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Appendix A: Roles and Responsibilities Revised 4/2015

JOINT RESOURCES COUNCIL

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Reviews and approves the FAA enterprise architecture each year;
- Concurs jointly with the NextGen Management Board on the establishment of new operational capabilities;
- Reviews updates to the NAS ConOps and works with the NextGen Management Board to resolve any issues or concerns;
- Makes investment decisions and oversees execution of investment programs;
- Establishes investment programs and assigns execution to a service organization;
- Baselines program requirements for investment programs in the final program requirements document;
- Approves and baselines all required AMS program documents (i.e., program requirements document, acquisition program baseline, business case, and implementation strategy and planning document);
- Commits the FAA to full funding of approved investment programs or program segments;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation for investment programs;
- Makes acquisition program baseline change decisions that alter program performance, cost, and schedule baselines during solution implementation for investment programs;
- Reviews and approves FAA RE&D and F&E budget submissions each year prior to review and approval by the Administrator and submission to the Office of the Secretary of Transportation and reviews the OPS appropriation. The Administrator approves the OPS budget before submission to the Office of the Secretary of Transportation;
- Makes investment program production and in-service decisions or assigns approval authority to senior management; and
- Conducts acquisition quarterly program reviews to manage ongoing investment programs, including operational assets; and
- Designates investment programs for TechStat reviews.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Chief Information Officer;
- Chief Financial Officer;
- General Counsel;
- Associate Administrator for Aviation Safety;
- Associate Administrator for Airports;
- Assistant Administrator for NextGen;
- Assistant Administrator for Policy, International Affairs, and Environment; and
- Director, Joint Planning and Development Office.

The following members attend Joint Resource Council meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation.

INFORMATION TECHNOLOGY SHARED SERVICES COMMITTEE

- Approves non-NAS information technology and chargeback mechanism;
- Approves new non-NAS information technology projects for submission to the Joint Resources Council for funding;
- Oversees performance of information technology investments; and
- Reviews information technology shared service operational performance against baseline measures and tracks cost savings against operational baselines.

NEXTGEN MANAGEMENT BOARD

- Approves updates to NAS Concepts of Operations;
- Approves NAS Segment Implementation Plan;
- Approves NAS operational capabilities including goals, objectives, and performance targets;
- Approves alignment of NAS investments to operational capabilities;
- Approves capture teams for operational capabilities;
- Conducts portfolio review for operational capabilities; and
- Approves Operational Capability Integration Plans.

ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER

- Coordinate and integrate activity across line-of-business service organizations to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Require service analysis for designated services (e.g., en-route service, terminal service, regulatory service, certification service) within the line of business or staff office;
- Provide staff support to concept and requirements definition and investment analysis activity for service needs within the line of business or staff office;
- Implement non-material solutions to a service need that emerges any time during service analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business or staff office.

ACQUISITION EXECUTIVE

- Manages AMS policy;
- Chairs the Joint Resources Council;
- Approves acquisition category designations and AMS tailoring or waivers;
- Chairs acquisition quarterly program reviews; and
- Approves OMB Major IT Business Cases for designated capital investments before submission to the Department of Transportation and Office of Management and Budget.

VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (NON-ATO)

- Responsible and accountable for the delivery of services by service organizations under their management;
- Deliver status briefings for their investment portfolio to the Joint Resources Council at acquisition quarterly program reviews;
- Approve plans for concept and requirements definition and assign necessary human resources;
- Make the decision to enter concept and requirements definition after all entrance criteria are satisfied;
- Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;
- Approve plans for investment analysis and assign necessary human resources;
- Approve the program requirements document and the implementation strategy and planning document; and
- Oversee the annual update and submission of the OMB Major IT Business Case for designated investment programs.

JRC EXECUTIVE SECRETARIAT

- Supports and has a dotted line reporting relationship with the FAA Acquisition Executive;
- Develops, maintains and obtains JRC member signatures on the JRC Charter;
- Manages the investment decision-making process for all investment decisions;
- Facilitates the efforts of service organizations seeking an investment decision to ensure timely and effective investment decision-making;
- Manages the readiness process which uses criteria based on the AMS policy to evaluate the readiness of an investment initiative seeking an investment decision prior to placing it on the JRC meeting agenda to obtain a decision;
- Manages the electronic investment decision process;
- Obtains JRC member signatures on the investment decision documents after approval of a final investment decision;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items;
- Develops and maintains investment decision guidance documents and processes;
- Coordinates JRC meeting dates, agenda, and arranges logistics; and
- Prepares records of decision from JRC investment decision meetings and acquisition quarterly program reviews.

CAPITAL INVESTMENT TEAM

- Assesses the business justification, budget affordability, and priority of investment initiatives and provides findings to the Joint Resources Council before investment decisions;
- Performs corporate budget formulation and execution, including budget impact assessments, and recommendations of funding offsets and reprogramming due to

program baseline changes, marks/pass-backs from the Office of the Secretary of Transportation, Office of Management and Budget, and Congress; and

- Establishes and maintains an up-to-date prioritization of all on-going and proposed investment programs for use in budget impact assessments and determination of offsets.

INDEPENDENT SAFETY ASSESSMENT TEAM

- Conducts independent operational assessment for programs as directed by the Vice President of ATO safety and Technical Training.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages the acquisition program baseline of investment programs it is implementing and reports breaches to management;
- Updates the OMB Major IT Business Case annually for designated programs;
- Assists in development of program requirements recorded in the program requirements document;
- Develops cost and schedule baselines during final investment analysis for the solution selected for implementation;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation in the implementation strategy and planning document;
- Supports the conduct of post-implementation reviews;
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary by the type of program, but typically include: management of requirements; test and evaluation; deployment planning; logistics support; procurement planning; real property; acquisition, management, and disposal; configuration management; earned value management; human factors; environmental, occupational safety and health, and energy considerations; information technology; system engineering; security; system safety management; spectrum management; risk management; regulation and certification; telecommunications. The service organization is responsible to ensure that all relevant disciplines have been contacted whether or not they appear in the above list.

PRODUCT OR SERVICE TEAM LEADER

- Serves as the source selection official for procurements subject to the JRC process unless otherwise designated by the Joint Resources Council;
- Serves as spokesperson for the team;
- Guides, encourages, and coaches team members;
- Leads and facilitates team efforts without dominating the process;
- Keeps the team focused on consensus decision-making and ensures individual team members do not dominate team deliberations;
- Ensures all stakeholders are members of the team and that they participate in team decision-making;
- Leads development of cost, schedule, and performance baselines during final investment analysis;

- Determines the management approach for an investment program and applicable contracts based on program size, complexity, risk, and FAA earned value management policy;
- Manages the acquisition program baseline and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for a revised program baseline;
- In consultation with the contracting officer, determines the acquisition strategy for obtaining the selected solution and establishes the appropriate earned value management and reporting applications for each contract;
- Assures FAA program needs are acquired through the appropriate source selection process and assures screening information requests include adequate definition of requirements;
- Assures qualified technical evaluators, if required, assist the source evaluation team in the evaluation; and
- In consultation with the contracting officer, conducts the integrated baseline review, assisted by the contracting officer's representative;

CONTRACTING OFFICER

- Serves as the source selection official for procurements not subject to the JRC process;
- Ensures, when applicable, conflict of interest documentation is obtained from the source selection official and all source evaluation team members; with legal counsel, determines if any actual or apparent conflict of interest exists and if so resolves or mitigates the conflict;
- Ensures source evaluation team members are briefed on sensitivities of the source selection process, prohibition against unauthorized disclosure of information (including their responsibility to safeguard proposals and any documentation related to the source selection team proceedings), and requirements concerning conflict of interest;
- Ensures source selection official and source evaluation team members provide nondisclosure of information statements;
- Coordinates communications with industry, controls all written documentation issued to industry, and conducts all debriefings;
- Participates during screening, selection, and debriefing phases of source selection to ensure fair treatment of all offerors;
- Issues letters, public announcements, screening information requests and amendments, and other procurement documents;
- Ensures the contract is signed by a contractor representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies; and
- Executes, administers, and terminates contracts and makes related determinations and decisions that are contractually binding.

SOURCE SELECTION OFFICIAL

- Assures source evaluation team competence, cohesiveness, and effectiveness;
- Assigns responsibility to a source evaluation team member to mark all source selection sensitive information with the designation "source selection sensitive information";
- Approves source evaluation plans and assures the evaluation conforms to the stated

evaluation criteria; and
- Makes down-select decisions and assumes full authority to select the source for award.

SOURCE EVALUATION TEAM

- Drafts all screening information requests;
- Formulates the source evaluation plan;
- Reviews lessons-learned reports that provide meaningful insight into the procurement;
- Ensures an in-depth review and evaluation of each submitted screening document against FAA requirements and evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the source selection official may make down-selection and/or award decisions, and if requested by the source selection official, prepares documentation for the decision rationale;
- Oversees all procedural and administrative aspects of the procurement;
- Selects advisors to assist the team in its evaluation, if required;
- Participates in all debriefings; and
- Prepares a lessons learned memorandum after completing the source selection.

OFFICE OF THE CHIEF COUNSEL

- Represents FAA legal interests on product or service teams engaged in the acquisition of goods and services;
- Exercises independent professional judgment, advises teams on relevant legal, governmental, and business issues, and promotes the legality and integrity of acquisition actions;
- Represents the FAA in connection with procurement-related litigation, alternative dispute resolution, and other matters; and
- Serves as core member of the Joint Resources Council.

OFFICE OF DISPUTE RESOLUTION FOR ACQUISITION

- FAA Administrator's impartial administrative forum for adjudication of bid protests and contract disputes arising under the AMS;
- Provides dispute resolution services to the FAA and its private business partners, implementing FAA policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
- Conducts a streamlined adjudication process for matters un-resolvable through ADR;
- Provides "Findings and Recommendations", and issues orders and decisions supported by the case record and law, on behalf of the FAA Administrator;
- Promulgates and operates in accordance with rules of procedure; and
- Recommends changes to the Acquisition Management System.

SERVICE ORGANIZATIONS

- Plan and manage resources as assigned by the Joint Resources Council to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;

- Maintain consistency between service planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop the solution concept of operations and requirements, as required;
- Work with the appropriate systems engineering and operating organizations to determine realistic alternative solutions to service needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

NEXTGEN ORGANIZATION

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Defines research plan selection, management, and evaluation criteria for research activities in support of NextGen;
- Interfaces with Office of the Secretary of Transportation, Office of Management and Budget, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Provides test and evaluation services.

NAS SYSTEMS ENGINEERING SERVICES ORGANIZATION

- Performs corporate-level service analysis for the NAS;
- Oversees the NAS architecture;
- Develops and maintains tools for conducting service analysis;
- Work with both corporate strategic planning and service organizations to ensure consistency between service planning and the long-range strategic direction of the FAA;
- Works with service organizations to translate user needs into a sequenced and traceable architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- Works with service organizations to determine realistic alternative solutions to service need and assess their impact on the NAS architecture;
- Works with service organizations to conduct service analysis and incorporate associated recommendations into the NAS architecture; and
- Works with service organizations to develop the program requirements document.

NEXTGEN LIFECYCLE INTEGRATION ORGANIZATION

- Coordinates service analysis activity across service organizations to ensure alignment with FAA strategic and performance goals and to eliminate redundant activity, duplicate benefits, service gaps, and service overlap;
- Develops and maintains standard guidance for conducting service analysis and concept and requirements definition;
- Assists service organizations in establishing a service analysis capability and conducting service analysis;
- Leads planning and activities for concept and requirements definition;
- Ensures the requirements, policy, and procedures identified in the AMS and FAST are followed by stakeholders;

- Provides engineering analysis and recommendations to ensure technical integration and integrity is consistent with financial and policy goals, outcomes, and commitments;
- Ensures implementation efforts are harmonized with operations and stakeholder priorities
- Ensures risks are addressed collaboratively to facilitate delivery of operational capabilities and benefits; and
- Develops, maintains, communicates, and supports the execution of enterprise-wide planning artifacts that describe the lifecycle of the National Airspace System.

CHIEF FINANCIAL OFFICER

- Jointly approves the acquisition program baseline for investment programs with other Joint Resource Council members;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Major IT Business Cases for designated capital investments before submission to the Department of Transportation and Office of Management and Budget.

CHIEF INFORMATION OFFICER

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Shared Services Committee;
- Approves OMB Major IT Business Cases for designated capital investments before submission to the Department of Transportation and Office of Management and Budget;
- Jointly approves the acquisition program baseline for investment programs with other Joint Resources Council members; and
- Oversees the enterprise architecture.

OFFICE OF INFORMATION & TECHNOLOGY, STRATEGY & PERFORMANCE SERVICE, INVESTMENT PORTFOLIO & CPIC BRANCH

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Major IT Business Cases;
- Independently scores OMB Major IT Business Cases and provides feedback to service organizations and the JRC executive secretariat for designated investment programs;
- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Shared Services Committee, Department of Transportation, and Office of Management and Budget; and
- Conducts earned value management assessments for programs requiring submission of an OMB Major IT Business Case to the Office of Management and Budget and ensures earned value management transition plans for those programs are implemented effectively.

INFORMATION TECHNOLOGY RESEARCH AND DEVELOPMENT ORGANIZATION

- Performs corporate-level non-NAS service analysis and coordinates service activity across service organizations to ensure alignment with FAA strategic and performance goals as well as to eliminate redundant activity, service gaps, and duplicate benefits;

- Oversees the non-NAS architecture;
- Develops and maintains tools and standards for conducting non-NAS service analysis;
- Works with corporate strategic planning and service organizations to ensure consistency between service planning and long-range strategic planning of the FAA;
- Works with service organizations to translate user needs into a sequenced and traceable non-NAS architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- Leads planning and activity for concept and requirements definition and works with non-NAS service organizations to define program requirements, determine realistic solutions to service need, and assess their impact on the non-NAS architecture;
- Ensures policy and requirements identified in AMS and FAST are followed by non-NAS stakeholders;
- Provides engineering analysis and recommendations to ensure technical integration and integrity is consistent with financial and policy goals, outcomes, and commitments; and
- Ensures implementation efforts are harmonized with operations and stakeholder priorities.

EARNED VALUE MANAGEMENT FOCAL POINT

- Serves as the FAA earned value management executive agent;
- Assists program managers and business managers to apply earned value management requirements to capital investment programs and contracts;
- Coordinates earned value management activities for FAA with other government agencies and with industry and professional associations; and
- Collects monthly schedule and cost performance data, variance analysis, and corrective action plans for major programs.

