

CHANGE REQUEST COVER SHEET

Change Request Number: 12-18

Date Received: 1/18/2012

Title: Reorganization Policy Change and Acquisition Category Policy for Uncategorized Investments

Name: David Woodson

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Policy OR Guidance: Policy

Section/Text Location Affected: Acquisition Management Policy, Sections 1, 2, and 4.5 and appendices A, B, C, and D

Summary of Change: Designates the JRC as the investment decision authority for all acquisition categories and updates AMS policy to reflect the recent FAA reorganization including roles and responsibilities. For AMS decision-making and document tailoring purposes, this change improves and expands definitions for types of investments to be categorized. AMS currently defines two types of investments: 1) new investment and 2) tech refresh investment. This change expands the definitions to cover all types of investment programs, as follows: new investment, tech refresh, facility, variable quantity, and support services.

Reason for Change: (1) Ensure AMS policy is consistent with the new FAA organization. (2) Current AMS policy on ACATs can be difficult to apply to all types of investment program. This change better defines the universe of investments and provides a clearer path for programs seeking investment decisions.

Development, Review, and/or Concurrence: The reorganization policy change was reviewed and coordinated within AAP-100 by SMEs and management. The AEB and ASAG reviewed the ACAT change.

Target Audience: Acquisition workforce

Potential Links within FAST for the Change: ACAT change links to AMS policy section 1.2.5.1.

Briefing Planned: Yes

ASAG Responsibilities: Review and Comment

Potential Links within FAST for the Change: ACAT change links to AMS policy section 1.2.5.1.

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)

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Section 1.1.5 : FAA Lifecycle Management Process [\[Old Content\]](#)[\[New Content\]](#) [\[RedLine Content\]](#)

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SECTIONS EDITED:

Section 1.1.3 : Legal Basis for the Policy

Old Content: Acquisition Management Policy:

Section 1.1.3 : Legal Basis for the Policy

The FAA developed the Acquisition Management System in response to Section 348 of Public Law 104-50. The AMS supercedes the Major Acquisition Policies and Procedures of the Department of Transportation and all other acquisition and procurement statutes and regulations, including the Federal Acquisition Regulation. Contracts awarded prior to April 1, 1996, remain under the Federal Acquisition Regulation until bilateral modification brings them under the Acquisition Management System. AMS policy takes precedence over all other FAA policy dealing with any aspect of lifecycle acquisition management and related disciplines. The AMS serves as the FAA's Capital Planning and Investment Control (CPIC) process.

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Red Line Content: Acquisition Management Policy:

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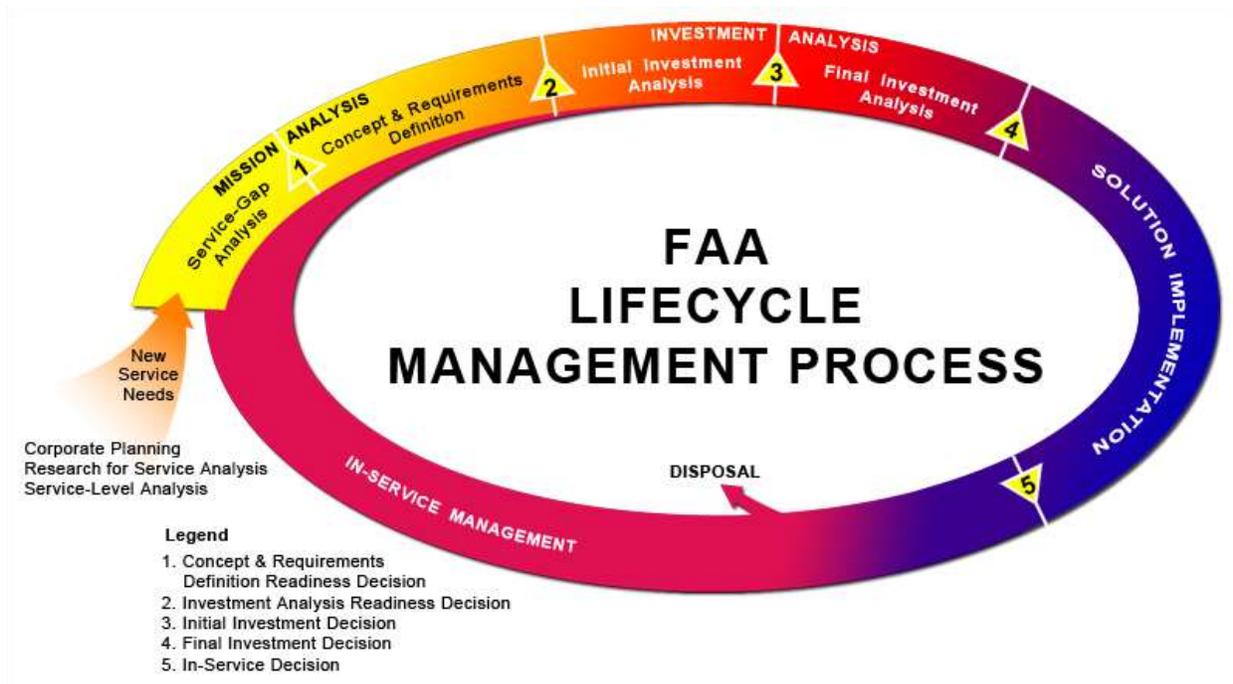
Section 1.1.5 : FAA Lifecycle Management Process

Old Content: Acquisition Management Policy:

Section 1.1.5 : FAA Lifecycle Management Process

FAA executes its acquisition management policy by means of the lifecycle management process, which is organized into a series of phases and decision points as shown in Figure 1.1.5-1. The circular representation conveys the principle of seamless management and continuous improvement in service delivery over time. Application is flexible and may be tailored appropriately. Detailed policy is in Section 2, Lifecycle Management Phases and Decision Points.

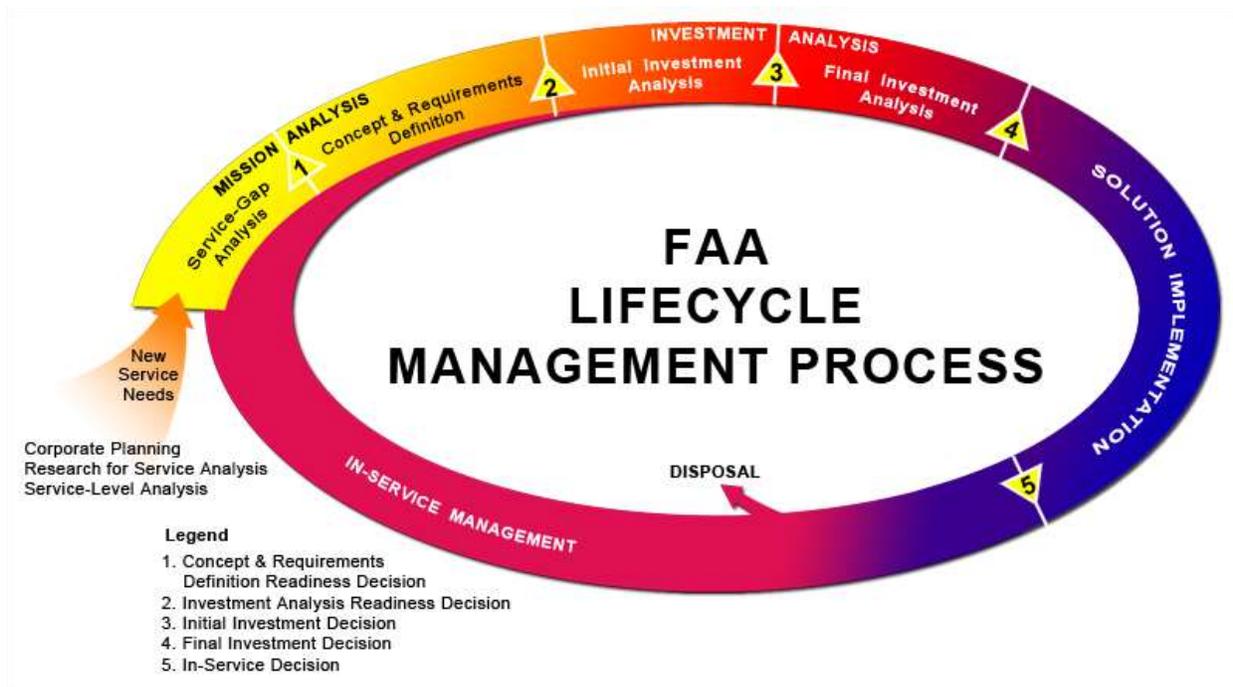
Figure 1.1.5-1 FAA Lifecycle Management Process



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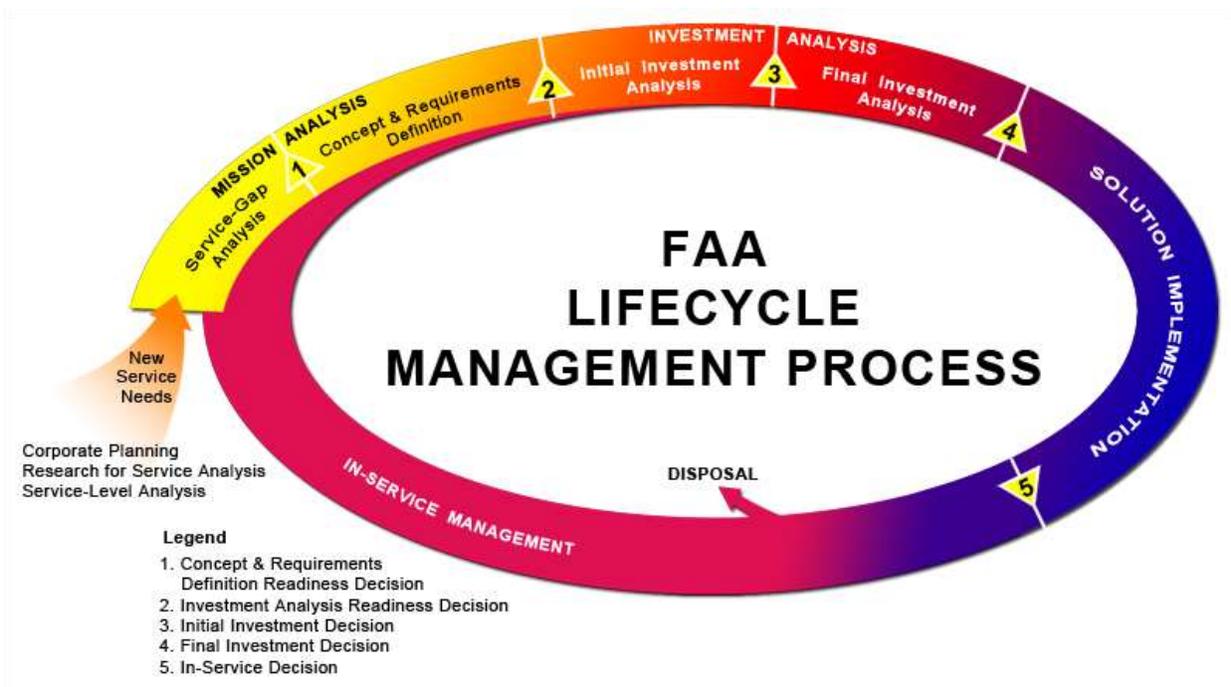
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Figure 1.1.5-1 FAA Lifecycle Management Process



Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting

Old Content: Acquisition Management Policy:

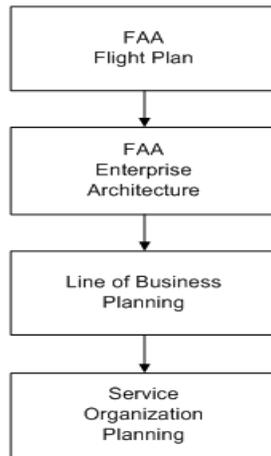
Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting

The Government Performance and Results Act of 1993, requires Federal agencies to have measurable performance targets tied to agency goals and objectives. These targets serve as the basis for planning capital investments and measuring progress.

The FAA supports this requirement through a strategic management process that forecasts the future aviation environment and captures the goals, objectives, initiatives, and measures the agency intends to achieve in its strategic plan, the FAA flight plan. The flight plan links the long-range vision and goals for the agency directly to the service needs of customers and defines top-level performance measures and multi-year performance targets.

The flight plan sets the context for the FAA enterprise architecture and all lower-level plans and budgets within the agency. FAA lines of business align their planning to the goals and objectives in the flight plan. Service organizations within the lines of business in turn align their business and operating plans to line-of-business planning. These relationships are illustrated in Figure 1.2.1-1 Integrated Strategic Planning, Management, and Budgeting Hierarchy.

Figure 1.2.1-1 Integrated Strategic Planning, Management, and Budgeting Hierarchy



Service organizations develop integrated business plans and budgets across all appropriations to achieve full lifecycle support of service delivery. Planning is realistic within budgetary constraints. Success or failure in achieving performance goals influences future planning and budgeting decisions. Resources are dedicated to key activities such as mission analysis and investment analysis.

The Chief Financial Officer formulates the budget across lines of business and staff offices; tracks actual performance against planned execution based on input from these organizations; records approved resource adjustments to FAA plans and budgets; and incrementally moves FAA planning and budgeting forward each year. The ATO Vice President for Finance develops the F&E and related O&M budget requests for the Chief Financial Officer.

Planning for the Airport Improvement Program is coordinated with planning for the RE&D, F&E, and O&M appropriations so that capital assets necessary to support new and expanded airport operations are available when needed.

FAA reports facility and equipment expenditures to Congress in the Capital Investment Plan; research, engineering, and development resource requirements in the National Aviation Research Plan; and operations and maintenance funding requirements in the annual budget request to Congress.

New Content: Acquisition Management Policy:

Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting

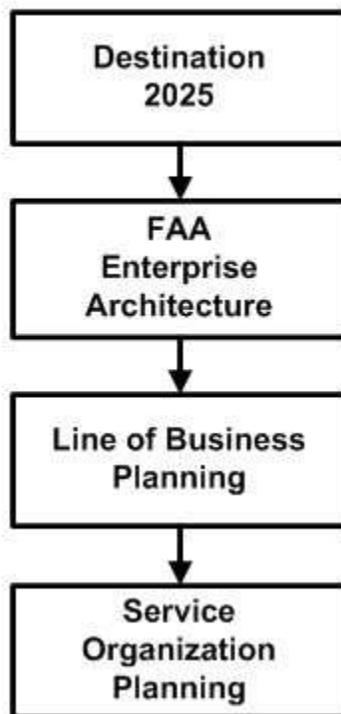
The Government Performance and Results Act of 1993, requires Federal agencies to have measurable performance targets tied to agency goals and objectives. These targets serve as the basis for planning capital investments and measuring progress.

The FAA supports this requirement through a strategic management process that forecasts the future aviation environment and captures goals, objectives, and performance targets in its

strategic plan, Destination 2025. Destination 2025 links the long-range vision and goals for the agency directly to the service needs of customers and defines top-level performance measures and multi-year performance targets.

Destination 2025 sets the context for the FAA enterprise architecture and all lower-level plans and budgets within the agency. FAA lines of business and staff offices align their planning to the goals and objectives in Destination 2025. Service organizations within the lines of business in turn align their business and operating plans to line-of-business planning. These relationships are illustrated in Figure 1.2.1-1 FAA Strategic Planning, Management, and Budgeting.

Figure 1.2.1-1 FAA Strategic Planning, Management, and Budgeting



The Strategy, Budget, and Planning Committee sets overall agency strategy, establishes policy and priorities, oversees planning and budgeting processes, and measures performance for FAA. The committee relies on executive-chaired subcommittees for coordination and outreach in the following key areas to ensure success: strategy and policy, budget, and performance.

Service organizations develop integrated business plans and budgets across all appropriations to achieve full lifecycle support of service delivery. Planning is realistic within budgetary constraints. Success or failure in achieving performance goals influences future planning and budgeting decisions. Resources are dedicated to key activities such as mission analysis and investment analysis.

The Chief Financial Officer formulates the budget across lines of business and staff offices; tracks actual performance against planned execution based on input from these organizations; records approved resource adjustments to FAA plans and budgets; and incrementally moves FAA planning and budgeting forward each year. The Chief Financial Officer also develops the Facilities and Equipment (F&E), Research, Engineering, and Development (RE&D), and Operations (OPS) budget requests.

Planning for the Airport Improvement Program is coordinated with planning for the RE&D, F&E, and OPS appropriations so that capital assets necessary to support new and expanded airport operations are available when needed.

The FAA reports facility and equipment expenditures to Congress in the Capital Investment Plan; research, engineering, and development resource requirements in the National Aviation Research Plan; and operations funding requirements in the annual budget request to Congress.

Red Line Content: Acquisition Management Policy:

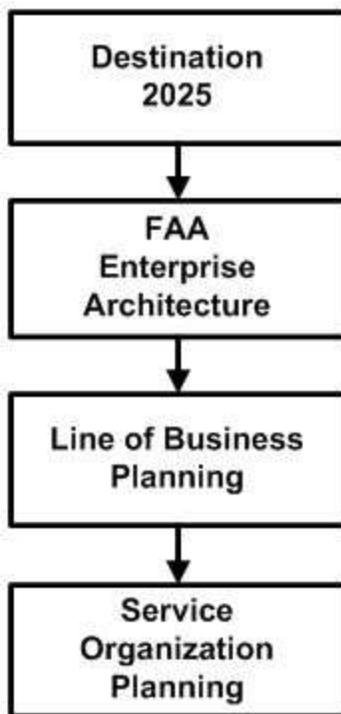
Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting

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Planning for the Airport Improvement Program is coordinated with planning for the RE&D, F&E, and ~~O&M~~^{#160};MOPS appropriations so that capital assets necessary to support new and expanded airport operations are available when needed.

The FAA reports facility and equipment expenditures to Congress in the Capital Investment Plan; research, engineering, and development resource requirements in the National Aviation Research Plan; and operations ~~and maintenance~~ funding requirements in the annual budget request to Congress.

Section 1.2.2 : Enterprise Architecture

Old Content: Acquisition Management Policy:

Section 1.2.2 : Enterprise Architecture

The enterprise architecture defines the operational and technical framework for all capital assets of the FAA. It describes the agency's current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture is approved annually by the Joint Resources Council in support of FAA budget and strategic management processes.

The enterprise architecture has three components: the National Airspace System (NAS) architecture, the NAS regulatory architecture; and the non-NAS architecture (See Figure 1.2.2-1 FAA Enterprise Architecture).

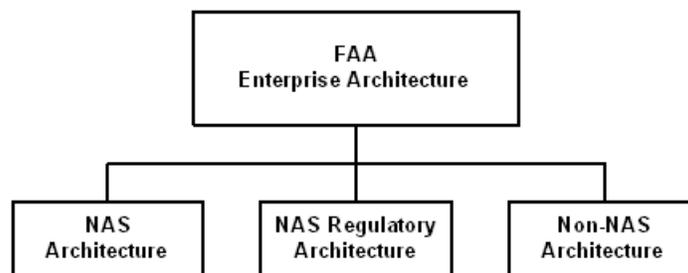


Figure 1.2.2-1 FAA Enterprise Architecture

The Chief Information Officer maintains the enterprise architecture. The Chief Operating Officer of the Air Traffic Organization (ATO) is delegated responsibility to develop and implement the NAS architecture.

New Content: Acquisition Management Policy:

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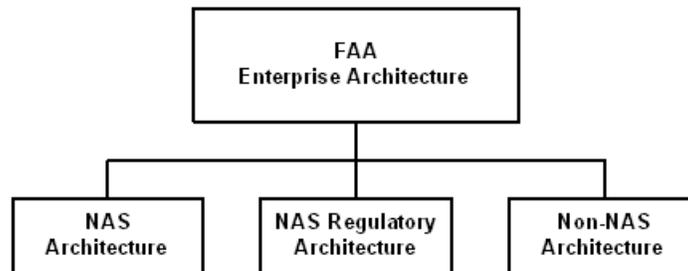


Figure 1.2.2-1 FAA Enterprise Architecture

The FAA Enterprise Architecture Board governs the enterprise architecture. The Chief Information Officer maintains it.

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Section 1.2.3 : Service Management

Old Content: Acquisition Management Policy:
Section 1.2.3 : Service Management

Acquisition management policy is structured to apply FAA investment resources to the cost-effective delivery of safe and secure services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of service delivery.

A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

Service organizations manage service delivery by means of integrated portfolios of capital investments and operational assets. These portfolios includes investment assets under acquisition; fielded equipment, legacy systems, infrastructure, and facilities; and all other types of resources.

Service organizations perform service analysis annually to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers and to move planning forward each year. Results are captured in enterprise architecture roadmaps, which are the transition plans for moving the current “as is” architecture to the future “to be” state. These roadmaps are the foundation for LOB business plans, which in turn are the basis for service organization operating plans.

The operating plan of each service organization specifies how it will manage its operational assets and investment initiatives over time to sustain and improve service delivery. Each operating plan is maintained on a continuing basis and updated yearly to reflect progress against plan, congressional or executive direction, emerging customer needs, and critical aviation incidents. Service organizations track performance, accomplishments, and resource expenditures relative to the operating plan, and take corrective action as necessary to achieve agreed upon goals and objectives. Service organizations work closely with each other to manage shared assets efficiently and effectively.

The Office of Management and Budget (OMB) directs all government agencies to use an earned value management system that complies with the industry EVMS Standard, EIA-748 for capital investment programs involving development, modernization, or enhancement. Service organizations comply with this directive, which includes an integrated baseline review of cost and schedule projections within six months of contract award or program baseline approval. The earned-value management focal point reports the earned-value status of major investment programs to the Joint Resources Council quarterly. Earned-value management data is also provided on all investment programs within the service organization investment portfolio at semi-annual service-level reviews.

Service organizations manage investment programs during solution implementation within controlled acquisition program baselines approved at the final investment decision. They take action to correct negative variance from any cost, schedule, or performance baseline measure. Negative variances that exceed 5 percent must be reported to the investment decision authority that approved the investment. Negative variances that exceed 10 percent must be reported to the Joint Resources Council quarterly and at semi-annual service-level reviews along with an explanation of the cause(s), impact on service delivery, and a recovery strategy. The Administrator must notify the Congress of any program cost or schedule variance exceeding 50 percent and must either terminate the activity or justify why it should be continued and provide a recovery plan. When the investment decision authority determines an investment program cannot recover from a degenerating negative baseline variance, it may elect to rebaseline the effort by adding resources or changing its scope or schedule, or it may decide to terminate the activity.

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A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

Service organizations manage service delivery by means of integrated portfolios of capital investments and operational assets. These portfolios includes investment assets under acquisition; fielded equipment, legacy systems, infrastructure, and facilities; and all other types of resources.

Service organizations perform service analysis annually to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers and to move planning forward each year. Results are captured in enterprise architecture roadmaps, which are the transition plans for moving the current “as is” architecture to the future “to be” state. These roadmaps are the foundation for line-of-business and staff office business plans, which in turn are the basis for service organization operating plans.

The operating plan of each service organization specifies how it will manage its operational assets and investment initiatives over time to sustain and improve service delivery. Each

operating plan is maintained on a continuing basis and updated yearly to reflect progress against plan, congressional or executive direction, emerging customer needs, and critical aviation incidents. Service organizations track performance, accomplishments, and resource expenditures relative to the operating plan, and take corrective action as necessary to achieve agreed upon goals and objectives. Service organizations work closely with each other to manage shared assets efficiently and effectively.

The Office of Management and Budget (OMB) directs all government agencies to use an earned value management system that complies with the industry EVMS Standard, EIA-748 for capital investment programs involving development, modernization, or enhancement. Service organizations comply with this directive, which includes an integrated baseline review of cost and schedule projections within six months of contract award or program baseline approval. The earned-value management focal point reports quarterly the earned-value status of major investment programs to the Joint Resources Council. Earned-value management data is also provided on all investment programs within the service organization investment portfolio at service-level reviews.

Service organizations manage investment programs during solution implementation within controlled acquisition program baselines approved at the final investment decision. They take action to correct negative variance from any cost, schedule, or performance baseline measure. Negative variances that exceed five percent must be reported to the investment decision authority that approved the investment. Negative variances that exceed 10 percent must be reported to the Joint Resources Council quarterly and at service-level reviews along with an explanation of the cause(s), impact on service delivery, and a recovery strategy. The Administrator must notify the Congress of any program cost or schedule variance exceeding 50 percent and must either terminate the activity or justify why it should be continued and provide a recovery plan. When the investment decision authority determines an investment program cannot recover from a degenerating negative baseline variance, it may elect to rebaseline the effort by adding resources or changing its scope or schedule, or it may decide to terminate the activity.

**Red Line Content: Acquisition Management Policy:
Section 1.2.3 : Service Management**

Acquisition management policy is structured to apply FAA investment resources to the cost-effective delivery of safe and secure services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of service delivery.

