

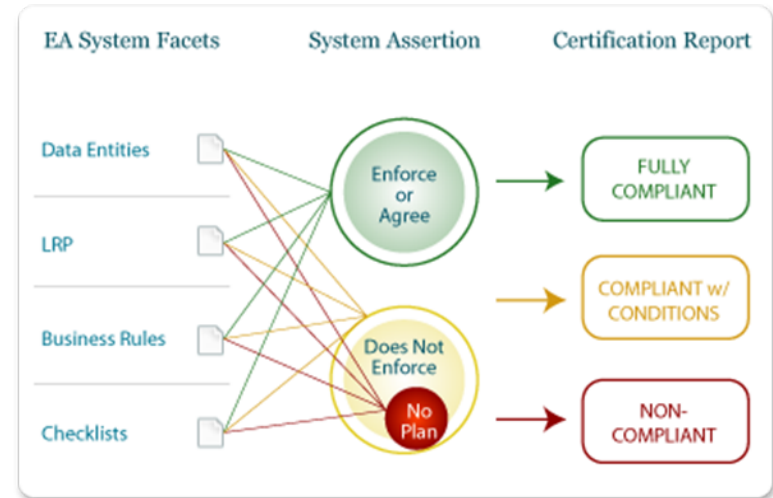
## Pre-Certification & IRP Processes

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

ACART™  
Compliance & Requirements Traceability

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Log On

Username:

Password:

Log On

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[New User?](#)

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> Home

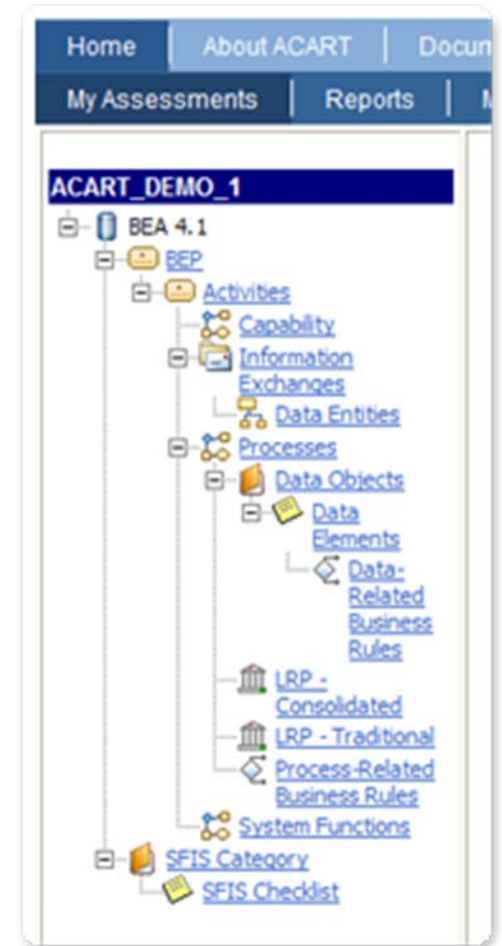
Welcome to ACART™ 3.0

ACART™ is an automated tool for assessing and reporting system compliance against the data standards, business rules, laws, regulations, and policies defined in the Department of Defense Business Enterprise Architecture (BEA).

ACART™ provides an intuitive way to assess, document, and store the system's scope and state of compliancy, that can be submitted to the Investment Review Boards (IRB) to certify

## 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



## Scope & Assert - Process Overview

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:

The screenshot displays the ACART web application interface. The main content area is titled "Architecture Compliance And Requirements Traceability (ACART DEMO\_1)". It shows a search for "OV-6a Business Rule" with filters for "Exact phrase", "Any word", and "All words". The search results are displayed in a table with columns for "OV-6a Business Rule", "OV-6a Business Rule Description", "Status", "Assertion / Remarks", and "User Comments". The table contains one entry: "ENT\_CIP\_Design\_Bid\_Build" with a status of "U" and a planned compliance date of "04/15/2008". The entry is marked as "Corrected in Version/Release 2.0". The interface also includes a "SAVE" button and "Export To: Excel Word" options.

