



# Department of Defense **INSTRUCTION**

**NUMBER** 1300.26  
November 20, 2013

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USD(C)/CFO

**SUBJECT:** Operation of the DoD Financial Management Certification Program

**References:** See Enclosure 1

1. PURPOSE. This instruction:

a. Reissues Directive-type Memorandum 13-004 (Reference (a)) as a DoD instruction (DoDI) in accordance with the authority in DoD Directive (DoDD) 5118.03 (Reference (b)) and section 1599d of Title 10, United States Code (Reference (c)) to establish policy, assign responsibilities, and prescribe procedures for implementation of the DoD Financial Management (FM) Certification Program (referred to in this instruction as the “Certification Program”).

b. Establishes the Certification Program Management Structure.

2. APPLICABILITY. This instruction applies to the OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this instruction as the “DoD Components”).

3. POLICY. It is DoD policy that:

a. The Certification Program supports the professional development of the FM workforce and provides a framework for a standard body of knowledge across the FM workforce.

b. Members of the FM workforce are required to participate in the Certification Program; therefore, achieving certification is a condition of employment in that members of the FM workforce must be able to obtain the appropriate certification level for their positions within 2 years after assignment.

(1) The FM workforce includes DoD military and civilian personnel who perform FM work and are assigned to FM positions. FM positions include military and civilian positions that perform, supervise, or manage work of a fiscal, financial management, accounting, auditing, cost or budgetary nature, or that require the performance of financial management-related work.

(2) FM positions are those civilian positions with a 05XX series, military positions with FM occupational specialties, and non-05XX/military positions performing financial management work when designated by DoD Components and if Acquisition coded in areas other than Business-Financial Management, Business-Cost Estimating and Acquisition Audit, as approved by the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)).

c. Individuals assigned to positions with an FM Certification designation must comply with FM Certification requirements within 2 years from notification. If an individual transfers to a new position during the initial 2 years that requires the same FM certification level, he or she is required to complete certification within the original 2 year period. However, personnel with Defense Acquisition Workforce Improvement Act (DAWIA) Certifications outlined in DoDI 5000.66 (Reference (d)) required to complete FM certification will be given consideration for time waivers if required.

d. The Certification Program requirements will be uniformly applied to all designated FM positions. FM positions will be designated by DoD Components with a specific certification level based on the complexity and level of responsibility of the position. In those cases where positions are designated as both FM and DAWIA (Business Financial Management, Business Cost Estimating, or Auditing) personnel will be required to complete both certification programs. Approval of FM Certification will be granted provided the applicable requirements in this instruction are completed.

e. The Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense (USD(C)/CFO) is authorized to waive any requirement prescribed in the Certification Program.

4. **RESPONSIBILITIES**. See Enclosure 2.

5. **RELEASABILITY**. **Unlimited**. This instruction is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

6. **EFFECTIVE DATE**. This instruction:

a. Is effective November 20, 2013.

b. Must be reissued, cancelled, or certified current within 5 years of its publication to be considered current in accordance with DoDI 5025.01 (Reference (e)).

c. Will expire effective November 20, 2023 and be removed from the DoD Issuances Website if it hasn't been reissued or cancelled in accordance with Reference (e).

A handwritten signature in black ink that reads "Robert F. Hale". The signature is written in a cursive, flowing style.

Robert F. Hale  
Under Secretary of Defense (Comptroller)/  
Chief Financial Officer, Department of Defense

Enclosures

1. References
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Glossary

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ENCLOSURE 1

REFERENCES

- (a) Directive-type Memorandum 13-004, "Operation of the DoD Financial Management (FM) Certification Program," March 22, 2013, as amended (hereby cancelled)
- (b) DoD Directive 5118.03, "Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense (USD(C)/CFO)," April 20, 2012
- (c) Section 1599d of Title 10, United States Code
- (d) DoD Instruction 5000.66, "Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program," December 21, 2005
- (e) DoD Instruction 5025.01, "DoD Directives Program," September 26, 2012, as amended
- (f) DoD Instruction 1400.25, Volume 250, "DoD Civilian Personnel Management System: Civilian Strategic Human Capital Planning (SHCP)," November 18, 2008
- (g) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," June 23, 2008
- (h) DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L))," December 9, 2005, as amended
- (i) Section 867 of Public Law 112-81, "National Defense Authorization Act for Fiscal Year 2012," December 31, 2011
- (j) Sections 1-13 of Title 5, United States Code Appendix (also known as the "Inspector General Act of 1978," as amended)
- (k) DoD Directive 5100.01, "Functions of the Department of Defense and Its Major Components," December 21, 2010
- (l) DoD Instruction 7600.02, "Audit Policies," April 27, 2007
- (m) Executive Order 12333, "United States Intelligence Activities," December 4, 1981
- (n) Chairman of the Joint Chiefs of Staff Instruction 1001.01A, "Joint Manpower and Personnel Program," February 6, 2013
- (o) International Association for Continuing Education and Training Website, <http://www.iacet.org/ceus/about-the-ceu>
- (p) Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense Memorandum, "Department of Defense (DoD) Financial Management (FM) Civilian Enterprise-wide Competencies," November 16, 2011
- (q) DoD Instruction 1430.16, "Growing Civilian Leaders," November 19, 2009

ENCLOSURE 2

RESPONSIBILITIES

1. USD(C)/CFO. As authorized by Reference (b), and in addition to the responsibilities in section 5 of this enclosure, the USD(C)/CFO:
  - a. Establishes the Certification Program for the FM workforce.
  - b. Carries out all powers, functions, and duties of the Secretary of Defense with respect to the Certification Program.
  - c. Establishes policy, provides oversight, and ensures resourcing for the Certification Program.
  - d. Develops a methodology to measure the effectiveness of the Certification Program. Continually reviews and updates the Certification Program to ensure it remains relevant and continues to provide the FM workforce with the required training and standard body of knowledge to achieve the goals and meet the future requirements of the DoD.
  - e. Coordinates changes to the Certification Program with all DoD Components to understand the impact of changes on the FM workforce and resources.
  - f. Coordinates with the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) and the DoD Component heads to establish and maintain a DoD FM learning management system (FM LMS) for the execution and management of the Certification Program across all DoD Components.
  - g. Provides an enterprise-level FM LMS Help Desk to provide technical support related to the FM LMS.
  - h. Supports the efforts of the Under Secretary of Defense for Intelligence (USD(I)) to ensure the DoD intelligence community's inclusion in the Certification Program.
  - i. Chairs the Certification Program's Senior FM Leadership Group.
  - j. Appoints the FM OSD Functional Community Manager (FM OFCM) to oversee the development and implementation of the Certification Program. The FM OFCM will chair the FM Component Functional Community Manager (FM CFCM) Advisory Group, which provides input to the Senior FM Leadership Group regarding the implementation of the program.
  - k. Appoints a Certification Program Governing Body (referred to in this instruction as the "Governing Body") to develop business rules for awarding credit for courses and training not currently aligned to FM and leadership competencies, as identified in the FM LMS.

l. Coordinates with the Office of the USD(P&R), Military Departments, USD(AT&L), and other organizations that maintain personnel data systems (PDSs) to document FM members' required certification levels and the achievement of certification in applicable PDSs.

m. Provides input to the DoD strategic human capital planning process as it pertains to the FM workforce and the Certification Program in accordance with Volume 250 of DoDI 1400.25 (Reference (f)).

n. Monitors the Certification Program for compliance with the provisions of this instruction.

2. USD(P&R). As authorized by DoDD 5124.02 (Reference (g)), and in addition to the responsibilities in section 5 of this enclosure, the USD(P&R):

a. Supports the USD(C)/CFO in establishing and maintaining the Certification Program. Provides advice, assistance, and collaborates on the implementation of the Certification Program to ensure compliance with applicable manpower and personnel management statutes, regulations, and policies.

b. Works with DoD Components to ensure all FM workforce civilian position descriptions (PDs) stipulate that the position is in the Certification Program and include the position's certification level.

c. Ensures the Defense Civilian PDS or similar civilian personnel systems are able to accept Certification Program data for processing, storage, and transmittal in support of the Certification Program.

d. Provides technical expertise in the alignment of leadership courses to Leadership Competency Levels.

3. USD(AT&L). In order to maintain authority over the Defense Acquisition Workforce, as authorized by DoDD 5134.01 (Reference (h)) and section 867 of Public Law 112-81 (Reference (i)) and in addition to the responsibilities in section 6 of this enclosure, the USD(AT&L):

a. Determines whether the following FM members of the acquisition workforce will participate in the certification program.

(1) Civilians not in the 05XX series, who occupy acquisition positions in areas other than Acquisition Business FM, Business Cost Estimating, and Acquisition-Auditing, or

(2) Military not in FM occupational specialties, who occupy acquisition positions in areas other than Acquisition Business FM, Business Cost Estimating, and Acquisition-Auditing.

b. Coordinates with DoD Components on compliance actions involving Acquisition workforce personnel participating in the certification program.

4. INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE (IG DoD). In order to maintain their independence in accordance with sections 1-13 of Title 5, United States Code Appendix, also known and referred to in this instruction as the “Inspector General Act of 1978,” as amended (Reference (j)), and consistent with the authorities granted to the IG DoD pursuant to DoDD 5100.01 (Reference (k)) and DoDI 7600.02 (Reference (l)), the IG DoD determines which members of the FM workforce in the Offices of the IG DoD, and the Offices of the Inspectors General for the DoD designated federal entities as identified in the Inspector General Act of 1978 (Defense Intelligence Agency, the National Geospatial-Intelligence Agency, the National Reconnaissance Office, and the National Security Agency) will not participate in the Certification Program.

5. USD(I). As authorized by Reference (k) and Executive Order 12333 (Reference (m)), and in addition to the responsibilities in section 6 of this enclosure, the USD(I) ensures compliance with this instruction and applicable laws for Defense Security Service and the Defense Intelligence Components, to include Defense Intelligence Agency, National Geospatial-Intelligence Agency, National Reconnaissance Office, and National Security Agency, except for members of the Defense Intelligence Components covered under section 4 of this enclosure. Compliance actions involving Defense Intelligence Components must be coordinated with the Office of the Director of National Intelligence's Chief Financial Officer (ODNI/CFO).

6. OSD AND DoD COMPONENT HEADS. In addition to overseeing senior FM leader implementation of the procedures of the Certification Program, the OSD and DoD Component heads:

a. Administer the Certification Program in accordance with this instruction. DoD Components may supplement the requirements of the Certification Program to meet their specific missions. They may not delete or modify any of the minimum Certification Program requirements outlined in this instruction.

b. Appoint an FM CFCM in accordance with Reference (f) to:

(1) Oversee the implementation of the program.