A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service

organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

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Section 1.2.4 : Portfolio Management

Old Content: Acquisition Management Policy:

Section 1.2.4 : Portfolio Management

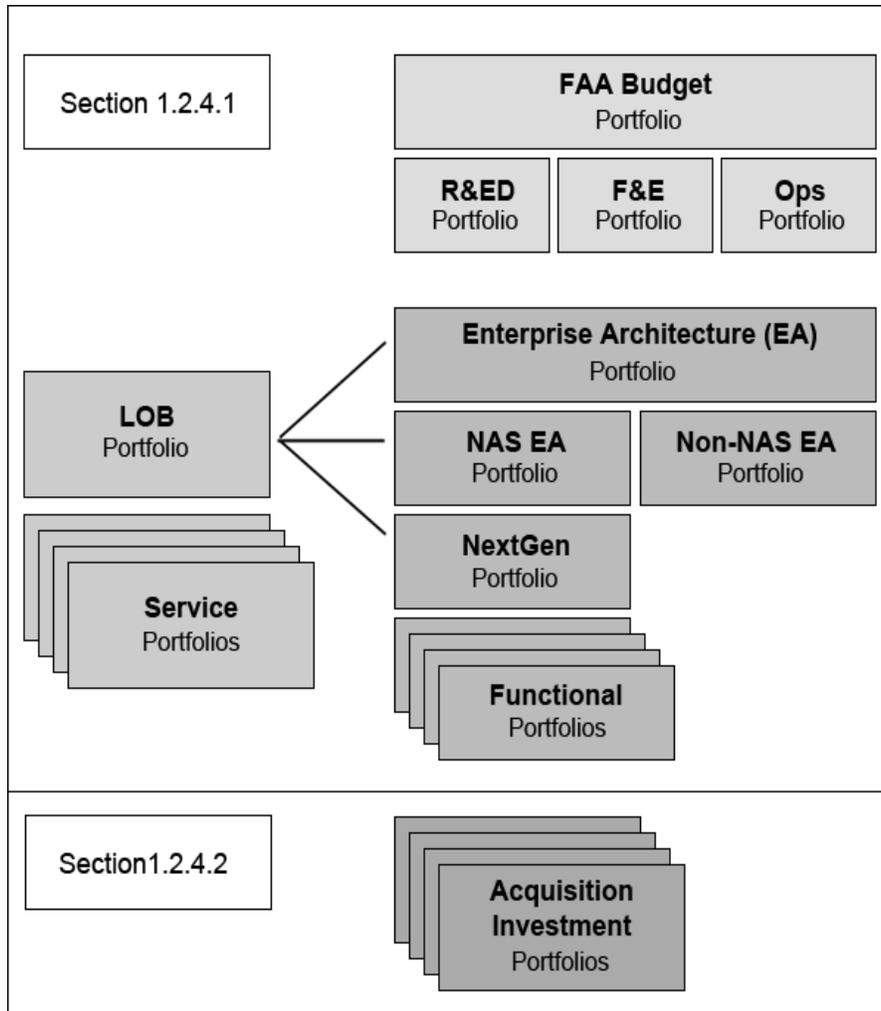
The FAA views and manages its investment and operational assets through multiple levels and groupings of portfolios to ensure they work together efficiently to achieve agency strategic, mission, and service goals. At the agency level, the entire FAA budget is a portfolio of planned expenditures organized to balance support of existing operational services with investment in new capability. Within this portfolio, the R&ED, F&E, and Operations appropriations are distinct portfolios that allocate research, investment, and operational funding to the most pressing service needs of the aviation community. Similarly, the Enterprise Architecture is a portfolio with investments and assets that make up the National Airspace System (NAS) and administrative and mission support information technology (non-NAS). The Enterprise Architecture can be viewed as distinct portfolios segmented in different ways for specific purposes. For example, the NextGen portfolio is the set of all FAA investments that are part of the NextGen architecture.

Acquisition investment portfolios are rational groupings of investment programs proceeding through the AMS lifecycle management process that have critical interdependences which must be taken into account when making investment decisions for individual components of the portfolio.

Investment decision authorities use portfolio management in conjunction with strategic planning, the Enterprise Architecture, and outcome-based performance measures when making investment decisions and managing selected groupings of investments.

Figure 1.2.4-1 illustrates the levels and groupings of FAA portfolios, which are organized into standard high-level agency-wide portfolios (Section 1.2.4.1) and specific acquisition investment portfolios (Section 1.2.4.2).

Figure 1.2.4-1 Portfolio Management in FAA



AMS policy does not create a universal definition for the term “portfolio management.” It establishes the definition and policy for several standard agency-wide high-level portfolios, and the definition and policy for an acquisition investment portfolio which is one classification of a portfolio (at levels below the agency-wide high-level portfolios). This policy does not preclude other types of portfolios within the agency, nor does it provide policy or guidance for managing them.

**New Content: Acquisition Management Policy:
Section 1.2.4 : Portfolio Management**

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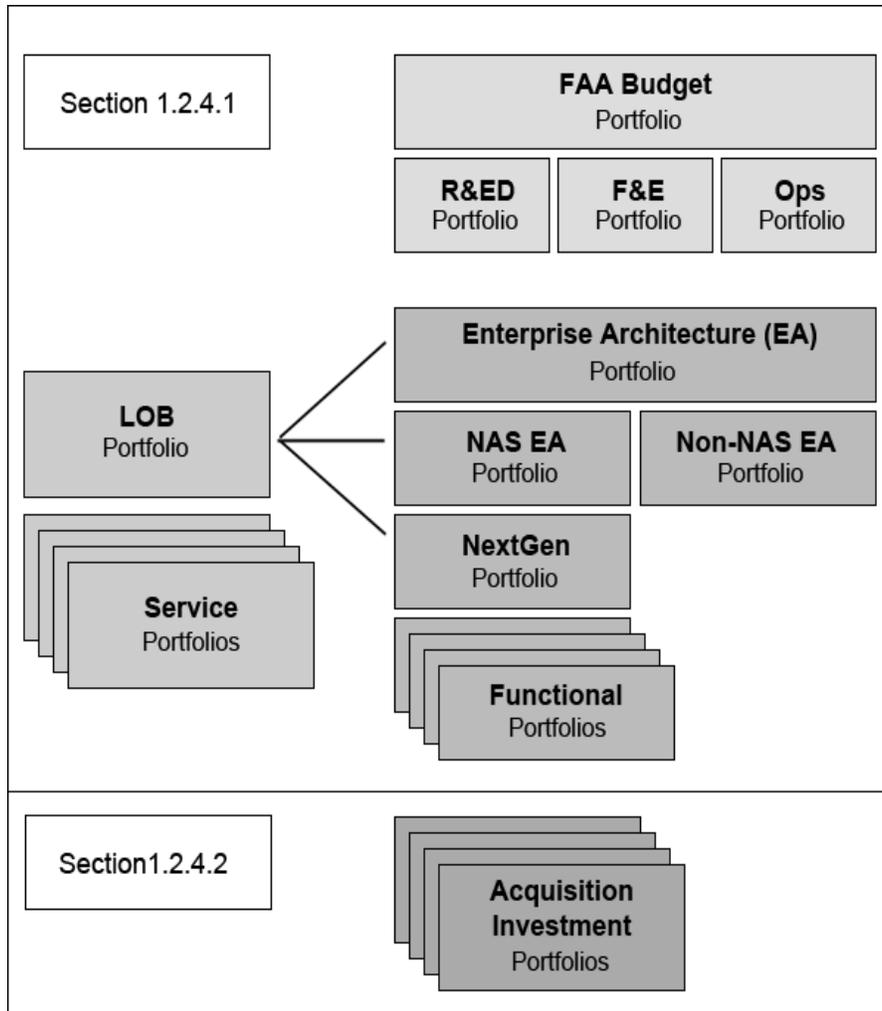
with investments and assets that make up the National Airspace System (NAS) and administrative and mission support information technology (non-NAS). The Enterprise Architecture can be viewed as distinct portfolios segmented in different ways for specific purposes. For example, the NextGen portfolio is the set of all FAA investments that are part of the NextGen architecture.

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**Red Line Content: Acquisition Management Policy:
Section 1.2.4 : Portfolio Management**

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with investments and assets that make up the National Airspace System (NAS) and administrative and mission support information technology (non-NAS). The Enterprise Architecture can be viewed as distinct portfolios segmented in different ways for specific purposes. For example, the NextGen portfolio is the set of all FAA investments that are part of the NextGen architecture.

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Figure 1.2.4-1 illustrates the levels and groupings of FAA portfolios, which are organized into standard high-level agency-wide portfolios (Section 1.2.4.1) and specific acquisition investment portfolios (Section 1.2.4.2).

Figure 1.2.4-1 Portfolio Management in FAA

AMS policy does not create a universal definition for the term “portfolio management.” It establishes the definition and policy for several standard agency-wide high-level portfolios, and the definition and policy for an acquisition investment portfolio which -is one classification of a portfolio (at levels below the agency-wide high-level portfolios). This policy does not preclude other types of portfolios within the agency, nor does it provide policy or guidance for managing them.

Section 1.2.4.1 : Agency-wide High-level Portfolio Management

Old Content: Acquisition Management Policy:

Section 1.2.4.1 : Agency-wide High-level Portfolio Management

The FAA implements agency-wide high-level portfolio management at multiple organizational levels and within a unified functional framework:

Corporate Portfolio Management - The FAA, through the Joint Resources Council and other means, manages the overall agency investment portfolio with the following:

Enterprise Architecture: The enterprise architecture portrays the as is and to be state of FAA operational assets along with roadmaps that lay out over time what investments will be made to achieve the end-state configuration. The enterprise architecture is developed and updated annually by analyzing the functions the FAA needs to provide based on

identified gaps in needed services over time. This view of the corporate-level portfolio is presented to the JRC each year for approval.

FAA Budget: The budget is developed using the strategic management process that ties it to the needs in the enterprise architecture and the goals in the flight plan to create a unified performance-based budget. The budget is reviewed each year considering several corporate-level portfolio measures including progress in meeting flight plan goals, budget allocations relative to flight plan targets, and assessments of under-performing programs using EVM. This information is presented to the Joint Resources Council annually when it reviews the agency budget submission.

Service Portfolios: Each service organization develops and maintains a service portfolio of investment programs and operational assets that optimize service delivery over time. Each service portfolio is presented to the Joint Resources Council at semi-annual service-level reviews.

Line-of-Business Portfolio Management – Each line of business oversees, coordinates, and integrates the service portfolios of its service organizations to achieve the greatest overall contribution to agency strategic goals and targets.

Service Portfolio Management - Service organizations (e.g., terminal services, en-route services, regulatory services, certification services) manage integrated sets of investment and operational assets to optimize service delivery over time.

Functional Portfolio Management - The NexGen and Operations Planning organization oversees investment packages that cut across service organizations to provide fully integrated functional capability for the National Airspace System in such areas as weather, surveillance, communications, automation, and navigation. More than one service organization may be involved with implementation and in-service management of these investment packages.

New Content: Acquisition Management Policy:

Section 1.2.4.1 : Agency-Wide High-level Portfolio Management

The FAA implements agency-wide high-level portfolio management at multiple organizational levels and within a unified functional framework:

Corporate Portfolio Management - The FAA, through the Joint Resources Council and other means, manages the overall agency investment portfolio with the following:

Enterprise Architecture: The enterprise architecture portrays the "as is" and "to be" state of FAA operational assets along with roadmaps that lay out over time what investments will be made to achieve the end-state configuration. The enterprise architecture is developed and updated annually by analyzing the functions the FAA needs to provide based on identified gaps in needed services over time. This view of the corporate-level portfolio is presented to the Joint Resources Council each year for approval.

FAA Budget: The budget is developed using the strategic management process that ties it to the needs in the enterprise architecture and the goals in Destination 2025 to create a unified performance-based budget. The budget is reviewed each year considering several corporate-level portfolio measures including progress in meeting Destination 2025 goals, budget allocations relative to Destination 2025 targets, and assessments of under-performing programs using earned value management. This information is presented to the Joint Resources Council annually when it reviews the agency budget submission.

Service Portfolios: Each service organization develops and maintains a service portfolio of investment programs and operational assets that optimize service delivery over time. Each service portfolio is presented to the Joint Resources Council at service-level reviews.

Line-of-Business Portfolio Management – Each line of business and staff office oversees, coordinates, and integrates the service portfolios of its service organizations to achieve the greatest overall contribution to agency strategic goals and targets.

Service Portfolio Management - Service organizations (e.g., terminal services, en-route services, regulatory services, certification services) manage integrated sets of investment and operational assets to optimize service delivery over time.

Functional Portfolio Management - The NexGen organization oversees investment packages that cut across service organizations to provide fully integrated functional capability for the National Airspace System in such areas as weather, surveillance, communications, automation, and navigation. More than one service organization may be involved with implementation and in-service management of these investment packages.

Red Line Content: Acquisition Management Policy:

Section 1.2.4.1 : Agency-wide Wide High-level Portfolio Management

The FAA implements agency-wide high-level portfolio management at multiple organizational levels and within a unified functional framework:

Corporate Portfolio Management - The FAA, through the Joint Resources Council and other means, manages the overall agency investment portfolio with the following:

Enterprise Architecture: The enterprise architecture portrays the "as is" and "to be" state of FAA operational assets along with roadmaps that lay out over time what investments will be made to achieve the end-state configuration. The enterprise architecture is developed and updated annually by analyzing the functions the FAA needs to provide based on identified gaps in needed services over time. This view of the corporate-level portfolio is presented to the JRC Joint Resources Council each year for approval.

FAA Budget: The budget is developed using the strategic management process that ties it to the needs in the enterprise architecture and the goals in ~~the flight plan~~ Destination

2025 to create a unified performance-based budget. The budget is reviewed each year considering several corporate-level portfolio measures including progress in meeting ~~flight plan~~ Destination 2025 goals, budget allocations relative to ~~flight~~ Destination plan 2025 targets, and assessments of under-performing programs using EVM earned value management. This information is presented to the Joint Resources Council annually when it reviews the agency budget submission.

Service Portfolios: Each service organization develops and maintains a service portfolio of investment programs and operational assets that optimize service delivery over time. Each service portfolio is presented to the Joint Resources Council at ~~semi-annual~~ service-level reviews.

Line-of-Business Portfolio Management – Each line of business and staff office oversees, coordinates, and integrates the service portfolios of its service organizations to achieve the greatest overall contribution to agency strategic goals and targets.

Service Portfolio Management - Service organizations (e.g., terminal services, en-route services, regulatory services, certification services) manage integrated sets of investment and operational assets to optimize service delivery over time.

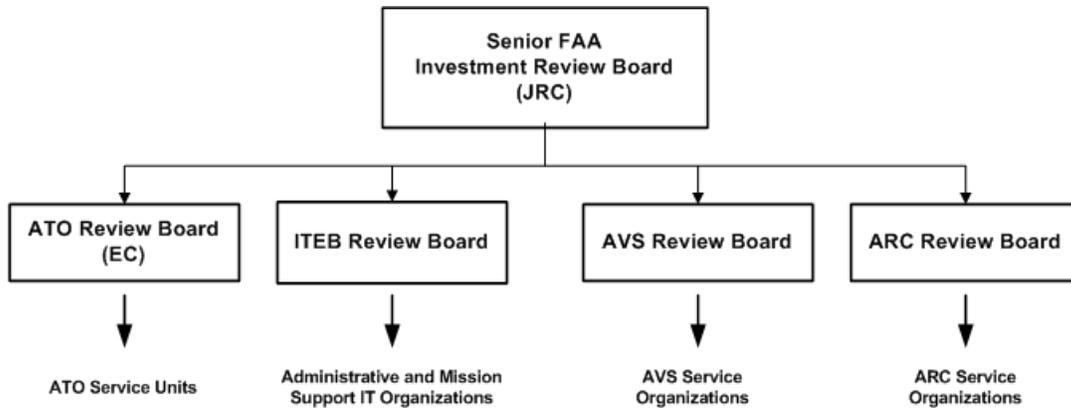
Functional Portfolio Management - The NexGen ~~and Operations Planning~~ organization oversees investment packages that cut across service organizations to provide fully integrated functional capability for the National Airspace System in such areas as weather, surveillance, communications, automation, and navigation. More than one service organization may be involved with implementation and in-service management of these investment packages.

Section 1.2.4.1.1 : Agency-wide High-level Portfolio Management Governance

Old Content: Acquisition Management Policy:

Section 1.2.4.1.1 : Agency-wide High-level Portfolio Management Governance

Figure 1.2.4.1.1-1 depicts agency-wide high-level portfolio management governance within FAA.



The Joint Resources Council oversees the FAA investment portfolio as expressed in the enterprise architecture, FAA budget, and individual service portfolios. It evaluates the performance of all investment programs and operational assets within each service against quantified baseline measures at semi-annual service-level reviews. Planned initiatives for new investment are discussed along with proposals to remove, replace, or improve operational assets with declining performance that no longer satisfy service need or are nearing the end of their service life. The JRC also aligns and coordinates investment activity across the lines of business through annual review and approval of the enterprise architecture and agency budget submissions to Congress.

LOB review boards align and coordinate investment activity across service organizations within a line of business. These boards ensure investment and operational resources support priority FAA strategic and performance goals; ensure there is no overlap, redundancy, or gap in service delivery; and review progress, track baseline variances, and monitor remedial planning and execution within service portfolios. Specifically, the ATO Executive Council oversees, reviews, and coordinates service portfolios related to the National Airspace System and the provision of air traffic control services (e.g., terminal, en-route, and technical operations). ARC and AVS review boards oversee and recommend investment portfolios within their line of business.

The Information Technology Executive Board (ITEB) reviews, oversees, and recommends administrative and mission support information technology investment portfolios.

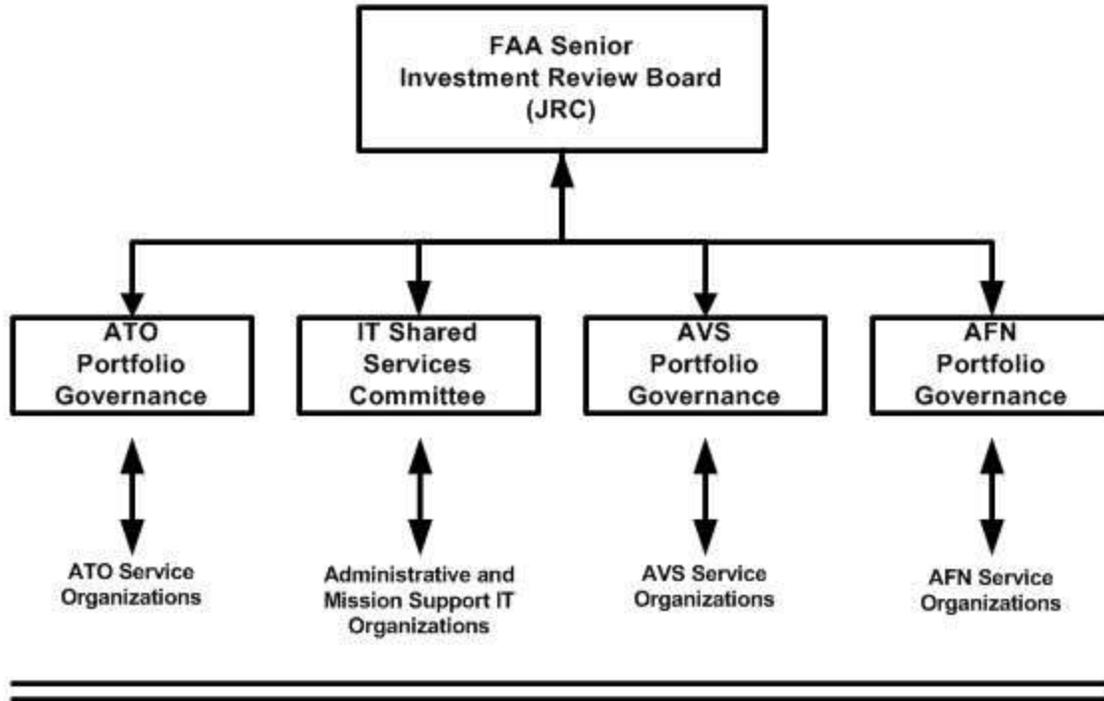
Service organizations manage service delivery within their service area of responsibility. They evaluate service demand on a continuing basis and recommend changes to the service portfolio over time to optimize service delivery.

New Content: Acquisition Management Policy:

Section 1.2.4.1.1 : Agency-wide High-level Portfolio Management Governance

Figure 1.2.4.1.1-1 depicts agency-wide high-level portfolio management governance within FAA.

Figure 1.2.4.1.1-1 Agency-Wide High-Level Portfolio Management Governance



The Joint Resources Council oversees the FAA investment portfolio as expressed in the enterprise architecture, FAA budget, and individual service portfolios. It evaluates the performance of all investment programs and operational assets within each service against quantified baseline measures at service-level reviews. Planned initiatives for new investment are discussed along with proposals to remove, replace, or improve operational assets with declining performance that no longer satisfy service need or are nearing the end of their service life. The Joint Resources Council also aligns and coordinates investment activity across the lines of business through annual review and approval of the enterprise architecture and agency budget submissions to Congress.

Line-of-Business portfolio governance aligns and coordinates investment activity across service organizations within a line of business or staff office. This governance ensures investment and operational resources support priority FAA strategic and performance goals; ensures there is no overlap, redundancy, or gap in service delivery; and reviews progress, tracks baseline variances, and monitors remedial planning and execution within service portfolios. Specifically, Air Traffic Organization (ATO) governance oversees, reviews, and coordinates service portfolios related to the National Airspace System and the provision of air traffic control services (e.g., terminal, en-route, and technical operations). Finance and Management (AFN) and Aviation Safety (AVS) governance oversee and recommend investment portfolios within their line of business.

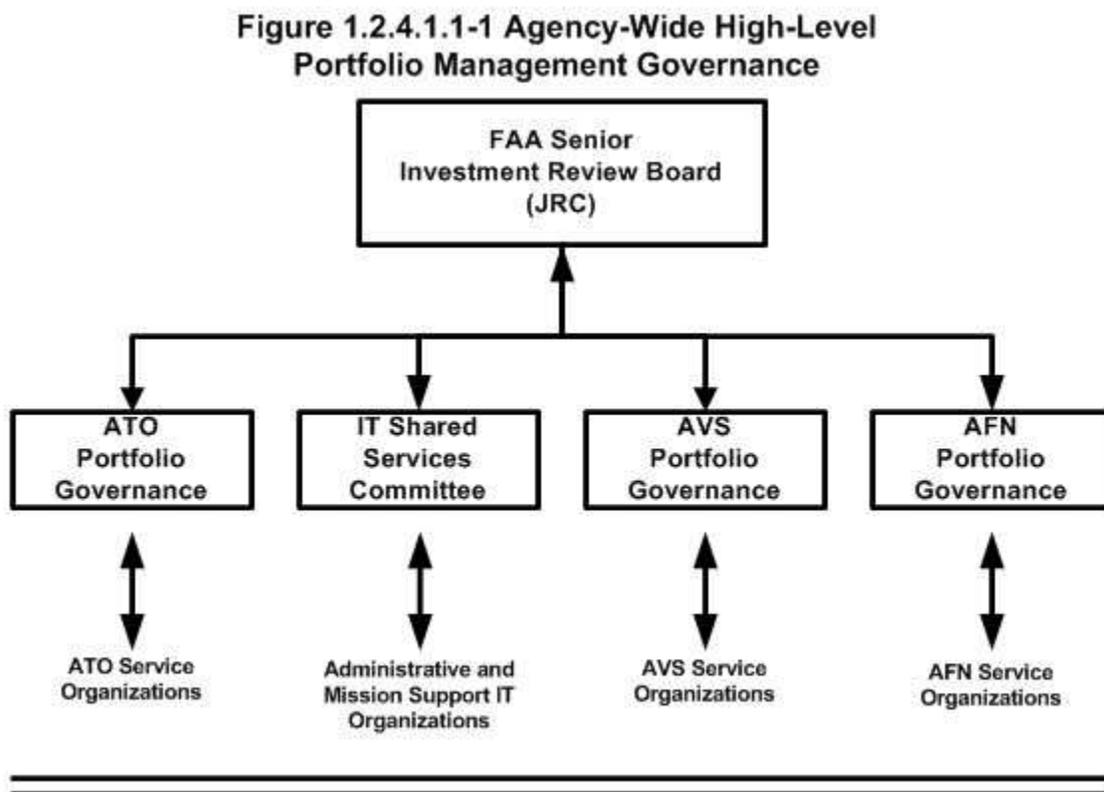
The **Information Technology Shared Services Committee** reviews, oversees, and recommends administrative and mission support information technology investment portfolios.

Service organizations manage service delivery within their service area of responsibility. They evaluate service demand on a continuing basis and recommend changes to the service portfolio over time to optimize service delivery.

Red Line Content: Acquisition Management Policy:

Section 1.2.4.1.1 : Agency-wide High-level Portfolio Management Governance

Figure 1.2.4.1.1-1 depicts agency-wide high-level portfolio management governance within FAA.



The **Joint Resources Council** oversees the FAA investment portfolio as expressed in the enterprise architecture, FAA budget, and individual service portfolios. It evaluates the performance of all investment programs and operational assets within each service against quantified baseline measures at semi-annual service-level reviews. Planned initiatives for new investment are discussed along with proposals to remove, replace, or improve operational assets

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~~LOB~~Line-of-Business ~~review boards~~portfolio governance ~~align~~ aligns and ~~coordinate~~coordinates investment activity across service organizations within a line of business-~~or staff~~ These~~office~~ boards~~This~~ ensure~~governance ensures~~ investment and operational resources support priority FAA strategic and performance goals; ~~ensure~~ensures there is no overlap, redundancy, or gap in service delivery; and ~~review~~reviews progress, ~~track~~tracks baseline variances, and ~~monitor~~monitors remedial planning and execution within service portfolios. Specifically, ~~the ATO Executive~~Air Traffic Organization Council ~~(ATO)~~ governance oversees, reviews, and coordinates service portfolios related to the National Airspace System and the provision of air traffic control services (e.g., terminal, en-route, and technical operations). Finance and Management ~~ARC~~ (AFN) and ~~AVS~~Aviation ~~review~~ Safety ~~(AVS)~~ boardsgovernance oversee and recommend investment portfolios within their line of business.

The Information Technology ~~Executive~~ Shared Board ~~Services~~ (ITEB) ~~Committee~~ reviews, oversees, and recommends administrative and mission support information technology investment portfolios.

Service organizations manage service delivery within their service area of responsibility. They evaluate service demand on a continuing basis and recommend changes to the service portfolio over time to optimize service delivery.

