CHANGE REQUEST COVER SHEET

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

Title: Revisions and updates to add AEB responsibilities to the AMS Change Management (SOP)

Name: Colleen Gutrick

Phone: 202-493-5605

Policy OR Guidance: Guidance

Section/Text Location Affected: AMS Guidance-Revising AMS

Summary of Change: Revise and update to add AEB responsibilities to the AMS Change Management Standard Operating Procedures (SOP)

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: http://fasteditapp.faa.gov/ams/do_action

Briefing Planned: Yes

ASAG Responsibilities: Review and Comment

Potential Links within FAST for the Change: http://fasteditapp.faa.gov/ams/do_action

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)

Section 4 : DEFINITIONS

Old Content: SOP for AMS Change Management:
Section 4 : DEFINITIONS

Acquisition System Advisory Group (ASAG): A chartered change management group comprised of individuals empowered by their service organization, line of business, or functional-area organization to decide matters about FAA-wide lifecycle management policy and guidance in AMS.

Change Manager: The ASAG Chairperson is the AMS Change Manager. The Office of Acquisition Policy and Contracting, Acquisition Policy Group Manager, ATO-A currently serves as the ASAG Chairperson.   The Chairperson may delegate this responsibility for temporary absences, as deemed appropriate.

Consensus: A state of mutual agreement where all legitimate concerns of ASAG members have been addressed to their satisfaction. Consensus does not mean conformity, or a majority of members agree, or everyone agrees about everything. Consensus is an agreement that all ASAG members can live with and support fully.

Endorsement: ASAG consensus on a proposed change, which is subsequently submitted for approval.

Executive Secretary: Acquisition Policy Group representative who arranges the ASAG meetings, prepares and maintains the ASAG minutes, and manages the day-to-day change management activities.

Minor Change: A change that does not alter the intent of policy or guidance. Minor changes do not require full ASAG coordination and endorsement. Examples include: Executive Orders directed solely at specialized procurement matters that must be complied with on issuance and have a limited scope; editorial corrections or clarifications enhancing but not amending the intent

of AMS policy or guidance; contract clauses implementing laws that must be complied with; or clauses resulting from previous ASAG action on policy or guidance.

Significant Change: A change that substantively alters AMS policy or guidance. These changes require full ASAG coordination and endorsement. Examples include: Executive Orders materially affecting the FAA; editorial corrections or clarifications amending the intent of the AMS policy or guidance; new policy or guidance; and contract clauses related to new policy or guidance.

New Content: SOP for AMS Change Management:
Section 4 : DEFINITIONS

Acquisition Executive Board: A chartered corporate level group that reviews and authorizes development and implementation of lifecycle management policy, processes, practices, procedures, tools and training.

Acquisition System Advisory Group (ASAG): A chartered change management group comprised of individuals empowered by their service organization, line of business, or functional-area organization to decide matters about FAA-wide lifecycle management policy and guidance in AMS.

Change Manager: The ASAG Chairperson is the AMS Change Manager. The Office of Acquisition Policy and Contracting, Acquisition Policy Group Manager, ATO-A currently serves as the ASAG Chairperson.   The Chairperson may delegate this responsibility for temporary absences, as deemed appropriate.

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Significant Change: A change that substantively alters AMS policy or guidance. These changes require AEB authorization and full ASAG coordination and endorsement. Examples include: Executive Orders materially affecting the FAA; editorial corrections or clarifications amending the intent of the AMS policy or guidance; new policy or guidance; and contract clauses related to new policy or guidance.

Red Line Content: <u>SOP for AMS Change Management</u>:
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include: Executive Orders materially affecting the FAA; editorial corrections or clarifications amending the intent of the AMS policy or guidance; new policy or guidance; and contract clauses related to new policy or guidance.

Section 9 : PROCESSING SIGNIFICANT CHANGES
Old Content: <u>SOP for AMS Change Management</u>:
Section 9 : PROCESSING SIGNIFICANT CHANGES

A significant change substantively alters AMS policy or guidance. The Executive Secretary sends significant changes electronically to ASAG members for review and approval.   ASAG members may be required to meet for a scheduled meeting to discuss and approve a change or provide their consensus via electronic approval submissions. ASAG members receive a change request cover sheet, a "clean" version of the proposed text, and a "redline" text for revisions to existing policy or guidance. The Manager of the Lifecycle Acquisition Policy Team in coordination with the ASAG Chairperson, will determine when a formal meeting is required to discuss a change, or if an electronic consensus will be sufficient to obtain ASAG approval.

