

**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*.

This updated chapter supersedes the previously published version dated December 2009.

PARA	EXPLANATION OF CHANGE/REVISION	PURPOSE
601	Revised paragraph replacing “groups” with “teams”.	Update
060201	Revised paragraph B. to document all award categories.	Change
060202	Added two criteria (metric and system improvements) & revised wording slightly.	Change
060203	Replaced “three” with “four” categories.	Change
060203	Delete E. award paragraph – duplicative.	Delete
060204	Revised eligibility that excludes GO/FO, SESs & contractors from individual awards.	Update
060306	Added sentence on vetting nomination submissions.	Change
060401	Award Criteria. Replaced “Enhancements to customer service” to “Enhancement to audit readiness”.	Change
060401	Award Criteria. Add “and standardizing”.	Update
060401	Award Criteria. Add “and standardizing”.	Update
060401	Award Criteria. Add “Use of analytics/metrics”.	Update
060402	Revised for clarity – Added sentence for broad audience.	Update
060403	Revised submission specifics.	Update
060503	No Longer Required	Delete
Figure 1-1	Revised Form to include 4 <sup>th</sup> award category.	Change
Figure 2-1	Revised Form to include 4 <sup>th</sup> award category.	Change
Figure 3-1	Duplicative	Delete
Figure 3-2	Duplicative	Delete

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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 [teams](#) 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 team deemed to have achieved the most outstanding contribution(s) to the improvement of financial management internal controls, [budget formulation](#), [budget execution](#), financial management [processes](#), or financial management [processing in combat zones](#), during the preceding calendar year.

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

\* A. Improvements to Financial Management Internal Controls. This category recognizes [one individual and one team who](#) have made significant achievements to improve financial management internal controls. Good internal controls help the Department effectively achieve its objectives by ensuring (1) obligations and costs comply with applicable law; (2) funds, property, and other assets are not wasted, lost, misused, or misappropriated; and (3) revenues and expenditures are properly recorded and allow for preparation of reliable financial reports. Examples of appropriate efforts to improve internal controls include:

1. Resolving systemic weaknesses in financial management internal controls.

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

3. Executing action plans to correct internal controls deficiencies that are consistent with laws, regulations, and administrative policy.
4. Ensuring effective controls are sustainable.
5. Achieving audit readiness for an end-to-end business process.
6. Providing documented quantitative and qualitative measures of improvement (e.g., return on investment, cost savings, and cost avoidance)
7. Ensuring that adequate determination (validation or metric) is made prior to reporting a material weakness as resolved.

\* B. Improvements in Budget **Formulation and Execution**. This category recognizes **one individual and one team** who make significant contributions **in improving the budget build process and** execution of **DoD** funds. Improved execution of budgets serves to minimize Anti-Deficiency Act violations and ensure protection of Department assets. Improvements can be in budgeting, accounting, financial analysis, auditing, and other fields related to execution. Examples of appropriate efforts include:

1. Identifying and correcting deficiencies in administrative control of funds.
2. Reducing problem disbursements.
3. Reducing aged accounts receivable and payable.
4. Prompt recording of commitments and obligations.
5. Improving funds control.
6. Training to improve knowledge of performance in budget execution.
7. **Refinement of metrics used to determine funding impacts on program performance.**
8. **IT System improvements that support reliable cost projections for building budgets.**

\* C. Innovations to Financial Management Processes. This category recognizes **one individual and one team** who make significant contributions to modernize and improve financial management processes for recording, managing, and reporting 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. Developing and reengineering a process or processes to implement an enterprise resources planning system.

D. Innovations in Financial Management Processing in a Combat Zone. This category recognizes one individual and one team who make significant contributions to improve financial management processing while deployed to a combat zone. Examples of appropriate efforts include:

1. Recommending improvements to an existing process that facilitate expenditure and tracking of funds in a combat zone.
2. Changing a process or steps of a process that results in greater transparency of funds provided directly to foreign nationals (e.g., pay, reconstruction funds, etc.).
3. Implementing controls that improve auditability of funds managed in the theater.

\* 060203. Award Levels. Sixteen separate awards can be awarded in the following categories:

A. Individual Nominee, Headquarters and Major Command Level: One individual from a Headquarters and Major Command element of an organization will receive an award in each of the four award categories defined in paragraphs 060202 A through D above. Headquarters level is defined as the Headquarters of a Military Service or a Defense Agency. Major Command level is defined as the highest level of command below the Headquarters level, within the Military Service. Contractors cannot be nominated for individual awards.

B. Team Nominee, Headquarters and Major Command Level: Two or more individuals working together as part of a team from a Headquarters and Major Command element of an organization will receive an award in each of the four award categories defined in paragraphs 060202 A through D above. Headquarters level is defined as the Headquarters of a

Military Service or a Defense Agency. Major Command level is defined as the highest level of command below the Headquarters level, within the Military Service. See paragraph 060205 for Team Criteria and inclusion of contractors in award nominations.

