

# CHANGE REQUEST COVER SHEET

**Change Request Number:** 10-77

**Date Received:** 9/27/2010

**Title:** IOT&E Name Change

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**Name:** David Woodson

**Phone:** 202-267-7601

**Policy OR Guidance:** Policy

**Section/Text Location Affected:** AMS Policy Sections 2.5.1, 2.5.2, 2.6.1 and Appendices A & D

**Summary of Change:** This change revises the name of Independent Operational Test and Evaluation (IOT&E) to Independent Operational Assessment (IOA) to reflect the fact that there is no (and has never been) testing conducted during IOT&E. It remains an assessment in the operational environment. In addition, the word safety was added in two places to reflect the Agency's and Office of Safety's focus on Safety Management System (SMS).

**Reason for Change:** The changes are in response to concerns that IOT&E may be misunderstood to include testing, and to reflect the SMS implementation in the Agency. There will be no change in what is currently accomplished during IOT&E.

**Development, Review, and/or Concurrence:** The change was reviewed within the ISM Directorate and Office of Safety thru the COO.

**Target Audience:** Service Teams with programs designated for IOT&E.

**Potential Links within FAST for the Change:** None

**Briefing Planned:** No

**ASAG Responsibilities:** None

**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:

Acquisition Management Policy:

**Appendix D: Acronyms** [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

**Section 4.5 : Independent Operational Assessment** [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

**Section 2.6.1 : Entrance Criteria** [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

**Section 2.5.3 : Who Does It?** [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

**Section 2.5.2 : Outputs and Products** [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

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**Section 2.5.1 : What Must Be Done** [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

## SECTIONS EDITED:

### Appendix D: Acronyms

**Old Content:** Acquisition Management Policy:

### **Appendix D: Acronyms**

<b>ADR</b>	Alternative Dispute Resolution
<b>AEB</b>	Acquisition Executive Board
<b>AIP</b>	Airport Improvement Program
<b>AMS</b>	Acquisition Management System
<b>AOPC</b>	Agency/Organization Program Coordinator
<b>AP</b>	Approving Official
<b>ASAG</b>	Acquisition System Advisory Group
<b>BCAR</b>	Business Case Analysis Report
<b>CAS</b>	Cost Accounting Standards
<b>CAS</b>	Commercially Available Software (2 <sup>nd</sup> definition for this acronym)
<b>CCB</b>	Configuration Control Board
<b>CCD</b>	Configuration Control Decision
<b>CIB</b>	Card Issuing Bank
<b>CIP</b>	Capital Investment Plan
<b>CIT</b>	Capital Investment Team
<b>CM</b>	Configuration Management
<b>CO</b>	Contracting Officer
<b>COCO</b>	Chief of the Contracting Office
<b>COI</b>	Critical Operational Issue
<b>COTS</b>	Commercial Off The Shelf
<b>CPIC</b>	Capital Planning and Investment Control
<b>DPA</b>	Delegation of Procurement Authority
<b>DOT</b>	Department of Transportation

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<b>DRO</b>	Dispute Resolution Officer
<b>EA</b>	Enterprise Architecture
<b>EIS</b>	Environmental Impact Statement
<b>EVM</b>	Earned Value Management
<b>F&amp;E</b>	Facilities and Equipment
<b>FAA</b>	Federal Aviation Administration
<b>FAST</b>	FAA Acquisition System Toolset
<b>FISMA</b>	Federal Information Security and Management Act
<b>FONSI</b>	Finding of No Significant Interest
<b>FSS</b>	Federal Supply Schedule
<b>GFI</b>	Government Furnished Information
<b>GFP</b>	Government Furnished Property
<b>GSA</b>	General Services Administration
<b>IDA</b>	Investment Decision Authority
<b>ILS</b>	Integrated Logistics Support
<b>IOT&amp;E</b>	Independent Operational Test and Evaluation
<b>IRT</b>	Integrated Requirements Team
<b>ISM</b>	In-Service Manager
<b>ISR</b>	In-Service Review
<b>ISS</b>	Information System Security
<b>JRC</b>	Joint Resources Council
<b>LOB</b>	Line of Business
<b>MCC</b>	Merchant Category Codes
<b>MOA</b>	Memorandum of Agreement
<b>MOU</b>	Memorandum of Understanding
<b>NAIC</b>	North American Industry Classification
<b>NAS</b>	National Airspace System
<b>NCP</b>	National Airspace System Change Proposal
<b>NDI</b>	Non-developmental Item
<b>ODR</b>	Office of Dispute Resolution
<b>O&amp;M</b>	Operations and Maintenance
<b>OMB</b>	Office of Management and Budget
<b>OPR</b>	Offices of Primary Responsibility
<b>OSHA</b>	Occupational Safety and Health Administration
<b>OST</b>	Office of the Secretary of Transportation
<b>P3I</b>	Preplanned Product Improvement
<b>PSM</b>	Procurement Strategy Meeting
<b>PT</b>	Product Team
<b>QRO</b>	Quality Reliability Officer
<b>QVL</b>	Qualified Vendor List
<b>RCCB</b>	Regional Configuration Control Board