If a change is to be presented at a formal ASAG meeting, the Executive Secretary arranges for the change initiator and responsible ASAG member to explain the change at an ASAG meeting. Once the change is presented, the ASAG decides whether the change should be endorsed, coordinated further or revised, or rejected. When additional coordination is needed, the ASAG Chairperson sets due dates for comments, discussion, and a decision.

ASAG members review change proposals, solicit guidance, resolve issues, help develop changes, and facilitate consensus in their organization or functional area. A key ASAG responsibility is ensuring review among organizations impacted by AMS changes. To assist with that review, ASAG members are encouraged to establish a coordination network of subject-matter experts, management, and other stakeholders in their line of business or functional area.

ASAG members evaluate changes for scope, applicability, impact to resources, staffing, processes, procedures, and functional responsibilities. ASAG members will work with the initiator from within their Service Organization or Line of Business to develop the change and forward changes for review to appropriate individuals in their organization or functional area, along with instructions and due dates. Internal suspense dates are set to meet ASAG discussion and decision dates when applicable. Request for ASAG review extensions are submitted to the ASAG Executive Secretary who will in turn coordinate the request with the ASAG Chairperson. When deciding to postpone a change discussion or decision, the ASAG Chairperson considers the substance of the change, its priority, any required implementation date, and the likely consequences of considering the change without full coordination. ASAG members collect, consolidate, and integrate comments from their organization before the date the change proposal is scheduled for discussion and decision by the ASAG. Also, when appropriate, ASAG members ask change initiators to work directly with other subject-matter experts in the member's organization or functional area. ASAG members also report the status of significant changes to their management and functional-area workforce.

Decisions to change AMS are by consensus. Individual Service Organization and Line of Business ASAG representatives resolve issues with the initiator. If unsuccessful, ASAG members present remaining concerns to the full ASAG for consideration. The ASAG Chairperson facilitates ASAG discussions until consensus is reached on all major issues. If ASAG consensus cannot be reached for a policy change, the ASAG Chairperson escalates the matter to the Vice President of ATO-A and the Vice President of the initiator's organization. If consensus cannot be reached for a guidance change, the matter is escalated to the Director of Acquisition Policy and Contracting. When a change proposal is escalated for a decision, and this decision results in a change that is different from the original change, the original change is closed without action and a new change is initiated. The ASAG will not review the revised proposed change since it resulted from an escalated decision by the Vice President of ATO-A and the initiator's organization for policy changes or by the Director of Acquisition Policy and Contracting for guidance changes.

The ASAG endorses changes when it agrees on the change content and implementation. The ASAG may also conditionally endorse a change when isolated issues are yet to be resolved, but the change is otherwise acceptable. ASAG meeting minutes show the conditional endorsement and actions that must occur before the change is forwarded for approval; e.g., further coordination or specific revisions to satisfy an ASAG member's concern.

After significant changes are endorsed, the Executive Secretary prepares a cover memorandum signed by the ASAG Chairperson, attaches a hard copy of the changes, and forwards them to the approving official.

New Content: SOP for AMS Change Management:
Section 9 : PROCESSING SIGNIFICANT CHANGES

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Section 11 : ASAG MEETINGS
Old Content: <u>SOP for AMS Change Management</u>:
Section 11 : ASAG MEETINGS

ASAG meetings are scheduled as required given the circumstances of the change or Agenda items to be discussed. Whenever feasible, meetings will be scheduled on the first Tuesday of each month except for months with a holiday on or near the meeting date. The Executive Secretary notifies the ASAG in advance of meeting times and locations, and of cancelled meetings when there are insufficient agenda items. The Executive Secretary distributes an agenda before each meeting. When available, change requests and other meeting information are provided by email to ASAG members before meetings. ASAG members bring copies of all distributed documents to the meeting. Initiators bring a minimum of 15 copies of change-related material to the ASAG meeting or as directed by the Executive Secretary. The ASAG Chairperson presides over meetings and facilitates discussion. The Chairperson determines whether sufficient ASAG members are present to conduct business. When ASAG members expect to be absent, they should arrange for an alternate to attend. Change initiators attend meetings to brief or explain proposed changes. Non-ASAG members and contractor support personnel may also attend when it is determined by the Chairperson that their attendance is relative to an agenda item. Meetings may include other individuals giving informational briefings about potential changes or issues that may affect AMS. Meetings follow this sequence: administrative issues, items not about change requests, change requests, summary and closing.