C. Individual Nominee, Below Headquarters and Major Command Level: One individual from Below Headquarters and Major Command element of an organization will receive an award in each of the **four** award categories defined in paragraphs 060202 A through **D** above. Organizations that do not fall into the Headquarters and Major Command category should be included in this category. Contractors cannot be nominated for individual awards.

D. Team Nominee, Below Headquarters and Major Command Level: Two or more individuals working together as part of a team from Below Headquarters and Major Command element of an organization will receive an award in each of the **four** award categories defined in paragraphs 060202 A through **D** above. Organizations that do not fall into the Headquarters and Major Command category should be included in this category.

060204. Eligibility. Any military member or civilian employee of the DoD (to include Reserve Components) is eligible for nomination. **General/Flag Officers, Senior Executive Service, and contactors cannot be nominated for individual awards. However, they can be part of a team award.**

060205. Team Criteria. For purposes of these awards, a team is considered as a group of individuals, made up of 2 to 20 individuals, brought together to perform a specific task within a specific time frame. 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 OUSD (Comptroller)'s Financial Management Workforce Office (**FMWO**) 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 Head of the **FMWO**, or designee, (Chair) with **voting** representatives 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 Head of the FMWO by the first week in March, each year, of the representative selected from their Component. The Financial Management Workforce Office 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.

\* 060306. Heads of DoD Components are responsible for vetting the nominations prior to submission to the FMWO. Nominations should be examined for duplications, incomplete submission, and noncompliance with instructions.

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. Reduction of costs (in dollars and/or human resources).
- B. Improvement in the timeliness and accuracy of information.
- C. Enhancements to [audit readiness](#).
- D. Streamlining [and standardizing](#) policies, procedures, and systems.
- E. [Use of analytics/metrics](#).

\* 060402. Nomination Format. Follow Figures 1-1 [and](#) 2-1, (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, and nominating official signature.

B. Part B includes the nominee or team name, a brief description of the [problem or](#) project or effort; a summary of the actions and activities performed by the individual to warrant consideration for a Financial Management Award; and a summary of the benefits or results realized by the nominee's or team's effort.

C. The nomination is limited to a total of two pages, to include Part A and Part B. In addition, the nominating official must use at least 12-pitch font.

D. Nomination should be written to a broad and diversified audience. Limit the use of acronyms and excessive superlatives. Nominations should be written in a clear and concise manner.

\* 060403. Submission of Nominations. Heads of DoD Components shall submit nominations to the OUSD (Comptroller)'s FMWO, online. Specific details will be provided in USD(C) memorandum announcing the annual awards. Also, 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).



<b>UNDER SECRETARY OF DEFENSE (COMPTROLLER)</b> <b>FINANCIAL MANAGEMENT AWARDS PROGRAM</b> Nomination Form for <b>INDIVIDUAL</b> Awards – <b>PART A</b> <b>Calendar Year</b> _____ <b>Component/Organization</b> _____				
<b>Award Category:</b>	<input type="checkbox"/>	<b>Improvements to Financial Management Internal Controls</b>		
	<input type="checkbox"/>	<b>Improvements to Budget Formulation and Execution</b>		
	<input type="checkbox"/>	<b>Innovations to Financial Management Processes</b>		
	<input type="checkbox"/>	<b>Innovations in Financial Management in a Combat Zone</b>		
<b>Level:</b>	<input type="checkbox"/>	<b>Headquarters and Major Command</b>		
	<input type="checkbox"/>	<b>Below Major Command</b>		
<b>Individual Nominee Data (contractors are not eligible for individual awards):</b>				
Rank/Grade/Name:	_____	_____	_____	_____
	Rank/Grade	First	MI	Last
Duty Title:	_____	E-mail:	_____	
Office Mailing Address:	_____			
(Include office symbol and location)	_____			
Commercial Phone Number:	_____			
<b>Nominating Official Data:</b>				
Rank/Grade/Name:	_____	_____	_____	_____
	Rank/Grade	First	MI	Last
Duty Title:	_____	E-mail:	_____	
Office Mailing Address:	_____			
(Include office symbol and location)	_____			
Commercial Phone Number:	_____			
_____			_____	
<b>Signature of Nominating Official</b>			<b>Date</b>	

\*Figure 1-1: Nomination Form for Individual Awards

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

**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 activities of the individual that warrant an award (what did the individual do to earn this award; **what analytics were involved**; please use bullets and concrete examples):

**E. Summarize the RESULTS** (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; please use bullets and concrete examples):

(Limited to one page; please use 12 pitch font)

**\*Figure 1-2: Nomination Form for Individual Awards (cont’d)**



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

**E. Team Name & Component/Organization:** \_\_\_\_\_

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

\_\_\_\_\_  
(Please limit to 60 characters)

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

**H. Summarize the ACTIONS and activities of the team that warrant an award** (what did the team do to earn this award; **what analytics were involved**; please use bullets and concrete examples):

**E. Summarize the RESULTS** (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; please use bullets and concrete examples):

(Limited to one page; please use 12 pitch font)

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