

# Department of the Navy



## Automated Statement of Assurance Tool (SOA TOOL)

## User Guide

*December 2003*

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## **Chapter 1: General Information**

### **What is the purpose of the SOA Tool User Guide?**

This User Guide describes the basics of accessing, navigating, and using the SOA Tool to provide the FMO with information on your management control program, including submission of your command's Management Control Certification Statement for inclusion in the DON's Annual Statement of Assurance.

### **What does this User Guide describe?**

This guide describes how to:

- Access the Tool
- Log into the Tool
- Create a user account
- Navigate the various forms and screens
- Input, save, and submit data
- Get help and obtain instructions in the Tool

### **What is the SOA Tool?**

In FY 2002, the FMO developed a web-based system to enhance the Statement of Assurance reporting process. The purpose and value of the system are to improve:

- **Efficiency** – the Tool streamlines the SOA data collection and reporting process.
- **Access** – it allows Commands user-friendly and easy access to submit updates and certification statements.
- **Monitoring** – the Tool provides a mechanism to track accomplishments and weaknesses throughout the year.
- **Control** – the Tool provides all relevant SOA requirements and guidance in one place.
- **Consolidation** – It acts as a central database and audit trail for the SOA.

*What information does the Tool capture?*

The SOA Tool encompasses all four segments of the SOA reporting requirements:

- New Weaknesses
- Prior Period Weaknesses
- Accomplishments
- Management Control Certification Statement

Commands will be able to input weaknesses and accomplishments at any time during the year and track progress on their weaknesses throughout the year. The command has the capability of reporting to the next level of command any weaknesses it determines to be "material". In addition, prior period weaknesses will be maintained in the system so that commands can record

their progress throughout the year. At year-end, commands will complete a questionnaire to generate their Management Control Certification Statement and report it to the next level of command.

*What are some of the features of the Tool?*

- The SOA Tool is a secure site and requires a login and password.
- Through a message system, users will have the capability to communicate with each other within the Tool. Users may use the message feature to share ideas, ask questions, and provide suggestions to other users or to all users of the Tool. The message feature also allows users to attach files to their messages.
- The Tool has an e-mail “alert” system that sends an e-mail to the appropriate user’s DON e-mail (outside of the Tool) whenever any action occurs (e.g., when a user sends its Management Control Certification Statement to its next level of command, the Tool automatically sends an alert e-mail to the POC for that next level of command, notifying them that they have something in the Tool to review).
- The SOA Tool will allow commands to send information back and forth (e.g., if a subordinate command submits a weakness to its Echelon 1 command, the Echelon 1 command has the capability of writing comments or questions about that weakness and sending it back down to the subordinate command for review).
- The Tool has an extensive audit trail system to track modifications of the data. The Tool provides a status of when a document was last modified and by whom.

*What will the information in the Tool be used for?*

The FMO will use the data submitted to it to prepare the DON’s Statement of Assurance. The reporting process will be similar to the manual process, except for the use of the automated Tool to facilitate the process. (Note: Information that a command decides to retain at its level (i.e., does not report to the next level of command) simply resides within that command for continued monitoring purposes.)

### **Who will use the Tool?**

The SOA Tool is intended to be used by each command’s MCP Coordinator or Alternate MCP Coordinator.

### **Who sees the information in the Tool?**

Only the command that has input information into the Tool has view of it, until such time that it sends that information to the next level of command. For example, a user at the subordinate command level enters a weakness into the Tool. The user has the option of reporting the weakness up its respective chain of command or retaining the information in-house. Only if the

user decides to report the information and submit the data to their respective Echelon 1 command, will the information be visible to the Echelon 1 command. The same applies to the Echelon 1 commands—until the information is submitted to the FMO, no one else can view or access its data.

*Who is the SOA Admin?*

The SOA Admin is the administrator for the SOA Tool. The Assistant Secretary of the Navy (Financial Management and Comptroller) (ASN (FM&C)) Office of Financial Operations (FMO) is responsible for that function.

**What is a Security and Privacy Statement?**

As with any web-based application, the thought of an invisible administrator may be a bit unsettling. To calm your anxiety, we have provided answers to a few of the questions you may have regarding the user information and data provided in the Tool.

*Who will see my User Profile?*

Your user profile is visible only to the SOA Admin and yourself in the My Profile section of the Home page. However, your password information is encrypted, and is not seen by the SOA Admin for any reason. The information you provide in your user profile is considered private and will NOT be made available to any source outside of the ASN(FM&C) FMO.

*Who will have access to the data I enter?*

Only the command that has input the information into the Tool has access to the data, until such time that it sends that information to the next level of command. Only when it submits the data to the next level of command will the information be seen by that next command level.

**Who do I contact with questions about the Tool?**

For any additional questions you may have regarding the security or functionality of the SOA Tool, please contact:

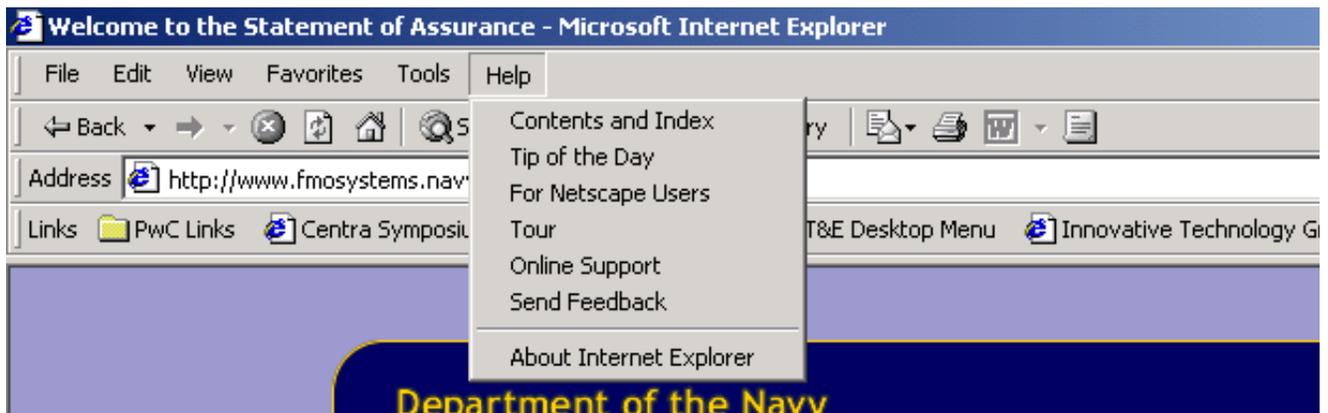
- [soatool@fmo.navy.mil](mailto:soatool@fmo.navy.mil)
- 202.685.6064 or 202.685.6738

## **Chapter 2: How Do I Get Started with the Automated SOA Tool?**

### **What other software do I need to use the Tool?**

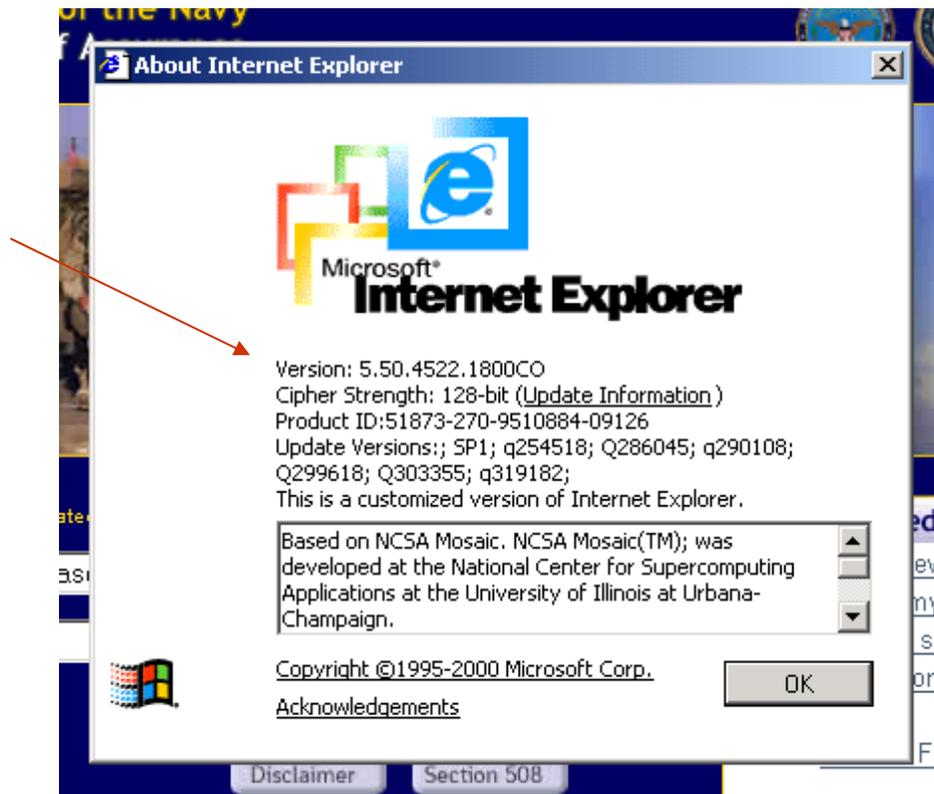
You may ask if there are any specific tools you need to successfully begin using the web-based Tool. While the Tool will work with any web browser (e.g. Microsoft Internet Explorer, Netscape, etc.), the site is best viewed with Microsoft Internet Explorer (IE), version 5.5 with Java enabled.

If you are not certain which version of IE you have, you can find out by clicking on Help in the top menu bar.



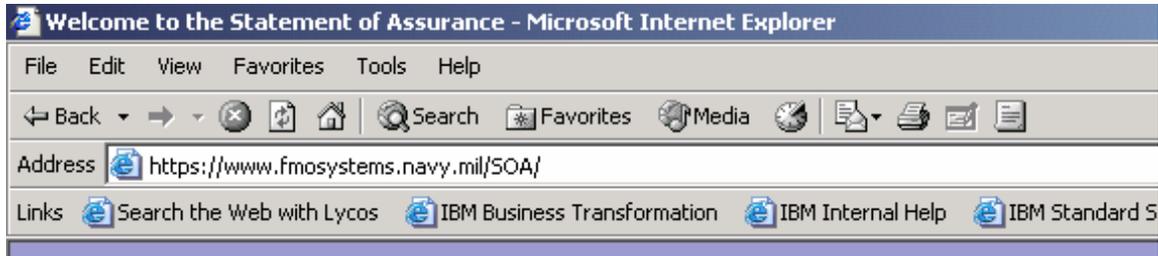
Then scroll down and click on "About Internet Explorer."

An information box appears with the IE logo and version number, as indicated by the arrow in the graphic below.



## How do I enter the Tool for the first time?

To access the system, type <https://www.fmosystems.navy.mil/soa> in the address bar of your web browser. (Hint: Make sure to add the letter “s” after http—https)

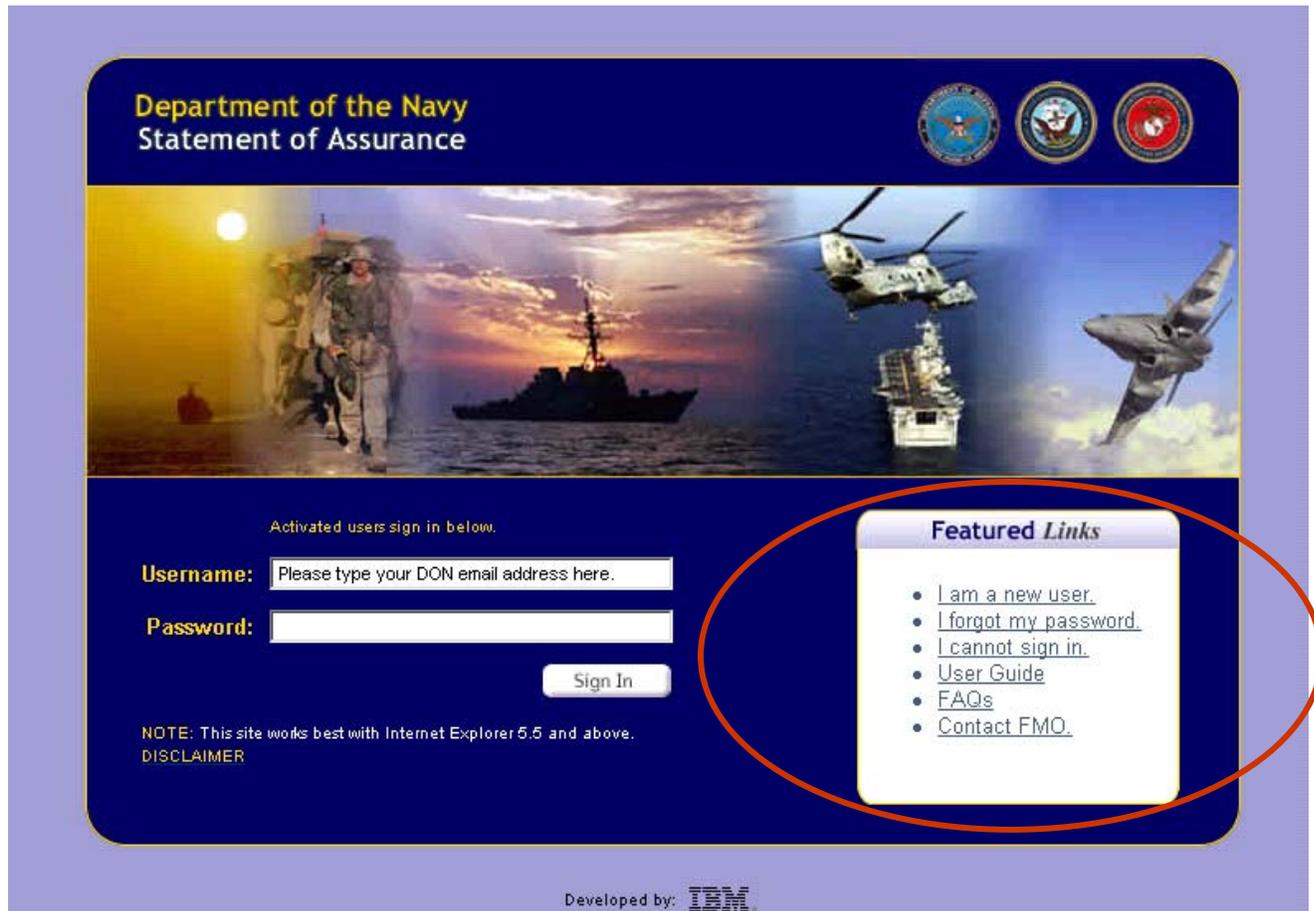


Upon entering the site for the first time, you will receive a message indicating that the security certificate for the site you are accessing is valid and asking you if you wish to proceed. When you see this message, click on the "Yes" button. The site will then load the SOA Tool login screen as seen below.



## What is the “Featured Links” box on the login page?

The Featured Links box located on the right-hand side of the login screen includes links to provide you with information for new users, signing-in, instructions on using the tool, and contacting the FMO. You do not need to log into the Tool to see this information. Each of the links will be explained in greater detail in the next few sections of this User Guide.



## How do I set up my user profile for the Tool?

Now that you have the proper web browser to best display the SOA Tool, you will need to register for the Tool and set up your User Profile. To begin, click on the "I am a new user" link on the SOA Tool login screen.



The system will then take you to the User Profile Form, where you can enter your user information in the spaces provided. You must enter data for all fields that have a red asterisk (\*) next to them, as these are required fields. (Note: For the Address information, please enter your work address.)

**User Profile Form**

The following form contains information pertaining to a user account. Fields highlighted in **red text** are required. Please make an effort to fill out the form as accurately as possible.

\* **First Name**

\* **Last Name**

**Middle Name**

\* **Your Command**

\* **Reports To...**

\* **Address Line 1**

**Address Line 2**

\* **City**

\* **State/ Zip Code**

\* **Country**

\* **Phone**

**Fax**

\* **User Name/Email**

The email address will be your user name.

**Password Rules**

Password must have a minimum length of 6 characters.  
The first character of the password may not be a number.  
At least one character must be a letter.  
At least one character must be a number.  
Password may not have spaces.  
Password must have at least one special character.

\* **Password**

\* **Confirm Password**

When you select the command to which you belong (“Your Command”), the “Reports To...” field is automatically populated based on your selection.

Please provide your valid DON e-mail address in the "User Name/Email" field.

**The e-mail address you provide will be your user name to log into the Tool.**

After you have populated your user information, you must then set up a password before you can begin using the system. When setting up your password, please follow the password rules indicated. Remember that the password must be at least six characters, including at least one number and one special character (some examples of a special character would be: ! , @ , # , \$ , % , ^ , & ,and \*). The password cannot begin with a number or special character.

The screenshot shows a registration form with the following elements:

- \* Phone**: A text input field.
- Fax**: A text input field.
- \* User Name/Email**: A text input field with a tooltip that says "The email address will be your user name."
- Password Rules**: A box containing the following text:
  - Password must have a minimum length of 6 characters.
  - The first character of the password may not be a number.
  - At least one character must be a letter.
  - At least one character must be a number.
  - Password may not have spaces.
  - Password must have at least one special character.
- \* Password**: A text input field.
- \* Confirm Password**: A text input field.
- At the bottom right, there are two buttons: **Submit** and **Cancel**.

Once you have finished populating your password information, click on the "Submit" button at the bottom of your screen. A message will appear telling you that your profile will be reviewed within one business day and that you will receive an e-mail upon approval.

