

SI-1: Budget Directorate. Institution has proper documentation, process and control of fund receipt and execution.							As of: May 2011	
Criteria	Criteria Guidelines	References	Required Documents	Applicability				Mandatory Comments
				CoE	School/College	TR NCOA	RC	
Criterion 1: Other Contingency Operations (OCO) Funds Management and Execution	Review organization's OCO report submission to HQ TRADOC using checklist at Annex A.	a. DFAS Reg 37-100, 4 Aug 09. b. Army Financial Management Guidance in Support of Contingency Operations, 9 Feb 11. c. TRADOC Budget Message 09-004, 14 Oct 08.	Monthly OCO report	X	X			G-8 assessment will be based on checklist results.
Criterion 2: Unfinanced Requirements (UFRs) are adequately documented and submitted.	Review any internal process that documents UFRS and compare with current report from WebTAS using checklist at Annex B.	a. TRADOC Budget Guidance, 31 July 09. b. Appropriation TRADOC Budget Guidance, 26 Feb 10.	WebTAS Document Input	X	X			G-8 assessment will be based on checklist results.
Criterion 3: Fund Control Procedures	Schools/Activities need clearly defined fund control policies. Those policies need to be in written format and employees need to know of them. The policies needs to be comprehensive, in line with DFAS and TRADOC regulations and definitive for the process detailed.	a. DFAS-IN Reg 37-1 b. DODFMR, Volume 14. c. TRADOC Reg 37-4.	Local policy published, known and enforced Appointment letters, training log, segregation	X	X			G-8 assessment will be based on checklist results.

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	<p>Compliance with segregation of duties for fund control and commitment/obligation of funds. Procedures in place to ensure key personnel are trained in appropriations law.</p> <p>Delegation of Authority documentation must be current, signed by appropriate levels of authority, and in place for fund certification.</p> <p>Adequate documentation for tracking of funds distribution to subordinate areas.</p> <p>See checklist at Annex C.</p>		<p>of duty exception to policy approvals</p> <p>Delegation of Authority memos</p> <p>Funds distribution logs</p>					
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<p>Criterion 4: Supporting documentation maintained for Official Representation Funds (ORF) .0012.</p>	<p>Documentation is required for use of Official Representation Funds (ORF). Documentation includes, but not limited, to what the funds were used for, who used them, and how much was spent. Schools/Activities must report any use to the ORF point of contact at HQ TRADOC. See checklist at Annex D.</p>	<p>a. TRADOC Budget Guidance, 31 Jul 09. b. Army Regulations 37-47, 12 Mar 04.</p>	<p>Document or use Log</p>	X	X			<p>G-8 assessment will be based on checklist results.</p>
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