(2) Support the Office of the USD(C)/CFO (OUSD(C)) with the administration of the Certification Program by active membership and participation in the FM CFCM Advisory Board and FM CFCM Working Group meetings, as required and outlined in Enclosure 4 of this instruction.

c. Appoint individuals to serve as the Certification Program Component Certification Authority (CCA), through a formal delegation of authority document. Components may designate multiple CCAs, as required for their organization. Ensure CCAs are trained in their

roles and responsibilities within the Certification Program and in the functionality of the FM LMS as outlined in Appendix 1 to Enclosure 3 of this instruction.

d. Identify individuals to serve as the Component's Approver Level 2 (A2) if the Component requires an intermediary authority, at the organizational level, for the Certification Program. Components may designate multiple A2s as required for their organization. Ensure A2s are trained in their roles and responsibilities within the Certification Program and in the functionality of the FM LMS as outlined in Appendix 1 of Enclosure 3 of this instruction.

e. Identify individuals to serve as Component Administrators (CAs) for the FM LMS who are able to manage the organizational and user information within the FM LMS and provide first response support for FM LMS specific questions. Components may designate multiple CAs as required for their organization. If multiple CAs are identified, the Component must identify Lead CAs to liaison with OUSD(C) on LMS and training updates. Ensure CAs are trained in their roles and responsibilities within the Certification Program and in the functionality of the FM LMS, as outlined in Appendix 1 to Enclosure 3 of this instruction.

f. Ensure timely development of their FM members to ensure they meet Certification Program requirements.

g. Allow all FM members reasonable duty time to complete the Certification Program coursework and sustain certification within organizational workload and funding constraints.

h. Identify each applicable civilian and military FM position with the appropriate certification level (1 – 3) in accordance with established classification categories. Document FM positions in organizational manpower systems according to the guidance provided in Enclosure 3 of this instruction.

i. Ensure that FM workforce civilian PDs and the appropriate military service classification document for military occupational specialties or ratings included in the Certification Program stipulate that position is in the Certification Program and include the position's certification level.

j. Provide OUSD(C) Course-to-Competency (C2C) alignment information of courses developed internally. Update alignment information as outlined in Appendix 2 to Enclosure 3 of this instruction.

k. Monitor achievement of required continuing education and training (CET) hours of the FM members and ensure CET hours are documented in the FM LMS.

l. Integrate the Certification Program with the Component's career roadmaps, individual development plans (IDPs), and personnel policies and procedures.

m. Allocate budget resources, within fiscal controls, for the Component's management and execution of the Certification Program.

n. Ensure coordination between the joint organizations and the Component in respect to designating positions, coding joint authorization documents, and operation of the program.

o. Comply with collective bargaining obligations as applicable.

p. Identify and coordinate with the USD(AT&L) to determine whether FM members of the acquisition workforce in these categories paragraphs will participate in the certification program:

(1) Civilians not in the 05xx series, occupying acquisition positions in areas other than Acquisition Business FM, Business Cost Estimating, and Acquisition-Auditing, or

(2) Military not in FM occupational specialties, occupying acquisition positions in areas other than Acquisition Business FM, Business Cost Estimating, and Acquisition-Auditing.

q. Coordinate with the USD(AT&L) on compliance actions involving the acquisition workforce personnel participating in the certification program.

ENCLOSURE 3

PROCEDURES

1. ROLES AND RESPONSIBILITY OF FM COMMUNITY. The FM community consists of FM leaders, managers, and members. Each plays a critical role in the operation of the Certification Program.

a. The FM OFCM:

(1) Advises and supports the USD(C)/CFO in executing the Certification Program in accordance with this instruction.

(2) Manages the Certification Program for the USD(C)/CFO.

(3) Maintains the uniform framework of the Certification Program's certification requirements.

(4) Assists the DoD Components in their execution of the Certification Program.

(5) Meets with working or advisory groups as required in support of the Certification Program.

(6) Provides quality assurance for the Certification Program, including review of DoD Component-approved waivers and CET earned by the FM members.

(7) Chairs the FM CFCM Working Group.

(8) Chairs the FM CFCM Advisory Board.

(9) Serves as the Executive Secretary of the Certification Program Senior FM Leadership Group for the USD(C)/CFO.

(10) Analyzes the Certification Program and workforce metrics.

(11) Manages and oversees the FM LMS.

(12) Ensures that the FM LMS is available for use by the DoD Components.

(13) Chairs the Governing Body and ensures the timely C2C of courses not currently aligned to FM and leadership competencies. Ensures the FM LMS course inventory is updated on a periodic basis, including courses approved by the Governing Body.

(14) Develops and maintains relevancy of the Certification Program's uniform framework of certification requirements and standards.

(15) Provides Certification Program specific training, including web-based training, virtual instructor led training, and training aids to support the FM members, supervisors, CAs, and CCAs.

(16) Develops, in coordination with the DoD Components, selected FM web-based courses to increase the courses available to the entire FM workforce.

(17) Validates requirements and resources the FM LMS.

b. Service or Defense Agency FM CFCMs:

(1) Execute the Certification Program for their DoD Component in accordance with this instruction.

(2) Represent the DoD Component on the FM CFCM Advisory Board, FM CFCM Working Group and the Governing Body in accordance with this instruction.

(3) Serve as the DoD Component's functional point of contact for the FM OFCM.

c. The CCA:

(1) Is formally appointed by the Assistant Secretary or Principal Deputy of Financial Management and Comptroller for the Military Departments or by the Senior FM for all other DoD Components. Copies of appointment letters will be provided to the FM OFCM.

(2) Serves as the approval authority for achieving Certification Levels 1 through 3, as required in the Certification Program.

(3) Approves or disapproves waiver requests.

(4) Completes training on Certification Program roles and responsibilities and the functionality of the FM LMS.

(5) Supports the FM CFCM in the administration of the Certification Program.

(6) Does not further delegate these authorities.

d. The CAs:

(1) Are appointed by their FM CFCM to manage the administration of the Certification Program with the FM LMS.

(2) Complete training on the Certification Program roles and responsibilities and the functionality of the FM LMS.

(3) Manage the organizational hierarchies, including FM member and supervisor relationships, in the FM LMS for the DoD Component's respective domain.

e. The FM member's supervisors (or individuals designated as supervisors in the FM LMS):

(1) Have a key role in continuous learning. They should provide guidance to FM workforce members on which education and training is most valuable for job and mission performance and record it in IDPs.

(2) Serve as the approval authority for achievement of competencies and other certification requirements necessary to complete Certification Levels 1 through 3 in the Certification Program.

(3) Notify FM members, in writing, of their FM certification requirements, based on their assigned position, to include the certification level. Assist FM members in achieving their certification level within the required time period.

(4) Use the FM LMS to verify completion of FM members' individual achievements to meet certification requirements.

(5) Complete training on the Certification Program roles and responsibilities and the functionality of the FM LMS.

(6) Work with the CA to ensure the organizational hierarchy is correct in the FM LMS.

(7) Monitor and track the progress of the FM members within their approval authority in accordance with this instruction.

f. The DoD Components' A2, if appointed by the Component:

(1) Serves as an intermediary authority, at the organizational level, for approving Certification Levels 1 through 3, as required in the Certification Program. Ensures requests for certification are complete prior to forwarding to the CCA.

(2) Completes training on Certification Program roles and responsibilities and the functionality of the FM LMS.

(3) Supports the CCA in the administration of the Certification Program.

(4) Monitors and tracks the progress of the FM member within his or her approval authority in accordance with this instruction.

g. Military and civilian members of the FM workforce:

(1) Participate in the Certification Program.

(2) Achieve the required certification level of their positions within 2 years of notification of their certification requirements.

(3) Verify personnel records are updated with certification information.

(4) Complete the requisite quantity of CET every 2 years to sustain the achieved certification level.

(5) Maintain a record of CET hours earned in the DoD FM LMS and provide that information, with supporting documentation, as required.

2. IDENTIFYING AND DESIGNATING FM POSITIONS

a. Identifying FM Positions

(1) FM positions are identified as civilian or military positions that perform, supervise, or manage the work of a fiscal, FM, accounting, auditing, cost, or budgetary nature, or that require the performance of FM-related work.

(2) FM positions to which this certification applies:

(a) Civilian positions coded with the 05XX Occupational Series listed in Table 1 of this enclosure.

(b) Civilian positions not coded with the 05XX Occupational Series that perform, supervise, or manage the work of a fiscal, FM, accounting, auditing, cost, or budgetary nature when designated by DoD Components. USD(AT&L) approval is required for inclusion of acquisition-coded positions in areas other than Business-FM, Business-Cost Estimating, and Acquisition-Auditing.

Table 1. Civilian FM Occupational Series

| <b>Civilian FM Occupational Series</b> |                                      |      |                   |
|--|--------------------------------------|------|-------------------|
| 0501*                                  | Financial Administration and Program | 0540 | Voucher Examining |
| 0503                                   | Financial Clerical and Assistance    | 0544 | Civilian Pay      |
| 0505                                   | Financial Management                 | 0545 | Military Pay      |

Table 1. Civillian FM Occupational Series, Continued

| <b>Civilian FM Occupational Series</b> |                       |   |                                      |
|--|-----------------------|---|--------------------------------------|
| 0510*                                  | Accounting            | 0560*                                     | Budget Analysis                      |
| 0511*                                  | Auditing              | 0561                                      | Budget Clerical and Assistance       |
| 0525                                   | Accounting Technician | 0599                                      | Financial Management Student Trainee |
| 0530                                   | Cash Processing       | * Mission critical FM occupational series |                                      |

(c) Military positions coded with an FM/Comptroller/Resource Management Occupational Series.

(d) Military positions not coded with the FM/Comptroller/Resource Management Occupational Series that perform, supervise, or manage FM work of a fiscal, financial management, accounting, auditing, cost, or budgetary nature when designated by DoD Components. AT&L approval is required for inclusion of Acquisition coded positions in areas other than Business-Financial Management, Business-Cost Estimating and Acquisition Audit.

b. Designating and Coding FM Positions with Certification Levels

(1) DoD Components determine and designate the required certification level for each FM position within the Component. DoD Components with civilian and military personnel assigned to joint organizations or positions will coordinate with the Joint Staff, the Military Departments, the Combatant Command Support Agency (if applicable) and USD(AT&L) (for Acquisition coded positions outside of Business-Financial Management and Business-Cost Estimating) in the designation of the positions and updating PDSs and joint manning documents in accordance with Chairman of the Joint Chiefs of Staff Instruction 1001.01A (Reference (n)).

