

**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*

PARAGRAPH	EXPLANATION OF CHANGE/REVISION	PURPOSE
0602	Rearranged section content, referenced corrective actions in Chapter 5 of this volume and referenced reporting timeframes in Chapter 7 of this volume.	Update

**TABLE OF CONTENTS**

**STATUS REPORTS ON INVESTIGATIONS**

0601 Overview

\* 0602 Information Requirements

0603 Status

## CHAPTER 6

STATUS REPORTS ON INVESTIGATIONS0601 OVERVIEW

During the course of a formal investigation, [status](#) reports to the applicable Office of the Assistant Secretary of the Military Department for Financial Management and Comptroller, Senior Financial Manager for other Department of Defense (DoD) Components ([referred herein as DoD Component](#)), or the Office of the Under Secretary of Defense (Comptroller) [are required](#).

0602 INFORMATION REQUIREMENTS

\* 060201. When a formal investigation is initiated, the applicable [DoD Component](#) shall assign a case number and establish a completion date for the formal investigation. The completion date shall allow sufficient time for the DoD Component to [perform corrective actions, seek advance DoD Office of the Deputy General Counsel \(Fiscal\) decision, and administer discipline in accordance with Chapter 5, section 0504 of this volume](#).

060202. When an investigating officer is appointed and a formal investigation [begins](#), the applicable [DoD Component](#) shall report the information in Figure 6-1 to the [Office of the Under Secretary of Defense \(Comptroller\) Deputy Chief Financial Officer \(OUSDC\) DCFO](#).

060203. The [DoD Component](#) shall submit the Antideficiency Act [Report](#) to the [OUSDC\) DCFO](#) within the provisions and timeframes provided in [Chapter 7](#) of this volume.

0603 STATUS

Status on formal investigations shall be reported to the [OUSDC\) DCFO](#) upon request. Requests can be made starting from the beginning of the formal investigation through the date the [final](#) Antideficiency Act [Report](#) is provided to the [OUSDC\) DCFO](#).

Figure 6-1

**POTENTIAL ANTIDEFICIENCY ACT VIOLATION CASE  
SAMPLE FORMAT**

(Insert DoD Component Name and Case Number)

(Insert Date)

<b>(1) CASE NUMBER</b>	<b>(2) ESTIMATED COMPLETION DATE</b>	<b>(3) AMOUNT</b>	<b>(4) APPN &amp; TREASURY ACCT SYMBOL</b>	<b>(5) USC REF</b>	<b>(6) ORGAN- IZATION</b>	<b>(7) LOCATION</b>
Two-digit Fiscal Year and sequence number assigned by the Component.  For example: 10-01	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 20102010 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.
<b>(8) NATURE OF VIOLATION</b>			<b>(9) DATE POTENTIAL VIOLATION OCCURRED</b>	<b>(10) DATE POTENTIAL VIOLATION DISCOVERED</b>	<b>(11) DATE FORMAL INVESTIGATION BEGAN</b>	
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	
<b>(12) SOURCE OF POTENTIAL VIOLATION</b>	<b>(13) BRIEF DESCRIPTION OF POTENTIAL VIOLATION</b>			<b>(14) PROGRESS OF VIOLATION/OTHER COMMENTS</b>		
Insert the source of the potential violation (audit report including the report number and title).	Briefly describe in a narrative what appears to have caused the potential violation – e.g., use of incorrect appropriation, overobligation, inappropriate use of funds.			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. Also provide other comments as appropriate.		