Pre-Certification & IRP Processes

ACART is not just an architecture tool, but rather a compliance and management decision-support tool designed to support an organization’s Portfolio Management process. All Federal Agencies must go through some kind of "Pre-Certification" process which asserts a system’s or program's ability to comply with a given set of requirements. This assertion is reviewed by an Investment Review Board (IRB) and can result in three different findings:

- **Compliant** - all assertions are compliant
- **Compliant with Conditions** - some assertions are non-compliant, but a plan is in place to achieve compliance
- **Non-Compliant** - some assertions are non-compliant and there is no date for remedy.

If you determine that one or more of your assertions are Compliant with Conditions, you are technically not in compliance but can obtain IRB approval by including a plan to become compliant.

ACART offers only two assertion choices: Compliant or Non-compliant. If your program has a plan to become compliant (Compliant with Conditions), you should select Non-Compliant and then make a note of the plan in the comment box with an Estimated Compliance Date (ECD).
Configure & Navigate - Login Functions

Most users initially will be pre-registered with view or edit access (using program manager input).

After initial user setup - follow-on registrations will still be approved by the program manager or designated representative, but handled as follows:

- Prospective user registers on line
- ACART forwards request to program manager
- ACART uses response to complete registration
- Individual notified by email of access/userid/pw
Scope & Assert - ACART Assertion Sieve

User should enter the flow at the top of the sieve and work their way down the hierarchy for scoping and assertions
ACART is not an architecture tool, but rather a compliance and management decision-support tool designed to support an IRB process. The IRB compliance review can result in three different findings:

1. Actions per compliance guidance
2. Scoping the program by architectural facet
3. Assertion compliance guidance
4. Developing a compliance plan
5. Save assessments in ACART
6. Export assessment to excel
7. Viewing program with filter off
8. Ability to sort by column
9. Ability to see items in context
Scope & Assert - Scope Activities

First step in compliance assertion is to "scope" operational activities. A system or program manager identifies and reviews the complete list of activities in the architecture or requirements set they wish to comply to. They then select those activities applicable to the program / system. ACART then reduces this list to those activities that are only applicable to your program / system.
Scope & Assert - Scope Information Exchanges

This reduced list of activities will yield a list of related processes, information exchanges (inputs/outputs), and applicable controls (LRPs). The system or program manager would now scope the information exchanges (IERs).
Scope & Assert - Scope Processes

The business processes may be scoped as well. The user's information exchange and business process selections further reduce the architecture elements while increasing the details of the program's focus. This "sieve" or filter further shrinks the universe of items required for pre-certification review by the program.
Scope & Assert - Scope Data Objects

The previous selections will, in turn, yield a list of business rules, data objects, data elements, data entities, system functions and technical standards associated with the filtered list of activities/processes. Data objects can now be linked and filtered from the selected processes and scoped.
Scope & Assert - Scope Data Elements

Data Elements are now linked and filtered from the data objects.
Document & Report - Overview

These more focused program selections are now saved. The selected architecture elements may be reviewed by audit / review committees and exported as documentation of the pre-certification process and imported into a program system requirements tracking database.

Types of Reports:

- System View Report
- Side-by-Side Comparison or Portfolio Management
- Compliance Summary Graphics
- Compliance Exception Report
- Activities Report
Document & Report - System View Report

Architectural facets and their descriptions are pulled into the report along with the user's assessment and remarks.
Document & Report - Comparison of Portfolio Management View

Portfolio views with many programs side by side can be created by pulling two or more "views" onto the desktop and running the same style reports as for the individual program.

- Multiple "asterisks" going horizontally for an architectural facet represents "overlap".
- No "asterisks" would represent a "gap" in the portfolio or group of programs being assessed.
- Reports can either be HTML or Excel
Document & Report - Compliance Exception Report

Output includes:
- Description of compliancy status
- What is being done
- Estimated completion date for remediation
If an item has been marked "non-compliant" it will show up as "red" on the pie chart unless a completion date for corrective action has been entered. In the example shown...three items are non-compliant and one does not yet have a plan for correction.
Document & Report - In-Scope Activities Report
Summary

System Functions demonstrated in this briefing

- How ACART aids the Pre-Certification and IRB processes
- How ACART filters out "not applicable" pieces of the architecture
- How reports can be used for program analysis or portfolio analysis
- How the ACART system retains/documents EA compliance assertions
- How the ACART system aids a program in preparing compliance plan
Contact Us

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