Section 1.2.4.1.2 : Agency-wide High-level Portfolio Management Criteria

Old Content: Acquisition Management Policy:

Section 1.2.4.1.2 : Agency-wide High-level Portfolio Management Criteria

The FAA uses standard criteria for selecting, controlling, and evaluating its investment portfolio. The ATO Acquisition and Business Services organization in coordination with FAA investment decision authorities evaluate the criteria each year against cumulative experience and event-driven data and recommend changes for Joint Resources Council approval when warranted. Investment decision authorities use the standard criteria when evaluating new investment opportunities for inclusion in a service portfolio, when evaluating the status of on-going investment programs, and when evaluating the efficiency and effectiveness of operational assets.

The three categories of portfolio management criteria for agency-wide high-level portfolios are listed below. Details for some elements of these criteria are defined elsewhere in AMS (e.g., earned value management policy is in Section 4.16 and the standard selection criteria are located here).

Selection criteria: Investment decision authorities apply the following standard quantitative and judgmental selection criteria to assess the relative contribution of investment options for

inclusion in an investment portfolio: benefits; lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals; and risk.

Control criteria: The FAA employs earned value management, risk management, and testing to determine how efficiently developmental, modernization, and enhancement investment programs are performing relative to plan during solution implementation. For investment programs that do not involve development, modernization, or enhancement, the FAA applies multiple control techniques such as independent review of program cost and schedule estimates; comparison of spend plans against budget authorization; comparison of actual cost and schedule results against planning estimates; and periodic program and data reviews against plan. These management controls identify and quantify variances to baseline cost, schedule, and performance measures as the basis for corrective action. Service organizations test and evaluate the products of investment programs against requirements in the program requirements document to determine whether they are satisfied.

Evaluation criteria: The FAA periodically measures the efficiency (technical quality) and effectiveness (business value) of operational assets to determine whether they should be upgraded, replaced, or removed from service. Service directorates evaluate in-service assets by means of post-implementation reviews and operational analyses. Post-implementation reviews determine whether performance, cost, schedule, and benefit goals are being attained. They provide the basis for corrective action, as well as lessons learned for improving agency investment management processes. Operational analysis determines trends in such factors as reliability, maintainability, supportability, obsolescence, and operating and maintenance costs. They are the basis for validating continued support for fielded assets or some other action such as upgrade, replacement, or removal from service.

New Content: Acquisition Management Policy:

Section 1.2.4.1.2 : Agency-Wide High-Level Portfolio Management Criteria

The FAA uses standard criteria for selecting, controlling, and evaluating its investment portfolio. The Acquisition and Business Services organization in coordination with the FAA investment decision authority evaluates the criteria each year against cumulative experience and event-driven data and recommends changes for Joint Resources Council approval when warranted. The investment decision authority uses the standard criteria when evaluating new investment opportunities for inclusion in a service portfolio, when evaluating the status of on-going investment programs, and when evaluating the efficiency and effectiveness of operational assets.

The three categories of portfolio management criteria for agency-wide high-level portfolios are listed below. Details for some elements of these criteria are defined elsewhere in AMS (e.g., earned value management policy is in Section 4.16 and the standard selection criteria are located here).

Selection criteria: The investment decision authority applies the following standard quantitative and judgmental selection criteria to assess the relative contribution of investment options for inclusion in an investment portfolio: benefits; lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on Destination 2025 goals; and risk.

Control criteria: The FAA employs earned value management, risk management, and testing to determine how efficiently developmental, modernization, and enhancement investment programs are performing relative to plan during solution implementation. For investment programs that do not involve development, modernization, or enhancement, the FAA applies multiple control techniques such as independent review of program cost and schedule estimates; comparison of spend plans against budget authorization; comparison of actual cost and schedule results against planning estimates; and periodic program and data reviews against planning. These management controls identify and quantify variances to baseline cost, schedule, and performance measures as the basis for corrective action. Service organizations test and evaluate the products of investment programs against requirements in the program requirements document to determine whether they are satisfied.

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Red Line Content: Acquisition Management Policy:

Section 1.2.4.1.2 : Agency-wide ~~Wide~~ High-level ~~Level~~ Portfolio Management Criteria

The FAA uses standard criteria for selecting, controlling, and evaluating its investment portfolio. The ~~ATO~~ Acquisition and Business Services organization in coordination with ~~the~~ FAA investment decision ~~authorities evaluate~~ authority evaluates the criteria each year against cumulative experience and event-driven data and ~~recommend~~ recommends changes for Joint Resources Council approval when warranted. ~~Investment~~ The investment decision ~~authorities use~~ authority uses the standard criteria when evaluating new investment opportunities for inclusion in a service portfolio, when evaluating the status of on-going investment programs, and when evaluating the efficiency and effectiveness of operational assets.

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Control criteria: The FAA employs earned value management, risk management, and testing to determine how efficiently developmental, modernization, and enhancement investment programs are performing relative to plan during solution implementation. For investment programs that do not involve development, modernization, or enhancement, the FAA applies multiple control techniques such as independent review of program cost and schedule estimates; comparison of spend plans against budget authorization; comparison of actual cost and schedule results against planning estimates; and periodic program and data reviews against ~~plan~~planning. These management controls identify and quantify variances to baseline cost, schedule, and performance measures as the basis for corrective action. Service organizations test and evaluate the products of investment programs against requirements in the program requirements document to determine whether they are satisfied.

Evaluation criteria: The FAA periodically measures the efficiency (technical quality) and effectiveness (business value) of operational assets to determine whether they should be upgraded, replaced, or removed from service. Service directorates evaluate in-service assets by means of post-implementation reviews and operational analyses. Post-implementation reviews determine whether performance, cost, schedule, and benefit goals are being attained. They provide the basis for corrective action, as well as lessons learned for improving agency investment management processes. Operational analysis determines trends in such factors as reliability, maintainability, supportability, obsolescence, and operating and maintenance costs. They are the basis for validating continued support for fielded assets or some other action such as upgrade, replacement, or removal from service.

Section 1.2.4.2 : Acquisition Investment Portfolios

Old Content: Acquisition Management Policy:

Section 1.2.4.2 : Acquisition Investment Portfolios

The Acquisition Executive Board establishes acquisition investment portfolios, subject to review and concurrence by the Joint Resources Council. When an individual component of the portfolio comes before an investment decision authority, senior executives for all components are present so decisions are made within context of the entire portfolio and overall corporate framework.

An acquisition investment portfolio may contain materiel (e.g., hardware or software deliverable) and non-materiel (e.g., airspace redesign or procedures) components. Each component is treated individually according its own acquisition category designation, as applicable. At least one component must be in initial or final investment analysis. Any agency source, including the Enterprise Architecture Board, NextGen Review Board, NextGen Integration and Implementation Office, or line of business planning organization, may recommend to the AEB establishment of an acquisition investment portfolio. Timing for establishment and approval of an acquisition investment portfolio is driven by the timing for that portfolio to be discussed as part of an investment decision by an investment decision authority. A standard template is used to recommend the acquisition investment portfolio.

The AEB provides a list of approved acquisition investment portfolios to the Joint Resources Council via the JRC Secretariat. The AEB is given an opportunity to explain its position on any portfolio designation questioned by Joint Resource Council before potential overrule.

As needed, a program manager or other responsible FAA official may be designated to oversee the acquisition investment portfolio.

A portfolio-level agreement (PFLA) between the executives responsible for each component of an acquisition investment portfolio defines all critical interdependencies between components, how they will be managed, and interaction with each other and the overall portfolio. For example, a PFLA could mandate procedures when one component encounters cost, schedule or performance difficulties and how those difficulties will be communicated to other portfolio components and how they will be resolved corporately for the overall benefit of the portfolio. A standard template is used to develop a PFLA.

Any metrics established and tracked for an acquisition investment portfolio (e.g., portfolio cost and benefits) are documented in the PFLA.

**New Content: Acquisition Management Policy:
Section 1.2.4.2 : Acquisition Investment Portfolios**

The Acquisition Executive Board establishes acquisition investment portfolios, subject to review and concurrence by the Joint Resources Council. When an individual component of the portfolio comes before the investment decision authority, senior executives for all components are present so decisions are made within context of the entire portfolio and overall corporate framework.

An acquisition investment portfolio may contain materiel (e.g., hardware or software deliverable) and non-materiel (e.g., airspace redesign or procedures) components. Each component must receive an acquisition category designation from the Acquisition Executive Board before it can be included in the portfolio. Each component is treated individually according to its own acquisition category designation. Any agency source may recommend establishing an acquisition investment portfolio to the Acquisition Executive Board. Timing for establishment and approval of the portfolio is driven by the timing for that portfolio to be discussed as part of an investment decision by the investment decision authority. A standard template is used to recommend the acquisition investment portfolio.

The Acquisition Executive Board provides a list of approved acquisition investment portfolios to the Joint Resources Council via the JRC Executive Secretariat. The Acquisition Executive Board is given an opportunity to explain its position on any portfolio designation questioned by Joint Resources Council before potential overrule.

As needed, a program manager or other responsible FAA official may be designated to oversee the acquisition investment portfolio.

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Any metrics established and tracked for an acquisition investment portfolio (e.g., portfolio cost and benefits) are documented in the portfolio-level agreement.

**Red Line Content: Acquisition Management Policy:
Section 1.2.4.2 : Acquisition Investment Portfolios**

The Acquisition Executive Board establishes acquisition investment portfolios, subject to review and concurrence by the Joint Resources Council. When an individual component of the portfolio comes before ~~an~~ the investment decision authority, senior executives for all components are present so decisions are made within context of the entire portfolio and overall corporate framework.

An acquisition investment portfolio may contain materiel (e.g., hardware or software deliverable) and non-materiel (e.g., airspace redesign or procedures) components. Each component ~~is treated individually according~~ must its own receive an acquisition category designation, ~~as applicable. At least one component must be in initial or final~~ from the Acquisition Executive Board before it can be included investment ~~in the analysis~~ portfolio. ~~Any agency source, including Each the Enterprise Architecture~~ component is treated Board, individually NextGen Review according to Board, its NextGen Integration and own acquisition category Implementation designation. Any Office, agency or line of business planning source may recommend establishing an organization, acquisition may recommend investment portfolio to the AEB establishment of an acquisition Acquisition investment portfolio Executive Board. Timing for establishment and approval of ~~an acquisition investment~~ the portfolio is driven by the timing for that portfolio to be discussed as part of an investment decision by ~~an~~ the investment decision authority. A standard template is used to recommend the acquisition investment portfolio.

The AEB Acquisition Executive Board provides a list of approved acquisition investment portfolios to the Joint Resources Council via the JRC Executive Secretariat. The AEB Acquisition Executive Board is given an opportunity to explain its position on any portfolio designation questioned by Joint ~~Resource~~ Resources Council before potential overrule.

As needed, a program manager or other responsible FAA official may be designated to oversee the acquisition investment portfolio.

A portfolio-level agreement (~~PFLA~~) between the executives responsible for each component of an acquisition investment portfolio defines all critical interdependencies between components, how they will be managed, and interaction with each other and the overall portfolio. For example, a PFLA portfolio-level agreement could mandate procedures when one component encounters cost, schedule, or performance difficulties and how those difficulties will be

communicated to other portfolio components and how they will be resolved corporately for the overall benefit of the portfolio. A standard template is used to develop a [PFLA portfolio-level agreement](#).

Any metrics established and tracked for an acquisition investment portfolio (e.g., portfolio cost and benefits) are documented in the [PFLA portfolio-level agreement](#).

Section 2.1.6 : Measurement and Analysis

Old Content: Acquisition Management Policy:

Section 2.1.6 : Measurement and Analysis

Measurement and analysis is a management and control process applied throughout the lifecycle of an investment program or operational asset to assess progress, forecast performance, determine status, and define corrective action. Measurement and analysis provides information and visibility toward accomplishing program goals and supporting management information needs.

Each line of business institutes measurement and analysis processes in accordance with AMS policy and guidance that:

- Collect, store, analyze, and report data on seventeen standard measures defined in [Standard Program Performance Measures](#);
- Collect, store, analyze, and report baseline performance data defined in the Acquisition Baseline Management Standard Operating Procedure for those programs with an approved Acquisition Program Baseline; and
- Provide early warning indicators of program issues before they become major problems.

Measurement and analysis information needs include, but are not limited to:

- Contract information that supports management and executive monitoring of vendor performance;
- Contract information that supports acquisition quality assurance;
- Program, operational, risk, and contract information that supports monitoring of lifecycle cost, schedule, performance baselines, as well as benefits and technical progress;
- Program information that supports achievement of Flight Plan goals and alignment with the FAA Enterprise Architecture; and
- Operational and business case information that supports investment decision-making.

New Content: Acquisition Management Policy:

Section 2.1.6 : Measurement and Analysis

Measurement and analysis is a management and control process applied throughout the lifecycle of an investment program or operational asset to assess progress, forecast performance, determine status, and define corrective action. Measurement and analysis provides information

and visibility toward accomplishing program goals and supporting management information needs.

Each line of business or staff office institutes measurement and analysis processes in accordance with AMS policy and guidance that:

- Collect, store, analyze, and report data on seventeen standard measures defined in [Standard Program Performance Measures](#);
- Collect, store, analyze, and report baseline performance data defined in the Acquisition Baseline Management Standard Operating Procedure for those programs with an approved Acquisition Program Baseline; and
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- Contract information that supports acquisition quality assurance;
- Program, operational, risk, and contract information that supports monitoring of lifecycle cost, schedule, performance baselines, as well as benefits and technical progress;
- Program information that supports achievement of Destination 2025 goals and alignment with the FAA Enterprise Architecture; and
- Operational and business case information that supports investment decision-making.

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Section 2.1.6 : Measurement and Analysis**

Measurement and analysis is a management and control process applied throughout the lifecycle of an investment program or operational asset to assess progress, forecast performance, determine status, and define corrective action. Measurement and analysis provides information and visibility toward accomplishing program goals and supporting management information needs.

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 - Program information that supports achievement of ~~Flight Plan~~ Destination 2025 goals and alignment with the FAA Enterprise Architecture; and
 - Operational and business case information that supports investment decision-making.
-

Section 2.1.7 : Verification and Validation

Old Content: Acquisition Management Policy:

Section 2.1.7 : Verification and Validation

The FAA employs verification and validation throughout the acquisition management lifecycle in accordance with AMS V&V guidelines to support investment decisions and approvals. Validation ensures the right product is built (fulfills its intended use). Verification ensures a product is built right (according to specifications). Verification and validation are performed early and incrementally throughout the lifecycle management process on select work products, product components, and products. Products are intended for delivery to a customer or end user. Product components are lower-level configuration items of the product. Work products represent, define, or direct product development. The following are sample work products, work components, and products subject to verification and validation:

- Operational concept or procedures
- Planning documents
- Requirement and specification documents
- Procurement and contractual documents
- Models, prototypes, and simulations
- Design documents
- Products and product components

New Content: Acquisition Management Policy:

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- Products and product components

Section 2.2 : Research for Service Analysis

Old Content: Acquisition Management Policy:
Section 2.2 : Research for Service Analysis

Research and systems analysis are often required during service analysis to mature operational concepts, reduce risk, or define requirements before a decision is rendered to proceed further in the lifecycle management process. Research for service analysis (RSA) policy also applies when research and systems analysis are required to develop NAS enterprise architecture products to meet the criteria to enter concept and requirements definition. In addition, AMS portfolio management policy applies when alignment across related initiatives is necessary to mature concepts to move through the AMS lifecycle.

During RSA, the FAA engages in two general areas of applied research activity:

- Research Engineering and Development (RE&D)
- Concept Maturity and Technology Development (CMTD)

The RE&D process governs selection and execution of the RE&D portfolio. This portfolio includes systematic studies to gain knowledge or understanding of concepts, products, or procedures that could potentially benefit the aviation community with or without specific application or means by which a specific need may be met such as research related to materials and human factors. These activities inform the NAS enterprise architecture and CMTD activities, but do not lead directly to concept and requirements definition.

The CMTD process governs activities directed toward the production of useful materials, devices, systems, and methods, as well as advance the maturity of new concepts. Typical activities include concept feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate opportunities for improving the delivery of NAS services. These efforts reduce risk, define requirements, demonstrate operational requirements, inform concept and requirements definition activities, and generate information required to support agency investment decisions and product lifecycle management.

RSA activities related to the NAS are performed in coordination with NextGen and Operations Planning to ensure alignment with the enterprise-level technical strategy as reflected in the NAS enterprise architecture.

New Content: Acquisition Management Policy:
Section 2.2 : Research for Service Analysis

Research and systems analysis are often required during service analysis to mature operational concepts, reduce risk, or define requirements before a decision is rendered to proceed further in the lifecycle management process. Research for service analysis (RSA) policy also applies when research and systems analysis are required to develop NAS enterprise architecture products to meet the criteria to enter concept and requirements definition. In addition, AMS portfolio management policy applies when alignment across related initiatives is necessary to mature concepts to move through the AMS lifecycle.

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Section 2.2.1 : Research, Engineering, and Development Process

Old Content: Acquisition Management Policy:

Section 2.2.1 : Research, Engineering, and Development Process

The RE&D process supports aspects of aviation with research on materials and human factors to support development of new products, services, and procedures. These aspects include regulation, certification, and standards for aircraft, air operators, manufacturers, aircrews, and other aviation personnel; airports; commercial space transportation; environment; modernization, operation, and maintenance of the NAS; and aerospace policy formulation, planning, and analysis.

RE&D activity across FAA is coordinated through the [RE&D portfolio process](#). The RE&D executive board develops the RE&D portfolio each year using strategic planning in the National Aviation Research Plan as a guide. This plan links FAA research activities to broader strategic planning in the FAA Flight Plan, NextGen Implementation Plan, the NAS Enterprise Architecture and the Joint Planning Development Office. The RE&D executive board is supported by program planning teams assigned to prepare and manage specific research areas.

Program managers execute research programs. They work closely with research sponsors (business units that own or share the RE&D requirement) to ensure results meet customer needs. Annual evaluations determine whether research results are meeting performance targets and supporting FAA strategic goals. Evaluations also determine whether FAA strategic planning is leading the RE&D portfolio in the right direction.

The RE&D Advisory Committee and its associated subcommittees review the RE&D portfolio twice a year, first during budget formulation and later during portfolio evaluation.

New Content: Acquisition Management Policy:

Section 2.2.1 : Research, Engineering, and Development Process

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The RE&D Advisory Committee and its associated subcommittees review the RE&D portfolio twice a year, first during budget formulation and later during portfolio evaluation.

Section 2.2.1.1 : What Must Be Done

Old Content: Acquisition Management Policy:

Section 2.2.1.1 : What Must Be Done

Service organizations:

- Identify, justify, and manage research, study, and analysis within their service area of responsibility;

- Prepare budget formulation documents for research programs approved for inclusion in the RE&D portfolio;
- Submit research, study, and analysis proposals to the RE&D portfolio development process for evaluation and possible inclusion in the RE&D portfolio;
- Facilitate peer reviews by subject-matter experts to improve the quality and timeliness of ongoing research programs; and
- Maintain documentation of research methodology, activities, and results.

ATO NextGen and Operations Planning organization:

- Manages the RE&D planning and budget process;
- Coordinates annual development of the National Aviation Research Plan;
- Ensures the RE&D portfolio is aligned with FAA strategic goals and the NAS Enterprise Architecture;
- Coordinates annual updates to the NAS Enterprise Architecture and ensures concept RE&D activities are properly depicted;
- Identifies and analyzes potential solutions to service need, including feasibility analyses;
- Evaluate prototypes and conducts feasibility demonstrations to validate and refine initial requirements, operational concepts, and potential solutions;
- Integrates FAA research activity with research sponsored or conducted by industry, universities, and other government organizations;
- Interfaces with OST, OMB, Congress, trade associations, international organizations, and other state and federal government organizations for agency-level research issues; and
- Identifies, justifies, and manages research, study, and analysis programs.

RE&D Executive Board:

- Coordinates with the lines of business to develop the FAA RE&D portfolio each year;
- Reviews and approves the non-NextGen-funded portion of RE&D portfolio each year; and
- Coordinates sequential review of the RE&D portfolio with the ATO Executive Council, Associate and Assistant Administrators, and Joint Resources Council.

New Content: Acquisition Management Policy:

Section 2.2.1.1 : What Must Be Done

Service organizations:

- Identify, justify, and manage research, study, and analysis within their service area of responsibility;
- Prepare budget formulation documents for research programs approved for inclusion in the RE&D portfolio;
- Submit research, study, and analysis proposals to the RE&D portfolio development process for evaluation and possible inclusion in the RE&D portfolio;
- Facilitate peer reviews by subject-matter experts to improve the quality and timeliness of ongoing research programs; and

- Maintain documentation of research methodology, activities, and results.

NextGen organization:

- Manages the RE&D planning and budget process;
- Coordinates annual development of the National Aviation Research Plan;
- Ensures the RE&D portfolio is aligned with FAA strategic goals and the NAS Enterprise Architecture;
- Coordinates annual updates to the NAS Enterprise Architecture and ensures concept RE&D activities are properly depicted;
- Identifies and analyzes potential solutions to service need, including feasibility analyses;
- Evaluate prototypes and conducts feasibility demonstrations to validate and refine initial requirements, operational concepts, and potential solutions;
- Integrates FAA research activity with research sponsored or conducted by industry, universities, and other government organizations;
- Interfaces with OST, OMB, Congress, trade associations, international organizations, and other state and federal government organizations for agency-level research issues; and
- Identifies, justifies, and manages research, study, and analysis programs.

RE&D Executive Board:

- Coordinates with the lines of business to develop the FAA RE&D portfolio each year;
- Reviews and approves the non-NextGen-funded portion of RE&D portfolio each year; and
- Coordinates sequential review of the RE&D portfolio with the Chief Operating Officer, Associate and Assistant Administrators, and Joint Resources Council.

Red Line Content: Acquisition Management Policy:

Section 2.2.1.1 : What Must Be Done

Service organizations:

- Identify, justify, and manage research, study, and analysis within their service area of responsibility;
- Prepare budget formulation documents for research programs approved for inclusion in the RE&D portfolio;
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- Facilitate peer reviews by subject-matter experts to improve the quality and timeliness of ongoing research programs; and
- Maintain documentation of research methodology, activities, and results.

~~ATO NextGen and Operations Planning~~ organization:

- Manages the RE&D planning and budget process;
- Coordinates annual development of the National Aviation Research Plan;

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- Ensures the RE&D portfolio is aligned with FAA strategic goals and the NAS Enterprise Architecture;
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- Coordinates with the lines of business to develop the FAA RE&D portfolio each year;
- Reviews and approves the non-NextGen-funded portion of RE&D portfolio each year; and
- Coordinates sequential review of the RE&D portfolio with the [ATO Executive Council Chief Operating Officer](#), Associate and Assistant Administrators, and Joint Resources Council.

Section 2.2.2 : Concept Maturity and Technology Development Process

Old Content: Acquisition Management Policy:

Section 2.2.2 : Concept Maturity and Technology Development Process

The concept maturity and technology development process governs conduct of activities such as feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate potential concepts for improving service delivery by the FAA. These activities may be for a single initiative or multiple initiatives related to a single concept (a portfolio, as described in section 1.2.4.1). They may play a role in the development of service analysis products, as described in section 2.3.2. Key outputs are mature, beneficial concepts that can progress toward entry into the concept and requirements definition phase of AMS.

The CMTD process supports concept maturity through the following three stages:

- **Concept Exploration** identifies promising concepts with sufficient definition to begin development of a concept of operations and plan follow-on activities. Work starts with the collection of a broad and varied range of potential approaches for meeting agency strategic goals, objectives, and service needs, and organizes them into candidate concepts. Outputs are promising and feasible concepts that warrant further maturation and development.

- **Concept Development** matures and evaluates promising concepts to determine which should continue further development. Activities include modeling, simulation, and detailed analysis.
- **Concept Evaluation** confirms that a concept has great promise toward meeting the needs of the agency and begins to determine operational and technical feasibility. Concept evaluation can include concept integration, evolution, or scalability. Representative activities include prototyping and field demonstration.

Individual projects reside in one of the stages, but may not pass sequentially through each, depending on the maturity level of the concept and the progress of related initiatives.

CMTD activities are selected according to their relative potential for achieving needed operational improvements identified in the NAS Enterprise Architecture. CMTD activities include development of mid-term operational concepts, concept evaluation studies, human factors analysis, preliminary requirements development for individual concepts, prototypes, demonstrations, and concept development. These activities generate information supporting the validity of identified capability shortfalls, future service needs, capability requirements, expectations of benefits, and design alternatives. See [CMTD guidance](#) for a list of products and how CMTD supports the development of those products.

**New Content: Acquisition Management Policy:
Section 2.2.2 : Concept Maturity and Technology Development Process**

The concept maturity and technology development process governs conduct of activities such as feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate potential concepts for improving service delivery by the FAA. These activities may be for a single initiative or multiple initiatives related to a single concept (a portfolio, as described in section 1.2.4.1). They may play a role in the development of service analysis products, as described in section 2.3.2. Key outputs are mature, beneficial concepts that can progress toward entry into the concept and requirements definition phase of AMS.

The CMTD process supports concept maturity through the following three stages:

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Red Line Content: Acquisition Management Policy:

Section 2.2.2 : Concept Maturity and Technology Development Process

The concept maturity and technology development process governs conduct of activities such as feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate potential concepts for improving service delivery by the FAA. These activities may be for a single initiative or multiple initiatives related to a single concept (a portfolio, as described in section 1.2.4.1). They may play a role in the development of service analysis products, as described in section 2.3.2. Key outputs are mature, beneficial concepts that can progress toward entry into the concept and requirements definition phase of AMS.

