Defense Finance and Accounting Service (DFAS)) to the FM Awards Program Board.

060303.   Heads of the Military Departments and DFAS

A.   Will each select a representative to the Financial Management Awards Program Board and notify the Director, Human Capital Resource Management (HCRM) in accordance with the annual USD(C) memorandum, of the representative selected from their Component.

060304.   DoD Component Heads

A.   Will nominate individuals for the Financial Management Awards in accordance with the procedures and criteria in section 0604.

B.   Will appoint a Final Reviewer for all nominations submitted by members of their component in accordance with the memorandum.

060305.   The Financial Management Awards Program Board

A.   Is chaired by the OUSD(C) HCRM Director, or designee.

B.   Is comprised of one voting representative from each of the Military Departments, the DFAS, and one from the Defense-wide community, which encompasses all other Defense Agencies and DoD Field Activities. Members may not delegate attendance of the Board Member meeting, and may not serve more than two consecutive terms.

C.   Is comprised of members of the Senior Executive Service, general/flag officers, or E-9s.

D.   Members must not be the Nominating Officials for any of the award nominations submitted.

E.   Is convened annually to evaluate nominations and make recommendations for winners in each award category based on the criteria in paragraph 060401.

060306.   Final Reviewers

A.   Are responsible for vetting the nominations prior to submission to the Board. Nominations should be examined for duplications, completeness, and noncompliance with instructions.

B.   May not be nominating officials.

C.   Are responsible for approving or denying each nomination submitted for their particular component before all nominations are due to OUSD(C). Only approved nominations will go before the Board.

060307.   Nominating Official

A.   Will review each one of their nominations for accuracy.

B.   Will ensure nominee names and contact information are correct and accurate.

C.   Will sign to certify compliance with nomination submission instructions.

060308.   Submitter

A.   Will input all data into the nomination template for the appropriate nomination in accordance with the procedures and criteria in section 0605 as directed by the nominating official.

B.   May be the same person as the Nominating Official.

0604   AWARD CRITERIA AND NOMINATION INFORMATION

The Criteria and Nomination Information 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. Board members will evaluate nominations, assigning a numeric score, after considering the following criteria:

A.   Scope and Significance, examples include:

1.   Cost and/or manpower savings

2.   Cost avoidances

3.   Magnitude of Impact

B.   Improving and standardizing policies, procedures, and systems

060402.   Nomination Information

Refer to section 0605 for specifics on procedures for submitting nominations. Figures 1-1 and 2-1 are examples of individual and team nominations, respectively. Information included in the nominations is used for plaque development. All information must be accurate to ensure plaques properly display nominee information. All acronyms must be spelled out the first time.

A.   The first section includes the calendar year of the accomplishment, award category, nominee(s) data, and nominating official data.

B.   The second section includes the nominee or team name, a brief description of the problem, project, or effort, a summary of the actions performed, and results achieved by the individual or team to warrant consideration for a Financial Management Award.

C.   Nominations should be written to a broad and diverse audience. Limit the use of acronyms and excessive superlatives.

D.   Nominations should be written in a clear and concise manner.

*060403.   Submission of Nominations

A.   Heads of DoD Components must submit nominations to the OUSD(C) HCRM   Director   via   the   OUSD(C)   awards   nomination   site   at *https://fmonline.ousdc.osd.mil/Professional/Awards-Program/Awards.aspx.* Specific details are contained in section 0605.

B.   Nominations must be received by the date designated in the memorandum sent to the Components. Nominations will not be accepted after the end of the nomination period.

C.   Nominations must be reviewed by the date designated in the memorandum sent to the Components. Nominations edits will not be accepted after the end of the review period.

*060404.   Nomination Responsibilities

A.   Responsibility for individual award nominations is vested with the component owning the position of the person being nominated.

B. Responsibility for team award nominations is vested with the component owning the position of the team lead.

060405. Individual and Team Awards

Each individual award recipient shall receive an engraved plaque. Each team shall receive a single engraved plaque while team members shall each receive a certificate.

0605 FM Awards Website Instructions

Utilize the OUSD(C) awards nomination site for all nominating, reviewing, or scoring.

060501. Nominating an Individual

A. To nominate an individual, click the Nominate Individual tab on the left-side of the page. Select the Award Category by clicking on the radio button next to the appropriate category:

1. Contributions in budget formulation or execution.

2. Contributions in financial management (excluding budget).

3. Contributions in financial management in a combat zone.

4. Contributions to financial improvement and audit readiness.

B. Select the Award Level by clicking on the radio button next to the appropriate level: Headquarters and Major Command, or Below Major Command.