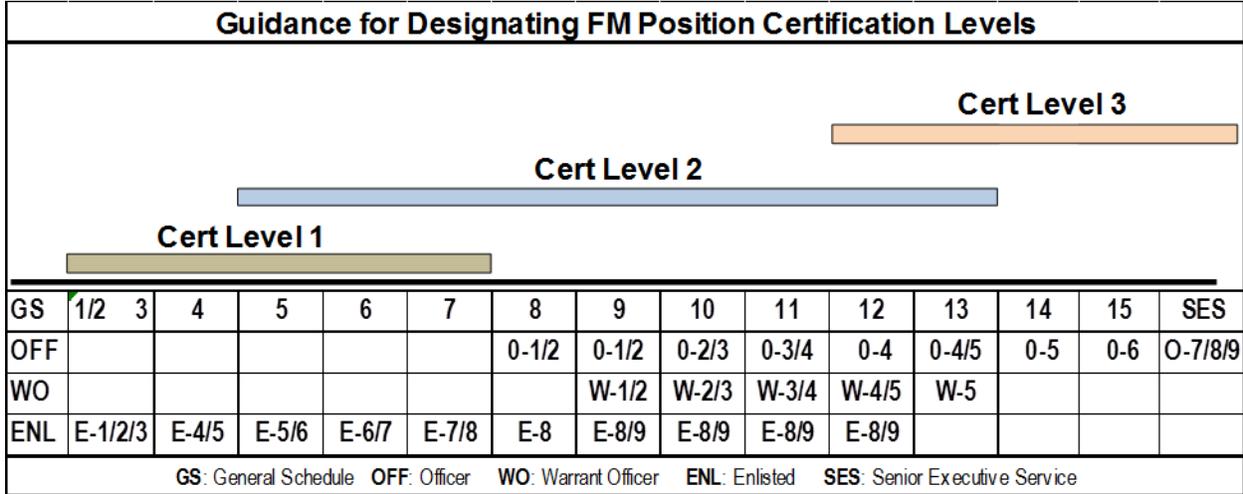
(2) The three Certification Program certification levels are defined in the Glossary.

(3) DoD Components determine the certification level of their FM positions considering the complexity and level of responsibility of the position. The Figure provides general guidance for designating the certification level of positions for General Schedule (or equivalent) and Senior Executive Service civilians (or equivalent), commissioned officers, warrant officers, and enlisted. The Components have discretion in applying the guidance to their respective organizations for all pay plans to include other broadband or pay-band equivalents.

(4) The discretion allowed the DoD Components is intended to provide flexibility rather than a prescriptive crosswalk of grade or rank to certification level. For example, a position of a lower grade or rank, such as a supervisor at a field activity or operational unit, may have a higher

certification level than a position of the same or higher grade or rank in an organization at a higher echelon.

Figure. FM Position Designation Guidance



(5) DoD Components must ensure the appropriate certification level, for FM positions in the Certification Program, is reflected in the appropriate Military Service classification document for military occupational specialties or ratings and civilian PDs.

(6) DoD Components should designate Certification Program positions with a FM Certification Level of 1, 2, or 3 in the Component’s organizational manpower systems.

3. INCLUSION OF FM MEMBERS INTO THE CERTIFICATION PROGRAM

a. Full-time civilians and active duty military FM members:

(1) When FM members are placed in an FM certification position, the DoD Component will either document that the individual has satisfied appropriate certification training requirements or establish a plan for the individual to meet the requirements within 2 years of assignment.

(a) The DoD Components will inform the FM members, in writing, of the date their positions are designated with a Certification Program certification level and document the notification within 30 days of the intended start date. The date listed on the notification document is considered the actual start date.

(b) If, during the initial 2 years, the FM member transfers to a new position that requires the same certification level of the previous position, then the FM member is notified of the requirement to complete certification within the original 2 year period.

(c) If the FM member transfers to a position for which he or she has already achieved the required Certification Level, the member will be notified of the requirement to maintain certification by completing CETs.

(2) If the DoD Component has included the FM Certification requirement in the civilian PD or in the requirements for a military FM position, the date the FM member is assigned can be considered the start date.

(3) Additional information and templates to assist the DoD Components with official written notification of employees can be found on the FM Online Website.

b. Other members of the DoD FM workforce assigned to positions designated with an FM Certification level are addressed in Appendix 3 to this enclosure. For the purpose of this policy this population includes:

(1) Reserve and National Guard (NG) Military Service members.

(2) Part-time and temporary civilian employees.

#### 4. ACHIEVING, DOCUMENTING, AND SUSTAINING FM CERTIFICATION

##### a. Achievement of FM Certification

(1) The FM member must be able to obtain the FM Certification requirement of the position he or she is assigned. In the event an individual cannot obtain the FM Certification in the initial 2-year time period, the CCA may grant a time waiver (s) in 1-year increments to remain in the position. If an individual fails to obtain the required FM Certification and the CCA approved time waiver(s) have expired, the individual is subject to adverse actions.

(2) Once an FM member achieves certification at the level required for the position assigned, the member is awarded the following designation.

(a) Certification Level 1: DFMCP1 (DoD FM Certification Program Level 1)

(b) Certification Level 2: DFMCP2 (DoD FM Certification Program Level 2)

(c) Certification Level 3: DFMCP3 (DoD FM Certification Program Level 3)

##### b. Documenting FM Certification

(1) Once an FM member is included in the Certification Program, the member uses the FM LMS to document training for FM Certification.

(a) The member assembles documentation of FM and leadership courses and uses the FM LMS to document achievement of certification requirements, as outlined in Appendix 1 to

this enclosure. Workshops, seminars, or symposiums that are not structured learning events with at least one course objective, and agenda, or an outline (e.g., a professional society event) cannot be used to satisfy the requirements of initial certification; however, they do qualify for CETs.

1. Documentation used to verify completion of courses is provided by an independent party that substantiates completion of a course or program.

2. Examples of acceptable documentation include, but are not limited to, academic transcripts, certificates of completion, and DD Form 214, "Certificate of Release or Discharge from Active Duty."

(b) The member provides documentation or verification, as required in the FM LMS. When the member determines all certification requirements for his or her specific certification level are completed, the member submits a request for approval of certification to the supervisor.

(c) The member may request a waiver in accordance with the waiver policy outlined in section 6 of this enclosure when submitting a request for certification.

(2) The supervisor (or individuals designated as supervisors in the FM LMS) reviews each request for approval of certification and either:

(a) Recommends approval and forwards the request; or

(b) Disapproves the request and notifies the member of the reason for disapproval.

(3) The A2, if applicable, reviews each request for certification already recommended for approval by the supervisor and either:

(a) Recommends approval and forwards the request to the CCA; or

(b) Disapproves the request and notifies the supervisor of the reason for disapproval.

(4) The CCA reviews each request for certification.

(a) When a CCA approves certification, including requested waivers, the CCA posts and maintains the FM workforce member's certification achievement in the FM LMS.

(b) When a CCA disapproves certification, the CCA notifies the supervisor and member of the disapproval, and the reason for the disapproval.

(5) After a CCA approves certification, the DoD Component can print the Certification Program certificate signed by the USD(C)/CFO using the FM LMS.

c. Sustainment of FM Certification

(1) After achievement of certification, FM workforce members are required to maintain their FM Certification and improve their FM proficiency and skills by taking available FM or leadership professional education and training. To sustain an achieved certification level, a member must earn a specific quantity of CET hours every 2 years.

(2) The CET requirements for each FM certification level are:

- (a) 40 hours every 2 years for Certification Level 1.
- (b) 60 hours every 2 years for Certification Level 2.
- (c) 80 hours every 2 years for Certification Level 3.

(3) The 2-year time period for CET requirements begins on date of the FM workforce member's FM Certification approval and extends to the same day of the 24th following month.

(a) Each successive 2-year period is defined accordingly, and the CET requirement applies to each 2-year period.

(b) The time periods for FM Certification CETs may not be adjusted to coincide with time periods for continuing education requirements of any of the other 20 test-based FM certification programs, such as Certified Public Accountant.

(4) CET hours may be credited in any of the following manners, as long as the education or training is completed within the applicable 2-year time period:

(a) The intent of this policy is that continuing education or training for the Certification Program will not be an additive requirement to other DoD FM recognized certification programs (Certified Defense Financial Manager, Certified Public Accountant, etc.).

1. Education or training completed to sustain certification in any of the DoD-recognized FM test-based certification programs can be credited to CET requirements for FM Certification on a unit-to-unit basis.

2. If a test-based certification program uses a continuing professional education (CPE) or similar units based on a 50-minute instructional hour (such as the National Association of State Boards of Accountancy), then that CPE or similar unit is equivalent to the CET hour described in this instruction, even though the CPE or similar unit is 50 minutes.

(b) Continuing learning points earned under the DoD acquisition workforce Certification Program can be credited for CET on a unit-to-unit basis.

(c) Course hours earned from any FM training course included in the Course Catalog on the FM myLearn Website at <https://fmonline.ousdc.osd.mil/FMmyLearn/Default.aspx>.

(d) Continuing education units (CEU), as defined by the International Association for Continuing Education and Training Website (Reference (o)), can be credited to an FM workforce member based on the equation: one CEU equals ten CET.

(5) FM workforce members are responsible for recording achievement of CET in their respective FM LMS accounts and for maintaining documentation of CET achievements. They are encouraged to retain CET documentation permanently, but required to retain documentation for 4 years. FM members are subject to CET audits where they may be required to provide documentation of CET earned.

## 5. FM CERTIFICATION REQUIREMENTS

### a. FM Certification Requirements Overview

(1) The Certification Program is a course-based program consisting of three certification levels, as outlined in Table 2.

(2) Certification requirements are based on:

(a) FM competencies and associated proficiency levels (PLs) (as defined in USD(C)/CFO Memorandum (Reference (p))) with specific course hour requirements. FM course content aligned with FM competency and PL combinations satisfies requirements in terms of course hours.

1. Training in several FM competencies is required, each with a specific number of course hours.

a. When the competency has “or” in the title, the FM member can choose any combination of course hours in each competency.

b. When the competency has “and” in the title, at least one-third of the course hours must apply to each FM competency.

2. The definition of the Financial Management Systems competency is narrowed in accordance with paragraph 5a(3) of this enclosure for the purposes of the Certification Program. Other mixed or feeder financial systems are not included.