The Executive Secretary takes meeting minutes, noting action items, due dates, and decisions by the ASAG. Meeting minutes are the formal record of ASAG decisions. Minutes are distributed by email to ASAG members.

ASAG Chairperson sets due dates for action items or other ASAG initiatives. The Executive Secretary tracks the status of action items and due dates, and follows up as needed to ensure action items are completed.

New Content: <u>SOP for AMS Change Management</u>:
Section 11 : ASAG MEETINGS

ASAG meetings are scheduled as required given the circumstances of the change or Agenda items to be discussed. Whenever feasible, meetings will be scheduled on the third Tuesday of each month except for months with a holiday on or near the meeting date. The Executive Secretary notifies the ASAG in advance of meeting times and locations, and of cancelled meetings when there are insufficient agenda items. The Executive Secretary distributes an agenda before each meeting. When available, change requests and other meeting information are provided by email to ASAG members before meetings. ASAG members bring copies of all distributed documents to the meeting. Initiators bring a minimum of 15 copies of change-related material to the ASAG meeting or as directed by the Executive Secretary. The ASAG Chairperson presides over meetings and facilitates discussion. The Chairperson determines whether sufficient ASAG members are present to conduct business. When ASAG members expect to be absent, they should arrange for an alternate to attend. Change initiators attend meetings to brief or explain proposed changes. Non-ASAG members and contractor support personnel may also attend when it is determined by the Chairperson that their attendance is relative to an agenda item. Meetings may include other individuals giving informational briefings about potential changes or issues that may affect AMS. Meetings follow this sequence: administrative issues, items not about change requests, change requests, summary and closing.

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Section 15 : RESPONSIBILITIES
Old Content: SOP for AMS Change Management:
Section 15 : RESPONSIBILITIES

AMS Change Manager:

- Chairs the ASAG;
- Determines the need for a formal ASAG meeting or electronic reviews and sets the agenda for ASAG meetings;
- Forms ad hoc work groups for changes or other AMS issues;
- Elevates to management those issues that cannot be resolved by ASAG consensus;
- Endorses minor changes on behalf of the full ASAG;
- Maintains operating procedures for AMS change management;
- Amends the ASAG charter as needed.

Executive Secretary:

- Serves as the focal point for all change proposals;
- Establishes files for proposed changes;
- Tracks status of change proposals;
- Distributes proposed and approved changes to ASAG members;
- Arranges for ASAG meetings and telcons.
- Prepares and distributes ASAG Agenda, meeting minutes and action items;
- Manages ASAG action items.
- Post approved changes in FAST project manager.

ASAG Members:

- Represent their respective organization or functional area on AMS;
- Facilitate communication among the change initiator and all organizations impacted by change proposals;

- Act as the focal point for requesting, obtaining, and consolidating review comments from organizations or functional key personnel for changes sponsored by their organization;
- Evaluate changes and facilitate review, comment, and resolution of concerns;
- Endorse fully developed AMS change proposals;
- Participate on work groups established to develop change proposals or other AMS-related activities;
- Identify problems, weaknesses, inconsistencies, and opportunities for improving the AMS and initiate corrective action.

Adhoc Members:

- Participate as necessary to assist the ASAG with changes pertaining to their organizational responsibilities.
- Participate on ASAG workgroups as requested by the ASAG Chairperson.

New Content: SOP for AMS Change Management:
Section 15 : RESPONSIBILITIES

Acquisition Executive Board:

- The AEB evaluates and authorizes significant proposals to change or implement new acquisition management practices, policies, and procedures.
- For authorized change proposals, the AEB charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed practices, policy, and procedure changes.
- The AEB provides direction and oversight to the ASAG.

AMS Change Manager:

- Chairs the ASAG;
- Determines the need for a formal ASAG meeting or electronic reviews and sets the agenda for ASAG meetings;
- Forms ad hoc work groups for changes or other AMS issues;
- Elevates to the AEB those issues that cannot be resolved by ASAG consensus;
- Engages the AEB for review and authorization for changes
- Endorses minor changes on behalf of the full ASAG;
- Maintains operating procedures for AMS change management;
- Amends the ASAG charter as needed.

