



## DoD INSTRUCTION 1300.26

### OPERATION OF THE DoD FINANCIAL MANAGEMENT CERTIFICATION PROGRAM

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<b>Originating Component:</b>	Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD
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<b>Approved by:</b>	Michael McCord, Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense

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**Purpose:** This instruction, in accordance with the authority in DoD Directive 5118.03 and Section 1599d of Title 10, United States Code:

- Establishes policy, assigns responsibilities, and provides procedures for the DoD Financial Management (FM) Certification Program.
- Establishes the FM Certification Program's Senior FM Leadership Group, the FM Component Functional Community Manager (CFCM) Advisory Board, the CFCM Working Group, and the FM Certification Program Governing Body.

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## **SECTION 1: GENERAL ISSUANCE INFORMATION**

**1.1. APPLICABILITY.** This instruction applies to 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 (IG DoD), 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”).

**1.2. POLICY.** It is DoD policy that:

a. The FM 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 FM Certification Program; therefore, achieving certification is a condition of employment. Members of the FM workforce must achieve the appropriate certification level for their positions within 2 years of notification of applicable certification requirements or the period of any extension.

c. The FM Certification Program requirements will be uniformly applied to all designated FM positions. DoD Components will designate FM positions 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 Defense Acquisition Workforce Improvement Act (DAWIA) (Business FM, Business Cost Estimating, or Auditing), personnel must complete both certification programs. Approval of FM Certification will be granted, provided the workforce member completes the applicable requirements established in this instruction.

## SECTION 2: RESPONSIBILITIES

**2.1. USD(C)/CFO.** In addition to the responsibilities in Paragraph 2.6., the USD(C)/CFO:

- a. Establishes the FM Certification Program for the FM workforce.
- b. Carries out all powers, functions, and duties of the Secretary of Defense with respect to the FM Certification Program.
- c. Establishes policy, provides oversight, and ensures resourcing for the FM Certification Program.
- d. Develops a methodology to measure the effectiveness of the FM Certification Program. Continually reviews and updates the FM 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 FM 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 FM 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 FM Certification Program.
- i. Chairs the FM Certification Program's Senior FM Leadership Group.
- j. Appoints the FM OSD Functional Community Manager (FM OFCM) in writing, who acknowledges by signing, to oversee the FM Certification Program. The FM OFCM is responsible for the professional development of the FM workforce, and chairs the FM CFCM Advisory Board.
- k. Appoints an FM Certification Program Governing Body (referred to in this instruction as the "Governing Body") in writing, who acknowledges by signing, 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, Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), and other DoD Components that maintain personnel data systems (PDSs) to document FM workforce members' required certification levels and the achievement of certifications in applicable PDSs.

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

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

o. May waive any requirement prescribed in the FM Certification Program.

**2.2. USD(P&R).** In addition to the responsibilities in Paragraph 2.6., the USD(P&R):

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

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

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

d. Provides technical expertise in the alignment of leadership courses to leadership competency levels.

**2.3. USD(AT&L).** In addition to the responsibilities in Paragraph 2.6., the USD(AT&L):

a. Determines whether the following FM workforce members of the acquisition workforce will participate in the FM 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 Service members 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 FM Certification Program.

**2.4. IG DoD.** In order to maintain their independence, in accordance with the Inspector General Act of 1978 of the Title 5, United States Code Appendix, and consistent with the authorities granted to the IG DoD pursuant to DoD Directive 5100.01 and DoDI 7600.02, 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 Defense Intelligence Components (Defense Intelligence Agency, the National Geospatial-Intelligence Agency, the National Reconnaissance Office, and the National Security Agency) will or will not participate in the FM Certification Program.

**2.5. USD(I).** As authorized by Executive Order 12333 and in addition to the responsibilities in Paragraph 2.6, the USD(I) ensures compliance with this instruction and applicable laws for the Defense Security Service and the Defense Intelligence Components, except for members of the Defense Intelligence Components covered under Paragraph 2.4. Compliance actions involving Defense Intelligence Components must be coordinated with the Office of the Director of National Intelligence's Chief Financial Officer (ODNI/CFO).

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

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

b. Appoint an FM CFCM in writing, who acknowledges by signing, in accordance with Volume 250 of DoDI 1400.25 to:

(1) Oversee the implementation of the FM Certification Program.

(2) Support the Office of the USD(C)/CFO (OUSD(C)/CFO) with the administration of the FM Certification Program by active membership and participation in the FM CFCM Advisory Board and FM CFCM Working Group meetings, as required and outlined in Section 8 of this instruction.

c. Appoint or delegate appointment authority to CFCMs, in writing, who acknowledge by signing, for individuals to serve as the FM Certification Program Component Certification Authority (CCA). Components may designate multiple CCAs, as required for their organization. Ensure CCAs are trained in their roles and responsibilities within the FM Certification Program and in the functionality of the FM LMS, as outlined in Section 4 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 FM Certification Program. Components may designate multiple A2s, as required for their organization. Ensure A2s are trained in their roles and responsibilities within the FM Certification Program and in the functionality of the FM LMS, as outlined in Section 4 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 liaise with OUSD(C)/CFO on LMS and training updates. Ensure CAs are trained in their roles and responsibilities within the FM Certification Program and in the functionality of the FM LMS, as outlined in Section 4 of this instruction.

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

g. Allow all FM workforce members reasonable duty time to complete the FM 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 Section 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 FM Certification Program stipulate that position is in the FM Certification Program and include the position's certification level.

j. Appoint Course Managers (CMs), in writing, who acknowledge by signing, and who are responsible for submitting Course-to-Competency (C2C) alignment information into the Course Management System (CMS) for all courses developed internally or that are requested for review by Component FM workforce members. Update alignment information, as outlined in Section 5 of this instruction.

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

l. Integrate the FM 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 FM 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 workforce members who are also members of the acquisition workforce in these categories will participate in the FM 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 FM Certification Program.

## SECTION 3: PROCEDURES

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

a. The FM OFCM:

(1) Advises and supports the USD(C)/CFO in workforce development matters for the DoD-wide FM community, including execution of the FM Certification Program in accordance with this instruction.

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

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

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

(5) Meets with the FM CFCM Advisory Board or FM CFCM Working Group, as required in support of the FM Certification Program.

(6) Provides quality assurance for the FM Certification Program, including review of DoD Component-approved waivers, certifications, time extensions, and CET that the FM workforce members earn.

(7) Chairs the FM CFCM Working Group.

(8) Chairs the FM CFCM Advisory Board.

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

(10) Analyzes the FM 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.

(14) Ensures the FM LMS course inventory is updated on a periodic basis, including courses the Governing Body approves.

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

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

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

(18) Validates requirements and resources the FM LMS.

b. The Military Service or Defense Agency FM CFCMs:

(1) Are formally appointed in writing, and acknowledge by signing, by the Assistant Secretary or Principal Deputy Assistant Secretary for Financial Management and Comptroller for the Military Departments, or by the Senior Financial Manager for all other DoD Components. Provide copies of appointment letters to the FM OFCM.

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

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

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

(5) May be delegated authority from DoD Component heads to appoint in writing, the respective Lead CA, CAs, and CMs, who acknowledge by signing. Provide copies of appointment letters to the FM OFCM. Provide signed DD Form 2875, "System Authorization Access Request (SAAR)," to the system of record System Administrator for Lead CA and CAs.

c. The CCAs:

(1) Are formally appointed in writing, and acknowledge by signing, by the Assistant Secretary or Principal Deputy Assistant Secretary for Financial Management and Comptroller for the Military Departments, or by the Senior Financial Manager for all other DoD Components. Provide copies of appointment letters to the FM OFCM.

