



GUICE² an Innovative Solution that Revolutionize Publishing and Compliance Management Oversight

PRESENTED BY

Vernon Putnam
All About The Data
(844) 255-2283, ext. 1
Vernon.putnam@aatdata.com
www.aatd-llc.com



Company Information

Company Name and Address:	All About The Data, AATD, LLC 8023 Vantage Dr. Suite 510 San Antonio, Texas 78230
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Type and Size Business:	Limited Liability Company/ Small Business
Primary Point of Contact:	Vernon Putnam 8023 Vantage Dr. Suite 510 San Antonio, Texas 78230 Telephone: (844) 255.2283, ext. 1 vernon.putnam@aatdata.com

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Guidance Used to Improve Compliance Efficiency and Effectiveness

Objective Statement: Integrate GUICE² (Guidance Used to Improve Compliance Efficiency and Effectiveness) into supporting automation and workflow technologies to deliver an innovative solution that revolutionize publishing and compliance management oversight.

Overall Approach: Team AATD has architected a solution that will deliver unmatched efficiencies in publishing and managing compliance. This innovative solution will revolutionize compliance and publications management in the marketplace. Our team has been a thought leader in publication reduction for the past 7 years. *GUICE² is the solution to solve confusing and frustrating compliance environments*, this exact problem set. We amplify GUICE² with current client's infrastructure (i.e. Office 365 SharePoint) and workflows through an industry leading company (i.e. ServiceNow).

Compliance is a fact of life: As you view the graphic below in Figure 1: Compliance Landscape, it is likely you'll see the relevance to a client's environment. When users fail to comply to an element of compliance, penalties or mission failure may the result. Research and experience consistently point to the lack of transparency as a major driver for the shortfalls of successful Compliance Management and Oversight (CMO).



Bottom line: We aim to allow every user to be an expert in their field and allow our technology solution to ensure they have the right information from Law to local instruction for mission success.

Figure 1: Compliance Landscape

Integration: Our core capability (GUICE²) will be integrated into additional technologies to meet these requirements. GUICE² is an innovative, highly scalable, cloud-based and enterprise class CMO solution. Team AATD started conceptualization of GUICE² in mid-2012 launched for commercial functional use in 2013 followed by over 3 years of successful service deliveries on compliance management improvement contracts with two major federal agencies. This proven and mature capability was launched to the market in late-2018.

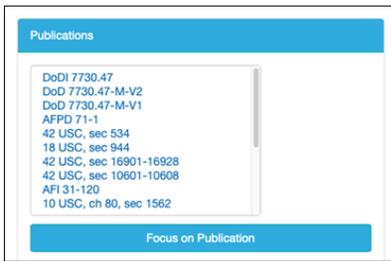


Figure 2: Publication List

the associated parent documents which could be changed. The user is also shown the discrepancies in an intuitive navigable interface as shown in Figure 3: Publication Linkage GUI. This specific view is the highest level with all the connectivity shown throughout the compliance landscape. Users can drill down to the sentence level to ensure compliance from the Law down to a local policy or operating instruction.

New Publication Development: Core to developing a new publication is understanding the current landscape of compliance. We envision a User using our system to first search through any applicable guidance from Laws to the local level policies to ensure they are rooted in correct position within the totality of the guidance available. Why create more publications if there is already guidance available that meets the objective of the impending new guidance publication? Our work compliance improvement work over the last seven years revealed that duplication of effort was a common occurrence.

