



DEPARTMENT OF THE NAVY
OFFICE OF THE COMMANDANT OF MIDSHIPMEN
UNITED STATES NAVAL ACADEMY
101 BUCHANAN ROAD
ANNAPOLIS MARYLAND 21402-5107

COMDTMIDNINST 7130.1
SUPPLY
NOV 04 2016

COMMANDANT OF MIDSHIPMEN INSTRUCTION 7130.1

From: Commandant of Midshipmen

Subj: BUDGET SUBMISSION AND EXECUTION PROCESS

Encl: (1) Spend Plan Form
(2) POM Submission Form

1. Purpose. To formalize the Commandant's Cost Center budget submission and execution process to correspond with the Chief of Naval Operations Program Objective Memorandum (POM) as part of the Planning, Programming, Budget, and Execution Process (PPBE). The immediate objective is to formulate a Cost Center Budget corresponding to the POM with a long term goal of ensuring all Sub-Cost Centers (SCC) understand the budget process as it relates to USNA and the Commandant's Cost Center.
2. Cancellation. COMDTMIDNNOTE 7130.
3. Discussion. The Commandant Cost Center Budget will be formulated based on the compilation of SCC's spend plan submissions utilizing enclosure (1). All recurring contracts and travel costs will be accounted for by the individual SCCs (travel was previously submitted separately and accounted for jointly in the Commandant's AA account).
4. Duties and Responsibilities
 - a. Supply Officer (SUPPO). Commandant's representative for budget submission and execution process. Develop, submit, and brief Cost Center budget to the Commandant.
 - b. Finance Office (S-1). Provide financial guidance to SCCs. Consolidate SCCs budget submissions and prepare Cost Center budget per higher echelon guidance. Process all orders for SCC budgeted requirements, maintain weekly and monthly reconciliation with SCCs, and work with SCC Financial Managers to reprogram funds if/when required.
 - c. SCC Head. Designate a Financial Manager and a Gift Fund Account Manager for their SCC. Review and approve budget submissions prepared by the SCC Financial Manager and the Gift Fund Account Manager.
 - d. SCC Financial Manager. Analyze SCC appropriated funded requirements and prepare SCC budget per S-1 guidance.

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e. SCC Gifted Fund Account Manager. Analyze SCC gift funded requirements and prepare SCC budget per S-1 guidance.

5. Budget Formulation Timeline

a. February (first week). S-1 issues request to all SCCs for Unfunded Requirements (UFR) mid-year submission.

b. February (second week). SCCs submit mid-year UFR to S-1 for consolidation and review by SUPPO.

c. February (third week). Mid-year UFR review by the Commandant and the Deputy Commandant of Midshipmen.

d. March (first week). Commandant approves mid-year UFR in priority order.

e. March (second week or as directed by Comptroller). Mid-year UFR submitted to Comptroller.

f. March (second week). S-1 issues a request to all SCC gift account managers for the next fiscal year gift fund budget; inputs due to S-1 by end of March.

g. April (first week). Comptroller submits mid-year UFR to BUPERS. Gift Fund Budgets review by SUPPO.

h. April (second week). Gift Fund Budgets reviewed and approved by the Deputy Commandant of Midshipmen and the Commandant.

i. April (third week). S-1 submits Commandant-approved Gift Fund Budgets to Comptroller.

j. May (second week). S-1 issues a request to all SCCs for next fiscal year budget submission utilizing enclosure (1) and POM Current Year plus two utilizing OPNAV DUALIE per enclosure (2).

k. June (second week). SCCs submit budgets to S-1 for consolidation. Comptroller issues approved mid-year UFR.

l. June (third week). Budget review by SUPPO.

m. June (fourth week). Budget review by the Deputy Commandant of Midshipmen and the Commandant.

n. July (second week). Commandant approves proposed budget.

o. July (fourth week). Budget Submitted to Comptroller.

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p. August. POM issues discussion approved by the Deputy Commandant of Midshipmen and the Commandant.

q. September. POM issues submitted to Comptroller.

r. October – November. Comptroller submits POM CY +2 to BUPERS.

6. Budget Execution

a. Duties and Responsibilities:

(1) Supply Officer. Review and **approve purchases in the absence of the Finance Officer**. Review SCC travel.

(2) S-1. Review and approve all purchases to ensure compliance with applicable financial regulations for all purchases. **See paragraph 6.c for processing details.**

(3) SCC Head. Designate a Financial Manager for their SCC. Review and approve purchases for compliance with approved budget. SCC Heads/Financial Managers are responsible for training all department personnel on Unauthorized Commitments (ensuring that no financial commitment should be made to a vendor without submitting the appropriate obligation document through the Financial Manager).

