

CHANGE REQUEST COVER SHEET

Change Request Number: 12-100

Date Received: 9/26/2012

Title: Appendix B: Acquisition Planning and Control Documents

Name: Mike Mudzo

Phone: 202-493-4614

Policy OR Guidance: Policy

Section/Text Location Affected: Appendix B: Acquisition Planning and Control Documents text and linked templates

Summary of Change: Update to appendix B text update to current link and addition of new link for the execution plan templates.

Reason for Change: The change was initiated to align the templates with the type of investment based on the ACAT category.

Development, Review, and/or Concurrence: AEB and ASAG approved the change.

Target Audience: Service organizations preparing APBs and initiating investments.

Potential Links within FAST for the Change: Links to current APB and creation of a new link.

Briefing Planned: Yes

ASAG Responsibilities: Approve

Potential Links within FAST for the Change: Links to current APB and creation of a new link.

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

1) http://fast.faa.gov/AcquisitionPlanningControlDocuments.cfm?CFID=2748729&CFTOKEN=10335946&p_title=AMS Policy

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

2) http://fasteditapp.faa.gov/ams/do_action?do_action=LinkSection&contentUID=4§ionNumber=A.2#FAA_2867

Links for New/Modified Forms (or) Documents (LINK 3) [refer to directions documents called APB Link instructions.doc](#)

SECTIONS EDITED:

Acquisition Management Policy:

Appendix B: Acquisition Planning and Control Documents [\[Old Content\]](#) [\[New Content\]](#)
[\[RedLine Content\]](#)

Acquisition Management Policy:

Acquisition Program Baseline [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

Program Requirements Document [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

Business Case [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

Implementation Strategy and Planning Document [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

SECTIONS EDITED:

Appendix B: Acquisition Planning and Control Documents

Old Content: Acquisition Management Policy:

Appendix B: Acquisition Planning and Control Documents

This appendix contains the purpose, approval authority, distribution, and content for AMS planning and control documents. Templates are available for each document in FAST via the internet at <http://fast.faa.gov>.

The documents are:

- Acquisition program baseline
- Program requirements document
- Business case
- Implementation strategy and planning document

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

New Content: Acquisition Management Policy:

Appendix B: Acquisition Planning and Control Documents

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

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

The documents are:

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- Program requirements document
- Business case
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Red Line Content: Acquisition Management Policy:

Appendix B: Acquisition Planning and Control Documents

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The documents are:

- Acquisition program ~~baseline~~ ***baselines and execution plans***
- Program requirements document
- Business case
- Implementation strategy and planning document

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

Acquisition Program Baseline

Old Content: Acquisition Management Policy:

Acquisition Program Baseline

[download acquisition program baseline template](#)

PURPOSE

The acquisition program baseline defines the cost, schedule, and performance baselines for the investment program. It is the mutual agreement between the investment decision authority, the

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providing service organization, and the operating service organization concerning the performance and capability the program will provide and the authorized cost and schedule.

DESCRIPTION

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

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

APPROVAL

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

DISTRIBUTION

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

CONTENT

The acquisition program baseline consists of a cost baseline, schedule baseline, and performance baseline. Content is defined in the [APB template](#).

New Content: Acquisition Management Policy:
Acquisition Program Baseline

PURPOSE

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

DESCRIPTION

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

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

APPROVAL

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DISTRIBUTION

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CONTENT

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

Execution Plan

PURPOSE

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

DESCRIPTION

There are three Execution Plan templates. The first is the Variable Quantity Execution Plan template used for acquisition categories 1VQ through 5VQ. The second and third Execution Plan templates are the Facility Execution Plans. The program-level Facility Execution Plan is used for acquisition categories 1F through 5F. The project-level Facility Execution Plans is used for acquisition sub-categories F1, F2, and F3.

APPROVAL

Approval is defined in the execution plan templates.

DISTRIBUTION

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

CONTENT

Content is defined in the execution plan templates.

Red Line Content: Acquisition Management Policy: Acquisition Program Baseline

~~download acquisition program baseline template~~ **PURPOSE**

The ~~acquisition program~~ **Acquisition Program** ~~baseline~~ **Baseline (APB)** defines ~~documents~~ the cost, schedule, and performance baselines for the investment program. It is the mutual agreement between the investment decision authority, the ~~providing service~~ **performing** organization, and the ~~operating service~~ **user** organization concerning the performance and capability the program will provide and the ~~authorized~~ cost and schedule **authorized for the program. There are two APB templates. The first is for new investments (acquisition categories INI-5NI). The second APB template is to be used for technology refreshment programs (acquisition categories 4TR and 5TR).**

DESCRIPTION

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

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APPROVAL

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

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APPROVAL

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CONTENT

Content is defined in the execution plan templates.

Program Requirements Document

Old Content: Acquisition Management Policy:

Program Requirements Document

[download program requirements document template](#)

PURPOSE

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

APPROVAL

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

organization executing the program in solution implementation approves the program requirements document.

DISTRIBUTION

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

CONTENT

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

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

New Content: Acquisition Management Policy: Program Requirements Document

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Business Case

Old Content: Acquisition Management Policy:
Business Case

~~[download business case template](#)~~

PURPOSE

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

APPROVAL

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

DISTRIBUTION

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

CONTENT

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

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Implementation Strategy and Planning Document

Old Content: Acquisition Management Policy:
Implementation Strategy and Planning Document

[download implementation strategy and planning document template](#)

PURPOSE

The implementation strategy and planning document (ISPD) provides the investment decision authority a summary characterization of the plans for solution implementation and in-service management of the proposed investment. It conveys the most critical, relevant, and meaningful information to support IDA decision-making. More detailed and comprehensive plans are generated as part of acquisition best-practices at appropriate event-driven milestones, some of which occur before the final investment decision and some afterward. An initial ISPD is required

for the initial investment decision covering specific sections identified in the ISPD template. A complete ISPD is required for a final investment decision. After the final investment decision, the ISPD is modified only if the program returns to the investment decision authority for a change to the investment decision and information needs to be modified.

APPROVAL

The ISPD is submitted for approval by the first-level executive of the organization that will execute the program in solution implementation. Within ATO, the ISPD is approved by the Vice President of the organization that will execute the program and by the Senior Vice President for Operations. Outside ATO, the ISPD is approved by the second-level executive of the organization that will execute the program. Certain sections of the ISPD are reviewed and approved by specific executives, as follows: (1) Section 2: Director, Acquisition and Contracting, and Director, Financial Controls; (2) Sections 5, 6 and 10: ATO Vice President for Technical Operations; (3) Sections 1, 4 and 5: Director of NextGen Engineering Services (ATO programs only); (4) Section 9: Director, ATO Integrated Safety Management (ISM) if independent operational assessment will be conducted. The organization executing the program in solution implementation obtains the required approvals before the investment decision with the exception of the investment decision authority, which is the responsibility of the JRC executive secretariat. The JRC Chairperson signs the ISPD on behalf of the JRC members concurrent with the investment decision.

DISTRIBUTION

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

CONTENT

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New Content: Acquisition Management Policy:
Implementation Strategy and Planning Document

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