CHANGE REQUEST COVER SHEET

Change Request Number: 09-30A   **Date Received:** 3/10/2009

Title: Role of Acquisition Executive Board
_____

Name: Colleen Gutrick

Phone: 202-493-5605

Policy OR Guidance: Policy

Section/Text Location Affected: AMS Policy 1.2.14 and AMS Policy Appendices A, C, and D

Summary of Change: Adds role of AEB to AMS

Reason for Change: Request from AEB

Development, Review, and/or Concurrence: AJW-11/AJA-43

Target Audience: FAA Acquisition Workforce

Potential Links within FAST for the Change: None

Briefing Planned: Yes

ASAG Responsibilities: Review and Comment

Potential Links within FAST for the Change: None

Links for New/Modified Forms (or) Documents (LINK 1)

Links for New/Modified Forms (or) Documents (LINK 2)

Links for New/Modified Forms (or) Documents (LINK 3)

SECTIONS EDITED:

Section 1.2.14 : AMS Change Management

Old Content: Acquisition Management Policy:
Section 1.2.14 : AMS Change Management

The Acquisition System Advisory Group (ASAG) is a cross-organizational body that evaluates proposed changes to acquisition management policy and guidance to ensure:

- Changes contribute to FAA strategic goals;
- Policy is streamlined and effective;
- Best practices from industry and government are incorporated when beneficial;
- Information is consistent and compatible across functional disciplines;
- Quality is maintained and improved;
- A consistent enterprise-wide view of policy.

The ASAG initiates changes or establishes working groups to develop new policy or guidance, as required. It also periodically reviews existing policy for effectiveness. Anyone may propose changes to acquisition management policy or guidance by submitting them to their ASAG representative, who processes them in accordance with procedures in FAST. Originators develop proposed changes in conjunction with primary users of the policy or guidance, or in the case of a complex change, with an ad hoc workgroup.

The Administrator approves changes to acquisition management policy via the Acquisition Executive. The Director, Acquisition Policy and Contracting, approves guidance changes. Approved changes are incorporated into FAST quarterly. The acquisition policy change manager maintains FAST.

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New Content: <u>Acquisition Management Policy</u>:
Section 1.2.14 : AMS Change Management

The Acquisition Executive Board (AEB) reviews and authorizes development and implementation of acquisition management policy, guidance, processes, practices, procedures, tools, and training. The AEB directs and oversees the Acquisition System Advisory Group (ASAG).

The ASAG is a cross-organizational body that evaluates proposed changes to acquisition management policy and guidance to ensure:

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Red Line Content: <u>Acquisition Management Policy</u>:
Section 1.2.14 : AMS Change ~~Management~~ *Management*

The Acquisition ***Executive Board (AEB) reviews and authorizes development and implementation of acquisition management policy, guidance, processes, practices, procedures, tools, and training. The AEB directs and oversees the Acquisition*** System Advisory Group (ASAG)*.*

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Appendix D: Acronyms

Old Content: Acquisition Management Policy:

Appendix D: Acronyms

ADR	Alternative Dispute Resolution
AIP	Airport Improvement Program
AMS	Acquisition Management System
AOPC	Agency/Organization Program Coordinator
AP	Approving Official
ASAG	Acquisition System Advisory Group
BCAR	Business Case Analysis Report
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
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
ILS	Integrated Logistics Support
IOT&E	Independent Operational Test and Evaluation
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
ODR	Office of Dispute Resolution
O&M	Operations and Maintenance
OMB	Office of Management and Budget
OPR	Offices of Primary Responsibility
OSHA	Occupational Safety and Health Administration
OST	Office of the Secretary of Transportation
P3I	Preplanned Product Improvement
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
U.S.C.	United States Code
VSB	Very Small Business

New Content: <u>Acquisition Management Policy</u>:

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Section 3 : BACKGROUND

Old Content: <u>ASAG Charter</u>:
Section 3 : BACKGROUND

The FAA Acquisition Management System (AMS) establishes policy and guidance for all aspects of the acquisition life cycle, from the determination of mission needs to the procurement, installation, in-service management, and ultimate disposal of products and services that satisfy those needs. The AMS is the exclusive source for acquisition management and procurement policy and guidance within the FAA. Section 1.9, "AMS Change Management," identifies the ASAG as a corporate body that evaluates all proposed changes to ensure it improves the AMS and is consistent with agency direction.