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<b>RE&amp;D</b>	Research, Engineering, and Development
<b>RFO</b>	Request For Offer
<b>RMA</b>	Reliability, Maintainability, and Availability
<b>SB</b>	Small Business
<b>SDB</b>	Small Disadvantage Business
<b>SDVOSB</b>	Service-Disabled Veteran Owned Small Business
<b>SEDB</b>	Socially and Economically Disadvantaged Businesses
<b>SIC</b>	Standard Industrial Classification
<b>SIR</b>	Screening Information Request
<b>SSO</b>	Source Selection Official
<b>T&amp;E</b>	Test and Evaluation
<b>U.S.C.</b>	United States Code
<b>VSB</b>	Very Small Business

**New Content:** Acquisition Management Policy:

#### **Appendix D: Acronyms**

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<b>CPIC</b>	Capital Planning and Investment Control
<b>DPA</b>	Delegation of Procurement Authority
<b>DOT</b>	Department of Transportation
<b>DRO</b>	Dispute Resolution Officer
<b>EA</b>	Enterprise Architecture
<b>EIS</b>	Environmental Impact Statement

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<b>EVM</b>	Earned Value Management
<b>F&amp;E</b>	Facilities and Equipment
<b>FAA</b>	Federal Aviation Administration
<b>FAST</b>	FAA Acquisition System Toolset
<b>FISMA</b>	Federal Information Security and Management Act
<b>FONSI</b>	Finding of No Significant Interest
<b>FSS</b>	Federal Supply Schedule
<b>GFI</b>	Government Furnished Information
<b>GFP</b>	Government Furnished Property
<b>GSA</b>	General Services Administration
<b>IDA</b>	Investment Decision Authority
<b>ILS</b>	Integrated Logistics Support
<b>IOA</b>	Independent Operational Assessment
<b>IRT</b>	Integrated Requirements Team
<b>ISM</b>	In-Service Manager
<b>ISR</b>	In-Service Review
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<b>SB</b>	Small Business
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### **Section 4.5 : Independent Operational Test and Evaluation**

**Old Content:** Acquisition Management Policy:

#### **Section 4.5 : Independent Operational Test and Evaluation**

The FAA is committed to verifying that new systems are operationally effective, supportable, and suitable before deployment. The Chief Operating Officer, through the Vice President of Safety Services, designates investment programs on which to conduct independent operational test and evaluation (IOT&E). The decision to designate a program for IOT&E is based on such factors as complexity, operational criticality, lifecycle cost, interoperability, and risk.

During the early stage of solution implementation, the Office of IOT&E identifies potential operational risks and communicates them to the service organization. Once service organization test activities are complete, the Vice President of the service organization will declare in writing to the Vice President of Safety Services, via the IOT&E Readiness Declaration, the readiness of the system to enter IOT&E. IOT&E provides decision-makers with an independent determination of operational readiness in support of the production and in-service decisions.

**New Content:** Acquisition Management Policy:

#### **Section 4.5 : Independent Operational Assessment**

The FAA is committed to verifying that new systems are operationally effective, suitable, and safe before deployment. The Chief Operating Officer, through the Vice President of the Office of Safety Management, designates investment programs on which to conduct independent operational assessment (IOA). The decision to designate a program for IOA is based on such factors as complexity, operational criticality, lifecycle cost, interoperability, and safety risk.