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

(3) Approve or disapprove FM 101 course module waiver requests.

(4) Approve or disapprove time extension requests.

(5) Complete OUSD(C)/CFO training on FM Certification Program roles and responsibilities and the functionality of the FM LMS to be recognized as a CCA.

(6) Support the FM CFCM in the administration of the FM Certification Program.

(7) May not further delegate these roles and responsibilities.

d. The Lead CAs:

- (1) Manage the administration of the FM Certification Program using the FM LMS.
- (2) Complete OUSD(C)/CFO training on FM Certification Program roles and responsibilities and the functionality of the FM LMS to be recognized as a Lead CA.
- (3) Provide Component oversight to the management of the organizational hierarchies with the CCA and A2 approval roles assigned at the organizational levels in the FM LMS for the DoD Component's respective domain.
- (4) Manage CA, A2, and CCA account creation and deletion, including submitting appointment letters (for CCAs) and DD Form 2875 (for CAs, A2s, and CCAs) with completed request templates to OUSD(C)/CFO.
- (5) Provide Component oversight and support to the CAs, including ensuring that CAs complete training.
- (6) Run Component reports for leadership, FM CFCMs and CCAs, as requested.

e. The CAs:

- (1) Assist the Lead CA in managing the administration of the FM Certification Program using the FM LMS.
- (2) Complete OUSD(C)/CFO training on FM Certification Program roles and responsibilities and the functionality of the FM LMS to be recognized as a CA.
- (3) Sign the CA-prohibited actions acknowledgement memorandum (available on FM Online Website at <https://fmonline.ousdc.osd.mil/default.aspx>).
- (4) Build and manage the organizational hierarchies at the Component level, including assigning CCA and A2 approval roles at the organizational levels, in the FM LMS for the DoD Component's respective domain.
- (5) Update and maintain Component user profiles, including managing user PINs, providing first level of user support, editing users' learning events, and providing corrections to users' errors in accordance with Paragraph 4.2.f.
- (6) Assign and manage users' supervisor assignments and email addresses.
- (7) Run user management reports and make necessary corrections to user learning events.

f. The CMs:

- (1) Are Component points of contact who manage their Component's course database.

(2) Complete OUSD(C)/CFO training on FM Certification Program roles and responsibilities and the functionality of the FM LMS to be recognized as a CM.

(3) Collect, review, submit, and track course alignment requests made by their Component's FM community. These requests will be submitted and aligned using the CMS.

(4) Of Components that sponsor (own) DoD courses:

(a) Track course alignment requests of the Component's courses sent from OUSD(C)/CFO.

(b) Upload Component courses to the CMS.

(c) Manage and update the courses already in FM myLearn.

g. The FM workforce members' 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 FM Certification Program.

(3) Notify FM workforce members, in writing, who acknowledge by signing, of their FM Certification requirements, based on their assigned position, including the certification level. Assist FM workforce members in achieving their certification level within the required time period.

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

(5) Complete training on the FM 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 workforce members within their approval authority in accordance with this instruction.

(8) Initiate progressive disciplinary action as appropriate if FM workforce members they supervise are noncompliant with FM Certification policy, or coordinate with non-FM supervisors of record to initiate appropriate action for their FM Certification candidates whose actual supervisor is not a member of the FM community.

h. The DoD Component's A2s, if appointed by the Component:

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

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

(3) Support the CCA in the administration of the FM Certification Program.

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

i. The FM workforce:

(1) Includes DoD military and civilian personnel who perform FM work.

(2) Members are assigned to FM positions. FM positions include military and civilian positions that perform, supervise, or manage work of a fiscal, FM, accounting, auditing, cost or budgetary nature, or that require the performance of FM-related work.

j. The military and civilian members of the FM workforce:

(1) Participate in the FM Certification Program.

(2) Achieve the required certification level of his or her position 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 to auditors, as required.

### **3.2. 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. FM positions are:

(a) Civilian positions within a 05XX occupational series.

(b) Military positions with FM occupational specialties.

(c) Non-05XX occupational series or military positions performing FM work when designated by DoD Components, and if acquisition-coded in areas other than Business-FM, Business-Cost Estimating and Acquisition Auditing, as approved by the USD(AT&L).

(2) FM positions to which this certification applies:

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

(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**

CIVILIAN OCCUPATIONAL SERIES			
0501*	Financial Administration and Program	0540	Voucher Examining
0503	Financial Clerical and Assistance	0544	Civilian Pay
0505	Financial Management	0545	Military Pay
0510*	Accounting	0560*	Budget Analysis
0511*	Auditing	0561	Budget Clerical and Assistance
0525	Accounting Technician	0599	FM Student Trainee
0530	Cash Processing	* Mission critical FM occupational series	

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

(d) Military positions not coded with the FM Comptroller or Resource Management Occupational Series that perform, supervise, or manage FM 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-Financial Management, Business-Cost Estimating and Acquisition Auditing.

(3) FM workforce members assigned to positions with an FM certification designation must comply with FM Certification Program requirements within 2 years from notification. If an FM workforce member transfers to a new position with no break in service (or employment)

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, if an FM workforce member has a break in service (or employment), becoming inactive while in a non-FM-coded position, and, upon return, is assigned to the same level, his or her 2-year window will start upon arrival at the new position. Personnel with DAWIA Certifications outlined in DoDI 5000.66 required to complete FM certification will be given consideration for time extensions if required.

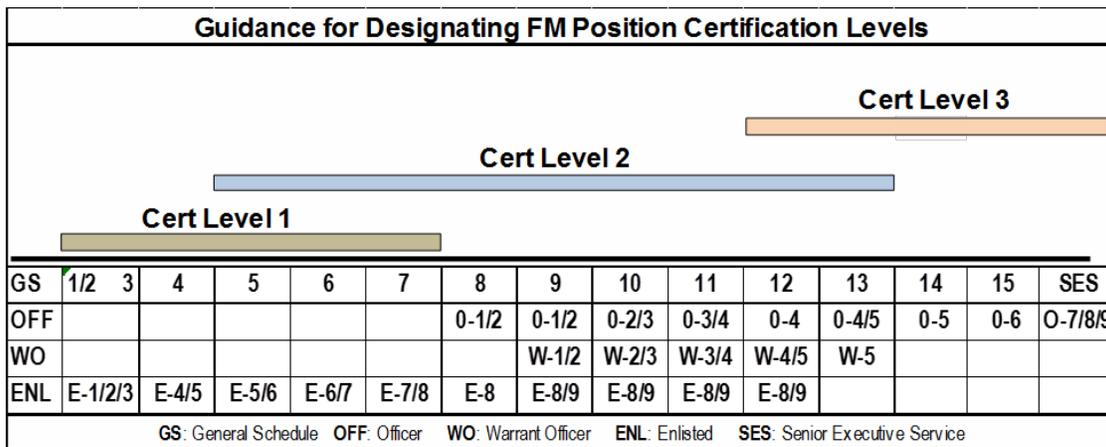
**b. Designating and Coding FM Positions with Certification Levels.**

(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 the 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 1001.01B.

(2) The three FM 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. Figure 1 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.

**Figure 1. FM Position Designation Guidance**



(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.

(5) DoD Components must ensure the appropriate certification level, for FM positions in the FM 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 FM Certification Program positions with a FM Certification Level of 1, 2, or 3 in the Component's organizational manpower systems.