Click on the "OK" button, and the system will return you to the login screen.

You will not be able to access the Tool until you have received an e-mail approving your profile form from the SOA Admin.

## How do I access instructions on using the Tool?

While you are waiting for your account to be activated, you may access this user guide from the login screen by clicking on “User Guide” in the “Featured Links” box on the right-hand side of the screen. You can access this user guide at any time without having to log into the Tool.

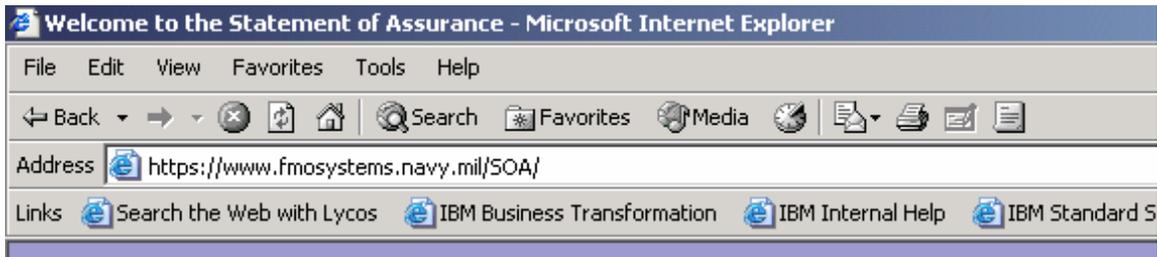


## Where can I get more help on the DON Statement of Assurance?

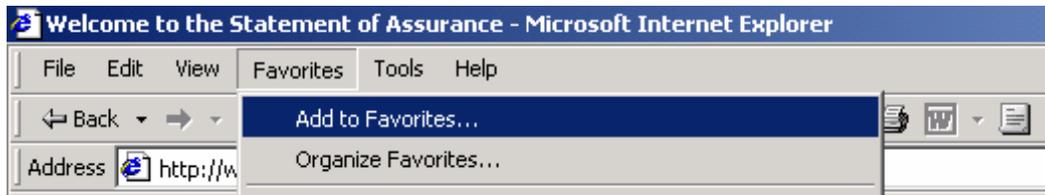
The “FAQs” button links you to Frequently Asked Questions (FAQs) about the DON Statement of Assurance. You can access this at any time without having to log into the Tool.

## How do I log into the Tool?

At this point, you have already submitted your user information into the SOA Tool and you are waiting approval from the SOA Admin to begin. Once you have received the e-mail confirming that your user profile has been approved and activated, you can begin using the tool. To access the system, go to the SOA Tool login screen by typing <https://www.fmosystems.navy.mil/soa> in the address bar of your web browser.



(Note: For ease of use, you will want to save this address as a favorite. You can save an address by clicking on "Favorites" in the top navigation button, and then clicking "Add to Favorites" from the drop down menu as shown below.)



A pop-up box will appear with the following text: "This page contains both secure and non-secure items. Do you want to display the non-secure items?" Click "Yes." The system now takes you to the login screen. On the login screen, enter your Username and Password in the input boxes on the lower left corner of the screen. (Note: your Username is the e-mail address you provided when you set up your user profile.) Click on the "Sign In" button. The system should now take you to the SOA Tool home page.

## What if I have forgotten my password?

In the event that you have forgotten your password, click on the "I forgot my password" link located in the "Featured Links" box on the right-hand side of the login screen.

**Department of the Navy**  
**Statement of Assurance**

Activated users sign in below.

**Username:**

**Password:**

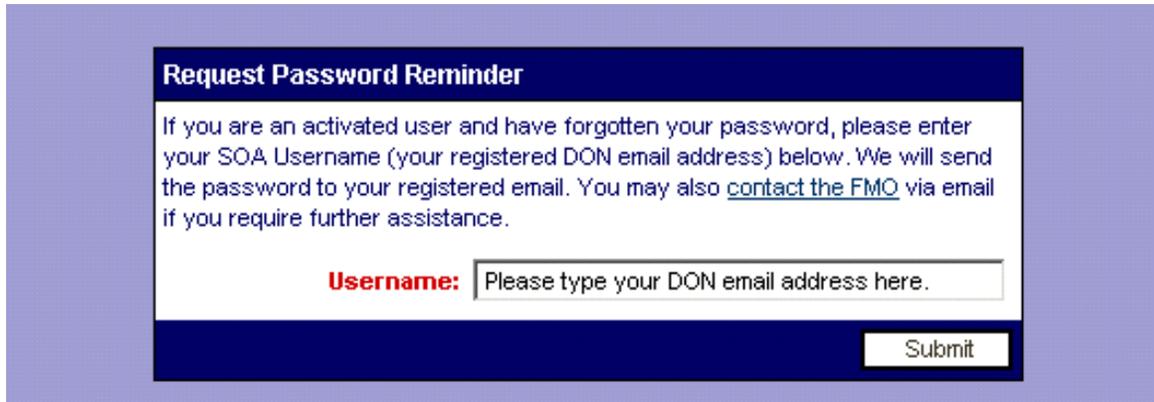
NOTE: This site works best with Internet Explorer 5.5 and above.  
DISCLAIMER

**Featured Links**

- [I am a new user.](#)
- [I forgot my password.](#)
- [I cannot sign in.](#)
- [User Guide](#)
- [FAQs](#)
- [Contact FMO.](#)

Developed by: **IBM**

The system will now prompt you for your username. (Note: Your username is the same as your DON e-mail address that you typed in the “User Name/E-mail” field when setting up your user profile.)



The screenshot shows a web form titled "Request Password Reminder" with a dark blue header. The main content area is white and contains the following text: "If you are an activated user and have forgotten your password, please enter your SOA Username (your registered DON email address) below. We will send the password to your registered email. You may also [contact the FMO](#) via email if you require further assistance." Below this text is a label "Username:" in red, followed by a text input field containing the placeholder text "Please type your DON email address here." At the bottom right of the form is a "Submit" button.

When you see the prompt above, enter your username and click on the "Submit" button. A popup box will appear telling you that an e-mail has been sent to your account. The system will then send your password to the e-mail address you provided within one business day.

## What if I cannot sign in?

If you are having problems signing in, click on the “I cannot sign in” link located in the “Featured Links” box on the right-hand side of the login screen.

Department of the Navy  
Statement of Assurance

Activated users sign in below.

**Username:**

**Password:**

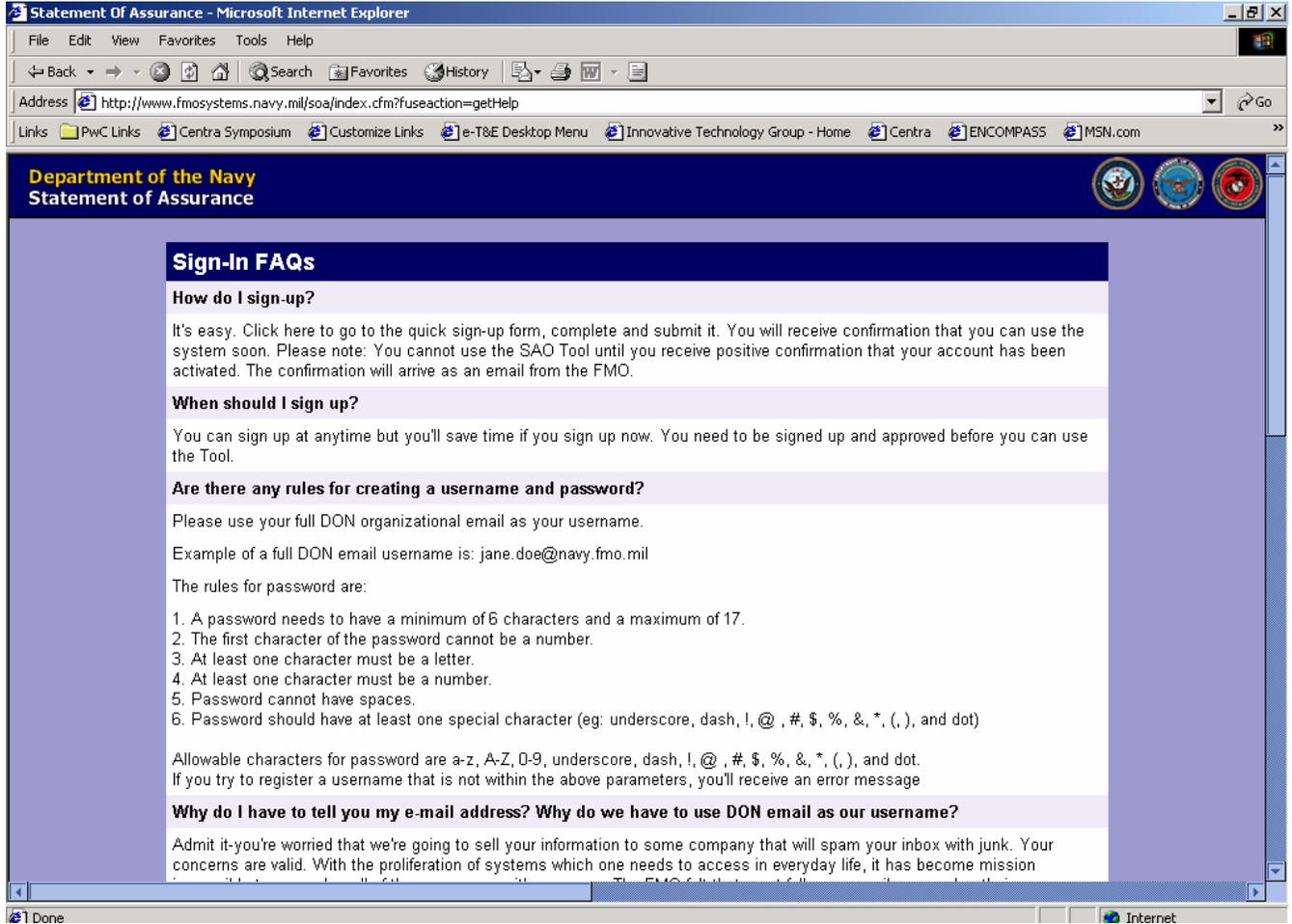
NOTE: This site works best with Internet Explorer 5.5 and above.  
DISCLAIMER

**Featured Links**

- [I am a new user.](#)
- [I forgot my password.](#)
- [I cannot sign in.](#)
- [User Guide](#)
- [FAQs](#)
- [Contact FMO.](#)

Developed by:

A list of frequently asked questions (FAQs) regarding login will appear.



Hopefully, you will find the solution to your problem. If not, follow the steps to contact FMO.

## How do I contact the FMO?

If you cannot resolve your sign-in problem, or you need other assistance, you may contact the FMO by clicking on the “Contact FMO” link located in the “Featured Links” box on the right-hand side of the login screen.

Department of the Navy  
Statement of Assurance

Activated users sign in below.

**Username:**

**Password:**

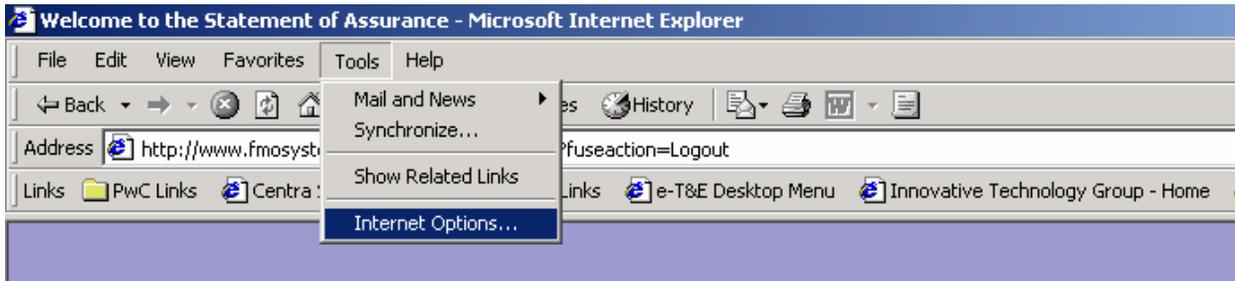
NOTE: This site works best with Internet Explorer 5.5 and above.  
DISCLAIMER

**Featured Links**

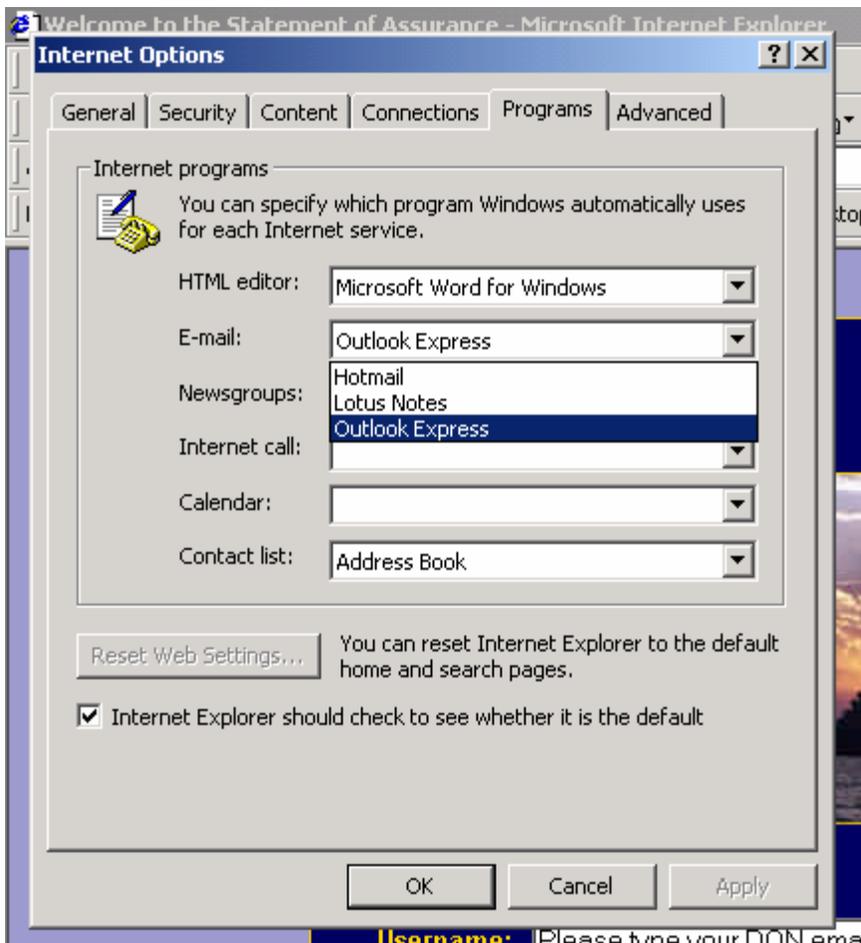
- [I am a new user.](#)
- [I forgot my password.](#)
- [I cannot sign in.](#)
- [User Guide](#)
- [FAQs](#)
- [Contact FMO.](#)

Developed by: **IBM**

If this feature does not work, click on the Tools menu of Internet Explorer. Then scroll down and click on Internet Options.



The following popup box will appear.



Click on the “Programs” tab. Select an e-mail service. Then click on “Apply” and then “OK” located at the bottom of the window. This will set up the default e-mail in your Internet browser.

Click on “Contact FMO” on the login page again to send an e-mail to the FMO.

**Department of the Navy  
Statement of Assurance**

Activated users sign in below.

**Username:**

**Password:**

**Featured Links**

- [I am a new user.](#)
- [I forgot my password.](#)
- [I cannot sign in.](#)
- [User Guide](#)
- [FAQs](#)
- [Contact FMO.](#)

NOTE: This site works best with Internet Explorer 5.5 and above.  
DISCLAIMER

Developed by: **IBM**

**What is the Disclaimer button on the login page?**

The Disclaimer states that the Department of the Navy bears no responsibility for the accuracy or the content of external sites, which may be listed within the pages of this server.



### **Chapter 3: How Do I Navigate Around the Tool?**

#### **How can I see the entire Tool screen at once?**

Due to your computer monitor resolution factors, you may not be able to view the entire SOA Tool screen at once or, sometimes it may look a little scrambled. One way to solve the problem is to set your text size to a "Smaller" or "Smallest" size as shown in the picture below. To accomplish this, do the following:

1. Click on "View" menu button of your Internet Explorer
2. Click on "Text Size"
3. Click on "Smaller" or "Smallest"



Another way to see more of your desktop screen is to press the "F11" button on your keyboard. Press "F11" again to bring it back to the original size.

## What are the SOA Tool Features?

Certain features available for your convenience are accessible on almost every page within the Tool.

The screenshot displays the Department of the Navy Statement of Assurance tool interface. At the top, a blue header contains the text "Department of the Navy Statement of Assurance" and several navigation icons. Below this is a yellow bar with links for Home, FAQs, User Guide, Messages, Feedback, and Logout. The main content area features a tabbed interface with "Prior Period Weaknesses" selected. The form is titled "Prior Period Weakness Form" and includes a "Save Form" button. The form fields are: "Title of Weakness" (value: 69, 100 Characters Remaining), "Description of Weakness" (value: 3869, 5000 Characters Remaining), and "Functional Category" (value: 5000, 5000 Characters Remaining). The description text reads: "The Department of the Navy (DON) must properly and efficiently manage its active and reserve recruiting functions to maintain a ready force. The DON established an accession plan that allowed for recruitment of reserve personnel up to 125 percent of funded reserve billet requirements; this could potentially result in recruitment of reserve personnel in ratings where they are not required. The Navy's fiscal year (FY) 2001 active recruiting plan limited summer recruit training to fewer individuals than could actually be accommodated by the Recruit Training". A right-hand sidebar displays user and form status information: Current User: cno\_cno e1\_b Test, Current FY: 2005, Form Status: Sent to Echelon 1, Created: cno\_cno CNO 08-25-2002, Modified: cno\_cno CNO 04-04-2003, Current Owner: CNO. A left-hand sidebar lists "Skip To:" links for various sections. Annotations with red arrows point to the "Tabs" (top navigation bar), "Top Navigation Buttons" (yellow bar), and "Status Area" (right sidebar).