During the early stage of solution implementation, the Office of Independent Safety Assessment identifies potential operational and safety risks and communicates them to the service organization. Once service organization test activities are complete, the Vice President of the service organization will declare in writing to the Vice President of Office of Safety, via the IOA Readiness Declaration, the readiness of the system to enter IOA. IOA provides decision-makers with an independent determination of operational readiness in support of the production and in-service decisions.

**Red Line Content:** Acquisition Management Policy:

#### **Section 4.5 : Independent Operational ~~Test and Evaluation~~ Assessment**

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### **Section 2.6.1 : Entrance Criteria**

**Old Content:** Acquisition Management Policy:

#### **Section 2.6.1 : Entrance Criteria**

The following are required for the in-service decision:

- Operational test report(s);
- IOT&E report for designated programs;
- ISR checklist completed;
- Safety risk management document or system safety assessment report approved;
- Information security certification and authorization;
- Stakeholder concurrence on readiness for the in-service decision; and
- ISD briefing and action plan.

**New Content:** Acquisition Management Policy:

#### **Section 2.6.1 : Entrance Criteria**

The following are required for the in-service decision:

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  - ISD briefing and action plan.
- 

### **Section 2.5.3 : Who Does It?**

**Old Content:** Acquisition Management Policy:

#### **Section 2.5.3 : Who Does It?**

The service organization manages all activities necessary to plan, obtain, and deploy the solution. This includes the award and management of contracts, continuing review and evaluation of progress relative to plan, and corrective action to achieve cost, schedule, and performance targets in the acquisition program baseline. Service organizations also manage all issues and actions necessary for the in-service decision, and update program planning to address how the newly fielded capability will be sustained throughout its service life. The integrated logistics management team ensures implementation of the logistics solution.

The operating service organization conducts joint acceptance and inspection at each site, declares operational readiness, and commissions the solution into operational use.

Authorized representatives of key stakeholder organizations work with the service organization throughout solution implementation to resolve all issues and enter into binding agreements to achieve the costs, schedule, performance, and benefits projected for the investment program. They provide the service organization and ISD authority with all issues and concerns identified during solution implementation up to and including the in-service decision.

For programs designated for independent operational test and evaluation, the Vice President of the service organization notifies the ATO Vice President for Safety Services when the product is ready for independent operational assessment via the IOT&E readiness declaration. The Director of IOT&E evaluates operational readiness of the product and reports findings to the in-service decision authority.

The Information Technology Executive Board annually reviews OMB Exhibit 300s for designated programs as part of the annual budget process. During this process, the AIO Value Management Office independently scores all OMB Exhibit 300s that will be submitted to the Office of Management and Budget through the Office of the Secretary of Transportation. The objective is to obtain a passing score from the Office of Management and Budget on all submitted OMB Exhibit 300s.

**New Content: Acquisition Management Policy:**  
**Section 2.5.3 : Who Does It?**

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For programs designated for independent operational assessment, the Vice President of the service organization notifies the ATO Vice President for Safety Services when the product is ready for independent operational assessment via the IOA readiness declaration. The Director of IOA evaluates operational readiness of the product and reports findings to the in-service decision authority.

The Information Technology Executive Board annually reviews OMB Exhibit 300s for designated programs as part of the annual budget process. During this process, the AIO Value Management Office independently scores all OMB Exhibit 300s that will be submitted to the Office of Management and Budget through the Office of the Secretary of Transportation. The objective is to obtain a passing score from the Office of Management and Budget on all submitted OMB Exhibit 300s.

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For programs designated for independent operational ~~test and evaluation~~assessment, the Vice President of the service organization notifies the ATO Vice President for Safety Services when the product is ready for independent operational assessment via the ~~IOT&E~~IOA readiness declaration. The Director of ~~IOT&E~~IOA evaluates operational readiness of the product and reports findings to the in-service decision authority.