Table 2. Certification Program Requirements by Certification Level

|   | Level 1   | Course Hours | Level 2  | Course Hours | Level 3   | Course Hours |
|---|---|--------------|--|--------------|---|--------------|
| <b>FM Competencies &amp; Proficiency Levels 1 - 5 (PLs 1 - 5)</b> | Financial Management Systems (PL1)  | 6            | Financial Management Systems (PL3)   | 8            | Financial Management Systems (PL5)  | 4            |
|   | Decision Support (PL1)  | 4            | Decision Support (PL3)   | 8            | Decision Support (PL5)  | 10           |
|   | Fundamentals and Operations of Primary Track (Accounting or Budget or Finance or Mil & Civ Pay) (PL1) | 6            | Accounting Analysis <u>OR</u> Financial Management Analysis (PL3)  | 10           | Accounting Analysis <u>AND</u> Financial Mgt Analysis (PL5)   | 12           |
|   |   |              | Budget Formulation, Justification and Presentation <u>OR</u> Budget Execution (PL3)                                      | 10           | Budget Formulation, Justification and Presentation <u>AND</u> Budget Execution (PL5)  | 12           |
|   |   |              | Concepts, Policies and Principles of Primary Track (Accounting, Budget, Finance, Audit, Commercial Pay or Payroll) (PL3) | 10           | Advanced Financial Management (PL5)   | 12           |
|   |   |              | Fundamentals and Operations of Alternate Track (Accounting or Budget or Finance or Mil and Civ Pay ) (PL1)               | 6            | Concepts, Policies and Principles of Alternate Track (Accounting, Budget, Finance, Audit, Commercial Pay or Payroll ) (PL3) | 10           |
| <b>Leadership Competencies Levels</b>                             | Lead Self Competencies  | 6            | Lead Teams/Projects Competencies   | 10           | Lead People Competencies  | 12           |
| <b>Other Required Courses</b>                                     | Course: DoD FM 101 (12 Modules*)  | 24           | Courses: Audit Readiness, Fiscal Law, and Ethics   | 9            | Courses: Audit Readiness, Fiscal Law, and Ethics  | 9            |
| <b>Total Course Hours</b>   |   | 46           |  | 71           |   | 81           |
| <b>FM Work Experience</b>   | 2 years in DoD  |              | 4 years (2 in DoD)   |              | 8 years (2 in DoD)  |              |
| <b>Developmental Assignment</b>                                   |   |              |  |              | At least one 3-month developmental assignment   |              |
| <b>Sustainment Training</b>                                       | 40 CET Hours every 2 years  |              | 60 CET Hours every 2 years   |              | 80 CET Hours every 2 years  |              |
| <b>* 6 of 12 modules may be waived – except Audit Readiness</b>   |   |              | <b>PL - Proficiency Level</b>  |              |   |              |

3. In the context of the Certification Program, “Financial Management Systems” only includes the following systems:

- a. Accounting.
- b. Managerial cost accounting.
- c. Funds management and budgetary resources management.

- d. Funds balance with U.S. Treasury.
- e. Travel.
- f. Payroll (military and civilian).
- g. Enterprise resource planning.
- h. Budget formulation and Planning, Programming, Budgeting, and Execution (PPBE).

(b) Leadership competencies within the Lead Self, Lead Teams/Projects, and Lead People, levels (as defined in the DoD Civilian Leader Development Framework and Continuum (CLDF&C) outlined in DoDI 1430.16 (Reference (q))) with specific course hour requirements. Leadership course content aligned to leadership competencies within one of the aforementioned levels satisfies FM Certification requirements.

(c) Other required courses, such as FM 101 course modules for Certification Level 1 as well as courses in audit readiness, fiscal law, and ethics for Certification Levels 2 and 3.

(d) Work experience performing FM-related work.

(e) Developmental assignment(s) in terms of months (for Certification Level 3 only).

(3) The certification levels of the Certification Program are related to the PLs of the DoD FM enterprise-wide competencies as follows:

(a) Certification Level 1 equates to FM Proficiency Level 1.

(b) Certification Level 2 equates to FM Proficiency Level 3 (with the exception of “Fundamentals and Operations” of the alternate track, which is at Proficiency Level 1 or higher).

(c) Certification Level 3 equates to FM Proficiency Level 5 (with the exception of “Concepts, Policies, and Principles” of the alternate track, which is at Proficiency Level 3 or higher).

(4) Certification level requirements are not cumulative. Specifically, an FM workforce member assigned to a Certification Level 2-coded position is not required to complete Certification Level 1 requirements prior to starting Level 2 Certification; a member assigned to a Certification Level 3-coded position is not required to complete Certification Level 2 prior to starting Certification Level 3.

(5) FM members certified at a particular certification level remain certified at that level regardless of any new Certification Program requirements for that level made effective at a later date.

(6) FM workforce members previously achieving a higher level certification than required by their current position are not required to complete the certification requirements for the lower levels.

**b. FM Certification Level 1 Requirements**

(1) The FM member must complete the required course hours for each specified FM competency, at the PL prescribed in Tables 3 and 4. The available FM courses and other courses aligned to FM competency and PLs can be found on FM myLearn Website.

(2) An FM member need select only one “Fundamentals and Operations” FM competency; the subject of this competency establishes the member’s primary track. The choices for the primary track are accounting, budget, finance, or military and civilian pay. The primary track selected normally corresponds to the occupational series or specialty of the position to which the member is assigned.

**Table 3. Certification Level 1 Requirements**

| <b>CERTIFICATION LEVEL 1 REQUIREMENTS</b>  |                          |                       |
|--|--------------------------|-----------------------|
| <b>FM Competencies</b>   | <b>Proficiency Level</b> | <b>Course Hours</b>   |
| Financial Management Systems   | 1                        | 6                     |
| Decision Support   | 1                        | 4                     |
| Fundamentals and Operations of Accounting, or Budget, or Finance, or Military and Civilian Pay (Primary Track) | 1                        | 6                     |
| <b>Leadership Competency</b>   |                          |                       |
| Lead Self Level  |                          | 6                     |
| <b>DoD FM 101 Course Modules</b>   |                          |                       |
| 12 DoD FM 101 Modules  |                          | 24                    |
| <b>Total Course Hours</b>  |                          | <b>46</b>             |
| <b>FM Work Experience and Sustainment Training Requirements</b>  |                          |                       |
| FM Work Experience   |                          | 2 years in DoD        |
| Sustainment Training   |                          | 40 CETs every 2 years |

**Table 4. DoD FM 101 Course Modules**

| <b>DoD FM 101 COURSE MODULES</b> |   |                  |   |              |   |
|----------------------------------|---|------------------|---|--------------|---|
| Introduction to DoD              | 1 | Decision Support | 2 | Auditing     | 2 |
| Cost Analysis                    | 2 | Finance          | 2 | Accounting   | 2 |
| Acquisition/Contracting          | 2 | Budget           | 3 | PPBE Process | 2 |
| Audit Readiness                  | 3 | Ethics           | 1 | Fiscal Law   | 2 |

(3) The FM member must complete the required leadership course hours for the level within the leadership competency prescribed in Table 3. For additional information regarding the competencies within the “Lead Self” level, refer to the CLDF&C found in Reference (p).

(4) The FM member must complete all the modules of the FM 101 Course prescribed in Table 4.

(a) The member can complete approved substitute courses. See section 6 of this enclosure for further information on substitutions.

(b) CCAs may up to waive six of the twelve DoD FM 101 modules (with the exception of Audit Readiness, which cannot be waived) in accordance with their DoD Component’s implementing guidance.

(5) The FM member is required to complete a minimum of 2 years of DoD FM work experience.

c. FM Certification Level 2 Requirements

(1) The FM member must complete the required course hours for each specified FM Competency at the proficiency level prescribed in Table 5. The available DoD FM courses and other courses aligned to FM competency and proficiency levels can be found at the FM myLearn Website.

Table 5. Certification Level 2 Requirements

| <b>CERTIFICATION LEVEL 2 REQUIREMENTS</b>  |                                 |                     |
|--|---------------------------------|---------------------|
| <b>FM Competency</b>   | <b>Proficiency Level</b>        | <b>Course Hours</b> |
| Financial Management Systems   | 3                               | 8                   |
| Decision Support   | 3                               | 8                   |
| Accounting Analysis <b>OR</b> Financial Management Analysis  | 3                               | 10                  |
| Budget Formulation, Justification, and Presentation <b>OR</b> Budget Execution                                   | 3                               | 10                  |
| Concepts, Policies, and Principles of the Primary Track.   | 3                               | 10                  |
| Fundamentals and Operations of Accounting, or Budget, or Finance, or Military and Civilian Pay (alternate track) | 1                               | 6                   |
| <b>Leadership Competency</b>   |                                 |                     |
| Lead Teams / Projects Level  |                                 | 10                  |
| <b>Other Required Courses</b>  |                                 |                     |
| Audit Readiness  |                                 | 3                   |
| Fiscal Law   |                                 | 3                   |
| Ethics   |                                 | 3                   |
| <b>Total Course Hours</b>  |                                 | <b>71</b>           |
| <b>FM Work Experience and Sustainment Training Requirements</b>  |                                 |                     |
| FM Work Experience   | 4 total years at least 2 in DoD |                     |
| Sustainment Training   | 60 CETs every 2 years           |                     |

(a) The subject of the “Concepts, Policies, and Principles” FM competency is the primary track of a FM member if he or she established a primary track in the FM LMS while assigned to a Certification Level 1 position.

(b) If an FM member enters the Certification Program at Certification Level 2, the member may select his or her primary track, which normally corresponds to the occupational series or specialty of the position to which the member is assigned, of the “Concepts, Policies, and Principles” FM Competencies (Accounting, Auditing, Budget, Finance, Payroll, or Commercial Pay).

(c) The subject of the “Fundamentals and Operations” of an alternate track FM competency cannot be the same as that of the primary track. The member may select any other subject; this selection establishes the member’s “alternate track” and is intended to provide breadth of experience to the member.

(2) The FM member is required to complete the required leadership course hours for each specified level within the leadership competency prescribed in Table 5. For additional information regarding the competencies within the “Lead Teams/Projects” level, refer to the CLDF&C found in Reference (p).

(3) The FM member must complete the required training in audit readiness, fiscal law, and ethics for Level 2 Certification outlined in Table 5. The Member can complete approved substitute courses. See section 6 of this enclosure for further information on substitutions.

(4) The FM member is required to complete at least 4 years of FM work experience for Certification Level 2, a minimum of 2 years of which must be DoD FM work experience.