(4) SCC Financial Manager. Responsible for monitoring budget execution and ensuring all orders are properly obligated before an order is placed with a vendor. Review purchase requests for compliance with appropriate regulations. Submit contract documentation to S-1 via SCC Head. SCC Heads/Financial Managers are responsible for training all department personnel on Unauthorized Commitments (ensuring that no financial commitment should be made to a vendor without submitting the appropriate obligation document through the Financial Manager).

(5) Purchase Cardholder. Prepare purchase request based on requestor's inputs, review supporting documentation and verify compliance with applicable regulations and guidance.

NOTE: Material and Services Orders. Department personnel are authorized to ONLY obtain a quote for order or service. Purchase Cardholder can place an order only after receiving documentation from S-1 with a document number assigned (signifies the order has been obligated).

b. Timelines (Subject to change) for funding and order execution:

(1) 1 October. S-1 requests budget (funding) allocation from Comptroller.

(2) October-December. Formal funding distribution is made and SCCs start processing orders and contracts to fill the requirements IAW approved budget. S-1 will work with SCCs to document and prioritize unfunded requirements based on the allocated funding.

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(3) October - January: Fleet Logistics Center (FLC) establishes deadlines for current Fiscal Year (FY) contracts. S-1 immediately forwards the FLC deadlines to all SCCs

(4) February: S-1 will compile the UFR list based on SCCs' inputs; see paragraphs 5a, 5b, and 5c.

(5) July: S-1 notifies all SCCs of their unobligated balances to ensure funds are spent per FLC deadlines and purchase card cut off dates.

(6) August 15: Purchase card deadline less than \$3,500.

(7) September: S-1 works with Comptroller to reallocate any remaining/additional funding to fill SCCs emergent/unfunded requirements. Process such purchases in prioritized order if funding becomes available.

c. Procurement Procedures:

(1) Requesting personnel obtain quotes for supplies, equipment, or services.

NOTE: This is the only type of interaction with vendors that is allowed prior to Purchase Request/Contracting Document obligation by S-1.

(2) Upon receipt of a quote, requesting personnel work with their SCC Financial Manager to get document prepared and approved for obligation. Requests for contracts exceeding \$3,500 require three vendor quotes or one vendor sole source justification.

(3) Purchase request is forwarded by the SCC Financial Manager to S-1. S-1 verifies availability of funds and compliance with procurement regulations, enters the obligation into FASDATA, and assigns a document number.

(4) Orders under \$3,500 are assigned to the appropriate Purchase Cardholder to execute the purchase. Orders over \$3,500 require contracting and are forwarded to the Comptroller via NC2276 form for approval and further processing by the FLC. FLC and Comptroller provide contract acceptance date and contract award for S-1 and SCC records.

(5) S-1 forwards all obligated documents and contracts back to the SCC Financial Managers and Purchase Cardholder as received. **SCCs submit vendor purchase card order status to S-1 weekly.**



R. A. RIVERA
By direction

Distribution:
Non-Mids (Electronically)

FY 20** Spending Plan

		FY 20** Spending Plan			SCC FY20** Proposed Spending Plan				FY20**
				Prior FY20**					Total
A*	SCC Name	JON	JON Description	Totals	Qtr 1	Qtr 2	Quarter 3	Quarter 4	Total
		A*A31E	TRAVL CMDT STAFF CONUS						-
		A*A32E	TRAVEL DTS OCONUS						-
		A*A33E	TRAVEL NON DTS						-
		A*A34E	TRAVEL INTER GOVT LEAS						-
		A*A38J	TRANS OF THINGS (J)						-
		A*A42M	RENT/LEASE HARDWARE						-
		A*A46M	POST OFFICE BOX RENTAL						-
		A*A50P	MAINT NON IT EQUIP						-
		A*A60Q	PURCH SVC COMMERCIAL					-	-
		A*A61Q	PURCH SVC INTERGOVT						-
		A*A66Q	TRAINING CIVILIAN						-
		A*A67Q	TRAINING MILITARY						-
		A*A70T	SUPPLIES						-
		A*A71T	SUPPLIES GSA/NAVY STOC					-	-
		A*A72T	SUPPLIES IT					-	-
		A*A75T	SUBSCRIPTIONS						-
		A*A83Y	PRINTING DAPS						-
		A*A90W	EQUIP NON IT <\$5K						-
		A*A93W	EQUIP NON IT =>\$5K-<\$2						-
Totals				\$0.00	-	-	-	-	-

* (SCC Codes run AA-AR, have to apply your letter)