IN-SERVICE DECISION SECRETARIAT

- Manages the deployment planning process for the Joint Resources Council;
- Coordinates with the JRC executive secretariat to verify that readiness criteria for a final investment decision have been satisfied;
- Facilitates the efforts of service organizations to ensure timely and effective in-service decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an in-service decision before scheduling the program for a stakeholder and in-service decision meeting;
- Prepares records of decision; and
- Tracks in-service decision action plans until closure.

ACQUISITION EXECUTIVE BOARD

- Assists and supports the Acquisition Executive and Joint Resources Council by reviewing, authorizing, and overseeing development and implementation of acquisition management policy, process, practices, procedures, and tools at all organizational levels;
- For authorized change proposals, charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed policy, guidance, practice, and procedure changes;

- Directs, controls, and approves all compliance processes associated with execution of any aspect of AMS; and
- Directs and oversees the Acquisition System Advisory Group.

FAA ENTERPRISE ARCHITECTURE BOARD

- Governs and administers the FAA enterprise architecture;
- Ensures the FAA adheres to Federal statutory and regulatory requirements regarding enterprise architecture;
- Aligns information technology decisions with agency business and investment strategies;
- Minimizes redundancy, fosters standardization, and promotes reuse of information technology, data, and business assets;
- Provides architecture roadmaps and decision-point recommendations to the JRC for approval;
- Approves operational improvements and operational sustainments for inclusion in the enterprise architecture;
- Communicates and champions enterprise architecture throughout FAA; and
- Approves roadmaps that guide the agency toward the target enterprise architecture; and
- Endorses readiness for concept and requirements definition.

CONCEPT STEERING GROUP

- Coordinates activity to develop and validate new concepts and ideas during service analysis; and
- Facilitates the review of new ideas and proposed changes to the NAS Concept of Operations.

TECHNICAL REVIEW BOARD

- Works with service organizations and program offices to prioritize and time-phase new operational improvements and operational sustainments within the NAS architecture roadmap.

ARCHITECTURE REVIEW BOARD

- Works with service organizations and program offices to prioritize and time-phase new operational improvements and operational sustainments within the non-NAS architecture roadmap.

PORTFOLIO MANAGER

- Oversees and reports operational capability status to the NextGen Management Board;
- Evaluates operational capability demand against resource constraints;
- Identifies and assesses operational capability risks and recommends corrective actions;
- Suggests trade-offs and recommendations within the operational capability investment increments to the NextGen Management Board; and
- Participates in program reviews and budget build processes for elements of the operational capability.

CAPTURE TEAM

- Oversees and coordinates implementation of assigned investment increments required to obtain the assigned operational capability; and
- Identifies operational capability risks and issues and recommends corrective action to the portfolio manager.

INVESTMENT PLANNING AND ANALYSIS OFFICE

- Provides leadership and expertise in the preparation of business cases for JRC decisions;
- Advises investment analysis teams during service analysis, concept and requirements definition, and investment analysis;
- Provides leadership and expertise in the exploration, development, and analysis of alternatives;
- Evaluates the business case and supporting documentation prior to investment decisions; and
- Develops and maintains policy, standards, guidance, and templates for investment analysis and business case preparation.

Appendix B: Acquisition Planning and Control Documents Revised 1/2015

AMS Section 1.2.5 provides guidance and direction relative to acquisition categories for investment decision-making and governance. These categories ensure the appropriate level of oversight and documentation requirements applied to each FAA investment program.

This appendix contains the purpose, approval authority, distribution, and content for AMS planning and control documents. Templates are available for each document in FAST.

The documents are:

- Acquisition program baselines and execution plans
- Program requirements document
- Business case
- Implementation strategy and planning document
- Program Management Plan

These documents are structured as an integrated set with clear progression and traceability from service need to requirements to implementation strategy to actions and work activities. Template instructions are comprehensive in scope to accommodate complex investment programs.
They are tailored to be appropriate for each specific investment program.

Acquisition Program Baseline Revised 1/2015

PURPOSE
The Acquisition Program Baseline (APB) documents the cost, schedule, and performance baselines

for the investment program. It is the mutual agreement between the investment decision authority, the performing organization, and the user organization concerning the performance and capability the program will provide and the cost and schedule authorized for the program. There are two APB templates. The first is for new investments (acquisition categories 1NI-5NI). The second APB template is to be used for technology refreshment programs (acquisition categories 4TR and 5TR).

DESCRIPTION
The acquisition program baseline is established at the final investment decision concurrent with approval of an investment program for implementation. The cost and schedule baselines are developed during final investment analysis by the service organization (working within the investment analysis team) that will implement and manage the program throughout its lifecycle.

The acquisition program baseline contains critical cost, schedule, and performance parameters and their associated values designated for control by the investment decision authority. They relate to corporate FAA's commitment to satisfying the mission need, achieving needed operational capability, and meeting schedule requirements of interdependent programs. Investment decision authority controls are identified during final investment analysis by the investment analysis team and approved by the investment decision authority. They define the empowerment boundaries of the service team during solution implementation.

APPROVAL
The chair of the investment decision authority approves the acquisition program baseline with the concurrence of other IDA members. Designated ACAT reviewers also sign the document. NOTE: No funding may be committed or obligated that would exceed the cost baseline in the acquisition program baseline.

DISTRIBUTION
Send an electronic copy of the acquisition program baseline and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all acquisition program baselines.

CONTENT
The acquisition program baseline consists of a cost baseline, schedule baseline, and performance baseline. Content is defined in the APB template.

Execution Plan

PURPOSE
The Execution Plan documents the cost, schedule, and performance parameters for investment programs that do not require an acquisition program baseline. The Execution Plan contains a description of the program and the cost, schedule, and performance parameters that will be reported and tracked monthly.

DESCRIPTION
There are three Execution Plan templates. The first is the Variable Quantity Execution Plan template used for acquisition categories 1VQ through 5VQ. The second and third Execution Plan templates are the Facility Execution Plans. The program-level Facility Execution Plan is used for acquisition categories 1F through 5F. The project-level Facility Execution Plans is used for

acquisition sub-categories F1, F2, and F3.

APPROVAL
Approval is defined in the execution plan templates.

DISTRIBUTION
Send an electronic copy of the execution plan and updates to the JRC executive secretariat.

CONTENT
Content is defined in the execution plan templates.

Program Requirements Document Revised 10/2012

PURPOSE
The program requirements document establishes the operational framework and performance baseline for an investment program. It is the basis for evaluating the readiness of products and services of an investment program to become operational.

APPROVAL
Within the ATO, the Vice Presidents of the organization executing the investment program during solution implementation and the operating organization approve the program requirements document. Within the other lines of business, the second-level executive of the organization executing the program in solution implementation approves the program requirements document.

DISTRIBUTION
Send an electronic copy of the program requirements document and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all program requirements documents.

CONTENT
At the readiness for investment analysis decision, the program requirements document defines preliminary functional and performance requirements any potential solution to mission need must satisfy. At the final investment decision, the program requirements document defines exactly the operational concept and requirements the investment program must achieve.

The author shall use the program requirements document template in FAST and shall provide information for all sections. For sections that do not apply, the author so indicates.

Business Case Revised 10/2012

PURPOSE
The business case summarizes cost, schedule, and benefit information for each alternative solution to mission need for use by the investment decision authority when making initial and final investment decisions.

APPROVAL

The Vice President (ATO) or Director (non-ATO) of the implementing service organization approves the business case. Designated ACAT reviewers review and sign the business case.

DISTRIBUTION
Send an electronic copy of the business case and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all business cases.

CONTENT
The business case synopsizes the results of investment analysis. At the initial investment decision, it describes alternatives, assumptions, and constraints, and provides full lifecycle cost estimates, benefit estimates, schedule analysis, risk analysis, and economic analysis for each alternative. At the final investment decision, it updates this information and records full lifecycle information for the alternative selected for implementation.

The author shall use the business case template in FAST and shall provide information for all sections.

Implementation Strategy and Planning Document **Revised 10/2015**

PURPOSE
The implementation strategy and planning document (ISPD) provides the investment decision authority a summary characterization of the plans for solution implementation and in-service management of the proposed investment. It conveys the most critical, relevant, and meaningful information to support decision-making. More detailed and comprehensive plans are generated as part of acquisition best-practices at appropriate event-driven milestones, some of which occur before the final investment decision and some afterward. An initial ISPD is required for the initial investment decision covering specific sections identified in the ISPD template. A complete ISPD is required for a final investment decision. After the final investment decision, the ISPD is modified only if the program returns to the investment decision authority for a change to the investment decision and information needs to be modified.

APPROVAL
The ISPD is submitted for approval by the first level executive of the organization that will execute the program in solution implementation. Within ATO, the ISPD is approved by the Vice President of the organization that will execute the program and by the Chief Operating Officer/Deputy Chief Operating Officer. Outside ATO, the ISPD is approved by the second-level executive of the organization that will execute the program. Certain sections of the ISPD are reviewed and approved by specific executives, as follows:

> Section 2: Director, Acquisition and Contracting; and Director, Financial Analysis;
>
> Sections 5, 6 and 10: ATO Vice President for Technical Operations, (NAS and Non-NAS programs) and Director, AIT Infrastructure & Operations, (Non-NAS programs);
>
> Sections 1, 4 and 5: Director of NextGen Engineering Services (NAS programs); Director, AIT Strategy & Performance Service (Non-NAS programs)

Sections 6.7, 7.1, 9.2 and 10.2: Vice President, Safety and Technical Training.

The organization executing the program in solution implementation obtains the required approvals before the investment decision with the exception of Joint Resource Council members, which are obtained at the time of the JRC decision by the JRC executive secretariat. The JRC Chairperson signs the ISPD on behalf of the JRC members concurrent with the investment decision.

DISTRIBUTION
Send an electronic copy of the ISPD to the JRC executive secretariat before an initial or final investment decision. The JRC executive secretariat maintains a database of all ISPDs.

CONTENT
The originating office uses the ISPD template in FAST to generate the document. For sections that do not apply to the investment program, the originating office so indicates.

Program Management Plan **Added 1/2015**

PURPOSE

The program management plan (PMP) defines how the service organization or program office will manage the implementation strategy recorded in the ISPD approved by the Joint Resources Council at the final investment decision. The intent is to ensure: (1) the full scope of program implementation is understood and planned, and (2) agreements are established with key support organizations (e.g., logistics, test, information security, safety, systems engineering) that must provide resources or otherwise contribute to successful program implementation. Do not repeat the implementation strategy recorded in the implementation strategy and planning document – explain how you will manage the execution of that strategy.

A revision to the PMP occurs in the event of a baseline change decision that affects the implementation strategy significantly or when human resource needs change substantially as the program progresses through solution implementation.

APPROVAL

The program management plan is circulated for review with the implementation strategy and planning document. It is approved by the Director of the service organization assigned responsibility for implementing the investment program after concurrence by all key stakeholders through a formal review cycle. Key stakeholders are those organizations that have a vested interest in the operational assets to be provided by the investment program, as well as those organizations that must support the implementing service organization or program office to achieve successful implementation and operational use.

DISTRIBUTION

Send an electronic copy of the approved program management plan to the JRC executive secretariat before the final investment decision. Send an electronic copy of all approved revised PMPs to the JRC executive secretariat as well. The JRC executive secretariat maintains a database of all

approved PMPs and revisions.

CONTENT

Use the PMP template in FAST to prepare the document. Scope and detail should be commensurate with the complexity of the investment program. Be succinct and complete. Quality is preferred over length.

Appendix C: Definitions Revised 7/2015

Access. In general the term "access" is defined as the ability to physically enter or pass through an FAA area or a facility; or having the physical ability or authority to obtain FAA sensitive information, materials and resources. In relation to classified information, the ability, authority or opportunity to obtain knowledge of such information or materials.

Acquisition Executive Board is the primary executive-level body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, and tools.

Acquisition planning is the process by which all acquisition-related disciplines of an investment program are developed, coordinated, and integrated into a comprehensive plan for executing the program and meeting the stated requirements within the cost and schedule boundaries. Acquisition planning is normally associated with detailed program planning during final investment analysis, but is also important at other times of the lifecycle management process.

Acquisition program baseline establishes the performance to be achieved by an investment program, as well as the cost and schedule boundaries within which the program is authorized to proceed. The acquisition program baseline is a formal document approved by the investment decision authority at the final investment decision, and is a contract between the FAA and the service organization.

Acquisition strategy. The overall concept and approach of an investment program for acquiring a capability to meet the requirements and perform within the boundaries set forth in the acquisition program baseline. The strategy considers all aspects of a program such as acquisition approach, contracting, logistics, testing, systems engineering, risk management, program management, impact on facilities, human factors, schedules, and cost. The results are documented in the implementation strategy and planning document during final investment analysis.

Affiliate business is a business that controls or has the power to control another business, or a third party that controls or has the power to control another business (contractual relationships must be considered).

Agreement with a state government, local government, and/or public authority is a written agreement between the FAA and a state or local government or public authority where the FAA agrees to receive from, or exchange supplies or services with, the other party.

Agreements with private parties are written documents executed by the parties, which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the

FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party. The term excludes procurement contracts for real estate, supplies and services.

Agreements with public entities other than Federal agencies are written documents executed by the parties which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party.

Alternative dispute resolution (ADR). Any procedure or combination of procedures voluntarily used to resolve issues in controversy without the need to resort to litigation. These procedures may include, but are not limited to, assisted settlement negotiations, conciliation, facilitation, mediation, fact-finding, mini-trials, and arbitration. These procedures may involve the use of neutrals.

Approval. The agreement that an item is complete and suitable for its intended use.

Architect-engineer services are: (1) professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed or approved by a person licensed, registered, or certified to provide such services; (2) professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and (3) such other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

Associate program manager for logistics. An integrated logistics support specialist responsible for ensuring that all NAS integrated logistics support requirements are identified and satisfied for each piece of equipment in the lifecycle management process, RE&D program, and major equipment modification program.

Auctioning techniques is a method of screening vendors using commercial competition techniques, and includes such techniques as indicating to an offeror a cost or price that it must meet to obtain further considerations; advising an offeror of its price standing relative to another offeror; and otherwise furnishing information about other offerors' prices. This may only be used for commercially available products.