The CMTD process supports concept maturity through the following three stages:

- **Concept Exploration** identifies promising concepts with sufficient definition to begin development of a concept of operations and plan follow-on activities. -Work starts with the collection of a broad and varied range of potential approaches for meeting agency strategic goals, objectives, and service needs, and organizes them into candidate concepts. Outputs are promising and feasible concepts that warrant further maturation and development.
- **Concept Development** matures and evaluates promising concepts to determine which should continue further development. Activities include modeling, simulation, and detailed analysis.
- **Concept Evaluation** confirms that a concept has great promise toward meeting the needs of the agency and begins to determine operational and technical feasibility. Concept evaluation can include concept integration, evolution, or scalability. Representative activities include prototyping and field demonstration.

Individual projects reside in one of the stages, but may not pass sequentially through each, depending on the maturity level of the concept and the progress of related initiatives.

CMTD activities are selected according to their relative potential for achieving needed operational improvements identified in the NAS Enterprise Architecture.- CMTD activities include development of mid-term operational concepts, concept evaluation studies, human factors analysis, preliminary requirements development for individual concepts, prototypes,

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Section 2.2.2.1 : What Must be Done?

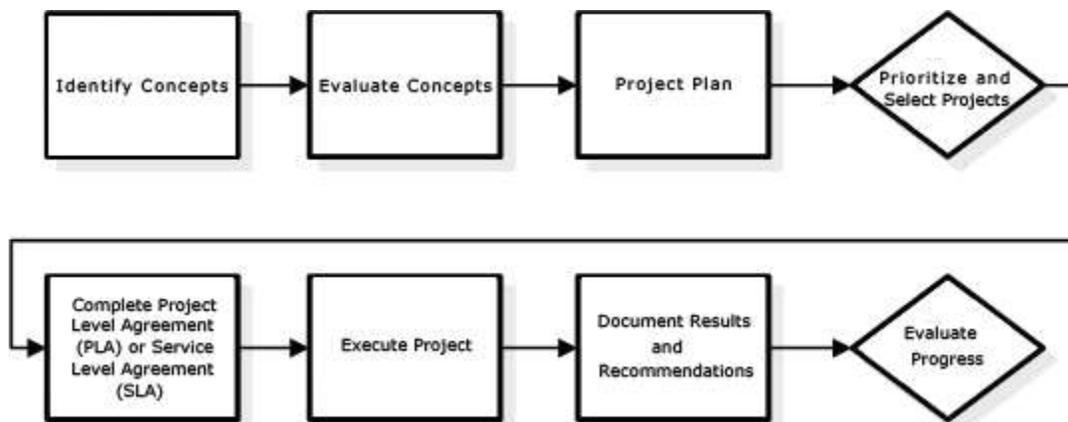
Old Content: Acquisition Management Policy:

Section 2.2.2.1 : What Must be Done?

CMTD encompasses activities designed to validate concepts for improving performance. A concept is a broad area of potential operational improvement to be explored for applicability to agency strategic goals and objectives. Concepts are evaluated for technical and operational feasibility as they progress through the CMTD process where they are prepared for entry into concept and requirements definition.

Individual projects are discrete efforts that evaluate specific aspects of the concept and provide data necessary to assess technical maturity and operational feasibility. The objective of each project must be defined, have definitive deliverables, and have clear success criteria. An individual project is most often completed during one stage of the CMTD process, and is always conducted in accordance with a project-level or portfolio-level agreement. Several CMTD projects may need to be completed for a concept to be deemed mature enough to continue with service analysis or enter concept and requirements definition.

The following flowchart describes the steps that projects move through during the CMTD process. The steps are cyclic and apply to each stage of the process.



- **Identify concepts.** All potential concepts for satisfying immediate or future priority service or performance needs are gathered and acknowledged. The FAA Flight Plan, Enterprise Architecture, NextGen ConOps, NextGen implementation plan, and prior research are various sources from which to identify concepts.

- **Evaluate concepts.** Concepts are evaluated annually to determine which have the greatest potential for improving performance and service, and which need to mature in the near future. The enterprise architecture links operational improvements to strategic goals and identifies when they are needed.
- **Develop project plans.** A project plan is completed for each potential project. The plan defines project goals and objectives; explains how it will mature the research concept; identifies interdependencies, related projects, risks, and safety concerns; and documents expected outputs and measures for success.
- **Prioritize and select projects.** The portfolio manager collects all project plans and prioritizes them based on immediate needs, dependencies, and projected results. Highest priority research projects are selected to be carried out based on available funding. Projects not selected return to the identify concepts step of the CMTD process for the next funding cycle.
- **Complete project-level agreement or portfolio-level agreement.** The project team completes the project-level or portfolio-level agreement, which is reviewed by the portfolio manager. This document builds on the project plan and defines project objectives, scope, schedule, deliverables, measures of success, and resources.
- **Execute project(s).** The project team carries out the research in accordance with the project-level or portfolio-level agreement.
- **Document results and recommendations.** The project team documents all findings and products completed during the research. Depending on the stage, findings could be a refined concept of operations, preliminary requirements, the identification of alternative solutions, the analysis of multiple alternatives, the feasibility and scalability of a single alternative, or the demonstration of a proposed concept. The project team also recommends what should happen next based on the findings. Depending on which stage the concept is in, recommendations could consist of continue working on the concept, the concept is mature, or terminate further consideration of the concept.
- **Evaluate progress.** Individual projects are evaluated periodically and project results are used to develop documentation for service analysis and concept and requirements definition. Often, completion of multiple projects through many cycles will be required to mature a concept from exploration to evaluation. When a concept is deemed mature, the initiative may continue in service analysis or progress to concept and requirements definition as described in section 2.3.2. If a non-materiel solution emerges, further planning is not required.

New Content: Acquisition Management Policy:

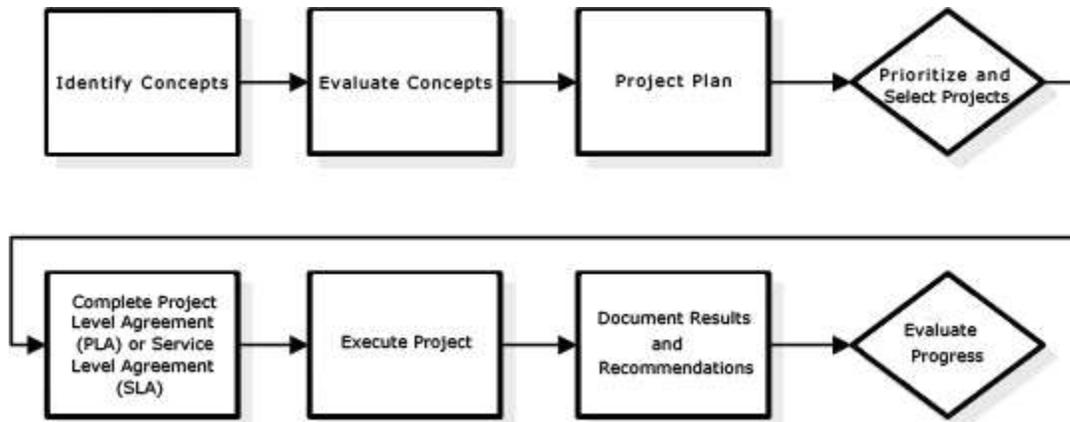
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Red Line Content: Acquisition Management Policy:

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The following flowchart describes the steps that projects move through during the CMTD process. The steps are cyclic and apply to each stage of the process.

- **Identify concepts.** All potential concepts for satisfying immediate or future priority service or performance needs are gathered and acknowledged. [The FAA Flight Destination Plan 2025](#), Enterprise Architecture, NextGen ConOps, NextGen [implementation](#) [Implementation plan](#) [Plan](#), and prior research are various sources from which to identify concepts.
- **Evaluate concepts.** Concepts are evaluated annually to determine which have the greatest potential for improving performance and service, and which need to mature in

the near future. The enterprise architecture links operational improvements to strategic goals and identifies when they are needed.

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Section 2.2.2.2 : Outputs and Products

Old Content: Acquisition Management Policy:

Section 2.2.2.2 : Outputs and Products

- Project plans and project level or portfolio level agreements
- Project research results and recommendations
- Potential service analysis products developed during CMTD are shown in the table below.

	Products	Concept Exploration	Concept Development	Concept Evaluation
Service Analysis Products	Define Needed Service	-	-	-
	Define Legacy System	-	-	-
	Define Shortfall	Begin to identify gap	List initial assumptions	Identify categories
	Enterprise Architecture Inclusion	-	Begin to develop EA views	Begin to develop EA views
	Define Concept of Operations	Identify elements	Identify environments	Mature
	Identify Preliminary Functions	Identify high-level functions	Identify inputs and outputs	Identify interfaces
	CRD Plan	-	-	Develop

New Content: Acquisition Management Policy:
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Red Line Content: Acquisition Management Policy:
Section 2.2.2.2 : Outputs and Products

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- Project research results and recommendations
- Potential ~~service~~ ~~ervice~~ analysis products developed during CMTD are shown in the table below.

Section 2.2.2.3 : Who Does It?

Old Content: Acquisition Management Policy:

Section 2.2.2.3 : Who Does It?

ATO NextGen and Operations Planning organization:

- Develops and maintains the NAS Enterprise Architecture;
- Coordinates annual development of the NextGen Implementation Plan;
- Manages the NextGen planning and budget process;
- Defines project plan selection, management, and evaluation criteria for CMTD activities for projects in RSA in coordination with project sponsors and stakeholders;
- Assesses progress of research activities toward achievement of documented project plans and ensures documentation of results and recommendations;
- Facilitates coordination with trade associations, international organizations, and other state and federal government organizations for agency-level research and concept development initiatives; and
- Functions as the CMTD portfolio manager.

Service organizations:

- Identify service gaps and prepare research proposals for activities to identify and evaluate alternative solutions to eliminate service gaps;
- Prepare budget formulation documentation for CMTD activities for which the organization serves as the performing organization;
- Execute projects as documented in project-level agreements and project plans;
- Document project results; and
- Plan and obtain support for operational prototypes as specified in the Integrated Logistics Support Process Manual. This may include training, manuals, spare parts, repair, and support services, as well as decisions related to removing prototypes and restoring sites when activity is complete.

New Content: Acquisition Management Policy:

Section 2.2.2.3 : Who Does It?

NextGen organization:

- Develops and maintains the NAS enterprise architecture;
- Coordinates annual development of the NextGen Implementation Plan;
- Manages the NextGen planning and budget process;
- Defines project plan selection, management, and evaluation criteria for CMTD activities for projects in RSA in coordination with project sponsors and stakeholders;
- Assesses progress of research activities toward achievement of documented project plans and ensures documentation of results and recommendations;

- Facilitates coordination with trade associations, international organizations, and other state and federal government organizations for agency-level research and concept development initiatives; and
- Functions as the CMTD portfolio manager.

Service organizations:

- Identify service gaps and prepare research proposals for activities to identify and evaluate alternative solutions to eliminate service gaps;
- Prepare budget formulation documentation for CMTD activities for which the organization serves as the performing organization;
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Red Line Content: Acquisition Management Policy:
Section 2.2.2.3 : Who Does It?

~~ATO-NextGen~~ ~~and Operations Planning~~ organization:

- Develops and maintains the NAS ~~Enterprise Architecture~~ enterprise architecture;
- Coordinates annual development of the NextGen Implementation Plan;
- Manages the NextGen planning and budget process;
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Section 2.2.2.4 : Who Approves?

Old Content: Acquisition Management Policy:

Section 2.2.2.4 : Who Approves?

Joint Resources Council

- Approves CMTD activities as part of the F&E budget.

NextGen and Operations Planning Organization or Service Organization Portfolio Manager

- Approves project-level agreements or portfolio-level agreements.

New Content: Acquisition Management Policy:

Section 2.2.2.4 : Who Approves?

Joint Resources Council

- Approves CMTD activities as part of the F&E budget.

NextGen organization or service organization portfolio manager

- Approves project-level agreements or portfolio-level agreements.

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Joint Resources Council

- Approves CMTD activities as part of the F&E budget.

NextGen ~~and organization Operations Planning Organization or Service Organization Portfolio Manager~~ service organization portfolio manager

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Section 2.3.1 : Corporate Strategic Planning and Integration

Old Content: Acquisition Management Policy:

Section 2.3.1 : Corporate Strategic Planning and Integration

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p. 57

Corporate strategic planning and integration consists of management processes that generate the Destination 2025 strategic plan each year and establish the framework for the FAA enterprise architecture and all subordinate FAA plans and budgets. It translates FAA strategic goals into high-level courses of action for service organizations; coordinates and integrates service analysis by individual service organizations; and evolves the strategic direction of the FAA over time as the operating environment changes.

New Content: Acquisition Management Policy:

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Red Line Content: Acquisition Management Policy:

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Section 2.3.1.1 : What Must Be Done

Old Content: Acquisition Management Policy:

Section 2.3.1.1 : What Must Be Done

- Establish agency-level strategic and performance goals as recorded in the FAA Destination 2025 strategic plan;
- Sustain the enterprise architecture and its roadmaps and ensure consistency with agency strategic goals and objectives;
- Work with service organizations to align service goals with corporate strategic and performance goals;
- Coordinate service analysis by service organizations to eliminate redundancies, duplication of benefits, service gaps, and service overlaps;
- Identify and plan for programmatic and operational interdependencies that cut across service organizations;
- Develop and maintain corporate-level expertise, standards, and tools for service analysis; and

- Assist service organizations in developing and maintaining a strong service analysis capability.

New Content: Acquisition Management Policy:

Section 2.3.1.1 : What Must Be Done

- Establish agency-level strategic and performance goals as recorded in Destination 2025;
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Section 2.3.1.2 : Outputs and Products

Old Content: Acquisition Management Policy:

Section 2.3.1.2 : Outputs and Products

- Annual FAA Destination 2025 strategic plan updates;

- Annual FAA enterprise architecture and roadmap updates; and
- FAA standards, guidance, and tools for service analysis.

New Content: Acquisition Management Policy:

Section 2.3.1.2 : Outputs and Products Red Line Content: Acquisition Management Policy:

Section 2.3.1.2 : Outputs and Products

- Annual ~~FAA~~ Destination 2025 ~~strategic plan~~ updates;
- Annual FAA enterprise architecture and roadmap updates; and
- FAA standards, guidance, and tools for service analysis.

Section 2.3.1.3 : Who Does It?

Old Content: Acquisition Management Policy:

Section 2.3.1.3 : Who Does It?

The Plans and Policy organization (APO) conducts the strategic management process that updates the Destination 2025 strategic plan each year. The NextGen and Operations Planning organization, Systems Engineering and Safety Office manages the annual update to the NAS enterprise architecture and its roadmaps; coordinates service analysis by FAA organizations to eliminate redundant activity; duplication of benefits; service gaps, and service overlap; develops and maintains standards and tools for conducting service analysis; and assists service organizations in establishing a service analysis capability. The Office of Information Technology Research and Development performs identical functions for lines of business and service organizations for the NAS Regulatory and non-NAS Architectures.

All FAA organizations participate in and contribute to the annual updates to FAA Destination 2025 strategic plan and FAA enterprise architecture and its roadmaps.

New Content: Acquisition Management Policy:

Section 2.3.1.3 : Who Does It?

The Strategy, Budget, and Planning Committee oversees the strategic management process that updates Destination 2025 each year. NextGen Engineering Services manages the annual update to the NAS enterprise architecture and its roadmaps; coordinates service analysis by FAA organizations to eliminate redundant activity; duplication of benefits; service gaps, and service overlap; develops and maintains standards and tools for conducting service analysis; and assists service organizations in establishing a service analysis capability. The Information Technology Research and Development organization performs identical functions for lines of business and service organizations for the NAS regulatory and non-NAS architectures.

All FAA organizations participate in and contribute to the annual updates to Destination 2025 and the FAA enterprise architecture and its roadmaps.

Red Line Content: Acquisition Management Policy:
Section 2.3.1.3 : Who Does It?

The ~~Strategy, Plans~~**Budget**, and ~~Policy organization (APO)~~**Planning** ~~conducts~~**Committee oversees** the strategic management process that updates ~~the~~ Destination 2025 ~~strategic plan~~ each year. ~~The NextGen and Operations Planning organization, Systems Engineering and Safety Office~~ **Services** manages the annual update to the NAS enterprise architecture and its roadmaps; coordinates service analysis by FAA organizations to eliminate redundant activity; duplication of benefits; service gaps, and service overlap; develops and maintains standards and tools for conducting service analysis; and assists service organizations in establishing a service analysis capability. The ~~Office of~~ Information Technology Research and Development **organization** performs identical functions for lines of business and service organizations for the NAS ~~Regulatory~~**regulatory** and non-NAS ~~Architectures~~**architectures**.

All FAA organizations participate in and contribute to the annual updates to ~~FAA~~ Destination 2025 ~~strategic plan~~ and **the** FAA enterprise architecture and its roadmaps.

Section 2.3.1.4 : Who Approves?

Old Content: Acquisition Management Policy:
Section 2.3.1.4 : Who Approves?

- The Administrator approves the FAA Destination 2025 strategic plan.
- The Joint Resources Council approves the FAA enterprise architecture and its roadmaps.

New Content: Acquisition Management Policy:
Section 2.3.1.4 : Who Approves?

The Administrator approves Destination 2025.

The Joint Resources Council approves the FAA enterprise architecture and its roadmaps.

Red Line Content: Acquisition Management Policy:
Section 2.3.1.4 : Who Approves?

The Administrator approves ~~the FAA~~ Destination 2025 ~~strategic plan~~.

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Section 2.3.2 : Service Analysis

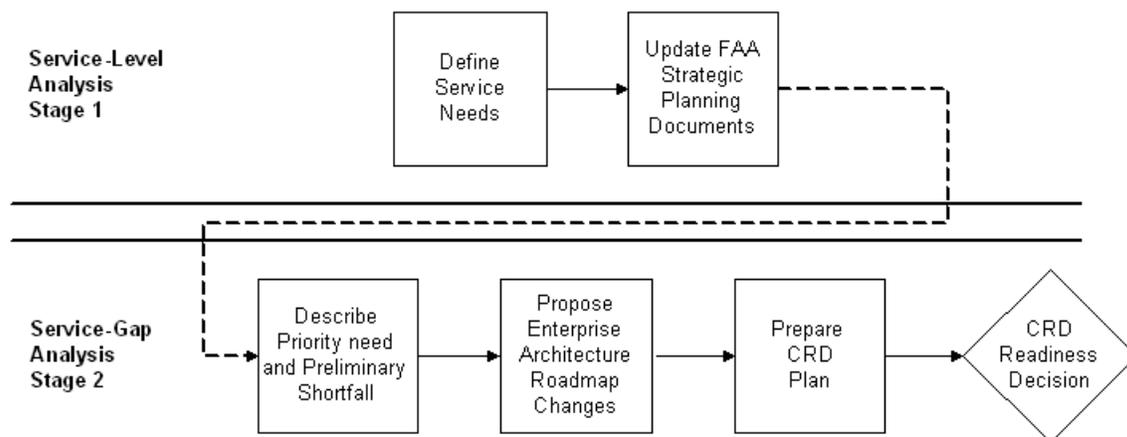
Old Content: Acquisition Management Policy:
Section 2.3.2 : Service Analysis

Service analysis is conducted within the framework of the FAA flight plan and enterprise architecture to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers. Results are captured in the enterprise architecture, which documents the “as is” and “to be” states of the FAA’s architecture, as well as the roadmaps for moving from the current to the future state. Results are also captured in LOB business plans and service organization operating plans, which specify how each will manage its RE&D, F&E, and O&M resources over time. These plans integrate new investment initiatives with the operation and support of fielded assets and other necessary actions to optimize service delivery. Continuing analysis keeps planning current with changes in the mission and operational environment.

Industry best practices (e.g., technology and service demand forecasting, portfolio management, customer surveys) are employed during service analysis to align service outcomes with actions and activities necessary and sufficient to realize benefits for the FAA and its customers. Service analysis may lead to the refocus, reduction, or elimination of ongoing investment programs, and may identify new and more productive ways of doing business. It may also identify alternative paths for achieving service goals in a dynamic environment, and may identify opportunities for improving FAA strategic planning when the mission environment evolves in ways not anticipated. Some investment opportunities may require research and development to demonstrate operational concepts, reduce risk, or define requirements before proceeding further in the lifecycle management process.

As shown in Figure 2.3.2-1, service analysis is a 2-stage process. Stage 1 (service-level analysis) is the recurring analysis from which service organizations determine and prioritize service shortfalls and opportunities over time and propose modifications to agency strategic planning documents. Stage 2 (service-gap analysis) develops the information needed for entry of high-priority service needs from the enterprise architecture roadmaps into concept and requirements definition.

Figure 2.3.2-1 Key Activities of Service Analysis



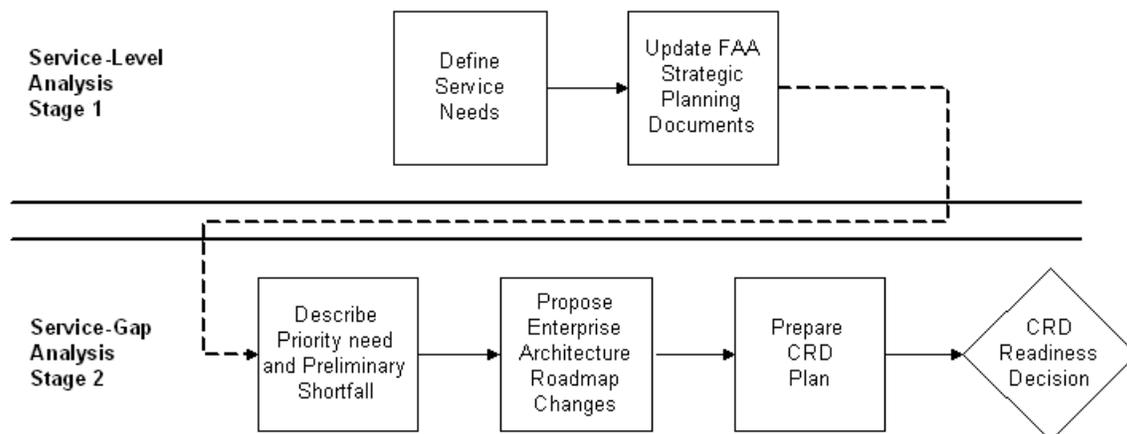
**New Content: Acquisition Management Policy:
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Service analysis is conducted within the framework of Destination 2025 and the FAA enterprise architecture to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers. Results are captured in the “as is” and “to be” states of the FAA enterprise architecture, as well as the roadmaps for moving from the current to the future state. Results are also captured in line-of-business business plans and service organization operating plans, which specify how each will manage its RE&D, F&E, and OPS resources over time. These plans integrate new investment initiatives with the operation and support of fielded assets and other necessary actions to optimize service delivery. Continuing analysis keeps planning current with changes in the mission and operational environment.

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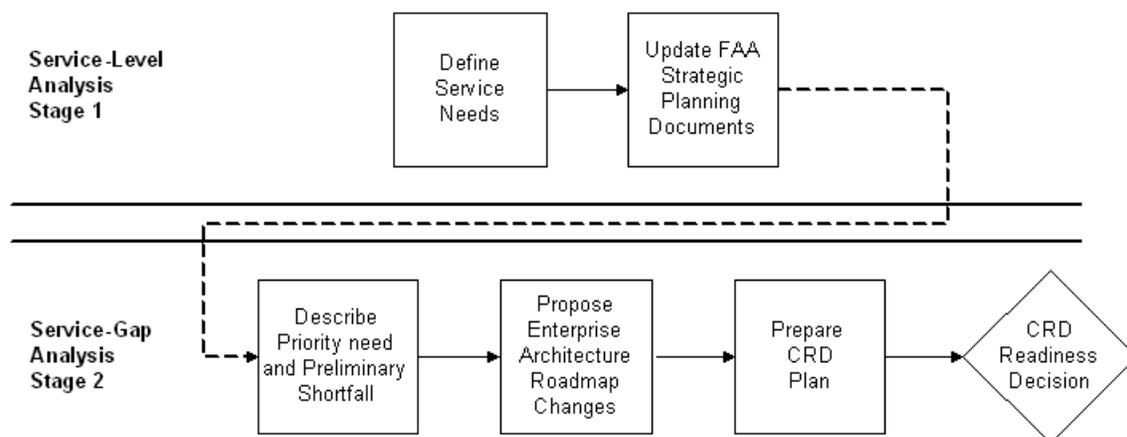
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Figure 2.3.2-1 Key Activities of Service Analysis



Section 2.3.2.1 : What Must Be Done

Old Content: Acquisition Management Policy:

Section 2.3.2.1 : What Must Be Done

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, FAA Flight Plan, 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 appropriate architecture board for approval. Approval is required before entry into concept and requirements definition.

- **Prepare CRD Plan.** ATO Systems Engineering and Safety (NAS) or the AIO Office of IT 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 the tasks of CRD 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 ATO Systems Engineering and Safety. The recommendation is based on preliminary financial data, as well as subjective assessments of complexity, risk, political sensitivity, and safety. ATO Systems Engineering and Safety either concurs with the recommendation or proposes a different level to the Acquisition Executive Board which makes the final determination.

New Content: Acquisition Management Policy:
Section 2.3.2.1 : What Must Be Done

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.

**Red Line Content: Acquisition Management Policy:
Section 2.3.2.1 : What Must Be Done**

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~~enterprise architecture roadmaps~~, FAA Flight~~Destination~~ Plan~~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~~enterprise Architecture Roadmap Changes**~~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 ~~appropriate~~ Enterprise ~~architecture~~ board~~Architecture Board~~ for approval. Approval is required before entry into concept and requirements definition.
- **Prepare ~~CRD~~concept Plan and ATO**~~requirements definition~~ Systems~~plan~~. NextGen ~~Engineering and Safety~~ Services (NAS) or ~~the AIO Office of~~ Information ~~IT~~ 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 ~~the tasks of CRD~~ 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 ~~ATO Systems~~ NextGen ~~Engineering and Safety~~ Services. The recommendation is based on preliminary financial data, as well as subjective assessments of complexity, risk, political sensitivity, ~~and~~ ~~safety~~, ~~ATO~~, ~~and~~ Systems~~security~~. NextGen ~~Engineering and Safety~~ Services either concurs with the recommendation or proposes a different level to the Acquisition Executive Board which makes the final determination.