New Content: <u>ASAG Charter</u>:
Section 3 : BACKGROUND

The FAA Acquisition Management System (AMS) establishes policy and guidance for all aspects of the acquisition life cycle, from the determination of mission needs to the procurement, installation, in-service management, and ultimate disposal of products and services that satisfy those needs. The AMS is the exclusive source for acquisition management and procurement policy and guidance within the FAA. Section 1.9, "AMS Change Management," identifies the ASAG as a corporate body that evaluates all proposed changes to ensure it improves the AMS and is consistent with agency direction. The ASAG interacts with the Acquisition Executive Board (AEB) for authorization for all AMS changes.

Red Line Content: <u>ASAG Charter</u>:
Section 3 : BACKGROUND

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Section 8 : DECISIONMAKING PROCESS

Old Content: <u>ASAG Charter</u>:
Section 8 : DECISIONMAKING PROCESS

ASAG members will be responsible for reviewing and assisting with the development of a proposed change from within their organization before the change is submitted to the Change Manager. They will ensure that the proposed change aligns with the organizational needs and can be implemented.

Minor change proposals will be processed by the AMS Change Manager and sent directly to the approving official, with notification to the ASAG of such action.

The AMS Change Manager will forward significant change proposals to the ASAG. The ASAG will evaluate and, if necessary, establish and direct work groups where necessary, and coordinate with the impacted organizations' ASAG representative and managers to resolve issues and achieve consensus. When consensus is reached, the AMS Change Manager will forward the change to the proper approval authority.

Through deliberations, the ASAG informs, solicits guidance, resolves issues, and facilitates consensus, as necessary, among the managers appropriate for the change proposal. Vice Presidents, Associate and Assistant Administrators and all FAA managers are responsible for participating fully in policy and guidance development and supporting the work of the ASAG. When consensus is reached within the ASAG member's designated responsibility, the change is presented to the ASAG for overall consensus. When consensus is reached, the change proposal is sent to the approving authority first and then to the issuing authority for inclusion in the AMS and FAST.

The ASAG defines consensus as:

> A state of mutual agreement where all legitimate concerns of ASAG members have been addressed to the satisfaction of the ASAG. Agreement is not conformity, or a majority of members agree, or everyone agrees about everything. Agreement is a decision that all ASAG members can live with and will fully support.

> If the ASAG is unable to come to consensus, the AMS Change Manager will consult with the Vice President of Acquisition and Business Services and the Vice President or Organization Head of the initiator's organization who will make the final decision for policy changes. Guidance changes will be escalated to the Director of Acquisitions Policy and Contracting for a decision.

New Content: ASAG Charter:
Section 8 : DECISIONMAKING PROCESS

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Section 12 : EFFECTIVE DATE AND APPROVAL OF CHARTER
Old Content: <u>ASAG Charter</u>:
Section 12 : EFFECTIVE DATE AND APPROVAL OF CHARTER

 This Charter and any amendments thereto become effective immediately upon the signature of the Administrator.

Approved by:

Marion Blakey	Date:
Administrator	(Revised)

New Content: <u>ASAG Charter</u>:
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 This Charter and any amendments thereto become effective immediately upon the signature of the Administrator.

Approved by:

Lynne Osmus	Date:
Acting Administrator	(Revised)

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Approved by:

~~Marion~~*Lynne* ~~Blakey~~*Osmus*   Date:
~~Administrator~~ *Acting Administrator* (Revised)

APPENDIX - ASAG MEMBERSHIP AND AREA OF RESPONSIBILITY

Old Content: ASAG Charter:

APPENDIX - ASAG MEMBERSHIP AND AREA OF RESPONSIBILITY

Core Members	Representative From	Functional Area Represented	Coordination Responsibilities
David Lankford ATO-A 202-267-8407	Acquisition & Business Services	ASAG Chairperson	ASAG
David Woodson ATO-A 202-267-7601	Acquisition & Business Services	Lifecycle Acquisition Management Policy/ Procurement Policy	ATO-A/AJA-43
Rebecca Taylor-King ATO-A 202-385-8185	Acquisition & Business Services	Joint Resources Council Secretariat	ATO-A/AJA-42
Kevin Young ATO-E 202-385-8420	En Route & Oceanic	Solution Implementation/In-Service Management	ATO-E
To Be Determined	Finance	Finance related to Investment Programs	ATO-F