Baseline. (1) An agreed-to-description of the attributes of a product, at a point in time, which serves as a basis for defining change; (2) an approved and released document, or a set of documents, each of a specific revision; the purpose of which is to provide a defined basis for managing change; (3) the currently approved and released configuration documentation; or (4) a released set of files consisting of a software version and associated configuration documentation.

Best value. A term used during procurement source selection to describe the solution that is the most advantageous to the FAA, based on the evaluation of price and other factors specified by the FAA. This approach provides the opportunity for trade-offs between price and other specified factors, and does not require that an award be made to either the offeror submitting the highest rated technical solution, or to the offeror submitting the lowest cost/price, although the ultimate award decision may be to either of these offerors.

Budget impact assessment. The process of assessing the budget impact of each alternative solution developed in the investment analysis phase against all existing programs in the FAA's financial baseline for the same years. Standard criteria are used to determine the priority of the candidate program in relation to all others. If the amount of funding available for the years in question is insufficient, offsets from lower priority programs are identified. A budget impact assessment is also performed when considering program baseline changes for existing programs that involve an increase in the cost baseline and the need to reallocate resources.

Business case analysis summarizes the analytical and quantitative information developed during investment analysis in the search for the best means for satisfying mission need. It is the primary information document supporting the initial investment decision.

Cancellation is the termination of the total requirements of all remaining program years of a multi-year contract. Cancellation results when the contracting officer notifies the contractor of nonavailability of funds for contract performance for any subsequent program year, or fails to notify the contractor that funds are available for performance of the succeeding program year requirement.

Cancellation ceiling is the maximum amount that the FAA will pay the contractor which the contractor would have recovered as a part of the unit price, had the contract been completed. The amount, which is actually paid to the contractor upon settlement for unrecovered costs (which can only be equal to or less than the ceiling), is referred to as the cancellation charge. This ceiling generally includes only nonrecurring costs.

Capability shortfall. The difference between the projected demand for services and the ability to meet that demand with current assets.

Capital Investment Team (CIT). A team composed of representatives from budget and finance, and, as appropriate, representatives of Air Traffic Organization (ATO) vice-presidents and other FAA organizations, responsible for assessments of investment programs to determine whether the program should be funded. The assessments involve comprehensive reviews based on cost, schedule and performance of the investments. The consolidated budget request is then reviewed and approved by the Joint Resources Council (JRC).

Capital Planning and Investment Control (CPIC). The process used by FAA management to identify, select, control, and evaluate proposed capital investments. The CPIC process encompasses all stages of capital management including planning, budgeting, procurement, deployment, and assessment. Within the FAA, the Acquisition Management System is the CPIC process. Mission analysis and investment analysis are the “select” portion of the CPIC process, solution implementation is the “control” phase, and in-service management is the “evaluate”

phase.

Capture Team. Cross-organizational representatives responsible for coordinating integrated decision-making across investment increments necessary to achieve an operational capability for the NAS. Capture teams monitor implementation of each investment increment and may recommend changes in the distribution of financial assets among capability increments to optimize delivery of the operational capability. Capture teams also participate in activities to validate that an operational capability has achieved its projected benefits and to plan and execute remedial action when it has not.

Cardholder means the individual government employee with the organization who is a warranted contracting officer or to whom a written delegation of procurement authority has been issued by the cognizant Chief of the Contraction Office or designee granting the use of purchase and credit transactions made within the established billing period.

Certified cost or pricing data refers to all facts that, at the time of the price agreement, the seller and buyer would reasonably expect to affect price negotiations. The data requires certification, and is factual, not judgmental, and therefore verifiable. While the data do not indicate the accuracy of the prospective contractor's judgment about estimated future costs or projections, they do include the data utilized to form the basis for that judgment. Certified cost or pricing data is more than historical accounting data; it is all the facts that can be reasonably expected to contribute to the soundness of estimates of all future costs and to the validity of determinations of costs already incurred.

Claim, as used herein, means a contract dispute.

Classified information. Official information or material that requires protection in the interest of national security and is classified for such purpose by appropriate classification authority in accordance with the provisions of Executive Orders 12958 "Classified National Security Information," 12968 "Access to Classified Information," and 12829 "National Industrial Security Program."

Commercial component means any component that is a commercial item. The term component means any item supplied to the Federal government as part of an end item or of another component. See **Commercial Item.**

Commercial item can mean any of the following: [Note: For purposes of this document, the term "commercial item" is interchangeable with the terms "commercially available," "commercial component(s)," "commercial product(s)," and "commercial off-the-shelf (COTS)"]:

> (A) Any item, other than real property, that is of a type customarily used by the general public or by nongovernmental entities for purposes other than governmental purposes and that has been sold, leased, licensed to the general public; or has been offered for sale, lease, or license to the general public.
>
> (B) Any item that evolved from an item described in paragraph (A) through advances in technology or performance and that is not yet available in the commercial marketplace, but will be available in the commercial marketplace in time to satisfy the delivery

requirements under a government solicitation.

(C) Any item that would satisfy a criterion expressed in paragraphs (A) (B) of this definition, but for-(i) modifications of a type customarily available in the commercial marketplace; or (ii) modifications of a type not customarily available in the commercial marketplace made to meet Federal government requirements.

(D) Any combination of items meeting the requirements of paragraphs (A), (B), (C), or (E) of this definition that are of a type customarily combined and sold in combination to the general public.

(E) Installation services, maintenance services, repair services, training services, and other services if such services are procured for support of an item referred to in paragraph (A), (B), (C), or (D) of this definition, and if the source of such services--(i) offers such services to the general public and the Federal government contemporaneously and under similar terms and conditions; and (ii) offers to use the same work force for providing the Federal government with such services as the source uses for providing such services to the general public.

(F) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standards commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for specific service performed.

(G) Any item, combination of items, or service referred to in paragraphs (A) through (F), notwithstanding the fact that the item, combination of items, or service is transferred between or among separate divisions, subsidiaries, or affiliates of a contract; or

(H) An item, determined by the procuring agency to have been developed exclusively at private expense and sold in substantial quantities, on a competitive basis, to multiple state and local governments.

Commercial-off-the-shelf is a product or service that has been developed for sale, lease or license to the general public and is currently available at a fair market value. See **Commercial Item.**

Commercial product means a product in regular production that is sold in substantial quantities to the general public and/or industry at established catalog or market prices. See **Commercial Item.**

Commercially available refers to products, commodities, equipment, material, or services available in existing commercial markets in which sources compete primarily on the basis of established catalog/market prices or for which specific costs/prices established within the industry have been determined to be fair and reasonable. See **Commercial Item**.

Commonality refers to the use of identical parts, components, subsystems or systems to achieve economies in development and manufacture.

Communications, when referring to contracting, means any oral or written communication between the FAA and an offeror that involves information essential for understanding and evaluating an offeror's submittal(s), and/or determining the acceptability of an offeror's submittal(s).

Computer resources support. The facilities, hardware, system support software, software/hardware development and support tools (e.g. compilers, PROM burners), documentation, and personnel needed to operate and support embedded computer systems. These items represent the resources required for the operational support engineering functions and do not include administrative computer resources.

Concept development is the second stage in the CMTD process. This activity develops and evaluates promising concepts to determine which should undergo further development. Activities include modeling, simulation, and detailed analysis.

Concept evaluation is the third and final stage in the CMTD process. It confirms that a concept has great promise toward meeting the service needs of the agency and begins to determine operational and technical feasibility. Concept evaluation can include concept integration, evolution, or scalability. Representative activities include prototyping and field demonstration.

Concept exploration is the first stage in the CMTD process. The objective is to describe promising concepts with sufficient definition to begin development of a concept of operations and to plan follow-on activities. Outputs are promising and feasible concepts that warrant further development.

Concept maturity and technology development (CMTD). The CMTD process governs activities directed toward the production of useful materials, devices, systems, and methods, as well as advance the maturity of new concepts. Typical activities include concept feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate opportunities for improving the delivery of NAS services. These efforts reduce risk, define requirements, demonstrate operational requirements, inform concept and requirements definition activities, and generate information required to support agency investment decisions and product lifecycle management.

Configuration. (1) The performance, functional, and physical attributes of an existing or planned product, or a combination of products; or (2) one of a series of sequentially created variations of a product.

Configuration audit. Product configuration verification accomplished by inspecting documents, products, and records; and reviewing procedures, processes, and systems of operation to verify that the product has achieved its required attributes (performance requirements and functional constraints), and the product's design is accurately documented. Sometimes divided into separate functional and physical configuration audits.

Configuration change management. (1) A systematic process which ensures that changes to released configuration documentation are properly identified, documented, evaluated for impact, approved by an appropriate level of authority, incorporated, and verified. (2) The configuration management activity concerning the systematic proposal justification, evaluation, coordination and disposition of proposed changes, and the implementation of all approved and released

changes into (a) the applicable configurations of a product, (b) associated product information, and (c) supporting and interfacing products and their associated product information.

Configuration documentation. Technical documentation, the primary purpose of which is to identify and define a product's performance, functional, and physical attributes.

Configuration identification. (1) The systematic process of selecting the product attributes, organizing associated information about the attributes, and stating the attributes; (2) unique identifiers for a product and its configuration documents; or (3) the configuration management activity which encompasses selecting configuration documents; assigning and applying unique identifiers to a product, its components, and associated documents; and maintaining document revision relationships to product configurations.

Configuration management. A management process for establishing and maintaining consistency of a product's performance, functional, and physical attributers with its requirements, design, and operational information throughout its life.

Configuration status accounting. The configuration management activity concerning capture and storage of, and access to, configuration information needed to manage products and product information effectively.

Configuration verification. The action verifying that the product has achieved its required attributes (performance requirements and functional constraints) and the product's design is accurately documented.

Contract is a legal instrument used to acquire products and services for the direct benefit or use by the FAA.

Contract. As used herein denotes the document (for example, contract, memorandum of agreement or understanding, purchase order) used to implement an agreement between a customer (buyer) and a seller (supplier).

Contract dispute as used herein, means a written request seeking as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to the contract. A claim arising under a contract unlike a claim relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. The term does not include a request for payment of an invoice, voucher, or similar routine payments expressly authorized under the terms of the contract, which have not been rejected by the contracting officer. The term includes a termination for convenience settlement proposal and request for equitable adjustment, but does not include cost proposals seeking definitization of a letter contract or other undefinitized contract action.

Contractor. The party(ies) receiving a direct procurement contract from the FAA and who is responsible for performance of the contract requirements.

Controversy or concern. A material disagreement between the FAA and an offeror that could result in a protest.

Core policy refers to the official governing policy of the Acquisition Management System. It consists of all Sections and Appendices A-E of this document. All other acquisition information not contained within this policy document is in the form of guidance, processes, references, and other acquisition aids, used by the lifecycle management workforce with discretion and in a manner that makes sense for individual programs. All of this information, including core policy, is considered to be the entire Acquisition Management System. This information may be found within the FAA Acquisition System Toolset on the Internet.

Cost is the contractor's expenses of contract performance, either estimated or actual.

Cost or pricing data. See "Certified Cost or Pricing Data" and "Non-certified Cost or Pricing Data".

Critical operational issue. A key operational effectiveness or suitability issue that must be examined in operational test and evaluation to determine a product's capability to perform its mission.

Critical performance requirements. Primary requirements of a solution representing attributes or characteristics considered essential to meeting the mission need that the investment program is seeking to satisfy. Critical performance requirements and associated values are specified in the program requirements document.

Customer. External users of FAA products or services, such as airlines and the flying public. See **User.**

Data. Recorded information of any nature (including administrative, managerial, financial, and technical), regardless of medium or characteristics.

Demand, as used in the context of service analysis, is the current or projected demand for FAA products, services, and capacity, based on input from diverse sources such as the aviation community, enterprise architecture, long-range planners, and operators and maintainers of the NAS and other FAA support systems.

Design to cost is a concept that establishes cost elements as management goals to best balance between lifecycle cost, acceptable performance, and schedule. Under this concept, cost is a design constraint during the design, development, and production phases, and a management discipline throughout the system lifecycle.

Direct-work maintenance staffing. The direct person-hours required to operate, maintain, and support a product for the duration of its lifecycle.

Disapproval. Conclusion by the appropriate authority that an item submitted for approval is either not complete or is not suitable or its intended use.

Discriminating criteria/key discriminators, used in procurement context, are those factors expected to be especially important, significant, and critical in the ultimate source selection decision.

Dispute as used herein, means a Contract Dispute or Claim.

Dispute resolution officer is a licensed legal practitioner who is a member of the Office of Dispute Resolution, and who has authority to conduct proceedings, which, if agreed to by the parties and concurred in by the FAA Administrator, result in binding decisions on the parties.

Dominant business is a controlling or major influence in a market in which a number of businesses are primarily engaged. Factors such as business volume; number of employees; financial resources; competitiveness; ownership or control of materials, processes, patents, and license agreements; facilities; sales territory; and nature of the business must be considered.

Economically disadvantaged individuals means disadvantaged individuals whose ability to compete in the free enterprise system is impaired due to diminished opportunities to obtain capital and credit as compared to others in the same line of business who are not disadvantaged.

End product. A system, service, facility, or operational change that is intended for delivery to a customer or end user.

Enterprise architecture products include the operational view family (business rule) and systems view family (engineering). Operational view family components represent a set of graphical and textual products that describe the changes in tasks and activities, operational elements, and information exchanges required to accomplish NAS service delivery or ATO business processes. The business process and application views present this information in the FEAF with the data architecture providing the terms used to describe information exchanges between processes. System view family components represent a set of graphical and textual products that describe systems and interfaces that directly or indirectly support, communicate, or facilitate NAS service delivery or ATO business processes. In the FEAF, interfaces between applications are described in the application view. Also in the FEAF, there is a logical description of systems, but not a physical or geographic description in the enterprise architecture.

Evolutionary product development is the process of establishing a product designed to evolve over time, as opposed to the need for wholesale replacement, to satisfy requirements. The objective is to accommodate rapid insertion of new technology and upgrades, rather than invest in entirely new products.

FAA disputes resolution system is a process established within the FAA for resolving protests of FAA screening information request and contract awards, as well as contract disputes.

FAA Enterprise Architecture (referred to as the enterprise architecture throughout AMS) defines the operational and technical framework for all capital assets of the FAA. It describes the agency's current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture has two segments: the NAS architecture and the non-NAS architecture. The non-NAS segment uses the Federal Enterprise Architecture Framework (FEAF). The operational view is split between the business process, application, and data views. The systems view in the FEAF is specified in the technical view.

