DCMA Manual 4301-01, Volume 3

General Financial Knowledge: Financial Management Certification Program

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Office of Primary Responsibility	**Stewardship Capability**
Effective:	July 15, 2019
Releasability:	Cleared for public release
Implements:	DCMA-INST 4301, "Stewardship," July 18, 2018
Internal Control:	Process flow and key controls are located on the Resource Page
Labor Codes:	Located on the Resource Page
Resource Page Link:	https://360.dcma.mil/sites/policy/ST/SitePages/4301-01v3r.aspx
Approved by:	David H. Lewis, VADM, USN, Director

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Purpose: This issuance is composed of several volumes, each containing its own purpose. In accordance with the authority in DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)," this Manual implements policy, assigns responsibility, and provides procedures for the DoD Financial Management Certification Program.

TABLE OF CONTENTS

SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance applies to all DCMA employees assigned to DoD Financial Management (FM) certification positions.

1.2. POLICY. It is DCMA policy to execute this Manual in a safe and ethical manner.

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

b. DoD Instruction (DoDI) 1300.26, "Operations of the DoD Financial Management Certification Program," requires all members of the FM workforce, hereby referred to in this issuance as "members," to participate in the FM Certification Program as a condition of employment. Members in FM certification designated positions must achieve appropriate certification levels for their positions within 2 years of notification of the applicable certification requirements.

c. DCMA positions requiring FM certification include positions coded and positions not coded with the 05XX Occupational Series that perform, supervise, or manage the work of a fiscal, accounting, auditing, cost, or budgetary nature as designated by the Agency Director, or appointed designee.

d. As a condition of employment, Employees who have incurred a certification requirement will be given reasonable opportunity during regular work hours to satisfy that requirement.

1.3. OVERVIEW.

a. Background. The Secretary of Defense authorized the establishment of a FM professional certification program in accordance with Section 1051 of Public Law 112-81, "Modification of Authorities on Certification and Credential Standards for Financial Management Positions in the Department of Defense," also known and referred to in this issuance as the National Defense Authorization Act for Fiscal Year 2012. The Program requires DoD employees, both civilian and military, who perform financial management functions to attain and maintain a FM certification. The FM Certification Program is based on courses and experience, not tests. One of the primary goals of the Program is to encourage continuous learning and professional growth across all levels of the DoD FM workforce. The DoD FM Certification Program was implemented by DCMA in July 2014.

b. Learning Management System: The Office of the Under Secretary of Defense (Comptroller) (OUSD(C))/Chief Financial Officer (CFO) governs program requirements and manages the Learning Management System (LMS), complying with DoD's goal in developing and maintaining a competent workforce. The DoD FM LMS is the system of record to track employee achievement of DoD FM certification requirements.

SECTION 2: RESPONSIBILITIES

2.1. DIRECTOR, DCMA. The Director, DCMA will:

a. Serve as final authority, unless delegated, for FM certification by representing DCMA with leadership, receiving guidance, and providing decisions as required.

b. Appoint a DCMA FM Component Functional Community Manager (CFCM) in writing, and oversee senior FM leader implementation procedures of the FM Certification Program.

2.2. EXECUTIVE DIRECTOR, FINANCIAL AND BUSINESS OPERATIONS DIRECTORATE. The Executive Director, Financial and Business Operations Directorate will:

a. Serve as administrator of the Agency's FM Certification Program in accordance with this Manual and DoDI 1300.26, and upon appointment, as the DCMA CFCM.

b. Implement the FM Certification Program for DCMA and provide oversight in accordance with DoDI 1300.26.

c. Represent DCMA on the FM CFCM Advisory Board, unless delegated.

d. Identify, and appoint in writing, individuals to serve as DCMA's Component Certification Authority, Component Administrator, and Course Manager.

2.3. COMPONENT CERTIFICATION AUTHORITY. The Component Certification Authority (CCA) will:

a. Provide copies of appointment letters to the FM OSD Functional Community Manager (OFCM).

b. Serve as the approval authority for achieving applicable certification levels as required in the FM Certification Program.

c. Approve or disapprove time extension waivers.

d. Complete training on FM Certification Program roles and responsibilities and the functionality of the DoD FM LMS.

e. Support DCMA's CFCM in the administration of the Certification Program.

g. Not further delegate the authorities mentioned in paragraph 2.3.