Hugene Fields ATO-P 202-385-7191	Operations Planning	Concept and Requirements Definition	ATO-P
Huan Nguyen ATO-S 202-385-4861	Safety Services	In-Service Decision/Independent Operational Test & Evaluation/ Safety Management	ATO-S
Joanne Pino ATO-T 202-385-58593	Terminal Service	Solution Implementation/In-Service Management	ATO-T
Rita Estrada-Cavallini ATO-W 202-267-9528	Technical Operations Service	Personal Property	ATO-W
Richard Simmons ATO-W 202-267-3051	Technical Operations Service	NAS Operational Issues	ATO-W
Nathan Tash AGC-500 202-493-5475	Office of the Chief Counsel	Legal	AGC
Ken Chin AIO 202-493-5665	Information Services	Information Technology	AIO
Heywood Shirer AFS-150 202-267-5090	Aviation Safety	Regulation and Certification	AVS
Michelle Coppedge AML-2 405-954-2369	Regions and Center Operations	Logistics	ARC

Alternate Members

Alternate Members	Representative From	Functional Area Represented	Coordination Responsibilities
Lewis Fisher ATO-F 202-493-5666	Finance	Finance related to Investment Programs (Alternate)	ATO-F
Brandy Ingargiola ATO-A 202-385-8188	Acquisition & Business Services	Joint Resources Council Secretariat (Alternate)	ATO/AJA-42
Fred Sapp AFS-150 202-493-5128	Aviation Safety	Regulation and Certification (Alternate)	AVS
Angela Lewis ATO-S 609-485-6916	Safety Services	In-Service Decision/ Independent Operational Test & Evaluation/ Safety Management (Alternate)	ATO-S
Laurie Camilien-Pietrak AOV-100 202-493-5165	Aviation Safety	Air Traffic Oversight/Safety Management System	AVS/AOV-100
Robert Rovinsky AIO 202-493-4019	IT Enterprise Services	Information Technology (Alternate)	AIO
Kirk Washburn	Regions & Center Operations	Logistics (Alternate)	ARC

AML-20 405-954-2277			
Patricia Abdullah AGC-500 202-267-7090	Office of the Chief Counsel	Legal (Alternate)	AGC

Ad Hoc Members

Adhoc Members	Representative From	Functional Area Represented	Coordination Responsibilities
Jonathan Carter AIN-10 202-267-7609	Security & Hazardous Materials	Security	ASH
John Frederick ATO-P 609-485-5259	Operations Planning	Test and Evaluation	ATO-P/Test Standards Board
Ernesto Villacarlos ARP-10 202-267-8796	Airports	Airports	ARP
Support Staff Colleen Gutrick ATO-A 202-493-5605	Acquisition & Business Services	ASAG Executive Secretary	ASAG

New Content: <u>ASAG Charter</u>:
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David Lankford ATO-A 202-267-8407	Acquisition & Business Services	ASAG Chairperson	ASAG AEB
David Woodson ATO-A 202-267-7601	Acquisition & Business Services	Lifecycle Acquisition Management Policy/ Procurement Policy	ATO-A/AJA-43
Rebecca Taylor-King ATO-A 202-385-8185	Acquisition & Business Services	Joint Resources Council Secretariat	ATO-A/AJA-42
Kevin Young ATO-E 202-385-8420	En Route & Oceanic	Solution Implementation/In-Service Management	ATO-E
James Ferrara	Finance	Finance related to Investment Programs	ATO-F
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Joanne Pino ATO-T 202-385-58593	Terminal Service	Solution Implementation/In-Service Management	ATO-T

Rita Estrada-Cavallini

ATO-W

202-267-3153 | Technical Operations Service | Personal Property | ATO-W |
| Richard Simmons

ATO-W

202-267-3051 | Technical Operations Service | NAS Operational Issues | ATO-W |
| Nathan Tash