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.

The screenshot displays the ACART software interface. On the left, a tree view shows a hierarchy of activities under the container 'BEA 4.1'. The tree includes categories like 'Activities', 'Capability', 'Information Exchanges', 'Data Entities', 'Processes', 'Data Objects', 'LBP - Consolidated', 'LBP - Traditional', 'Process-Related Business Rules', 'System Functions', 'SFTS Category', and 'SFTS Checklist'. Below the tree is a 'Compliance Dashboard' with several items checked, including 'Compliance Summary Report', 'Compliance Plan Report', 'Compliance Summary and Plan Report', and 'Overall Compliance Execution Report'.

On the right, a search results window titled 'Architecture Compliance And Requirements (ACART\_DEMO\_1)' is shown. It displays 'Version: 1' and 'Container: BEA 4.1'. The search criteria are 'Activity Level' with 'Exact phrase' selected. The results table shows two entries:

Activity Level	OV-5 Activity	OV-5 Description
<input checked="" type="checkbox"/>	A3.2.2.4.2	Accept Goods and Services
<input checked="" type="checkbox"/>	A3.2.2.4.2.2	Accept Other Property and Services

The description for the first entry is: 'This activity includes an acknowledgement by an authorized of tendered and services rendered conform with contract requirements, at which time government takes ownership and triggers asset valuation and accountability.'

## 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)**.

The screenshot displays the ACART\_DEMO\_1 interface. On the left, a tree view shows a hierarchy of elements: BEA 4.1, BEP, Activities, Capability, Information Exchanges (highlighted with a blue selection bar and a left arrow), Data Entities, Processes, Data Objects, LRP - Consolidated, LRP - Traditional, Process-Related Business Rules, System Functions, SFIS Category, and SFIS Checklist. Below the tree is a 'Compliance Dashboard' with two checked items: 'Compliance Summary Report' and 'Compliance Plan Report'.

On the right, the 'Architecture Compliance And Requirements (ACART\_DEMO\_1)' search results are shown. The search criteria are 'OV-3 Info Exchange' with 'Exact phrase' selected. The results table is as follows:

OV-3 Info Exchange	OV-3 Info Exchange Description
<input type="checkbox"/> Acquisition Information for Congressional and Federal Inquiry	This is the acquisition information required to respond to inquiry from the Federal government regarding the status of an acquisition effort.
<input type="checkbox"/> Additional Program	Additional program information such as supplemental justification and relevant program information to support the OSD/JCS program.

## 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.

The screenshot displays the ACART\_DEMO\_1 interface. On the left is a tree view of the architecture elements, including BEA 4.1, BEP, Activities, Capability, Information Exchanges, Data Entities, Processes (highlighted with a blue box and a yellow arrow), Data Objects, LRP - Consolidated, LRP - Traditional, Process-Related Business Rules, System Functions, SFIS Category, and SFIS Checklist. Below the tree is a 'Compliance Dashboard' with links for 'Compliance Summary Report' and 'Compliance Plan Report'. On the right is a search results page titled 'Architecture Compliance And Req (ACART\_DEMO\_1)'. It shows 'Version: 1' and 'Container: E'. The search criteria are 'OV-6c Process' with 'Exact phrase' selected. The results table has 25 records per page and shows the following items:

<input checked="" type="checkbox"/>	OV-6c Process	OV-6c Process Description
<input type="checkbox"/>	Capture	Additional budget, contract or borrowing authority requested
<input type="checkbox"/>	Continuing Resolution	by the adjusted Continuing Resolution amount received indic
<input type="checkbox"/>	Adjusted Amount	received by the designated Agency or Department and the M
<input type="checkbox"/>	Conduct	established for expenditures against the authority received.
<input type="checkbox"/>	Acquisition	This process provides programmatic analysis regarding func
<input type="checkbox"/>	Assessment	effectiveness, contract instruments and interoperability across