2.4. PROGRAM MANAGER/COMPONENT ADMINISTRATOR. The FM Certification Program Manager or Component Administrator (CA) will:

a. Manage the administration of the FM Certification Program within the DoD FM LMS.

b. Complete training on the Certification Program roles and responsibilities, and the functionality of the DoD FM LMS.

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

d. Conduct or provide user training for DoD FM Certification Program requirements and DoD FM LMS procedures.

e. Provide a copy of the employee's DoD FM Certification certificate to the Army Servicing Team to upload into the employee's electronic Official Personnel File.

f. Provide advisory services to supervisors and managers relative to the FM Certification Program.

g. Provide the first level of user support including updating and maintaining user profiles, editing user learning events, providing corrections for user errors, and assisting with user access.

h. Assign and manage user supervisor assignments and email addresses.

i. Run user management reports and make necessary corrections to user learning events.

2.5. COURSE MANAGER. The Course Manager serves as DCMA's liaison on all matters pertaining to the Agency's course database and will:

a. Complete training on FM Certification Program roles and responsibilities and the functionality of the DoD FM LMS Course Manager module.

b. Collect, review, submit, and track course alignment requests submitted by DCMA employees.

2.6. MANAGERS/SUPERVISORS. DCMA managers and supervisors will:

a. Ensure FM Certification Program members achieve certification requirements for assigned positions and within the timeframe set forth in this Manual.

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

c. Ensure that FM workforce civilian Position Descriptions (PDs) stipulate that the position is in the certification program and includes the position's certification level.

d. Monitor achievement of required Continuing Education and Training (CET) hours of FM program members and ensure CET hours are documented in the DoD FM LMS.

2.7. MEMBERS OF THE CERTIFICATION PROGRAM. Members of the FM Certification Program will:

a. Participate in the FM Certification Program.

b. Achieve the certification level required for their positions within 2 years of notification of their certification requirements.

c. Verify personnel records are updated with certification information.

d. Complete the requisite quantity of CET hours every 2 years to sustain the achieved certification level as described in paragraph 4.2.

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

SECTION 3: PROCEDURES

3.1. IDENTIFYING AND DESIGNATING PROGRAM POSITIONS.

a. Identifying DCMA FM Positions. DCMA identifies FM positions 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. These FM positions are:

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

(2) Military positions with FM occupational specialties.

(3) In accordance with DoDI 1300.26, 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 DCMA leadership.

b. Certification Levels. The Program has 3 certification levels based on the job series and grade level. The levels are not cumulative, and members are only required to earn the certification level for their position. DCMA certification levels for general schedule (GS) and Business Management and Technical Management Professionals (NH), or military equivalents are described below:

(1) GS 7 and below, or military equivalents, must obtain FM Certification Level 1 within 2 years of appointment.

(2) GS 9-12, NH 02-03, or military equivalents, must obtain FM Certification Level 2 within 2 years of appointment.

(3) GS 13 or higher, NH 03- 04, or military equivalents will be required to complete FM Certification Level 3 within 2 years of appointment.

3.2. APPLICABLE PROGRAM MEMBERS.

a. DCMA Non-05XX Positions. DCMA supervisors will inform non-05XX series members, in writing, of the date their positions are designated with a FM Certification Program certification level using the template provided on the Resource Page. Members will sign acknowledging the date, and supervisors will document the notification within 30 days of the date of a member's assignment to that position. The date listed on the notification document is considered the actual start date.

b. DCMA 05XX Positions or Military. The date the FM workforce member is assigned to a position coded with a FM certification requirement in the civilian PD or in the requirements for a military FM position is considered the start date.

c. Transferred Employees. Members that transfer to another position that requires FM certification will use the following guidelines:

(1) If a FM certification member transfers to a position for which they have already achieved the required certification level, the member will be notified of the requirement to maintain certification by completing CETs.

(2) 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 their previous position, then the FM workforce member is notified of the requirement to complete certification is within the original 2-year time period.