Executive Secretary:

- Serves as the focal point for all change proposals;
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Section 15 : RESPONSIBILITIES

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AMS Change Manager:

- Chairs the ASAG;
- Determines the need for a formal ASAG meeting or electronic reviews and sets the agenda for ASAG meetings;
- Forms ad hoc work groups for changes or other AMS issues;
- Elevates to ~~management~~*the AEB* those issues that cannot be resolved by ASAG consensus;

- *Engages the AEB for review and authorization for changes*
- Endorses minor changes on behalf of the full ASAG;
- Maintains operating procedures for AMS change management;
- Amends the ASAG charter as needed.

Executive Secretary:

- Serves as the focal point for all change proposals;
- Establishes files for proposed changes;
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- Distributes proposed and approved changes to ASAG members;
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ASAG Members:

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- Identify problems, weaknesses, inconsistencies, and opportunities for improving the AMS and initiate corrective action.

Adhoc Members:

- Participate as necessary to assist the ASAG with changes pertaining to their organizational responsibilities.
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Section 16 : REFERENCES AND RELATED DOCUMENTS
Old Content: SOP for AMS Change Management:
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ASAG Charter: *http://fast.faa.gov/cm_guide/index.htm*

Attachments:

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APPROVED BY:

_____   _____

David Lankford   Date
Manager, Acquisition Policy Group
Acquisition System Advisory Group

Guidance for Submitting AMS Changes

1.   REQUIREMENTS FOR CHANGE PROPOSALS

Where to Submit: The AMS Configuration Manager, Acquisition Policy Group, AJA-43 is the focal point for all change proposals. Change proposals are sent by email to: 9-atoa-hq-fastmail

What to Submit: All change-related documents are in electronic format. Change proposals include:

- A change request cover sheet (using the attached template);
- Proposed text of the change; and
- A "redline" version of the change comparing new revised text to existing text (see the attached for a sample) when changing existing policy or guidance.

2.   INITIAL COORDINATION AND CONCURRENCE

Before submitting change proposals, other than minor editorial changes, initiators must submit the change to their organization's ASAG member who will coordinate with and get concurrence from stakeholder organizations and their management. Initial coordination helps fully develop changes, isolates potential issues of concern, and reduces ASAG's review time.

3.   CONTACTS

Contact the Lifecycle Acquisition Policy Team, ATO-A, for assistance with developing change proposals or other AMS-related questions.

<u>**AMS CHANGE REQUEST COVER SHEET**</u>

Change Request Number: (Leave blank)

Date Received: (Leave blank)

Title: *(Insert a short title that can be used for reference and tracking the change)*

Initiator Name: *(Insert information)*
Organization Name and Routing Symbol: *(Insert information)*
Telephone: *(Insert information)*

ASAG Member: (Insert Name)
Telephone Number:

Policy OR Guidance: (*State whether the change is to policy or guidance*)

Affected Section/Text Location: *(State the exact location in AMS or FAST that is being changed, e.g., AMS policy section 2.9.10, or Test & Evaluation Process Guidelines section 6.5, etc..) If it is a new change, state the policy or guidance section that this would apply to, or state: "New Section to be determined by the Configuration Manager".*

Summary of Change: *(Give a high level description of the change, e.g., "This change to AMS policy adds a new section describing data standardization activities.")*

Reason for Change: *(Briefly explain why the change should be made, including any external requirements causing the change, e.g., "This change is in response to GAO audit recommendations for clean financial records.")*

Development, Review, and Concurrence: *(List the functional areas or organizations , internal and external to your organization, that have had input into, reviewed, and concurred with the proposed change.)*

Target Audience: *(State generally who will be affected by this change, e.g., contracting personnel, investment analysis teams, etc.)*

Potential Links in FAST for the Change: *(List any websites or areas of FAST that should be linked to this change, i.e., a link to another organization's website).*

Attachments: *(Attach an electronic copy of the proposed text of the change; ensure the text is labeled with the* underlined *exact section number(s) and title(s) to which the change pertains. If revising AMS, also include a comparison copy to show what has changed from the existing AMS language to the new revised language (a "red-line" version of the change)).*

Briefing Planned: *(Leave blank)*

ASAG Responsibilities: *(Leave blank)*

SAMPLE - "Redline" and "Clean" Text

Red-Line Text:

A corporate cross-functional body, the Acquisition System Advisory Group *(ASAG)* evaluates all proposed changes to ensure they improve the AMS and are consistent with agency direction. The ~~Acquisition System Advisory Group~~ ASAG also initiates changes, and establishes working groups to develop new policy and guidance. It ensures the full participation of all affected organizations, informs and solicits guidance from management, resolves issues, and gains

consensus. ~~Fully coordinated~~ . <u>ASAG endorsed policy</u> changes are presented<u>, via</u> ~~to~~ the Acquisition Executive, ~~who recommends approval by~~ <u>to</u> the Administrator <u>for approval</u>. The Director, Office of Acquisition Policy and Contracting, is delegated authority to approve and issue all <u>guidance changes endorsed by the ASAG.</u>