## 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.

The screenshot displays the ACART DEMO 1 interface. On the left is a tree view showing a hierarchy of elements: BEA 4.1, BEP, Activities, Capability, Information Exchanges, Data Entities, Processes, Data Objects (highlighted with a yellow arrow), Data Elements, Data-Related Business Rules, LRP - Consolidated, LRP - Traditional, Process-Related Business Rules, System Functions, SFIS Category, and SFIS Checklist. On the right is a search and results panel titled "Architecture Compliance And Requirements (ACART DEMO 1)". It shows "Version: 1" and "Container: E". The search criteria are "OV-6c Data Object" with a dropdown menu and a "For:" field. Search options include "Exact phrase" (selected), "Any word", and "All words". The "Records Per Page" is set to 25, and there is a "Show All" checkbox. The results table has two columns: "OV-6c Data Object" and "OV-6c Data Object Description".

OV-6c Data Object	OV-6c Data Object Description
<input type="checkbox"/> Acceptance Readiness Notification	Notification that a real property asset is ready for either internal or external acceptance.

## Scope & Assert - Scope Data Elements

Data Elements are now linked and filtered from the data objects.

The screenshot displays the ACART\_DEMO\_1 interface. On the left is a tree view showing a hierarchy of data objects. The 'Data Elements' folder is highlighted with a red box and a yellow arrow pointing to the right. The right pane shows a search results table for 'OV-7 Data Element'.

**ACART\_DEMO\_1**

BEA 4.1

- BEF
  - Activities
  - Capability
  - Information Exchanges
    - Data Entities
  - Processes
  - Data Objects
    - Data Elements** (highlighted)
    - Data-Related Business Rules
  - LRP - Consolidated
  - LRP - Traditional
  - Process-Related Business Rules
  - System Functions
- SEIS Category
- SEIS Checklist

**Architecture Compliance And Req (ACART\_DEMO\_1)**

Version: 1 Container: E

Search: OV-7 Data Element For: [ ]

Exact phrase  Any word  All words

Records Per Page: 25  Show All  S

<input type="checkbox"/> OV-7 Data Element	OV-7 Data Element Description
<input checked="" type="checkbox"/> Certification_Type_Description_Text	The text of an explanation of a CER TYPE.
<input checked="" type="checkbox"/> Cost Estimate Amount	The monetary value in US dollars.

## 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

	<p>This activity occurs between the time the President's Budget is submitted to Congress and up to and including the time that appropriations are enacted. This activity also captures the markups and markdowns as result of the budget negotiation between the Congress, DoD, and OMB.</p>	
	<p><b>Update FYDP</b> Upon receipt of a PDM the COCOMs, components, DOD agencies and activities incorporate the decision in their POM/Budget submission and update the FYDP. Updates to the FYDP are required coincident with the Program and Budget Review and the President's Budget.</p>	
OV-6a Business Rule	<p><b>ENT_Absence_Information_Study</b> In the absence of information to generate a reasonable, reliable estimate for the environmental cleanup, disposal, or closure, the environmental liability must be the estimated cost of conducting a study.</p>	Asset: <b>Compliant</b>
	<p><b>ENT_Accept_Delivery</b> Each item and service must be inspected before acceptance.</p>	Asset: <b>Not Compliant</b> Remarks: <b>Separation of Rec</b>
	<p><b>ENT_Accept_Invoice_Data</b> Each invoice must be submitted electronically in accordance with DoD data standards and policy in order to be accepted, unless otherwise specified by the DoD in the contract or agreement.</p>	Asset: <b>In Scope; Not Applic</b>
	<p><b>ENT_Acceptance_Evidence</b> A buyer must record an expense or asset in accordance with acceptance evidence.</p>	Asset: <b>Compliant</b>