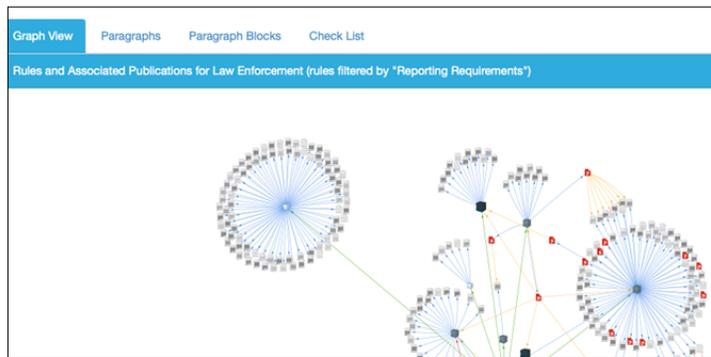


Figure 3: Publication Linkage GUI

An example of this type of research through our capability would be to view all guidance at your level (U.S. Code/DoD/Mil Service Branch/etc.) based on the subject you are tasked to create guidance around. Today's guidance management is akin to a pre-computer and pre-internet library system. Publications are stored and retrieved in their entirety in PDF file format. There is no linkage or connectivity between related items in different publications. In addition, search capability is limited. Our Compliance Content Management System (CCMS) identifies each compliance statement and correlates or connects it with related guidance through metadata tagging. Afterwards, changes to one guidance statement can quickly generate updates to related and correlated guidance. In addition, each statement can be tiered, in order of importance, to help leaders prioritize and focus their resources. Metadata tagging information during the review process allows for faster, more accurate updates and easier, more thorough search capability.



Figure 4: Search

Again, GUICE² drills down to the individual sentence level during this compliance search, this example is if you were attempting to create new DoD guidance based off “The Brady Handgun Violence Prevention Act.” In Figure 4: Search you would enter or simply select from the GUI the law you were tasked to create new guidance. This would then show all the applicable DoDIs that contained information from this law as seen in Figure 5: Current Landscape. This figure shows more than a simple parent child relationship. It shows linkages from the parent/child and any related references from any level loaded within GUICE².

Usage Count	Number	Publication
3	DoDI 1000.13	IDENTIFICATION (ID) CARDS FOR MEMBERS OF THE UNIFORMED SERVICES, THEIR DEPENDENTS, AND OTHER ELIGIBLE INDIVIDUALS
4	DoDI 1000.25	DOD PERSONNEL IDENTITY PROTECTION (PIP) PROGRAM
4	DoDD 5030.19	DOD RESPONSIBILITIES ON FEDERAL AVIATION
3	DoDD 5205.15E	DOD FORENSIC ENTERPRISE (DFE)
4	DoDD 3002.01	PERSONNEL RECOVERY IN THE DEPARTMENT OF DEFENSE

Figure 5: Current Landscape

At this point, if a new publication is required, our system will template the required information through Office 365. The decision to maximize use of existing software within the client’s environment gives multiple benefits. The first is lower overall cost to this effort by utilizing existing software licenses. The next is the speed of development. Developing a custom template through Microsoft Word and hosting on SharePoint is quick, easy, and effective. Portions of the Microsoft Word document would be locked if per se a Command level supplement was being developed based on an HHQ publication. Our team will maximize the COTS solutions and not rely on heavy customization which will also drive lower costs and reduce delays in deliver. Microsoft Word also fulfills the requirement to immediately show a product during the development and final delivery of a publication through print, web, mobile, PDF, Doc, etc. Finally, and most importantly, every user is familiar with Microsoft Word and Office products. Utilizing existing solutions in content creation will maximize the return on investment and address the larger problem of saving users’ time.

Team of Collaborators: GUICE² will revolutionize the way the Department Administrator (Super Users) becomes aware of a new DoD Instruction (DoDI) through automation. Through our cloud-based repository, the GUI will immediately show that there has been an updated publication. This is shown through highlights as seen in Figure 3: Publication Linkage GUI above. In addition, we have added ServiceNow or akin product to our solution to further automate the establishment of collaborators. Automation is critical to our solution and ServiceNow is a world leader in this space. Collaborators within our system can connect to the correct individuals to establish a working group for the publication acting based on any attribute. ServiceNow can automate an email, start a workflow, integrate into existing tasking solutions (i.e. Task Management Tool or akin) and create a Microsoft Teams collaboration site. With our team’s collective hundreds of years of service within the Air Force, we understand that the correct POC should be based on both position and knowledge. A subject matter expert in a specific regulation could be located at an installation, the Pentagon or both.