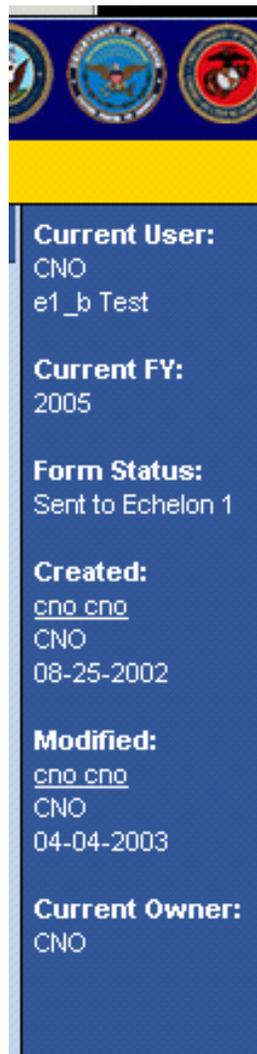
### Top Navigation Buttons

Navigation buttons are located on a yellow bar at the top of every SOA Tool screen. There is a button for the home page, FAQs, User Guide, messages, feedback, and logout. Each of these will be explained in greater detail in later sections of this User Guide.



### Status Area

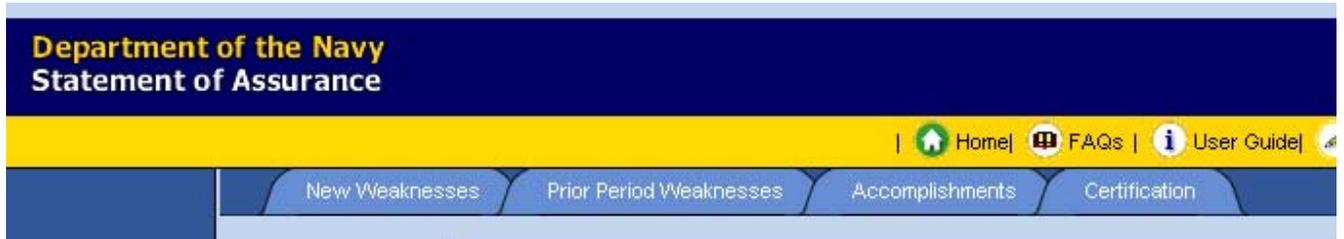
The status area to the right of your screen provides the user's command name, the user's name, and the current fiscal year.



On the input forms for weaknesses and accomplishments, an audit trail of the document is also provided here, indicating who created the form and when and who modified the form and when. The Current Owner tells you who currently has the editable version of the form.

*Tabs*

The input forms for weaknesses and accomplishments, as well as the certification statement, are easily accessible by clicking on the appropriate tab below the yellow menu bar. Each of the tabs will be explained in greater detail in later sections of this User Guide.



Tables

When you click on the weaknesses or accomplishments tab, you will come to a table listing of saved weaknesses or accomplishments. Some features available in almost every table include the following.

Forms are available on the left top corner of the table. Click on the link to obtain a blank form.

You can sort the weaknesses by clicking on the headings such as “Created By”, “Created Date”, and “Status”.

You can view previous years’ final SOA data by clicking on the “Fiscal Year” drop down and selecting a year. All historical data is read-only.

The screenshot shows the 'Individual New Weaknesses' section of the Navy Assurance tool. At the top left, there is a link '[Add New Weaknesses]'. The table below has the following data:

Title	Created By	Created Date	Status 2004	Select
<a href="#">Purchase Ca..</a>	User NAVSEA04X/NAVSEA04X	2003-06-22 15:38:13	Pending with Echelon 3 [Read Only]	<input type="checkbox"/>
<a href="#">DON MCP..</a>	User NAVSEA04X/NAVSEA04X	2003-06-22 15:36:33	Sent to Echelon 2	<input type="checkbox"/>
<a href="#">3S AaronThe..</a>	User COMNAVSEASYSCOM/COMNAVSEASYSCOM	2003-06-19 14:52:57	Pending With FMO Admin [Read Only]	<input type="checkbox"/>

Below the table are four buttons: 'Delete', 'Send To Echelon 1', 'Send To Echelon 3', and 'Print Above Table'. A 'Fiscal Year' dropdown menu is set to '2004'. The sidebar on the right indicates the user is 'COMNAVSEASYSCOM - User' and the 'Current FY' is '2004'.

To see the weakness or accomplishment, click on its title.

This button allows the user to delete weakness(es)/accomplishment(s) selected by the user. Once deleted, they are removed from the list.

These buttons will vary depending on whether the user is Echelon 1, 2, or 3. It allows the user to send selected weakness(es)/or accomplishment(s) up or down their chain of command or to FMO. The table above represents an Echelon 2 user.

Another feature on this page is the ability to print the table listing of weaknesses or accomplishments. Click the button “Print Above Table” to do this.

Input Forms

Weakness and accomplishment information will be input and saved in forms.

To navigate around the form, use the scroll button that appears to the right of the screen.

Quick navigation buttons on the left-hand side of the screen are also available. This form is categorized into seven sections, as are the navigation buttons. By clicking on the section name, you will be taken directly to that section of the form.

To the right of the form is a status area. You will find such information as command name, user name, current fiscal year, status of the form, who created it, when, and by whom and when it was last modified. You will also find a status called Current Owner. This tells you who currently has the editable version of the form. The status area is updated each time you save the form.

You can also export this form to Microsoft Word or print it. At the top left-hand side of the form, you will see the links that allow you to print the form or export to Word. Click on the link Print Page or Export Page in order to do so.

There is also a link, Return to List that will take you back to the table listing of saved weaknesses and accomplishments.

The screenshot shows a web interface for the Department of the Navy Assurance. The main heading is "of the Navy Assurance". Below this is a navigation bar with links for Home, FAQs, User Guide, Messages, Feedback, and Logout. The current page is titled "Prior Period Weakness Form". At the top left of the form, there are three links: "Return to List", "Print Page", and "Export Page". At the top right, there is a "Save Form" button. The form contains two text input fields: "Title of Weakness" with a value of "40" and "Description of Weakness" with a value of "3653". The description text is: "Department of Navy (DON) activities did not exercise necessary oversight to ensure the implementation and monitoring of subordinate commands' controls over Government furnished material held at contractor sites, including interim supply support contractors, resulting in the DON maintaining excess material, incurring unnecessary storage costs and not fully realizing cash value from disposal of excess material."

Please remember to save your work. The save button is located at the top right-hand side of the form and/or at the bottom of the form.

TIP: If you are inputting large amounts of data, please hit the save button after entering text into each box of the form.

Each time you create a new weakness/accomplishment and/or save a weakness, a popup box will appear telling you the results of your actions (i.e., You have created a new weakness). Please click the "OK" button to continue.

The text boxes/fields contain the following features.

Above each text box is the heading. If the text is in red, it is a required field and must be populated in order to save the form.

Each text box is provided with a counter to track the amount of data input.

TIP: If you paste text into the boxes, the counter will not update until you click in the box. If you paste text that is over the maximum amount of characters, the form will be saved only up to the point where the maximum amount was reached.

The screenshot shows a form with two text input fields. The first field is titled "Description of Material Weakness" and has a red heading "\* Title of Weakness" circled in red. To the right of the heading is a counter showing "100 /100 Characters Remaining". The second field is titled "Description of Weakness" and has a counter showing "5000 /5000 Characters Remaining". Both counters have a question mark icon next to them. Red arrows point from the text blocks to these elements.

Instructions for the information to be input can be found by placing your cursor on the “Help” button (question mark). Another window will open with a description of the heading and instructions like the box below.

The help window has a blue header "Material Weakness Help" and a sub-header "Description of Material Weakness". The main text says: "Enter the description of a weakness, which should be confined to no more than three or four sentences, if possible."

Some fields require standard data that is selected from a drop-down box. Click on the drop-down arrow and the choices appear. Then select your choice. Some allow you to choose more than one and will specify if you may do so.

**Functional Category** [?] 5000 /5000 Characters Remaining

Select a category: [?] Enter category notes

- None Selected
- Communications and/or Intelligence and/or Security
- Comptroller and/or Resource Management
- Contract Administration
- Force Readiness
- Information Technology
- Major Systems Acquisition
- Manufacturing, Maintenance and Repair
- Other (Primarily Transportation)
- Personnel and/or Organization Management
- Procurement

Enter justification notes

[Go To Top]

**Pace of Corrective Action** [?] [Go To Top]

**Year Identified** [?] 2005

**Original Targeted Correction Date** [?]

1st Quarter 2005

1st Quarter

2nd Quarter Date [?]

3rd Quarter

4th Quarter 2005

**Reason for Change in Dates** [?] 5000 /5000 Characters Remaining

## E-mail Alerts

You will receive e-mail messages that serve as alerts or notifications from the SOA Admin. When you first signed up to use the SOA Tool, you provided an e-mail address, which is also your user name. These e-mail alerts will arrive at that address you provided in your user profile. The alerts are sent upon action within the system. Some examples of when e-mail alerts are sent to you:

- The first e-mail alert you will or already have received is the one notifying you that your SOA Tool account has been approved and activated. Your user name and password will be provided as well.



- If your lower level command sends a weakness, accomplishment, or certification statement to you, then you will receive an e-mail message to notify you that a submission has been made to you.
- If after you have submitted a weakness or accomplishment to the next level, and that command sends the weakness or accomplishment back down to you, then you will receive an e-mail message notifying you of this action.
- You will also receive an e-mail message when the SOA Admin has posted a high priority message in the SOA Tool.

## *Broadcast Messages*

Broadcast messages are e-mail messages sent by the SOA Admin to the e-mail address that you have provided. Broadcast messages go to all users of the Tool. Broadcast messages do not reside in the Messages feature of the SOA Tool.



## Chapter 4: What is on the Home Page?

### Home Page

After you have successfully logged into the Tool, you will arrive at the home page.

The screenshot displays the home page of the Department of the Navy Statement of Assurance (SOA) Tool. The page features a dark blue header with the text "Department of the Navy Statement of Assurance" and three circular logos on the right. Below the header is a yellow navigation bar with links for Home, FAQs, User Guide, Messages, Feedback, and Logout. The main content area is divided into several sections: a central blue box with yellow text describing the SOA Tool's purpose; a white box with blue text explaining the tool's value and access; a "My Status" section with a list of metrics; a "My Profile" section with a "SOA Bulletin" and a "Welcome!" message; and a right-hand sidebar with user information.

**Department of the Navy  
Statement of Assurance**

Home | FAQs | User Guide | Messages | Feedback | Logout

New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

**The SOA Tool is a web-based application that enables the collection and storage of information to meet the SOA monitoring and reporting requirements at multiple echelons and the consolidated DON level.**

**The purpose and value of the SOA Tool are to improve:**

**Access** by providing Commands user-friendly and easy access to submit updates and certification statements;

Skip >>

**My Status:**

- You have received **3** Message(s).
- You have sent **0** Message(s).

**SOA Bulletin:**

Welcome!

**Current User:**  
COMNAVSEASYSCOM  
e2\_b Test

**Current FY:**  
2005

The home page consists of the following:

- My Status
- My Profile
- SOA Bulletin

These are described in more detail in subsequent pages.

*My Status*

My Status provides you with the number of messages, weaknesses, and accomplishments in the Tool. You can click on any of the notes listed and you will be taken to the appropriate page.

My Status:	My Profile
<ul style="list-style-type: none"><li>You have received 3 Message(s).</li><li>You have sent 0 Message(s).</li></ul>	<b>My Profile</b>
<ul style="list-style-type: none"><li>You have 0 New Weakness(es).</li></ul>	<b>SOA Bulletin:</b>
<ul style="list-style-type: none"><li>You have 7 Uncorrected Prior Period Weakness(es).</li><li>You have 0 Corrected Prior Period Weakness(es).</li></ul>	Welcome!
<ul style="list-style-type: none"><li>You have 0 Accomplishment(s).</li></ul>	

My Profile

The screenshot shows a user interface with a blue header bar. On the left, a 'My Status:' section contains four rows of information: 'You have received 3 Message(s). You have sent 0 Message(s).', 'You have 0 New Weakness(es).', 'You have 7 Uncorrected Prior Period Weakness(es). You have 0 Corrected Prior Period Weakness(es).', and 'You have 0 Accomplishment(s)'. On the right, a blue bar contains a folder icon and the text 'My Profile', which is circled in red. Below this bar, there is a 'SOA Bulletin:' section with a 'Welcome!' message.

Clicking on “My Profile” will take you to your User Profile form, which consists of the information you had input (such as name, address, password, etc.) when first registering to use the Tool.

**User Profile Form**

The following form contains information pertaining to a user account. Fields highlighted in **red text** are required. Please make an effort to fill out the form as accurately as possible.

**\* First Name**

**\* Last Name**

**Middle Name**

**Your Command** COMNAVSEASYSKOM

**Reports To...** CNO

**\* Address Line 1**

**Address Line 2**

**\* City**

**\* State/ Zip Code** Alabama

**\* Country**

**\* Phone**

**Fax**

**\* User Name/Email**

**Password Rules**

Password must have a minimum length of 6 characters.  
 The first character of the password may not be a number.  
 At least one character must be a letter.  
 At least one character must be a number.  
 Password may not have spaces.  
 Password must have at least one special character.

**\* Password**

**\* Confirm Password**

With the My Profile feature, you can easily change your personal information, including password, at anytime. This is convenient for someone who needs to make a name change or whose organization has moved and needs to update address and/or phone number information. When you press the Submit button, a message will appear telling you that your profile will be reviewed within one business day and that you will receive an e-mail upon approval.

*SOA Bulletin*

The SOA Bulletin contains reminders and other pertinent information updated by the FMO Admin.

<p><b>My Status:</b></p> <ul style="list-style-type: none"><li>• You have received <b>3</b> Message(s).</li><li>• You have sent <b>0</b> Message(s).</li></ul> <hr/> <ul style="list-style-type: none"><li>• You have <b>0</b> New Weakness(es).</li></ul> <hr/> <ul style="list-style-type: none"><li>• You have <b>7</b> Uncorrected Prior Period Weakness(es).</li><li>• You have <b>0</b> Corrected Prior Period Weakness(es).</li></ul> <hr/> <ul style="list-style-type: none"><li>• You have <b>0</b> Accomplishment(s).</li></ul>	<p> <a href="#">My Profile</a></p> <p> <b>SOA Bulletin:</b></p> <p>Welcome!</p>
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## **Chapter 5: What are the Automated SOA Tool User Functions?**

*(Please note: The term Echelon is used synonymous with subordinate command, organization, office, etc. within the Tool and this User Guide.)*

### **New Weaknesses**

The New Weaknesses tab allows you to add a new weakness and view the listing of your new weaknesses. Click on the “New Weaknesses” tab to perform these functions.



*Add a New Weakness*

To add a new weakness, click on the “Add New Weakness” link on the top left-hand corner of the New Weaknesses screen.



A blank form will appear.

To begin entering data, simply type in the text boxes provided for each section of the New Weaknesses Form. Please complete all fields before submitting the new weakness. Remember to save your work.

**Skip To:**  
[Description of Material Weakness](#)  
[Pace of Corrective Action](#)  
[Funding to Correct Weakness](#)  
[Correction of Weakness](#)  
[Source of Weakness](#)  
[Major Milestones in Corrective Action](#)  
[Contact Information](#)

New Weaknesses    Prior Period Weaknesses    Accomplishments    Certification

**Current User:**  
FMO  
FMO FMO

**Current FY:**  
2004

**New Weakness Form** [Return to List](#) [Save Form](#)

Use the following form to enter new weakness information. Fields highlighted in \* red text are required. Please make an effort to fill out the form as accurately and completely as possible.

**Description of Material Weakness**

\* **Title of Weakness** (?) 100 /100 Characters Remaining

**Description of Weakness** (?) 5000 /5000 Characters Remaining

**Functional Category** (?) 5000 /5000 Characters Remaining

Select a category: Enter category notes

None Selected

**Justification** (?) 5000 /5000 Characters Remaining

Select one or more justification(s): Enter justification notes

None Selected

Actual or potential loss of resources

**Pace of Corrective Action** [Go To Top](#)

**Year Identified** (?)

2004

**Original Targeted Correction Date** (?)

1st Quarter

2004

**Current Target Date** (?)

1st Quarter

2004

Table of New Weaknesses

After you have entered in a weakness and saved the form, you will be taken back to the New Weaknesses table. The table lists individual new weaknesses that you have created and saved. If you are an Echelon 1 or Echelon 2 command, this table will also list weaknesses received from subordinate command(s). The table will tell you such information as the weakness title, who created it and when, and the status of the weakness. To view the weakness, click on the title.

Note to Echelon 1 and Echelon 2 commands: Please review the weaknesses sent to you by your subordinate commands. Click on the title to open the form, then make any necessary changes, and save the document.