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### **Section 2.5.2 : Outputs and Products**

**Old Content:** Acquisition Management Policy:

#### **Section 2.5.2 : Outputs and Products**

The primary outcome of solution implementation is a fully deployed and supported operational capability that satisfies requirements, is accepted by users, is compatible with other products and services in the field, and realizes the benefits in the final business case analysis report. The following are typical products of solution implementation that support the fielding of a satisfactory operational capability:

- Annual updates of the OMB Exhibit 300 for designated programs;
- Continuous evaluation of progress against targets in the acquisition program baseline;
- Contracts that achieve investment objectives (i.e., cost, schedule, performance, and benefits);
- Successful operational test and evaluation;
- Successful IOT&E and IOT&E report for designated programs;
- In-service decision, including the in-service decision (ISD) briefing and action plan;
- Declaration of operational readiness and commissioning at each site;
- Program reviews and reports (e.g., baseline management, variance tracking; financial, schedule, performance; earned value, logistics measures, and risk management); and
- Service-level review reports.

**New Content:** Acquisition Management Policy:

#### **Section 2.5.2 : Outputs and Products**

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- Annual updates of the OMB Exhibit 300 for designated programs;
- Continuous evaluation of progress against targets in the acquisition program baseline;
- Contracts that achieve investment objectives (i.e., cost, schedule, performance, and benefits);
- Successful operational test and evaluation;
- Successful IOA and IOA report for designated programs;
- In-service decision, including the in-service decision (ISD) briefing and action plan;
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- Annual updates of the OMB Exhibit 300 for designated programs;
- Continuous evaluation of progress against targets in the acquisition program baseline;
- Contracts that achieve investment objectives (i.e., cost, schedule, performance, and benefits);
- Successful operational test and evaluation;
- Successful ~~IOT&E~~IOA and ~~IOT&E~~IOA report for designated programs;
- In-service decision, including the in-service decision (ISD) briefing and action plan;
- Declaration of operational readiness and commissioning at each site;
- Program reviews and reports (e.g., baseline management, variance tracking; financial, schedule, performance; earned value, logistics measures, and risk management); and
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**Section 2.5.1 : What Must Be Done**

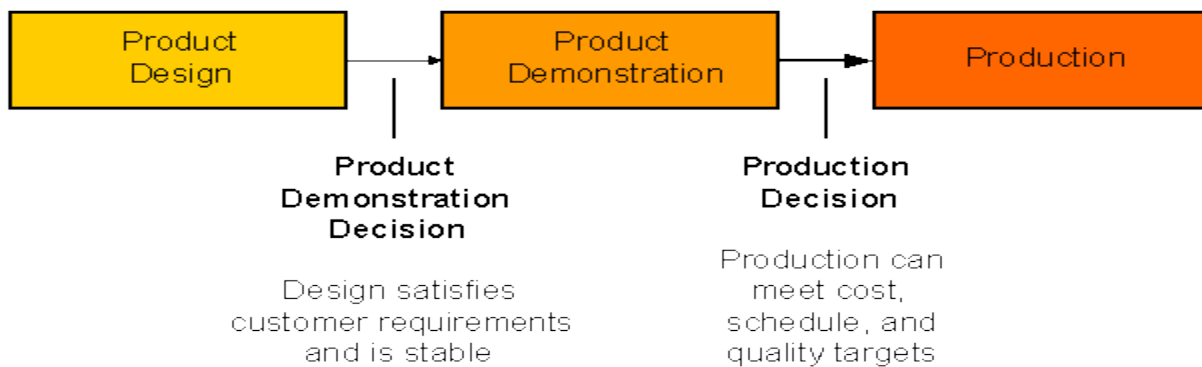
**Old Content: Acquisition Management Policy:**  
**Section 2.5.1 : What Must Be Done**