(3) If an employee transfers from a DoD agency within the FM Community into another DoD agency within the FM Community, their FM Certification follows. The FM Certification Program Manager facilitates the transfer with the Army Servicing Team and forwards to the receiving agency:

a. Certification number.

b. Date of certification.

c. Certification level.

d. Date CETs are due.

SECTION 4: PROGRAM COMPLIANCE

4.1. ACHIEVING, DOCUMENTING, AND APPROVING CERTIFICATION

a. Achieving FM Certification.

(1) DCMA employees must be able to obtain the FM certification requirement of the position to which they are assigned as a condition of employment.

(2) Supervisors are responsible for monitoring and tracking FM members' progress toward certification and working with the Agency's FM Certification Program Manager to take progressive action, as appropriate, so FM members can attain their certification levels within the required time period.

(3) In the event there are unique circumstances (e.g., deployment, medical, or experience limitations) that prevent a member from obtaining the FM certification within the initial 2-year time period, the Agency CFCM or designated CCA may grant, on a case-by-case basis, time extension(s) of up to 1 year to remain in the position.

(4) In accordance with DoDI 1300.26, if an employee fails to obtain the required FM certification and any CFCM or 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. In such cases, DCMA supervisors should contact their designated Labor Employee Relationship Manager and the FM Certification Program Manager.

b. Documenting Program Requirements.

(1) Once a DCMA employee is included in the FM Certification Program, the member uses the DoD FM LMS to document training for FM certification using the link https://fmonline.ousdc.osd.mil/default.aspx.

(2) The member assembles documentation of FM and leadership courses, and uses the DoD FM LMS to document achievement of certification requirements. FM or leadership-related workshops, seminars, or symposiums cannot be used to satisfy the requirements of initial certification; however, they may qualify for CETs, which are required for maintaining certification.

c. Requesting Approval of a Certification Requirement.

(1) Members must provide documentation and verification of completion of certification requirements as required in accordance with DoDI 1300.26. 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 the FM Certification Program Manager, also designated as the member's supervisor of record in the DoD FM LMS.

(2) The FM Certification Program Manager reviews each request for certification, validates the information provided, and completes one of the following actions, as applicable:

(a) Approves the request and forwards it to the CCA via the DoD FM LMS.

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

(3) Once the approval is forwarded to DCMA's designated CCA, the CCA reviews the request for certification, validates the information provided, and completes one of the following actions, as applicable:

(a) Approves the request, including requested waivers, and forwards to OUSD(C)/CFO via the DoD FM LMS.

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

(4) OUSD(C)/CFO retains final approval authority for certification requests. The normal timeline for approval is 7 to 10 business days.

4.2. SUSTAINING CERTIFICATION. Once FM certification is achieved, members are required to maintain their 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. The CET requirements for each 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.

SECTION 5: PROGRAM REQUIREMENTS

5.1. OVERVIEW. Each FM Certification level requires a certain number of course hours in financial management and leadership development training, specified years of FM experience, and standardized training in the key areas of ethics, audit readiness, and fiscal law. Figure 1. FM Certification Learning Maps outlines FM Certification Program requirements. Each level requires employees to have a specific number of years of FM Experience, of which 2 years must be in the DoD. At Level 3, one 3-month Developmental Assignment is also required.