**New Weaknesses**

[ Add New Weakness ] Selected Fiscal Year: 2004

Below are all the new weaknesses associated with your account. Click on the hyperlink in the "Title" column to view or edit a new weakness. To send or delete a new weakness click the check box in the "Select" column and press the appropriate button at the bottom of the page. You may also print this table using the "Print Table" button at the bottom of the page.

Title ▼	Created By ▼	Created Date ▼	Status 2004 ▼	Select
<a href="#">Unmatched Disbursements</a>	FMO, FMO	11-17-2003 13:59:38	Pending with Echelon 2	<input type="checkbox"/>

Send To Echelon 1    Send To Echelon 3    Delete    Print Above Table

The table allows you to delete a weakness or send it up to your reporting command. Echelon 1 and Echelon 2 commands may also send weaknesses back down to your subordinate command. To do this, select the weakness(es) by clicking on the box to the right. Under the "Select" column a checkmark will appear in the box when selected. Then click on the appropriate button below the table. When you send a weakness down, it will be removed from the list. It will not be visible to your command but will appear on the command's list to which the weakness was sent.

If you send a weakness up, you will still see the weakness in the table, but the status will change to "Sent to Echelon (Read-Only)". The document now becomes read-only—you will still be able view it but you will be unable to make any changes.

If you delete a weakness, it is deleted in the Tool and removed from the list.

Note: You will be permitted to delete only weaknesses that have been entered into the Tool by your command.

The following tables list the different actions that you may take and the status that will appear for new weaknesses. There is a table for each type of user.

<b>Echelon 3 - New Weaknesses</b>		
<b>ACTION</b>	<b>STATUS</b>	<b>EXPLANATION</b>
Create and save new weakness	Pending with Echelon 3	You may continue to view and edit the new weakness.
Submit new weakness to Echelon 2 command	<p>Sent to Echelon 2 (Read – Only)</p> <p>Pending with Echelon 2 (Read-Only)</p> <p>Sent to Echelon 3</p>	<p>You may view the new weakness, but you cannot edit it.</p> <p>The Echelon 2 command has reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The Echelon 2 command has returned the weakness to the Echelon 3 for review. Check the “Notes” box of the form for comments from the Echelon 2 command.</p>
Submit new weakness to Echelon 2 command.	<p>Sent to Echelon 1 (Read-Only)</p> <p>Pending with Echelon 1 (Read-Only)</p> <p>Sent to Echelon 2 (Read-Only)</p>	<p>The Echelon 2 command has submitted your weakness up to the Echelon 1 command.</p> <p>The Echelon 1 has reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The Echelon 1 has returned the weakness to the Echelon 2 for review.</p>
Submit new weakness to Echelon 2 command.	Sent to FMO Admin (Read-Only)	The Echelon 2 command has submitted your

<b>Echelon 3 - New Weaknesses</b>		
<b>ACTION</b>	<b>STATUS</b>	<b>EXPLANATION</b>
	<p>Pending with FMO Admin (Read-Only)</p> <p>Sent to Echelon 1 by FMO Admin (Read-Only)</p>	<p>weakness to the Echelon 1 command, who has then submitted your weakness up to the FMO.</p> <p>The FMO has reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The FMO has returned the weakness to the Echelon 1 for review.</p>
Submit new weakness to Echelon 2 command	Item Added to Final Document (Read-Only)	<p>The Echelon 2 command has submitted your weakness to the Echelon 1 command, who has then submitted your weakness up to the FMO.</p> <p>The FMO has selected the weakness for inclusion in the DON's Statement of Assurance.</p>

<b>Echelon 2 - New Weaknesses</b>		
<b>ACTION</b>	<b>STATUS</b>	<b>EXPLANATION</b>
Create and save new weakness	Pending with Echelon 2	You may continue to view and edit the new weakness.
N/A	Sent to Echelon 2	An Echelon 3 command has submitted a new weakness to you. You

Echelon 2 - New Weaknesses		
ACTION	STATUS	EXPLANATION
		may view and edit the weakness.
Edit or add comments to a weakness and send back down to the Echelon 3 command.	Sent to Echelon 3 (Read-only)	The Echelon 3 command now has access to the document. You have read-only access to the document and may not make any changes.
Submit new weakness to Echelon 1 command	<p>Sent to Echelon 1 (Read – Only)</p> <p>Pending with Echelon 1 (Read-Only)</p> <p>Sent to Echelon 2</p>	<p>You may view the new weakness, but you cannot edit it.</p> <p>The Echelon 1 command has reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The Echelon 1 command has returned the weakness to the Echelon 2 for review. Check the “Notes” box of the form for comments from the Echelon 1 command.</p>
Submit new weakness to Echelon 1 command.	<p>Sent to FMO Admin</p> <p>Pending with FMO Admin</p> <p>Sent to Echelon 1 by FMO Admin</p>	<p>The Echelon 1 command has submitted your weakness up to the FMO.</p> <p>The FMO has reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The FMO has returned the weakness to the Echelon 1 for review.</p>
Submit new weakness to	Item Added to Final Document	The FMO has selected the

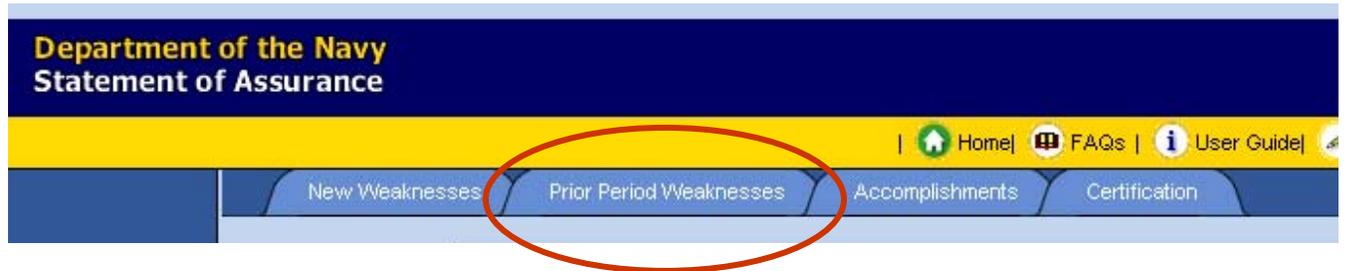
Echelon 2 - New Weaknesses		
ACTION	STATUS	EXPLANATION
Echelon 1 command	(Read-Only)	weakness for inclusion in the DON's Statement of Assurance.

Echelon 1 - New Weaknesses		
ACTION	STATUS	EXPLANATION
Create and save new weakness	Pending with Echelon 1	You may continue to view and edit new weakness
N/A	Sent to Echelon 1	An Echelon 2 command has submitted a new weakness to you. You may view and edit the weakness.
Edit or add comments to a weakness and send back down to the Echelon 2 command.	Sent to Echelon 2 (Read-only)	The Echelon 2 command now has access to the documents. You have read-only access to the document and may not make any changes.
Submit new weakness to FMO.	Sent to FMO (Read-Only)	You may view new weakness but you cannot edit it.
	Pending with FMO (Read-Only)	The FMO has reviewed the weakness, made changes or added comments, and saved the weakness.
	Sent to Echelon 1 by FMO Admin	The FMO has returned the weakness to the Echelon 1 command for review. Check the "Notes" box of

<b>Echelon 1 - New Weaknesses</b>		
<b>ACTION</b>	<b>STATUS</b>	<b>EXPLANATION</b>
		the form for comments from the FMO.
Submit new weakness to FMO.	Item Added to Final Document (Read-Only)	The FMO has selected the weakness for inclusion in the DON's Statement of Assurance.

## Prior Period Weaknesses

The Prior Period Weaknesses tab allows you to view a list of uncorrected prior period weaknesses and a list of corrected weaknesses. It also allows you to update prior period weaknesses and change them from uncorrected to corrected status. Click on the “Prior Period Weaknesses” tab to perform these functions.



Uncorrected Prior Period Weaknesses

After you click on the Prior Period Weaknesses tab, you will first see a table listing all uncorrected prior period weaknesses. All uncorrected prior period weaknesses that you created in prior years or were sent to you by your subordinate command (Echelon 1 and Echelon 2 commands only) are listed here. The table tells you such information as the weakness title, who created it and when, the status of the weakness, and whether it has been modified or not (“Altered”).

To View an Uncorrected Prior Period Weakness

To view an uncorrected prior period weakness, click on the title listed in the table.

of the Navy  
f Assurance

Home | FAQs | User Guide | Messages | Feedback | Logout

New Weaknesses | **Prior Period Weaknesses** | Accomplishments | Certification

Current User:  
FMO  
FMO FMO

Current FY:  
2004

Uncorrected | Corrected

Below are all the uncorrected prior period weaknesses associated with your account. Click on the hyperlink in the "Title" column to view or edit a prior period weakness. Click the check box in the "Select" and click the appropriate button. You may also print this table using the "Print Table" button at the bottom of the page.

Title ▼	Created By ▼	Created Date ▼	Status ▼	Altered? ▼	Select
<a href="#">Government Travel Charge ...</a>	FMO, FMO	11-14-2002 10:58:08	Pending with Echelon 2	Y	<input type="checkbox"/>
<a href="#">Accuracy of Financial Sta...</a>	FMO, FMO	11-18-2002 12:15:01	Pending with Echelon 2	Y	<input type="checkbox"/>

Send To Echelon 1 | Send To Echelon 3 | Print Above Table

The weakness will appear in a prior period weakness form. You may begin updating the data that appears. Please complete all fields before submitting the weakness. Key fields that typically need to be updated are the sources, milestones, and contact information. Please ensure that you have reviewed these fields and made any necessary updates. Remember to save your work.

Department of the Navy  
Statement of Assurance

[Home](#) | [FAQs](#) | [User Guide](#) | [Messages](#) | [Feedback](#) | [Logout](#)

**Skip To:**

- [Description of Material Weakness](#)
- [Pace of Corrective Action](#)
- [Funding to Correct Weakness](#)
- [Correction of Weakness](#)
- [Source of Weakness](#)
- [Major Milestones in Corrective Action](#)
- [Contact Information](#)

New Weaknesses
Prior Period Weaknesses
Accomplishments
Certification

**Current User:**  
FMO  
FMO FMO

**Current FY:**  
2004

**Form Status:**  
Pending with  
Echelon 2

**Created:**  
FMO FMO  
FMO  
11-18-2002

**Modified:**  
Jaheda Guliwala  
FMO - MAIN  
10-18-2003

**Current Owner:**  
FMO

**Prior Period Weakness Form**
[Save Form](#)

[Return to List](#) | [Print Page](#) | [Export Page](#)

Use the following form to enter new weakness information. Fields highlighted in \* red text are required. Please make an effort to fill out the form as accurately and completely as possible.

### Description of Material Weakness

\* **Title of Weakness** 68 /100 Characters Remaining

Accuracy of Financial Statements

**Description of Weakness** 3664 /5000 Characters Remaining

For the DON GF, the lack of an integrated transaction-driven general ledger accounting system has contributed to this material weakness. Balances could not always be reconciled to detailed accounting records due to poor general ledger controls and lack of sufficient audit trails. For the MWCF, numerous weaknesses relate to recording of selected assets and liabilities, reconciling records, timely disposing of excess assets, and requesting the appropriate write off authority. In summary the management control weakness consists of inconsistent, financial

**Functional Category** 5000 /5000 Characters Remaining

Select a category: None Selected Enter category notes

**Justification** 5000 /5000 Characters Remaining

Select one or more justification(s): None Selected Enter justification notes

Actual or potential loss of resources

[Go To Top](#)

### Pace of Corrective Action

**Year Identified** FY 1993/97

**Original Targeted Correction Date** 4th Qtr, FY 1998

At the bottom of the form, you can change the status of the weakness from uncorrected to corrected. The last field asks, “Has this prior period weakness been corrected?” If you choose, “Yes, this prior period weakness has been corrected” and press the save button, the weakness will move from the uncorrected prior period weaknesses table to the corrected weaknesses table. The next section discusses corrected weaknesses in greater detail. If you select “No, this prior period weakness has not been corrected,” the weakness will remain in the uncorrected weaknesses table.



The screenshot shows a web form interface. On the left is a dark blue vertical sidebar. The main content area has a light blue header bar. Below the header, the text "Has this Prior Period Weakness Been Corrected?" is displayed in a dark blue font, followed by a small yellow shield icon. Below the text is a dropdown menu with a white background and a dark border. The menu is currently open, showing two options: "No" and "Yes". The "No" option is selected and highlighted with a dark blue background. The rest of the form area below is a solid dark blue horizontal bar.

Table of Uncorrected Prior Period Weaknesses

After you have finished updating a prior period weakness and have saved it, you will be taken back to the Uncorrected Prior Period Weaknesses table which will list all uncorrected weaknesses from prior years. If you are an Echelon 1 or Echelon 2 command, this table will also list weaknesses that are sent up to you from subordinate command(s).

The table allows you to send a weakness up to your reporting command. To do this, select the weakness(es) by clicking on the box to the right under the “Select” column. A checkmark will appear in the box when selected. Then click on the appropriate button below the table.

of the Navy  
f Assurance

Home | FAQs | User Guide | Messages | Feedback | Logout

New Weaknesses | **Prior Period Weaknesses** | Accomplishments | Certification

Uncorrected | Corrected

Below are all the uncorrected prior period weaknesses associated with your account. Click on the hyperlink in the "Title" column to view or edit a prior period weakness. Click the check box in the "Select" and click the appropriate button. You may also print this table using the "Print Table" button at the bottom of the page.

Title ▼	Created By ▼	Created Date ▼	Status ▼	Altered? ▼	Select
<a href="#">Government Travel Charge...</a>	FMO, FMO	11-14-2002 10:58:08	Pending with Echelon 2	Y	<input type="checkbox"/>
<a href="#">Accuracy of Financial Sta...</a>	FMO, FMO	11-18-2002 12:15:01	Pending with Echelon 2	Y	<input type="checkbox"/>

Send To Echelon 1 | Send To Echelon 3 | Print Above Table

Current User:  
FMO  
FMO FMO

Current FY:  
2004

You will still see the weakness but the status will change to “Sent to Echelon”. The document now becomes read-only—you will still be able view it but you will be unable to make any changes.

Echelon 1 and Echelon 2 commands may also send weaknesses back down to subordinate commands so long as it was created by the subordinate command. Select the weakness sent to you from a subordinate command by clicking on the box to the right under the “Select” column. Then click on the “Send to Echelon” button. The weakness is removed from the list and is not visible to you after it is sent down. It is visible to the subordinate command to whom it was sent down.

The following table lists the different actions that you may take and the status that will appear for uncorrected prior period weaknesses. There is a table for each type of user.

<b>Echelon 3 - Uncorrected Prior Period Weaknesses</b>			
<b>ACTION</b>	<b>STATUS</b>	<b>ALTERED</b>	<b>EXPLANATION</b>
Review weakness and select "No Changes Necessary"	Pending with Echelon 3	"N" will be displayed for no meaning that you have made no changes to the weakness.	You may continue to view and edit the weakness.
Review weakness and save changes.	Pending with Echelon 3	"Y" will be displayed for yes meaning that you have made changes to the weakness.	You may continue to view and edit the weakness.
Submit weakness to Echelon 2 command	<p>Sent to Echelon 2 (Read-Only)</p> <p>Pending with Echelon 2 (Read-Only)</p> <p>Sent to Echelon 3</p>	<p>If the Echelon 2 command makes a change to the weakness submitted and saves it, the altered column will display a "Y" for yes.</p>	<p>You may view new weakness but you cannot edit it.</p> <p>The Echelon 2 command has reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The Echelon 2 command returned the weakness to you for review. Check the "Notes" box of the form for comments from the Echelon 2 command.</p>

<b>Echelon 3 - Uncorrected Prior Period Weaknesses</b>			
<b>ACTION</b>	<b>STATUS</b>	<b>ALTERED</b>	<b>EXPLANATION</b>
Submit weakness to Echelon 2 command	Item Added to Final Document (Read-Only)	N/A	The FMO has selected including the weakness for inclusion in the DON's Statement of Assurance.

<b>Echelon 2 - Uncorrected Prior Period Weaknesses</b>			
<b>ACTION</b>	<b>STATUS</b>	<b>ALTERED</b>	<b>EXPLANATION</b>
Review weakness and select "No Changes Necessary"	Pending with Echelon 2	"N" will be displayed for no meaning that you have made no changes to the weakness.	You may continue to view and edit the weakness.
Review and save changes.	Pending with Echelon 2	"Y" will be displayed for yes meaning that you have made changes to the weakness.	You may continue to view and edit the weakness.
N/A	Sent to Echelon 2		An Echelon 3 has sent you a weakness. You may edit and save the weakness. When you save the weakness, the status will change to Pending with Echelon 2 and you may continue to edit the document.
Edit or add comments to a weakness and send back down to the	Sent to Echelon 3 (Read-Only)	"Y" will be displayed for yes meaning that	The Echelon 3 command now has access to the document.

Echelon 2 - Uncorrected Prior Period Weaknesses			
ACTION	STATUS	ALTERED	EXPLANATION
Echelon 3 command.		you have made changes to the weakness.	You have read-only access to the document and may not make any changes.
Submit weakness to Echelon 1 command	<p>Sent to Echelon 1 (Read –Only)</p> <p>Pending with Echelon 1 (Read-Only)</p> <p>Sent to Echelon 2</p>	<p>If the Echelon 1 command makes a change to the weakness submitted and saves it, the altered column will display a “Y” for yes.</p>	<p>You may view new weakness but you cannot edit it.</p> <p>The Echelon 1 command has reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The Echelon 1 command returned the weakness to you for review. Check the “Notes” box of the form for comments from the Echelon 1 command.</p>
Submit weakness to Echelon 1 command	Item Added to Final Document (Read-Only)	N/A	The FMO has selected including the weakness for inclusion in the DON’s Statement of Assurance.

