

**SUMMARY OF MAJOR CHANGES TO
DOD 7000.14-R, VOLUME 14, CHAPTER 6
“STATUS REPORTS ON FORMAL INVESTIGATION”**

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

Hyperlinks are denoted by *underlined, bold italic font*

PARA	EXPLANATION OF CHANGE/REVISION	PURPOSE
All	Modified paragraph numbers.	Revise
060201	Incorporates policy in the Office of the Under Secretary of Defense (Comptroller) memorandum of June 21, 2007, titled “Inter-Agency Anti-Deficiency Act (ADA) Preliminary and Formal Investigation Compressed Schedule Policy”.	Incorporate
060202 0603	Changed requirement from monthly to one time status report on potential violations as a result of a Lean6 analysis accepted by the Department of Defense (Comptroller) to streamline the process.	Incorporate
Figure 6-1	Incorporated Figure 6-2 information into Figure 6-1 and changed status report requirement from monthly to one time as a result of a Lean6 analysis accepted by the Department of Defense (Comptroller) to streamline the process.	Incorporate
Figure 6-2	Deleted Figure 6-2 and incorporated information into Figure 6-1.	Delete

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CHAPTER 6

STATUS REPORTS ON INVESTIGATIONS0601 OVERVIEW

During the course of a potential Antideficiency Act violation formal investigation, reports are required to provide status to the applicable Office of the Assistant Secretary of the Military Department for Financial Management, or the Comptroller or Senior Financial Manager for other Department of Defense (DoD) Components and the Office of the Under Secretary of Defense (Comptroller).

★ 0602 INFORMATION REQUIREMENTS

060201. When a formal investigation is initiated, the applicable Office of the Assistant Secretary of the Military Department for Financial Management, or the Comptroller or Senior Financial Manager for other DoD Components, shall assign a case number and ensure that the appointing official establishes a completion date for the formal investigation. That completion date shall allow sufficient time for the DoD Component to administer discipline and submit the Report of Antideficiency Act Violation to the Under Secretary of Defense (Comptroller) Deputy Chief Financial Officer within nine months **(six months for inter-agency investigations)** from the date the formal investigation began.

060202. The applicable Office of the Assistant Secretary of the Military Department for Financial Management, or the Comptroller or Senior Financial Manager for other DoD Components, shall report to the Office of the Under Secretary of Defense (Comptroller) Deputy Chief Financial Officer the information in Figure 6-1 when an investigating officer is appointed and begins to a formal investigation.

★ 0603 STATUS

Status on formal investigations shall be reported to the Office of the Under Secretary of Defense (Comptroller) upon request. Requests can be made starting from the beginning of the formal investigation through the date of the Report of Antideficiency Act Violation or when a “No Violation” report is provided to the Office of the Under Secretary of Defense (Comptroller). Reporting procedures are contained in Chapter 7 of this volume.

★Figure 6-1★

**POTENTIAL ANTIDEFICIENCY ACT VIOLATION CASE
SAMPLE FORMAT**

(Insert DoD Component Name and Case Number)

(Insert Date)

(1) CASE NUMBER	(2) ESTIMATED COMPLETION DATE	(3) AMOUNT	(4) APPN & TREASURY ACCT SYMBOL	(5) USC REF	(6) ORGANIZATION	(7) LOCATION
Two digit Fiscal Year and sequence number assigned by the Component. For example: 07-01	mm/dd/yyyy	Insert the amount of violation in dollars and cents.	Insert the Appropriation name Treasury Index number, Fiscal Year, basic symbol, and limit. For example: Operation and Maintenance, Air Force, 57_3400	Insert the USC reference suspected of being violated. For example: 1341(a)(1)(A) 1341(a)(1)(B) 1517(a)(1) 1517(a)(2)	Insert the name or designation of the organization where the suspected or potential violation occurred.	Insert the location of the organization where the suspected or potential violation occurred.
(8) NATURE OF VIOLATION			(9) DATE POTENTIAL VIOLATION OCCURRED	(10) DATE POTENTIAL VIOLATION DISCOVERED	(11) DATE FORMAL INVESTIGATION BEGAN	
Insert the nature of the violation. Accepted Voluntary Services, Charged Incorrect Appropriation, Disbursement(s) Exceeded Recorded Obligation(s), Exceeded Appropriation/Fund Availability, Exceeded Available Obligation Authority, Exceeded Expense Versus Procurement Limitation, Exceeded Minor Construction Limitation, Charged Incorrect Fiscal Year, Exceeded Repair and Maintenance Family Housing Limitation, Obligation Not Recorded, or Other (Explain).			mm/dd/yyyy	mm/dd/yyyy	mm/dd/yyyy	
(12) SOURCE OF POTENTIAL VIOLATION	(13) BRIEF DESCRIPTION OF POTENTIAL VIOLATION			(14) PROGRESS OF VIOLATION/OTHER COMMENTS		
Insert the source of the potential violation (audit report, provide the report number and title).	Briefly describe in a narrative what appears to have caused the potential violation. For example, use of incorrect appropriation, overobligation, inappropriate use of funds, etc.			Provide significant milestones regarding progress of the case—e.g., date investigating officer was appointed, date report was submitted to the appointing official, the FM, the Legal Office, etc. Also provide other comments as appropriate.		