Section 2.3.2.3 : Who Does It?

Old Content: Acquisition Management Policy:
Section 2.3.2.3 : Who Does It?

Service directorates (non-ATO) and service units (ATO) conduct service analysis and prepare outputs and products in conjunction with ATO Systems Engineering and Safety (NAS) or the AIO Office of IT Research and Development (non-NAS), as appropriate. This includes the preliminary need analysis, enterprise architecture products and amendments, and plan for CRD. The Enterprise Architecture Board (NAS) or Architecture Review Board (non-NAS) verify and validate the key work products of service analysis before the CRD readiness decision.

New Content: Acquisition Management Policy:
Section 2.3.2.3 : Who Does It?

Service directorates (non-ATO) and service units (ATO) conduct service analysis and prepare outputs and products in conjunction with Nextgen Engineering Services (NAS) or AIO Information Technology Research and Development (non-NAS), as appropriate. This includes the preliminary need analysis, enterprise architecture products and amendments, and plan for concept and requirements definition. The Enterprise Architecture Board manages the FAA enterprise architecture.

Red Line Content: Acquisition Management Policy:
Section 2.3.2.3 : Who Does It?

Service directorates (non-ATO) and service units (ATO) conduct service analysis and prepare outputs and products in conjunction with ~~Nextgen ATO Systems Engineering and Safety Services~~ (NAS) or ~~the AIO Office of IT~~ Information Technology Research and Development (non-NAS), as appropriate. This includes the preliminary need analysis, enterprise architecture products and amendments, and plan for ~~CRD. The~~concept Enterprise Architecture and requirements Board definition. (NAS) ~~The or Enterprise~~ Architecture Review Board (non-NAS) ~~verify and validate the key work products of service analysis~~ manages before the ~~CRD readiness decision~~ FAA enterprise architecture.

Section 2.3.2.2 : Outputs and Products

Old Content: Acquisition Management Policy:
Section 2.3.2.2 : Outputs and Products

- 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 V&V guidelines before the CRD readiness decision.

New Content: Acquisition Management Policy:
Section 2.3.2.2 : Outputs and Products

- 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.

Red Line Content: Acquisition Management Policy:
Section 2.3.2.2 : Outputs and Products

- 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~~ Verification and Validation guidelines before the CRD readiness decision.

Section 2.3.2.4 : Who Approves?

Old Content: Acquisition Management Policy:
Section 2.3.2.4 : Who Approves?

The Enterprise Architecture Board (NAS) or Architecture Review Board (non-NAS) reviews the plan for CRD and recommends approval. The Vice President (ATO) or Director (non-ATO) of the service organization with the service need approves the plan. The NAS Chief Architect or the Chief Technology Officer approves amendments and updates to the enterprise architecture, as appropriate. The Director, Systems Engineering and Safety and the Director of the service organization with the need approve the preliminary shortfall analysis report.

New Content: Acquisition Management Policy:
Section 2.3.2.4 : Who Approves?

The Enterprise Architecture Board reviews the plan for CRD and recommends approval. The Vice President (ATO) or Director (non-ATO) of the service organization with the service need approves the plan. The NAS Chief Architect or the Chief Technology Officer approves amendments and updates to the enterprise architecture, as appropriate. The Director, Nextgen Engineering Services and the Director of the service organization with the need approve the preliminary shortfall analysis report.

Red Line Content: Acquisition Management Policy:
Section 2.3.2.4 : Who Approves?

The Enterprise Architecture Board (~~NAS~~) or ~~Architecture Review Board (non-NAS)~~ reviews the plan for CRD and recommends approval. The Vice President (ATO) or Director (non-ATO) of the service organization with the service need approves the plan. The NAS Chief Architect or the Chief Technology Officer approves amendments and updates to the enterprise architecture, as appropriate. The Director, ~~Systems~~ **Nextgen Engineering and Safety Services** and the Director of the service organization with the need approve the preliminary shortfall analysis report.

Section 2.3.3 : Concept and Requirements Definition Readiness Decision

Old Content: Acquisition Management Policy:

Section 2.3.3 : Concept and Requirements Definition Readiness Decision

The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Enterprise Architecture Board (NAS) or Chief Technology Officer (non-NAS) verifies (1) the service need proposed to enter concept and requirements definition is a valid investment opportunity within an enterprise architecture roadmap, and (2) planning and resources for concept and requirements definition are in place. The readiness decision is the gateway between service analysis and concept and requirements definition.

New Content: Acquisition Management Policy:

Section 2.3.3 : Concept and Requirements Definition Readiness Decision

The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Enterprise Architecture Board verifies (1) the service need proposed to enter concept and requirements definition is a valid investment opportunity within an enterprise architecture roadmap, and (2) planning and resources for concept and requirements definition are in place. The readiness decision is the gateway between service analysis and concept and requirements definition.

Red Line Content: Acquisition Management Policy:

Section 2.3.3 : Concept and Requirements Definition Readiness Decision

The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Enterprise Architecture Board (~~NAS~~) or ~~Chief Technology Officer (non-NAS)~~ verifies (1) the service need proposed to enter concept and requirements definition is a valid investment opportunity within an enterprise architecture roadmap, and (2) planning and resources for concept and requirements definition are in place. The readiness decision is the gateway between service analysis and concept and requirements definition.

Section 2.3.4.1 : What Must Be Done

Old Content: Acquisition Management Policy:

Section 2.3.4.1 : What Must Be Done

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

- **Quantify shortfall.** The service organization updates and refines the preliminary shortfall identified during service analysis in sufficient detail to serve as the basis for (1) clearly understanding the nature, urgency, and impact of the service need; (2) defining preliminary requirements; (3) determining realistic and economic alternative solutions; and (4) quantifying likely program costs and benefits.
- **Define solution concept of operations.** The solution concept of operations describes how users will employ the new capability within the operational environment and how it will satisfy service need. It defines the roles and responsibilities of key participants (e.g., controllers, maintenance technicians, pilots); explains operational issues that system engineers must understand when developing requirements; identifies procedural issues that may lead to operational change; and establishes a basis for identifying alternative solutions and estimating their likely costs and benefits. More than one solution concept of operations may be required if proposed alternative solutions differ significantly from each other.
- **Analyze functions.** The service organization works with the appropriate systems engineering organization to translate stakeholder needs in the shortfall analysis, solution concept of operations, and SR-1000 (NAS System Requirements) into high-level functions. These high-level functions are then decomposed sequentially into lower-level sub-functions. A function is an action or activity that needs to be performed to achieve the desired service outcome. This activity establishes the foundation for defining preliminary requirements and alternative solutions.
- **Develop enterprise architecture products.** The service organization engages with the appropriate enterprise architecture organization to develop architecture products and amendments. These include the operational (business rule) and systems (engineering) view families.
- **Assess safety.** The service organization works with the ATO Systems Engineering and Safety organization to assess operational safety of the proposed initiative. This assessment supports definition of preliminary safety requirements. The service organization also identifies, assesses, and documents operational hazards and risks associated with potential alternative solutions. No alternative is pursued whose operational risk cannot be mitigated to an acceptable level at affordable cost.
- **Develop preliminary requirements.** The solution CONOPS, functional analysis, shortfall analysis, EA products, and operational safety assessment are the foundation for defining preliminary program requirements. Preliminary requirements specify how well

the new capability must perform its intended functions. Safety, security, and human factors are key disciplines that must be considered. Preliminary requirements specify only function and performance, and do not define a solution. They must be expressed such that the degree to which different solutions satisfy them can be measured and evaluated. Research and analysis or even prototyping may be necessary to define preliminary requirements adequately.

- **Develop range of alternatives.** Developing a range of distinct alternatives increases the likelihood that the best possible solution will be selected to satisfy the service need. The service organization surveys the marketplace to identify feasible and economic solutions. Both material and non-material alternatives are evaluated. One solution must be the hypothesized "best" alternative in the enterprise architecture. Key factors to consider are safety, operational cost efficiencies, technological maturity, and impact on the workforce and enterprise architecture. Alternatives should be qualitatively different from each other (e.g., different technologies such as ground-based versus airborne solutions or different acquisition strategies such as developmental versus commercially available). Low risk, cost-effective, and operationally suitable commercial or non-developmental solutions are preferred. Alternatives may not meet 100 percent of preliminary requirements. Technical descriptions are developed for each.
- **Estimate costs and benefits.** Rough lifecycle costs and benefits are developed for each preliminary alternative as a basis for determining whether it should be retained or eliminated from consideration. Rough lifecycle costs and benefits are also calculated for sustaining the legacy case in service. The availability of funding is considered by the investment decision authority when determining whether to pursue this service need in competition with all other service needs.
- **Plan for initial investment analysis.** The plan for initial investment analysis: (1) defines scope and assumptions; (2) describes alternatives and their associated rough lifecycle costs and benefits; (3) defines organizational roles and responsibilities; (4) specifies a target schedule; and (5) estimates resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work. This activity includes development of the investment analysis readiness decision package, verification that the key products of concept and requirements definition are complete and high quality, and pre-briefings to decision-makers.
- **Finalize ACAT designation.** The service team prepares the final ACAT determination request based on information generated during concept and requirements definition. The request is submitted to the Acquisition Executive Board for a designation at least one month before the investment analysis readiness decision.

New Content: Acquisition Management Policy:

Section 2.3.4.1 : What Must Be Done

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

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- **Quantify shortfall.** The service organization updates and refines the preliminary shortfall identified during service analysis in sufficient detail to serve as the basis for (1) clearly understanding the nature, urgency, and impact of the service need; (2) defining preliminary requirements; (3) determining realistic and economic alternative solutions; and (4) quantifying likely program costs and benefits.
- **Define solution concept of operations.** The solution concept of operations describes how users will employ the new capability within the operational environment and how it will satisfy service need. It defines the roles and responsibilities of key participants (e.g., controllers, maintenance technicians, pilots); explains operational issues that system engineers must understand when developing requirements; identifies procedural issues that may lead to operational change; and establishes a basis for identifying alternative solutions and estimating their likely costs and benefits. More than one solution concept of operations may be required if proposed alternative solutions differ significantly from each other.
- **Analyze functions.** The service organization works with the appropriate systems engineering organization to translate stakeholder needs in the shortfall analysis, solution concept of operations, and SR-1000 (NAS System Requirements) into high-level functions. These high-level functions are then decomposed sequentially into lower-level sub-functions. A function is an action or activity that needs to be performed to achieve the desired service outcome. This activity establishes the foundation for defining preliminary requirements and alternative solutions.
- **Develop enterprise architecture products.** The service organization engages with the appropriate enterprise architecture organization to develop architecture products and amendments. These include the operational (business rule) and systems (engineering) view families.
- **Assess safety.** The service organization works with NextGen Engineering Services to assess operational safety of the proposed initiative. This assessment supports definition of preliminary safety requirements. The service organization also identifies, assesses, and documents operational hazards and risks associated with potential alternative solutions. No alternative is pursued whose operational risk cannot be mitigated to an acceptable level at affordable cost.
- **Develop preliminary requirements.** The solution CONOPS, functional analysis, shortfall analysis, enterprise architecture products, and operational safety assessment are the foundation for defining preliminary program requirements. Preliminary requirements specify how well the new capability must perform its intended functions. Safety, security, and human factors are key disciplines that must be considered. Preliminary requirements specify only function and performance, and do not define a solution. They must be expressed such that the degree to which different solutions satisfy them can be measured and evaluated. Research and analysis or even prototyping may be necessary to define preliminary requirements adequately.
- **Develop range of alternatives.** Developing a range of distinct alternatives increases the likelihood that the best possible solution will be selected to satisfy the service need. The service organization surveys the marketplace to identify feasible and economic solutions. Both material and non-material alternatives are evaluated. One solution must be the hypothesized "best" alternative in the enterprise architecture. Key factors to consider are safety, operational cost efficiencies, technological maturity, and impact on the workforce

and enterprise architecture. Alternatives should be qualitatively different from each other (e.g., different technologies such as ground-based versus airborne solutions or different acquisition strategies such as developmental versus commercially available). Low risk, cost-effective, and operationally suitable commercial or non-developmental solutions are preferred. Alternatives may not meet 100 percent of preliminary requirements. Technical descriptions are developed for each.

- **Estimate costs and benefits.** Rough lifecycle costs and benefits are developed for each preliminary alternative as a basis for determining whether it should be retained or eliminated from consideration. Rough lifecycle costs and benefits are also calculated for sustaining the legacy case in service. The availability of funding is considered by the investment decision authority when determining whether to pursue this service need in competition with all other service needs.
- **Plan for initial investment analysis.** The plan for initial investment analysis: (1) defines scope and assumptions; (2) describes alternatives and their associated rough lifecycle costs and benefits; (3) defines organizational roles and responsibilities; (4) specifies a target schedule; and (5) estimates resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work. This activity includes development of the investment analysis readiness decision package, verification that the key products of concept and requirements definition are complete and high quality, and pre-briefings to decision-makers.
- **Finalize ACAT designation.** The service team prepares the final acquisition category determination request based on information generated during concept and requirements definition. The request is submitted to the Acquisition Executive Board for a designation at least one month before the investment analysis readiness decision.

Red Line Content: Acquisition Management Policy:

Section 2.3.4.1 : What Must Be Done

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

- **Quantify shortfall.** The service organization updates and refines the preliminary shortfall identified during service analysis in sufficient detail to serve as the basis for (1) clearly understanding the nature, urgency, and impact of the service need; (2) defining preliminary requirements; (3) determining realistic and economic alternative solutions; and (4) quantifying likely program costs and benefits.
- **Define solution concept of operations.** The solution concept of operations describes how users will employ the new capability within the operational environment and how it will satisfy service need. It defines the roles and responsibilities of key participants (e.g., controllers, maintenance technicians, pilots); explains operational issues that system engineers must understand when developing requirements; identifies procedural issues that may lead to operational change; and establishes a basis for identifying alternative

solutions and estimating their likely costs and benefits. More than one solution concept of operations may be required if proposed alternative solutions differ significantly from each other.

- **Analyze functions.** The service organization works with the appropriate systems engineering organization to translate stakeholder needs in the shortfall analysis, solution concept of operations, and SR-1000 (NAS System Requirements) into high-level functions. These high-level functions are then decomposed sequentially into lower-level sub-functions. A function is an action or activity that needs to be performed to achieve the desired service outcome. This activity establishes the foundation for defining preliminary requirements and alternative solutions.
- **Develop enterprise architecture products.** The service organization engages with the appropriate enterprise architecture organization to develop architecture products and amendments. These include the operational (business rule) and systems (engineering) view families.
- **Assess safety.** The service organization works with [the ATO NextGen Systems Engineering and Safety organization Services](#) to assess operational safety of the proposed initiative. This assessment supports definition of preliminary safety requirements. The service organization also identifies, assesses, and documents operational hazards and risks associated with potential alternative solutions. No alternative is pursued whose operational risk cannot be mitigated to an acceptable level at affordable cost.
- **Develop preliminary requirements.** The solution CONOPS, functional analysis, shortfall analysis, [EA enterprise architecture](#) products, and operational safety assessment are the foundation for defining preliminary program requirements. Preliminary requirements specify how well the new capability must perform its intended functions. Safety, security, and human factors are key disciplines that must be considered. Preliminary requirements specify only function and performance, and do not define a solution. They must be expressed such that the degree to which different solutions satisfy them can be measured and evaluated. Research and analysis or even prototyping may be necessary to define preliminary requirements adequately.
- **Develop range of alternatives.** Developing a range of distinct alternatives increases the likelihood that the best possible solution will be selected to satisfy the service need. The service organization surveys the marketplace to identify feasible and economic solutions. Both material and non-material alternatives are evaluated. One solution must be the hypothesized "best" alternative in the enterprise architecture. Key factors to consider are safety, operational cost efficiencies, technological maturity, and impact on the workforce and enterprise architecture. Alternatives should be qualitatively different from each other (e.g., different technologies such as ground-based versus airborne solutions or different acquisition strategies such as developmental versus commercially available). Low risk, cost-effective, and operationally suitable commercial or non-developmental solutions are preferred. Alternatives may not meet 100 percent of preliminary requirements. Technical descriptions are developed for each.
- **Estimate costs and benefits.** Rough lifecycle costs and benefits are developed for each preliminary alternative as a basis for determining whether it should be retained or eliminated from consideration. Rough lifecycle costs and benefits are also calculated for sustaining the legacy case in service. The availability of funding is considered by the

investment decision authority when determining whether to pursue this service need in competition with all other service needs.

- **Plan for initial investment analysis.** The plan for initial investment analysis: (1) defines scope and assumptions; (2) describes alternatives and their associated rough lifecycle costs and benefits; (3) defines organizational roles and responsibilities; (4) specifies a target schedule; and (5) estimates resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work. This activity includes development of the investment analysis readiness decision package, verification that the key products of concept and requirements definition are complete and high quality, and pre-briefings to decision-makers.
 - **Finalize ACAT designation.** The service team prepares the final ~~ACAT~~ acquisition category determination request based on information generated during concept and requirements definition. The request is submitted to the Acquisition Executive Board for a designation at least one month before the investment analysis readiness decision.
-

Section 2.3.4.2 : Outputs and Products

Old Content: Acquisition Management Policy:

Section 2.3.4.2 : Outputs and Products

- Solution concept of operations;
- Preliminary program requirements document;
- Enterprise architecture products and amendments;
- Realistic alternatives with rough cost and benefit estimates;
- Detailed shortfall and functional analyses;
- Safety risk assessment;
- ACAT designation request; and
- Initial investment analysis plan.

The key work products of concept and requirements definition are verified and validated before the investment analysis readiness decision.

New Content: Acquisition Management Policy:

Section 2.3.4.2 : Outputs and Products

- Solution concept of operations;
- Preliminary program requirements document;
- Enterprise architecture products and amendments;
- Realistic alternatives with rough cost and benefit estimates;
- Detailed shortfall and functional analyses;
- Safety risk assessment;
- Acquisition category designation request; and
- Initial investment analysis plan.

The key work products of concept and requirements definition are verified and validated before the investment analysis readiness decision.

Red Line Content: Acquisition Management Policy:

Section 2.3.4.2 : Outputs and Products

- Solution concept of operations;
- Preliminary program requirements document;
- Enterprise architecture products and amendments;
- Realistic alternatives with rough cost and benefit estimates;
- Detailed shortfall and functional analyses;
- Safety risk assessment;
- ~~ACAT~~Acquisition category designation request; and
- Initial investment analysis plan.

The key work products of concept and requirements definition are verified and validated before the investment analysis readiness decision.

Section 2.3.4.3 : Who Does It?

Old Content: Acquisition Management Policy:

Section 2.3.4.3 : Who Does It?

The implementing service organization with the service need leads and is responsible for completion of all activities and outputs and products of concept and requirements definition unless otherwise specified in the CRD plan. Specific roles and responsibilities of participating organizations for each activity and output/product are found in the Service Analysis and Concept and Requirements Definition Guidelines (link)

New Content: Acquisition Management Policy:

Section 2.3.4.3 : Who Does It?

The implementing service organization with the service need leads and is responsible for completion of all activities and outputs and products of concept and requirements definition unless otherwise specified in the concept and requirements definition plan. Specific roles and responsibilities of participating organizations for each activity and output/product are found in the Service Analysis and Concept and Requirements Definition Guidelines.

Red Line Content: Acquisition Management Policy:

Section 2.3.4.3 : Who Does It?

The implementing service organization with the service need leads and is responsible for completion of all activities and outputs and products of concept and requirements definition unless otherwise specified in the concept and CRD requirements definition plan. Specific roles

and responsibilities of participating organizations for each activity and output/product are found in the Service Analysis and Concept and Requirements Definition Guidelines ([link](#)).

Section 2.3.4.4 : Who Approves?

Old Content: Acquisition Management Policy:

Section 2.3.4.4 : Who Approves?

The key work products of concept and requirements definition must be verified and validated according to FAA V&V guidance and standards before submission for approval. Approval authorities are found in the Service Analysis and Concept and Requirements Definition Guidelines ([link](#)).

New Content: Acquisition Management Policy:

Section 2.3.4.4 : Who Approves?

The key work products of concept and requirements definition must be verified and validated according to FAA verification and validation guidance and standards before submission for approval. Approval authorities are found in the Service Analysis and Concept and Requirements Definition Guidelines.

Red Line Content: Acquisition Management Policy:

Section 2.3.4.4 : Who Approves?

The key work products of concept and requirements definition must be verified and validated according to FAA ~~V&V~~^{#160}; ~~V~~^{verification and validation} guidance and standards before submission for approval. Approval authorities are found in the Service Analysis and Concept and Requirements Definition Guidelines ([link](#)).

Section 2.3.5 : Investment Analysis Readiness Decision

Old Content: Acquisition Management Policy:

Section 2.3.5 : Investment Analysis Readiness Decision

The investment analysis readiness decision determines whether the concept of use, preliminary requirements, enterprise architecture products and amendments, and preliminary alternatives are sufficiently defined to warrant entry into investment analysis. The decision is made within context of all ongoing and planned investment activities to sustain and improve service delivery. It ensures proposals are consistent with overall corporate needs and planning.

New Content: Acquisition Management Policy:

Section 2.3.5 : Investment Analysis Readiness Decision

The investment analysis readiness decision determines whether the concept of use, preliminary requirements, enterprise architecture products and amendments, and preliminary alternatives are sufficiently defined to warrant entry into investment analysis. The decision is made within context of all ongoing and planned investment activities to sustain and improve service delivery. It ensures proposals are consistent with overall corporate needs and planning.

Red Line Content: Acquisition Management Policy:
Section 2.3.5 : Investment Analysis Readiness Decision

The investment analysis readiness decision determines whether the concept of use, preliminary requirements, enterprise architecture products and amendments, and preliminary alternatives are sufficiently defined to warrant entry into investment analysis. The decision is made within context of all ongoing and planned investment activities to sustain and improve service delivery. It ensures proposals are consistent with overall corporate needs and planning.

Section 2.3.5.2 : Investment Decision Authority Actions

Old Content: Acquisition Management Policy:
Section 2.3.5.2 : Investment Decision Authority Actions

The investment decision authority (see Table 1.2.5.1):

- Makes the decision to enter investment analysis.

New Content: Acquisition Management Policy:
Section 2.3.5.2 : Investment Decision Authority Actions

The investment decision authority:

- Makes the decision to enter investment analysis.

Red Line Content: Acquisition Management Policy:
Section 2.3.5.2 : Investment Decision Authority Actions

The investment decision authority (~~see Table 1.2.5.1~~):

- Makes the decision to enter investment analysis.

Section 2.4 : Investment Analysis

Old Content: Acquisition Management Policy:
Section 2.4 : Investment Analysis

Investment analysis is a disciplined process that supports sound capital investment decisions. Investment analysis is conducted in the context of the enterprise architecture, as well as FAA strategic goals and objectives. Such plans serve as guides to prioritize ongoing investment analyses. In turn, results help to refine and mature those plans by providing decision-makers with a clear picture of investment opportunities and their risks and value.

NAS and non-NAS roadmaps in the enterprise architecture establish when an operational capability must be in place. This, in turn, determines when investment analysis should be complete to allow sufficient time to acquire and deploy a suitable solution. The key is to balance the timeliness of the analysis with the rigorous development of quantitative data needed by the investment decision authority to make an informed investment decision.

Affordability and accurate cost and schedule estimates are important factors in the decision to approve a new investment program. The results of investment analysis help FAA investment decision authorities determine which potential investments will improve operations across the air transportation system and by how much. The outcome of investment analysis can be used to make individual, portfolio, and prioritization decisions.

If a nonmaterial solution emerges during investment analysis it may be implemented without proceeding further in the lifecycle management process, if it meets the following criteria:

- Satisfies the need;
- Can be achieved within approved budgets; and
- Operationally acceptable to the user.

This determination is made by the Vice President or Director of the service organization with the mission need with the concurrence of the appropriate enterprise architecture control board.

New Content: Acquisition Management Policy:
Section 2.4 : Investment Analysis

Investment analysis is a disciplined process that supports sound capital investment decisions. Investment analysis is conducted in the context of the enterprise architecture, as well as FAA strategic goals and objectives in Destination 2025. Such plans serve as guides to prioritize ongoing investment analyses. In turn, results help to refine and mature those plans by providing decision-makers with a clear picture of investment opportunities and their risks and value.

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Red Line Content: Acquisition Management Policy:
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~~board~~ Architecture Board.

Section 2.4.1 : What Must Be Done

Old Content: Acquisition Management Policy:

Section 2.4.1 : What Must Be Done

All proposed investments must answer the same basic questions:

- What is the problem that needs to be addressed or resolved?
- What is the range of alternatives that could address this problem?
- What are the costs, benefits, and risks associated with each alternative?
- Based on the above, what is the recommended course of action?

Figure 2.4-1 illustrates the phases and decision points of investment analysis. Initial investment analysis evaluates alternative solutions to service needs, and recommends the most promising for further development. Final investment analysis develops detailed cost and benefits estimates, detailed plans, and final requirements for the most promising alternative.