Echelon 1 - Uncorrected Prior Period Weaknesses			
ACTION 1	STATUS	ALTERED	EXPLANATION and/or ACTION 2
Review weakness and select “No Changes Necessary”	Pending with Echelon 1	“N” will be displayed for no meaning that you have made no changes to the weakness.	You may continue to view and edit the weakness.
Review and save changes	Pending with Echelon 1	“Y” will be displayed for yes meaning that you have made changes to the weakness.	You may continue to view and edit the weakness.
N/A	Sent to Echelon 1		An Echelon 2 has sent you a weakness. You may edit and save the weakness. When you save the weakness, the status will change to Pending with Echelon 1 and you may continue to edit the document.
Edit or add comments to a weakness and send back down to the Echelon 2 command.	Sent to Echelon 2 (Read-only)	“Y” will be displayed for yes meaning that you have made changes to the weakness.	The Echelon 2 command now has access to the documents. You have read-only access to the document and may not make any changes.
Submit weakness to FMO	Sent to FMO (Read – Only)  Pending with FMO (Read-Only)	If the FMO makes a change to the weakness submitted and saves it, the altered column will display a	You may view new weakness but you cannot edit it.  The FMO reviewed the weakness, made changes or added comments, and saved the weakness.

Echelon 1 - Uncorrected Prior Period Weaknesses			
ACTION 1	STATUS	ALTERED	EXPLANATION and/or ACTION 2
	Sent to Echelon 1 by FMO Admin	“Y” for yes.	The FMO returned the weakness to you for review. Check the “Notes” box of the form for comments from the FMO.
Submit weakness to FMO	Item Added to Final Document (Read-Only)	N/A	The FMO has selected the weakness for inclusion in the DON’s Statement of Assurance.

Corrected Prior Period Weaknesses

Table of Corrected Weaknesses

Once you have changed the status of a weakness from uncorrected to corrected, it will be moved to the “Corrected” Prior Period Weaknesses table. This table also lists corrected weaknesses sent to you by subordinate commands (Echelon 1 and 2 commands only). The Corrected Prior Period Weaknesses table contains all the same features as the Uncorrected table. Click on the “Corrected” tab in Prior Period Weaknesses to use these features.

Department of the Navy  
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New Weaknesses | **Prior Period Weaknesses** | Accomplishments | Certification

Uncorrected | **Corrected**

Corrected in Fiscal Year: 2004

Below are all the corrected prior period weaknesses associated with your account. Click on the hyperlink in the "Title" column to view or edit a prior period weakness. Click the check box in the "Select" and click the appropriate button. You may also print this table using the "Print Table" button at the bottom of the page.

Title ▼	Created By ▼	Created Date ▼	Status ▼	Altered? ▼	Select
<a href="#">Government Travel Charge...</a>	FMO, FMO	11-14-2002 10:58:08	Pending with Echelon 2	Y	<input type="checkbox"/>

Send To Echelon 1 | Send To Echelon 3 | Print Above Table

Current User:  
FMO  
FMO FMO

Current FY:  
2004

To View a Corrected Weakness

To view a corrected prior period weakness, click on the title listed in the table.

The screenshot shows the 'Department of the Navy Statement of Assurance' web application. The page has a blue header with navigation links: Home, FAQs, User Guide, Messages, Feedback, and Logout. Below the header are tabs for 'New Weaknesses', 'Prior Period Weaknesses', 'Accomplishments', and 'Certification'. The 'Prior Period Weaknesses' tab is active, and within it, the 'Corrected' sub-tab is selected. A dropdown menu for 'Corrected in Fiscal Year' is set to '2004'. A text box explains that the table below lists corrected prior period weaknesses and provides instructions on how to view or edit them. The table has columns for Title, Created By, Created Date, Status, Altered?, and Select. The first row shows a weakness titled 'Government Travel Charge...' with a status of 'Pending with Echelon 2'. The 'Title' column is circled in red. At the bottom of the table are buttons for 'Send To Echelon 1', 'Send To Echelon 3', and 'Print Above Table'. On the right side of the page, the current user is identified as 'FMO FMO' and the current fiscal year is '2004'.

Title ▼	Created By ▼	Created Date ▼	Status ▼	Altered? ▼	Select
<a href="#">Government Travel Charge...</a>	FMO, FMO	11-14-2002 10:58:08	Pending with Echelon 2	Y	<input type="checkbox"/>

The weakness will appear in a Prior Period Weakness form. Most likely, you have already updated the weakness when it was in the Uncorrected Prior Period Weaknesses table. You may still update it after it is moved to the Corrected Prior Period Weaknesses table. Please complete all fields before submitting the weakness. Key fields that typically need to be updated are the sources, milestones, and contact information. Remember to save your work.

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**Skip To:**

- [Description of Material Weakness](#)
- [Pace of Corrective Action](#)
- [Funding to Correct Weakness](#)
- [Correction of Weakness](#)
- [Source of Weakness](#)
- [Major Milestones in Corrective Action](#)
- [Contact Information](#)

New Weaknesses
Prior Period Weaknesses
Accomplishments
Certification

**Prior Period Weakness Form**

[Return to List](#) | [Print Page](#) | [Export Page](#)
Save Form

Use the following form to enter new weakness information. Fields highlighted in \* red text are required. Please make an effort to fill out the form as accurately and completely as possible.

**Description of Material Weakness**

\* **Title of Weakness** 70 /100 Characters Remaining

**Description of Weakness** 4299 /5000 Characters Remaining

**Functional Category** 5000 /5000 Characters Remaining

Select a category:  Enter category notes

**Justification** 5000 /5000 Characters Remaining

Select one or more justification(s):  Enter justification notes

**Pace of Corrective Action** [Go To Top](#)

**Year Identified** FY 2002

**Original Targeted Correction Date** 4th Qtr, FY 2004

**Current User:**  
FMO  
FMO FMO

**Current FY:**  
2004

**Form Status:**  
Pending with  
Echelon 2

**Created:**  
FMO FMO  
FMO  
11-14-2002

**Modified:**  
FMO FMO  
FMO  
11-21-2003

**Current Owner:**  
FMO

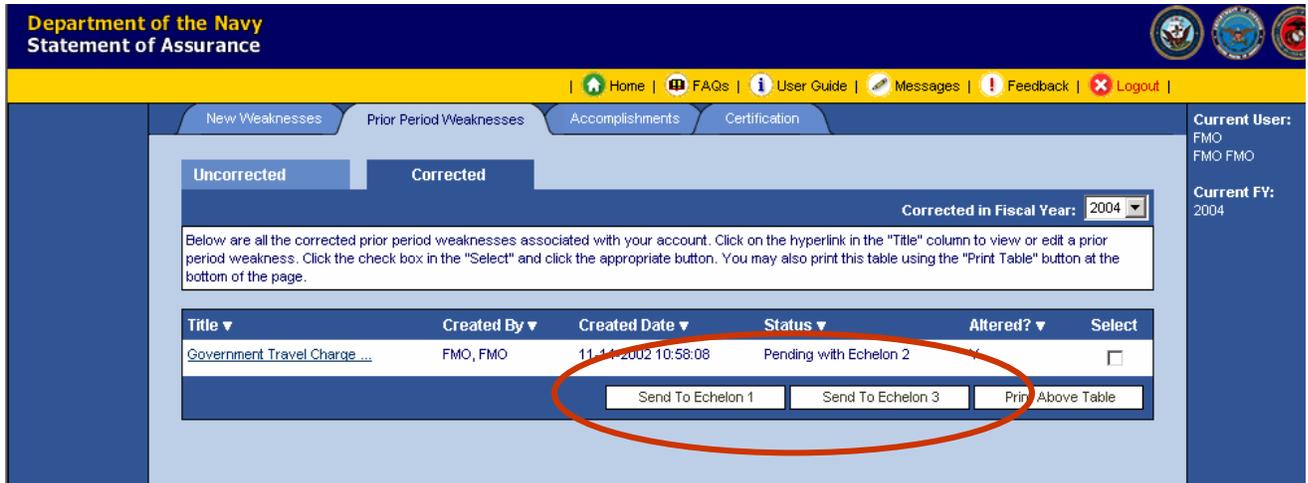
At the bottom of the form, you can change the status of the weakness from corrected back to uncorrected. The last field asks, “Has this prior period weakness been corrected?” If you choose, “No, this prior period weakness has not been corrected” and press the save button, the weakness will move from the Corrected Prior Period Weaknesses table back to the Uncorrected Prior Period Weaknesses table.



The image shows a screenshot of a web form. On the left is a dark blue vertical sidebar. The main content area has a light blue header bar. Below the header, the text "Has this Prior Period Weakness Been Corrected?" is displayed in a dark blue font, followed by a small yellow icon with a question mark. Below this text is a dropdown menu. The dropdown menu is currently open, showing three options: "Yes" (selected), "No", and "Yes". The background of the form area is a light blue gradient.

Once you have updated and saved the corrected weakness, you will be taken back to the Corrected Prior Period Weaknesses table, which will list all corrected weaknesses. If you are an Echelon 1 or Echelon 2 command, this table will also list weaknesses received from subordinate command(s).

The table allows you to send a weakness up to your reporting command. To do this, select the weakness(es) by clicking on the box to the right under the “Select” column. A checkmark will appear in the box when selected. Then click on the appropriate button below the table.



You will still see the weakness but the status will change to “Sent to Echelon”. The document now becomes read-only—you will still be able view it but you will be unable to make any changes.

Echelon 1 and Echelon 2 commands may also send weaknesses back down to subordinate commands so long as it was created by the subordinate command. Select the weakness sent to you from a subordinate command by clicking on the box to the right, under the “Select” column. Then click on the “Send to Echelon” button. The weakness is removed from the list and is not visible to you after it is sent down. It is visible to the subordinate command to whom it was sent down.

The following table lists the different actions that you may take and the status that will appear for corrected weaknesses. There is a table for each type of user.

<b>Echelon 3 - Corrected Weaknesses</b>			
<b>ACTION 1</b>	<b>STATUS</b>	<b>ALTERED</b>	<b>EXPLANATION and/or ACTION 2</b>
Review and save the weakness	Pending with Echelon 3	“Y” will be displayed for yes because a change has been made---from uncorrected to corrected status.	You may continue to view and edit the weakness.
Submit weakness to Echelon 2 command	Sent to Echelon 2 (Read-Only)  Pending with Echelon 2 (Read-Only)  Sent to Echelon 3	If the Echelon 2 command makes a change to the weakness submitted and saves it, the altered column will display a “Y” for yes.	You may view new weakness but you cannot edit it.  The Echelon 2 command has reviewed the weakness, made changes or added comments, and saved the weakness.  The Echelon 2 command returned the weakness to you for changes. Check the “Notes” box of the form for comments from the Echelon 2 command.
Submit weakness to Echelon 2 command	Item Added to Final Document (Read-Only)	N/A	The FMO has selected the weakness for inclusion in the DON’s Statement of Assurance.

<b>Echelon 2 - Corrected Weaknesses</b>			
<b>ACTION 1</b>	<b>STATUS</b>	<b>ALTERED</b>	<b>EXPLANATION and/or ACTION 2</b>
Review and save the weakness	Pending with Echelon 2	“Y” will be displayed for yes because a change has been made---from uncorrected to corrected status.	You may continue to view and edit the weakness.
N/A	Sent to Echelon 2		An Echelon 3 has sent you a weakness. You may edit and save the weakness. When you save the weakness, the status will change to Pending with Echelon 2 and you may continue to edit the document.
Edit or add comments to a weakness and send back down to the Echelon 3 command.	Sent to Echelon 3 (Read-Only)		The Echelon 3 command now has access to the document. You have read-only access to the document and may not make changes.
Submit weakness to Echelon 1 command	Sent to Echelon 1 (Read-Only)  Pending with Echelon 1 (Read-Only)  Sent to Echelon 2	If the Echelon 1 command makes a change to the weakness submitted and saves it, the altered column will display a “Y” for yes.	You may view new weakness but you cannot edit it.  The Echelon 1 command has reviewed the weakness, made changes or added comments, and saved the weakness.  The Echelon 1 command returned the weakness to you for changes. Check the

Echelon 2 - Corrected Weaknesses			
ACTION 1	STATUS	ALTERED	EXPLANATION and/or ACTION 2
			“Notes” box of the form for comments from the Echelon 1 command.
Submit weakness to Echelon 1 command	Item Added to Final Document (Read-Only)	N/A	The FMO has selected the weakness for inclusion in the DON’s Statement of Assurance.

Echelon 1 - Corrected Weaknesses			
ACTION 1	STATUS	ALTERED	EXPLANATION and/or ACTION 2
Review and save the weakness.	Pending with Echelon 1	“Y” will be displayed for yes because a change has been made—from uncorrected to corrected status.	You may continue to view and edit the weakness.
N/A	Sent to Echelon 1		An Echelon 2 has sent you a weakness. You may edit and save the weakness. When you save the weakness, the status will change to Pending with Echelon 1 and you may continue to edit the document.
Edit or add comments to a weakness and send back down to the Echelon 2 command.	Sent to Echelon 2 (Read-only)		The Echelon 2 command now has access to the documents. You have read-only access to the document and may not

Echelon 1 - Corrected Weaknesses			
ACTION 1	STATUS	ALTERED	EXPLANATION and/or ACTION 2
			make any changes.
Submit weakness to FMO	<p>Sent to FMO (Read – Only)</p> <p>Pending with FMO (Read-Only)</p> <p>Sent to Echelon 1 by FMO Admin</p>		<p>You may view new weakness but you cannot edit it.</p> <p>The FMO reviewed the weakness, made changes or added comments, and saved the weakness.</p> <p>The FMO returned the weakness to you for review. Check the “Notes” box of the form for comments from the FMO.</p>
Submit weakness to FMO	Item Added to Final Document (Read-Only)	N/A	The FMO has selected the weakness for inclusion in the DON’s Statement of Assurance.

## Accomplishments

The Accomplishments tab allows you to add a new accomplishment and view the listing of your accomplishments. Click on the “Accomplishments” tab to perform these functions.



Add Accomplishments

To add an accomplishment, click on the “Add New Accomplishment” link on the top left-hand corner of the Accomplishments screen.

The screenshot shows the 'Accomplishments' section of the Department of the Navy Statement of Assurance system. The page header includes the Department of the Navy logo and navigation links for Home, FAQs, User Guide, Messages, Feedback, and Logout. The main navigation bar contains tabs for New Weaknesses, Prior Period Weaknesses, Accomplishments, and Certification. The 'Accomplishments' tab is active, and the 'Add New Accomplishment' link is highlighted with a red circle. Below the link, there is a 'Selected Fiscal Year' dropdown menu set to 2004. A text box provides instructions on how to view, edit, delete, or print accomplishments. Below this is a table with columns for Title, Created By, Created Date, Status 2004, and Select. The table currently displays 'No records were found.'

Title ▼	Created By ▼	Created Date ▼	Status 2004 ▼	Select
No records were found.				

A blank form will appear. To begin entering data, simply type in the text boxes provided for each section of the Accomplishment Form. Please complete all fields before submitting the accomplishment. Remember to save your work.

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New Weaknesses | Prior Period Weaknesses | **Accomplishments** | Certification

**Accomplishment Form** [ Return to List ] Save Form

Use the following form to enter accomplishment information. Fields highlighted in \* red text are required. Please make an effort to fill out the form as accurately and completely as possible. Please complete all fields below before you send the form to the next echelon.