- **Finalize program planning.** The service organization reviews and updates program planning completed during final investment analysis (i.e., implementation strategy and planning document). Key stakeholders participate in this activity to ensure planning is complete and realistic. For example, if new systems are to be installed or existing facilities modified, service organization planners work with service-area offices so people and resources will be available when needed.
- **Obtain the solution.** The service organization oversees and coordinates execution of tasks and activities necessary to achieve the benefits projected for the investment program within approved cost and schedule baselines. This includes such activities as contract award, contract administration, program management, resource management, risk management, systems engineering, logistics support, test and evaluation, and site acquisition and adaptation. It may involve developing operational procedures and standards; obtaining physical, personnel, and information security; modifying the physical infrastructure; and coordinating collateral action by the aviation industry.
- **Verify Operational Readiness.** The service organization manages all activities necessary to install the solution at a designated test site(s) and test it thoroughly to verify operational readiness. Operational readiness encompasses operational effectiveness and operational suitability. Operational effectiveness measures how well the solution satisfies mission need and operational requirements. Operational suitability measures how well a product can be integrated and employed for field use, considering such factors as compatibility, reliability, human performance factors, maintenance and logistics support, safety, and training. For designated programs, operational readiness is also assessed by independent operational test and evaluation. The solution may be installed, as necessary, at the FAA Academy, FAA Logistics Center, and William J. Hughes Technical Center before the in-service decision. In rare cases and with proper justification, the service organization may request authority to install at other specific sites. This authorization does not affect the regular in-service review process culminating in a final in-service decision, which must be adhered to before a product can be placed into operational service through the declaration of operational readiness date (ORD) and commissioning.
- **Update planning for in-service management.** The service organization plans how it will sustain and manage deployed assets throughout their full lifecycle. This includes in-service support, post implementation reviews and other evaluations of operational assets to measure performance, collection of performance data in support of service-level reviews, product sustainment strategy and actions, service-life extension, and eventual removal from service including site restoration.
- **Verify and validate key work products and products.** The service organization incrementally verifies and validates key work products and products of solution implementation, including the contract/statement of work, design documents, specifications, and actual product/product components. Verification and validation activity supports contract award, product demonstration decision, production decision, product acceptance, and the in-service decision.

- **Prepare for in-service decision.** The service organization completes all activities necessary for the in-service decision. This includes resolution of all support issues identified by the operating service organization and integrated logistics management team; completion of management actions arising from the in-service review checklist and IOT&E report (designated programs only); resolution of stakeholder issues; development of the in-service decision briefing and action plan; and concurrence of key stakeholders.
- **Deploy the solution at all sites.** The service organization manages all activities necessary to deploy the solution at each site. This includes transportation and delivery of equipment, installation and checkout, contractor acceptance and inspection, integration, field familiarization, declaration of initial operational capability, joint acceptance and inspection, dual operations, declaration of operational readiness, and removal and disposal of obsolete equipment. Post implementation reviews are conducted at deployment sites to ensure user needs are satisfied, identify systemic problems that must be corrected, and determine whether cost, schedule, and benefits objectives are being achieved. The transition from solution implementation to in-service management extends over time, occurring at each site upon declaration of operational readiness or commissioning.

Investment programs that develop, modernize, or enhance systems or software follow the knowledge-based product development process shown in Figure 2.5.1-1. Table 2.5.1-1 contains the timing, criteria, and authority for each decision point.

**Figure 2.5.1-1. FAA Knowledge-Based Product Development Process**



**Table 2.1.5-1 Product Development Decision Points, Timing, Criteria, and Authority**

Decision Point	Timing	Decision Authority	Decision Criteria
Product Demonstration Decision	After critical design review	Vice President or Director of the implementing service organization	<ul style="list-style-type: none"> <li>• Key product characteristics are defined</li> <li>• Stakeholders agree that product design and functionality satisfy customer requirements</li> <li>• System design reviews are complete</li> <li>• Engineering drawings are complete</li> <li>• Detailed software/firmware design is complete, including critical software</li> </ul>

			processes and threads <ul style="list-style-type: none"> <li>• RMA goals are defined and planning is complete</li> <li>• Failure modes and effects analysis is complete</li> <li>• Critical manufacturing processes are identified</li> </ul>
Production Decision	After completion of operational testing	Vice President or Director of the implementing service organization *	<ul style="list-style-type: none"> <li>• First-article satisfies customer requirements in an operational environment</li> <li>• Data demonstrate that critical manufacturing processes and components will achieve RMA goals</li> <li>• First-article achieves contract RMA requirements</li> <li>• Stakeholders agree design is producible</li> </ul>

\* Unless otherwise designated by the JRC at the final investment decision.