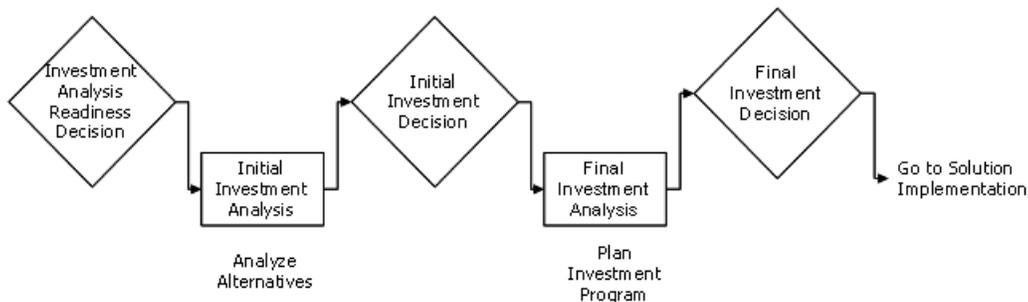


Figure 2.4-1 Phases and Decision Points of Investment Analysis

The scale of activities required during investment analysis is based on the acquisition category (ACAT) assigned to the investment opportunity. In general, the larger and more complex an investment, the greater the level of effort required during investment analysis.

Very complex investment programs are structured into manageable, lower-risk segments and approved incrementally by the investment decision authority. When sequential segments are required to fully implement an investment opportunity, the service organization conducts final investment analysis for each segment and brings planning and baseline documents to the investment decision authority for approval.

Figure 2.4-2 defines the key activities that must be completed during initial investment analysis.

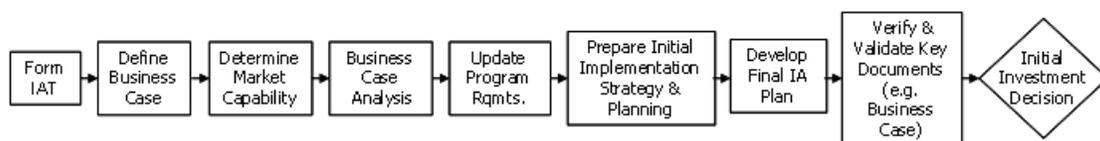


Figure 2.4-2 Key Activities of Initial Investment Analysis

Figure 2.4-3 defines the key activities that must be completed during final investment analysis.

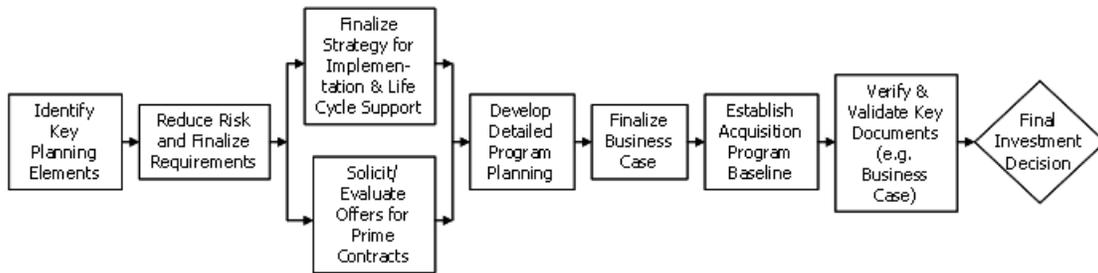


Figure 2.4-3 Key Activities of Final Investment Analysis

Detailed guidance is located at: <http://fast.faa.gov/InvestmentAnalysis.cfm>. In all cases, organizations conducting investment analysis shall apply the standard processes and guidelines located in the investment analysis section of FAST.

New Content: Acquisition Management Policy: Section 2.4.1 : What Must Be Done

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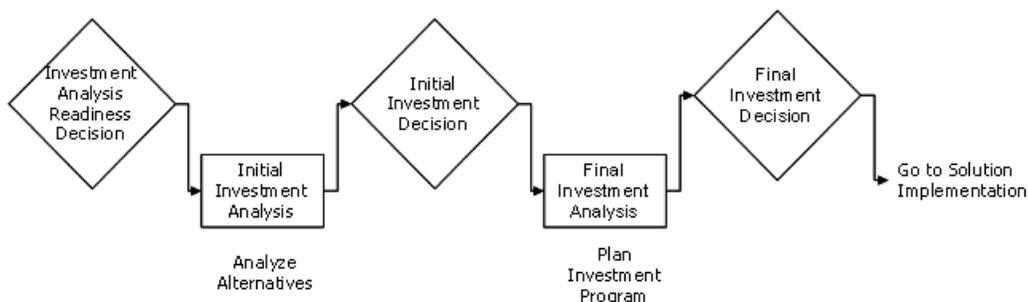


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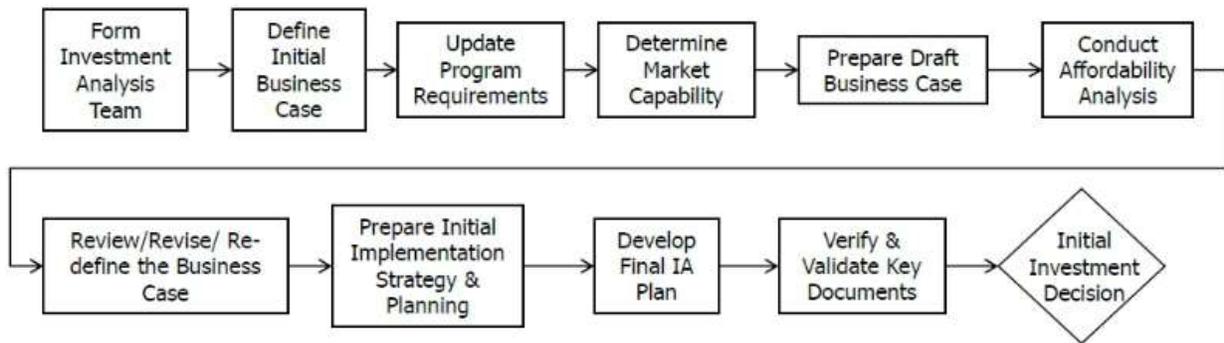


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Figure 2.4-3 defines the key activities that must be completed during final investment analysis.

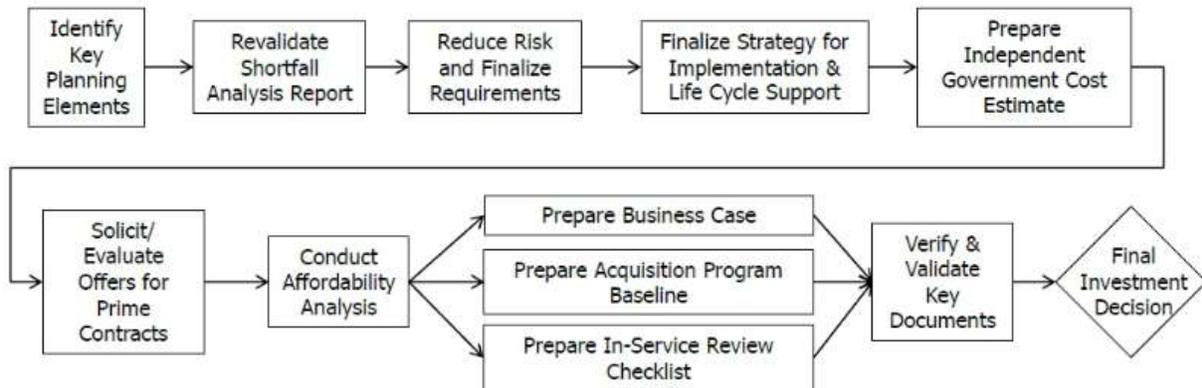


Figure 2.4-3 Key Activities of Final Investment Analysis

Note: Flowcharts depict activities for new investments; other investment types may require only a subset of these activities.

Detailed guidance is located at: <http://fast.faa.gov/InvestmentAnalysis.cfm>. In all cases, organizations conducting investment analysis shall apply the standard processes and guidelines located in the investment analysis section of FAST.

**Red Line Content: Acquisition Management Policy:
Section 2.4.1 : What Must Be Done**

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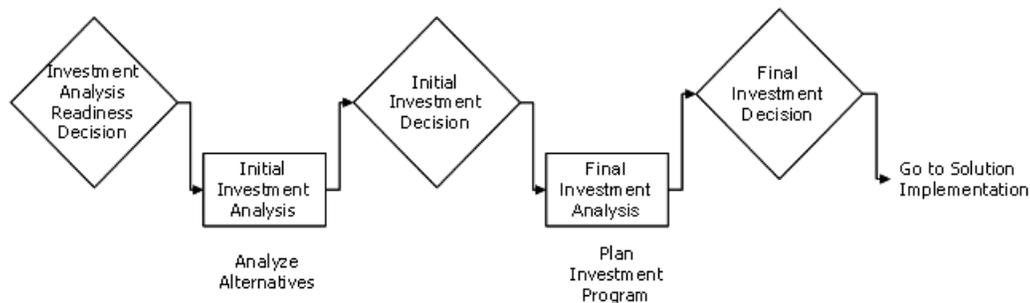


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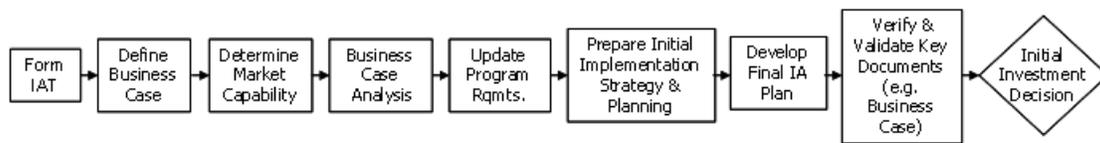


Figure 2.4-2 Key Activities of Initial Investment Analysis

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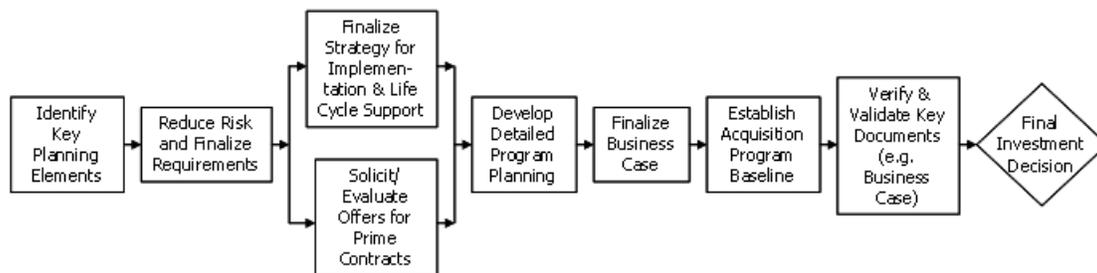


Figure 2.4-3 Key Activities of Final Investment Analysis

Detailed guidance is located at: <http://fast.faa.gov/InvestmentAnalysis.cfm>. In all cases, organizations conducting investment analysis shall apply the standard processes and guidelines located in the investment analysis section of FAST.

Section 2.4.3 : Who Does It?

Old Content: Acquisition Management Policy:

Section 2.4.3 : Who Does It?

Investment analysis is a collaborative process. Analyses are performed by investment analysis teams that include representatives from key stakeholder organizations. Team membership is flexible, depending on the needs of the analysis, but should include the full range of skills and expertise required to undertake the work. Teams typically include system, technical, specialty engineering and operational subject-matter experts, and business analysts (benefits, cost, etc.). The implementing service organization normally leads the investment analysis team.

The Investment Planning and Analysis (IP&A) organization provides standards, guidance, training, and consulting services to ensure consistency in the conduct of investment analyses. IP&A analysts also serve as members of investment analysis teams and, as appropriate, lead, conduct, and review business case analyses. IP&A performs verification and validation of the business case. AFC-300 performs these services for ITEB programs.

Stakeholder participation is important throughout investment analysis since stakeholder support for the approved solution at the initial investment decision is key to program success. Coordination with stakeholders is the responsibility of the implementing service organization.

New Content: Acquisition Management Policy:
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Investment Planning and Analysis (IP&A) provides standards, guidance, training, and consulting services to ensure consistency in the conduct of investment analyses. IP&A analysts serve as members of investment analysis teams and, as appropriate, lead, conduct, and review business case analyses. IP&A performs verification and validation of the business case for both NAS and non-NAS investments.

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Red Line Content: Acquisition Management Policy:
Section 2.4.3 : Who Does It?

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Stakeholder participation is important throughout investment analysis since stakeholder support for the approved solution at the initial investment decision is key to program success. Coordination with stakeholders is the responsibility of the implementing service organization.

Section 2.4.4 : Who Approves?

Old Content: Acquisition Management Policy:

Section 2.4.4 : Who Approves?

The investment decision authority is determined by ACAT level and can be found at:
<http://fast.faa.gov/docs/acqcattable.xls>.

In making investment decisions, the IDA uses the following standard selection criteria:

- Lifecycle costs;
- Benefits;
- Risk;
- Benefit to cost ratio;
- Consistency with the enterprise architecture; and
- Impact on FAA strategic goals.

New Content: Acquisition Management Policy:

Section 2.4.4 : Who Approves?

The approval authorities for the products of investment analysis are found in AMS Appendix B, Acquisition Planning and Control Documents.

Red Line Content: Acquisition Management Policy:

Section 2.4.4 : Who Approves?

The ~~investment decision authority~~**approval** ~~is determined by ACAT level and can be~~**authorities** ~~found at: <http://fast.faa.gov/docs/acqcattable.xls>.~~ ~~In~~ ~~making investment decisions~~**AMS Appendix B**, the IDA uses **Acquisition** the following standard selection criteria: Lifecycle costs; Benefits; Risk; Benefit to cost ratio; Consistency with **Planning** the enterprise architecture; and Impact on **Control** FAA strategic goals **Documents**.

Section 2.4.4.1 : Initial Investment Decision

Old Content: Acquisition Management Policy:

Section 2.4.4.1 : Initial Investment Decision

The required work products of initial investment analysis must be verified and validated according to FAA V&V guidance prior to the initial investment decision. At the initial investment decision, the investment decision authority selects the best alternative for implementation or rejects all alternatives and specifies what action is needed next.

If the IDA approves an alternative, it:

- Selects an alternative for implementation;
- Approves entry into final investment analysis;
- Approves funding for any analytical or developmental work related to the selected alternative; and
- Designates a service organization to lead final investment analysis and be responsible for solution implementation.

Alternatives can be rejected if the technology is not mature enough or when requirements are not well-defined. If rejected, the IDA can approve such actions as research, further analysis, development, or terminate the investment.

**New Content: Acquisition Management Policy:
Section 2.4.4.1 : Initial Investment Decision**

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Alternatives can be rejected if the technology is not mature enough or when requirements are not well-defined. If rejected, the investment decision authority can approve such actions as research, further analysis, development, or terminate the investment.

The investment decision authority uses the following standard selection criteria when making the investment decision:

- Lifecycle costs;
- Benefits;
- Risk;
- Benefit to cost ratio;
- Consistency with the FAA enterprise architecture; and
- Impact on FAA strategic goals.

**Red Line Content: Acquisition Management Policy:
Section 2.4.4.1 : Initial Investment Decision**

The required work products of initial investment analysis must be verified and validated according to FAA ~~V&V~~^{#160}; Verification and validation guidance prior to the initial investment decision. At the initial investment decision, the investment decision authority selects the best alternative for implementation or rejects all alternatives and specifies what action is needed next.

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The investment decision authority uses the following standard selection criteria when making the investment decision:

- *Lifecycle costs;*
- *Benefits;*
- *Risk;*
- *Benefit to cost ratio;*
- *Consistency with the FAA enterprise architecture; and*
- *Impact on FAA strategic goals.*

Section 2.4.4.2 : Final Investment Decision

Old Content: Acquisition Management Policy:

Section 2.4.4.2 : Final Investment Decision

The required work products of final investment analysis must be verified and validated according to FAA V&V guidance prior to the final investment decision. The investment decision authority makes the final investment decision. If the IDA disapproves the recommendation, it returns the investment package with specific instructions for further work or terminates the effort. If the IDA accepts the recommendations, it:

- Approves the investment program for implementation and delegates responsibility to the appropriate service organization;
- Approves the final program requirements document, final business case, and the implementation strategy and planning document;
- Approves the acquisition program baseline;

- Commits the FAA to funding the program segment, as specified in the acquisition program baseline;
- Approves updated enterprise architecture products and amendments; and
- Approves adjustments to FAA plans and budgets to reflect the investment decision.

Before the IDA approves documents at the initial or final investment decisions, they require approval from other officials, as can be found in the [AMS policy section on acquisition planning and control documents](#).

**New Content: Acquisition Management Policy:
Section 2.4.4.2 : Final Investment Decision**

The required work products of final investment analysis must be verified and validated according to FAA verification and validation guidance prior to the final investment decision.

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Before the [IDA investment decision authority](#) approves documents at the initial or final investment decisions, ~~they~~[the documents](#) require approval from other officials, as can be found in the [AMS policy section on acquisition planning and control documents](#).

Section 2.5 : Solution Implementation

Old Content: [Acquisition Management Policy](#):

Section 2.5 : Solution Implementation

Solution implementation begins at the final investment decision when the investment decision authority approves and funds an investment program or segment, establishes the acquisition program baseline for variance tracking, and authorizes the service organization to proceed with implementation. Solution implementation ends when a new service or capability is commissioned into operational use at all sites.

Detailed program planning, including the solicitation and evaluation of offers for prime contract(s), occurs during final investment analysis and before the final investment decision. This ensures accurate contract costs, risks, and schedules are reflected in the acquisition program baseline and program planning documents. These plans and baselines are revalidated, and updated if necessary, after contract award to ensure they can realistically serve as the management construct for program implementation. They are kept current throughout solution implementation.

The overarching goal of solution implementation is to satisfy requirements documented in the final requirements document and achieve the benefit targets in the business case analysis report. To achieve this, the service organization must work with users and stakeholders throughout solution implementation to resolve issues as they arise. Actions outside the direct control of the service organization (e.g., regulatory changes) are recorded in the implementation strategy and planning document and tracked at program reviews throughout solution implementation.

The activities undertaken during solution implementation vary widely and are tailored for the solution or capability being implemented. FAST contains tailored process flowcharts for representative types of investment program (systems and software, facilities, services). These flowcharts identify actions and activities the service organization may need to execute to achieve projected capability, value, and benefits. Instructions, templates, best practices, good examples, and lessons-learned are attached to many activities in the flowcharts to assist lifecycle

management specialists as they plan and execute activities that make sense for their investment program.

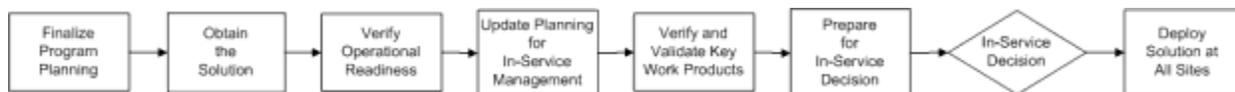
Although service organizations are empowered to implement investment programs and manage them over their lifecycle, they must adhere to built-in checks and balances. The acquisition program baseline establishes the performance, cost, schedule boundaries within which the service organization is authorized to operate. The service organization must report all negatives variance from cost, schedule, and performance baseline measures and undertake corrective action in accordance with AMS Section 1.2.3. The assessment of critical performance requirements must be regularly reported during solution implementation and at completion.

The service organization monitors cost, schedule, and performance status against targets in the acquisition program baseline on a continuing basis, and takes corrective action when variances from planning objectives arise. The service organization also reports program status at service-level reviews. The focus of these reviews is to identify high-risk issues requiring resolution and to ensure all actions necessary to achieve projected value and benefits are being executed satisfactorily, particularly those outside the control of the service organization. The service organization applies the principles of earned value management to development, modernization, and enhancement investment programs, and when applicable, uses audits to ensure contract costs are proper and allowable.

The service organization captures expenditures consistent with the program baseline work breakdown structure fashioned during final investment analysis.

Solution implementation is organized into the seven sets of activity shown in Figure 2.5-1. These activities are tailored to the special requirements of each investment program.

Figure 2.5-1 Primary Activities of Solution Implementation



Note: The activity flow diagram specifies what must be done during solution implementation. The scope and order of work may be adjusted for each investment initiative.

**New Content: Acquisition Management Policy:
Section 2.5 : Solution Implementation**

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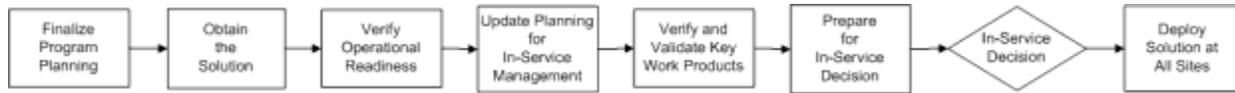
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The service organization monitors cost, schedule, and performance status against targets in the acquisition program baseline on a continuing basis, and takes corrective action when variances from planning objectives arise. The service organization also reports program status at service-level reviews and quarterly acquisition reviews. The focus of these reviews is to identify high-risk issues requiring resolution and to ensure all actions necessary to achieve projected value and benefits are being executed satisfactorily, particularly those outside the control of the service organization. The service organization applies the principles of earned value management to development, modernization, and enhancement investment programs, and when applicable, uses audits to ensure contract costs are proper and allowable.

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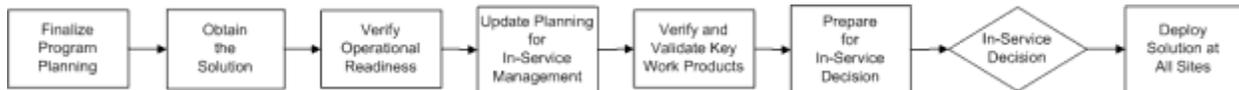
Although service organizations are empowered to implement investment programs and manage them over their lifecycle, they must adhere to built-in checks and balances. The acquisition program baseline establishes the performance, cost, schedule boundaries within which the service organization is authorized to operate. The service organization must report all negatives variance from cost, schedule, and performance baseline measures and undertake corrective action in accordance with AMS Section 1.2.3. The assessment of critical performance requirements must be regularly reported during solution implementation and at completion.

The service organization monitors cost, schedule, and performance status against targets in the acquisition program baseline on a continuing basis, and takes corrective action when variances from planning objectives arise. The service organization also reports program status at service-level reviews and quarterly acquisition reviews. The focus of these reviews is to identify high-risk issues requiring resolution and to ensure all actions necessary to achieve projected value and benefits are being executed satisfactorily, particularly those outside the control of the service organization. The service organization applies the principles of earned value management to development, modernization, and enhancement investment programs, and when applicable, uses audits to ensure contract costs are proper and allowable.

The service organization captures expenditures consistent with the program baseline work breakdown structure fashioned during final investment analysis.

Solution implementation is organized into the seven sets of activity shown in Figure 2.5-1. These activities are tailored to the special requirements of each investment program.

Figure 2.5-1 Primary Activities of Solution Implementation



Note: The activity flow diagram specifies what must be done during solution implementation. The scope and order of work may be adjusted for each investment initiative.

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 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.
- **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 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.

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

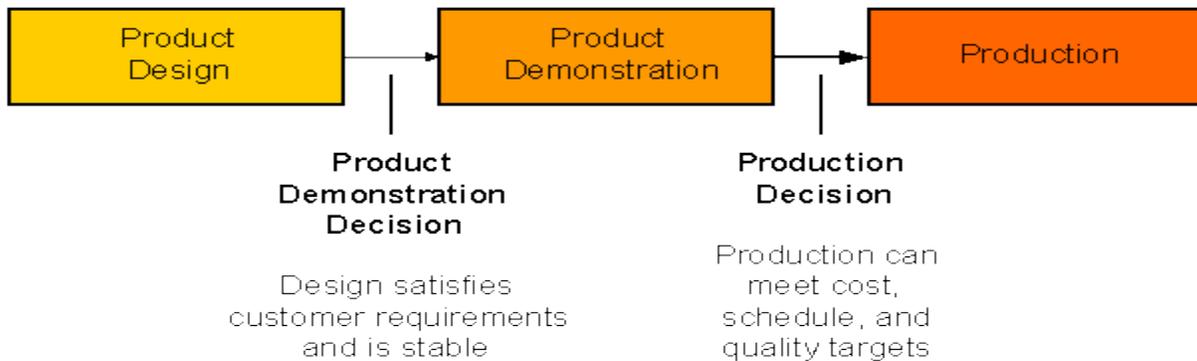


Table 2.5.1-1 Product Development Decision Points, Timing, Criteria, and Authority

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"> • Key product characteristics are defined • Stakeholders agree that product design and functionality satisfy program requirements • System design reviews are complete • Engineering drawings are complete • Detailed software/firmware design is complete, including critical software processes and threads • RMA goals are defined and planning is complete • Failure modes and effects analysis is complete • Critical manufacturing processes are identified
Production Decision	After completion of operational	Vice President or Director of the	<ul style="list-style-type: none"> • First-article satisfies program requirements in an operational environment

	testing	implementing service organization *	<ul style="list-style-type: none"> • Data demonstrate that critical manufacturing processes and components will achieve RMA goals • First-article achieves contract RMA requirements • Stakeholders agree design is producible
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* 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.
- **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.
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- **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 independent operational assessment 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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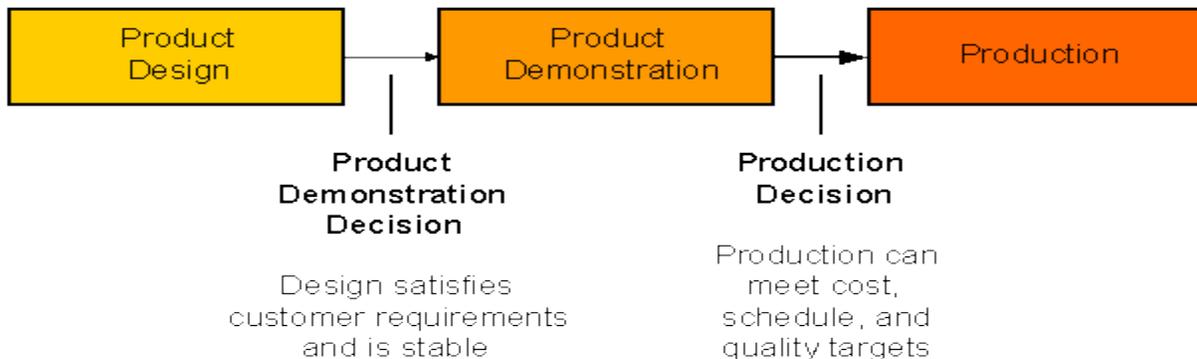


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Production Decision	After completion of operational testing	Vice President or Director of the implementing service organization *	<ul style="list-style-type: none"> • First-article satisfies program requirements in an operational environment • Data demonstrate that critical manufacturing processes and components will achieve RMA goals • First-article achieves contract RMA requirements • Stakeholders agree design is producible

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

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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 independent operational assessment](#) 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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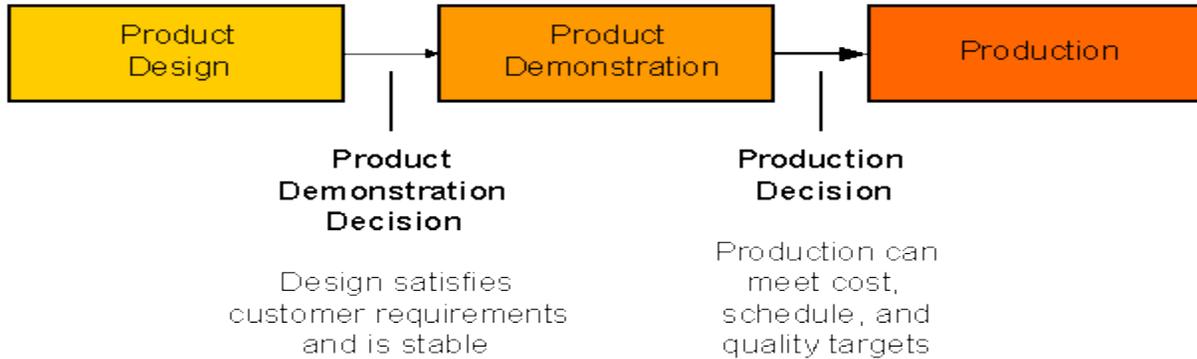


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Section 2.5.2 : Outputs and Products

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 (including program requirements and designated specifications), 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 by fully addressing requirements in the final program requirements document. 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 (including status of critical performance requirements);
- Contracts that achieve investment objectives (i.e., cost, schedule, performance, and benefits);
- Successful operational test and evaluation including a final report on the status of critical operational issues and requirements in the final program requirements document, and passing status of critical performance requirements;
- Successful IOA and 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
- Service-level review reports.