\* **Title of Accompliment** 100 / 100 Characters Remaining

**Description of Issue** 5000 / 5000 Characters Remaining

**Description of Accomplishment** 5000 / 5000 Characters Remaining

**Functional Category:** 5000 / 5000 Characters Remaining

Select category: None Selected Enter category notes:

**Point of Contact** 5000 / 5000 Characters Remaining

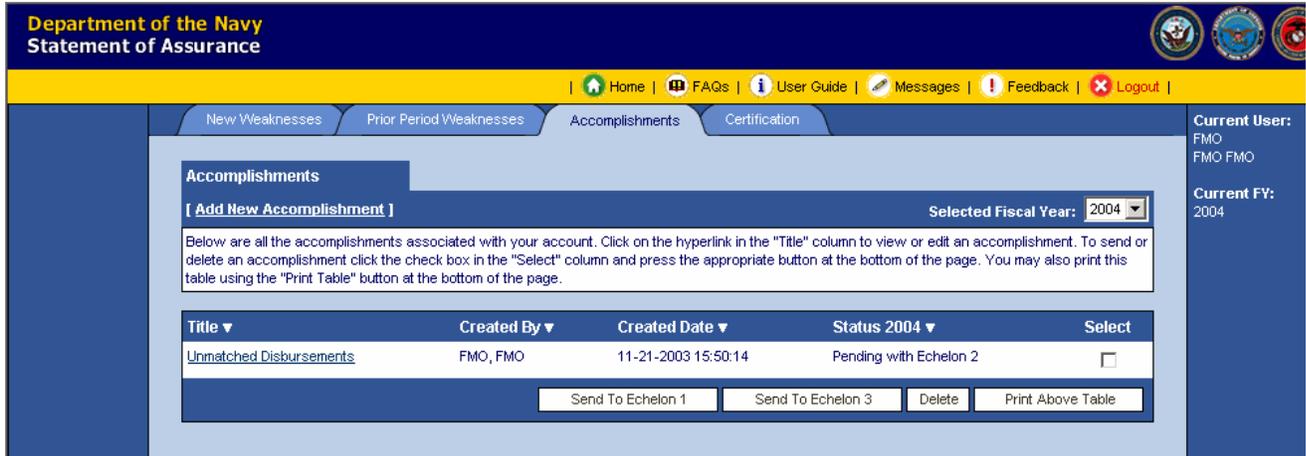
\* **Approver** 5000 / 5000 Characters Remaining

**Current User:**  
FMO  
FMO FMO

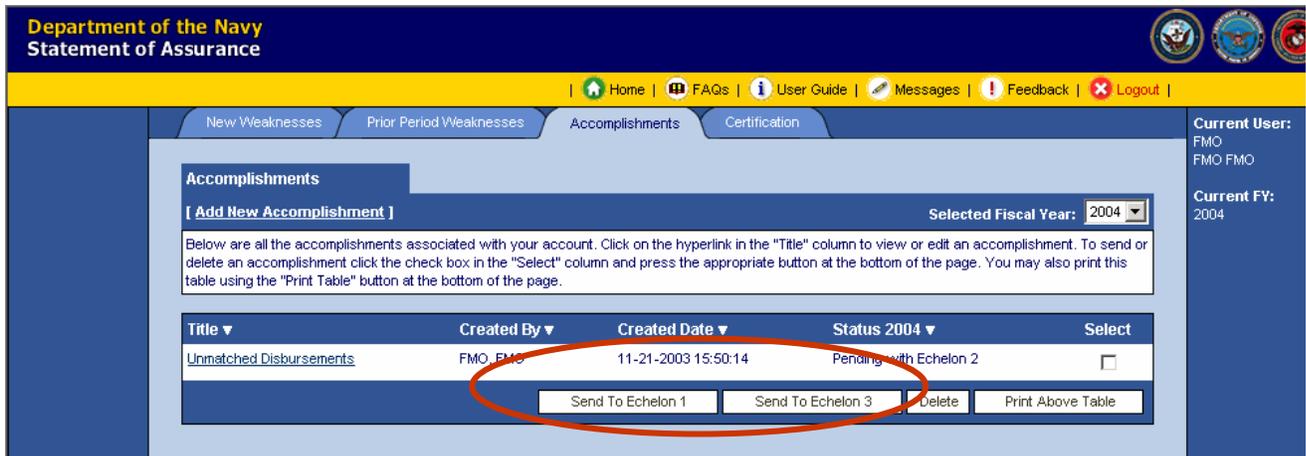
**Current FY:**  
2004

*Table of Accomplishments*

After you have entered in an accomplishment and saved the form you will be taken back to the Accomplishments table. The table lists new accomplishments that you have created and saved. If you are an Echelon 1 or Echelon 2 command, this table will also list accomplishments received from subordinate command(s). The table will tell you such information as the accomplishment title, who created it and when and the status of the accomplishment. To view the accomplishment, click on the title.



Note to Echelon 1 and Echelon 2 commands: Please review the accomplishments sent to you by your subordinate commands. Click on the title to open the form, then make any necessary changes, and save the document.



The table allows you to delete an accomplishment and send it up to your reporting command. Echelon 1 and Echelon 2 commands may also send accomplishments back down to your subordinate command. To do this, select the accomplishment(s) by clicking on the box to the right, under the "Select" column. A checkmark will appear in the box when selected. Then click

on the appropriate button below the table. When you send an accomplishment down, it will be removed from the list. It will not be visible to your command but will appear on the command's list to which the weakness was sent.

If you send an accomplishment up, you will still see the accomplishment in the table, but the status will change to "Sent to Echelon (Read-Only)". The document now becomes read-only—you will still be able view it but you will be unable to make any changes.

If you delete an accomplishment, it is removed from the list.

Note: You will be permitted to delete only accomplishments that have been entered into the Tool by your command.

The following table lists the different actions that you may take and the status that will appear for accomplishments. There is a table for each type of user.

<b>Echelon 3 - Accomplishments</b>		
<b>ACTION 1</b>	<b>STATUS</b>	<b>EXPLANATION and/or ACTION 2</b>
Create and save accomplishment	Pending with Echelon 3	You may continue to view and edit the accomplishment.
Submit accomplishment to Echelon 2 command	<p>Sent to Echelon 2 (Read –Only)</p> <p>Pending with Echelon 2 (Read-Only)</p> <p>Sent to Echelon 3</p>	<p>You may view new accomplishment but you cannot edit it</p> <p>The Echelon 2 command has reviewed the accomplishment, made changes or added comments, and saved the accomplishment.</p> <p>The Echelon 2 command has returned the accomplishment to the Echelon 3 for changes. Check the “Notes” box of the form for comments from the Echelon 2 command.</p>
Submit accomplishment to Echelon 2 command	Item Added to Final Document (Read-Only)	The FMO has selected the accomplishment for inclusion in the DON’s Statement of Assurance.

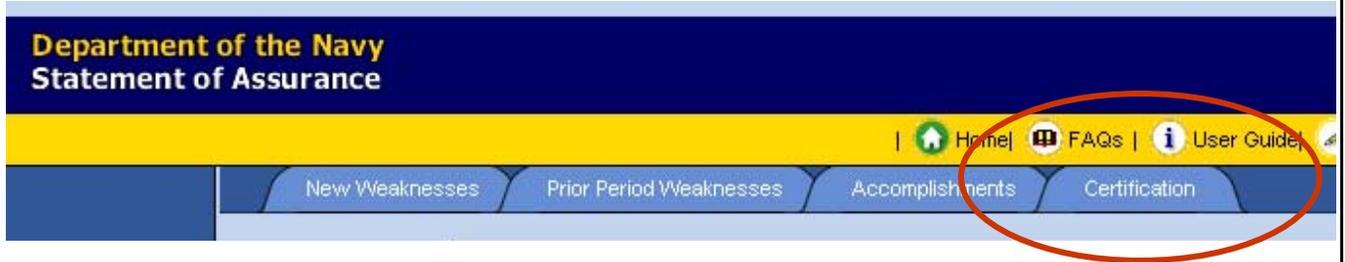
<b>Echelon 2 - Accomplishments</b>		
<b>ACTION 1</b>	<b>STATUS</b>	<b>EXPLANATION and/or ACTION 2</b>
Create and save accomplishment	Pending with Echelon 2	You may continue to view and edit the

<b>Echelon 2 - Accomplishments</b>		
<b>ACTION 1</b>	<b>STATUS</b>	<b>EXPLANATION and/or ACTION 2</b>
		accomplishment.
N/A	Sent to Echelon 1	An Echelon 2 command has submitted an accomplishment to you. You may view and edit the accomplishment.
Edit or add comments to an accomplishment and send back down to the Echelon 2 command.	Sent to Echelon 2 (Read-only)	The Echelon 2 command now has access to the documents. You have read-only access to the document and may not make any changes.
Submit accomplishment to Echelon 1 command	Sent to Echelon 1 (Read –Only)  Pending with Echelon 1 (Read-Only)  Sent to Echelon 2	You may view new accomplishment but you cannot edit it  The Echelon 1 command has reviewed the accomplishment, made changes or added comments, and saved the accomplishment.  The Echelon 1 command has returned the accomplishment to the Echelon 2 for changes. Check the “Notes” box of the form for comments from the Echelon 1 command.
Submit accomplishment to Echelon 1 command	Item Added to Final Document (Read-Only)	The FMO has selected the accomplishment for inclusion in the DON’s Statement of Assurance.

<b>Echelon 1 - Accomplishments</b>		
<b>ACTION 1</b>	<b>STATUS</b>	<b>EXPLANATION and/or ACTION 2</b>
Create and save accomplishment	Pending with Echelon 1	You may continue to view and edit accomplishment
N/A	Sent to Echelon 1	An Echelon 2 command has submitted an accomplishment to you. You may view and edit the accomplishment.
Edit or add comments to a accomplishment and send back down to the Echelon 2 command.	Sent to Echelon 2 (Read-only)	The Echelon 2 command now has access to the documents. You have read-only access to the document and may not make any changes.
Submit accomplishment to FMO.	<p>Sent to FMO (Read-Only)</p> <p>Pending with FMO (Read-Only)</p> <p>Sent to Echelon 1 by FMO Admin</p>	<p>You may view accomplishment but you cannot edit it.</p> <p>The FMO reviewed the accomplishment, made changes or added comments, and saved the accomplishment.</p> <p>The FMO has returned the accomplishment to the Echelon 1 command for review. Check the “Notes” box of the form for comments from the FMO.</p>
Submit accomplishment to FMO.	Item Added to Final Document (Read-Only)	The FMO has selected the accomplishment for inclusion in the DON’s Statement of Assurance.

## Certification Statement

To create your certification statement, click on the Certification tab.



The screen will open to the “Certifications Sent” tab. Click on the link, “Create Certification” at the top left-hand corner of the screen.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | **Certification**

**Certifications Sent** | Certifications Received

[ Create Certification ]

Please adhere to the following steps in producing your Certification Statement for the current fiscal year:

**Step 1:** If you have not created a statement, use the "Create Certification" link above to create one. Only one statement may be created per command. You may also open and edit or view your Certification Statement form before sending it, by clicking on the "Title" hyperlink in the "Certification Statement" box below. You may also export your statement and relevant enclosures to (a) MS Word, (b) Print the document or (c) Save it to your hard drive.

**Step 2:** Hyperlinks to your enclosures (i.e. material weaknesses and accomplishments) are included below. Here you will only see the documents that you have submitted up to your upper or reporting Echelon. Please note that you are responsible for clicking on each one, printing them out, and including it with your hard-copy Certification Statement submission.

**Step 3:** Use the check box to select the certification and click the appropriate button to submit your Certification Statement to your upper or reporting Echelon. Please note that you are still responsible for submitting your hard copy Certification Statement and supporting enclosures.

**Certification Statement**

Title	Created By	Created Date	Status 2005	Select
No records were found.				

**New Weaknesses**

Title	Created By	Created Date	Status
No records were found.			

**Prior Period Weaknesses**

Title	Created By	Created Date	Status
Government Travel Charge ...	FMO, FMO	11-14-2002 10:58:08	Sent To FMO Admin

**Accomplishments**

Title	Created By	Created Date	Status
No records were found.			

**Current User:**  
FMO  
FMO FMO

**Current FY:**  
2005

A series of questions will appear. The Tool will generate your certification statement based on how you answer the questions. You must provide the name of the person who will sign the statement before the system can create the document. When you are finished, press the “Save Form” button.

**Certification Form**

[Previous Page](#) | [Weakness Encl.](#) | [Prior Weakness Encl.](#) | [Accomplishments Encl.](#)

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1. Has your organization evaluated its management controls in effect during the fiscal year, in accordance with SECNAVINST 5200.35D, "Department of the Navy Management Control Program," 10 December 1997? (Yes/No)

Yes  No

---

2. Please select one of the following certification statements that most accurately reflects your organization's assurance of the effectiveness of its management controls:

I have reasonable assurance that management controls are in place and operating effectively and the objectives of the Federal Manager's Financial Integrity Act were achieved.

I have reasonable assurance that management controls are in place and operating effectively, except for the material weaknesses reported, and the objectives of the Federal Manager's Financial Integrity Act were achieved.

I do not have reasonable assurance that management controls are in place and operating effectively, and the objectives of the Federal Manager's Financial Integrity Act were not achieved.

---

3. How did you determine your level of assurance? (Select all that apply.)

Management reviews

Audits

Inspections

Investigations

Knowledge gained from daily operations of programs and functions

Lower level subordinate commands' Management Control Certification Statements

Other management information

---

4. Do you have any management control related accomplishments from the fiscal year that you would like to report? Yes  No

---

5. Please provide the name and title of person signing this statement.

First Name	M.I.	Last Name	Title

From this page, you may view and print the weaknesses and accomplishments that you are submitting up with your certification statement by clicking on the links above the form: “Weakness Encl. | Prior Weakness Encl. | Accomplishments Encl.” However, it is recommended that you save your answers to the questionnaire first before navigating away from the page. You will also have another opportunity to view and print these weaknesses and accomplishments from the certification tab.

Selecting the Previous Page link will take you back to the previous page without saving your changes.

Once you have completed the questionnaire and saved it, you will be taken back to the Certifications Sent page. There you will see a link to your saved statement. You will also see who created it, when, and the status of the statement.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

**Certifications Sent** | Certifications Received

Please adhere to the following steps in producing your Certification Statement for the current fiscal year:

**Step 1:** If you have not created a statement, use the "Create Certification" link above to create one. Only one statement may be created per command. You may also open and edit or view your Certification Statement form before sending it, by clicking on the "Title" hyperlink in the "Certification Statement" box below. You may also export your statement and relevant enclosures to (a) MS Word, (b) Print the document or (c) Save it to your hard drive.

**Step 2:** Hyperlinks to your enclosures (i.e. material weaknesses and accomplishments) are included below. Here you will only see the documents that you have submitted up to your upper or reporting Echelon. Please note that you are responsible for clicking on each one, printing them out, and including it with your hard-copy Certification Statement submission.

**Step 3:** Use the check box to select the certification and click the appropriate button to submit your Certification Statement to your upper or reporting Echelon. Please note that you are responsible for submitting your hard copy Certification Statement and supporting enclosures.

Title	Created By	Created Date	Status 2005	Select
<a href="#">Memorandum for ASN (FM&amp;C)</a>	FMO, FMO	12-01-2003 09:36:23	Pending with Echelon 2	<input type="checkbox"/>

Send To Echelon 1

**New Weaknesses**

Title	Created By	Created Date	Status
No records were found.			

**Prior Period Weaknesses**

Title	Created By	Created Date	Status
<a href="#">Government Travel Charge ...</a>	FMO, FMO	11-14-2002 10:58:08	Sent To FMO Admin

**Accomplishments**

Title	Created By	Created Date	Status
No records were found.			

Current User:  
FMO  
FMO FMO

Current FY:  
2005

When you are ready to submit your certification statement, click on the box under the Select column and then press the "Send to Echelon" button. Your statement becomes read-only.

If you are not ready to submit and you would like to view and/or edit your saved statement, click on the title.

The questionnaire will open with your saved responses. You may also export it into Word by clicking on the Export Cert. link at the top of the questionnaire.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

**Certification Form**

[ Previous Page | **Export Cert.** | Weakness Encl. | Prior Weakness Encl. | Accomplishments Encl. ] Save Form

1. Has your organization evaluated its management controls in effect during the fiscal year, in accordance with SECNAVINST 5200.35D, "Department of the Navy Management Control Program," 10 December 1997? (Yes/No)

Yes  No

2. Please select one of the following certification statements that most accurately reflects your organization's assurance of the effectiveness of its management controls:

I have reasonable assurance that management controls are in place and operating effectively and the objectives of the Federal Manager's Financial Integrity Act were achieved.

I have reasonable assurance that management controls are in place and operating effectively, except for the material weaknesses reported, and the objectives of the Federal Manager's Financial Integrity Act were achieved.

I do not have reasonable assurance that management controls are in place and operating effectively, and the objectives of the Federal Manager's Financial Integrity Act were not achieved.

3. How did you determine your level of assurance? (Select all that apply.)

Management reviews

Audits

Inspections

Investigations

Knowledge gained from daily operations of programs and functions

Lower level subordinate commands' Management Control Certification Statements

Other management information

4. Do you have any management control related accomplishments from the fiscal year that you would like to report? Yes  No

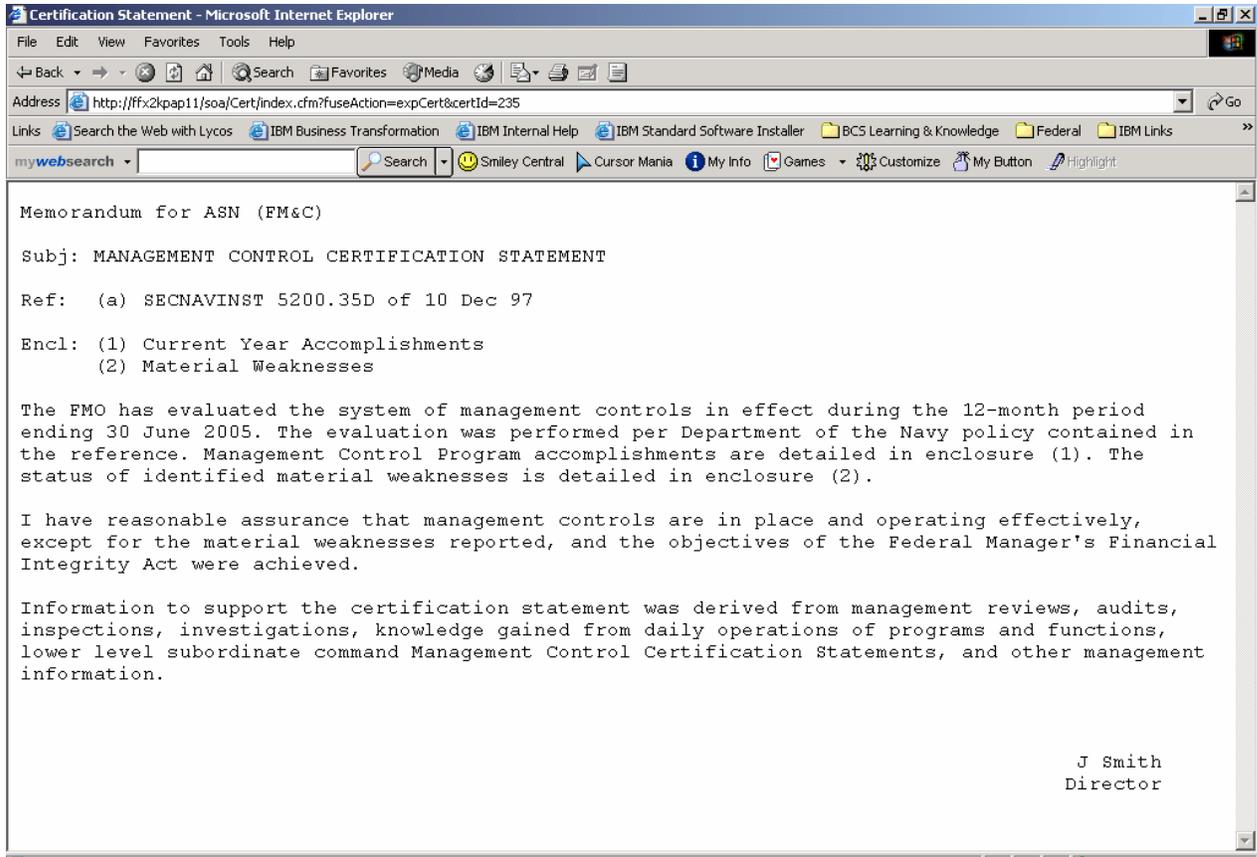
5. Please provide the name and title of person signing this statement.