**New Content: Acquisition Management Policy:**  
**Section 2.5.1 : What Must Be Done**

- **Finalize program planning.** The service organization reviews and updates program planning completed during final investment analysis (i.e., implementation strategy and planning document). Key stakeholders participate in this activity to ensure planning is complete and realistic. For example, if new systems are to be installed or existing facilities modified, service organization planners work with service-area offices so people and resources will be available when needed.
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- **Verify Operational Readiness.** The service organization manages all activities necessary to install the solution at a designated test site(s) and test it thoroughly to verify operational readiness. Operational readiness encompasses operational effectiveness and operational suitability. Operational effectiveness measures how well the solution satisfies mission need and operational requirements. Operational suitability measures how well a product can be integrated and employed for field use, considering such factors as compatibility, reliability, human performance factors, maintenance and logistics support, safety, and training. For designated programs, operational readiness is also assessed by independent operational assessment. The solution may be installed, as necessary, at the FAA Academy, FAA Logistics Center, and William J. Hughes Technical

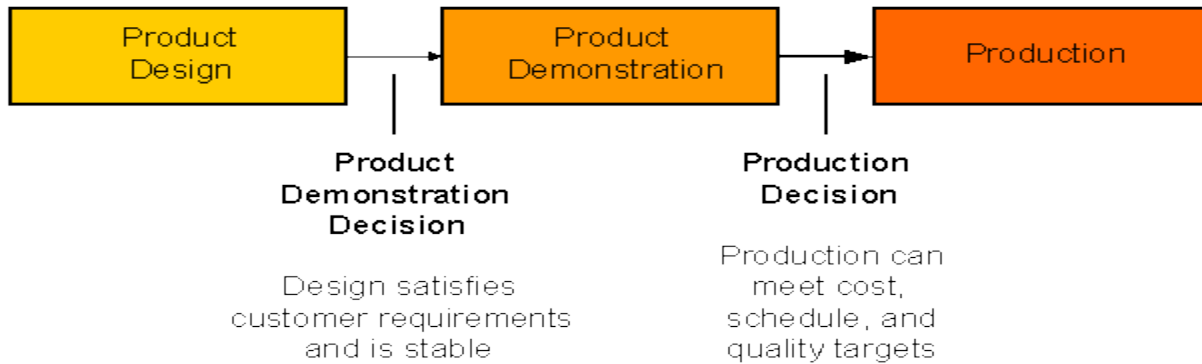


Center before the in-service decision. In rare cases and with proper justification, the service organization may request authority to install at other specific sites. This authorization does not affect the regular in-service review process culminating in a final in-service decision, which must be adhered to before a product can be placed into operational service through the declaration of operational readiness date (ORD) and commissioning.

- **Update planning for in-service management.** The service organization plans how it will sustain and manage deployed assets throughout their full lifecycle. This includes in-service support, post implementation reviews and other evaluations of operational assets to measure performance, collection of performance data in support of service-level reviews, product sustainment strategy and actions, service-life extension, and eventual removal from service including site restoration.
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- **Prepare for in-service decision.** The service organization completes all activities necessary for the in-service decision. This includes resolution of all support issues identified by the operating service organization and integrated logistics management team; completion of management actions arising from the in-service review checklist and IOA report (designated programs only); resolution of stakeholder issues; development of the in-service decision briefing and action plan; and concurrence of key stakeholders.
- **Deploy the solution at all sites.** The service organization manages all activities necessary to deploy the solution at each site. This includes transportation and delivery of equipment, installation and checkout, contractor acceptance and inspection, integration, field familiarization, declaration of initial operational capability, joint acceptance and inspection, dual operations, declaration of operational readiness, and removal and disposal of obsolete equipment. Post implementation reviews are conducted at deployment sites to ensure user needs are satisfied, identify systemic problems that must be corrected, and determine whether cost, schedule, and benefits objectives are being achieved. The transition from solution implementation to in-service management extends over time, occurring at each site upon declaration of operational readiness or commissioning.

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**Red Line Content: Acquisition Management Policy:**  
**Section 2.5.1 : What Must Be Done**

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