1. Enter the Organization and Component of the Nominee.

2. Include the unit and its location in the Organization field which needs to represent the subordinate organization of the Military Service Department, Defense Agency, or Field Activity.

3. Acronyms must be spelled out.

C. Fill out the Individual Nominee Data and the Nominating Official Data.

1. Write the nomination in a way best portraying the individual and their contributions in the specific effort.

2. Nominations should not be written like personnel evaluations.

D. Input the name of the problem, project, or effort the individual participated in, concisely providing details about the:

1. Problem the Nominee solved.

2. Actions the Nominee took to solve the problem.

3. Results of the Nominee's actions to solve the problem.

E. To complete the nomination:

1. Click the sign and save button at the bottom of the form.

2. Click the close form button at the bottom of the screen.

060502. Nominating a Team

A. To nominate a Team, click the Nominate Team tab on the left-side of the page. Select the Award Category by clicking on the radio button next to the appropriate category:

1. Contributions in budget formulation or execution.

2. Contributions in financial management (excluding budget).

3. Contributions in financial management in a combat zone.

4. Contributions to financial improvement and audit readiness.

B. Select the Award Level by clicking on the radio button next to the appropriate level: Headquarters and Major Command, or Below Major Command.

1. Enter the Team Name, Organization and Component of the Nominee.

a. Include the unit and its location in the Organization field which needs to represent the subordinate organization of the Military Service Department, Defense Agency, or Field Activity.

b. Acronyms must be spelled out.

2. Input the Team's Nominee Data. There can be from 2 to 20 individuals per team, including the team lead.

a. No more than 20 percent of the team can be composed of contractors.

              b.   Fill in the information of team leader in the Individual Nominee Data Portion.

              c.   Contractors are not eligible for the team lead position.

        C.   Fill out the Team Nominee Data and the Nominating Official Data.

            1.   Write the nomination in a way best portraying the team and its contributions in the specific effort.

            2.   Nominations should not be written like personnel evaluations.

        D.   Input the name of the problem, project, or effort the individual participated in, concisely providing details about the:

            1.   Problem the Team solved.

            2.   Actions the Team took to solve the problem.

            3.   Results of the Team's actions to solve the problem.

        E.   To complete the nomination:

            1.   Click the sign and save button at the bottom of the form.

            2.   Click the close form button at the bottom of the screen.

     060503.   Final Reviewers

        A.   Click the Final Reviewer Tab to see each individual and team nomination for your component/service/school.

        B.   Individual nominations will be listed at the top of the page and Team Nominations will be listed at the bottom of the page.

        C.   Final Reviewers must approve or decline nominations before they go to the Board. Refer to the annual USD(C) memorandum for the timeline.

            1.   Click on the document button in between the name of the Individual or the Team and the Organization of the specific nomination to view the nomination.

            2.   Ensure nominating official digital signature belongs to listed nominating official.

            3.   To approve or decline a nomination, click the approve or decline button.

D.   To view a report of all nominations within a certain category, click on the category you are trying to view.

E.   To view nominations previously approved or declined:

1.   Click the view approved/declined nominations button (in blue) at the top of the screen.

2.   Click on the document button in between the name of the Individual or the Team and the Organization of the specific nomination.

3.   To change the status of a nomination, click the approve or decline button.

F.   Return to nominations that have not been approved or declined yet by clicking the view undecided documents button on the top of the screen.

060504.   Board Members

Board Members will independently score individual and team nominations based on the established criteria and collectively evaluate and recommend winners in each award category in accordance with this regulation.

A.   Click the Board Tab to enter the Board Member Section, the three buttons that Board Members will use throughout the scoring process are:

1.   Nominations: produces a printable report with all nominations submitted to the board.

2.   Board Detail Report: produces a printable report showing detailed scores for each nomination by criteria.

3.   Board Summary Report: produces a printable reporting showing the total score for each nomination.

B.   To score Nominations:

1.   Click the nominations button found on the Board Members site.

2.   The Nomination List contains four sections, one for each nomination category, each of which has four expandable subsections. Each of these subsections represents the four different types and levels of nominations.

3.   Click on the subsections to expand each tab. Each row will show the same information (from left to right): Name of Individual or Team, Organization, and Component. Each line will be followed by three (3) buttons (from left to right): View

Nomination, Complete Scores, and Print Scores.

4.   Board members will be able to see the Nomination by clicking on the view nomination button.

5.   Click on the complete scores button to score a nomination.

a.   After considering the strength of the write-up, indicate a score of 1 to 5 points based on the scoring criteria with 5 being the highest.

b.   Click the completed button at the bottom of the page to complete scoring.

c.   There will be a green checkmark next to the row of the scored nomination.