AGC-500

202-493-5475 | Office of the Chief Counsel | Legal | AGC |
| Ken Chin

AIO

202-493-5665 | Information Services | Information Technology | AIO |
| Heywood Shirer

AFS-150

202-267-5090 | Aviation Safety | Regulation and Certification | AVS |
| Michelle Coppedge

AML-2

405-954-2369 | Regions and Center Operations | Logistics | ARC |
| | | | |

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Lewis Fisher

ATO-F

202-493-5666 | Finance | Finance related to Investment Programs (Alternate) | ATO-F |
| Brandy Ingargiola | Acquisition & Business Services | Joint Resources Council Secretariat (Alternate) | ATO/AJA-42 |

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Steven Lyons ATO-T 202-385-8665	Terminal Service	Solution Implementation/In-Service Management (Alternate)	ATO-T
Laurie Camilien-Pietrak AOV-100 202-493-5165	Aviation Safety	Air Traffic Oversight/Safety Management System (Alternate)	AVS/AOV-100
Robert Rovinsky AIO 202-493-4019	IT Enterprise Services	Information Technology (Alternate)	AIO
Kirk Washburn AML-20 405-954-2277	Regions & Center Operations	Logistics (Alternate)	ARC
Patricia Abdullah	Office of the Chief Counsel	Legal (Alternate)	AGC

AGC-500 202-267-7090			

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Jonathan Carter AIN-10 202-267-7609	Security & Hazardous Materials	Security	ASH
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Alternate Members	Representative From	Functional Area Represented	Coordination Responsibilities
Lewis Fisher ATO-F 202-493-5666	Finance	Finance related to Investment Programs (Alternate)	ATO-F
Brandy Ingargiola ATO-A 202-385-8188	Acquisition & Business Services	Joint Resources Council Secretariat (Alternate)	ATO/AJA-42
Fred Sapp AFS-150 202-493-	Aviation Safety	Regulation and Certification (Alternate)	AVS

5128			
Angela Lewis ATO-S 609-485-6916	Safety Services	In-Service Decision/ Independent Operational Test & Evaluation/ Safety Management (Alternate)	ATO-S
Steven Lyons *ATO-T* *202-385-8665*	Terminal Service	Solution Implementation/In-Service Management (Alternate)	ATO-T
Laurie Camilien-Pietrak AOV-100 202-493-5165	Aviation Safety	Air Traffic Oversight/Safety Management System *(Alternate)*	AVS/AOV-100
Robert Rovinsky AIO 202-493-4019	IT Enterprise Services	Information Technology (Alternate)	AIO
Kirk Washburn AML-20 405-954-2277	Regions & Center Operations	Logistics (Alternate)	ARC
Patricia Abdullah AGC-500 202-267-7090	Office of the Chief Counsel	Legal (Alternate)	AGC

Ad Hoc Members

Adhoc Members	Representative From	Functional Area Represented	Coordination Responsibilities
Jonathan Carter AIN-10 202-267-7609	Security & Hazardous Materials	Security	ASH
John Frederick ATO-P 609-485-5259	Operations Planning	Test and Evaluation	ATO-P/Test Standards Board
Ernesto Villacarlos ARP-10 202-267-8796	Airports	Airports	ARP
Support Staff Colleen Gutrick ATO-A 202-493-5605	Acquisition & Business Services	ASAG Executive Secretary	ASAG

Appendix A: Roles and Responsibilities

Old Content: Acquisition Management Policy:
Appendix A: Roles and Responsibilities

JOINT RESOURCES COUNCIL

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve a new investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Selects a solution;
- Establishes an investment program and assigns it to a service organization;

- Baselines program requirements in Exhibit 300 program baseline attachment 1: Program Requirements;
- Approves the Exhibit 300 program baseline;
- Commits the FAA to full funding of the approved investment program phase;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management;
- Makes Exhibit 300 program baseline change decisions that alter program performance, cost, schedule, and benefits baselines during solution implementation or in-service management;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization; and
- Participates in service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;
- Chief Financial Officer;
- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and
- ATO Financial Officer.

The following members attend JRC meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation;
- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

ATO EXECUTIVE COUNCIL

- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of those investment programs assigned by the Joint Resources Council.

INFORMATION TECHNOLOGY EXECUTIVE BOARD

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC; and
- Makes investment decisions in areas specified by the Joint Resources Council.

ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER

- Require service analysis for designated business areas within the line of business;
- Approve entry into initial investment analysis;
- Recommend changes to the enterprise architecture;
- Provide staff support to the concept and requirements analysis and investment analysis for service needs within the line of business;
- Jointly approve the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and Chief Information Officer for programs within the line of business;
- Implement a non-material solution to a service need that emerges any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

ACQUISITION EXECUTIVE

- Manages Acquisition Management System policy;
- Member of the Joint Resources Council;
- Jointly approves the Exhibit 300 program baseline with the Chief Financial Officer, Chief Information Officer, and Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business;
- Chairs the Joint Resources Council at the investment decision and at Exhibit 300 program baseline change decisions;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

VICE PRESIDENTS AND SERVICE DIRECTORS

- Have overall responsibility and accountability for the delivery of services by the service unit or service directorate under their management;

- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level 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;
- Approve plans for investment analysis and assign necessary human resources;
- Approve attachments 1 (program requirements) and 3 (implementation strategy and planning) of the Exhibit 300 program baseline;
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs; and
- Approve updates to the implementation strategy and planning document during in-service management and forwards signed updates to the JRC Executive Secretariat.

JOINT RESOURCES COUNCIL EXECUTIVE SECRETARIAT

The JRC Executive Secretariat manages the investment decision-making process for the JRC and for the ATO Executive Council. The JRC Executive Secretariat:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an investment decision before scheduling the program for a JRC or JRC subordinate investment review board decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Processes JRC-related tailoring requests;
- Manages the paper JRC process;
- Prepares records of decision from JRC meetings, minutes from JRC service-level reviews, and notes from ATO Executive Council meetings related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains JRC guidance documents and processes.

CAPITAL INVESTMENT TEAM

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, the FAA's Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO-Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to JRC presentation and approval to assess business justification, budget affordability, and program priority;
- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the JRC and provides business based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- 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 OST, OMB, 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.

DIRECTOR, OFFICE OF SAFETY MANAGEMENT

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning for programs designated for IOT&E.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages each investment program's Exhibit 300 program baseline and predicts and reports breaches to management;
- Updates the OMB Exhibit 300 annually;
- Assists in development of the program requirements recorded in attachment 1: Program Requirements of the Exhibit 300 program baseline;
- Develops cost and schedule baselines for alternative solutions during final investment analysis;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation and in-service management in the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning;
- Supports the conduct of post-implementation reviews;
- Assesses operational assets annually at a minimum to determine whether they should continue in service as is or be modified, upgraded, or removed from service; and
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary, depending on 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 if a procurement is subject to the JRC investment-decision process (unless otherwise designated by the JRC);
- 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 program stakeholders are members of the team and that they participate in team decision-making;
- Leads development of an investment program's cost, schedule, benefits, and performance program baseline and presents it for review and approval;
- 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 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's program needs are acquired through the appropriate source selection process and assures SIRs 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 Technical Representative.

CONTRACTING OFFICER

- Serves as the Source Selection Official for procurements not subject to the JRC investment-decision 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's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies;
- 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 SIRs;
- Formulates the source evaluation plan;
- Reviews existing 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 stated evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO's 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 the FAA's legal interests on product or service teams engaged in the acquisition of goods and services in support of the FAA's mission;
- 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;
- 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 Acquisition Management System;
- Provides dispute resolution services to the FAA and it's private business partners, implementing the FAA's 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 area planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop concepts of use and requirements, as required;
- Work with the appropriate systems engineering organization to determine realistic alternative solutions to service area needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

ATO OPERATIONS PLANNING ORGANIZATION

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Oversees and coordinates the ATO strategic management process.

SYSTEMS ENGINEERING ORGANIZATIONS

- Work with both corporate mission analysis and service organizations to ensure consistency between service area planning and the long-range strategic direction of the FAA;
- Work 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;
- Work with service organizations to determine realistic alternative solutions to service need and assess their impact on the enterprise architecture;

- Work with service organizations to conduct service analysis and incorporate associated recommendations into the enterprise architecture; and
- Work with service organizations to develop the Exhibit 300 program baseline attachment 1: Program Requirements.