FAA Office of Dispute Resolution for Acquisition is an independent organization within the FAA, reporting to the FAA Chief Counsel, which is staffed with an appropriate number of

dispute resolution officers.

Fee is compensation paid to a consultant for professional services rendered.

Firm, as defined for architect-engineering services, is any individual, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture or engineering.

Firmware. The combination of a hardware device and computer instructions or computer data that reside as read-only software "burned into" the hardware device; various types of firmware include devices whose software code is erasable/re-programmable to some degree.

First-level technical support. This work comprises maintenance of the National Airspace System infrastructure and includes certifying equipment and performing periodic maintenance, restoration, troubleshooting, and corrective activities.

Functional baseline is the initially approved documentation describing a product's functional, interoperability, and interface characteristics, and the verification required to demonstrate the achievement of those characteristics.

Generic processes. Flowcharts and supporting information, including descriptions, approving officials, references, templates, and other aids that describe each event of a phase of the lifecycle management process. Generic processes are provided to service organizations for guidance to assist in the complex planning, product development, procurement, production, testing, delivery, and implementation activities of this important phase of the lifecycle management process. Generic processes are an integral part of FAST.

Hardware products. Made of material and their components (mechanical, electrical, electronic, hydraulic, pneumatic). Computer software and technical documentation are excluded.

Historically black colleges and universities. Institutions determined by the U.S. Secretary of Education to meet the requirements of 34 CFR 608.2 and listed therein.

Human factors are a multi-disciplinary effort to generate and apply human performance information to acquire safe, efficient, and effective operational systems.

Implementation strategy and planning is the detailed planning document for all aspects of program implementation. It integrates the planning requirements of several previous FAA planning documents including the program master plan, the integrated logistics support plan, the test and evaluation master plan, the program implementation plan, the human factors plan, and the procurement plan. It is recorded in the implementation strategy and planning document.

In-service decision is the decision to accept a product or service for operational use during the solution implementation phase of the lifecycle management process. This decision allows deployment activities, such as installing products at each site and certifying them for operational use, to start.

In-service management phase of the lifecycle management process, is that period of time after a

product or service begins operational use, and continues for as long as the product is in use.

Indian means any person who is a member of any Indian tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs in accordance with 25 U.S.C. 1452(c) and any "Native" as defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601).

Indian organization means any governing body of any Indian tribe or entity established or recognized by the governing body of an Indian tribe for the purposes of 25 U.S.C., chapter 17.

Indian-owned economic enterprise means any Indian-owned (as determined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for the purpose of profit, provided that Indian ownership shall constitute not less than 51 percent of the enterprise.

Indian tribe means any Indian tribe, band, group, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from BIA in accordance with 25 U.S.C. 1452 (c).

Integrated logistics support is the functional discipline that plans, establishes, and maintains a full lifecycle support system for FAA products and services. This applies to the sustainment and disposal of fielded products and services as well as new investment programs. The objective is the required level of service to the end user at optimal lifecycle cost to the FAA. The logistics manager is the service-team member who plans, establishes, and maintains an integrated product support package for the lifecycle of FAA products and services.

Interagency agreement is a written agreement between the FAA and another Federal agency where the FAA agrees to receive from, or exchange supplies or services with, the other agency, and FAA funds are obligated.

Interested party. An interested party is one who:

(1) Prior to the close of a solicitation, is an actual or prospective participant in the procurement, excluding prospective subcontractors; or

(2) After the close of a solicitation, is an actual participant who would be next in line for award under the solicitations scheme if the protest is successful. An actual participant who is not in line for award under the solicitations scheme is ineligible to protest unless that party's complaint alleges specific improper actions or inactions by the agency that caused the party to be other than in line for award. Proposed subcontractors are not eligible to protest.

Where a contract has been awarded prior to the filing of a protest, the awardee may be considered an interested party for purposes of participating in the protest proceedings.

Interface. The performance, functional, and physical attributes required to exist at a common boundary.

Interface control documentation. Interface control drawing or other documentation that depicts physical, functional, and test interface characteristics between two or more related or co-functioning items.

Interim payment is a form of contract financing for cost reimbursement contracts where a contractor is paid periodically during the course of a contract for allowable costs it incurs in the performance of the contract. As interim payments are issued during the course of a contract, they do not include the final payment issued after contract completion.

Intra-agency agreement is a written agreement between the FAA and Office of the Secretary of Transportation or another Department of Transportation operating administration where the requesting organization agrees to provide or exchange supplies or services with the FAA, and FAA funds are obligated.

Investment analysis of the lifecycle management process is conducted to determine the most advantageous solution to an approved mission need. It involves: (1) a market search to determine industry capability, (2) analysis of various alternative approaches for satisfying requirements, (3) and affordability assessment to determine what the FAA can afford, and (4) detailed planning for the alternative selected for implementation.

Investment increment. A discrete activity or investment program that may provide individual benefits and or combine with other investment increments to achieve the benefits of an operational capability.

Investment program. A sponsored, fully funded effort initiated at the final investment decision of the lifecycle management process by the investment decision authority in response to a priority agency need. The goal of an investment program is to field a new capability that satisfies performance, cost, and schedule targets in the acquisition program baseline and benefit targets in the business case analysis report. Typically an investment program is a separate budgeted line-item and may have multiple procurements and several projects, all managed within the single program.

Joint Resources Council is the FAA body responsible for making corporate level decisions.

Lifecycle. The entire spectrum of activity for an FAA capital asset starting with the identification of need and extending through design, development, production or construction, deployment, operational use, sustaining support, and retirement and disposal.

Lifecycle management process. A depiction of the series of phases and decision points that comprise the lifecycle of FAA products and services.

Lifecycle acquisition management system is a fully coordinated set of policies, processes, and computer-based acquisition tools that guide the lifecycle management workforce through the lifecycle management process from the determination of mission needs to the procurement and lifecycle management of products and services that satisfy those needs.

Lifecycle cost is the total cost to the FAA of acquiring, operating, maintaining, supporting, and disposal of systems or services over their useful life. Lifecycle cost includes total investment

costs, development costs, and operational costs and includes all appropriations, RE&D, F&E, and OPS.

Line of business. An informal term used to characterize the major organizations of the FAA, headed by the Chief Operating Officer (ATO) or the Assistant or Associate Administrator (non-ATO), having major roles and responsibilities in the lifecycle Acquisition Management System (FAA staff offices led by an Assistant Administrator are considered a line of business for purposes of AMS). They are: Air Traffic Organization; Aviation Safety; Airports; Commercial Space Transportation; Security and Hazardous Materials Safety; Finance and Management; NextGen and Operations Planning; Policy, International, Affairs and Environment; Human Resources; Civil Rights; Government and Industry Affairs; and Communications. See Appendix A for line of business roles and responsibilities.

Maintenance planning. The process is conducted to determine, evolve, and establish hardware and software maintenance concepts and requirements for the lifecycle of a product.

Maintenance support facility. The permanent or semi-permanent real property assets required to support a product. Maintenance support facility management includes conducting studies to define types of facilities or facility improvements, locations, space needs, environmental requirements, real estate requirements and equipment.

Market survey is used in two different contexts in AMS. In terms of the procurement and contracting process, it refers to any method used to survey industry to obtain information and comments and to determine competition, capabilities, and estimate costs. In terms of the lifecycle management process, market surveys are an integral part of investment analysis. After initial requirements are established, market surveys are used as a basis for identifying all potential material and nonmaterial solutions to mission need.

Memorandum of agreement (MOA) is a written document executed by the parties, which creates a legally binding commitment and may require the obligation of funds. However, when the FAA will acquire services, equipment, personnel, or facilities from a contractor for the direct benefit or use of the FAA, a procurement contract should be used.

Memorandum of understanding (MOU) is a written document executed by the parties which establishes policies or procedures of mutual concern. It does not require either party to obligate funds and does not create a legally binding commitment.

Metrics are measurements taken over time that monitor, assess, and communicate vital information about the results of a program or activity. Metrics are generally quantitative, but can be qualitative.

Minority Educational Institutions. Institutions verified by the U.S. Secretary of Education to meet the criteria set forth in 34 CFR 637.4. Also includes Hispanic-serving institutions as defined by 20 U.S.C. 1059c(b)(1).

Mission analysis is that part of the lifecycle management process during which continuous analytical activity is performed to evaluate the capacity of FAA assets to satisfy existing and emerging demands for services. It is conducted within the lines of business organizations of the

FAA.

Multi-year contracts are contracts covering more than one year but not in excess of five years of requirements. Total contract quantities and annual quantities are planned for a particular level and type of funding as displayed in a current five year development plan. Each program year is annually budgeted and funded and, at the time of award, funds need only to have been appropriated for the first year. The contractor is protected against loss resulting from cancellation by contract provisions, which allows reimbursement of costs included in the cancellation ceiling.

Multi-year funding refers to Congressional authorization and appropriation covering more than one fiscal year. The term should not be confused with two-year or three-year funds which cover only one fiscal year's requirement but permit the Executive Branch more than one year to obligate the funds.

NAS enterprise architecture is a NAS-wide enterprise repository of views which describe the current (as-is), mid-term, and far-term (to-be) perspectives of the NAS architecture as well as the strategic planning roadmaps which depict the possible evolution path from the “as is” to the “to be”.

NAS technical documentation. Any set of documents that describe the technical requirements of the National Airspace System.

Neutral means an impartial third party, who serves as a mediator, fact finder, or arbitrator, or otherwise functions to assist the parties to resolve the issues in controversy. A neutral person may be a permanent or temporary officer or employee of the federal government or any other individual who is acceptable to the parties. A neutral person shall have no official, financial, or personal conflict of interest with respect to the issues in controversy, unless such interest is fully disclosed in writing to all parties and all parties agree that the neutral person may serve.

NextGen Implementation Plan is an executive-level outline of current activities and program commitments necessary to implement new operational capabilities. The plan is published annually to reflect prior-year accomplishments and new commitments.

No-year funding refers to Congressional funding that does not require obligation in any specific year or years.

Non-certified cost or pricing data is any type of information that is not required to be certified, that is necessary to determine price reasonableness or cost realism. This includes pricing, sales, or cost information, and cost or pricing data for which certification is determined inapplicable after submission.

Non-developmental item (NDI) is an item that has been previously developed for use by federal, state, local, or a foreign government and for which no further development is required.

Non-materiel solution. A solution to an FAA capability shortfall identified during service analysis or investment analysis that is operationally acceptable to users and can be implemented within approved budgets and baselines. Non-materiel solutions typically involve regulatory change, process re-engineering, training, procedural change, or transfer of operational assets

between sites.

Nonrecurring costs are those production costs which are generally incurred on a one time basis and include such costs as plant or equipment relocation, plant rearrangement, special tooling and special test equipment, pre-production engineering, initial spoilage and rework, and specialized workforce training.

Operational baseline. The approved technical documentation representing installed operational hardware and software.

Operational capability. A grouping of operational improvements and operational sustainments to achieve specified service outcomes and benefits.

Operational improvement. A change to operational assets to improve one or more NAS services.

Operational readiness refers to the state of a fielded new system in the NAS. This state is achieved after the system is tested by the FAA at a field test site where it is demonstrated that local site personnel have the ability to fully operate and maintain the new system.

Operational suitability. The capability of a product to be satisfactorily integrated and employed for field use, considering such factors as compatibility, reliability, human performance factors, maintenance and logistics support, safety, and training. The term also refers to the actual degree to which the product satisfies these parameters.

Operational sustainment. A discrete activity to maintain one or more current NAS services.

Other transaction. Transactions, as referenced in Public Law 104-264, October 9, 1996, which do not fall into the category of procurement contracts, grants, or cooperative agreements.

Owners. Within context of the Air Traffic Organization, owners of the FAA are the President, Congress, flying public, and American taxpayers.

Packaging, handling, storage and transportation. The resources, processes, procedures, design considerations, and methods to ensure that all subsystem, equipment, and support items are preserved, packaged, handled, and transported properly. Included are environmental considerations and equipment preservation requirements for short and long term storage and transportability.

Performance. A quantitative measure characterizing a physical or functional attribute relating to the execution of an operation or function. Performance attributes include quantity (how many or how much), quality (how well), coverage (how much area, how far), timeliness (how responsive, how frequent), and readiness (availability, mission/operational readiness). Performance is an attribute for all systems, people, products and processes including those for development, production, verification, deployment, operations, support, training and disposal. Thus, supportability parameters, manufacturing process variability, reliability and so forth, are all performance measures.

Personnel security. The standards and procedures utilized to determine and document that the employment or retention in employment of an individual will promote the efficiency of the

service and is clearly consistent with the interests of the national security.

Portfolio manager. The individual responsible for management and oversight of an investment portfolio designed to achieve specific operational capabilities.

Prescreening. The evaluation of case files for impacts on safety, ATC services, and other intangible benefits, as well as cost/benefits implications, to determine if the proposed change should be implemented.

Price equals cost plus any fee or profit involved in the procurement of a product or service.

Primary engineer or principal consultant is a firm which is held responsible for the overall performance of the services, including that which is accomplished by others under separate or special service contracts.

Procurement strategy meeting is a meeting of organizations with vested interests in the contemplated procurement. The purpose of this meeting is to reach a consensus on the planned course of the acquisition and to obtain the necessary approvals to proceed.

Procurement team means the Contracting Officer, legal counsel, program officials and other supporting staff.

Program requirements document establishes the operational framework and requirements of the line of business with a mission need. It translates mission need into top-level performance, supportability, and benefit requirements that should be satisfied by the fielded capability. It is prepared in the concept and requirements definition phase of the lifecycle management process.

Product baseline is the initially approved documentation describing all of the necessary functional and physical characteristics of the configuration item and the selected functional and physical characteristics designated for production acceptance testing and tests necessary for support of the configuration item. In addition to this documentation, the product baseline of a configuration item may consist of the actual equipment and software.

Product team or service team. A team with a mission, resources, leader, and cross-functional membership, which executes an element of a service organization's mission.

Program decision-making. In general, resource decision-making in the lifecycle management process is at the corporate level and program decision-making is within service organization.

Protest is a written, timely objection submitted by a protester to an FAA screening information request or contract award.

Protester is a prospective offeror whose direct economic interest would be affected by the award or failure to award an FAA contract, or an actual offeror with a reasonable chance to receive award of an FAA contract.