New Text with Revisions Accepted:

A corporate cross-functional body, the Acquisition System Advisory Group (ASAG) evaluates all proposed changes to ensure they improve the AMS and are consistent with agency direction. The Acquisition System Advisory Group also initiates changes, and establishes working groups to develop new policy and guidance. It ensures the full participation of all affected organizations, informs and solicits guidance from management, resolves issues, and gains consensus. ASAG endorsed policy changes are presented, via the Acquisition Executive, to the Administrator for approval. The Director, Office of Acquisition Policy and Contracting is delegated authority to approve and issue all guidance changes endorsed by the ASAG.

New Content: <u>SOP for AMS Change Management</u>:
Section 16 : REFERENCES AND RELATED DOCUMENTS

ASAG Charter: *http://fast.faa.gov/cm_guide/index.htm*

Attachments:

Figure 1. AMS Change Management Process
Figure 2. AMS Change Management Process – Executive View
Guidance for Submitting AMS Changes
Sample Change proposal cover sheet, redline text and clean text

APPROVED BY:

_____   _____

David Lankford   Date
Manager, Acquisition Policy Group
Acquisition System Advisory Group

Guidance for Submitting AMS Changes

1. REQUIREMENTS FOR CHANGE PROPOSALS

Where to Submit: The AMS Configuration Manager, Acquisition Policy Group, AJA-43 is the focal point for all change proposals. Change proposals are sent by email to: 9-atoa-hq-fastmail

What to Submit: All change-related documents are in electronic format. Change proposals include:

- A change request cover sheet (using the attached template);
- Proposed text of the change; and
- A "redline" version of the change comparing new revised text to existing text (see the attached for a sample) when changing existing policy or guidance.

2. INITIAL COORDINATION AND CONCURRENCE

Before submitting change proposals, other than minor editorial changes, initiators must submit the change to their organization's ASAG member who will coordinate with and get concurrence from stakeholder organizations and their management. Initial coordination helps fully develop changes, isolates potential issues of concern, and reduces ASAG's review time.

3. CONTACTS

Contact the Lifecycle Acquisition Policy Team, ATO-A, for assistance with developing change proposals or other AMS-related questions.

AMS CHANGE REQUEST COVER SHEET

Change Request Number: (Leave blank)

Date Received: (Leave blank)

Title: *(Insert a short title that can be used for reference and tracking the change)*

Initiator Name: *(Insert information)*
Organization Name and Routing Symbol: *(Insert information)*
Telephone: *(Insert information)*

ASAG Member: (Insert Name)
Telephone Number:

Policy OR Guidance: (*State whether the change is to policy or guidance*)

Affected Section/Text Location: *(State the exact location in AMS or FAST that is being changed, e.g., AMS policy section 2.9.10, or Test & Evaluation Process Guidelines section 6.5, etc..) If it is a new change, state the policy or guidance section that this would apply to, or state: "New Section to be determined by the Configuration Manager".*

Summary of Change: *(Give a high level description of the change, e.g., "This change to AMS policy adds a new section describing data standardization activities.")*

Reason for Change: *(Briefly explain why the change should be made, including any external requirements causing the change, e.g., "This change is in response to GAO audit recommendations for clean financial records.")*

Development, Review, and Concurrence: *(List the functional areas or organizations , internal and external to your organization, that have had input into, reviewed, and concurred with the proposed change.)*

Target Audience: *(State generally who will be affected by this change, e.g., contracting personnel, investment analysis teams, etc.)*

Potential Links in FAST for the Change: *(List any websites or areas of FAST that should be linked to this change, i.e., a link to another organization's website).*

Attachments: *(Attach an electronic copy of the proposed text of the change; ensure the text is labeled with the <u>exact section number(s) and title(s)</u> to which the change pertains. If revising AMS, also include a comparison copy to show what has changed from the existing AMS language to the new revised language (a "red-line" version of the change)).*

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Red Line Content: SOP for AMS Change Management:
Section 16 : REFERENCES AND RELATED DOCUMENTS

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APPROVED BY:

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David Lankford   Date
Manager, Acquisition Policy Group
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