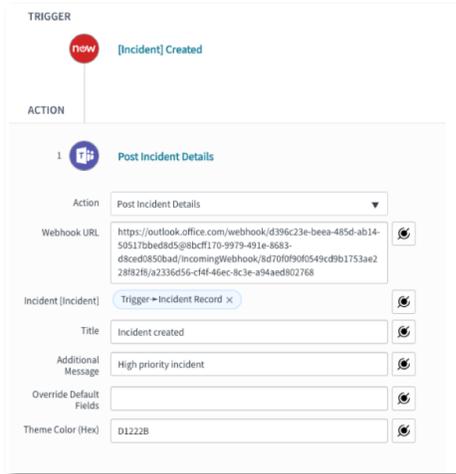


Figure 6: Microsoft Teams Spoke

Collaborate on Content: Rather than trying to develop a new collaboration environment for the publications process our intent is to bring publication development into the current client’s capabilities. *Culture and work habits are always more difficult to change.* After ServiceNow or akin product notifies the correct individuals based on knowledge or position, it will automatically pass the pertinent information about the new publication to Microsoft Teams through a ServiceNow Spoke. This capability is already commercially developed as seen in Figure 6: Microsoft Teams Spoke. Having this environment within Office 365 will bring already established permissions, versioning, and editing with multiple users in real-time. Within Microsoft Teams, team members can load additional backup informational files, chat within the project, and write on a wiki as they draft the document. The files are stored in the same

manner as SharePoint with version control, tracking, and analysis on metadata around user interaction on the specific publication.

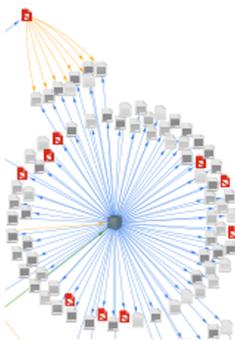


Figure 7: Compliance Conflicts

Validate and Normalize Content: A key advantage to having a cloud-based system like GUICE² is the ability to validate and normalize a draft publication within the live compliance environment. As a publication is nearing completion, whether it is a brand-new publication or a periodic re-write, it can be loaded into the system to validate inconsistencies automatically. An example would be if the publication work in progress includes reference to 50 or 500 other publications, GUICE² will automatically check to ensure those publications are still active within your compliance environment. This will also check for compliance inconsistencies to the sentence level if for example your guidance requires a check every six months, but the parent publication requires that same check every 3 months, it would be flagged. In short, **compliance conflicts are made visible and can be rapidly mitigated before final publication.**

In 18 months, we recommended updates to over 1,300 agency publications leading to 42% reduction in compliance items.

We look at guidance differently; just as grammar rules ensure proper sentence structure, guidance and compliance must have similar rules to ensure accuracy and enforceability. Without accurate accounting and rules, *policymakers lose track of what they are asking their people to do*, and their *people struggle to determine what is most important* from the deluge of often vague, overlapping, contradictory,

and out-of-date requirements. Our guidance and compliance improvement solution will help clients establish a comprehensive maintenance and retrieval system to keep guidance up-to-date and available in any format.

Approval Authorities Process: With ServiceNow integrated within this solution, *the ability to create workflows is unlimited.* Once collaboration is completed on the draft publication at the appropriate level, that workflow is kicked off within ServiceNow. As described before, ServiceNow can integrate into other workflows if necessary, to integrate into the client’s environment seamlessly. Figure 8: Customizable Workflow shows an example of uninstalling an unauthorized piece of software from a computer with steps

Team AATD believes that no guidance should be memorized or printed to sit on a shelf. A client requiring the ability to operationalize each of their publications into compliance check lists for mission effectiveness and GUICE² automates this process. The GUICE² user simply selects the autogenerated Check List tab on the guidance as seen in Figure 10: Automatic Check Lists below. These checklists are derived from compliance content resident within a single or across multiple publications. After the creation of the automatic check list, a user can further customize the check list. They can also click on any of the check list items and view the section of the publication in which the item was derived. This can also be quickly referenced through the tabs on the top of the interface to include viewing in graphic form.