First Name	M.I.	Last Name	Title
J		Smith	Director

Save Form

Current User: FMO FMO FMO  
Current FY: 2005

The questionnaire is converted into a letter. You may save this onto a disk or your hard drive by clicking on the File menu and selecting save. To go back to the Tool, click the “Back” button of your browser.



You will be taken back to the questionnaire. You may edit the questionnaire at anytime. Press the "Save Form" button when you are finished making changes.

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New Weaknesses
Prior Period Weaknesses
Accomplishments
Certification

**Certification Form**
Save Form

1. Has your organization evaluated its management controls in effect during the fiscal year, in accordance with SECNAVINST 5200.35D, "Department of the Navy Management Control Program," 10 December 1997? (Yes/No)

Yes  No

2. Please select one of the following certification statements that most accurately reflects your organization's assurance of the effectiveness of its management controls:

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I do not have reasonable assurance that management controls are in place and operating effectively, and the objectives of the Federal Manager's Financial Integrity Act were not achieved.

3. How did you determine your level of assurance? (Select all that apply.)

Management reviews	<input checked="" type="checkbox"/>
Audits	<input checked="" type="checkbox"/>
Inspections	<input checked="" type="checkbox"/>
Investigations	<input checked="" type="checkbox"/>
Knowledge gained from daily operations of programs and functions	<input checked="" type="checkbox"/>
Lower level subordinate commands' Management Control Certification Statements	<input checked="" type="checkbox"/>
Other management information	<input checked="" type="checkbox"/>

4. Do you have any management control related accomplishments from the fiscal year that you would like to report? Yes  No

5. Please provide the name and title of person signing this statement.

First Name	M.I.	Last Name	Title
J		Smith	Director

Save Form

At the “Certifications Sent” tab, you may also view New Weaknesses, Prior Period Weaknesses and Accomplishments that have already been sent up. Click on the Title names to view them.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

**Certifications Sent** | Certifications Received

Please adhere to the following steps in producing your Certification Statement for the current fiscal year:

**Step 1:** If you have not created a statement, use the "Create Certification" link above to create one. Only one statement may be created per command. You may also open and edit or view your Certification Statement form before sending it, by clicking on the "Title" hyperlink in the "Certification Statement" box below. You may also export your statement and relevant enclosures to (a) MS Word, (b) Print the document or (c) Save it to your hard drive.

**Step 2:** Hyperlinks to your enclosures (i.e. material weaknesses and accomplishments) are included below. Here you will only see the documents that you have submitted up to your upper or reporting Echelon. Please note that you are responsible for clicking on each one, printing them out, and including it with your hard-copy Certification Statement submission.

**Step 3:** Use the check box to select the certification and click the appropriate button to submit your Certification Statement to your upper or reporting Echelon. Please note that you are still responsible for submitting your hard copy Certification Statement and supporting enclosures.

**Certification Statement**

Title	Created By	Created Date	Status 2005	Select
<a href="#">Memorandum for ASN (FM&amp;C)</a>	FMO, FMO	12-01-2003 09:36:23	Pending with Echelon 2	<input type="checkbox"/>

Send To Echelon 1

**New Weaknesses**

Title	Created By	Created Date	Status
No records were found.			

**Prior Period Weaknesses**

Title	Created By	Created Date	Status
<a href="#">Government Travel Charge ...</a>	FMO, FMO	11-14-2002 10:58:08	Sent To FMO Admin

**Accomplishments**

Title	Created By	Created Date	Status
No records were found.			

**Current User:**  
FMO  
FMO FMO

**Current FY:**  
2005

*View Certifications Received* (For Echelon 1 and Echelon 2 commands only)

You will receive certification statements from subordinate commands that report to you. To view certifications received, click on the Certification tab. You will see two tabs—Certifications Sent and Certifications Received. Click on “Certifications Received”.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

Certifications Sent | Certifications Received

This Certification Statement is in read-only mode. You may view survey form entries and export the Certification Statement and associated enclosures. However, you will not be able to save changes to the form. The Certification Form entries are in read-only mode. You will not be able to save changes to the Form. You may export the Certification Statement and associated enclosures to display your submission.

Title	Created By	Created Date	Status 2005	Select
Memorandum for ASN (FM&C)	FMO, FMO	12-01-2003 09:36:23	Sent to Echelon 1	[read-only]

Send To FMO

Current User:  
ASN (FM&C)  
ASN(FM&C) ASN (FM&C)

Current FY:  
2005

You will see a table listing all certification statements that you have received. The table will also tell you such information as who created the statement, when and the status of the statement. If you have not received any certification statements form subordinate command(s), it will not display any on this screen. Instead, it will state “No records were found” under the Title column.

To view a statement, click on the Title name. The certification statement will appear. The document is in read-only status and you may not edit it. You may also view the enclosed weaknesses and accomplishments the same way.

[Home](#) | [FAQs](#) | [User Guide](#) | [Messages](#) | [Feedback](#) | [Logout](#)

[New Weaknesses](#) | [Prior Period Weaknesses](#) | [Accomplishments](#) | [Certification](#)

**Certification Received**

[Previous Page](#) | [Export Cert.](#) | [Weakness Encl.](#) | [Prior Weakness Encl.](#) | [Accomplishment Encl.](#)

Memorandum for ASN (FM&C)

Subj: MANAGEMENT CONTROL CERTIFICATION STATEMENT

Ref: (a) SECNAVINST 5200.35D of 10 Dec 97

Encl: (1) Current Year Accomplishments  
(2) Material Weaknesses

The FMO has evaluated the system of management controls in effect during the 12-month period ending 30 June 2005. The evaluation was performed per Department of the Navy policy contained in the reference. Management Control Program accomplishments are detailed in enclosure (1). The status of identified material weaknesses is detailed in enclosure (2).

I have reasonable assurance that management controls are in place and operating effectively, except for the material weaknesses reported, and the objectives of the Federal Manager's Financial Integrity Act were achieved.

Information to support the certification statement was derived from management reviews, audits, inspections, investigations, knowledge gained from daily operations of programs and functions, lower level subordinate command Management Control Certification Statements, and other management information.

J Smith  
Director

**New Weaknesses**

Title	Created By	Created Date	Status
No records were found.			

**Prior Period Weaknesses**

Title	Created By	Created Date	Status
Government Travel Charge...	FMO, FMO	11-14-2002 10:58:08	Sent To FMO Admin

**Accomplishments**

Title	Created By	Created Date	Status
No records were found.			

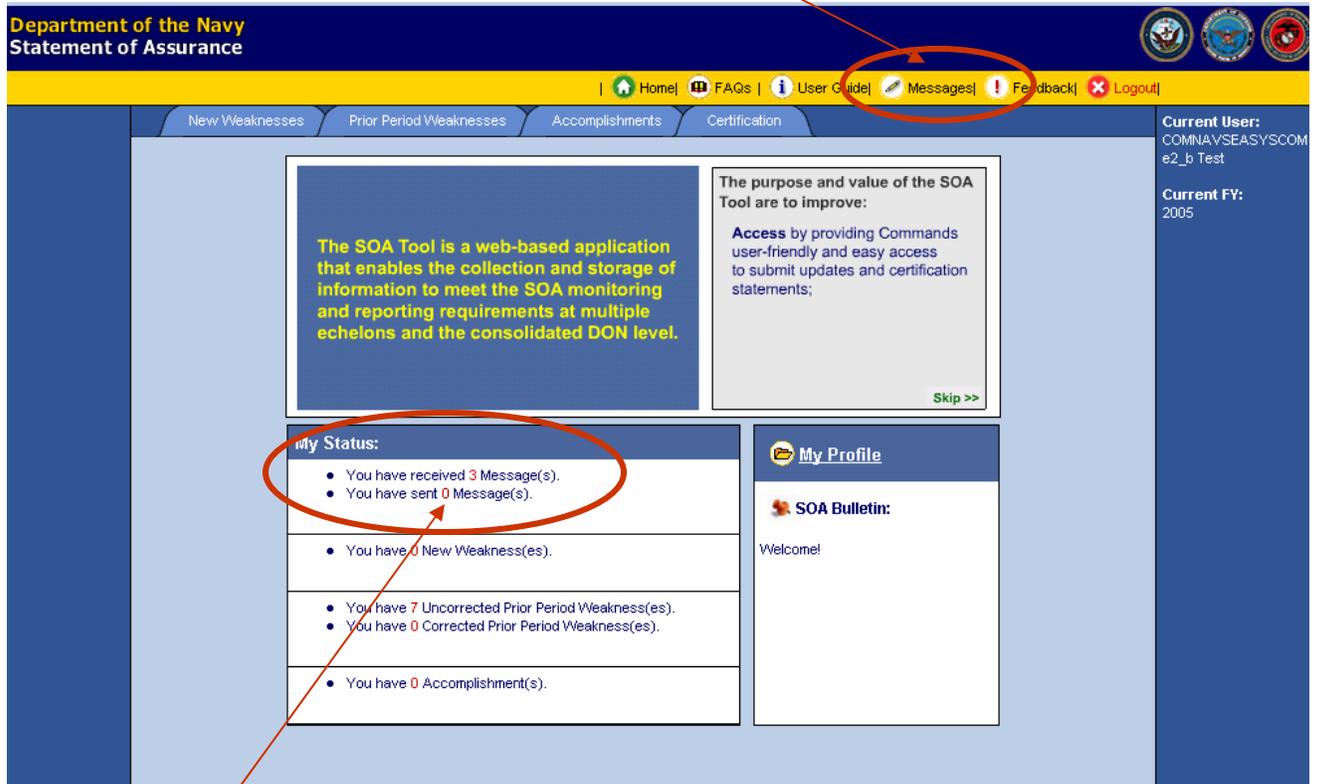
**Current User:**  
ASN (FM&C)  
ASN(FM&C) ASN (FM&C)

**Current FY:**  
2005

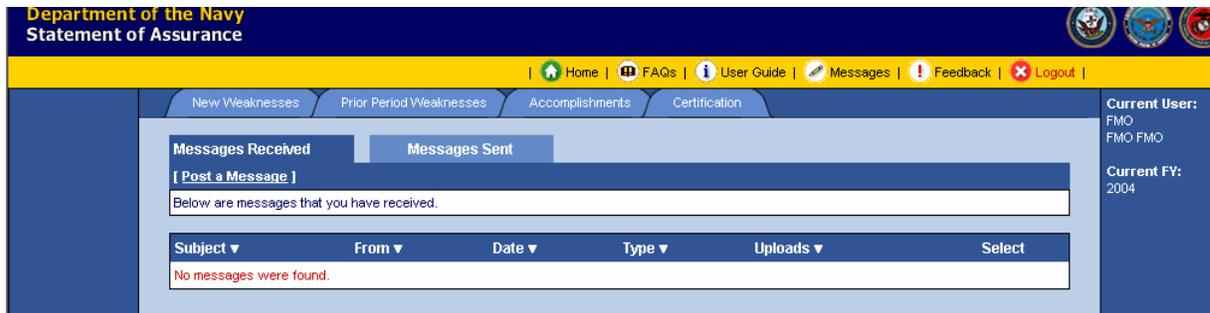
## Chapter 6: What is the Messages Module?

### How Do I View Messages Received?

As mentioned in the previous chapters, a message feature is available for you to send and receive messages from other commands that are actively registered to use the Tool. You can access the message feature in two ways. One is by clicking on the “Messages” navigation button in the yellow bar at the top of the screen.

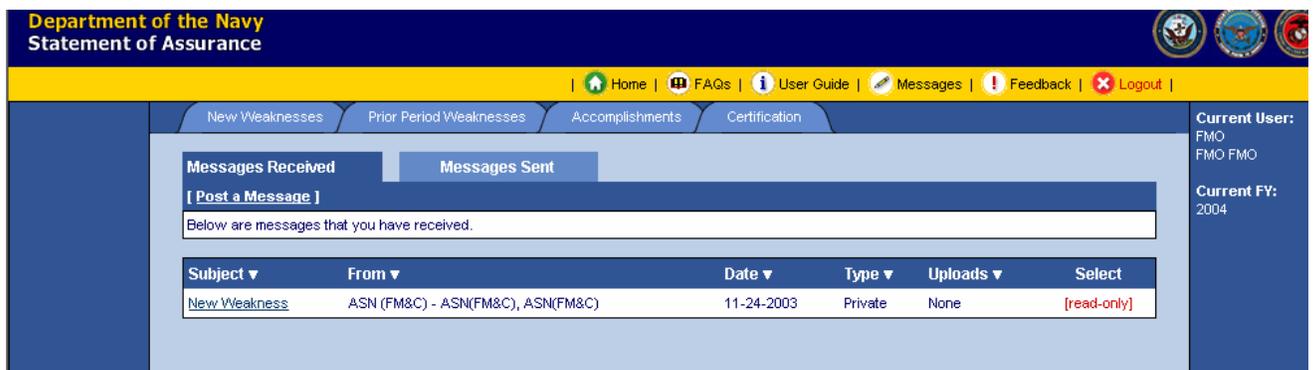


Another way is through the home page under My Status. Simply click on the statement that says, “You have received \_\_\_ message(s)” or “You have sent \_\_\_ message(s)”.



If you clicked on the Messages link on the top, yellow navigation bar or on the “You have received \_\_\_ message(s)” link, you will then arrive at the Messages Received page.

If you did not receive messages, a pop-up will appear indicating this. Click on “OK” and you will arrive at the Messages Received page.

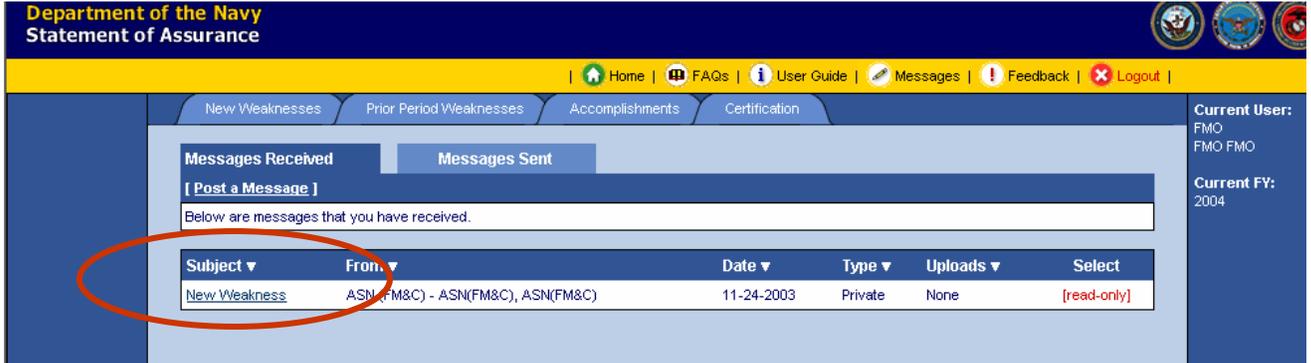


Messages received are listed here and shows you the subject, who it is from, the type of message and if there are attachments (“Uploads”). Similar to weaknesses and accomplishments, you can sort the list by these headings.