Rational basis. Documented facts that are: (1) objective and verifiable (not unreasonable, capricious or arbitrary), (2) understandable to a reasonable person, and (3) supported by substantial evidence that results in a logical conclusion. The AMS is a tool used to help

formulate a rational basis.

Real property is defined as:

(1) Any interest in land, together with the improvements, structures, and fixtures located thereon (including prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers with or without undercarriages), and appurtenances thereto, under the control of any Federal agency, except

(a) The public domain;

(b) Lands reserved or dedicated for national forest or national park purposes;

(c) Minerals in lands or portions of lands withdrawn or reserved from the public domain that the Secretary of the Interior determines are suitable for disposition under the public land mining and mineral leasing laws;

(d) Lands withdrawn or reserved from the public domain but not including lands or portions of lands so withdrawn or reserved that the Secretary of the Interior, with the concurrence of the Administrator of General Services, determines are not suitable for return to the public domain for disposition under the general public land laws because such lands are substantially changed in character by improvements or otherwise; and

(e) Crops when designated by such agency for disposition by severance and removal from the land.

(2) Improvements of any kind, structures, and fixtures under the control of any Federal agency when designated by such agency for disposition without the underlying land (including such as may be located on the public domain, on lands withdrawn or reserved from the public domain, on lands reserved or dedicated for national forest or national park purposes, or on lands that are not owned by the United States) excluding, however, prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers (with or without undercarriages).

(3) Standing timber and embedded gravel, sand, or stone under the control of any Federal agency, whether designated by such agency for disposition with the land or by severance and removal from the land, excluding timber felled, and gravel, sand, or stone excavated by or for the Government prior to disposition.

Record drawings are drawings submitted by a contractor or subcontractor at any tier to show the construction of a particular structure or work as actually completed under the contract.

Recurring costs are production costs that vary with the quantity being produced, such as labor and materials.

Release. The designation by the originating activity that a document or software version is approved by an appropriate authority and is subject to configuration change management procedures.

Requirements. Conditions or capabilities that must be met or exceeded by a product or component to satisfy agency needs. Requirements form the basis for a contract, standard, specification, or other formally imposed document.

Research, engineering and development (RE&D). The RE&D process governs selection and execution of the RE&D portfolio. This portfolio includes systematic studies to gain knowledge or understanding of concepts, products, or procedures that could potentially benefit the aviation community with or without specific application or means by which a specific need may be met such as research related to materials and human factors. These activities inform the NAS enterprise architecture and CMTD activities, but do not lead directly to concept and requirements definition.

Resources. As it applies to contractor personnel security refers to FAA resources including a physical plant, information databases including hardware and software, as well as manual records pertaining to agency mission or personnel.

Screening is the process of evaluating offeror submittals to determine either which offerors/products are qualified to meet a specific type of supply or service, which offerors are most likely to receive award, or which offerors provide the best value to the FAA.

Screening decision is the narrowing of the number of offerors participating in the source selection process to only those offerors most likely to receive award.

Screening information request is any request made by the FAA for documentation, information, or offer for the purpose of screening to determine which offeror provides the best value solution for a particular procurement.

Second-level engineering support. This work comprises engineering support of the National Airspace System infrastructure and includes defining system performance standards, developing and publishing procedures, designing system improvements, and providing support to first-level technical support personnel.

Selection decision is the determination to make an award by the source selection official to the offeror providing the best value to the FAA.

Service-disabled veteran-owned small business is a small business concern that is 51% owned and controlled by a service disabled veteran(s).

Service organization. A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Simplified purchases are those products or services of any nature that are smaller in dollar value, less complex, shorter term, routine, or are commercially available and are generally purchased on a fixed price basis.

Single-source contracting is to award a contract, without competition, to a single supplier of products or services.

Small business is a business, including its affiliates, that is independently owned and operated and not dominant in producing the products or performing the services being purchased, and one that qualifies as a small business under the federal government's criteria and North American Industry System Classification Codes size standards.

Small business set-aside is the reservation of an acquisition exclusively for participation by small businesses.

Small disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Small socially and economically disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Socially disadvantaged individuals - individuals who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their qualities as individuals.

Solution implementation is the phase of the lifecycle management process that begins after

the investment decision authority selects a solution and establishes an investment program. It ends when the new capability goes into service. This phase is led by the service organization assigned by the IDA at the investment decision.

Solution providers. An organization (e.g., service organization or a regional office implementing a construction program) that has the responsibility for providing assets to satisfy National Airspace requirements.

Specification. A document that explicitly states essential technical attributes/requirements for product and procedures to determine that the product's performance meets its requirements/attributes.

Standardization is the practice of acquiring parts, components, subsystems, or systems with common design or functional characteristics to obtain economies in ownership costs.

Strategic sourcing. The collaborative and structured process of critically analyzing an organization's spending and using this information to make business decisions about acquiring products and services more effectively and efficiently.

Supply, as used in the context of mission analysis, is the existing or projected supply of services to its customers, based on information from field organizations that operate and maintain the NAS, from the aviation community, and from the enterprise architecture.

Supply support. All management actions, procedures, and techniques used to determine requirements that acquire, catalog, track, receive, store, transfer, issue, and dispose of items of supply. This includes provisioning for initial support, maintaining asset visibility for financial accountability, and replenishing spares.

Supportability. The degree to which product design and planned logistics resources meet product use requirements.

Support equipment. All equipment (mobile or fixed) required to support maintenance of a product. It includes associated multi-use end items, ground-handling and maintenance equipment, tools, metrology and calibration equipment, test equipment, and automatic test equipment. It includes the procurement of integrated logistics support necessary to maintain the support equipment itself. Operational engineering support systems and facilities are also integral parts of the lifecycle support equipment.

Sustainment. Those activities associated with keeping fielded products operational and maintained. Also applies to the planning, programming and budgeting for fielded products, referred to as sustainment funding.

Technical data. Recorded information regardless of form or character (such as manuals, drawings and operational test procedures) of a scientific or technical nature required to operate and maintain a product over its lifecycle. While computer programs and related software are not technical data, documentation of these programs and related software are technical data. Also excluded is financial data or other information related to contract administration.

Technical leveling is the act of helping an offeror to bring its proposal/offer up to the level of

other proposals/offers through successive rounds of communication, such as by pointing out weaknesses resulting from the offeror's lack of diligence, competence, or inventiveness in preparing his proposal.

Technical transfusion is the FAA's disclosure of technical information from one submittal that results in the improvement of another submittal.

Technical opportunity. A technological opportunity exists when a product or capability not currently used in the NAS has the potential to enable the FAA to perform its mission more safely, efficiently or effectively.

Termination for convenience is a procedure that may apply to any FAA contract, including multi-year contracts. As contrasted with cancellation, termination can be effected at any time during the life of the contract (cancellation is effected between fiscal years) and can be for the total quantity or a partial quantity (whereas cancellation must be for all subsequent fiscal year quantities).

Termination liability is the maximum cost the FAA would incur if a contract is terminated. In the case of a multi-year contract terminated before completion of the current fiscal year's deliveries, termination liability would include an amount for both current year termination charges and out year cancellation charges.

Termination liability funding refers to obligating contract funds to cover contractor expenditures plus termination liability, but not the total cost of the completed end items.

Test and Evaluation Master Plan (TEMP) is the primary test management document for new initiative investment programs throughout their lifecycle. It describes the test strategy and the scope of the test program. It also documents the test and evaluation methodologies that will be used to assess program requirements including safety hazard controls/mitigations and security risks.

Total estimated potential value. The sum of the initial award, unexercised options, the value of any indefinite delivery/indefinite quantity (IDIQ) contract line items (CLINs), estimates for unpriced CLINs, such as preplanned product improvements, estimated value of partially priced items, and any other items the Contracting Officer deems relevant to establishing potential total contract value. The potential contract value should exclude anticipated change orders, pre- planned product improvements which are not established as CLINs, and any other anticipated actions not included in the written contract. Where duplicative or alternative options are established (i.e., if option 1 is exercised, option 2 will not be exercised) the Contracting Officer should include only the value which reflects the highest priced option. For incentive contracts, the maximum liability of the Government should be included in the potential contract value. For IDIQ contracts, the total contract value is the stated maximum amount the total of issued delivery orders cannot exceed.

Training, training support, and personnel skills. The analysis, design, development, implementation, and evaluation of training requirements to operate and maintain the product. This includes: conducting needs analyses; job and task analyses; delivering individual and team training; resident and nonresident training; on-the-job training; job aids; and logistic support

planning for training aids and training installations.

Unauthorized commitment is an agreement entered into by a representative of the FAA who does not have the authority to obligate the FAA to spend appropriated funds.

Unit. One of a quantity of items (products, parts, etc.)

User. Internal FAA user of a product or service, such as air traffic controllers or maintenance technicians.

Validation. Confirmation that an end product or end-product component will fulfill its intended purpose when placed in its intended environment. The methods employed to accomplish validation are applied to selected work products as well as to the end product and end-product components. Work products should be selected on the basis of which are the best predictors of how well the end product and end-product component will satisfy the intended purpose and user needs. Validation may address all aspects of an end product in any of its intended environments, such as operation, training, manufacturing, maintenance, or support services.

Verification. Confirmation that selected work products meet their specified requirements. This includes verification of the end product (system, service, facility, or operational change) and intermediate work products against all applicable requirements. Verification is inherently an incremental process since it occurs throughout the development of the end product and work products - beginning with initial requirements, progressing through subsequent changes, and culminating in verification of the completed end product.

Version. (1) One of several sequentially created configurations of a data product. (2) A supplementary identifier used to distinguish a changed body or set of computer-based data (software) from the previous configuration with the same primary identifier. Version identifiers are usually associated with data (such as files, data bases and software) used by, or maintained in, computers.

Very small business is a business whose size is no greater than 50 percent of the numerical size standard applicable to the North American Industry System Classification Codes assigned to a contracting opportunity.

Work product. A work product in various forms represents, defines, or directs the end product (system, service, facility, or operational change). This can include concepts of operation, processes, plans/procedures, designs/descriptions, requirements/specifications, models/prototypes, contracts/invoices and other documents.

Work breakdown structure. A hierarchical decomposition of the work to be performed to accomplish an approved agency objective. It includes both internal and external work activities and each descending level represents an increasing definition of the work to be performed.

Appendix D: Acronyms Revised 7/2015

ADR	Alternative Dispute Resolution

AEB	Acquisition Executive Board
AIP	Airport Improvement Program
AMS	Acquisition Management System
AOPC	Agency/Organization Program Coordinator
AP	Approving Official
ASAG	Acquisition System Advisory Group
BC	Business Case
CAS	Cost Accounting Standards
CAS	Commercially Available Software (2nd definition for this acronym)
CCB	Configuration Control Board
CCD	Configuration Control Decision
CIB	Card Issuing Bank
CIP	Capital Investment Plan
CIT	Capital Investment Team
CM	Configuration Management
CMTD	Concept Maturity and Technology Development
CO	Contracting Officer
COCO	Chief of the Contracting Office
COI	Critical Operational Issue
COTS	Commercial Off The Shelf
CPIC	Capital Planning and Investment Control
DPA	Delegation of Procurement Authority
DOT	Department of Transportation
DRO	Dispute Resolution Officer
EA	Enterprise Architecture
EIS	Environmental Impact Statement
EVM	Earned Value Management
F&E	Facilities and Equipment
FAA	Federal Aviation Administration
FAST	FAA Acquisition System Toolset
FISMA	Federal Information Security and Management Act
FONSI	Finding of No Significant Interest
FSS	Federal Supply Schedule
GFI	Government Furnished Information
GFP	Government Furnished Property
GSA	General Services Administration
IDA	Investment Decision Authority
ILS	Integrated Logistics Support
IOA	Independent Operational Assessment
IRT	Integrated Requirements Team
ISM	In-Service Manager
ISR	In-Service Review
ISS	Information System Security
JRC	Joint Resources Council
LOB	Line of Business

MCC	Merchant Category Codes
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NAIC	North American Industry Classification
NAS	National Airspace System
NCP	National Airspace System Change Proposal
NDI	Non-developmental Item
NMB	NextGen Management Board
ODR	Office of Dispute Resolution
O&M	Operations and Maintenance
OMB	Office of Management and Budget
OPR	Offices of Primary Responsibility
OC	Operational Capability
OCIP	Operational Capability Integration Plan
OI	Operational Improvement
ORD	Operational Requirements Document
OS	Operational Sustainment
OSHA	Occupational Safety and Health Administration
OST	Office of the Secretary of Transportation
P3I	Preplanned Product Improvement
PMO	Program Management Office
PSM	Procurement Strategy Meeting
PT	Product Team
QRO	Quality Reliability Officer
QVL	Qualified Vendor List
RCCB	Regional Configuration Control Board
RE&D	Research, Engineering, and Development
RFO	Request For Offer
RMA	Reliability, Maintainability, and Availability
SB	Small Business
SDB	Small Disadvantage Business
SDVOSB	Service-Disabled Veteran Owned Small Business
SEDB	Socially and Economically Disadvantaged Businesses
SIC	Standard Industrial Classification
SIR	Screening Information Request
SSO	Source Selection Official
T&E	Test and Evaluation
TEMP	Test and Evaluation Master Plan
U.S.C.	United States Code
VSB	Very Small Business

Appendix E: External Authorities

This table highlights selected government-wide laws, regulations, executive orders, and other

directives that affect acquisition programs. In some instances, FAA-unique implementation of these authorities is outlined in the Acquisition Management System. In most cases, however, implementation is through means other than the Acquisition Management System. This table is not all inclusive. Full text of the authorities may be viewed from the following websites: http://www.archives.gov or http://uscode.house.gov

The appendix is divided into four parts as follows:

Part I - Statutes arranged alphabetically by title Part

II - Executive Orders arranged numerically

Part III - Regulations/Standards arranged alphabetically by title

Part IV - External Authorities applicable to Real Estate

A. Statutes arranged alphabetically by title
B. Executive Orders arranged numerically
C. Regulations/Standards arranged alphabetically by title

