

CHANGE REQUEST COVER SHEET

Change Request Number: 12-62

Date Received: 6/25/2012

Title: ACAT Submission Timing

Name: Colleen Gutrick

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Policy OR Guidance: Policy

Section/Text Location Affected: AMS Policy 1.2.5 [see CR 12-93 for Table of Acquisition Categories]

Summary of Change: This change clarifies when the ACAT determination is made for different types of investment programs. The ACAT for new investments will be designated during service gap analysis. For Technology Refreshment, Facility, and Variable Quantity programs, the ACAT will be designated at the start of concept and requirements definition. Support Service Contracts are assigned an ACAT after Phase 1 of the Support Contract Review Board process.

Reason for Change: This change will align policy with current practice.

Development, Review, and/or Concurrence: AAP-100, ANG-B

Target Audience: 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) [null](#)

Links for New/Modified Forms (or) Documents (LINK 2) [null](#)

Links for New/Modified Forms (or) Documents (LINK 3) [null](#)

SECTIONS EDITED:

Acquisition Management Policy:

Section 1.2.5 : Acquisition Categories for Investment Decision-Making and Governance [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

Section 2.3.2.2 : Outputs and Products [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

Acquisition Management Policy:

Section 2.3.2.1 : What Must Be Done [\[Old Content\]](#) [\[New Content\]](#) [\[RedLine Content\]](#)

SECTIONS EDITED:

Section 1.2.5 : Acquisition Categories for Investment Decision-Making and Governance
Old Content: Acquisition Management Policy:

Section 1.2.5 : Acquisition Categories for Investment Decision-Making and Governance

Acquisition categories ensure the appropriate level of oversight and documentation requirements are applied to each FAA investment program. Acquisition categories apply to all investment programs, appropriations, and FAA organizations. This includes all capital investments in the National Airspace System and FAA administrative and mission support systems and services. The Joint Resources Council is the investment decision authority for all acquisition categories.

Investment programs are classified by investment type (new investment, technology refreshment, variable quantity, facility initiative, or support service) and then categorized by qualitative and quantitative criteria. Definitions for investment type and criteria for acquisition categories are in the [AMS Table of Acquisition Categories](#). Review organizations for investment decisions and tailoring for required documentation vary according to investment type and acquisition category, as defined by the AMS Table of Acquisition Categories.

A preliminary acquisition category is designated when an enterprise architecture roadmap specifies action must be taken now to address a high-priority agency mission or service need and before the start of concept and requirements definition. During concept and requirements definition, the sponsoring service organization recommends an acquisition category to the Acquisition Executive Board, which makes the final decision and notifies the Joint Resources Council. This designation of acquisition category is made before the investment analysis readiness decision, when more definitive cost, schedule, performance, and risk information is available. The acquisition category is confirmed at the initial investment decision.

A standard investment decision authority readiness process applies to all acquisition category levels for AMS decision points.

New Content: Acquisition Management Policy:

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The sponsoring service organization recommends an acquisition category to the Acquisition Executive Board, who makes the categorization decision and notifies the Joint Resources Council for confirmation. The designation of acquisition category is made before the investment analysis readiness decision. A standard investment decision authority readiness process applies to all acquisition category levels for AMS decision points.

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Section 2.3.2.2 : Outputs and Products

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- Preliminary shortfall analysis report that describes qualitatively the service need, shortfall, and legacy assets;
- Recommended changes to an enterprise architecture roadmap; and
- Concept and requirements definition plan, including the preliminary ACAT determination request as an attachment.

The key work products of service analysis are verified and validated according to the verification and validation guidelines before the CRD readiness decision.

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Section 2.3.2.1 : What Must Be Done

Old Content: Acquisition Management Policy:

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Service-Level Analysis:

- **Define service needs.** Service organizations analyze forecasts for aviation service needs and stay abreast of opportunities for improving service delivery as a basis for determining

and prioritizing service needs and shortfalls. A continuing dialog with and feedback from customers (e.g., commercial air carriers, general aviation, air transport industry, state and local airport authorities) and users (air traffic and technical operations) are crucial, as is the supportability and operational outlook for fielded assets. This activity identifies business, technology, organizational, process, and personnel issues that affect service outcomes, as well as assumptions, risks, and dependencies.

- **Update FAA strategic planning documents.** When service and infrastructure needs within and across lines of business emerge that differ from those in the enterprise architecture roadmaps and FAA strategic planning, the service organization proposes changes, ties them to FAA strategic and performance measures, and indicates when they need to be resolved. These emerging needs are reviewed, vetted, and integrated within agency-level strategic planning documents (e.g., enterprise architecture roadmaps, Destination 2025, and NAS Midterm CONOPS) using appropriate processes.

Service-Gap Analysis:

- **Describe priority need and preliminary shortfall.** When a priority service need within an enterprise architecture roadmap requires action to start now on the search for a best overall solution, the service organization defines the capability that must be put in place to improve service delivery and achieve agency strategic and performance goals. Improvements are stated as performance objectives (e.g., increased capacity, improved safety, more efficient operations, clearer communications, faster surveillance update), which are used later in concept and requirements definition to quantify needed physical and operational improvements. The service organization also defines the service shortfall as a foundation for understanding the problem and its nature, urgency, and impact. The shortfall is the difference between future service need and current capability. Finally, the service organization describes legacy assets that now perform the function or service. Legacy assets include all existing and funded systems, facilities, people, and processes. It does not include any additional investment beyond what is in an investment segment baseline approved by an investment decision authority. The service need, shortfall, and legacy case are recorded in the preliminary shortfall analysis report.
- **Propose enterprise architecture roadmap changes.** Should the preliminary shortfall analysis identify important service needs not in an enterprise architecture roadmap, the service organization prepares change documents for inclusion and submits them to the Enterprise Architecture Board for approval. Approval is required before entry into concept and requirements definition.
- **Prepare concept and requirements definition plan.** NextGen Engineering Services (NAS) or AIO Information Technology Research & Development (non-NAS) works with the implementing and operating service organizations to prepare a plan for concept and requirements definition. This plan (1) specifies how tasks will be accomplished, including any supporting research or analysis; (2) defines the roles and responsibilities of participating organizations; (3) defines outputs and exit criteria; (4) establishes a schedule for completion; and (5) specifies needed resources. By signing the plan for concept and requirements definition, organizations that will do the work agree to provide the necessary resources. The service organization also recommends a preliminary ACAT level to NextGen Engineering Services. The recommendation is based on preliminary

financial data, as well as subjective assessments of complexity, risk, political sensitivity, safety, and security. NextGen Engineering Services either concurs with the recommendation or proposes a different level to the Acquisition Executive Board which makes the final determination.

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