ATO SYSTEMS ENGINEERING ORGANIZATION

- Performs corporate-level mission analysis;
- Oversees the NAS segment of the enterprise architecture;
- 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 standards and tools for conducting service analysis;
- Assists service organizations in establishing a service analysis capability and conducting service analysis; and
- Leads planning and activities for concept and requirements definition

CHIEF FINANCIAL OFFICER

- Jointly approves the Exhibit 300 program baseline with the Acquisition Executive, Chief Information Officer, and the Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business at the final investment decision;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

CHIEF INFORMATION OFFICER

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Executive Board;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB;
- Jointly approves the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and the Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business at the final investment decision; and
- Oversees the enterprise architecture.

AIO VALUE MANAGEMENT OFFICE

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Exhibit 300s;
- Independently scores OMB Exhibit 300s and provides feedback to service organizations
- Independently scores Exhibit 300 program baselines and provides feedback to the JRC Secretariat.

- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Executive Board, Department of Transportation, and Office of Management and Budget; and
- Conducts EVM assessments for programs requiring submission of an Exhibit 300 to OMB and ensures EVM transition plans for those programs are implemented effectively.

EARNED VALUE MANAGEMENT FOCAL POINT

- Serves as the FAA EVM executive agent;
- Assists program managers and business managers to apply EVM system requirements to capital investment programs and contracts;
- Coordinates EVM 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

The in-service decision secretariat manages the deployment planning process for the JRC and for the ATO Executive Council. The secretariat:

- Coordinates with the JRC executive secretariat to verify that JRC 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 ISD action plans until closure.

New Content: Acquisition Management Policy:
Appendix A: Roles and Responsibilities

JOINT RESOURCES COUNCIL

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve a new investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Selects a solution;
- Establishes an investment program and assigns it to a service organization;

- Baselines program requirements in Exhibit 300 program baseline attachment 1: Program Requirements;
- Approves the Exhibit 300 program baseline;
- Commits the FAA to full funding of the approved investment program phase;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management;
- Makes Exhibit 300 program baseline change decisions that alter program performance, cost, schedule, and benefits baselines during solution implementation or in-service management;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization; and
- Participates in service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;
- Chief Financial Officer;
- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and
- ATO Financial Officer.

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- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

ATO EXECUTIVE COUNCIL

- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of those investment programs assigned by the Joint Resources Council.

INFORMATION TECHNOLOGY EXECUTIVE BOARD

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC; and
- Makes investment decisions in areas specified by the Joint Resources Council.

ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER

- Require service analysis for designated business areas within the line of business;
- Approve entry into initial investment analysis;
- Recommend changes to the enterprise architecture;
- Provide staff support to the concept and requirements analysis and investment analysis for service needs within the line of business;
- Jointly approve the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and Chief Information Officer for programs within the line of business;
- Implement a non-material solution to a service need that emerges any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

ACQUISITION EXECUTIVE

- Manages Acquisition Management System policy;
- Member of the Joint Resources Council;
- Jointly approves the Exhibit 300 program baseline with the Chief Financial Officer, Chief Information Officer, and Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business;
- Chairs the Joint Resources Council at the investment decision and at Exhibit 300 program baseline change decisions;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

VICE PRESIDENTS AND SERVICE DIRECTORS

- Have overall responsibility and accountability for the delivery of services by the service unit or service directorate under their management;

- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level 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;
- Approve plans for investment analysis and assign necessary human resources;
- Approve attachments 1 (program requirements) and 3 (implementation strategy and planning) of the Exhibit 300 program baseline;
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs; and
- Approve updates to the implementation strategy and planning document during in-service management and forwards signed updates to the JRC Executive Secretariat.

JOINT RESOURCES COUNCIL EXECUTIVE SECRETARIAT

The JRC Executive Secretariat manages the investment decision-making process for the JRC and for the ATO Executive Council. The JRC Executive Secretariat:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an investment decision before scheduling the program for a JRC or JRC subordinate investment review board decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Processes JRC-related tailoring requests;
- Manages the paper JRC process;
- Prepares records of decision from JRC meetings, minutes from JRC service-level reviews, and notes from ATO Executive Council meetings related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains JRC guidance documents and processes.