### **3.3. INCLUSION OF FM WORKFORCE MEMBERS INTO THE FM CERTIFICATION PROGRAM.**

#### **a. Full-time Civilians and Active Duty Military FM Workforce Members.**

(1) When FM workforce 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 notification of applicable certification requirements.

(a) The DoD Components will inform the FM members, in writing, who acknowledge by signing, of the date their positions are designated with an FM Certification Program certification level and document the notification within 30 days of the date of assignment to that position. The date listed on the notification document is considered the actual start date.

(b) If, during the 2-year period for obtaining certification, the FM workforce member transfers to a new position that requires the same certification level of his or her previous position, then the FM workforce member is notified of the requirement to complete certification within the original 2-year time period.

(c) If the FM workforce 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 workforce 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, available at <https://fmonline.ousdc.osd.mil/default.aspx>.

**b. FM Certification Program Application.** Only FM workforce members currently assigned to positions with an FM Certification designation are included in the FM Certification Program and are authorized to achieve FM certification at the designated level. However, FM leadership recognizes the following two situations and should encourage FM workforce members accordingly.

(1) FM workforce members currently assigned to positions without an FM Certification designation are not required to achieve FM Certification while assigned to a non-FM designated position. For example, an FM workforce member assigned as a special assistant outside of the FM career field would not be required to complete FM Certification unless their position was designated as requiring FM certification. DoD Components should encourage these FM workforce members to take the course work required for the expected certification level, allowing them to more quickly achieve certification once assigned to an FM-designated position.

(2) Certification levels are determined by the position each FM workforce member occupies. FM workforce members who have achieved their designated level of FM Certification and desire to achieve the next higher-level certification are encouraged to take the course work required for the next certification level as part of their CET requirements and document completed training in their resumes. However, FM workforce members may only hold the certification level aligned with their FM-coded position.

c. Other members of the DoD FM workforce assigned to positions designated with an FM Certification level are addressed in Section 6. For the purpose of this instruction, this population includes:

- (1) Reserve and National Guard (NG) Military Service members.
- (2) Part-time and temporary civilian employees.

### **3.4. ACHIEVING, DOCUMENTING, AND SUSTAINING FM CERTIFICATION.**

#### **a. Achievement of FM Certification.**

(1) The FM workforce member must be able to obtain the FM Certification requirement of the position to which he or she is assigned. Such certification is a condition of employment. In the event a member cannot obtain the FM Certification within the initial 2-year time period, the CCA may grant one or more time extensions of up to 1 year to remain in the position.

(2) Supervisors are responsible for monitoring and tracking FM members' progress toward certification and working with their human resources offices to take progressive discipline as appropriate so that FM members attain their certification levels within the required time period.

(3) If an individual fails to obtain the required FM Certification and any CCA approved time extension(s) have expired, the individual may be subject to adverse actions, up to and including, reassignment to a lower grade, or removal from government service.

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

- (a) Certification Level 1: DoD FM Certification Level 1 (DFMC1).
- (b) Certification Level 2: DoD FM Certification Level 2 (DFMC2).

(c) Certification Level 3: DoD FM Certification Level 3 (DFMC3).

**b. Documenting FM Certification.**

(1) Once an FM workforce member is included in the FM 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 Section 1. Workshops, seminars, or symposiums that are not structured learning events with at least one course objective, an 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 must be provided by an independent party that substantiates completion of a course or program. 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." The Governing Body Secretary will review and consider foreign transcripts on a case-by-case basis.

2. FM workforce members must have received a passing grade for academic courses and been awarded credit hours to receive FM Certification credit. Grades for academic courses must be at least "D" on a letter scale, "Satisfactory" on a satisfactory/unsatisfactory scale, "Completed" on a completed/uncompleted scale, or "Pass" on a pass/fail scale. If a grade indicates "Withdrawn" or if the value of the course is zero credits, then no credit is given.

3. When aligning academic courses to FM certification requirements, the Academic Matrices reflect the Academic Course level authorized to meet the requirements for the specific FM Certification Level. Higher-level academic courses may be applied to lower-level certification requirements. For example, Senior Upper-division Undergraduate (level 4XXX and above) and Graduate level courses may be used to not only satisfy FM level 3 requirements, but also lower level requirements, i.e., proficiency levels 2 and 1 requirements.

4. The Academic Course Search Tool enables FM workforce members to find academic (undergraduate and graduate) courses previously aligned and approved to meet DoD FM Certification Program requirements. FM workforce members can access the Academic Course Search by visiting the FM myLearn e-Catalog. The Academic Course Search Tool provides a memorandum reflecting approved competencies for courses listed in the academic database.

5. Academic courses not in the Academic Course Search tool and whose titles are not a "close-match" to the course titles listed in the Academic Matrices may be submitted to the CMS by the CM for review by the Course Alignment Team, chaired by the Governing Body Secretary.

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

(c) The member may request a course waiver in accordance with the waiver policy outlined in Section 6 of this instruction 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.

(c) The supervisor and the CCA may not be the same person unless another person is assigned as the A2.

(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.

(c) The CCA and supervisor may not be the same person unless another person is assigned as the A2.

(5) After a CCA approves certification, the DoD Component user may print the FM Certification Program certificate signed by the USD(C)/CFO using the FM LMS or request a larger format certificate using FM Online, which will be mailed to the address specified by the user.

### **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, beginning at initial certification.

(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 first CET 2-year cycle begins the day after the FM workforce member’s FM Certification approval and extends to December 31 of the second year following that date. All subsequent CET cycles, as shown in Table 2, will remain fixed to a 2-year cycle from January 1 to December 31. Example: If a member was certified on June 30, 2016, the member’s first CET cycle will be July 1, 2016 – December 31, 2018, and the second CET cycle will be January 1, 2019 – December 31, 2020.

**Table 2. CET 2-Year Cycles**

<b>Date Certified</b>	<b>1<sup>st</sup> CET Cycle Due</b>	<b>2<sup>nd</sup> CET Cycle Due</b>	<b>3<sup>rd</sup> CET Cycle Due</b>
2013	2015	31 Dec 2017	31 Dec 2019
Jan – Sep 2014	Jan – Sep 2016	31 Dec 2018	31 Dec 2020
Oct – Dec 2014	31 Dec 2016	31 Dec 2018	31 Dec 2020
2015	31 Dec 2017	31 Dec 2019	31 Dec 2021
2016	31 Dec 2018	31 Dec 2020	31 Dec 2022
Example: If a member is certified April 15, 2016, the member’s CET cycle would be January 1, 2017 – December 31, 2018			

(a) For all FM workforce members certified before October 1, 2014, the second CET 2-year cycle begins the day after the first CET 2-year cycle ended and extends to December 31 of the fourth year following the date of FM Certification approval. An example is provided in Figure 2.

**Figure 2. CET Reset Guidance**

<b>EXAMPLE:</b>	
<b>Current 2-year CET Cycle:</b>	<b>May 1, 2016 – Apr 30, 2018</b>
<b>New 2-year CET Cycle:</b>	<b>Extend current cycle end date from Apr 30 to Dec 31, 2018; then next cycle is Jan 1, 2019 – Dec 31, 2020</b>

(b) An FM workforce member who departs, becoming inactive while in a non-FM position, then returns, to an FM-coded position is automatically relieved of requirements to accomplish CETs using the calculation in Figure 3.

**Figure 3. CET Relief Calculation**

$((\text{Number of months away}) / 24 (\text{month CET cycle})) \times \text{CET hour requirement} = \text{number of CETs relieved}$
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(c) The automatic relief granted, including the number of months and the number of CETs relieved, must be documented and signed by the member’s supervisor and will be recorded

in the LMS. If the FM workforce member does not desire relief from CET requirements and accomplishes CETs, no action is taken by the member or the supervisor to document that election.