6.   Click on the view scores button to view a scores report for a specific Nomination.

7.   Click on the scores report button on the top right-side of the screen to view a compiled report of all scoring you have completed.

C.   To view a Board Detail Report, return to the Board Welcome page, click the board detail report button at the bottom of the Board Member welcome screen.

D.   To view a Board Summary Report, return to the Board Welcome page:

1.   Click the board summary report button at the bottom of the Board member welcome screen.

2.   This report includes sections by Award Category, Type, and Level and provides the summary total of each Board Member's scoring of the established criteria for each nominee.

*Figure 1-1: Nomination Form for Individual Awards

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UNDER SECRETARY OF DEFENSE (COMPTROLLER)
FINANCIAL MANAGEMENT AWARDS PROGRAM
Nomination Form for **INDIVIDUAL** Awards
Calendar Year _____ Component/Organization

_____

Award Category: ( )   **Contributions in Budget Formulation or Execution**
                       ( )   **Contributions in Financial Management (excluding Budget)**
                       ( )   **Contributions in Financial Management in a Combat Zone**
                       ( )   **Contributions to Financial Improvement and Audit Readiness**

 Level: ( ) Headquarters and Major Command ( ) Below Major Command

Individual Nominee Data (contractors are not eligible for individual awards):

Rank/Grade/Name: _____
                       Rank/Grade   First   MI   Last

Duty Title: _____   E-mail: _____

Office Mailing Address: _____
(Include office symbol and location)

_____

Commercial Phone Number: _____

Nominating Official Data:

Rank/Grade/Name: _____
                       Rank/Grade   First   MI   Last

Duty Title: _____E-mail: _____

Office Mailing Address: _____
(Include office symbol and location)

_____

Commercial Phone Number: _____

</div>

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

UNDER SECRETARY OF DEFENSE (COMPTROLLER)
FINANCIAL MANAGEMENT AWARDS PROGRAM
Nomination Form for **INDIVIDUAL** Awards

A. **Nominee's Name & Component/Organization:** _____

B. **Name of Problem/Project/Effort:**

_____

(Please limit to 60 characters)

C. **Describe the PROBLEM/PROJECT/EFFORT** (summarize the project in 2-3 sentences):

D. **Summarize the ACTIONS and RESULTS of the team's activities that warrant an award** (What did the individual do to earn this award; what analytics were involved; what benefits or results were realized, why or how did these benefits significantly improve financial management; please be specific in terms of cost or time savings and please provide concrete examples):

(Please note: Sections C cannot exceed 700 characters with spaces & Section D cannot exceed 3300 characters with spaces)

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*Figure 2-1: Nomination Form for Team Awards

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            UNDER SECRETARY OF DEFENSE (COMPTROLLER)
            FINANCIAL MANAGEMENT AWARDS PROGRAM
                  Nomination Form for TEAM Awards
                       Calendar Year _____
                  Component/Organization _____

Award Category:    ( )    Contributions in Budget Formulation and Execution
                   ( )    Contributions in Financial Management (excluding Budget)
                   ( )    Contributions in Financial Management in a Combat Zone
                   ( )    Contributions to Financial Improvement and Audit Readiness

 Level: ( )   Headquarters and Major Command ( )   Below Major Command

Team Nominee Data (2 to 20 individuals, with no more than 20 percent contractors):

Grade/Rank    Name                    Title               Email

_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
_____  _____    _____    _____
              (Team Lead must be included in list above)
Team Lead: _____
Duty Title: _____   E-mail: _____
 Office Mailing Address:_____
Commercial Phone Number: _____
Nominating Official Data: _____
Rank/Grade/Name:_____
Duty Title:_____   E-mail: _____
Office Mailing Address: _____
Commercial Phone Number: _____
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*Figure 2-1: Nomination Form for Team Awards (cont'd)

UNDER SECRETARY OF DEFENSE (COMPTROLLER)
FINANCIAL MANAGEMENT AWARDS PROGRAM
Nomination Form for **TEAM** Awards

A. **Team Name & Component/Organization:** _____

B. **Name of Problem/Project/Effort:**

_____

(Please limit to 60 characters)

C. **Describe the PROBLEM/PROJECT/EFFORT** (summarize the project in 2-3 sentences):

D. **Summarize the ACTIONS and RESULTS of the team's activities that warrant an award** (What did the team do to earn this award; what analytics were involved; what benefits or results were realized, why or how did these benefits significantly improve financial management; please be specific in terms of cost or time savings and please provide concrete examples):

(Please note: Sections C cannot exceed 700 characters with spaces & Section D cannot exceed 3300 characters with spaces)