**Replace with correct year [Plan for FY2016, prior FY will be "FY15"]

NOTE: JON = Job Order Number, not all JONs will have costs every year

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PBIS Issue: xxxxx / IW#: xxxxx
 RS: xx / BSO:xx / PERS BSO: xx
 APPN: xxxx SPP Funded or Unfunded
 PE: xxxxxxxN / LI or PERS LI: xxxxx

POM 17 Manpower PBIS Issue Title

- **Capability/Program Description:** Provide detailed description of the issue. Include Officer/Enlisted totals, Civilian totals, and number of contractors as necessary. Add Pay grade details in speaker notes section.
- **Rationale for Adjustments:** Provide rationale for the issue.
- **Warfighting Capability Impact of Adjustment:** Provide warfighting impact.
- **COCOM/Joint Impact:** None or details of COCOM/Joint impact.
- **MOA Required:** Yes / No. If Yes, provide Manpower Management System (MMS) MOA number and requestor. Example: Yes / MMS-124 / NORTHCOM
- **Significant Congressional or Industrial Impact:** Provide details and assess the interest and impact.
- **Stakeholder/Seams Issue:** None / List stakeholders. Provide Seams discussion and Board decision.
- **CFFC / OPNAV N1 Review:** Concur / Nonconcur. Provide POCs & nonconcur comments as required. Ensures issue awareness and review of executibility.

TY\$M	FY16	FY17	FY18	FY19	FY20	FY21	FYDP
PB16 APPN	0.0	0.0	0.0	0.0	0.0	0.0	0.0
POM17 APPN							
Delta		0.0	0.0	0.0	0.0	0.0	0.0
PB16 APPN	0.0	0.0	0.0	0.0	0.0	0.0	0.0
POM17 APPN							
Delta		0.0	0.0	0.0	0.0	0.0	0.0
Add / delete rows for MPN,RPN,DHAN/R,OMN/R funding as appropriate. PB16 FY21 is the same as FY20 for delta calculation							
E/S or FTE	FY16	FY17	FY18	FY19	FY20	FY21	
PB16 E/S	0	0	0	0	0	0	
POM17 E/S							
Delta		0	0	0	0	0	
PB16 FTE	0	0	0	0	0	0	
POM17 FTE							
Delta		0	0	0	0	0	
Add / delete rows for MPN,RPN,DHAN/R,OMN/R funding as appropriate. PB16 FY21 is the same as FY20 for delta calculation							

Draft / Pre-Decisional Working Papers

Revision Date

Unclassified

- RO: Name, Code, Phone
- RS Approval: Name, Code, Phone

Guidance from USNA Comptroller:

- Leave PBIS Issue/etc. block as is (Cmpt will fill this data once assigned)
- Create an issue title specific to your issue (see below for OPNAV direction)
- Bullets: Delete current wording and add your issue's information. If a bullet is not applicable, then say None/No as delineated.

- Excel Portion: Please fill this out to the best of your ability. “APPN” should be preplaced with the appropriate appropriation (MPN, OMN, OPN). If you are requesting additional end strength (E/S) for military and/or FTE for civilian (bottom section of spreadsheet), please denote how many in the appropriate block(s) and leave the costing (top portion of spreadsheet) to us. If you are asking for funds, please delineate those dollars as appropriate. The PB16 baseline should be based on the specific area for which you are requesting the funding (for example, if asking for additional sailboats, the PB16 OMN line would be specifically relate to just the Sailing Department with the POM17 OMN line showing the cost of the sailboats. Delta will be the difference between the current OMN and requested OMN). You may request dollars, FTE, and E/S all in the same Dualie; however, please be sure every add applies to the specific issue title/contents.
- You may update the “Revision Date” if desired, please leave the other bottom blocks as is
- Retitle your file as “POM 17 USNA – (your issue title)” and email to Ms. Jamie Karbacka and LCDR Cynthia Swinney

Guidance from OPNAV N1 for Dualie creation:

Additional Details / Notes / etc. should go here in speaker notes. Use notes pages format from Serial.

- Dualie format/background should NOT be changed. -- Do not combine bullets --
- Dualie Title should be descriptive, specific and match the PBIS issue name. Example: “Fund FY20 End Strength for LS(X)”
(GOOD) “POM B Manpower Add” (BAD)
- Dollar and E/S FTE Deltas should match the PBIS issue annual totals
- Classification and Pre-decisional statement colors are fixed in background and will not be changed. Update the revision date as they occur and new version sent out

Notes Page Content

- Write the story for the issue here
 - Sub-bullet text if needed here
- Discuss how this supports DoD and DoN Strategy
- List the warfighting impact and risk
- Detail how risk is mitigated
- If this is a reduction/addition/rephrase, explain how the adjustment is aligned to requirement and how it supports the Navy strategy.