New Content: Acquisition Management Policy:

Section 2.5.2 : Outputs and Products

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- Successful independent operational assessment and report for designated programs;
- In-service decision, including the in-service decision 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.

Red Line Content: Acquisition Management Policy:

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- Contracts that achieve investment objectives (i.e., cost, schedule, performance, and benefits);
- Successful operational test and evaluation including a final report on the status of critical operational issues and requirements in the final program requirements document, and passing status of critical performance requirements;
- Successful ~~IOA~~ independent and IOA operational assessment and report for designated programs;
- In-service decision, including the in-service decision (~~HSD~~) 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.

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 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.

**New 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.

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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 independent operational assessment readiness declaration. The Director of Independent Operational Assessment evaluates operational readiness of the product and reports findings to the in-service decision authority.

The Information Technology Shared Services Committee annually reviews OMB Exhibit 300s for designated programs as part of the annual budget process. During this process, the AIO Information Technology Program and Portfolio organization 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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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.

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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~~in-service decision authority with all issues and concerns identified during solution implementation up to and including the in-service decision.

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Section 2.6 : In-Service Decision

Old Content: Acquisition Management Policy:

Section 2.6 : In-Service Decision

The in-service decision (ISD) authorizes deployment of a solution into the operational environment. It occurs after demonstration of initial operational capability at the key test site(s) and before initial operational capability at any non-key site or waterfall facility. The decision is made following completion of joint acceptance and inspection by the operating service organization and the certification of compliance with testing, information security, and safety requirements. It establishes the foundation for operational readiness to be declared at subsequent sites. The ISD uses results from test and evaluation that report on the verification and validation of performance requirements, critical performance requirements, critical operational issues, and operational readiness (e.g., safety, effectiveness, and usability). The in-service review (ISR) checklist is used by the service organization to identify and resolve readiness issues before the ISD and to obtain concurrence from stakeholder organizations.

The Investment Decision Authority is the ISD authority. At the final investment decision, the Investment Decision Authority may delegate ISD authority to appropriate FAA officials. For any solutions or products that affect multiple organizations, a joint ISD authority may be designated. This decision is documented in the final investment record of decision.

Depending on the implementation strategy of the solution (e.g., phased implementation, segments, multiple releases, several smaller programs executed separately as a part of one solution), multiple ISDs may be required to ensure the operational readiness of each specific component of the overall solution. The ISD strategy is developed by the service team with help from the ISD Executive Secretariat, approved by the Investment Decision Authority and documented in the implementation strategy and planning document. Follow-on revisions to the ISD strategy must be approved by the ISD authority.

The ISD is recorded in the record of decision. ISD action plans for resolving remaining operational readiness issues are included as an attachment to the record of decision. Status of ISD action plans is tracked and reported to the ISD Executive Secretariat until all issues are resolved. Once all action plans are satisfactorily completed, the ISD Executive Secretariat provides a close-out memorandum.

New Content: Acquisition Management Policy:

Section 2.6 : In-Service Decision

The in-service decision (ISD) authorizes deployment of a solution into the operational environment. It occurs after demonstration of initial operational capability at the key test site(s)

and before initial operational capability at any non-key site or waterfall facility. The decision is made following completion of joint acceptance and inspection by the operating service organization and the certification of compliance with testing, information security, and safety requirements. It establishes the foundation for operational readiness to be declared at subsequent sites. The ISD uses results from test and evaluation that report on the verification and validation of performance requirements, critical performance requirements, critical operational issues, and operational readiness (e.g., safety, effectiveness, and usability). The in-service review (ISR) checklist is used by the service organization to identify and resolve readiness issues before the ISD and to obtain concurrence from stakeholder organizations.

The investment decision authority is the ISD authority. At the final investment decision, the investment decision authority may delegate ISD authority to appropriate FAA officials. For any solutions or products that affect multiple organizations, a joint ISD authority may be designated. This decision is documented in the final investment record of decision.

Depending on the implementation strategy of the solution (e.g., phased implementation, segments, multiple releases, several smaller programs executed separately as a part of one solution), multiple ISDs may be required to ensure the operational readiness of each specific component of the overall solution. The ISD strategy is developed by the service team with help from the ISD Executive Secretariat, approved by the investment decision authority and documented in the implementation strategy and planning document. Follow-on revisions to the ISD strategy must be approved by the ISD authority.

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**Red Line Content: Acquisition Management Policy:
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Section 2.7.1 : What Must Be Done

Old Content: Acquisition Management Policy:

Section 2.7.1 : What Must Be Done

- **Deliver air traffic control and other business services.** This is done using infrastructure, procedures, personnel, and other assets as assigned and funded.
- **Sustain services within baseline values.** Management and engineering actions throughout in-service management sustain and improve service delivery, correct deviations from cost and performance standards, and improve quality. These actions include modifications to hardware and software to solve latent or discovered technical problems, process changes to improve performance, planned block upgrades and product improvements, and sustainment actions that lower operating costs. It involves the management of personnel, information systems, money, logistics support, spare parts, technical resources, and other assigned assets. Management techniques include fiscal and workforce planning, contract award and administration, fiscal and program control, and process management to achieve cost, performance, and benefit objectives. All modifications to fielded assets must be in accordance with the enterprise architecture. If a planned modification requires a change to the architecture, appropriate amendments and products must be developed and approved.
- **Evaluate performance and customer expectations.** Post implementation review(s) at deployment sites help to determine whether performance and benefits are being achieved. When projections are not being realized, corrective action is planned and implemented. Periodic operational evaluations of fielded assets continue throughout in-service management to identify performance shortfalls, determine trends in the cost of

ownership, identify adverse support trends, and solve systemic operational or support problems. These evaluations are the basis for revalidating the merit of sustaining investment assets or the need for other action. Findings are fed back into service analysis, where it is determined whether to continue to sustain existing assets or recommend new investments to solve systemic operational problems in the service environment.

- **Prioritize opportunities for operational funding.** Service organizations participate in cross-organizational planning to review, integrate, and prioritize the allocation of operational resources to fielded services and assets. This objective is to continue support for high-ranking service needs and reduce or terminate support for low-value or redundant assets. Recommendations are presented to the Joint Resources Council for approval.
- **Support service delivery.** This includes corrective and preventive maintenance, supply support, second-level engineering, depot-level repair, modification of hardware and software to improve performance, test and support equipment, and transportation of supplies.
- **Sustain in-service support.** Any modification to fielded assets (e.g., block upgrade, planned product improvement, problem correction) must be accompanied by concomitant changes to key elements of the support infrastructure such as training, documentation, spare parts, and engineering support. This includes development, attrition, and refresher training for personnel who directly operate, maintain, or provide support functions.
- **Update the OMB Exhibit 300 for annual budget cycle (designated programs only).** Annual updates reflect program changes and move the budget submission forward one year. The OMB Exhibit 300 must continue to achieve a passing score from the Office of Management and Budget.
- **Update in-service management planning documents.** Service organizations review and update in-service planning documents as needed.
- **Execute emergency sustainment actions.** This includes planning for contingency and emergency responses. Highest priority services are sustained even if performance goals for lower priority services cannot be met.
- **Maintain physical, personnel, and information security at all FAA facilities.** This includes environmental threat and facility assessment and accreditation in accordance with FAA internal security planning.
- **Sustain the physical infrastructure.** Resources are planned and allocated to sustain utilities, buildings, grounds, structures, roads, telecommunications, handling of hazardous materials, lightning protection, bonding, grounding, heating, cooling, and special access.
- **Acquire, manage, and dispose of property.** This applies to FAA-owned and leased properties, as well as to non-federal facilities with external sponsors. This activity may involve the purchase or lease of buildings, structures, and grounds, as well as removal and disposal of no longer used equipment, systems, services, products, facilities, real property, and resources. Removal and disposal includes decommissioning, dismantling, and demolishing of systems and equipment; restoring sites including environmental cleanup and disposal of hazardous materials; disposing of government property; recovering precious metals; and reusing surplus assets.
- **Manage and control configuration of all services and service components.** This includes the submission of NAS change proposals to the appropriate approval board to baseline, install, and manage changes to NAS systems, software, and equipment.

Coordination with the appropriate systems engineering organization is necessary to ensure changes are compatible with and reflected in the enterprise architecture.

- **Verify and validate key work products and products.** The service organization incrementally verifies and validates key work products and products of in-service management, including NAS change proposals (includes actual changes/improvements to products and product components) and system support directives. In addition, key work products and products that originated in other phases of the lifecycle, but are modified during in-service management are also subject to V&V for the modified content. Verification and validation activity supports decisions to implement and deploy procedural or product improvements.
- **Sustain flight inspections, aircraft certification, and regulatory requirements.** This pertains to all safety-related quality assurance actions, including establishing safety standards for operations, monitoring safety performance, issuing and maintaining certificates and licenses, and developing and revalidating procedures such as approach and landing procedures.

New Content: Acquisition Management Policy:

Section 2.7.1 : What Must Be Done

- **Deliver air traffic control and other business services.** This is done using infrastructure, procedures, personnel, and other assets as assigned and funded.
- **Sustain services.** Management and engineering actions throughout in-service management sustain and improve service delivery, correct deviations from cost and performance standards, and improve quality. These actions include modifications to hardware and software to solve latent or discovered technical problems, process changes to improve performance, planned block upgrades and product improvements, and sustainment actions that lower operating costs. It involves the management of personnel, information systems, money, logistics support, spare parts, technical resources, and other assigned assets. Management techniques include fiscal and workforce planning, contract award and administration, fiscal and program control, and process management to achieve cost, performance, and benefit objectives. All modifications to fielded assets must be in accordance with the enterprise architecture. If a planned modification requires a change to the architecture, appropriate amendments and products must be developed and approved.
- **Evaluate performance and customer expectations.** Post implementation review(s) at deployment sites help to determine whether performance and benefits are being achieved. When projections are not being realized, corrective action is planned and implemented. Periodic operational evaluations of fielded assets continue throughout in-service management to identify performance shortfalls, determine trends in the cost of ownership, identify adverse support trends, and solve systemic operational or support problems. These evaluations are the basis for revalidating the merit of sustaining investment assets or the need for other action. Findings are fed back into service analysis, where it is determined whether to continue to sustain existing assets or recommend new investments to solve systemic operational problems in the service environment.
- **Prioritize opportunities for operational funding.** Service organizations participate in cross-organizational planning to review, integrate, and prioritize the allocation of

operational resources to fielded services and assets. This objective is to continue support for high-ranking service needs and reduce or terminate support for low-value or redundant assets. Recommendations are presented to the Joint Resources Council for approval.

- **Support service delivery.** This includes corrective and preventive maintenance, supply support, second-level engineering, depot-level repair, modification of hardware and software to improve performance, test and support equipment, and transportation of supplies.
- **Sustain in-service support.** Any modification to fielded assets (e.g., block upgrade, planned product improvement, problem correction) must be accompanied by concomitant changes to key elements of the support infrastructure such as training, documentation, spare parts, and engineering support. This includes development, attrition, and refresher training for personnel who directly operate, maintain, or provide support functions.
- **Update the OMB Exhibit 300 for annual budget cycle (designated programs only).** Annual updates reflect program changes and move the budget submission forward one year. The OMB Exhibit 300 must continue to achieve a passing score from the Office of Management and Budget.
- **Update in-service management planning documents.** Service organizations review and update in-service planning documents as needed.
- **Execute emergency sustainment actions.** This includes planning for contingency and emergency responses. Highest priority services are sustained even if performance goals for lower priority services cannot be met.
- **Maintain physical, personnel, and information security at all FAA facilities.** This includes environmental threat and facility assessment and accreditation in accordance with FAA internal security planning.
- **Sustain the physical infrastructure.** Resources are planned and allocated to sustain utilities, buildings, grounds, structures, roads, telecommunications, handling of hazardous materials, lightning protection, bonding, grounding, heating, cooling, and special access.
- **Acquire, manage, and dispose of property.** This applies to FAA-owned and leased properties, as well as to non-federal facilities with external sponsors. This activity may involve the purchase or lease of buildings, structures, and grounds, as well as removal and disposal of no longer used equipment, systems, services, products, facilities, real property, and resources. Removal and disposal includes decommissioning, dismantling, and demolishing of systems and equipment; restoring sites including environmental cleanup and disposal of hazardous materials; disposing of government property; recovering precious metals; and reusing surplus assets.
- **Manage and control configuration of all services and service components.** This includes the submission of NAS change proposals to the appropriate approval board to baseline, install, and manage changes to NAS systems, software, and equipment. Coordination with the appropriate systems engineering organization is necessary to ensure changes are compatible with and reflected in the enterprise architecture.
- **Verify and validate key work products and products.** The service organization incrementally verifies and validates key work products and products of in-service management, including NAS change proposals (includes actual changes/improvements to products and product components) and system support directives. In addition, key work products and products that originated in other phases of the lifecycle, but are modified

during in-service management are also subject to verification and validation for the modified content. Verification and validation activity supports decisions to implement and deploy procedural or product improvements.

- **Sustain flight inspections, aircraft certification, and regulatory requirements.** This pertains to all safety-related quality assurance actions, including establishing safety standards for operations, monitoring safety performance, issuing and maintaining certificates and licenses, and developing and revalidating procedures such as approach and landing procedures.

Red Line Content: Acquisition Management Policy:

Section 2.7.1 : What Must Be Done

- **Deliver air traffic control and other business services.** This is done using infrastructure, procedures, personnel, and other assets as assigned and funded.
- **Sustain services ~~within baseline values~~.** Management and engineering actions throughout in-service management sustain and improve service delivery, correct deviations from cost and performance standards, and improve quality. These actions include modifications to hardware and software to solve latent or discovered technical problems, process changes to improve performance, planned block upgrades and product improvements, and sustainment actions that lower operating costs. It involves the management of personnel, information systems, money, logistics support, spare parts, technical resources, and other assigned assets. Management techniques include fiscal and workforce planning, contract award and administration, fiscal and program control, and process management to achieve cost, performance, and benefit objectives. All modifications to fielded assets must be in accordance with the enterprise architecture. If a planned modification requires a change to the architecture, appropriate amendments and products must be developed and approved.
- **Evaluate performance and customer expectations.** Post implementation review(s) at deployment sites help to determine whether performance and benefits are being achieved. When projections are not being realized, corrective action is planned and implemented. Periodic operational evaluations of fielded assets continue throughout in-service management to identify performance shortfalls, determine trends in the cost of ownership, identify adverse support trends, and solve systemic operational or support problems. These evaluations are the basis for revalidating the merit of sustaining investment assets or the need for other action. Findings are fed back into service analysis, where it is determined whether to continue to sustain existing assets or recommend new investments to solve systemic operational problems in the service environment.
- **Prioritize opportunities for operational funding.** Service organizations participate in cross-organizational planning to review, integrate, and prioritize the allocation of operational resources to fielded services and assets. This objective is to continue support for high-ranking service needs and reduce or terminate support for low-value or redundant assets. Recommendations are presented to the Joint Resources Council for approval.
- **Support service delivery.** This includes corrective and preventive maintenance, supply support, second-level engineering, depot-level repair, modification of hardware and

software to improve performance, test and support equipment, and transportation of supplies.

- **Sustain in-service support.** Any modification to fielded assets (e.g., block upgrade, planned product improvement, problem correction) must be accompanied by concomitant changes to key elements of the support infrastructure such as training, documentation, spare parts, and engineering support. This includes development, attrition, and refresher training for personnel who directly operate, maintain, or provide support functions.
- **Update the OMB Exhibit 300 for annual budget cycle (designated programs only).** Annual updates reflect program changes and move the budget submission forward one year. The OMB Exhibit 300 must continue to achieve a passing score from the Office of Management and Budget.
- **Update in-service management planning documents.** Service organizations review and update in-service planning documents as needed.
- **Execute emergency sustainment actions.** This includes planning for contingency and emergency responses. Highest priority services are sustained even if performance goals for lower priority services cannot be met.
- **Maintain physical, personnel, and information security at all FAA facilities.** This includes environmental threat and facility assessment and accreditation in accordance with FAA internal security planning.
- **Sustain the physical infrastructure.** Resources are planned and allocated to sustain utilities, buildings, grounds, structures, roads, telecommunications, handling of hazardous materials, lightning protection, bonding, grounding, heating, cooling, and special access.
- **Acquire, manage, and dispose of property.** This applies to FAA-owned and leased properties, as well as to non-federal facilities with external sponsors. This activity may involve the purchase or lease of buildings, structures, and grounds, as well as removal and disposal of no longer used equipment, systems, services, products, facilities, real property, and resources. Removal and disposal includes decommissioning, dismantling, and demolishing of systems and equipment; restoring sites including environmental cleanup and disposal of hazardous materials; disposing of government property; recovering precious metals; and reusing surplus assets.
- **Manage and control configuration of all services and service components.** This includes the submission of NAS change proposals to the appropriate approval board to baseline, install, and manage changes to NAS systems, software, and equipment. Coordination with the appropriate systems engineering organization is necessary to ensure changes are compatible with and reflected in the enterprise architecture.
- **Verify and validate key work products and products.** The service organization incrementally verifies and validates key work products and products of in-service management, including NAS change proposals (includes actual changes/improvements to products and product components) and system support directives. In addition, key work products and products that originated in other phases of the lifecycle, but are modified during in-service management are also subject to ~~V ~~**verification and validation** for the modified content. Verification and validation activity supports decisions to implement and deploy procedural or product improvements.
- **Sustain flight inspections, aircraft certification, and regulatory requirements.** This pertains to all safety-related quality assurance actions, including establishing safety standards for operations, monitoring safety performance, issuing and maintaining

certificates and licenses, and developing and revalidating procedures such as approach and landing procedures.

Section 2.7.3 : Who Does It?

Old Content: Acquisition Management Policy:

Section 2.7.3 : Who Does It?

Service organizations:

- Provide and sustain services;
- Manage resources to sustain fielded assets;
- Manage preplanned product improvements;
- Update OMB Exhibit 300s for the annual budget cycle (designated programs only);
- Review in-service management planning and update as needed;
- Manage the configuration of fielded assets consistent with FAA policy and the enterprise architecture;
- Develop infrastructure for modifications to fielded assets, including training, documentation, spare parts, and repair;
- Periodically assess customer satisfaction as the foundation for improving service delivery;
- Monitor quality, assess performance, track cost, and identify adverse support trends for fielded assets;
- Periodically revalidate the need to sustain fielded assets or recommend other action such as upgrade, replacement, or decommissioning and removal;
- Assess the impact on sustainment of fielded assets resulting from delays in fielding a new capability;
- Sustain the physical infrastructure.

AIO Value Management Office:

- Reviews and scores OMB Exhibit 300s as part of the annual budget cycle (designated programs only).

PIR Quality Officer:

- Oversees the quality, planning, conduct, and reporting of post implementation reviews.

Integrated Logistics Management Team:

- Assesses the effectiveness of supply chain management and the support concept; and
- Recommends changes to logistics management to optimize service delivery at best value.

New Content: Acquisition Management Policy:

Section 2.7.3 : Who Does It?

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Service organizations:

- Provide and sustain services;
- Manage resources to sustain fielded assets;
- Manage preplanned product improvements;
- Update OMB Exhibit 300s for the annual budget cycle (designated programs only);
- Review in-service management planning and update as needed;
- Manage the configuration of fielded assets consistent with FAA policy and the enterprise architecture;
- Develop infrastructure for modifications to fielded assets, including training, documentation, spare parts, and repair;
- Periodically assess customer satisfaction as the foundation for improving service delivery;
- Monitor quality, assess performance, track cost, and identify adverse support trends for fielded assets;
- Periodically revalidate the need to sustain fielded assets or recommend other action such as upgrade, replacement, or decommissioning and removal;
- Assess the impact on sustainment of fielded assets resulting from delays in fielding a new capability; and
- Sustain the physical infrastructure.

AIO Information Technology Program and Portfolio organization:

Reviews and scores OMB Exhibit 300s as part of the annual budget cycle (designated programs only).

PIR Quality Officer:

- Oversees the quality, planning, conduct, and reporting of post implementation reviews.

Integrated Logistics Management Team:

- Assesses the effectiveness of supply chain management and the support concept; and
- Recommends changes to logistics management to optimize service delivery at best value.

Red Line Content: Acquisition Management Policy:
Section 2.7.3 : Who Does It?

Service organizations:

- Provide and sustain services;
- Manage resources to sustain fielded assets;
- Manage preplanned product improvements;
- Update OMB Exhibit 300s for the annual budget cycle (designated programs only);
- Review in-service management planning and update as needed;

- Manage the configuration of fielded assets consistent with FAA policy and the enterprise architecture;
- Develop infrastructure for modifications to fielded assets, including training, documentation, spare parts, and repair;
- Periodically assess customer satisfaction as the foundation for improving service delivery;
- Monitor quality, assess performance, track cost, and identify adverse support trends for fielded assets;
- Periodically revalidate the need to sustain fielded assets or recommend other action such as upgrade, replacement, or decommissioning and removal;
- Assess the impact on sustainment of fielded assets resulting from delays in fielding a new capability; *and*
- Sustain the physical infrastructure.

AIO ~~Value~~ Information Management Technology Program Office *and Portfolio organization*:

Reviews and scores OMB Exhibit 300s as part of the annual budget cycle (designated programs only).

PIR Quality Officer:

- Oversees the quality, planning, conduct, and reporting of post implementation reviews.

Integrated Logistics Management Team:

- Assesses the effectiveness of supply chain management and the support concept; and
- Recommends changes to logistics management to optimize service delivery at best value.

Section 2.7.4 : Who Approves?

Old Content: Acquisition Management Policy:

Section 2.7.4 : Who Approves?

The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the operating service organization approves updates to in-service management planning documents.

New Content: Acquisition Management Policy:

Section 2.7.4 : Who Approves?

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The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the operating service organization approves updates to in-service management planning documents.

Red Line Content: Acquisition Management Policy:

Section 2.7.4 : Who Approves?

The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the operating service organization approves updates to in-service management planning documents.

Section 4.5 : Independent Operational Assessment

Old 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.

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 for Safety, designates investment programs on which to conduct independent operational assessment. The decision to designate a program for independent operational assessment 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 Independent Operational Assessment Readiness Declaration, the readiness of the system to enter independent operational assessment. Independent operational assessment 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 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~~ for Safety ~~Management~~, designates investment programs on which to conduct independent operational assessment ~~(IOA)~~. The decision to designate a program for IOA independent operational assessment 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 Independent Operational Assessment Readiness Declaration, the readiness of the system to enter IOA independent operational assessment. IOA Independent operational assessment provides decision-makers with an independent determination of operational readiness in support of the production and in-service decisions.

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 an ACAT 1 or ACAT 2 investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Establishes ACAT 1 and 2 investment programs and assigns execution to a service organization;
- Baselines program requirements for ACAT 1 and ACAT 2 investment programs in the final program requirements document;
- Approves the acquisition program baseline for ACAT 1 and ACAT 2 investment programs;
- Commits the FAA to full funding of the approved investment program segment for ACAT 1 and ACAT 2 investment programs;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management for ACAT 1 and ACAT 2 investment programs;
- Makes acquisition program baseline change decisions that alter program performance, cost, and schedule baselines during solution implementation for ACAT 1 and ACAT 2 investment programs;
- 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 for ACAT 1 and ACAT 2 investment programs; and
- Conducts 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 Senior Vice President of Financial Services
- ATO Senior Vice President of NextGen and Operations Planning; and
- ATO Senior Vice President for Operations.