CAPITAL INVESTMENT TEAM

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, the FAA's Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO-Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to JRC presentation and approval to assess business justification, budget affordability, and program priority;
- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the JRC and provides business based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- 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 OST, OMB, 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.

DIRECTOR, OFFICE OF SAFETY MANAGEMENT

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning for programs designated for IOT&E.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages each investment program's Exhibit 300 program baseline and predicts and reports breaches to management;
- Updates the OMB Exhibit 300 annually;
- Assists in development of the program requirements recorded in attachment 1: Program Requirements of the Exhibit 300 program baseline;
- Develops cost and schedule baselines for alternative solutions during final investment analysis;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation and in-service management in the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning;
- Supports the conduct of post-implementation reviews;
- Assesses operational assets annually at a minimum to determine whether they should continue in service as is or be modified, upgraded, or removed from service; and
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary, depending on 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 if a procurement is subject to the JRC investment-decision process (unless otherwise designated by the JRC);
- 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 program stakeholders are members of the team and that they participate in team decision-making;
- Leads development of an investment program's cost, schedule, benefits, and performance program baseline and presents it for review and approval;
- 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 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's program needs are acquired through the appropriate source selection process and assures SIRs 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 Technical Representative.

CONTRACTING OFFICER

- Serves as the Source Selection Official for procurements not subject to the JRC investment-decision 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's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies;
- 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 SIRs;
- Formulates the source evaluation plan;
- Reviews existing 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 stated evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO's 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 the FAA's legal interests on product or service teams engaged in the acquisition of goods and services in support of the FAA's mission;
- 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;
- 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 Acquisition Management System;
- Provides dispute resolution services to the FAA and it's private business partners, implementing the FAA's policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
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- Recommends changes to the Acquisition Management System.

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- 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 area planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop concepts of use and requirements, as required;
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- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

ATO OPERATIONS PLANNING ORGANIZATION

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Oversees and coordinates the ATO strategic management process; and
- Provides test and evaluation services.

SYSTEMS ENGINEERING ORGANIZATIONS

- Work with both corporate mission analysis and service organizations to ensure consistency between service area planning and the long-range strategic direction of the FAA;
- Work 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;
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- Work with service organizations to conduct service analysis and incorporate associated recommendations into the enterprise architecture; and
- Work with service organizations to develop the Exhibit 300 program baseline attachment 1: Program Requirements.

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- Oversees the NAS segment of the enterprise architecture;
- 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 standards and tools for conducting service analysis;
- Assists service organizations in establishing a service analysis capability and conducting service analysis; and
- Leads planning and activities for concept and requirements definition

CHIEF FINANCIAL OFFICER

- Jointly approves the Exhibit 300 program baseline with the Acquisition Executive, Chief Information Officer, and the Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business at the final investment decision;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

CHIEF INFORMATION OFFICER

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Executive Board;
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- Oversees the enterprise architecture.

AIO VALUE MANAGEMENT OFFICE

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Exhibit 300s;
- Independently scores OMB Exhibit 300s and provides feedback to service organizations
- Independently scores Exhibit 300 program baselines and provides feedback to the JRC Secretariat.

- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Executive Board, Department of Transportation, and Office of Management and Budget; and
- Conducts EVM assessments for programs requiring submission of an Exhibit 300 to OMB and ensures EVM transition plans for those programs are implemented effectively.

EARNED VALUE MANAGEMENT FOCAL POINT

- Serves as the FAA EVM executive agent;
- Assists program managers and business managers to apply EVM system requirements to capital investment programs and contracts;
- Coordinates EVM 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

The in-service decision secretariat manages the deployment planning process for the JRC and for the ATO Executive Council. The secretariat:

- Coordinates with the JRC executive secretariat to verify that JRC 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 ISD action plans until closure.
- Originators develop proposed changes in conjunction with primary users of the policy or guidance, or in the case of a complex change, with an ad hoc workgroup.

ACQUISITION EXECUTIVE BOARD

A corporate body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, tools, and training. The AEB:

- Reviews, authorizes, and oversees development and implementation of acquisition management policy, process, practices, procedures, tools, and training 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.