(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) CETs may be at any proficiency level; they are not required to be at a prescribed proficiency or certification level.

(b) The USD(C)/CFO may prescribe specific CET requirements for the FM workforce or portions of the FM workforce, within the CET requirements for each certification level (cannot exceed prescribed number of hours referenced in Paragraph 3.4.c.(2)).

(c) The DoD Components may prescribe specific CET requirements for their Component or portions of their Component, within the CET requirements for each certification level (cannot exceed prescribed number of hours referenced in Paragraph 3.4.c.(2)).

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

1. FM or leadership 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 an FM-related 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 (NASBA)), 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.

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

(f) Total aligned course hours earned from any FM or leadership training course included in the FM myLearn Course Catalog can be counted for CET credit.

(g) FM- or leadership-related continuing education units (CEU), as defined by the International Association for Continuing Education and Training Website (<https://fmonline.ousdc.osd.mil/default.aspx>), can be credited to an FM workforce member based on the equation: one CEU equals ten CET.

(5) CET eligible activities include the following:

(a) FM and leadership courses, symposia, or training events. For example: Speaker briefing at local Association of Governmental Accountants meeting was 1 hour = 1 CET. If no

documentation is provided by the organization sponsoring the event, use an MFR signed by the workforce member's supervisor to document the CET.

(b) Courses for training used to satisfy CPE requirements for any of the 20 approved FM-related test-based certifications (e.g., Certified Defense Financial Manager, Certified Public Accountant). CET hours: Unit-for-unit (e.g., 1 CPE = 1 CET).

(c) Courses for training used to satisfy CPE for Acquisition (DAWIA) certifications (e.g., 1 continuous learning point = 1 CET).

(d) Academic FM and leadership courses found in the Academic Course Search tool or Academic Matrix close title match. CET hours: 1 semester hour course = 15 CETs; 1 quarter hour = 10 CETs.

(e) Only annual refresher training that is a requirement for the position and is FM-related (such as Fiscal Law and Ethics) may be counted toward the CET requirement each year as completed. For example, fiscal law annual refresher training is a mandatory component for members serving as a certifying officer or funds control officer. If such training is required for a workforce member's position as a certifying officer, the member may count fiscal law refresher training toward satisfying an annual requirement. Non-FM-related annual training may not be counted toward CET requirements.

(f) The following activities are not creditable for CETs: academic thesis or dissertation work, laboratories, work-equivalency or experience credits, or projects.

(6) 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 are required to retain documentation for 4 years. FM workforce members are subject to CET audits and will be required to provide documentation of CETs earned.

(7) Sustainment of FM certification by the end of each 2-year cycle by accomplishing CET requirements is a condition of employment.

(a) Supervisors are responsible for monitoring and tracking FM members' progress and working with their human resources offices to take progressive discipline as appropriate so that FM members maintain their FM certification.

(b) If an FM workforce member fails to accomplish CET requirements, he or she may be subject to adverse actions including, reassignment to a lower grade, or removal from government service.

### 3.5. FM CERTIFICATION REQUIREMENTS.

#### a. FM Certification Requirements Overview.

(1) The Certification Requirements Program is a course-based program consisting of three certification levels, as outlined in Table 3.

**Table 3. FM Certification Program Requirements by Certification Level**

	Level 1	Course Hours	Level 2	Course Hours	Level 3	Course Hours
FM Competencies & Proficiency Levels 1 – 5 (PLs 1 – 5)	FM Systems (PL1)	6	FM Systems (PL3)	8	FM 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> FM 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 (PL3)	12
			Concepts, Policies and Principles of Primary Track (Accounting, Budget, Finance, Audit, Commercial Pay or Payroll) (PL3)	10	Advanced FM (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
Leadership Competencies Levels	Lead Self Competencies	6	Lead Teams/Projects Competencies	10	Lead People Competencies	12
Other Required Courses	Course: DoD FM 101 (12 Modules*)	24	Courses: Audit Readiness, Fiscal Law, and Ethics	9	Courses: Audit Readiness, Fiscal Law, and Ethics	9
Total Course Hours		46		71		81
FM Work Experience	2 years in DoD		4 years (2 in DoD)		8 years (2 in DoD)	
Developmental Assignment					At least one 3-month developmental assignment	
Sustainment Training	40 CET Hours every 2 years		60 CET Hours every 2 years		80 CET Hours every 2 years	
* 6 of 12 modules may be waived – except Audit Readiness				PL – Proficiency Level		

(2) Certification requirements are based on:

(a) FM competencies and associated proficiency levels (PLs) (as defined in the Glossary), with specific course hour requirements. FM course content aligned with FM competency and PL combinations satisfies requirements in terms of course hours.

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

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

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

(c) The definition of the FM Systems competency is narrowed in accordance with Paragraph 3.5.a.(3) for the purposes of the FM Certification Program. Other mixed or feeder financial systems are not included.

(d) In the context of the FM Certification Program, “FM Systems” only includes the following systems:

1. Accounting.

2. Managerial cost accounting.

3. Funds management and budgetary resources management.

4. Funds balance with U.S. Treasury.

5. Travel.

6. Payroll (military and civilian).

7. Enterprise resource planning.

8. Budget formulation and Planning, Programming, Budgeting, and Execution (PPBE).

(e) 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) with specific course-hour requirements. Leadership course content aligned to leadership competencies within one of the levels mentioned in this paragraph satisfies FM Certification requirements when taken at the level associated with the member’s required certification level.

(f) 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.

(g) Members receive credit toward the 2-year DoD FM experience requirement only if the experience was obtained in the DoD military or civilian service. DoD contractor experience may be used to satisfy the requirement for “Total FM Experience” at Levels 2 and 3, but does not satisfy the requirement for “DoD FM experience.” Work duties must have involved performing, supervising, or managing services of a fiscal, FM, accounting, auditing, cost, or budgetary nature in order to count as FM experience. To ensure credit is received for this experience, the workforce member’s supervisor must provide a MFR to validate and document FM experience.

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

(3) The certification levels of the FM 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 before starting Level 2 Certification; a member assigned to a Certification Level 3-coded position is not required to complete Certification Level 2 before starting Certification Level 3.

(5) FM workforce members certified at a particular certification level remain certified at that level regardless of any new FM 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.

(7) For quality assurance purposes, FM certification records are subject to audits.

#### **b. FM Certification Level 1 Requirements.**

(1) The FM workforce member must complete the required course hours for each specified FM Competency, at the PL prescribed in Tables 4 and 5. The available FM courses and other courses aligned to FM Competency and PLs can be found on FM myLearn at <https://fmonline.ousdc.osd.mil/FMmyLearn/Default.aspx>.

(2) An FM workforce 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.

(3) The FM workforce member must complete the required leadership course hours for the level within the leadership competency prescribed in Table 4. For additional information regarding the competencies within the Lead Self level, refer to the CLDF&C in DoDI 1430.16.

**Table 4. Certification Level 1 Requirements**

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

(4) The FM workforce member must complete all the modules of the FM 101 Course prescribed in Table 5.

(a) The member can complete approved substitute courses. See Paragraph 3.6 of this instruction for further information on substitutions.

(b) CCAs may waive up to 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.

**Table 5. DoD FM 101 Course Modules**

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

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

### c. FM Certification Level 2 Requirements.

(1) The FM workforce 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.