Figure 1. FM Certification Learning Maps

Level One	Proficiency Level	Course Hours
FM Competencies		
Financial Management Systems	1	6
Decision Support	1	4
Fundamentals and Operations of Primary Track	1	6
(Accounting, Budget, Finance or Military and Civilian Pay)		
Leadership Competency		
Based on the DoD Civilian Leader Continuum	Lead Self	6
***Other Required Courses**		
Introduction to DoD, Audit Readiness, Auditing, Accounting, Fiscal Law, Analysis/Decision Support, Finance, Ethics, Acquisition, Budget, PPBE, Cost Analysis (DoD FM 101 Courses)		6
Other Requirements		
2 years of DoD FM experience		
Level Two	**Proficiency Level**	**Course Hours**
FM Competencies		
Financial Management Systems	3	8
Decision Support	3	8
Accounting or Financial Management Analysis	3	10
Budget Formulation, Justification and Presentation or Budget Execution	3	10
Concepts, Polices and Principles of Primary Track	3	10
(Accounting, Audit, Budget, Finance or Commercial Pay)		
Fundamentals and Operations of Alternate Track	1	6
(Accounting, Budget, Finance or Military and Civilian Pay)		
Leadership Competency		
Based on the DoD Civilian Leader Continuum	Lead Teams	10
Other Required Courses		
Audit Readiness, Ethics, Fiscal Law	3	9
Other Requirements		
4 years of FM experience with 2 years in DoD FM		
Level Three	**Proficiency Level**	**Course Hours**
FM Competencies		
Financial Management Systems	5	4
Decision Support	5	10
Accounting and Financial Management Analysis	5	12
Budget Formulation, Justification and Presentation and Budget Execution	5	12
Advance Financial Management	5	12
Concepts, Polices and Principles of Alternate Track	3	10
(Accounting, Audit, Budget, Finance or Commercial Pay)		
Leadership Competency		
Based on the DoD Civilian Leader Continuum	Lead People	12
Other Required Courses		
Audit Readiness, Ethics, Fiscal Law	5	9
Other Requirements		
8 years of FM experience with 2 years in DoD FM & 3-month Developmental Assignment		

5.2. GETTING STARTED. Once an employee is assigned to a position that requires FM certification, they are included in the FM Certification Program. A DoD FM Certification Program Handbook is available on the official DoD FM Certification website. The handbook delves into the program's background and purpose, and explains the elements of the FM Certification Program in detail.

    a. Download the User Guide. A comprehensive FM Certification Program User Guide is available to provide instructions on how to complete, record, document, and gain approval for FM Certification Program requirements. The guide can be downloaded from the Training Resources page, under the Job Aids caption, on the DoD FM Certification website.

    b. Choose a Primary and/or Alternate Track. Members should schedule meetings with their supervisors to go over any questions and identify a Primary and/or Alternate Track. The Primary Track should reflect the member's main job responsibilities (e.g., Civilians in the 510 Occupational Series should choose Accounting for their Primary Track). At Level 2, members must pick an Alternate Track that is different from their Primary Track. At Level 3, the member must also pick an Alternate Track. DCMA supervisors should contact the Agency FM Certification Program Manager if they have questions on the best track for their employees or if they need additional guidance.

    c. Collect Documentation. Members are required to upload certification documentation (e.g., transcripts, training completion certificates, or other training forms) to the DoD FM LMS to record completion of requirements. Documents should be saved to Portable Document Format (PDF) and uploaded as a single PDF file for each requirement. The DoD FM Certification Program User Guide provides detailed how-to steps on uploading documentation.

    d. Fulfill Training Gaps. Members should review past training with current program requirements. Time can be saved by collecting relevant paperwork from prior FM and leadership training at the outset to see if they satisfy some of the certification program requirements.

    e. 3-Step Process. In order for members to get credit for completion requirements for a competency, such as those reflected in Figure 1. FM Certification Learning Maps and in the Programs Users Guide, they must record the learning and request achievement in the DoD FM LMS using the 3-step process:

        (1) Step 1. Record Learning.

        (2) Step 2. Document Learning (one PDF per competency).

        (3) Step 3. Request Achievement.

    f. Review Scorecard. A Certification Scorecard Report helps CCAs review requests for certifications for completeness and accuracy as seen in Figure 2. Example FM Scorecard. The scorecard indicates if the FM member completed all the requirements in the DoD FM LMS, and

allows the CCA to easily identify the absence of required documentation. It is highly recommended that all members periodically review their scorecard in DoD FM LMS so they can keep abreast of their progress. The scorecard provides status on:

(1) Completed courses.

(2) Competency completion status.

(3) Documentation.

(4) Achievement status.