Check List	
Statement	Organization
DIBRS-RR	
<input type="checkbox"/> a. The DoD Components with assigned law enforcement agencies (LEAs) or activities comply with the criminal incident reporting requirements of References (c) through (g) using the procedures provided in Volumes 1 and 2 of DoD 7730.47-M (References (h) and (i)).	Department of Defense
<input type="checkbox"/> c. In order to be considered DIBRS compliant, DoD Components with assigned LEAs must:	Department of Defense
<input type="checkbox"/> (1) Successfully submit a minimum of the five NIBRS segments, as described in Reference (h), to DIBRS on a monthly basis.	Department of Defense
<input type="checkbox"/> (2) Maintain a 4 percent or less data submission error rate for the monthly DIBRS submissions.	Department of Defense

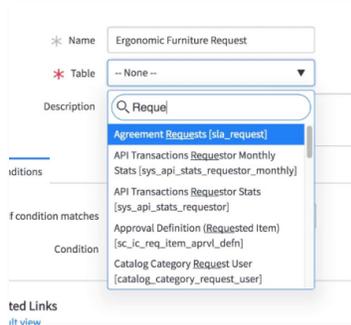
Figure 10: Automatic Check Lists

Understanding Department Entity Responsibilities: Before a user creates an additional publication, understanding their current responsibilities will save them unneeded additional workload. Within GUICE², you can select a specific guidance and role for example DoDD 8140.01 Cyberspace Workforce Management and the role of DoD CIO. This itself is helpful and GUICE² additionally shows all the responsibilities of the other roles within that guidance. This easily highlights what might need to be included in a supplement to the existing publication by viewing the statements that are required by the parent documentation. Both views are show below in Figure 12: Responsibilities Per Guidance and Lower Level Guidance.

Summary by Selected Actor & Selected Publication - DoDD 8140.01 CYBERSPACE WORKFORCE MANAGEMENT			
	Actor	Page #	
	<input type="text"/>	<input type="text"/>	<input type="text"/>
☰	DoD CIO	5	In addition to responsibilities in section 9 of this enclosure, the DoD CIO:
☰	DoD CIO	5	a. Oversees management of DoD cyberspace IT and cybersecurity workforce elements of the
☰	DoD CIO	5	b. In collaboration with the USD(P&R) and DoD Component heads, establishes appropriate w cyberspace IT workforce(s) pursuant to References (d) and (e) and in accordance with DoDD
Summary by Selected Publication (Excludes Selected Actor) - DoDD 8140.01 CYBERSPACE WORKFORCE MANAGEMENT			
	Actor	Page #	
	<input type="text"/>	<input type="text"/>	<input type="text"/>
☰	DoD	2	a. The DoD maintains a total force management perspective to provide qualified cyberspace contracted services support.
☰	DoD	2	b. The appropriate mix of military and government civilian positions and contracted support (Reference (b)).
☰	Civilian, military, and contracted support personnel	2	c. Civilian, military, and contracted support personnel assigned to perform cyberspace work qualification and training requirements assigned to billets and position requirements (e.g., ac DoD Component contracting officials apply subpart 239.71 of the Defense Federal Acquisition roles.
☰	DoD Component Contracting Officials	2	d. DoD Component compliance with this directive is monitored via authoritative manpower a
☰	DoD Component	2	Compliance with requirements of this directive must be included in DoD and DoD Component
☰	DOD Components	2	f. All authorized users of DoD IT receive initial cybersecurity and information assurance awar assurance refresher awareness.
☰	Users	2	

Figure 11: Responsibilities Per Guidance and Lower Level Guidance

The solution’s dynamic graphical view of the publications landscape affords publication users the ability to easily identify and view the specific tasks they are responsible for performing from across different guidance documents including information about print only guidance. Users will be able to quickly review their specific tasks, with their associated tiering and determine which tasks require a waiver. Once selected, specific tasks can be routed to the appropriate decision authority via automated workflows designed within ServiceNow as described previously. This includes easily redesigning client’s forms into ServiceNow forms that will integrate natively into workflows to include oversight on which publications are requesting the most waivers of which specific compliance issues.