## 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.

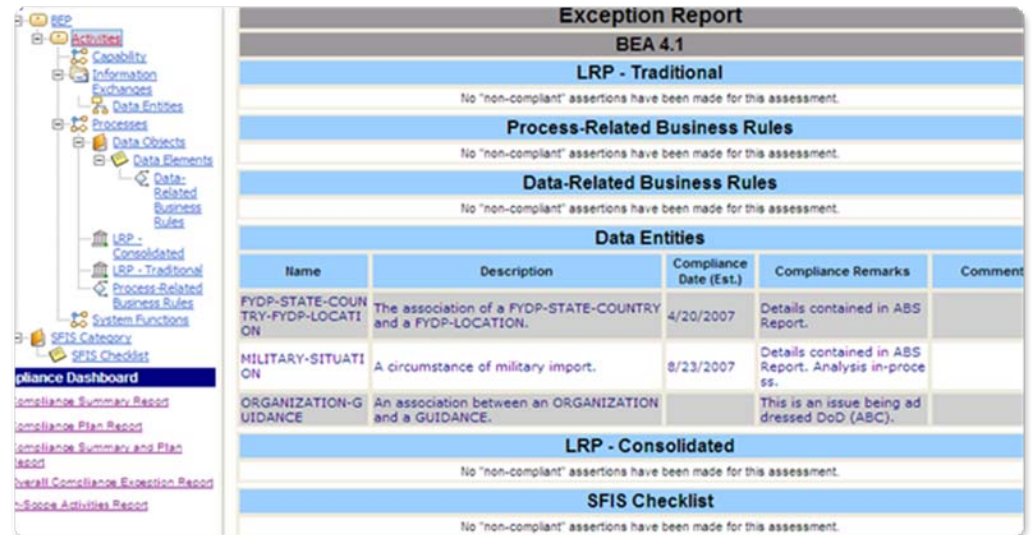
- Multiple "asterisks" going horizontally for an architectural facet represents "overlap".
- No "asterisks" would represent a "gap" in the portfolio or group of programs being assessed
- Reports can either be HTML or Excel

	B	C	D	E
			View / System	
Characteristic		Training DEMO V2.0	DEAMS	Navy ERP
Acceptance Information				
Documentation that constructive acceptance has occurred or that ownership of legal title and accountability of goods and services has been transferred to the government buyer that allows the government supplier to record receivable transaction.				
Accepted Agreement				
An agreement signed by the government supplier and accepted by the government buyer. An agreement is a written instrument of understanding following				

## Document & Report - Compliance Exception Report

Output includes:

- Description of compliancy status
- What is being done
- Estimated completion date for remediation



The screenshot displays a software interface for compliance reporting. On the left is a tree view of a project structure, and on the right is a detailed 'Exception Report' for 'BEA 4.1'.