(5) An FM member assigned to a Certification Level 2 position is encouraged to have at least one 3-month developmental assignment, work towards a bachelor’s degree, and complete one of the DoD-approved test-based certification programs applicable to the financial management community.

d. FM Certification Level 3 Requirements

(1) The FM member must complete the required course hours for each specified FM competency, at the proficiency level prescribed in Table 6. The available DoD FM courses and other courses aligned to FM competency and proficiency levels can be found at the FM myLearn Website.

(a) The subject of the “Concepts, Policies, and Principles” FM competency is the alternate track of an FM member if the member established an alternate track in the FM LMS while assigned to a Certification Level 2 position.

(b) If the FM workforce member enters the Certification Program at Certification Level 3, then he or she may select an alternate track, which is different from the occupation series or specialty that the member holds for the subject of the “Concepts, Policies, and Principles” FM competency.

(2) The FM member must complete the required leadership course hours for the specified level within the leadership competency prescribed in Table 6. In addition, for Certification Level 3, individuals may use competencies in the higher levels of Lead Organizations/Programs and Lead Institutions to satisfy the leadership requirement. For additional information regarding the competencies within the Lead People level, refer to CLDF&C found in Reference (p).

Table 6. Certification Level 3 Requirements

| <b>CERTIFICATION LEVEL 3 REQUIREMENTS</b>   |   |                     |
|---|---|---------------------|
| <b>FM Competency</b>  | <b>Proficiency Level</b>                      | <b>Course Hours</b> |
| Financial Management Systems  | 5   | 4                   |
| Decision Support  | 5   | 10                  |
| Accounting Analysis <b>AND</b> Financial Management Analysis  | 5   | 12*                 |
| Budget Formulation, Justification, and Presentation <b>AND</b> Budget Execution   | 5   | 12*                 |
| Advanced Financial Management   | 5   | 12                  |
| Concepts, Policies, and Principles of the Alternate Track   | 3   | 10                  |
| * "When an <b>AND</b> statement is used, at least one-third of required course hours must be satisfied in each competency." |   |                     |
| <b>Leadership Competency</b>  |   |                     |
| Lead People Level   |   | 12                  |
| <b>Other Required Courses</b>   |   |                     |
| Audit Readiness   |   | 3                   |
| Fiscal Law  |   | 3                   |
| Ethics  |   | 3                   |
| <b>Total Course Hours</b>   |   | <b>81</b>           |
| <b>FM Work Experience; Developmental Assignments and Sustainment Training Requirements</b>                                  |   |                     |
| FM Work Experience  | 8 total years at least 2 in DoD               |                     |
| Developmental Assignment  | At least one 3-month developmental assignment |                     |
| Sustainment Training  | 80 CETs every 2 years                         |                     |

(3) The FM member must complete the other required training in audit readiness, fiscal law, and ethics for Certification Level 3 outlined in Table 6. The Level 3 courses for audit readiness, fiscal law, and ethics have greater scope and complexity than the courses designated for Level 2. The member can complete approved substitute courses. See section 6 of this enclosure for further information on substitutions.

(4) The FM member is required to complete at least 8 years of FM work experience for Certification Level 3, a minimum of 2 years of which must be DoD FM work experience.

(5) The FM member is required to complete a 3-month developmental assignment that is different from the principal duties performed in previous assignments. A developmental assignment is generally considered work that is outside of the member's current primary track. Previous work in another track will fulfill this requirement. Additionally, work within the same

track may also fulfill the developmental assignment requirement if it was accomplished at a different organizational level (e.g., budgetary work accomplished at the base or unit level and budgetary work at a major command or headquarters level). DoD Components have the discretion to determine what qualifies as a developmental assignment.

(6) An FM member assigned to a Level 3 position is strongly encouraged to work towards a master's degree and complete one of the DoD-approved test-based certification programs.

## 6. WAIVERS, SUBSTITUTIONS, AND EXCEPTIONS TO POLICY

a. Waiver Policy. There are two types of waivers: time waivers for certification and DoD FM 101 module waivers.

### (1) Time Waiver

(a) FM members may request a time waiver, with supporting rationale, if they are unable to complete their certification requirements within the 2-year time period.

(b) All requests for time waivers must be elevated to the CCA level for decision.

(c) The CCA is authorized to approve or disapprove time waivers for certification completion in 1-year increments.

(d) The time waivers with supporting rationale are subject to audits.

### (2) DoD FM 101 Module Waivers

(a) CCAs are authorized to waive the requirement of completing all twelve modules to a requirement of completing a minimum of six of twelve modules in accordance with their DoD Component's implementation guidance for non-acquisition-coded positions. For acquisition positions, see Enclosure 4. Any of the DoD FM 101 modules (up to the maximum of 6) may be waived, with the exception of the Audit Readiness Module.

(b) FM members will use the FM LMS to request waivers for the DoD FM 101 modules. Instructions for requesting a DoD FM 101 module waiver within the FM LMS are available on the FM Online Website.

## b. Substitution Policy

(1) The following course requirements are subject to the "Substitution Process":

(a) Certification Level 1: DoD FM 101 course modules.

(b) Certification Level 2: audit readiness, fiscal law, and ethics courses.

(c) Certification Level 3: audit readiness, fiscal law, and ethics courses.

(2) There are web-based courses for DoD FM 101, audit readiness, fiscal law, and ethics requirements, launchable from the FM LMS. Successful completion of these web-based courses meets the FM Certification requirements.

(3) FM members may substitute similar courses to meet the course requirements, as long as the courses have been recommended by the FM CFCM and were approved by the FM OFCM as adequate substitutes in terms of content and course hours. Substitute courses are found on the FM myLearn Website.

(a) Successful completion of these modules and courses by definition meets each individual course requirement, respectively.

(b) Instructions for recording a substitute course within the FM LMS are available on FM Online Website.

(4) The different responsibilities for identifying substitute courses are as follows:

(a) FM OFCM

1. Develops and distributes instructions for the substitute process.

2. Publishes and maintains a list of the learning objectives (LOs) and course hours for each course in the Certification Program subject to the substitution process.

3. Collects courses recommended as substitutes by the DoD Components for courses in the Certification Program.

4. Approves and posts substitute courses on the FM myLearn Website and the FM LMS, as appropriate.

(b) FM CFCM

1. Identifies courses that meet the substitution requirements in this instruction for which they are the proponent.

2. Recommends substitute courses to the FM OFCM for approval in the format designated by the FM OFCM.

3. Periodically reviews “substitutable” training to ensure it remains current.

(5) The process for identifying a substitute course is:

(a) The FM CFCM identifies an internally developed candidate course for substitution for one of the courses in the Certification Program that is subject to substitution.

(b) The FM CFCM identifies the LOs of the candidate course and compares them to the LOs of the course for which it is intended to substitute (referred to as the “target course”). The DoD Component determines whether the LO content of the candidate course is the same as most of the LO content of the target course.

(c) If the FM CFCM determines that most of the content of the LOs of the candidate course matches the target course, then he or she measures the course hours of the candidate course that are associated with that content.

(d) The FM CFCM submits the substitute course information to the FM OFCM in the proper format. Templates for submitting substitute course information are available on FM Online Website.

(e) The FM OFCM receives the submission, confirms validity, approves or disapproves the submission, and posts the approved courses as substitutes in the course inventory on the FM myLearn Website and the FM LMS.

(f) The FM OFCM retains documentation for all substitute submissions.

c. Exception to Policy

(1) In the case of an FM member who asserts completion of FM or leadership courses required to complete a competency, but is unable to provide verification or documentation of such course, the supervisor may sign a memorandum for the record (MFR) for the FM member to use as documentation in the FM LMS. The MFR must reflect the basis of granting the achievement, including source of third-party verification when feasible.

(2) This exception policy is time-limited. FM members are permitted to request exceptions only in their initial 2 years in the Certification Program.

(3) The exceptions to policy MFRs are subject to audits.

APPENDIX 1 TO ENCLOSURE 3

DoD FM LMS

1. FM LMS OVERVIEW

a. The FM LMS supports the Certification Program by providing the required administration of education and training records, tracking and reporting, training programs, courses, certifications, and documentation.

b. The FM LMS tracks and records the achievements and maintenance of FM members' certification levels. FM members can use the FM LMS to complete OUSD(C)-developed web-based courses and to post evidence of external course completion.

c. The FM LMS is a role-based system to ensure security and provides an approval workflow and hierarchy for each DoD Component. The FM LMS uses the Common Access Card for login and security.

d. Only certifications approved in the FM LMS are recognized in the Certification Program. The USD(I), in coordination with the ODNI/CFO, will coordinate with OUSD(C)/CFO to identify FM LMS capabilities appropriate for FM members in the Intelligence Community.

e. The FM LMS maintains the available program course inventory with each course alignment to the DoD FM and leadership competency and proficiency levels.

f. The FM LMS provides an electronic means for review and quality assurance by OUSD(C)/CFO and the DoD Components.

2. FM USERS IN THE FM LMS

a. FM members' tasks in the FM LMS include:

(1) Search and browse course catalog for their assigned certification level.

(2) View certification requirements.

(3) Launch online courses.

(4) Record:

(a) Learning for external courses.

(b) Documentation for courses, FM experience and developmental assignments.

- (c) Achievements.
  - (5) Request approval.
  - (6) Apply for certification.
  - (7) Complete FM LMS web-based training.
  - (8) Access reports.
- b. Supervisors will review course and documentation provided for approval, approve or deny achievement, and recommend approval or denial of certification approval requests.
- c. A2s, if applicable, will review and recommend approval or denial of certification approval requests before the requests are forwarded to the CCA.
- d. CCAs will review and approve or deny certification approval requests.
- e. CAs:
  - (1) Build and maintain organizational structure.
  - (2) Update and maintain user profiles.
  - (3) Assign or manage supervisors.
  - (4) Assign approval roles.
  - (5) Reset PINs.
  - (6) Edit learning recorded by the DoD Component's users to correct user mistakes (e.g., uploading the incorrect training completion certificates for a course).
  - (7) Complete FM LMS web-based training.
  - (8) Access reports for the DoD Component.

### 3. DATA MAINTENANCE IN THE FM LMS

- a. DoD CAs have administrative access and A2s and CCAs have reporting access to all of their respective DoD Component FM members' records in the FM LMS.
- b. DoD Components ensure the position certification level recorded in the FM LMS is consistent with the certification level posted in the servicing military or civilian PDS for the FM position to which each FM member is assigned.

c. DoD Components will also ensure that the position certification levels recorded in the servicing military or civilian personnel systems are consistent with position certification levels designated in the Components' organizational manpower systems.