Figure 2. FM Scorecard Example

FM Certification Scorecard

Student ID			Employee Type	Civilian		Run date 04/02/2019			
CAC			Status	ACTIVE					
Student Name			Job Series	0501					
E-mail Address									
Component	DCMA								
Organization	DEFENSE CONTRACT MANAGEMENT AGENCY/DCMA HEADQUARTERS/FINANCIAL & BUSINESS OPS EXEC DIR/FINANCIAL SYSTEMS DIVISION/FINANCIAL SY								
Supervisor	Aiken, Michele Rena								
Certification	FM Certification Level 3								
Due Date	03/17/2021								

Completion Status		Hours Required	Hours Complete	Completion Status	Completion Date	Achievement Documentation	User	Comments
NO	Concepts, Policies, and Principles of X	10						
NO	FM COMPETENCY: FM Systems L3PL5	4	0					
	FM Systems L3PL5 Achievement Documentation							
	FM Systems L3PL5 Achievement							
NO	FM COMPETENCY: Decision Support L3PL5	10	0					
	Decision Support L3PL5 Achievement Documentation							
	Decision Support L3PL5 Achievement							
NO	FM COMPETENCY: Accounting Analysis L3PL5 AND Financial Management Analysis L3PL5	12	0					
	FM COMPETENCY: Accounting Analysis L3PL5 AND Financial Management Analysis L3PL5	12						
	FM COMPETENCY: Accounting Analysis L3PL5	4						
	FM COMPETENCY: FM Analysis L3PL5	4						
	Accounting Analysis L3PL5 AND Financial Mgmt Analysis L3PL5 Achievement Documentation							
	Accounting Analysis L3PL5 AND Financial Mgmt Analysis L3PL5 Achievement							

g. Last Step. Once members complete the 3-step process for all certification requirements and submit their certification for approval, the request is then reviewed and approved by the member's supervisor as designated in the DoD FM LMS, the CCA, and the OUSD(C) quality assurance team. If the member receives an email informing the certification has been rejected, the member should refer to the User Guide's Appendix on "How to Read the Competency Acronym & Denial Comments in the DoD FM LMS" to find out why their certification is deemed incomplete so they can take action to correct the discrepancy. Once the discrepancy is resolved, the member should contact a DCMA designated CA to make any necessary changes in the DoD FM LMS.

GLOSSARY

G.1. DEFINITIONS.

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.

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 is equivalent to 60 minutes of training.

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

Course. A structured learning event that has at least 1 course objective and an agenda or an outline, including a syllabus. Activities that are not creditable for CETs include academic thesis or dissertation work, laboratories, work-equivalency or experience credits, or projects.

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.

Documentation. Evidence or records provided by an independent party that substantiate 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, "Certificate or Release or Discharge From Active Duty."

FM Certification. Successful achievement of FM Certification Program 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. For 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."

FM Certification Level 1. Work that requires a basic understanding of theoretical financial management knowledge, which is generally acquired through experience. This 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 that requires the application of comprehensive financial management knowledge and technical proficiency combined with a broad knowledge of professional concepts, policies, and principles. This work also involves expanding skills, knowledge, and leadership abilities of high-potential personnel.

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

FM CFCM. A senior functional leader who is 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 Community. The DoD civilian employees and military members who perform, supervise, or manage work of a fiscal, accounting, auditing, cost, or budgetary nature.

FM OFCM. A senior functional leader at the OSD level who is responsible for working with 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 Commands.

Start Date. The date the FM workforce member is notified that their position is designated with an FM Certification Program Certification Level.

G.2. ACRONYMS.

CA	Component Administrator
CCA	Component Certification Authority
CET	Continuing Education and Training
CFCM	Component Functional Community Manager
CFO	Chief Financial Officer
FM	Financial Management
GS	General Schedule
LMS	Learning Management System
NH	Business Management and Technical Management Professionals
OFCM	OSD Functional Community Manager
OUSD(C)	Office of the Under Secretary of Defense (Comptroller)
PD	Position Description
PDF	Portable Document Format

REFERENCES

DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)," January 10, 2013

DoD Instruction 1300.26, "Operation of the DoD Financial Management Certification Program," January 31, 2017

Public Law 112-81, Section 1051, "Modification of Authorities on Certification and Credential Standards for Financial Management Positions in the Department of Defense," (also known as the National Defense Authorization Act (NDAA) for Fiscal Year 2012), December 31, 2011