**Exception Report**  
BEA 4.1

**LRP - Traditional**  
No "non-compliant" assertions have been made for this assessment.

**Process-Related Business Rules**  
No "non-compliant" assertions have been made for this assessment.

**Data-Related Business Rules**  
No "non-compliant" assertions have been made for this assessment.

**Data Entities**

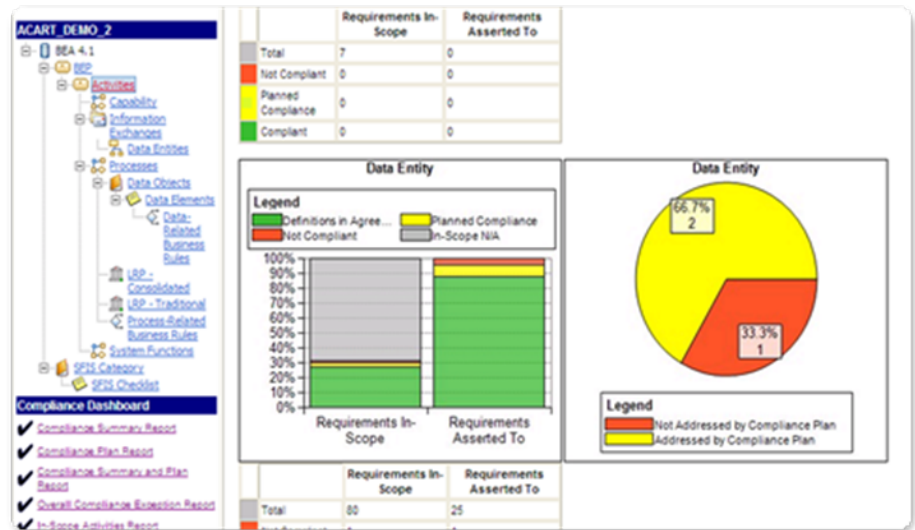
Name	Description	Compliance Date (Est.)	Compliance Remarks	Comment
FYDP-STATE-COUNTRY-FYDP-LOCATION	The association of a FYDP-STATE-COUNTRY and a FYDP-LOCATION.	4/20/2007	Details contained in ABS Report.	
MILITARY-SITUATION	A circumstance of military import.	8/23/2007	Details contained in ABS Report. Analysis in-process.	
ORGANIZATION-GUIDANCE	An association between an ORGANIZATION and a GUIDANCE.		This is an issue being addressed DoD (ABC).	

**LRP - Consolidated**  
No "non-compliant" assertions have been made for this assessment.

**SFIS Checklist**  
No "non-compliant" assertions have been made for this assessment.

## Document & Report - Compliance Summary Graphics

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

**ACART\_DEMO\_2**

- BEA 4.1
  - BFP
    - Activities
    - Capability
    - Information Exchanges
    - Data Entities
    - Processes
    - Data Objects
      - Data Elements
        - Data-Related Business Rules
    - LRP - Consolidated
    - LRP - Traditional
    - Process-Related Business Rules
    - System Functions
  - SFIS Category
    - SFIS Checklist

**Compliance Dashboard**

✓ [Compliance Summary Report](#)

Architecture Compliance And Requirements Traceability	
BEA 4.1 In-Scope Activities Report	
Allocate Funds	This activity distributes funding and authority to the appropriate services and agencies.
Collect Program and Budget Information	This activity collects the POMs and BES from the military services and defense agencies for review. On the even-numbered On-Budget years, the services submit their Program Objective Memorandum and Budget Estimate Submissions. Each program and budget information is based on the programs and fiscal guidance contained in the JPG; and includes the prior, current, and two budget fiscal years. On the odd-numbered Off-Budget years, the services submit their Program Change Proposals and Budget Change Proposals.
Define Cost Performance Model	The Define Cost Performance Model activity obtains the laws, regulations, standards, etc. from External Oversight, Internal Oversight and Other Core Business Mission Areas, as well as the high-level framework established in the strategic plan and budget from Other Domains. In addition, this activity acquires acceptable standards and methods from Industry Partners and External Oversight. Using these inputs, this activity defines model structure and data requirements, relationships of responsibility segments and cost objects, the criteria for detecting business anomalies, and the methodology by which inputs will be traced to the model elements. Ultimately, it will produce an unpopulated model.
Develop Budget Guidance	The budget plan is a blueprint for using financial resources during any given fiscal period or series of periods. The budget planning guidance includes updates to the budget plan as necessary and reporting on the use of resources against these plans throughout the year. This guidance will be the authoritative source for the military services and defense agencies in developing their Budget Estimates Submissions and Budget Change Proposals.
Develop Program Guidance	This activity describes the issuance of top line fiscal control provided to each of the services and components for use in preparing their POMs. This guidance provides fiscal constraints that must be observed by DoD Components in the formulation of force structures and by the Office of the Secretary of Defense (OSD) and joint staff in reviewing proposed programs.

## 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

For more information about ACART or to schedule an online or onsite demo, please contact:

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