**Table 6. Certification Level 2 Requirements**

<b>CERTIFICATION LEVEL 2 REQUIREMENTS</b>		
<b>FM Competency</b>	<b>Proficiency Level</b>	<b>Course Hours</b>
<b>FM Systems</b>	<b>3</b>	<b>8</b>
<b>Decision Support</b>	<b>3</b>	<b>8</b>
<b>Accounting Analysis <u>OR</u> Financial Management Analysis</b>	<b>3</b>	<b>10</b>
<b>Budget Formulation, Justification, and Presentation <u>OR</u> Budget Execution</b>	<b>3</b>	<b>10</b>
<b>Concepts, Policies, and Principles of the Primary Track.</b>	<b>3</b>	<b>10</b>
<b>Fundamentals and Operations of Accounting, or Budget, or Finance, or Audit, or Military and Civilian Pay (alternate track)</b>	<b>1</b>	<b>6</b>
<b>* “When an “<u>OR</u>” statement is used, the FM workforce member can choose any combination of course hours in each competency.”</b>		
<b>Leadership Competency</b>		
<b>Lead Teams / Projects Level</b>		<b>10</b>
<b>Other Required Courses</b>		
<b>Audit Readiness</b>		<b>3</b>
<b>Fiscal Law</b>		<b>3</b>
<b>Ethics</b>		<b>3</b>
<b>Total Course Hours</b>		<b>71</b>
<b>FM Work Experience and Sustainment Training Requirements</b>		
<b>FM Work Experience</b>	<b>4 total years at least 2 in DoD</b>	
<b>Sustainment Training</b>	<b>60 CETs every 2 years</b>	

(a) The subject of the “Concepts, Policies, and Principles” FM competency is the primary track of a FM workforce 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 workforce member enters the FM 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 training and knowledge to the member.

(2) The FM workforce member is required to complete the required leadership course hours for each specified level within the leadership competency prescribed in Table 6. For additional information regarding the competencies within the Lead Teams/Projects level, refer to the CLDF&C in DoDI 1430.16.

(3) The FM workforce member must complete the required training in Audit Readiness, Fiscal Law, and Ethics for Level 2 Certification outlined in Table 6. The member can complete approved substitute courses. See Paragraph 3.6 for further information on substitutions.

(4) The FM workforce member is required to complete a total of 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 workforce 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 workforce member must complete the required course hours for each specified FM Competency, at the proficiency level prescribed in Table 7. 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 workforce 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 FM Certification Program at Certification Level 3, then he or she will 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 workforce member must complete the required leadership course hours for the specified level within the leadership competency prescribed in Table 7. In addition, for Certification Level 3, individuals may use competencies in the higher levels of Lead Organizations or 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 DoDI 1430.16.

**Table 7. Certification Level 3 Requirements**

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

(3) The FM workforce member must complete the other required training in Audit Readiness, Fiscal Law, and Ethics for Certification Level 3 outlined in Table 7. 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 Paragraph 3.6 for further information on substitutions.

(4) The FM workforce member is required to complete a total of 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 workforce 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 workforce 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.

### **3.6. WAIVERS, TIME EXTENSIONS AND SUBSTITUTIONS.**

#### **a. DoD FM 101 Module Waiver Policy.**

(1) 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 Section 7. Any of the DoD FM 101 modules (up to the maximum of 6) may be waived, with the exception of the Audit Readiness module.

(2) FM workforce 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. Time Extension Policy.**

(1) FM workforce members may request one or more time extensions, with supporting rationale, if they are unable to complete their certification requirements within the 2-year time period.

(2) All requests for time extensions must be elevated to the CCA level for decision.

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

(4) Time extensions with supporting rationale are subject to audits.

#### **c. 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 workforce 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) The 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 FM Certification Program subject to the substitution process.
3. Collects courses recommended as substitutes by the DoD Components for courses in the FM Certification Program.
4. Approves and posts substitute courses on the FM myLearn Website and the FM LMS, as appropriate.

(b) The FM CFCM:

1. Identifies courses, for which they are the proponent, that meet the substitution requirements in this instruction.
2. Recommends substitute courses via the CM to the FM OFCM for approval in the format designated by the FM OFCM.
3. Periodically reviews “substitutable” training to ensure it remains current.

(c) The CM:

1. Submits substitution requests to OUSD(C)/CFO after approval by the FM CFCM.
2. Assists the FM CFCM in performing substitute course activities.

(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 FM 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 in this instruction 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.

(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.

## SECTION 4: DoD FM LMS

### 4.1. FM LMS OVERVIEW.

- a. The FM LMS supports the FM 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 workforce members' certification levels. FM workforce members can use the FM LMS to complete OUSD(C)/CFO-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 FM 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 workforce 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.

### 4.2. FM USERS IN THE FM LMS.

- a. FM workforce 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) Purge all documents of Personally Identifiable Information (PII).

- (6) Request approval.
  - (7) Apply for certification.
  - (8) Complete FM LMS web-based training.
  - (9) Access reports.
- b. Supervisors will review courses 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.
- f. CA prohibited actions have been separated into four categories with consequences per occurrence by category. The four categories are:
- (1) Category 1 – CAs may **not** update any user data within the FM LMS, with the exception of the user's email address and supervisor. Prohibited user updates include:
    - (a) Updating a user's status, reactivating or deactivating a user (except for military retirees and military members who move out of the FM community until such time that the military personnel system can provide an automated data feed).
    - (b) Updating a user's FM Certification Level.
    - (c) Updating a user's Organizational ID (except for military members).

(d) Unlocking a user's account; (email request to FM Certification Mailbox).

(2) Category 2 – CAs may **not** delete a completed online course or a completed/ approved certification within the FM LMS.

(3) Category 3 – CAs may **not** approve or deny an item for an approver using the admin proxy feature in the FM LMS (except for erroneous or duplicate items).

(4) Category 4 – CAs may **not** delegate the supervisory authority in the FM LMS.

g. If a CA undertakes a prohibited action in the FM LMS, the following consequences will occur in addition to initiation of any appropriate disciplinary action:

(1) First occurrence by category – The CA and DoD Component Lead CA will be notified by email that a prohibited action was identified.

(2) Second occurrence by category – The CA, DoD Component Lead CA, and CFCM will be notified by email that a second occurrence of prohibited actions was identified.

(3) Third occurrence by category – The CA's role in the FM LMS will be suspended for 2 weeks; the CA, DoD Component Lead CA, and CFCM will be notified by email that a third occurrence of prohibited actions was identified.

(4) Fourth occurrence by category – The CA's role in the FM LMS will be suspended for 6 weeks; the CA, DoD Component Lead CA, and CFCM will be notified by email that a fourth occurrence of prohibited actions was identified.

(5) Fifth occurrence by category – The CA's privileges as a CA in the LMS will be revoked; the CA, DoD Component Lead CA, and CFCM will be notified by email.

h. The DoD Component Lead CA is responsible for managing and providing oversight to all DoD Component CAs, including submitting new administrator requests for CAs, A2s and CCAs.

#### **4.3. 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 workforce 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 workforce 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.

#### **4.4. 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 is 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.

## SECTION 5: C2C

**5.1.** The FM and Leadership e-Course Catalog on the FM myLearn Website is essential to FM certification. Each DoD Component is responsible for aligning internally developed FM courses to FM Competencies and for recommending alignment of leadership courses. The Governing Body is responsible for aligning the Federal Government (non-DoD), commercial, and academic organizations' developed courses.