4. TRAINING ON THE FM LMS

a. The FM Online Website contains the most current training aids and tools for the FM LMS.

b. Job aids for navigation and performing tasks within the FM LMS are available for download on the FM Online Website.

c. FM LMS-specific training will be available in web-based format online.

d. The DoD Components' FM CFCMs can provide organization-specific training information. Their contact information is available on the FM Online Website.

APPENDIX 2 TO ENCLOSURE 3

C2C

1. The FM and Leadership e-Course Catalog on the FM myLearn Website is essential to FM certification. Each DoD Component is responsible for aligning FM courses and recommending alignment of leadership courses it has developed to the FM and leadership competencies in References (o) and (p). Courses developed by Federal Government (non-DoD), commercial, and academic organizations are aligned by the Governing Body.

2. The C2C Alignment Process follows five basic steps outlined in Table 7.

Table 7. Overview of C2C Alignment Process

| <b>C2C ALIGNMENT PROCESS</b>                                       |  |
|--|--|
| <b>Step</b>  | <b>Action</b>  |
| <b>Prepare</b>   | <ul style="list-style-type: none"> <li>• Review competencies, PLs, and parameters available on the FM Online Website.</li> <li>• Obtain course syllabus and other related info (course length, target audience).</li> </ul>  |
| <b>Assess</b>  | <ul style="list-style-type: none"> <li>• Identify course LOs.</li> <li>• Compare LOs with competencies, PLs, and parameters.</li> <li>• Determine if course is FM, leadership, or both.</li> </ul>   |
| <b>Align FM Courses</b>  | <ul style="list-style-type: none"> <li>• Use judgment to determine if an LO aligns closely with a parameter combination of FM competency and proficiency levels.</li> <li>• Determine the number of FM competency course hours for that FM competency or proficiency level.</li> <li>• Enter the course length, FM competency, FM course hours, and proficiency level in the alignment template.</li> <li>• Repeat until all FM alignments have been recorded for the course.</li> </ul> |
| <b>Align Leadership Courses*</b>                                   | <ul style="list-style-type: none"> <li>• Use judgment to determine if an LO aligns closely with a specific level within the leadership competencies.</li> <li>• Determine the number of course hours for the specific level within the leadership competency.</li> <li>• Enter the course length, leadership competency, and leadership course hours in the alignment template.</li> <li>• Repeat until all leadership alignments have been recorded for the course.</li> </ul>          |
| <b>Review</b>  | <ul style="list-style-type: none"> <li>• Review your alignment; check for alignment justification, errors, etc.</li> </ul>   |
| *Office of the USD(P&R) approves all leadership course alignments. |  |

3. Courses may be aligned to several competency and proficiency level combinations.

a. A competency can be aligned to fractions of a course hour; however, the sum of all the aligned course hours should not exceed total course hours with these exceptions:

(1) Sum of course hours for courses that have 8 or fewer hours must not exceed total course hours by more than 1/2 hour (.5 hour).

(2) Sum of course hours for courses that have 9 to 16 course hours must not exceed total course hours by more than 1 hour.

(3) Sum of course hours for courses that have 17 course hours or more must not exceed total course hours by more than 2 hours.

b. A single academic course may satisfy certification requirements for different competencies.

(1) The FM member will use the academic matrix found on the FM myLearn Website and in the FM LMS to align the member’s academic course to competencies.

(2) It is the responsibility of the FM member and supervisor to ensure the total number of course hours aligned does not exceed the total number of course hours taken.

4. The FM and leadership courses are divided into types to facilitate the alignment process. Table 8 outlines the types of courses and who is responsible for alignment.

a. Active courses are currently available for FM members to complete.

b. Inactive courses are no longer available for FM members to complete.

Table 8. Alignment Responsibility for Courses

| <b>Alignment Responsibility for Course</b>  |  |                                    |
|---|--|------------------------------------|
| <b>Type of Course</b>   | <b>Definition</b>  | <b>Alignment Responsibility</b>    |
| <b>Current Course</b>   | Active FM and Leadership DoD course currently available for FM members to complete | DoD Component providing the course |
| <b>Type 1</b>   | Inactive DoD FM and leadership course  | DoD Component providing the course |
| <b>Type 2</b>   | Federal Government non-DoD FM and leadership courses (active and inactive)         | Governing Body                     |
| <b>Type 3</b>   | Academic FM and leadership courses (active and inactive)                           | Governing Body *                   |
| <b>Type 4</b>   | Commercial FM and leadership courses (active and inactive)                         | Governing Body                     |
| *The Governing Body approves the FM and leadership academic alignment matrixes the FM LMS supervisor uses to approve achievements. Courses not covered by the matrixes are aligned by the Governing Body. |  |                                    |

5. The Governing Body is responsible for the development, discussion, approval, documentation, and modification of business rules for aligning the FM and leadership content of Types 2, 3, and 4 FM and leadership training courses; and for aligning courses in specific cases.

a. The Governing Body makes decisions on business rules by voting. Each member has one vote. A decision on a business rule is determined by the majority vote of all Governing Body members who cast a vote. The Chairperson will break any ties in the voting process. Governing Body voting will be electronic when possible.

b. The roles and responsibilities of the Governing Body members are:

(1) The Governing Body Chairperson is responsible for: establishing meeting agendas and presiding at meetings, deciding when to vote on a business rule, and reporting progress to the FM CFCM Working Group and the USD(C)/CFO.

(2) The Governing Body Secretary is responsible for administrative support, including but not limited to: scheduling meetings and sending out invitations at least 1 week in advance, recording business rules decisions, and preparing and distributing minutes.

(3) Governing Body members are responsible for: participating in meetings, identifying the need for a business rule, developing potential business rules, and voting on potential business rules brought before the body.

APPENDIX 3 TO ENCLOSURE 3

INCLUSION OF OTHER FM MEMBERS

1. FM members who are **not** full-time civilians and active duty military personnel are referred to as “all other FM members” for the purpose of this instruction.

2. The same notification procedures for full-time civilians and active duty military personnel apply for all other FM members.

a. Reserve Component (RC) and NG Service members will begin participation in the Certification Program based on the Military Departments’ respective implementation plans. This is not required prior to full implementation.

(1) RC/NG FM members who are in a FM designated position must meet the certification requirement of their position.

(2) RC/NG FM members who have FM certification requirements for both their military and civilian positions will work to achieve the highest level of certification.

(3) RC/NG FM members may require a time waiver for completion of FM certification based on their unique situations.

b. Part-time and temporary DoD civilian participation in the Certification Program will be considered after full implementation of all other civilian and military FM members.

APPENDIX 4 TO ENCLOSURE 3

FM AND ACQUISITION-CODED POSITIONS

1. FM members assigned to positions that are coded FM Certification and DAWIA Business FM, Business Cost Estimating, or Auditing Certifications, must complete both the FM Certification and the Acquisition Certification requirements including experience and developmental assignments for FM Certification.

a. Such members must complete acquisition certification requirements first, if they choose to use the reduced requirements in Tables 9 and 10 for achieving FM certification. The need to complete both certifications may require a time waiver for completion of FM Certification in accordance with the Certification Program time waiver policies outlined in Enclosure 4 6a(1).

b. Much of the training required to achieve DAWIA acquisition certification also satisfies training required for the FM Certification. The member will be able to obtain the FM Certification by completing only the additional training not covered via the acquisition training. The course hours identified in this appendix represent the maximum number of hours that will be required for members with DAWIA certification.

c. The member can complete approved substitute courses on the FM myLearn Website for DoD FM 101 courses and the other required training in audit readiness, fiscal law, and ethics.

2. The requirements for FM Certification and DAWIA Business FM Certification include:

a. To achieve FM Certification at a specified level, FM members coded or requiring, and who currently have achieved, a DAWIA Business FM certification and are assigned to DAWIA Business FM positions at the same level as the required FM Certification, must complete the additional courses outlined in Table 9.

Table 9. Requirements for DAWIA Business FM Certification

| <b>Requirements for DAWIA Business FM Certification</b>     |                     |
|---|---------------------|
| <b>FM Certification Level 1 / DAWIA Business FM Level 1</b> | <b>Course Hours</b> |
| <b>FM Level 1 FM Competency requirements</b>                |                     |
| Fundamentals and Operations of Primary Track (PL1)          | 3                   |
| DoD FM 101 Modules  |                     |
| The following modules are required:                         | 1                   |
| • Introduction to DoD                                       | 2                   |
| • Accounting  | 2                   |
| • Finance   | 3                   |
| • Audit Readiness   | 1                   |
| • Ethics  | 2                   |
| • Auditing  |                     |
| Total hours required:                                       | 11                  |

Table 9. Requirements for DAWIA Business FM Certification, Continued

|  |  |   |   |
|--|--|---|---|
| The following modules are waived:  |  | For the DoD FM 101, the following 6 of 12 modules are waived in accordance with waiver policy. The CCA is not permitted to waiver any additional modules. |   |
| <ul style="list-style-type: none"> <li>• PPBE Process</li> <li>• Fiscal Law</li> <li>• Budget</li> <li>• Cost Analysis</li> <li>• Acquisition/Contracting</li> <li>• Decision Support</li> </ul> |  |   |   |
| Sub-total of DoD 101 Modules Course Hours  |  |   |   |
| <b>Total course hours (maximum)</b>  |  |   | <b>14</b>                                     |
| <b>FM Work Experience and Sustainment Training Requirements</b>  |  |   |   |
| FM Work Experience   |  |   | 2 years in DoD                                |
| Sustainment Training   |  |   | 40 CETs every 2 Years                         |
| <b>FM Certification Level 2 / DAWIA Business FM Level 2</b>  |  |   | <b>Course Hours</b>                           |
| <b>FM Level 2 FM Competency requirements</b>   |  |   |   |
| <b>FM Level 2 other training requirements</b>  |  |   |   |
| Audit Readiness  |  |   | 3   |
| Fiscal Law*  |  |   | 0*  |
| Ethics   |  |   | 3   |
| <b>Total course hours (maximum)</b>  |  |   | <b>6</b>                                      |
| <b>FM Work Experience and Sustainment Training Requirements</b>  |  |   |   |
| FM Work Experience   |  |   | 4 total years at least 2 in DoD               |
| Sustainment Training   |  |   | 60 CETs every 2 Years                         |
| <b>FM Certification Level 3 / DAWIA Business FM Level 3</b>  |  |   | <b>Course Hours</b>                           |
| <b>FM Level 3 FM Competency requirements</b>   |  |   |   |
| Accounting Analysis (PL5)  |  |   | 4   |
| <b>FM Level 3 Leadership Competency requirements</b>   |  |   |   |
| Lead People Level  |  |   | 6   |
| <b>FM Level 3 other training requirements</b>  |  |   |   |
| Audit Readiness  |  |   | 3   |
| Fiscal Law*  |  |   | 0*  |
| Ethics   |  |   | 3   |
| <b>Total course hours (maximum)</b>  |  |   | <b>16</b>                                     |
| <b>FM Work Experience; Developmental Assignments and Sustainment Training Requirements</b>   |  |   |   |
| FM Work Experience   |  |   | 8 total years at least 2 in DoD               |
| Developmental Assignment   |  |   | At least one 3-month developmental assignment |
| Sustainment Training   |  |   | 80 CETs every 2 Years                         |
| <b>* Defense Acquisition University (DAU) has identified substitutes for Fiscal Law which satisfy this requirement</b>   |  |   |   |

b. To achieve FM Certification at a specified level, FM members with DAWIA Business FM Certification at a different level as the required FM Certification or FM members who hold DAWIA Certification, but are no longer on a DAWIA-coded position, will receive credit for the

DAWIA courses as they are aligned to the FM competencies on the FM myLearn Website. They must complete any additional requirements outlined in the FM LMS.