Red Line Content: <u>Acquisition Management Policy</u>:
Appendix A: Roles and Responsibilities

JOINT RESOURCES COUNCIL

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve a new investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Selects a solution;
- Establishes an investment program and assigns it to a service organization;
- Baselines program requirements in Exhibit 300 program baseline attachment 1: Program Requirements;
- Approves the Exhibit 300 program baseline;
- Commits the FAA to full funding of the approved investment program phase;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management;
- Makes Exhibit 300 program baseline change decisions that alter program performance, cost, schedule, and benefits baselines during solution implementation or in-service management;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization; and
- Participates in service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;
- Chief Financial Officer;
- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and
- ATO Financial Officer.

The following members attend JRC meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation;
- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

ATO EXECUTIVE COUNCIL

- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of those investment programs assigned by the Joint Resources Council.

INFORMATION TECHNOLOGY EXECUTIVE BOARD

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC; and
- Makes investment decisions in areas specified by the Joint Resources Council.

ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER

- Require service analysis for designated business areas within the line of business;
- Approve entry into initial investment analysis;
- Recommend changes to the enterprise architecture;
- Provide staff support to the concept and requirements analysis and investment analysis for service needs within the line of business;
- Jointly approve the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and Chief Information Officer for programs within the line of business;
- Implement a non-material solution to a service need that emerges any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

ACQUISITION EXECUTIVE

- Manages Acquisition Management System policy;
- Member of the Joint Resources Council;
- Jointly approves the Exhibit 300 program baseline with the Chief Financial Officer, Chief Information Officer, and Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business;
- Chairs the Joint Resources Council at the investment decision and at Exhibit 300 program baseline change decisions;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

VICE PRESIDENTS AND SERVICE DIRECTORS

- Have overall responsibility and accountability for the delivery of services by the service unit or service directorate under their management;
- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level 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;
- Approve plans for investment analysis and assign necessary human resources;
- Approve attachments 1 (program requirements) and 3 (implementation strategy and planning) of the Exhibit 300 program baseline;
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs; and
- Approve updates to the implementation strategy and planning document during in-service management and forwards signed updates to the JRC Executive Secretariat.

JOINT RESOURCES COUNCIL EXECUTIVE SECRETARIAT

The JRC Executive Secretariat manages the investment decision-making process for the JRC and for the ATO Executive Council. The JRC Executive Secretariat:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an investment decision before scheduling the program for a JRC or JRC subordinate investment review board decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Processes JRC-related tailoring requests;
- Manages the paper JRC process;

- Prepares records of decision from JRC meetings, minutes from JRC service-level reviews, and notes from ATO Executive Council meetings related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains JRC guidance documents and processes.

CAPITAL INVESTMENT TEAM

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, the FAA's Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO-Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to JRC presentation and approval to assess business justification, budget affordability, and program priority;
- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the JRC and provides business based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- 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 OST, OMB, 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.

DIRECTOR, OFFICE OF SAFETY MANAGEMENT

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning for programs designated for IOT&E.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages each investment program's Exhibit 300 program baseline and predicts and reports breaches to management;
- Updates the OMB Exhibit 300 annually;

- Assists in development of the program requirements recorded in attachment 1: Program Requirements of the Exhibit 300 program baseline;
- Develops cost and schedule baselines for alternative solutions during final investment analysis;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation and in-service management in the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning;
- Supports the conduct of post-implementation reviews;
- Assesses operational assets annually at a minimum to determine whether they should continue in service as is or be modified, upgraded, or removed from service; and
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary, depending on 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 if a procurement is subject to the JRC investment-decision process (unless otherwise designated by the JRC);
- 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 program stakeholders are members of the team and that they participate in team decision-making;
- Leads development of an investment program's cost, schedule, benefits, and performance program baseline and presents it for review and approval;
- 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 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's program needs are acquired through the appropriate source selection process and assures SIRs 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 Technical Representative.

CONTRACTING OFFICER

- Serves as the Source Selection Official for procurements not subject to the JRC investment-decision 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's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies;
- 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 SIRs;
- Formulates the source evaluation plan;
- Reviews existing 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 stated evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO's 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 the FAA's legal interests on product or service teams engaged in the acquisition of goods and services in support of the FAA's mission;
- 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;
- Serves as core member of the Joint Resources Council.

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