**5.2.** The C2C Alignment Process follows five basic steps outlined in Table 8.

**Table 8. 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.	

**5.3.** 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.

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

(1) The FM workforce 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 workforce member and supervisor to ensure the total number of course hours aligned does not exceed the total number of course hours taken.

**5.4.** The FM and leadership courses are divided into types to facilitate the alignment process. Table 9 outlines the types of courses and who is responsible for alignment.

- a. Active courses are currently available for FM workforce members to complete.
- b. Inactive courses are no longer available for FM workforce members to complete.

**Table 9. 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>	<b>Active FM and Leadership DoD course currently available for FM workforce members to complete</b>	<b>DoD Component providing the course</b>
<b>Type 1</b>	<b>Inactive DoD FM and leadership course</b>	<b>DoD Component providing the course</b>
<b>Type 2</b>	<b>Federal Government non-DoD FM and leadership courses (active and inactive)</b>	<b>Governing Body</b>
<b>Type 3</b>	<b>Academic FM and leadership courses (active and inactive)</b>	<b>Governing Body *</b>
<b>Type 4</b>	<b>Commercial FM and leadership courses (active and inactive)</b>	<b>Governing Body</b>
<b>*The Governing Body approves the FM and leadership academic alignment matrices the FM LMS supervisor uses to approve achievements. Courses not covered by the matrices are aligned by the Governing Body.</b>		

**5.5.** 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 (GBS) 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.

**5.6.** The process for designated course owners to align courses to FM and Leadership Competencies is driven by the course content.

a. Components align courses to FM Competencies by completing the following steps.

(1) Course owners access the DoD FM Enterprise-wide Competencies listed on FM Online.

(2) Review the FM course to record the total course hours. Identify the stated course learning objectives.

(3) Determine if a course learning objective aligns closely with a Competency/PL. This is a judgment call by the Course Aligner, Peer Reviewer, and GBS. If an alignment exists, determine (or estimate) the number of course hours which are dedicated to that Competency/PL combination. Repeat for each course learning objective. It is not necessary to align every course objective. Only relevant course objectives should be aligned.

(4) Record the alignment of C2C/PL combinations.

(5) One FM course may be aligned to several Competency/PL combinations.

(6) Ensure that the sum of all the aligned course hours does not exceed the number of total course hours. The sum of all the aligned course hours may be equal to or less than the total course hours since some of the course content may not be related to the DoD FM Enterprise-wide competencies.

b. Components align courses to FM Competencies by completing the following steps.

(1) Course owners access the DoD Leadership Competency definitions.

(2) Review the leadership course to record the total course hours. Identify the stated course learning objectives. Confirm with the USD(P&R) that they agree with the alignment.

(3) Determine if a course learning objective aligns closely with a leadership Competency definition. This is a judgment call by the Course Aligner, Peer Reviewer, and GBS. If an alignment exists, determine (or estimate) the number of course hours which are dedicated to that Competency or PL combination. Repeat for each course learning objective. It is not necessary to align every course objective. Only relevant course objectives should be aligned.

- (4) Record the alignment of C2C/PL combinations.
- (5) One leadership course may be aligned to several Competency/PL combinations.

(6) Ensure that the sum of all the aligned course hours does not exceed the number of total course hours. The sum of all the aligned course hours may be less than the total course hours – this means that some of the course content may not be related to the DoD leadership competencies.

**5.7.** The OFCM may authorize certain training events as mini-courses if taught in conjunction with training conferences, symposia, or other training events.

a. For mini-courses to count toward initial certification, they must meet the following criteria:

- (1) Comply with the definition of a course per DoDI 1300.26.
- (2) Be aligned to the FM competencies in accordance with DoDI 1300.26 (applicable to DoD, non-DoD government, and commercial courses) and loaded into FM myLearn.
- (3) Be used for competency-based training requirements; they may not be substitutes used to satisfy “Other Required Training.”
- (4) Be at least two course hours in length.
- (5) Be provided with tightly monitored attendance. Course completion must be properly documented via two methods:
  - (a) Course evaluations completed by each learner for attendance verification.
  - (b) Documentation of completion (certificate, CPE letter, etc.).
- (6) Be developed after February 25, 2014, when the initial FM OFCM to the CFCMs guidance memorandum, regarding the criteria and process requirements for mini-courses was distributed. There is no “grandfathering” of historical mini-courses.
- (7) Be provided through live instructor-led training, to include live interactive or virtual interactive training. Video-taped or recorded versions of approved mini-courses do not count toward initial certification. However, video-taped or recorded versions of mini-courses may be used to meet CET requirements.

b. DoD Components will align new mini-courses for which they are the course owners in accordance with this instruction.

(1) If the owner of mini-course content is a professional association or commercial vendor, either a DoD entity or a conference/symposium sponsor will submit a request to the Office of the Secretary of Defense Functional Community Manager (OFCM) (OUSDC/ Human Capital Resource Management (HCRM)) to conduct a mini-course. The request should be submitted approximately 120 days in advance of the event. Requests for commercial mini-

courses must include identification of parent course, a course syllabus, course hours, and a proposed alignment of hours to competencies. The OFCM will approve or disapprove the mini-course submission based on FM Certification Program policy.

(2) Once the mini-course has been approved, the course presenter must do the following to ensure course attendance and proper documentation:

(a) At the beginning of the course, record positive attendance of FM workforce members via “scan” or roster.

(b) Distribute and collect signed Mini-Course Evaluation forms, located on FM myLearn website, at the end of the course from FM workforce members interested in obtaining credit toward initial certification. Based on receipt of the Mini-Course Evaluation form and verification of attendance, the instructor will issue course completion documentation (certificate, CPE letter, etc.).

## SECTION 6: INCLUSION OF OTHER FM WORKFORCE MEMBERS

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

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

a. Reserve Component (National Guard and Reserves) FM workforce members are included in the FM Certification Program.

(1) Reserve Component members who are in a FM designated position must meet the certification requirement of their position.

(2) Reserve Component FM workforce members who have FM Certification requirements for both a military and a civilian position are known as “Dual Persona FM workforce members.” Dual Persona FM workforce members must achieve the higher of the two levels of certification with a certification required by date (RBD) of the higher certification level. If a Dual Persona FM workforce member’s civilian and military levels of certification are the same, then the certification RBD is the earlier RBD of the two certification requirements. Each Dual Persona FM workforce member is responsible for notifying his or her supervisor and human resources personnel that he or she is a Dual Persona FM workforce member with two certification requirements. The respective Component is required to identify Dual Persona FM workforce members in writing to OUSD(C)/CFO.

(3) Reserve Component members may request one or more time extensions in order to complete FM Certification requirements for their military persona based on his or her unique situation.

b. Temporary and Term employees are not currently subject to FM Certification Program Requirements; however, Reserve Components may encourage these employees to complete certification training appropriate for their level, report training completion on their resumes, and apply for certification award upon assignment to a permanent FM Certification-coded billet.

c. Foreign National/Local National (FN/LN) civilian employees, and Part-time DoD, and Non-Appropriated Funds (NAF) civilian employees are not currently eligible for participation in the DoD FM Certification Program.

## SECTION 7: FM AND ACQUISITION-CODED POSITIONS

**7.1.** FM workforce members assigned to positions that are coded FM Certification and DAWIA Business FM, Business Cost Estimating, or Auditing Certification, 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 to use the reduced requirements in Tables 10 and 11 for achieving FM Certification. The need to complete both certifications may require a time extension for completion of FM Certification in accordance with the FM Certification Program time extension policies outlined in Section 8. A completed DAWIA Certification Training Certificate is used as documentation for certification.