3. The requirements for FM Certification and DAWIA Business Cost Estimating Certification:

a. Members of the DAWIA Business Cost Estimating community, coded 05XX, in military FM occupational specialties, and members of the DAWIA Business Cost Estimating community outside of the 05XX or military FM occupational specialties as designated by their Component, and approved by the USD(AT&L), will complete the additional requirements outlined in Table 10 achieve FM Certification.

Table 10. Requirements for DAWIA Business Cost Estimating Certification

| <b>Requirements for DAWIA Business Cost Estimating Certification 1</b>   |   |
|--|---|
| <b>FM Certification Level 1 / DAWIA Business Cost Estimating Level 1</b> | <b>Course Hours</b>   |
| <b>FM Level 1 FM Competency requirements</b>                             |   |
| Fundamentals and Operations of Primary Track (PL1)                       | 3   |
| DoD FM 101 Modules<br>The following modules are required:                |   |
| • Introduction to DoD  | 1   |
| • Accounting   | 2   |
| • Finance  | 2   |
| • Audit Readiness  | 3   |
| • Ethics   | 1   |
| • Auditing   | 2   |
| The following modules are waived:  |   |
| • PPBE Process   | For the DoD FM 101, the following 6 of 12 modules are waived in accordance with waiver policy. The CCA is not permitted to waiver any additional modules. |
| • Fiscal Law   |   |
| • Budget   |   |
| • Cost Analysis  |   |
| • Acquisition/Contracting  |   |
| • Decision Support   |   |
| Sub-total of DoD 101 Modules Course Hours                                | 11  |
| <b>Total course hours (maximum)</b>                                      | <b>14</b>   |
| <b>FM Work Experience and Sustainment Training Requirements</b>          |   |
| FM Work Experience   | 2 years in DoD  |
| Sustainment Training   | 40 CETs every 2 Years   |
| <b>FM Certification Level 2 / DAWIA Business Cost Estimating Level 2</b> | <b>Course Hours</b>   |
| <b>FM Level 2 FM Competency requirements</b>                             |   |
| <b>FM Level 2 other training requirements</b>                            |   |
| Audit Readiness  | 3   |
| Fiscal Law*  | 0*  |
| Ethics   | 3   |

Table 10. Requirements for DAWIA Business Cost Estimating Certification, Continued

|  |   |                     |
|--|---|---------------------|
| <b>Total course hours (maximum)</b>  |   | <b>6</b>            |
| <b>FM Work Experience and Sustainment Training Requirements</b>                            |   |                     |
| FM Work Experience   | 4 total years at least 2 in DoD               |                     |
| Sustainment Training   | 60 CETs every 2 Years                         |                     |
| <b>FM Certification Level 3 / DAWIA Business Cost Estimating Level 3</b>                   |   | <b>Course Hours</b> |
| <b>FM Level 3 FM Competency requirements</b>   |   |                     |
| Financial Management Systems (PL5)   | 4   |                     |
| Accounting Analysis (PL5)  | 4   |                     |
| <b>FM Level 3 Leadership Competency requirements</b>                                       |   |                     |
| Lead People Level  | 6   |                     |
| <b>FM Level 3 other training requirements</b>  |   |                     |
| Audit Readiness  | 3   |                     |
| Fiscal Law*  | 0*  |                     |
| Ethics   | 3   |                     |
| <b>Total course hours (maximum)</b>  |   | <b>20</b>           |
| <b>FM Work Experience; Developmental Assignments and Sustainment Training Requirements</b> |   |                     |
| FM Work Experience   | 8 total years at least 2 in DoD               |                     |
| Developmental Assignment   | At least one 3-month developmental assignment |                     |
| Sustainment Training   | 80 CETs every 2 Years                         |                     |
| <b>* DAU has identified substitutes for Fiscal Law which satisfy this requirement</b>      |   |                     |

b. To achieve FM Certification at a specified level, FM members with DAWIA Business Cost Estimating Certification at a different level as the required FM Certification or FM members who hold a DAWIA Certification, but are no longer on a DAWIA-coded position, will receive credit for the DAWIA courses as they are aligned to the FM competencies on the FM myLearn Website. They must complete any additional requirements outlined in the FM LMS.

4. The requirements for FM Certification and DAWIA Acquisition-Auditing Certification:

a. To achieve FM Certification at a specified level, FM members coded or requiring and who have achieved DAWIA Acquisition-Auditing Certification, at the same level as the required FM Certification, must complete the additional courses outlined in Table 11.

b. To achieve FM Certification at a specified level, FM members with DAWIA Acquisition-Auditing Certification at a different level as the required FM Certification or FM members who hold DAWIA Certification, but are no longer on a DAWIA-coded position, will receive credit for the DAWIA courses as they are aligned to the FM competencies in the FM myLearn Website. They must complete any additional requirements outlined in the FM LMS.

Table 11. Requirements for DAWIA Acquisition-Auditing Certification

| <b>Requirements for DAWIA Acquisition-Auditing</b>   |   |
|--|---|
| <b>FM Certification Level 1 / DAWIA Acquisition-Auditing Level 1</b>                       | <b>Course Hours</b>                           |
| <b>FM Level 1 FM Competency requirements</b>   |   |
| Financial Management Systems (PL1)   | 6   |
| Complete DoD FM 101 Modules<br>Except Acquisition/Contracting and Cost Analysis            | 20  |
| <b>Total course hours (maximum)</b>  | <b>26</b>                                     |
| <b>FM Work Experience and Sustainment Training Requirements</b>                            |   |
| FM Work Experience   | 2 years in DoD                                |
| Sustainment Training   | 40 CETs every 2 Years                         |
| <b>FM Certification Level 2 / DAWIA Acquisition-Auditing Level 2</b>                       | <b>Course Hours</b>                           |
| <b>FM Level 2 FM Competency requirements</b>   |   |
| Financial Management Systems (PL3)   | 8   |
| Fundamentals and Operations Alternate Track (PL1)  | 6   |
| <b>FM Level 2 other training requirements</b>  |   |
| Audit Readiness  | 3   |
| Fiscal Law   | 3   |
| Ethics   | 3   |
| <b>Total course hours (maximum)</b>  | <b>23</b>                                     |
| <b>FM Work Experience and Sustainment Training Requirements</b>                            |   |
| FM Work Experience   | 4 total years at least 2 in DoD               |
| Sustainment Training   | 60 CETs every 2 Years                         |
| <b>FM Certification Level 3 / DAWIA Acquisition-Auditing Level 3</b>                       | <b>Course Hours</b>                           |
| <b>FM Level 3 FM Competency requirements</b>   |   |
| Financial Management Systems (PL5)   | 4   |
| Budget Formulation, Justification, and Presentation <b>AND</b> Budget Execution (PL5)      | 12  |
| <b>FM Level 3 Leadership Competency requirements</b>                                       |   |
| Lead People Level  | 12  |
| <b>FM Level 3 other training requirements</b>  |   |
| Audit Readiness  | 3   |
| Fiscal Law   | 3   |
| Ethics   | 3   |
| <b>Total course hours (maximum)</b>  | <b>37</b>                                     |
| <b>FM Work Experience; Developmental Assignments and Sustainment Training Requirements</b> |   |
| FM Work Experience   | 8 total years at least 2 in DoD               |
| Developmental Assignment   | At least one 3-month developmental assignment |
| Sustainment Training   | 80 CETs every 2 Years                         |

5. DAU will notify FM OFCM of any DAWIA Business competency changes that will delete any of the original competencies agreed to in this instruction. The Defense Audit Agency will notify FM OFCM of changes that impact FM Certification requirements.

ENCLOSURE 4

FM CERTIFICATION PROGRAM MANAGEMENT STRUCTURE

1. PURPOSE. The purpose of the Certification Program management structure is to provide governance and ensure the objectives of this instruction are met.

2. CERTIFICATION PROGRAM SENIOR FM LEADERSHIP GROUP. The Certification Program Senior FM Leadership Group will oversee the operation of the Certification Program and will generally meet twice a year and at the call of the Chairperson. Membership includes:

- a. USD(C)/CFO, Chairperson.
- b. FM OFCM.
- c. Assistant Secretaries for Financial Management and Comptroller of the Military Departments.
- d. Directors of the Defense Contract Audit Agency (DCAA) and Defense Finance and Accounting Service (DFAS).
- e. Representative from the Office of the USD(AT&L).
- f. Others as the USD(C)/CFO considers appropriate.

3. FM CFCM ADVISORY BOARD. The FM CFCM Advisory Board will provide input and recommendations to the Certification Program Senior FM Leadership Group. It will be consulted on time-sensitive actions and requirements of the Certification Program. The FM CFCM Advisory Board will meet quarterly or at the call of the Chairperson. Membership includes:

- a. FM OFCM, Chairperson.
- b. FM CFCMs of the Military Departments.
- c. FM CFCMs of DCAA, DFAS, Defense Information Systems Agency (DISA), and Defense Logistics Agency (DLA), and
- d. Advisory non-voting members:
  - (1) A member of DAU Leadership designated by the USD(AT&L).

(2) A Military Service Director, Acquisition Career Management (DACM) (on an annual rotational basis).

(3) A member from the Office of the OUSD(I).

e. Others as the Chairperson considers appropriate.

4. FM CFCM WORKING GROUP. The FM CFCM Working Group oversees the execution of the Certification Program at the DoD Component level and advises the FM OFCM on workforce and program issues. The FM CFCM Working Group will meet quarterly or at the call of the Chairperson. The FM CFCM Working Group will be chaired by the FM OFCM and will be composed of the DoD Component FM CFCMs, a representative from DAU, and others as the Chairperson considers appropriate.