Appendix E: Part I - Statutes Revised 10/2014

Title	Description Summary	Functional area affected	Promulgated by AMS: P=Policy, G=Guidance, C=Clause *=See Office of Chief Counsel			
Administrative Procedures Act (5 USC 500 et seq)	Authorizes a duly qualified individual to represent a person before an agency.	All				*
Agreement on Civil Aircraft (19 USC 2513)	Exempts civil aircraft from Buy American Act.	Procurement				*
Air Commerce and Safety (49 USC 40121(c)(2)	Establishes legal authority for joint activities between DoD and FAA to improve or replenish the national air traffic control system.	Procurement		G		
Airport Improvement (AIP) Grants (49 USC 47101)	Establishes U.S. policy for airport development and improvement.	Agreements		G		
Air Traffic Management System	Administrator must consider terminating Facilities and Equipment acquisition program	All	P			

Performance Improvement Act of 1996, P.L. 104-264 (49 USC 40121).	that exceeds 10% of cost or schedule baseline or fails to achieve 90% of performance goals. When cost or schedule breach is 50% or more, Administrator must terminate program, or make a written determination to continue program and send the determination to Congress.					
Air Transportation Security (49 USC 44903)	Authorizes the Administrator to prescribe regulations to protect passengers and property on an aircraft operating in air transportation or intrastate air transportation against an act of criminal violence or aircraft piracy.	Procurement		G		
Anti-Deficiency Act (31 USC 1341)	Prohibits expenditure in excess of funds available.	Procurement	P	G	C	
Anti-Kickback Act (41 USC 8701-8707)	Prohibits offering or accepting kickbacks; criminal penalties apply.	Ethics Procurement Real Estate			 C	*
Anti-Lobbying Act (31 USC 1352)	Prohibits use of Federal funds for lobbying.	Procurement				*
Assistance to Foreign Aviation Authorities (49 USC 40113(e)	Authorizes the Administrator to provide safety-related training and operational services to foreign aviation authorities with or without reimbursement, if the Administrator determines that providing such services promotes aviation safety.	Procurement		G		
Authority to Transfer an Interest in Surplus Property (49 USC 47151)	Authorizes a department, agency, or instrumentality of the executive branch of the U.S. Government or a wholly owned Government corporation to give a State, political subdivision of a State, or tax-supported organization any interest in property subject to sections 47152, Terms of Gifts and 47153, Waiving and Adding Terms, of this title.	Procurement		G		

Bayh-Dole Act (35 USC 200)	Provides policy regarding inventions made with Government assistance	Procurement				*
Bona fide Fiscal year need statutes (31 USC 1301)	Requires appropriations to be applied only to the objects for which the appropriations were made except as otherwise provided by law.	Budget Procurement			C	*
Bribery and Conflict of Interest Laws (18 USC 201)	Prescribes fines and punishment for bribery of public officials and witnesses.	All				*
Bribery and Conflict of Interest Laws (18 USC 208)	Prescribes acts and penalties affecting a personal financial interest.	All	P			
Buy American Act (41 USC 8301-8305)	Requires American manufactured materials and supplies for public use. (Also see Executive Order 10582)	Procurement	P	G	C	
Buy American (FAA) (49 USC 50101)	Mandates a preference for raw and manufactured American materials.	Procurement			C	*
Cargo Preference Act (46 USC 1241)	Mandates preference for shipping cargo on U.S. ships.	Procurement			C	
Caribbean Basin Economic Recovery Act (19 USC 2701)	Exempts certain Caribbean countries from Buy American provisions of 19 USC 2701.	Procurement		G		
Clean Air Act (42 USC 7401 et seq)	Encourages or otherwise promotes reasonable Federal, State, and local governmental actions, consistent with the provisions of this chapter, for pollution prevention.	Procurement Environment	P	G	C	
Clean Water Act (33 USC 1251 et seq)	Restores and maintains the chemical, physical, and biological integrity of the Nation's waters.	Procurement Environment	P	G	C	
Common Carrier Liability (49 USC 11707)	Specifies liability when property is delivered in violation of routing instructions.	Procurement				*
Comprehensive Iran Sanctions, Accountability, and Divestment Act of 2010 (P.L. 111-195)	Requires offerors to certify that they have not exported sensitive technology to Iran	Procurement		G	C	
Contract Work Hours and Safety Standards Act (40	Establishes a standard 8 hour workday and standard 40 hour	Procurement	P	G	C	

USC 328)	workweek for laborers and mechanics, with compensation of not less than one and one-half times the basic rate of pay for work exceeding the standard workweek.					
Convict Labor Act (18 USC 23-436)	Prohibits convicts from performing Government contracts. (Also see Executive Orders 11755 and 12943)	Procurement	P	G		
Cooperative Research and Development Agreements (15 USC 3710a)	Supports the full use of the results of the Nation's Federal investment in research and development. To this end the Federal Government shall strive where appropriate to transfer Federally owned or originated technology to State and local governments and to the private sector.	Agreements		G		
Copeland Act (18 USC 874 and 40 USC 276c) a.k.a. Anti-Kickback Act	Makes it unlawful to induce any person, employed in the construction or repair of public buildings or public works financed in whole or in part by the U.S., to give up any part of the compensation to which they are entitled.	Procurement	P	G	C	
Davis Bacon Act (40 USC 276a)	Requires construction contractors to pay prevailing wages for laborers and mechanics.	Procurement	P	G	C	
Department of Transportation, General Duties and Powers (49 USC 322(c))	Provides general authority for FAA to enter into reimbursable agreements with other agencies and for cooperative agreements to use the services, records, and facilities of State, territorial, municipal and other agencies. However, 49 USC 106 (l) and (m) provides broader authority and should be cited in place of Section 322(c) for FAA agreements.	Agreements		G		
Disclosure of Confidential Information (18 USC 1905)	Prohibits the disclosure of confidential information by public officials, i.e. trade secrets.	Ethics Procurement	P	G		

Drug Free Workplace (41 USC 8101-8106)	Prohibits award of contracts to entities who have not certified that it is a drug free workplace. AMS does not reference 41 USC 8101-8106. However it is FAA policy to only award contracts to entities who have certified a drug free workplace.	Procurement	P	G	C	
Economy Act (31 USC 1535)	Authorizes the head of an agency or major organizational unit within to place an order with a major organizational unit within the same agency or another agency for goods or services under conditions specified in the statute.	Procurement		G		
Energy Policy and Conservation Act (42 USC 6361(a)(1))	Requires agencies to develop mandatory standards for energy conservation and energy efficiency to govern the procurement policies and decisions of the Federal Government and all Federal agencies and to cause such standards to be implemented.	Procurement Environment	P	G		
Explosive Detection (49 USC 44913)	Governs the deployment and purchase of explosive detection equipment under 14 USC 108.7(b)(8) or 108.20 when the FAA Administrator certifies	Procurement		G		
	that the equipment alone, or as part of an integrated system, can detect under realistic air carrier operating conditions the amounts, configurations, and types of explosive material that would likely be used to cause catastrophic damage to commercial aircraft.					
False Claims Act (31 USC 3729)	Specifies civil penalties for false claims against the U.S.	All		G		*
Fastener Quality Act - June 8, 1999 (15 USC 5402)	Requires fasteners (i.e. bolts, nuts, screws) to be manufactured in accordance with a	Procurement	P			

	fastener quality assurance system; or manufactured to a proprietary standard, such as ISO 9000, QS9000, VDA6.1, or AS9000.					
Federal Aviation Administration (49 USC 106)	Authorizes the Administrator to enter into and perform such contracts, leases, cooperative agreements, or other transactions as may be necessary to carry out the functions of the Administrator and the Administration.	Procurement	P	G		
Federal Claims Collection (31 USC 3711)	Establishes provisions for collecting claims of the U.S. for money or property arising out of the activities of, or referred to the agency.	Procurement				*
Federal Excise Taxes (26 USC 4041)	Imposes tax on diesel fuel in certain cases.	Procurement	P	G		
Federal Facilities Compliance Act	Mixed Waste is regulated as hazardous and radioactive waste under the Resource Conservation and Recovery Act (RCRA) and the Atomic Energy Act (AEA), respectively.	Environment				*
Federal Prison Industries (18 USC 4121)	Prescribes requirement for purchases from Federal Prison facilities.	Procurement	P	G	C	
Federal Workforce Restructuring Act of 1994 - P.L. 103-226 (5 USC 5597)	To provide temporary authority to Government agencies relating to voluntary separation, incentive payments, and for other purposes and limitation on procurement of Service Contracts with involuntarily separated employees.	Procurement	P	G	C	
Freedom of Information Act (FOIA) as amended (5 USC 552)	Regulates the release of public information; agency rules, opinions, orders, records, and proceedings.	All	P	G		*
General Facilities and Personnel Authority (49 USC 44502)	Provides general authority to the Administrator of the Federal Aviation Administration to acquire, establish, improve, operate, and maintain air navigation facilities; and provide facilities and	Procurement Real Estate	P	G		

	personnel to regulate and protect air traffic.					
Gift and Bequests (49 USC 326)	Authorizes the Administrator to accept any conditional or unconditional gift or donation of money or property, real or personal, or of services for the FAA	All		G		
Government Performance and Results Act of 1993 (31 USC 1101, 1115-1119)	Requires performance indicators and measurement.	Metrics Baseline Management	P			
Indian Incentive Program (25 USC 1544)	A contractor of a Federal agency under any Act of Congress may be allowed an additional amount of compensation equal to 5 percent of the amount paid, or to be paid, to a subcontractor or supplier, in carrying out the contract if such subcontractor or supplier is an Indian organization or Indian-owned economic enterprise as defined in this chapter.	Procurement	P	G	C	
Interest of Member of Congress (41USC 6306)	Prohibits member of or delegate to Congress from sharing in benefit from contract or grant	Procurement			C	*
International Airport Facilities, Administrative (49 USC 47305)	Authorizes the Secretary of Transportation to consolidate, operate, protect, maintain, and improve airport property and airway property (except meteorological facilities).	Procurement		G		
International Airport Facilities, Definitions (49 USC 47301)	Provides definitions pertaining to International Airport Facilities.	Procurement		G		
International Air Transportation Fair Competitive Practices Act of 1974 (49 USC 40118 (5))	Requires that all Federal agencies and Government contractors and subcontractors use U.S.- flag air carriers for U.S. Government-financed international air transportation of personnel (and their personal effects) or property, to the extent that service by those carriers is available. (Also known as the Fly America Act)	Procurement			C	
Iran Sanctions Act of 1996 (50 USC	Requires offerors to certify they have not been	Procurement		G	C	

1701 note)	involved in sanctioned activities with the Government of Iran					
Iran Threat Reduction and Syria Human Rights Act of 2012 (P.L. 112-158)	Expands sanctions relating to the energy sector of Iran and sanctions with respect to Iran's Revolutionary Guard Corps	Procurement		G	C	
James Zadroga 9/11 Health and Compensation Act of 2010 (P.L. 111-347)	Imposes on any foreign person that receives a specified Federal procurement payment a tax of 2% of each payment. Stipulates that foreign contractors are not to be reimbursed for this tax.	Procurement		G	C	
Javits-Wagner-O'Day Act (41 USC 8501-8506)	Established the Committee for Purchase of Products and Services of the Blind and Other Severely Handicapped.	Procurement	P	G		
Judicial Review (49 USC 46110)	Prescribes judicial review process for a person disclosing a substantial interest in an order issued by the Secretary of Transportation (or the Administrator of the Federal Aviation Administration with respect to aviation safety duties and powers designated to be carried out by the Administrator) under this part.	Procurement	P		C	
Miller Act (40 USC 270a-270f)	Requires construction contractors to provide performance and payment bonds that are greater than $25,000 but not greater than $100,000.	Procurement	P	G	C	
National Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), Amended 1990 (P.L. 101-614) (42 USC 7701 et seq.)	Requires Agencies to adopt standards for assessing and enhancing the seismic safety of buildings designed for, or constructed by, or leased by the Federal Government.	All	P			
North American Free Trade Agreement (NAFTA) P.L. 103- 182 (19 USC 3311)	Canada/Mexico exception from Buy American Act if purchase is over $25,000.	Procurement			C	
National Energy Conservation Policy Act (42 USC 6201)	Requires energy and water conservation measures for federal buildings, facilities, or space	Environment	P			
National Environmental Policy Act (42 USC 6201)	Requires environmental assessment or environmental	Environment	P	G		

	impact statement for proposed Federal actions					
Paperwork Reduction Act (44 USC 3501)	Requires Federal agencies to become more responsible and publicly accountable for reducing the burden of Federal paperwork on the public, and for other purposes resulting from the collection of information by or for the Federal Government.	All	P			
Privacy Act (5 USC 552a)	Establishes procedures for records maintained on individuals to ensure that certain information is secured.	Ethics Procurement	P	G	C	
Procurement Integrity Act (41USC 2101-2107)	Prohibits unauthorized release of source selection or other proprietary data.	Procurement	P	G	C	
Project Grant Authority (49 USC 47104)	Authorizes the Secretary of Transportation to make project grants from the Airport and Airway Trust Fund to maintain a safe and efficient nationwide system of public-use airports that meets the present and future needs of civil aeronautics.	Procurement		G		
Public Law 85-804 (50 USC 1431-1434)	Empowers the President to authorize agencies exercising functions in connection with the national defense to enter into, amend, and modify contracts, without regard to other provisions of law related to making, performing, amending, or modifying contracts, whenever the President considers that such action would facilitate the national defense, to exercise the authority conferred by the Act and to delegate it to other officials within the agency. (Also see E.O. 10789)	Procurement	P	G	C	
Randolph-Sheppard Vending Facility Act (20 USC 107)	Provides for blind persons licensed under the provisions of this chapter authorization to operate vending facilities on any Federal property.	Procurement	P	G		
Rehabilitation Act of 1973 - Section 508 (29 USC 794d)	Requires information technology purchases to be accessible to people with disabilities.	Procurement	P	G	C	
Rehabilitation Act (29 USC 793)	Requires affirmative action to employ and advance in employment qualified individuals with disabilities.	Procurement	P	G		*