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 section 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.

d. Members receive credit toward the 2-year DoD FM Experience requirement only if the experience was obtained in the DoD military or civilian service. DoD contractor experience may be used to satisfy the requirement for “Total FM Experience” at levels 2 and 3, but does not satisfy the requirement for “DoD FM experience.” Work must have involved performing, supervising, or managing services of a fiscal, financial management, accounting, auditing, cost, or budgetary nature in order to count as FM experience. To ensure credit is received for this experience, the supervisor must provide a MFR to validate FM experience.

**7.2.** The requirements for FM Certification and DAWIA Business FM Certification include:

a. FM workforce members in a DAWIA Business FM Certification-coded position at the same or higher level as their required FM certification, must complete the additional courses outlined in Table 10.

b. FM workforce members in a DAWIA Business FM Certification-coded position at a lower level than their required FM Certification or FM workforce members who hold a DAWIA Certification, but are not longer in a DAWIA-coded position, will need to complete all requirements for the required FM Certification. They will receive credit for the DAWIA courses completed, which are aligned to the FM competencies on the FM myLearn Website, when recorded in the FM LMS.

**Table 10. Requirements for DAWIA Business FM Certification**

<b>Requirements for DAWIA Business FM Certification</b>	
<b>FM Certification Level 1 / DAWIA Business FM Level 1 or Higher</b>	<b>Course Hours</b>
<b>FM Level 1 FM Competency requirements</b>	
<b>Fundamentals and Operations of Primary Track (PL1)</b>	<b>3</b>
<b>DoD FM 101 Modules - The following modules are required:</b>	
<b>Introduction to DoD</b>	<b>1</b>
<b>Accounting</b>	<b>2</b>
<b>Finance</b>	<b>2</b>
<b>Audit Readiness</b>	<b>3</b>
<b>Ethics</b>	<b>1</b>
<b>Auditing</b>	<b>2</b>
<b>Total hours required:</b>	<b>11</b>
<b>The following modules are waived:</b> <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>	
<div style="border: 1px solid black; padding: 5px; display: inline-block;">           For the DoD FM 101, the following 6 of 12 modules are waived in accordance with waiver policy. The CCA may not waive any additional modules.         </div>	
<b>Sub-total of DoD 101 Modules Course Hours</b>	
<b>Total course hours (maximum)</b>	<b>14</b>
<b>FM Work Experience and Sustainment Training Requirements</b>	
<b>FM Work Experience – 2 years in DoD</b>	<b>Sustainment Training – 40 CETs every 2 years</b>
<b>FM Certification Level 2 / DAWIA Business FM Level 2 or Higher</b>	<b>Course Hours</b>
<b>FM Level 2 FM Competency requirements</b>	
<b>FM Level 2 other training requirements</b>	
<b>Audit Readiness</b>	<b>3</b>
<b>Fiscal Law*</b>	<b>0*</b>
<b>Ethics</b>	<b>3</b>
<b>Total course hours (maximum)</b>	<b>6</b>
<b>FM Work Experience and Sustainment Training Requirements</b>	
<b>FM Work Experience – 4 total years, at least 2 in DoD</b>	<b>Sustainment Training – 60 CETs every 2 years</b>
<b>FM Certification Level 3 / DAWIA Business FM Level 3</b>	<b>Course Hours</b>
<b>FM Level 3 FM Competency requirements</b>	
<b>Accounting Analysis (PL5)</b>	<b>4</b>
<b>FM Level 3 Leadership Competency requirements</b>	
<b>Lead People Level</b>	<b>6</b>
<b>FM Level 3 other training requirements</b>	
<b>Audit Readiness</b>	<b>3</b>
<b>Fiscal Law*</b>	<b>0*</b>
<b>Ethics</b>	<b>3</b>
<b>Total course hours (maximum)</b>	<b>16</b>
<b>FM Work Experience, Developmental Assignments and Sustainment Training Requirements</b>	
<b>FM Work Experience</b>	<b>8 total years, at least 2 in DoD</b>
<b>Developmental Assignment</b>	<b>At least 1 developmental assignment</b>
<b>Sustainment Training</b>	<b>80 CETs every 2 years</b>
* Defense Acquisition University (DAU) has identified substitutes for Fiscal Law which satisfy this requirement	

**7.3.** FM workforce members in a DAWIA Business Cost Estimating Certification-coded position at the same or higher level as their required FM certification, must complete the additional courses outlined in Table 11. FM workforce members in a DAWIA Business Cost Estimating Certification-coded position at a lower level than their required FM Certification or FM workforce members who hold a DAWIA Certification, but are not longer in a DAWIA-coded position, will need to complete all requirements for the required FM Certification. They will receive credit for the DAWIA courses completed, which are aligned to the FM competencies on the FM myLearn Website, when recorded in the FM LMS.

**Table 11. 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 or Higher</b>	<b>Course Hours</b>
<b>FM Level 1 FM Competency requirements</b>	
<b>Fundamentals and Operations of Primary Track (PL1)</b>	<b>3</b>
<b>DoD FM 101 Modules</b>	
<b>The following modules are required:</b>	
<b>Introduction to DoD</b>	<b>1</b>
<b>Accounting</b>	<b>2</b>
<b>Finance</b>	<b>2</b>
<b>Audit Readiness</b>	<b>3</b>
<b>Ethics</b>	<b>1</b>
<b>Auditing</b>	<b>2</b>
<b>The following modules are waived:</b>	
<b>PPBE Process</b>	For the DoD FM 101, the following 6 of 12 modules are waived in accordance with waiver policy. The CCA may not waive any additional modules.
<b>Fiscal Law</b>	
<b>Budget</b>	
<b>Cost Analysis</b>	
<b>Acquisition/Contracting</b>	
<b>Decision Support</b>	
<b>Sub-total of DoD 101 Modules Course Hours</b>	<b>11</b>
<b>Total course hours (maximum)</b>	<b>14</b>
<b>FM Work Experience and Sustainment Training Requirements</b>	
<b>FM Work Experience – 2 years in DoD</b>	<b>Sustainment Training – 40 CETs every 2 years</b>
<b>FM Certification Level 2 / DAWIA Business Cost Estimating Level 2 or Higher</b>	<b>Course Hours</b>
<b>FM Level 2 FM Competency requirements</b>	
<b>FM Level 2 other training requirements</b>	
<b>Audit Readiness</b>	<b>3</b>
<b>Fiscal Law*</b>	<b>0*</b>
<b>Ethics</b>	<b>3</b>
<b>Total course hours (maximum)</b>	<b>6</b>
<b>FM Work Experience and Sustainment Training Requirements</b>	
<b>FM Work Experience – 4 total years, at least 2 in DoD</b>	<b>Sustainment Training – 60 CETs every 2 years</b>
<b>FM Certification Level 3 / DAWIA Business Cost Estimating Level 3</b>	<b>Course Hours</b>
<b>FM Level 3 FM Competency requirements</b>	
<b>Financial Management Systems (PL5)</b>	<b>4</b>
<b>Accounting Analysis (PL5)</b>	<b>4</b>
<b>FM Level 3 Leadership Competency requirements</b>	
<b>Lead People Level</b>	<b>6</b>
<b>FM Level 3 other training requirements</b>	
<b>Audit Readiness</b>	<b>3</b>
<b>Fiscal Law*</b>	<b>0*</b>
<b>Ethics</b>	<b>3</b>
<b>Total course hours (maximum)</b>	<b>20</b>
<b>FM Work Experience; Developmental Assignments and Sustainment Training Requirements</b>	
<b>FM Work Experience</b>	<b>8 total years, at least 2 in DoD</b>
<b>Developmental Assignment</b>	<b>At least one 3-month developmental assignment</b>
<b>Sustainment Training</b>	<b>80 CETs every 2 years</b>
<b>*DAU has identified substitutes for Fiscal Law which satisfy this requirement</b>	

7.4. FM workforce members in a DAWIA Acquisition-Auditing Certification-coded position at the same or higher level as their required FM certification, must complete the additional courses outlined in Table 12. FM workforce members in a DAWIA Acquisition-Auditing Certification-coded position at a lower level than their required FM Certification or FM workforce members who hold a DAWIA Certification, but are not longer in a DAWIA-coded position, will need to complete all requirements for the required FM Certification. They will receive credit for the DAWIA courses completed, which are aligned to the FM competencies on the FM myLearn Website, when recorded in the FM LMS.