Requesting a waiver, to any publication, will be driven by a single form designed within ServiceNow as the example is shown in Figure 13: Waiver Request. This form will include auto populated information and drop-down information that can pinpoint exact compliance statements which a User needs relief from higher headquarters by highlighting the wording within the publication. Additionally, it will show past user’s waivers and their status within the approval process. Designing from the ground up will ensure the benefits of a digital system are capitalized upon.

Figure 12: Waiver Request

Best of Breed Intelligent Search: Ease and speed of content discoverability will be a key attribute driven by the inclusion of intelligent metadata enabled solutions to significantly enhance search functions. The intelligent metadata enabled component of the solution will afford end users with a robust best of breed search function to include identification of all relevant/related tasks as an aggregation from relevant compliance publications.

Deliver Compliance-Based Business System Via Integration: Through use of an Application Programming Interface, the data (individual/related compliance sentences) can be easily integrated into existing workflows and business systems to leverage current investments. The government has the option of requesting a workflow be part of the combined solution.

Customizable Alerting Capability: If desired, there can be alerting features used to notify affected users of changes that occur to related HHQ compliance publications with impact on their publication within the graphical view. With respect to content discoverability, the solution will have a dynamic search function that graphically displays relationships between publications at the sentence level. Allowing users to quickly visualize and understand the relationships between related compliance statements at each level of the organizational hierarchy.

Intuitive Graphical User Interfaces: Our solution has two separate types of graphical user interfaces. The previously shown GUICE² graphical user interfaces describing the connections between publications and guidance. The other is based on the capabilities of ServiceNow to display metric information about each workflow created within the compliance environment. These dashboards are created out of the box with ServiceNow and are configurable without custom coding as seen in Figure 14: Example Dashboards. Creating a dashboard with information about a publication workflow is as simple as point and click. Ultimately, Team AATD’s software provides an intuitive, user-friendly interface allowing functional experts and the approval authority to quickly manage the process of accepting or editing recommendations on each guidance document. GUICE² delivers real-time, 24/7 monitoring of the relationships between an

organizations policies and other relevant compliance sources. GUICE² provides enterprise updates when changes occur that impact compliance priorities. Embedded in the process, our veteran team of experts and trainers’ partner with our customers every step of the way to ensure the process runs smoothly and guidance is updated efficiently.



Figure 13: Example Dashboards

Compliance Management and Publishing Efficiency: Within the system that Team AATD proposes, creating supplements to publications at any level (i.e. Check List, Guidance Memorandum, Handbooks, etc.) is a simple and intuitive step that will require no further development. As seen in *“Additional Capability and Figure 9: Beyond Metatag”* the solution will deliver a graphical aggregation of all relevant compliance publications from HHQ to lowest level policies. This affords stakeholders a holistic granulated view of both supplements and publications content to the sentence level. This integrated graphical view will show a detailed mapping of the relevant content of all supplements and publications with their relationship to associated requirements. Within this graphical aggregation of content there is multiple hierarchical level guidance sources. This feature of the solution *delivers absolute content transparency*. Such a level of *transparency will help mitigate the challenges and complexities of all aspect of compliance publications management*. All workflows will continue through the process as described within *“Team of Collaborators”* with customization at each level of routing.

Past Successes: Outdated guidance has plagued our government for years. with integration points described within this technical summary, is ready for deployment today. GUICE² is a commercially available software capability today with API integration capabilities. In more than a combined 3-year period, Team AATD, using GUICE² delivered significant compliance efficiency findings to two larger federal agencies. Within this 18-month contract we discovered over a **40% compliance deficiency** of all guidance documents; many were out of date. Nearly 20% of the documents were more than 10 years old. The GUICE² software solution, combined with a cadre of experience military veterans, software engineers and compliance subject matter experts delivered with *“Exceptional”* results in categories of **Quality, Schedule and Management**; documented in the Contractor Performance Assessment Report (CPAR). Round two; a 20-month contract, Team AATD replicated the success result with the US largest federal agency and **delivered compliance efficiency findings of 20%** and detailed study capable of outlining additional efficiencies.

We are customer-centered and quality first SDVOSB; we are proud to have served and honored to be able to continue service to our great country. So, we encourage to contact us and get the facts on how we can mitigate your compliance challenges.