Research and Development (49 USC 44912)	Requires the FAA Administrator to establish and carry out a program to accelerate and expand the research, development, and implementation of technologies and procedures to counteract terrorist acts against civil aviation.	Procurement		G		
Resource Conservation and Recovery Act (42 USC 6901)	Prescribes policies and procedures for acquiring Environmental Protection Agency-designated products through affirmative procurement programs.	Procurement Environment	P	G	C	
Robert T Stafford Disaster Relief and Emergency Assistance Act (42 USC 5150)	Provides for a preference for local organizations, firms, or activities when contracting for major disaster or emergency assistance activities	Procurement	P	G	C	
Service Contract Act (41 USC 6701-6707)	Provides for minimum wages and fringe benefits as well as other conditions of work under certain types of service contracts. Whether or not the Act applies to a specific service contract will be determined by the definitions and exceptions given in the Act, or implementing regulations.	Procurement	P	G	C	
Service-Disabled Veteran Owned Small Business Program (13 CFR,121,125&134)	Provides for competitive and non-competitive set- asides for Service Disabled Veteran Owned Small Businesses.	Procurement	P	G	C	
Systems, Procedures,	Requires the FAA Administrator to develop,	Procurement		G		
Facilities, and Devices (49 USC 44505)	alter, test, and evaluate systems, procedures, facilities, and devices, and define their performance characteristics, to meet the needs for safe and efficient navigation and traffic control of civil and military aviation, except for needs of the armed forces; and to select systems, procedures, facilities, and devices that will best serve those needs and promote maximum coordination of air traffic control and air defense systems.					
Terms of Gifts (49 USC 47152)	Specifies the terms applicable to a gift of an interest in surplus	Procurement		G		

	property.					
Training Schools (49 USC 40108)	Authorizes the FAA Administrator to operate schools to train officers and employees of the Administration to carry out duties, powers, and activities of the Administrator.	Procurement		G		
Vietnam Era Veterans Readjustment Act (38 USC 2012)	Requires contractors and subcontractors, when entering contracts subject to the Act, to list all suitable employment openings with the appropriate local employment service office and take affirmative action to employ, and advance in employment, qualified special disabled veterans and veterans of the Vietnam Era without discrimination based on their disability or Veteran's status. (Also see Executive Order 11701)	Procurement		G		*
Waiving and Adding Terms (49 USC 47153)	Authorizes the Secretary of Transportation to waive, without charge, a term of a gift of an interest in property under this subchapter.	Procurement		G		
Walsh Healey Public Contracts Act (41 USC 6501-6511)	Provides conditions for the purchase of supplies and the making of contracts by the United States, and for other purposes.	Procurement	P	G		
Wendell H. Ford Aviation Investment & Reform Act for the 21st Century (49 USC 40110(d)(3))	Subjects the FAA to the Procurement Integrity Act (41 USC 2101-2107), except that sections 2101, Definitions, and 2106, Reporting information believed to constitute evidence of offense, shall not apply.	Procurement		G		

END OF PART I

Appendix E: Part II - Executive Orders Revised 10/2015

Title	Description Summary	Functional area affected	Promulgated by AMS: P=Policy, G=Guidance, C=Clause *= See Office of Chief Counsel			
Executive Order 10582, Prescribing Uniform Procedures for Certain Determinations Under the Buy-American Act (Dec 17, 1954	Requires the Government to give preference to domestic end products. (See Buy American Act.) Amended by E.O.'s 10761, 11051, 12148, and 12608. (Also see E.O. 12148)	Procurement		G	C	
Executive Order 10789, Authorizing agencies of the Government to exercise certain contracting authority in connection with national-defense functions and prescribing regulations governing the exercise of such authority	Authorizes non-DoD agencies of the Government to exercise certain contracting authority in connection with national-defense functions and to prescribe regulations governing the exercise of such authority. Amended by: EO 11051, September 27, 1962; EO 11382, November 28, 1967; EO 11610, July 22, 1971; EO 12148, July 20, 1979; EO 12919, June 3, 1994; EO 13232, October 20, 2001; EO 13286, February 28, 2003	Procurement	P	G	C	
Executive Order 11141, Equal Employment Opportunity, (February 12, 1964)	Prescribes policies and procedures pertaining to nondiscrimination in employment by contractors and subcontractors	Procurement	P	G	C	
Executive Order 11701, Employment of veterans by Federal agencies and Government contractors and subcontractors (Jan. 24, 1973)	Requires each department and agency of the executive branch of the Federal Government list suitable employment openings with the appropriate office of State Employment Service or the United States Employment Service and extends the program to Government contractors and	Procurement		G		

	subcontractors. (Also 38 USC 2012)					
Executive Order 11912, Delegation of Authorities Relating to Energy Policy and Conservation (April 13, 1976)	Amended by: EO 12003, July 20, 1977; EO 12038, February 3, 1978; EO 12148, July 20, 1979; EO 12375, August 4, 1982. Superseded or revoked in part by E.O. 12919, National Defense Industrial Resources Preparedness.(Also see E.O. 12919)	Procurement Environment	P			
Executive Order 12038, Relating to Certain Functions Transferred to the Secretary of Energy by the Department of Energy Organization Act (February 3, 1978)	Relates to certain functions transferred to the Secretary of Energy by the Department of Energy Organization Act. Amended by: EO 12156, September 10, 1979 and by EO 12287 - Decontrol of crude oil and refined petroleum products. (Also see E.O.12287)	Procurement Environment	P			
Executive Order 12591, Facilitating Access to Science and Technology (April 10, 1987)	Amended by E.O. 12618. Authorizes the FAA to apply the policies of the Bayh-Dole Act (inventions made with Government Assistance) to all participants in cooperative agreements. (Also see E.O. 12618)	Agreements		G		
Executive Order 12600, Predisclosure Notification Procedures for Confidential Commercial Information (June 23, 1987)	Describes predisclosure notification procedures for confidential commercial information requested under the Freedom of Information Act (FOIA)	All	P	G		
Executive Order 12618, Uniform Treatment of Federally Funded Inventions (December 22, 1987)	Amended E.O. 12591.	Procurement				
Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction	Requires Federal agencies to follow national and local seismic building codes, whichever provides the greatest margin of safety, when constructing new buildings or modifying existing	All				

	buildings. Amended by: EO 13286, February 28, 2003					
Executive Order 12829, National Industrial Security Program, (January 6, 1993) Amended by E.O. 12885	Requires a National Industry Security Program Operating Manual. Amended by E.O. 12885 December 14, 1993 to extend the time to issue the National Industrial Security Program operating manual. (Also see E.O. 12885)	Procurement	P	G		
Executive Order 12919, National Defense Industrial Resources Preparedness (June 3, 1994)	Delegates authority and addresses national defense industrial resource policies and programs under the Defense Production Act of 1950. Amended by: EO 13286, February 28, 2003. Supersedes or revokes E.O. 11912 in part. (Also see E.O. 11912)Revoked in part by: EO 13456, January 23, 2008.	Procurement				
Executive Order 12928, Promoting Procurement with Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals, Historically Black Colleges and Universities, and Minority Institutions, (Sep 16, 1994)	Establishes policy that all department and agency heads and all Federal employees involved in the procurement of any and all goods and services shall assist SDBs, HBCUs, and MIs, as applicable, to develop viable, self-sustaining, businesses capable of competing on an equal basis in the mainstream of the American economy.	Procurement MPPG reporting		G		
Executive Order, 13360 Providing Opportunities for Service-Disabled Veteran Businesses To Increase Their Federal Contracting and Subcontracting, (October 20, 2004)	Establishes policy that all heads of agencies shall provide the opportunity for service-disabled veteran businesses to significantly increase the Federal contracting and subcontracting of such businesses.	Procurement		G		
Executive Order 12941, Seismic Safety of Existing Federally Owned or Leased Buildings (December 1, 1994)	Requires Federal Agencies to follow the standards developed, issued and maintained by the Interagency Committee for Seismic Safety in Construction (ICSSC).	All	P			

Executive Order 12968, Access to Classified Information (August 2, 1995)	Establishes a uniform Federal personnel security program for employees who will be considered for initial or continued access to classified information. Amended by: EO 13467, June 30, 2008	Procurement Security	P	G	C	
Executive Order 13043, Increasing Seat Belt Use in the U.S. (April 16, 1997)	Requires seat belt use by Federal employees while on official business and motor vehicle occupants in National Park and Dept. of Defense installations. Encourages Federal contractors, subcontractors, and grantees to adopt and enforce on-the-job seat belt use policies and programs.	Procurement	P		C	
Executive Order 13142, Amendment to E.O. 12958– Classified National Security Information (Nov. 19, 1999)	Amended sections 3.4(a), 5.2(a)(b), 5.3(b)(4) of E.O. 12958. (Also see E.O. 12958)	Procurement Security				*
Executive Order 13170, Increasing Opportunities and Access for Disadvantaged Businesses (Oct 6, 2000)	Establishes additional incentives for outreach and goal setting to increase opportunities and access for disadvantaged businesses.	Procurement				*
Executive Order 13221, Energy Efficient Standby Power Devices (July 31, 2001)	Encourages energy conservation by requiring the Government to purchase COTS products that use no more than one watt in their external or internal standby power devices or functions.	Procurement				*
Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	Revokes E.O. 13101, 13123, 13134, 13148,13149; and amends E.O. 12088 and 13327. Orders Federal agencies to conduct their environmental, transportation, and energy-related activities, in support of their respective missions within an environmentally, economically and fiscally sound, integrated, continuously improving, efficient and sustainable manner. NOTE: Related and previously revoked Executive Orders include:	All	P	G		

	11507,11752, 12856, 12873, and 12902.					
Executive Order 13502, Use of Project Labor Agreements for Federal Construction Projects, (February 6, 2009)	Promotes the efficient administration and completion of Federal construction projects Revokes: EO 13202, February 17, 2001; EO 13208, April 6, 2001	Procurement Real Estate		G	C	*
Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving (October 1, 2009)	Encourages contractors and subcontractors to adopt and enforce policies banning text messaging while driving company- owned or Government-owned vehicles, or privately-owned vehicles when on official government business or performing any work on behalf of the Government.	Procurement			C	
Executive Order 13514, Federal Leadership in Environmental, Energy, and Economic Performance (October 5, 2009)	To increase Federal leadership in environmental, energy, and economic performance.	All	P	G		
Executive Order 13627, Strengthening Protections Against Trafficking in Persons in Federal Contracts (September 25, 2012)	Creates a stronger framework to eliminate trafficking in persons from Federal contracts.	All	P	G	C	

END OF PART II

Appendix E: Part III - Regulations/Standards Revised 4/2014

Title	Description Summary	Functional area affected	Promulgated by AMS: P=Policy, G=Guidance, C=Clause *=See Office of Chief Counsel			
Cost Accounting Standards (CAS) (48 CFR 9903.101)	Uniform standards for government contractor's accounting for and reimbursement of costs. Within the FAA Cost Accounting Standards (CAS) do not apply to contracts for commercial items. Full or modified CAS coverage may be applied to cost type contracts only.	Procurement	P	G	C	
Department of Transportation Policy for Seismic Safety of New and Existing DOT Owned or Leased Buildings (DOT SS-98-01)	Requires each DOT Operating Administration to ensure that new DOT owned buildings and additions and new buildings leased for DOT occupancy, are designed and constructed to comply with appropriate seismic design and construction standards. Additionally, each Operating Administration is required to mitigate unacceptable earthquake risks in existing buildings via a long-term risk mitigation program.	All	P			
Export Administration Regulations (EAR), 15 CFR Parts 730 through 774	U.S. Department of Commerce regulations for the export and re-export of most commercial items, services or documentation.	All	P	G	C	
Federal Management Regulations (formerly Federal Property Management)	Regulations used by GSA and other executive agency officials to regulate, and prescribe policies, procedures, and delegations of authority pertaining to the management of property, inventory, and disposal.	Real Property	P			
Federal Standard 313, Material Safety Data,	Establishes requirements for the preparation and submission of Material Safety Data Sheets by	Procurement Environment				

Transportation Data and Disposal Data for hazardous materials furnished to Government activities.(March 1, 1988)	contractors who provide hazardous materials to government activities.					
FEMA 74, Reducing the Risk of Nonstructural Earthquake Damage, (Sep. 1994)	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for equipment and other building system installation, risk mitigation and guidance on prioritizing projects.	All	P			
FEMA 310, Handbook for the Seismic Evaluation of Buildings: A Pre-Standard, (January 1998)	Provides requirements for identification of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 356, NEHRP. Pre-Standard and Commentary for the Seismic Rehabilitation of Buildings, (November 2000)	Provides requirements for mitigation of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 368/369, 2000 NEHRP Provision for Seismic Regulations for New Buildings and Other Structures, Parts 1 and 2, 2001.	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for the construction of new buildings as well as design and installation of new equipment for installation in any new or existing building.	All	P			
International Building Code (IBC) (2000/2003)	Establishes the current international building code in effect for all new construction of Federal buildings.	All	P			
International Traffic in Arms Regulations (ITAR), 22 CFR	Department of State regulations that control the export and import of defense-related articles, services and documents on the United States		P	G	C	

Parts 120 through 130	Munitions List (USML)					
Local Seismic Building codes (depends on location of project or installation site)	Requires use of local seismic building codes if they require a greater margin of safety than international or national building codes.	All	P			
NIST RP-6, standards for Seismic Safety for Existing Federally Owned or Leased Buildings, (January 2002)	Provides requirements for leasing and acquisition of existing buildings.	All	P			
Occupational Safety and Health Administration Regulations (29 CFR 1910.38)	Requires a written plan for emergency situations for each workplace where there is a possibility of an emergency. Appropriate portions of the plan shall be implemented in the event of an emergency.	All	P	G	C	
OMB Circular A-21, Cost Principles for Educational Institutions.	Describes basic cost principles applicable to the organization incurring the cost.	Procurement		G		*
OMB Circular A-76, Performance of Commercial Activities - (Aug. 4, 1983; Revised 1999)	Establishes Federal Policy regarding the performance of commercial activities. FAA's policy is to follow the guidance of this circular to the extent such standards are consistent with the FAA's Acquisition Management System and the Administrator's authority to implement "such terms or conditions as the Administrator may deem appropriate."	Investment Analysis Procurement	P	G		*
OMB Circular A-87, Cost Principles for State Local and Indian Tribal Governments	Describes basic cost principles applicable to the organization incurring the cost.	Procurement		G		*
OMB Circular A-102, Grants and Cooperative	Establishes standards for grants and cooperative agreements with State and Local Governments.	Procurement		G		*

Agreements with State and Local Governments.						
OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit organizations.	Establishes pre-award and post-award standards for Federal grants and agreements awarded to institutions of higher education, hospitals, and other non-profit organizations.	Procurement		G		*
OMB Circular A-122, Cost Principles for Non-profit Organizations, excluding educational institutions and other organizations specified in the Circular.	Describes basic cost principles applicable to the organization incurring the cost.	Procurement		G		*
Patent and Copyright Laws	Establishes prohibitions regarding Patent and Copyright infringement.	Procurement	P	G	C	
Protests and Contract Disputes; 14 CFR, Parts 14 & 17.	Prescribes procedures for protests and contract disputes.	All	P		C	
Standards of Conduct for Employees of the Executive Branch (5 CFR 2635)	Prohibits conflicts of interest	All	P	G	C	