**Table 12. Requirements for DAWIA Acquisition-Auditing Certification**

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

7.5. In the situation where an FM workforce member has completed all required acquisition training, but does not have enough experience to obtain the Acquisition Certification, an FM

workforce member may achieve FM Certification before achieving required Acquisition Certification. In the FM LMS, this circumstance must be documented by a MFR signed by the appropriate Director for Acquisition Career Management (DACM) verifying that all the required courses for the DAWIA Certification are complete. The DACM letter is loaded into the LMS in lieu of the acquisition certification certificate.

**7.6.** 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 Contract Audit Agency (DCAA) will notify FM OFCM of changes that impact FM Certification requirements.

## SECTION 8: FM CERTIFICATION PROGRAM MANAGEMENT STRUCTURE

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

**8.2. FM CERTIFICATION PROGRAM SENIOR FM LEADERSHIP GROUP.** The FM Certification Program Senior FM Leadership Group will oversee the operation of the FM 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 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.

**8.3. FM CFCM ADVISORY BOARD.** The FM CFCM Advisory Board will provide input and recommendations to the FM Certification Program Senior FM Leadership Group. It will be consulted on time-sensitive actions and requirements of the FM 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, and Defense Logistics Agency.

**8.4. FM CFCM WORKING GROUP.** The FM CFCM Working Group oversees the execution of the FM 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.

**8.5. FM COMPONENT INTEGRATORS WORKING GROUP (FM CIWG).** The FM CIWG will support the FM OFCM to assist on human resources and manpower issues relevant to the FM 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.

**8.6. GOVERNING BODY.** The Governing Body is 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 workforce members. Membership includes:

- a. FM OFCM, Chairperson.
- b. A designated representative from the:
  - (1) Military Departments.
  - (2) DCAA.
  - (3) DFAS.
  - (4) Defense Information Systems Agency.
  - (5) Defense Logistics Agency.
- c. A non-voting advisory representative from the:
  - (1) Office of the USD(I).
  - (2) DAU.
  - (3) DACM on an annual rotational basis.
- d. Others as the Chairperson considers appropriate.

## GLOSSARY

### G.1. 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
CFCM	component functional community manager
CLDF&C	DoD Civilian Leader Development Framework and Continuum
CM	Course Manager
CMS	Course Management System
CPE	continuing professional education
DACM	Director for Acquisition Career Management
DAU	Defense Acquisition University
DAWIA	Defense Acquisition Workforce Improvement Act
DCAA	Defense Contract Audit Agency
DFAS	Defense Finance and Accounting Service
DoDI	DoD instruction
FM	financial management
FM CIWG	Financial Management Component Integrators Working Group
GBS	Governing Body Secretary
IG DoD	Inspector General of the Department of Defense
LMS	Learning Management System
LO	learning objective
MFR	memorandum for record
OFCM	Office of the Secretary of Defense Functional Community Manager
OUS(D)/CFO	Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense
PD	position description
PDS	Personnel Data System
PL	proficiency level
PPBE	Planning, Programming, Budgeting, and Execution

RBD	required-by date
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology and Logistics
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 & Readiness

**G.2. 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 Section 3 of this instruction.

**active course.** A course currently available for FM workforce 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.

**CET.** FM and leadership education and training required by FM workforce members to maintain professional credentials and to improve their financial management proficiency and skills. 1 CET = 60 minutes of training

**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: 1 CEU = 10 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 proficiency level 1.** Applies the competency in the simplest situations; requires close and extensive guidance.

**competency proficiency level 2.** Applies the competency in somewhat difficult situations; requires frequent guidance.

**competency proficiency level 3.** Applies the competency in difficult situations; requires occasional guidance.

**competency proficiency level 4.** Applies the competency in considerably difficult situations; requires little or no guidance.

**competency proficiency level 5.** Applies the competency in exceptionally difficult situations; serves as key resource and advises others.

**course.** A structured learning event that has at least one course objective and an agenda or an outline, including a syllabus. The following activities are not creditable for CETs: academic thesis or dissertation work, laboratories, work-equivalency or experience credits, or projects.

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

**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.

**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.

**DoD FM work experience.** Serving in a DoD position as a government civilian or Military Service member for which the majority of the work is performing, supervising, or managing work of a fiscal, financial management, accounting, auditing, cost, or budgetary nature.

**Dual Persona.** For the purposes of the Defense Financial Management Certification Program, a Reserve Component FM workforce member who has FM Certification requirements for both their military and civilian DoD position.

**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) that a member selects when they first enter the DoD FM 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.** 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.** 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.** 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 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 FM 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 human resources consultants.

**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 FM Certification Program.

**FM CFCM Working Group.** Oversees the execution of the FM 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 member.** A member of the FM workforce.

**FM OFCM.** A senior functional leader at the OSD level, who is responsible for working with the DoD Components to monitor and track the implementation of the Civilian Strategic Human Capital Plan by working with the DoD FM Certification 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 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 workforce 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.

**mini-course.** A shortened version of a course that has been previously aligned to FM and Leadership competencies.

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

**total FM work experience.** Serving in a 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. In the context of the DoD FM Certification Program, total FM work experience can be gained within the DoD or in other non-DoD governmental organizations, quasi-governmental organizations or in commercial organizations.

**Type 1 Course.** Inactive DoD FM and Leadership courses.

**Type 2 Course.** Federal Government non-DoD FM and Leadership courses.

**Type 3 Course.** Academic FM and Leadership courses (active and inactive).

**Type 4 Course.** Commercial FM and Leadership courses (active and inactive).

## **REFERENCES**

- Chairman of the Joint Chiefs of Staff Instruction 1001.01B, “Joint Manpower and Personnel Program,” October 7, 2014
- DoD Directive 5100.01, “Functions of the Department of Defense and Its Major Components,” December 21, 2010
- DoD Directive 5118.03, “Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense (USD(C)/CFO),” April 20, 2012
- DoD Instruction 1400.25, Volume 250, “DoD Civilian Personnel Management System: Civilian Strategic Human Capital Planning (SHCP),” June 7, 2016
- DoD Instruction 1430.16, “Growing Civilian Leaders,” November 19, 2009
- DoD Instruction 5000.66, “Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program,” December 21, 2005
- DoD Instruction 7600.02, “Audit Policies,” October 16, 2014, as amended
- Executive Order 12333, “United States Intelligence Activities,” December 4, 1981
- Public Law 101-510, as amended by United States Code, Title 10, Chapter 87, Sections 1701-1764 (also known as the “Defense Acquisition Workforce Improvement Act”)
- United States Code, Title 5 Appendix, Inspector General Act of 1978, as amended
- United States Code, Title 10, Section 1599d