5. FM COMPONENT INTEGRATORS WORKING GROUP (FM CIWG). The FM CIWG will support the FM CFCM to assist on human resources (HR) and manpower issues relevant to the Certification Program and will meet at the call of the Chairperson. The FM CIWG will be chaired by the FM OFCM and will be composed of the DoD Component Integrators and others as the Chairperson considers appropriate.

6. GOVERNING BODY. The Governing Body will be responsible for establishing business rules for aligning FM and leadership content of courses not currently aligned to FM and leadership competencies, as identified in the FM LMS for awarding credit for courses and training completed by FM members. Membership includes:

a. FM OFCM, Chairperson.

b. A designated representative from the:

(1) Military Departments.

(2) DCAA.

(3) DFAS.

(4) DISA.

(5) DLA.

c. A non-voting advisory representative from the:

(1) OUSD(I).

- (2) DAU.
- (3) DACM on an annual rotational basis.
- d. Others as the Chairperson considers appropriate.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

|         |  |
|---------|--|
| A2      | Approver Level 2   |
| C2C     | Course-to-Competency                                     |
| CA      | Component administrator                                  |
| CCA     | Component certification authority                        |
| CET     | continuing education and training                        |
| CEU     | continuing education units                               |
| CLDF&C  | DoD Civilian Leader Development Framework and Continuum  |
| CPE     | continuing professional education                        |
| DACM    | Director, Acquisition Career Management                  |
| DAU     | Defense Acquisition University                           |
| DAWIA   | Defense Acquisition Workforce Improvement Act            |
| DCAA    | Defense Contract Audit Agency                            |
| DFAS    | Defense Finance and Accounting Service                   |
| DFMCP   | DoD Financial Management Certification Program           |
| DISA    | Defense Information Systems Agency                       |
| DLA     | Defense Logistics Agency                                 |
| DoDD    | DoD Directive  |
| DoDI    | DoD Instruction  |
| FM      | financial management                                     |
| FM CFCM | FM Component Functional Community Manager                |
| FM CIWG | Financial Management Component Integrators Working Group |
| FM OFCM | FM OSD Functional Community Manager                      |
| IDP     | individual development plan                              |
| HR      | human resources  |
| LMS     | learning management system                               |
| LO      | learning objective                                       |
| MFR     | memorandum for record                                    |
| NG      | National Guard   |
| PD      | position description                                     |
| PDS     | personnel data system                                    |
| PL      | proficiency level  |
| PPBE    | Planning, Programming, Budgeting, and Execution          |

|             |   |
|-------------|---|
| RC          | Reserve Component   |
| ODNI/CFO    | Office of the Director of National Intelligence's Chief Financial Officer                             |
| OUSD(C)/CFO | Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense |
| OUSD(I)     | Office of the Under Secretary of Defense for Intelligence   |
| USD(C)/CFO  | Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense               |
| USD(I)      | Under Secretary of Defense for Intelligence   |
| USD(P&R)    | Under Secretary of Defense for Personnel and Readiness  |

## PART II. DEFINITIONS

These terms and their definitions are for the purposes of this instruction.

achievement. The completion of the required course hours necessary to satisfy an FM or leadership competency at a specific certification level, as outlined in Enclosure 3 of this instruction.

active course. A course currently available for FM members to complete.

audit readiness. To ensure financial information most often used by DoD decision makers is accurate, reliable, and relevant, and DoD entities are ready to be audited.

Certification Program Senior FM Leadership Group. A group of the DoD senior FM leaders chaired by the USD(C)/CFO, who oversees the operation of the Certification Program.

CET. Education and training required by FM members to maintain professional credentials and to improve their financial management proficiency and skills. 1 CET = 60 minutes of training. For the purposes of this instruction, if a test-based certification program uses a CPE or similar unit based on a 50 minute instructional hour (such as the National Association of State Boards of Accountancy), then that CPE or similar unit is equivalent to the CET hour described in this instruction, even though the CPE or similar unit is 50 minutes.

CEU. Unit of credit equal to 10 hours of course contact time in an accredited program designed for professionals with certificates or licenses to practice various professions. Professionals are required to participate in continuing education programs for a certain number of hours every year in order to keep their certifications current. CEU, as defined by the International Association for Continuing Education and Training, can be credited to a member based on the equation: one CEU = ten CET.

competency. A combination of knowledge, skills, abilities, and behaviors that an individual needs in order to perform work roles or occupational functions successfully.

### Competency's Proficiency Levels

Proficiency Level 5: Applies the competency in exceptionally difficult situations; serves as key resource and advises others.

Proficiency Level 4: Applies the competency in considerably difficult situations; requires little or no guidance.

Proficiency Level 3: Applies the competency in difficult situations; requires occasional guidance.

Proficiency Level 2: Applies the competency in somewhat difficult situations; requires frequent guidance.

Proficiency Level 1: Applies the competency in the simplest situations; requires close and extensive guidance.

course. A structured learning event that has at least one course objective and an agenda or an outline, including a syllabus.

course-based certification. Certification based on successful completion of courses, in lieu of certification based on passing a test.

### course types:

Current courses

Type 1: Inactive DoD FM and Leadership courses.

Type 2: Federal Government non-DoD FM and Leadership courses (active and inactive)

Type 3: Academic FM and Leadership courses (active and inactive)

Type 4: Commercial FM and Leadership courses (active and inactive)

CPE. One CPE credit hour is earned from 50 minutes of course contact time in an approved program of learning. CPE is a set of activities that enables workers to maintain and improve their professional competence. An integral part of the lifelong learning required to provide competent service.

current course. Active DoD course currently available for FM members to complete.

developmental assignment. An assignment of at least 3-months that is different from the principal duties performed in previous assignments. A developmental assignment is generally considered work that is outside the member's current primary track, including previous work in another track or acquisition FM experience. Additionally, work within the same track accomplished at a different organizational level (e.g., budgetary work accomplished at the base or unit level and budgetary work at a major command or headquarters level). DoD Components have the discretion to determine what qualifies as a developmental assignment.

documentation. Third-party documentation is provided by an independent party that substantiates completion of a course or program. Examples of third-party documentation include, but are not limited to, academic transcripts; certificates of completion, and DD Form 214.

FM Certification. Successful achievement of FM Certification requirements, as formally approved and documented by the CCA.

FM Certification alternate track. A subject (accounting, auditing, budget, finance, payroll (military or civilian), or commercial pay) that is different from a member's primary track. In FM Certification Level 1, the subject that a member selects for the "Fundamentals and Operations of Primary Track" competency establishes the member's primary track. If that member is later assigned to a FM Certification Level 2 position, the subject that the member selects for the "Fundamentals and Operations of Alternate Track" competency must be different from the subject of the primary track, and thereby establishes the alternate track.

FM Certification primary track. A subject (accounting, auditing, budget, finance, payroll (military or civilian), or commercial pay) selected by a member when first entering the Certification Program. If the member enters the Program at Certification Level 1, the primary track is the subject that a member selects for the "Fundamentals and Operations of Primary Track" competency. If the member enters the Program at Certification Level 2, the primary track is the subject that a member selects for the "Concepts, Policies and Principles of Primary Track" competency. If the member enters the Program at Certification Level 3, the primary track is the subject that most closely aligns to the member's occupations series or occupational specialty and the "Concepts, Policies, and Principles of the alternate track" must be different from the primary track.

FM Certification Level 1. Level 1 work requires a basic understanding of theoretical financial management knowledge, which is generally acquired through experience. Work involves standard, repetitive tasks and activities with established procedures and guidance or the application of conventional practices to treat a variety of problems in financial management.

FM Certification Level 2. Level 2 work requires the application of comprehensive financial management knowledge and technical proficiency combined with a broad knowledge of professional concepts, policies, and principles. Work also involves expanding skills, knowledge, and leadership abilities of high-potential personnel.

FM Certification Level 3. Level 3 work requires mastery of financial management concepts, theories, and programs. Work also requires integration of major functions and coordination of plans that significantly impact mission performance or support to the warfighter. Work may require confronting the unknown, facing situations with little or no precedent, and originating new concepts or imaginative approaches without guidance from others.

FM CFCM Advisory Board. A group of FM CFCMs from DoD Components with larger FM population who are consulted on time-sensitive actions and requirements of the Certification Program.

FM CFCM. Senior functional leader, responsible for supporting the execution of Civilian Strategic Human Capital Planning and the FM Certification Program in the respective DoD Component career field by working with OSD and command leadership, manpower representatives, FM OFCM, and HR consultants.

FM CFCM Working Group. Oversees the execution of the Certification Program at the DoD Component level and advises the FM CFCM Advisory Board and the DoD FM OFCM on workforce and program issues.

FM community. The DoD civilian employees and military members who perform, supervise, or manage work of a fiscal, accounting, auditing, cost, or budgetary nature.

FM OFCM. Senior functional leader at the OSD level, responsible for working with the DoD Components to monitor and track the implementation of the Civilian Strategic Human Capital Plan by working with the Program Office, OSD, and command leadership, manpower representatives, CFCMs, and HR professionals. The FM OFCM manages the FM Certification Program for the USD(C)/CFO.

FM positions. Positions or a group of positions (including civilian and military positions) that perform, supervise, or manage work of a fiscal, financial management, accounting, auditing, cost, or budgetary nature, or that require the performance of financial management-related work.

FM work experience. Serving in position for which the majority of the work is performing, supervising, or managing work of a fiscal, financial management, accounting, auditing, cost, or budgetary nature.

FM workforce. Includes all DoD military in financial management occupational specialties and civilian personnel in the 05XX series. DoD civilians not in 05XX Occupational Series and military personnel not in FM-coded positions that perform financial management can be included in the FM workforce if designated by their DoD Component.

IDP. An IDP is a tool to assist employees in career and personal development. Its primary purpose is to help employees reach short and long-term career goals, as well as improve current job performance. An IDP is not a performance evaluation tool or a one-time activity. It should be looked at like a partnership between the employee and the supervisor. It involves preparation and continuous feedback.

inactive course. A course no longer available for FM members to complete.

joint manning document. A DoD personnel authorization document that contains multi-Service personnel, approved by the Chairman of the Joint Chiefs of Staff and managed by the Joint Staff/J-1.

parameters. A list of LO-like statements, which can be compared to course LO or proficiency level combinations and are used in the C2C alignment process.

start date. The date the FM member is notified that his or her position is designated with a Certification Program Certification Level.