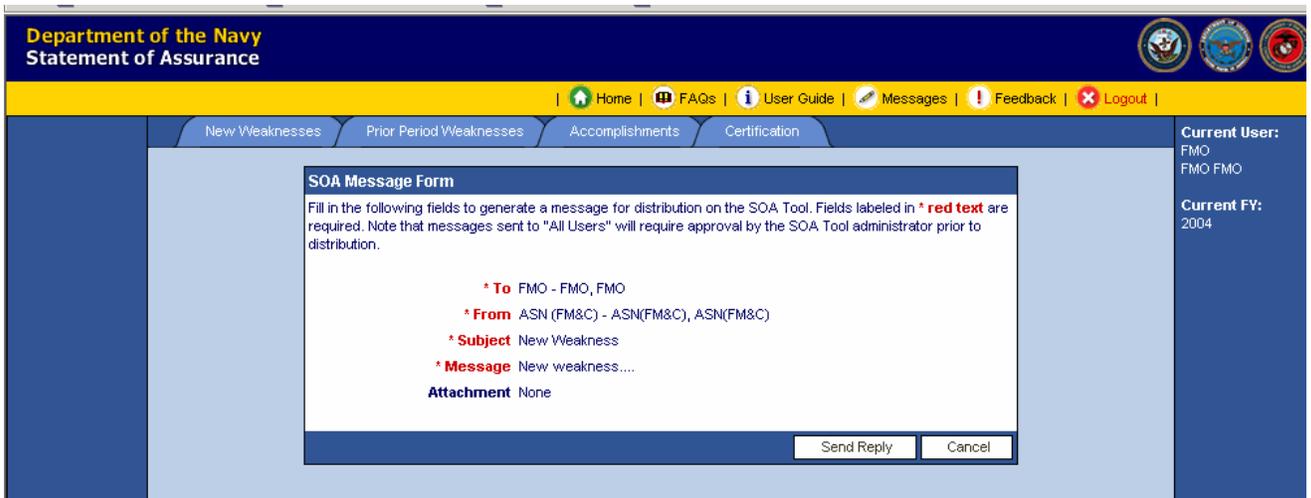
There two types of messages:

- Public message – a message that goes to all Tool users. It can be initiated by any active user and will be sent to everyone after approval by the FMO Administrator. Public messages cannot be deleted by you.
- Private message – a message that is sent specifically to you. It does not go to all Tool users. The system allows you to delete private messages. To do this, select the message(s) to be deleted by clicking on the box to the right. Under the “Select” column. A checkmark will appear in the box when selected. Then click on the “Delete Messages” button on the right bottom corner of the table.

To view a message, simply click on the Subject name.



You will see when it was posted, who it is from, and the message content.



To reply to the message, click on the “Send Reply” link. After it is sent, the reply message will appear in the Messages Sent tab—this will be discussed further in the following sections of this User Guide (“How Do I View Messages Sent” and “How do I Reply to a Message?”).

If you do not want to send a reply, click on the “Cancel” link to return to the Messages Received table.

You may also receive attachments to the messages. To view attachments, click on the title of the attachment under the column heading, "Uploads." If there no attachments were sent, "None" will appear in the column instead.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

Messages Received | Messages Sent

[ Post a Message ]

Below are messages that you have received.

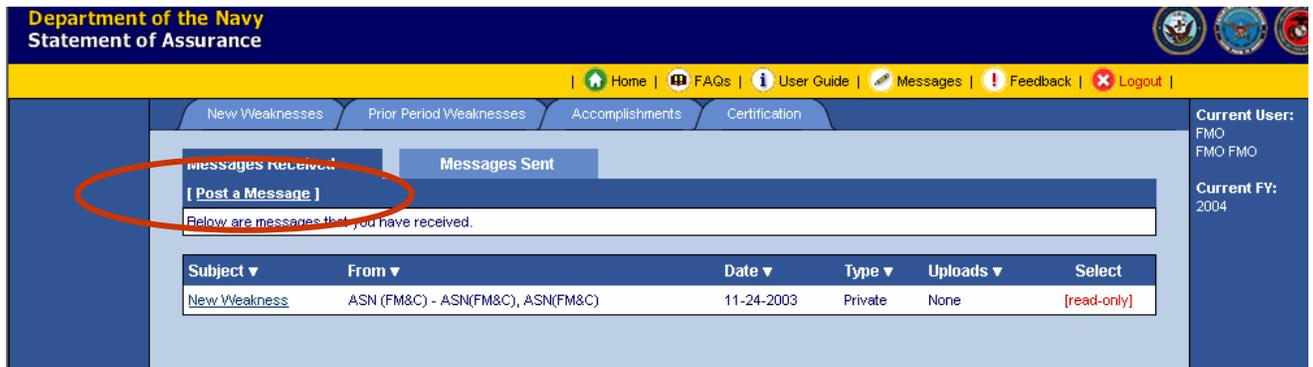
Subject ▼	From ▼	Date ▼	Type ▼	Uploads ▼	Select
<a href="#">New Weakness</a>	ASN (FM&C) - ASN(FM&C), ASN(FM&C)	11-24-2003	Private	None	[read-only]

Current User:  
FMO  
FMO FMO

Current FY:  
2004

## How Do I Post a Message?

To post a message, click on the “Post a Message” link at the top left-hand corner of the Messages Received tab once you have selected the Messages link on the top, yellow navigation bar.



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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

messages received | Messages Sent

[ Post a Message ]

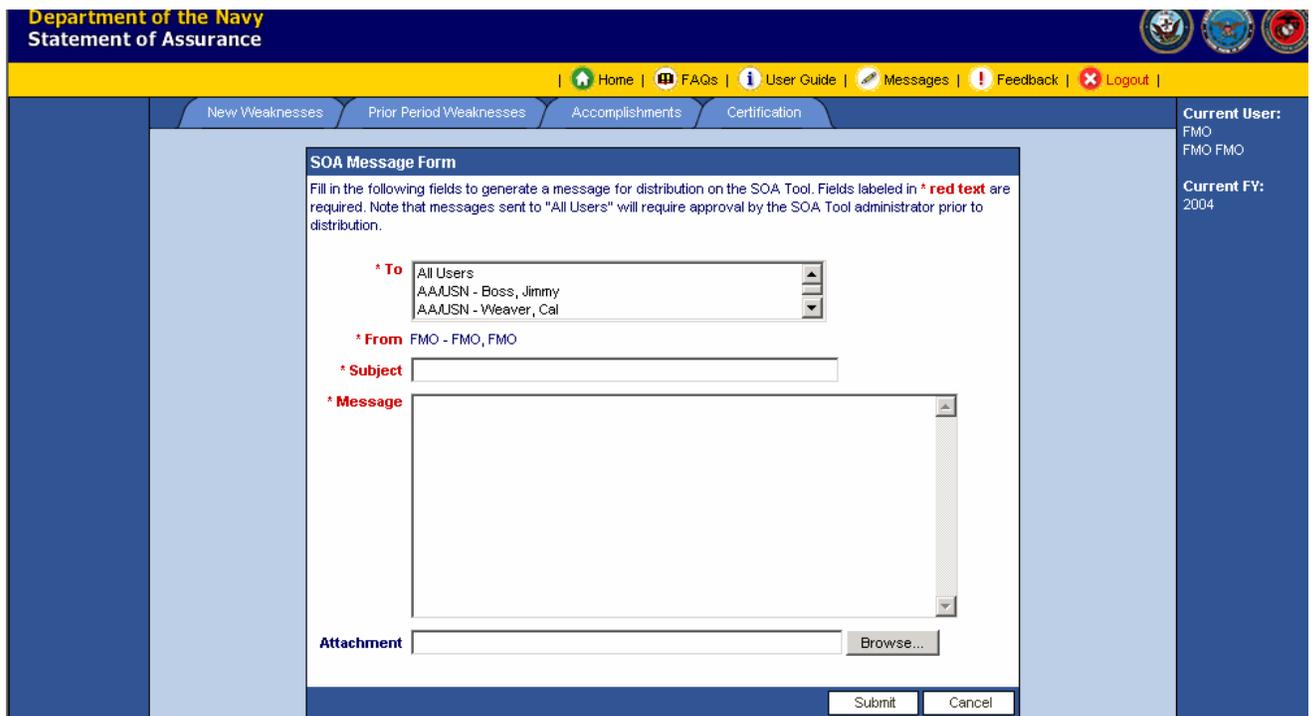
Below are messages that you have received.

Subject	From	Date	Type	Uploads	Select
New Weakness	ASN (FM&C) - ASN(FM&C), ASN(FM&C)	11-24-2003	Private	None	[read-only]

Current User:  
FMO  
FMO FMO

Current FY:  
2004

A blank SOA Message Form will appear. The “To” line lists all activated users of the Tool. You may send a private message to any individual user or users on the list. The message will be sent only to the individual(s) selected.



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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

Current User:  
FMO  
FMO FMO

Current FY:  
2004

SOA Message Form

Fill in the following fields to generate a message for distribution on the SOA Tool. Fields labeled in **\* red text** are required. Note that messages sent to "All Users" will require approval by the SOA Tool administrator prior to distribution.

**\* To** All Users  
AAJUSN - Boss, Jimmy  
AAJUSN - Weaver, Cal

**\* From** FMO - FMO, FMO

**\* Subject**

**\* Message**

Attachment  Browse...

Submit Cancel

Or, you may send a message to all users (a Public Message). The public message will first go to the SOA Admin for approval. Upon approval, the message will then be posted for all users of the Tool to view.

Please fill in the Subject and Message lines with message text. You may also attach a document by clicking on “Browse” on the right side of the Attachment line. Select the appropriate file and attach your document. The document name will appear in the Attachment line. Then click on the “Submit” button to send your message.

To cancel sending the message, click on the “Cancel” button and you will arrive back at the Messages Received table.

Your sent message can be viewed back at the messages screen in the Messages Sent table—this will be discussed in a later section of this User Guide.

### How Do I Reply to a Message?

To reply to a message that you received, open the message you would like to reply to and then click on the Send Reply button on the bottom right-hand corner of the SOA Message Form.

The screenshot shows the 'SOA Message Form' interface. At the top, it says 'Department of the Navy Statement of Assurance'. Below that is a navigation bar with links for Home, FAQs, User Guide, Messages, Feedback, and Logout. The main content area has tabs for 'New Weaknesses', 'Prior Period Weaknesses', 'Accomplishments', and 'Certification'. On the right side, it displays 'Current User: FMO FMO' and 'Current FY: 2004'. The central form area contains the following text:

Fill in the following fields to generate a message for distribution on the SOA Tool. Fields labeled in **\* red text** are required. Note that messages sent to "All Users" will require approval by the SOA Tool administrator prior to distribution.

**\* To** FMO - FMO, FMO  
**\* From** ASN (FM&C) - ASN(FM&C), ASN(FM&C)  
**\* Subject** New Weakness  
**\* Message** New weakness....  
**Attachment** None

At the bottom right of the form, there are two buttons: 'Send Reply' and 'Cancel'.

A form will appear that looks very similar to the form that you use when posting a message. The Reply form includes the original message to which you are replying in the form of a link next to the “In Reply To” line.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

**SOA Message Form**

Fill in the following fields to generate a message for distribution on the SOA Tool. Fields labeled in \* red text are required. Note that messages sent to "All Users" will require approval by the SOA Tool administrator prior to distribution.

\* To ASN (FM&C) - ASN(FM&C), ASN(FM&C)  
 \* From FMO - FMO, FMO  
 \* Subject   
 In Reply To [New Weakness](#)  
 \* Message   
 Attachment  Browse...  
 Submit Cancel

Current User:  
FMO  
FMO FMO  
Current FY:  
2004

Complete the form in the same manner as when you post a message which is discussed in “How Do I Post a Message” section.

After you have finished filling out the form, press Submit to reply. Your reply message will now reside in the Messages Sent tab.

### How Do I View Messages Sent?

To view messages that you have sent, including those that were in reply to a received message, click on the Messages Sent tab.

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Messages Received | **Messages Sent**

[ Post a Message ]

Below are messages that you have sent.

Subject ▼	From ▼	Date ▼	Type ▼	Uploads ▼	Select
<a href="#">New Weakness answer</a>	FMO - FMO, FMO	11-25-2003	Private	None	<input type="checkbox"/>
<a href="#">Accomplishments</a>	FMO - FMO, FMO	11-25-2003	Private	None	<input type="checkbox"/>

Delete Messages

Current User:  
FMO  
FMO FMO  
Current FY:  
2004

Messages sent are listed here and shows you the subject, who sent it, when, the type of message and if there are attachments (“Uploads”). Similar to weaknesses and accomplishments, you can sort by these headings.

You may also delete a message by clicking on the box under the Select column and then pressing the Delete Messages button on the bottom right-hand corner of the table.

To view a message, simply click on the Subject name.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

Messages Received | Messages Sent

[ Post a Message ]

Below are messages that you have sent.

Subject ▼	From ▼	Date ▼	Type ▼	Uploads ▼	Select
<a href="#">New Weakness answer</a>	FMO - FMO, FMO	11-25-2003	Private	None	<input type="checkbox"/>
<a href="#">Accomplishments</a>	FMO - FMO, FMO	11-25-2003	Private	None	<input type="checkbox"/>

Delete Messages

Current User:  
FMO  
FMO FMO

Current FY:  
2004

The message will appear in read-only format.

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New Weaknesses | Prior Period Weaknesses | Accomplishments | Certification

Current User:  
FMO  
FMO FMO

Current FY:  
2004

**SOA Message Form**

Fill in the following fields to generate a message for distribution on the SOA Tool. Fields labeled in \* red text are required. Note that messages sent to "All Users" will require approval by the SOA Tool administrator prior to distribution.

\* To ASN (FM&C) - ASN(FM&C), ASN(FM&C)

\* From FMO - FMO, FMO

\* Subject Accomplishments

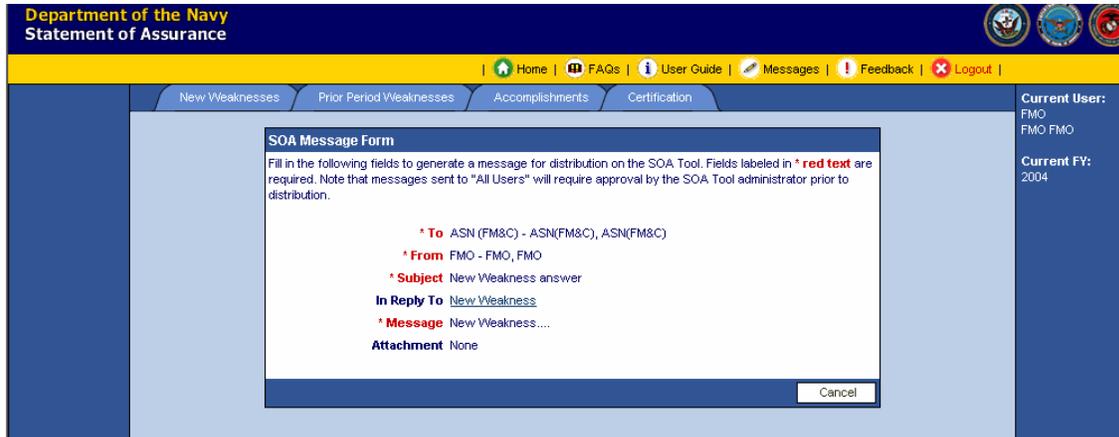
\* Message Accomplishment...

Attachment None

Cancel

To return to the Messages Sent table, press the Cancel button.

Messages that you have replied to look similar but includes an additional link to the original message that you had received. You can click on the link next to “In Reply To” to view the original message.



## **Chapter 7: What is the Feedback Module?**

To respond to any user problems or comments on the Tool, the FMO has provided a feedback module within the web-based application itself.

The Feedback module is another method of correspondence between the FMO (SOA Admin) and the Echelon 1, Echelon 2 and Echelon 3 users. It is preferred over the message system when you have specific comments regarding the Tool itself. Your feedback is viewed only by the SOA Admin. Through the feedback feature, you will be able to pose any questions that you may have regarding the Tool, address any special requests, and provide comments or suggestions.

In addition to fielding questions and comments, the feedback feature allows you to attach files directly into the system, if you need to share them with the SOA administrator.

### **How Do I Enter Feedback?**

To open the feedback module, click on the Feedback navigation button on the yellow bar at the top of the screen. The system will now open the feedback module.

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**The SOA Tool is a web-based application that enables the collection and storage of information to meet the SOA monitoring and reporting requirements at multiple echelons and the consolidated DON level.**

The purpose and value of the SOA Tool are to improve:  
**Access** by providing Commands user-friendly and easy access to submit updates and certification statements;

**My Status:**

- You have received **3** Message(s).
- You have sent **0** Message(s).
- You have **0** New Weakness(es).
- You have **7** Uncorrected Prior Period Weakness(es).
- You have **0** Corrected Prior Period Weakness(es).
- You have **0** Accomplishment(s).

**My Profile**

**SOA Bulletin:**

Welcome!

**Current User:**  
COMNAVSEASYS.COM  
e2\_b Test

**Current FY:**  
2005

After opening the feedback module, click on the drop-down box next to "Type" to select the purpose of your feedback.

You can choose from among the following options: Request, Question, Suggestion, Error, Compliment, Other.

Please enter the text in the Subject line and User Comments box. These fields are required.

You may also choose how you would like the SOA Admin to respond to your inquiry. At the bottom of the screen are the three selections: E-mail, Telephone, or No Response. The form is defaulted to No Response, so please ensure that if you would like a response, to make a selection.

### *How Do I Attach Files?*

To encourage the sharing of relevant documents or other information, the FMO has provided you a file attachment feature. You can attach any document with the following extensions: .doc (Word Document), .xls (excel file), .mdb (access database), .txt (text file), .pdf (adobe acrobat file), .jpg (image format), .gif (image format), .ppt (powerpoint file).

To use this feature, simply click on the "Browse" button next to the "Optional Attachment." A dialog box will pop up that will allow you to select a file saved on your computer. Double click on the file name of the file you wish to attach. The file name should now appear in the box next to the "Optional Attachment" line. Then click on the "Submit" button to send your feedback to the SOA Admin.

The FMO hopes that you will find the Tool beneficial to the SOA reporting process. If you have any questions, comments, or suggestions please feel free to contact us.

- [soatool@fmo.navy.mil](mailto:soatool@fmo.navy.mil)
- 202.685.6064 or 202.685.6738