END OF PART III

Appendix E: Part IV - External Authorities applicable to Real Estate Revised 10/2012

Part IV A: Statutes

Title	Description Summary	Functional area affected	Promulgated by AMS: P=Policy, G=Guidance, C=Clause *=See Office of Chief Counsel			
Act of December 10, 1941 (40 USC 291)	Requires Federal agencies to admit seeing-eye dogs or other guide dogs accompanied by their blind masters to any building or other property owned or controlled by the United States.	Real Estate	P			
Administrative Procedures Act (5 USC 500 se seq)	Authorizes a duly qualified individual to represent a person before an agency.	All				*
Anti-Kickback Act(41 USC 8701-8707)	Prohibits offering or accepting kickbacks; criminal penalties apply.	Ethics Procurement Real Estate			C	*
Architectural Barriers Act of 1968 (42 USC 4151-4157)	Requires facilities be provided to ensure ready access for disabled persons to public buildings and certain interior spaces.	Real Estate	P	G	C	
Assignment of Claims (31 USC 3727, 41 USC 6305)	Authorizes the lessor to assign his rights to be paid under a lease agreement	Real Estate			C	
Bribery and Conflict of Interest Laws (18 USC 201)	Prescribes fines and punishment for bribery of public officials and witnesses.	All				*
Bribery and Conflict of Interest Laws (18 USC 208)	Prescribes acts and penalties affecting a personal financial interest.	All	P			
Child Care Services for Federal Employees in Federal Buildings	Provides Federal agencies with the authority to allot space in Federal buildings to individuals or entities that will provide child care services to Federal employees.	Real Estate	P			

Clean Air Act of 1963 (42 USC 7401)	Requires the utilization in Federal air control programs of all available and appropriate facilities and resources within the Federal Government for the prevention and abatement of air pollution.	Real Estate	P			
Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) (42 USC 9601)	Provides for liability, compensation, cleanup and emergency response for hazardous substances released into the environment, and the cleanup of hazardous waste disposal sites.	Real Estate	P			
Energy Independence and Security Act of 2007 (Pub. L. 110-140)	Amends portions of the National Energy Conservation Policy Act (42 USC 8253(a)(1) and adopts the energy intensity reduction goals of Executive Order 13423 beginning in year 2008. Provides for enhanced building standards, lighting, and water and energy usage goals.	Real Estate Procurement	P			
Energy Policy Act (EPAct) of 2005	Provides for increased energy and water efficiency.	Real Estate	P			
Energy Policy Act of 1992 (Pub. L. 102-486, 106 Stat. 2776)	Provides for increased energy efficiency. Superseded, in part, by the EPAct of 2005.	Real Estate Procurement	P			
False Claims Act(31 USC 3729)	Specifies civil penalties for false claims against the U.S.	All		G		*
Federal Aviation Authorization Act of 1996 (49 USC 106)	The Administrator is authorized to enter into and perform such contracts, leases, cooperative agreements, or other transactions.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC 1251)	Requires that all agencies comply with all Federal, State, interstate, and local requirements, respecting the control and abatement of water pollution.	Real Estate	P			
Federal Property and Administrative Services Act of 1949, as amended (40 USC 471)	This act establishes the Federal Building Fund and provides the Administrator of General Services Administration with an important source of real property related authority. FAA is not required to follow Title II of this act.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC 1251)	Requires that all agencies of the executive, legislative, and judicial branches of the Federal Government must comply with all	Real Estate	P			

	Federal, State, interstate, and local requirements respecting the control and abatement of water pollution.					
Freedom of Information Act of 1986 (5 USC 552)	Regulates the release of public information; agency rules, opinions, orders, records, and proceedings.	All	P	G	C	
General Procurement Authority (49 USC 40110)	The Administrator may acquire services or, by condemnation or otherwise, and interest in property, and may dispose of an interest in property.	Real Estate	P	G		
General Facilities and Personnel Authority (49 USC 44502)	Provides general authority to the Administrator of the Federal Aviation Administration to acquire, establish, improve, operate, and maintain air navigation facilities; and provide facilities and personnel to regulate and protect air traffic.	Procurement Real Estate	P	G		
Gift and Bequests (49 USC 326)	Authorizes the Administrator to accept any conditional or unconditional gift or donation of money or property, real or personal, or of services for the FAA.	All		G		
National Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), Amended 1990 (P.L. 101-614) (42 USC 7701 et seq.)	Requires Agencies to adopt standards for assessing and enhancing the seismic safety of buildings designed for, or constructed by, or leased by the Federal Government.	Real Estate	P			
Paperwork Reduction Act (44 U.S.C. 3501)	Requires Federal Agencies to become more responsible and publicly accountable for reducing the burden of Federal paperwork on the public, and for other purposes resulting from the collection of information by or for the Federal Government.	All	P			
Public Buildings Act of 1959, as amended (40 USC 601-619)	This act establishes a prospectus threshold, applicable to all federal agencies. Also the Administrator of GSA has authority to construct, acquire, and alter public buildings.	Real Estate	P			
Public Buildings Cooperative Use Act of 1976 (40 USC 601a, 612a.) National	Requires the Administrator of GSA to acquire and utilize space in suitable buildings of historic, architectural, or cultural significance.	Real Estate	P			

Environmental Policy Act of 1969 (42 USC 4321)	Requires consideration of environmental factors in the decision-making process for major Federal actions.	Real Estate	P			
National Historic Preservation Act (16 USC 470)	Requires Federal agencies to take into account the effect of any Federal undertaking on any property in or eligible for listing in the National Register of Historic Places.	Real Estate	P			
Occupational Safety and Health Act of 1970, amended (29 USC 653)	Requires Federal agencies to provide safe and healthful places and conditions of employment.	Real Estate	P	G	C	
Quarters and facilities; employees in the United States (5 USC 5911)	Agency may provide quarters and facilities for employees when conditions warrant.	Real Estate	P			
Randolph-Sheppard Vending Facility Act, amended (20 U.S.C. 107 - 107f)	Provides for blind persons licensed under the provisions of this chapter authorization to operate vending facilities on any Federal property.	Procurement Real Estate	P P	G G		
Rehabilitation Act of 1973, amended (Pub. L. 93-112, 387 Stat. 355)	Requires Federal agencies to ensure compliance with standards set by GSA, DOD and HUD pursuant to the Architectural Barriers Act of 1968.	Real Estate	P	G		
Rural Development Act of 1972 (Pub. L. 92-419, 86 Stat. 657)	Provides for improving the economy and living conditions in rural America. FAA must give first consideration to rural areas when locating new space, land, and other facilities	Real Estate	P	G	C	
Stewart B. McKinney Homeless Assistance Act (42 USC 11411-11412)	Requires Federal agencies to make available surplus real property to homeless organizations.	Real Estate	P			
Superfund Amendments and Reauthorization Act of 1986, amended (42 USC 9601- 9675)	Extends and amends CERCLA.					*
Service, supplies, and facilities at	Agency may provide when necessary, services, supplies, and	Real Estate	P			

remote places (49 USC 331)	facilities at remote places.					
Title 49, USC, Section 1159 (a) and (c)	Airport property and airway property in territory (including Alaska) outside the continental limits of the United States.	Real Estate	P			
Uniform Relocation Assistance and Real Property Acquisition (42 USC 4651-4655)	Requires Federal agencies to treat all property owners and other affected persons in a fair and equitable manner, and to provide relocation services and benefits to persons displaced by Federal agency's acquisition of their real property.	Real Estate	P	G		

Part IV B: Executive Orders

Title	**Description Summary**	**Functional area affected**	**Promulgated by AMS:** **P=Policy, G=Guidance, C=Clause** ***=See Office of Chief Counsel**			
Executive Order 11508, Providing for the Identification of Unneeded Federal Real Property (Feb. 12, 1970)	Establishes a uniform policy for Executive branch concerning the identification of excess real property holdings.	Real Estate	P			
Executive Order 11593, Protection and Enhancement of the Cultural Environment (May 13, 1971)	Requires Federal Agencies to direct their policies, plans and programs that federally owned sites, and structures are preserved, restored and maintained.	Real Estate	P			
Executive Order 11738, Providing for Administration of the Clean Federal Water Pollution Control Act with respects to Federal Contracts, Grants, or Loans (Sept. 12, 1973)	Requires Federal agencies having authority to enter into contracts to conduct its acquisitions that will result in effective enforcement of the Clean Air Act and the Federal Water Pollution Control Act.	Real Estate	P			

Executive Order 11988, Floodplain Management (May 24, 1977)	Requires that agencies take action to reduce the risk of flood loss and to restore and preserve the natural and beneficial values served by floodplains for acquiring, managing and disposing of Federal lands and facilities.	Real Estate	P			
Executive Order 11990, Protection of Wetlands (May 24, 1977)	Requires that agencies take action to minimize the destruction, loss or degradation of wetlands, and to preserve and enhance the natural and beneficial values of wetlands for acquiring, managing, and disposing of Federal lands and facilities.	Real Estate	P			
Executive Order 12003, Relating to Energy Policy and Conservation (July 20, 1977)	Requires buildings constructed for Government lease to meet certain energy consumption design specifications.	Real Estate	P			
Executive Order 12088, Federal Compliance with Pollution Control Standards (October 13, 1978)	Requires agencies ensure action is taken to prevent, control, and abate environmental pollution with respect to Federal facilities and activities. Revoked, in part, by EO 13423.	Real Estate	P			
Executive Order 12196, Occupational Safety and Health Programs	Requires Federal agencies to establish and maintain occupational safety and health programs for Federal employees.	Real Estate	P			
Executive Order 12512, Federal Real Property Management (April 29, 1985)	Authorizes the GSA administrator to provide Government wide policy oversight and guidance for Federal real property management.	Real Estate	P			
Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction (January 5, 1990)	Requires agencies responsible for the design and construction of each new Federal building and/or the construction and lease of new buildings for Federal use to ensure the building is designed and constructed in accord with appropriate seismic design and construction standards. Amended by: EO 13286, February 28, 2003	All	P			
Executive Order 12941, Seismic Safety of Existing Federally Owned and Leased Buildings	Requires agencies to meet substantial life safety standards for seismic.	Real Estate	P			

(December 1994)						
Executive Order 13202, Preservation of Open Communication and Government Neutrality towards Government Contractors (Feb. 17, 2001)	Promotes the economical, non-discriminatory, and efficient administration and completion of Federal and Federally funded or assisted construction projects. (Also see E.O. 13208)	Procurement Real Estate				*
Executive Order 13208, Assisted Construction Projects (April 6, 2001)	Amends E.O. 13202. Added a new section to permit the Head of an Executive Agency to exempt a particular project from the requirements of any or all provisions of Sections 1 and 3 of E.O. 13202. (Also see E.O. 13202)	Procurement Real Estate				*
Executive Order 13327, Federal Real Property Asset Management (Feb. 4, 2004)	To improve the overall management of Federal real property assets on a Government-wide level. Amended by E.O. 13423.	Real Estate	P			
Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	Revokes E.O. 13101, 13123, 13134, 13148, and 13149, and amends E.O. 12088 and 13327. Provides that (i) new construction and major renovation of agency buildings; and (ii) 15 percent of the existing Federal capital asset building inventory of Federal agencies move towards sustainable environmental practices. Note: Related and previously revoked Executive Orders include: 11507,11752, 12856, 12873, and 12902.	All	P	G		

Part IV C: Regulations/Standards

Title	**Description Summary**	**Functional area affected**	**Promulgated by AMS:** **P=Policy, G=Guidance, C=Clause** ***=See Office of Chief Counsel**			
Department of Transportation	Requires each DOT Operating Administration to ensure that new DOT	All	P			

Policy for Seismic Safety of New and Existing DOT Owned or Leased Buildings (DOT SS-98-01)	owned buildings and additions and new buildings leased for DOT occupancy, are designed and constructed to comply with appropriate seismic design and construction standards. Additionally, each Operating Administration is required to mitigate unacceptable earthquake risks in existing buildings via a long-term risk mitigation program.					
Federal Management Regulations (formerly Federal Property Management)	Prescribes regulations, policies, procedures and delegations of authority pertaining to the management of property, inventory, and disposal when FAA leases real property through GSA. Serves as guidelines for FAA direct lease actions.	Real Estate	P	G		
FEMA 74, Reducing the Risk of Nonstructural Earthquake Damage, (Sep. 1994)	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for equipment and other building system installation, risk mitigation and guidance on prioritizing projects.	All	P			
FEMA 310, Handbook for the Seismic Evaluation of Buildings: A Pre-Standard, (January 1998)	Provides requirements for identification of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 356, NEHRP. Pre-Standard and Commentary for the Seismic Rehabilitation of Buildings, (November 2000)	Provides requirements for mitigation of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 368/369, 2000 NEHRP Provision for Seismic Regulations for New Buildings and Other Structures, Parts 1 and 2,2001.	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for the construction of new buildings as well as design and installation of new equipment for installation in any new or existing building.	All	P			
International Building Code (IBC) (2000/2003)	Establishes the current international building code in effect for all new construction of Federal buildings.	All	P			
Local Seismic Building codes	Requires use of local seismic building codes if they require a greater margin of	All	P			

(depends on location of project or installation site)	safety than international or national building codes.					
NIST RP-6, standards for Seismic Safety for Existing Federally Owned or Leased Buildings, (January 2002)	Provides requirements for leasing and acquisition of existing buildings.	All	P			
Occupational Safety and Health Administration Regulations (29 CFR 1910.38)	Requires a written plan for emergency situations for each workplace where there is a possibility of an emergency. Appropriate portions of the plan shall be implemented in the event of an emergency.	All	P	G	C	
Protests and Contract Disputes; 14 CFR, Parts 14 & 17.	Prescribes procedures for protests and contract disputes.	All	P		C	
Standards of Conduct for Employees of the Executive Branch (5 CFR 2635)	Prohibits conflicts of interest	All	P	G	C	
Uniform Federal Accessibility Standards (UFAS) (41 CFR 101-19.6 App. A)	Prescribes handicapped accessibility regulations for Federally owned or leased building premises.	Real Estate	P	G	C	

End of Part IV