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 the Joint Planning Development Office.

ATO EXECUTIVE COUNCIL

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- Serves with the acquisition executive as the investment decision authority for ATO ACAT 3 and ACAT 4 investment programs (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across ATO service units 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 ACAT 3 - ACAT 5 investment programs within the ATO and as 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;
- Serves as the investment decision authority for ACAT 3 - ACAT 5 non-NAS information technology investment programs (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 AMS ACAT policy; and
- Makes investment decisions in areas specified by the Joint Resources Council and AMS ACAT policy.

ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER

- Require service analysis for designated services (e.g., en-route service, terminal service, regulatory service, certification service) within the line of business;
- Approve entry into initial investment analysis for ACAT 3 – ACAT 5 investment programs;
- Serve with the acquisition executive and Chief Financial Officer as the investment decision authority for non-ATO, non information technology investment programs within the line of business per AMS ACAT policy;
- Provide staff support to concept and requirements analysis and investment analysis activity for service needs within the line of business;
- Implement non-material solutions to a service need that emerge any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

ACQUISITION EXECUTIVE

- Manages AMS policy;

- Member of the Joint Resources Council and all other investment decision authorities except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Jointly approves the acquisition program baseline with other designated members of the investment decision authority for all ACATs except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Chairs the Joint Resources Council at ACAT 1 and ACAT 2 investment decisions and at all acquisition program baseline change decisions except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (non-ATO)

- Responsible and accountable for the delivery of services by service organizations 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;
- Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;
- Approve plans for investment analysis and assign necessary human resources;
- Approve the program requirements document and the implementation strategy and planning document; and
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs.

JRC EXECUTIVE SECRETARIAT

The JRC executive secretariat manages the investment decision-making process for all investment decision authorities except the ITEB. The JRC executive secretariat does the following:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of investment initiatives seeking an investment decision before scheduling an IDA decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Manages the paper IDA process;
- Prepares records of decision from IDA meetings, minutes from JRC service-level reviews, and notes from meetings of subordinate review boards (with exception of the ITEB) 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 IDA 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, 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 IDA 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 IDA 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.

INTEGRATED SAFETY MANAGEMENT

- Conducts independent operational assessment for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the implementation strategy and planning document for programs designated for independent operational assessment.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages the acquisition program baseline of investment programs it is implementing and reports breaches to management;
- Updates the OMB Exhibit 300 annually for designated programs;
- Assists in development of the program requirements recorded in the program requirements document;
- Develops cost and schedule baselines during final investment analysis for the solution selected for implementation;

- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation in the implementation strategy and planning document;
- Supports the conduct of post-implementation reviews;
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary by 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 for procurements subject to the IDA process unless otherwise designated by the IDA;
- 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 stakeholders are members of the team and that they participate in team decision-making;
- Leads development of cost, schedule, and performance baselines during final investment analysis;
- 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 acquisition 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 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 IDA 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; and
- 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 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 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 FAA legal interests on product or service teams engaged in the acquisition of goods and services;
- 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; and
- 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 AMS;
- Provides dispute resolution services to the FAA and its private business partners, implementing FAA 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 an IDA to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service 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 and operating organizations to determine realistic alternative solutions to service 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; and
- Provides test and evaluation services.

SYSTEMS ENGINEERING ORGANIZATIONS

- Work with both corporate mission analysis and service organizations to ensure consistency between service 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 program requirements document.

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 acquisition program baseline with other IDA members except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- 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 acquisition program baseline with other IDA members for ACAT 1 – ACAT 2 investment programs and for ACAT 3 – ACAT 5 non-NAS information technology investment programs; 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 and the IDA Secretariat for designated investment programs;
- 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 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 the ATO Executive Council. The secretariat:

- Coordinates with the IDA executive secretariat to verify that IDA 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.

ACQUISITION EXECUTIVE BOARD

A corporate body that assists and supports the 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.

ATO NEXTGEN AND OPERATIONS PLANNING ORGANIZATION

- Manages the corporate research and development budgeting process;
- Coordinates annual development of the National Aviation Research Plan and the NextGen Implementation Plan;
- Defines research plan selection, management, and evaluation criteria for research activities in support of NextGen;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Provides test and evaluation services.

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;
- Reviews and approves the FAA enterprise architecture each year;
- Makes investment decisions and oversees execution of investment programs;
- Establishes investment programs and assigns execution to a service organization;
- Baselines program requirements for investment programs in the final program requirements document;
- Approves and baselines all required AMS program documents (i.e., program requirements document, acquisition program baseline, business case, and implementation strategy and planning document);
- Commits the FAA to full funding of approved investment programs or program segments;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation for investment programs;
- Makes acquisition program baseline change decisions that alter program performance, cost, and schedule baselines during solution implementation for investment programs;

- Reviews and approves FAA RE&D and F&E budget submissions each year prior to review and approval by the Administrator and submission to the Office of the Secretary of Transportation and reviews the OPS appropriation. The Administrator approves the OPS budget before submission to the Office of the Secretary of Transportation;
- Makes investment program production and in-service decisions or assigns approval authority to senior management; and
- Conducts acquisition quarterly reviews and 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;
- Chief Information Officer;
- Chief Financial Officer;
- General Counsel;
- Associate Administrator for Aviation Safety;
- Associate Administrator for Airports;
- Assistant Administrator for the Joint Project Development Office;
- Assistant Administrator for NextGen; and
- Assistant Administrator for Policy, International Affairs, and Environment.

The following members attend Joint Resource Council meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation.

STRATEGY, BUDGET, AND PERFORMANCE COMMITTEE

- Sets longer-term strategy and priorities for the FAA;
- Oversees annual business and budget planning;
- Ensures consistency between policy, priorities, and plans;
- Fosters strategic discussions;
- Monitors overall FAA performance;
- Oversees FAA reauthorization policy and priorities;
- Ensures consistency between rulemaking and FAA strategy and priorities; and
- Establishes policy and governance for emergency and crisis response.

INFORMATION TECHNOLOGY SHARED SERVICES COMMITTEE

- Approves non-NAS information technology and chargeback mechanism;
- Approves new non-NAS information technology projects for submission to the Joint Resources Council for funding;
- Oversees performance of information technology investments; and
- Reviews information technology shared service operational performance against baseline measures and tracks cost savings against operational baselines.

ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER

- Coordinate and integrate activity across line-of-business service organizations to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Require service analysis for designated services (e.g., en-route service, terminal service, regulatory service, certification service) within the line of business or staff office;
- Provide staff support to concept and requirements definition and investment analysis activity for service needs within the line of business or staff office;
- Implement non-material solutions to a service need that emerges any time during service analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business or staff office.

ACQUISITION EXECUTIVE

- Manages AMS policy;
- Chairs the Joint Resources Council;
- Approves acquisition category designations and AMS tailoring or waivers;
- Chairs acquisition quarterly reviews and service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and Office of Management and Budget.

VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (NON-ATO)

- Responsible and accountable for the delivery of services by service organizations under their management;
- Deliver status briefings for their service portfolio to the Joint Resources Council at 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;
- Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;
- Approve plans for investment analysis and assign necessary human resources;
- Approve the program requirements document and the implementation strategy and planning document; and
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs.

JRC EXECUTIVE SECRETARIAT

- Manages the investment decision-making process for all investment decisions;

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of investment initiatives seeking an investment decision before scheduling a decision;
- Coordinates JRC meeting dates and arranges logistics;
- Manages the paper investment decision process;
- Prepares records of decision from investment decision meetings and minutes from JRC acquisition quarterly reviews and service-level reviews;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains investment decision guidance documents and processes.

CAPITAL INVESTMENT TEAM

- Assesses the business justification, budget affordability, and priority of investment initiatives and provides findings to the Joint Resources Council before investment decisions;
- 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 the Office of the Secretary of Transportation, Office of Management and Budget, 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.

INTEGRATED SAFETY MANAGEMENT

- Conducts independent operational assessment for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the implementation strategy and planning document for programs designated for independent operational assessment.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages the acquisition program baseline of investment programs it is implementing and reports breaches to management;
- Updates the OMB Exhibit 300 annually for designated programs;
- Assists in development of program requirements recorded in the program requirements document;
- Develops cost and schedule baselines during final investment analysis for the solution selected for implementation;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation in the implementation strategy and planning document;
- Supports the conduct of post-implementation reviews;

- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary by 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 for procurements subject to the investment decision authority process unless otherwise designated by the investment decision authority;
- 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 stakeholders are members of the team and that they participate in team decision-making;
- Leads development of cost, schedule, and performance baselines during final investment analysis;
- 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 acquisition 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 program needs are acquired through the appropriate source selection process and assures screening information requests 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 investment decision authority 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 representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies; and
- 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 screening information requests;
- Formulates the source evaluation plan;
- Reviews 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 evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the source selection official may make down-selection and/or award decisions, and if requested by the source selection official, prepares documentation for the 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 FAA legal interests on product or service teams engaged in the acquisition of goods and services;
- 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; and
- 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 AMS;
- Provides dispute resolution services to the FAA and its private business partners, implementing FAA 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 investment decision authority to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service 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 and operating organizations to determine realistic alternative solutions to service needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

NEXTGEN ORGANIZATION

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Defines research plan selection, management, and evaluation criteria for research activities in support of NextGen;

- Interfaces with Office of the Secretary of Transportation, Office of Management and Budget, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Provides test and evaluation services.

SYSTEMS ENGINEERING ORGANIZATIONS

- Work with both corporate strategic planning and service organizations to ensure consistency between service 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 program requirements document.

NEXTGEN ENGINEERING SERVICES ORGANIZATION

- Performs corporate-level service 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 acquisition program baseline for investment programs with other investment decision authority members;
- 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 Office of Management and Budget.

CHIEF INFORMATION OFFICER

- Serves as a core member of the Joint Resources Council;
- Chairs the Shared Services Information Technology Committee;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and Office of Management and Budget;
- Jointly approves the acquisition program baseline for investment programs with other investment decision authority members; and

- Oversees the enterprise architecture.

INFORMATION TECHNOLOGY PROGRAM AND PORTFOLIO ORGANIZATION

- 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 and the JRC executive secretariat for designated investment programs;
- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Shared Services Information Technology Committee, Department of Transportation, and Office of Management and Budget; and
- Conducts earned value management assessments for programs requiring submission of an Exhibit 300 to the Office of Management and Budget and ensures earned value management transition plans for those programs are implemented effectively.

EARNED VALUE MANAGEMENT FOCAL POINT

- Serves as the FAA earned value management executive agent;
- Assists program managers and business managers to apply earned value management requirements to capital investment programs and contracts;
- Coordinates earned value management 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 investment decision authority. The secretariat:

- Coordinates with the JRC executive secretariat to verify that 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 in-service decision action plans until closure.

ACQUISITION EXECUTIVE BOARD

- Assists and supports the Acquisition Executive and Joint Resources Council by reviewing, authorizing, and overseeing development and implementation of acquisition management policy, process, practices, procedures, and tools 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.

ENTERPRISE ARCHITECTURE BOARD

- Governs and administers the FAA enterprise architecture;
- Ensures the FAA adheres to Federal statutory and regulatory requirements regarding enterprise architecture;
- Aligns information technology decisions with agency business and investment strategies;
- Minimizes redundancy, fosters standardization, and promotes reuse of information technology, data, and business assets;
- Communicates and champions enterprise architecture throughout FAA; and
- Approves investment roadmaps that guide the agency toward the target FAA enterprise architecture.

Red Line 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~~ ***Reviews and approves*** the FAA enterprise architecture ***each year***;
- Makes ~~the decision to approve an ACAT 1 or ACAT 2 investment program for inclusion in a service portfolio~~ ***decisions at the conclusion and oversees execution*** of investment ~~analysis~~ ***programs***;
- Establishes ~~ACAT 1 and 2~~ investment programs and assigns execution to a service organization;
- Baselines program requirements for ~~ACAT 1 and ACAT 2~~ investment programs in the final program requirements document;
- Approves ~~the~~ ***and baselines all required AMS program documents (i.e., program requirements document, acquisition program baseline for, ACAT business case, and ACAT 2 investment implementation strategy and programs planning document)***;
- Commits the FAA to full funding of ~~the approved investment program segment for ACAT 1 and ACAT 2~~ ***programs investment or programs program segments***;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation ~~and in service management~~ for ~~ACAT 1 and ACAT 2~~ investment programs;
- Makes acquisition program baseline change decisions that alter program performance, cost, and schedule baselines during solution implementation for ~~ACAT 1 and ACAT 2~~ investment programs;

- Approves FAA budget submissions ~~Reviews for the~~ and approves FAA RE&D; and F&E appropriations, budget submissions each year prior to review and reviews approval by the Administrator and submission to the Office of the Secretary ~~of~~ Transportation and reviews the ; MOPS appropriation. -The Administrator approves the ~~of~~ MOPS budget before submission to the Office of the Secretary for of Transportation;
- Makes investment program production and in-service decisions or assigns approval authority to ~~another organization for ACAT 1 and ACAT 2 investment~~ senior programs management; and
- Conducts acquisition quarterly reviews and 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~~ Chief Aviation Safety Information Officer;
- Chief ~~Information~~ Financial Officer;
- General Counsel;
- ~~Chief Financial Officer~~; Associate Administrator for ~~Region and Center~~ Aviation Operations Safety;
- Associate Administrator for Airports; ~~and~~
- ~~ATO Senior Vice President of Financial~~ Assistant Administrator for the Joint Project Services Development Office;
- ~~ATO Senior Vice~~ Assistant President of ~~Administrator for~~ NextGen and Operations Planning; and
- ~~ATO Senior Vice~~ Assistant Administrator for President Policy, for International Operations Affairs, and Environment.

The following members attend Joint JRC Resource Council 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 the Joint Planning Development Office.~~

ATO STRATEGY, EXECUTIVE BUDGET, COUNCIL AND PERFORMANCE COMMITTEE

- Serves Sets with longer-term the acquisition executive as strategy and priorities for the investment decision authority for ATO FAA;
- Oversees ACAT ~~3~~ annual business and ACAT ~~4~~ budget planning;
- Ensures investment programs consistency between (e.g. policy, air traffic control services priorities, and the National Airspace System) plans;
- Coordinates and Fosters integrates activity across strategic ATO discussions;
- Monitors service units overall FAA performance;

- ~~Oversees~~ ensure resources are directed ~~FAA reauthorization policy and at~~ priorities;
- ~~Ensures~~ priority FAA strategic consistency between rulemaking and performance ~~FAA~~ goals ~~strategy~~ and to ensure there is no overlap or redundancy priorities; and
- ~~Oversees execution of ACAT 3—ACAT 5 investment programs within the~~ Establishes ~~ATO~~ policy and as assigned governance by the Joint Resources Council for emergency and crisis response.

INFORMATION TECHNOLOGY EXECUTIVE SHARED BOARD SERVICES COMMITTEE

- ~~Reviews~~ Approves and ~~non-NAS~~ approves OMB Exhibit 300s information technology and chargeback ~~for~~ mechanism;
- ~~Approves~~ designated new non-NAS information technology ~~capital investments~~ projects during the annual budget cycle before submission to for submission to the Joint Resources Council for the funding;
- ~~Oversees~~ Department performance of Transportation information and OMB technology investments; and
- Serves as Reviews the investment decision authority for ACAT 3—ACAT 5 information technology shared service operational performance against baseline measures and non-NAS tracks information technology investment programs cost savings against operational (e.g. baselines); administrative

ASSOCIATE systems; AND some mission support ASSISTANT ADMINISTRATORS AND services; THE certain NAS CHIEF OPERATING investments); OFFICER

- ~~Coordinates~~ Coordinate and ~~integrates~~ integrate activity across ~~service organizations for~~ assigned elements line-of-the-business enterprise architecture service organizations 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 AMS ACAT policy; and Makes investment decisions in areas specified by the Joint Resources Council and AMS ACAT policy.~~ ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER Require service analysis for designated services (e.g., en-route service, terminal service, regulatory service, certification service) within the line of business; Approve entry into initial investment analysis for ACAT 3—ACAT 5 investment programs; Serve with the acquisition executive and Chief Financial Officer as the investment decision authority for non-ATO, non information technology investment programs within the line of business per AMS or ACAT policy staff office;
- Provide staff support to concept and requirements analysis definition and investment analysis activity for service needs within the line of business or staff office;
- Implement non-material solutions to a service need that emerge emerges any time during mission service analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business or staff office.

ACQUISITION EXECUTIVE

- Manages AMS policy;
- ~~Member of~~ **Chairs** the Joint Resources Council ~~and all other investment decision authorities except ACAT 3—ACAT 5 non-NAS information technology investment programs;~~
- ~~Jointly approves the~~ **Approves** acquisition program baseline ~~with other designated members of the investment decision authority for all ACATs~~ **category** ~~except ACAT 3~~ **designations and AMS tailoring** ~~–160;~~ ~~ACAT 5 non-NAS information technology investment~~ **or** ~~programs~~ **waivers**;
- Chairs ~~the Joint Resources Council at ACAT 1 and ACAT 2 investment decisions and at all-acquisition program baseline change decisions except ACAT 3—ACAT 5 non-NAS information technology~~ **quarterly investment reviews** programs; ~~Chairs~~ **and** service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and ~~OMB~~ **Office of Management and Budget**.

VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (~~non~~ **Non**-ATO)

- Responsible and accountable for the delivery of services by service organizations 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;
- Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;
- Approve plans for investment analysis and assign necessary human resources;
- Approve the program requirements document and the implementation strategy and planning document; and
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs.

JRC- EXECUTIVE SECRETARIAT ~~The JRC executive secretariat manages~~

- **Manages** the investment decision-making process for all investment ~~decision authorities except the ITEB. The JRC executive secretariat~~ **decisions**; ~~does the following:~~
- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of investment initiatives seeking an investment decision before scheduling ~~an IDA~~ **a** decision;
- Coordinates JRC ~~and ATO Executive Council~~ meeting dates and arranges logistics;
- Manages the paper ~~IDA~~ **investment decision** process;

- Prepares records of decision from ~~IDA~~ investment decision meetings; and minutes from JRC service-level acquisition quarterly reviews; and notes from meetings of subordinate review boards (with exception of the ITEB) related to investment service-level decisions reviews;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains ~~IDA~~ investment decision 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, 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~~ Assesses the ATO Vice President of Finance prior to ~~IDA 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~~ of the IDA investment initiatives and provides ~~business-based, objective recommendations~~ findings to the ATO Vice President of Finance Joint for use on the JRC Resources Council before investment decisions;
- 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~~ the Office of the Secretary of Transportation, OMB Office of Management and Budget, 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.

INTEGRATED SAFETY MANAGEMENT

- Conducts independent operational assessment for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the implementation strategy and planning document for programs designated for independent operational assessment.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;

- Manages the acquisition program baseline of investment programs it is implementing and reports breaches to management;
- Updates the OMB Exhibit 300 annually for designated programs;
- Assists in development of ~~the~~ program requirements recorded in the program requirements document;
- Develops cost and schedule baselines during final investment analysis for the solution selected for implementation;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation in the implementation strategy and planning document;
- Supports the conduct of post-implementation reviews;
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary by 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 for procurements subject to the investment IDA decision authority process unless otherwise designated by the IDA investment decision authority;
- 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 stakeholders are members of the team and that they participate in team decision-making;
- Leads development of cost, schedule, and performance baselines during final investment analysis;
- 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 acquisition 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 program needs are acquired through the appropriate source selection process and assures SIRs*screening information requests* 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 ~~IDA~~ investment decision authority 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~~
- 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; and
- 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*screening information requests*;

- 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 evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the source SSO selection official may make down-selection and/or award decisions, and if requested by the SSO source selection official, prepares documentation for the SSO 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 FAA legal interests on product or service teams engaged in the acquisition of goods and services;
- 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; and
- 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 AMS;
- Provides dispute resolution services to the FAA and ~~its~~ private business partners, implementing FAA 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 an IDA investment decision authority to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service 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 and operating organizations to determine realistic alternative solutions to service needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

~~ATO OPERATIONS PLANNING~~ NEXTGEN ORGANIZATION

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Defines research plan selection, management, and evaluation criteria for research activities in support of NextGen;
- Interfaces with ~~OST~~Office of the Secretary of Transportation, ~~OMB~~Office of Management and Budget, 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~~ strategic planning and service organizations to ensure consistency between service 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 program requirements document.

~~ATO SYSTEMS~~ NEXTGEN ENGINEERING SERVICES ORGANIZATION

- Performs corporate-level ~~mission~~service 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

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- Jointly approves the acquisition program baseline ~~with other IDA members~~ **for** except ~~ACAT 3 investment programs with other~~ **8211160**; ~~ACAT 5 non-NAS information technology investment programs~~ **decision authority members**;
- 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~~ **Office of Management and Budget**.

CHIEF INFORMATION OFFICER

- Serves as a core member of the Joint Resources Council;
- Chairs the **Shared Services** Information Technology ~~Executive Board~~ **Committee**;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and ~~OMB~~ **Office of Management and Budget**;
- Jointly approves the acquisition program baseline ~~with other IDA members~~ **for** ~~ACAT 3 investment programs~~ **with other** **8211160**; ~~ACAT 2 investment programs and for ACAT 3~~ **decision authority** **8211160**; ~~ACAT 5 non-NAS information technology investment programs~~ **members**; and
- Oversees the enterprise architecture.

~~AIO VALUE MANAGEMENT~~ **INFORMATION TECHNOLOGY PROGRAM** ~~OFFICE~~ **AND PORTFOLIO ORGANIZATION**

- 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 and the ~~IDA JRC Secretariat~~ **executive secretariat** for designated investment programs;
- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the **Shared Services** Information Technology ~~Executive Board~~ **Committee**, Department of Transportation, and Office of Management and Budget; and
- Conducts **earned EVM value management** assessments for programs requiring submission of an Exhibit 300 to ~~the OMB~~ **Office of Management and Budget** and ensures **earned EVM value management** transition plans for those programs are implemented effectively.

EARNED VALUE MANAGEMENT FOCAL POINT

- Serves as the FAA ~~EVM~~ **earned value management** executive agent;
- Assists program managers and business managers to apply ~~EVM~~ **earned value management** requirements to capital investment programs and contracts;
- Coordinates ~~EVM~~ **earned value management** 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 the ATO investment Executive Council~~ decision authority. The secretariat:

- Coordinates with the ~~IDA~~ JRC executive secretariat to verify that ~~IDA~~ 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.

ACQUISITION EXECUTIVE BOARD

~~A corporate body that assists~~

- Assists and supports the ~~acquisition executive~~ Acquisition Executive and Joint Resources Council ~~establish, change, communicate, and implement acquisition management policy, practices, procedures, tools, and training. The~~ by AEB: Reviews reviewing, authorizes authorizing, and oversees overseeing development and ~~implementation of~~ acquisition management policy, process, practices, procedures, ~~tools, and training tools~~ 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.

~~ATO NEXTGEN ENTERPRISE AND OPERATIONS~~ ARCHITECTURE ~~PLANNING ORGANIZATION~~ BOARD

- ~~Manages the~~ Governs corporate research and development budgeting process and administers the FAA enterprise architecture;
- ~~Coordinates annual development of~~ Ensures the National Aviation Research Plan FAA adheres to federal statutory and ~~the NextGen Implementation~~ regulatory requirements regarding Plan enterprise architecture;
- ~~Defines research plan selection, management, and~~ Aligns evaluation criteria for research activities in support of NextGen information technology decisions with agency business and investment strategies;
- ~~Interfaces with~~ Minimizes ~~OST redundancy, OMB, fosters~~ Congress standardization, trade and organizations, promotes industry, reuse international of organizations information technology, data, and other business government assets;
- Communicates organizations for and champions FAA level enterprise research architecture issues throughout FAA; and

- ~~Provides test and evaluation~~ **Approves investment roadmaps that services guide the agency toward the target FAA enterprise architecture.**
-

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 template
- Implementation strategy and planning document

These documents are structured as an integrated set with clear progression and traceability from service-level mission 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

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Red Line Content: Acquisition Management Policy:

Appendix B: Acquisition Planning and Control Documents

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- Acquisition program baseline
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These documents are structured as an integrated set with clear progression and traceability from service [level mission](#) 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 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 performance baseline contains critical performance requirements and their associated values that are essential to meet the mission need. Critical performance requirements are obtained from the program requirements document for the IDA-selected solution.

Certain critical parameters within each baseline in the APB are designated for IDA control. These parameters define the empowerment boundaries of the service team during solution implementation. They relate to corporate FAA commitment to satisfying the mission need, achieving needed operational capability, and meeting the schedule requirements of interdependent programs. IDA controls are identified during final investment analysis by the investment analysis team and approved by the IDA.

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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 APB.

DISTRIBUTION

Send an electronic copy of the acquisition program baseline and updates to the IDA secretariat before a decision meeting per instructions in the IDA secretariat quick-start guide. The IDA 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

[download acquisition program baseline template](#)

PURPOSE

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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

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Red Line Content: Acquisition Management Policy:
Acquisition Program Baseline

[download acquisition program baseline template](#)

PURPOSE

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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 [APB](#)acquisition program baseline.

DISTRIBUTION

Send an electronic copy of the acquisition program baseline and updates to the ~~IDA~~ JRC executive secretariat before a decision meeting per instructions in the ~~IDA~~ JRC secretariat quick-start guide. The ~~IDA~~ 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](#).

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 IDA secretariat before a decision meeting per instructions in the IDA secretariat quick-start guide. The IDA 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

[download program requirements document template](#)

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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.

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Red Line Content: Acquisition Management Policy:
Program Requirements Document

[download program requirements document template](#)

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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 ~~IDA~~ JRC executive secretariat before a decision meeting per instructions in the ~~IDA~~ JRC secretariat quick-start guide. The ~~IDA~~ JRC executive secretariat maintains a database of all program requirements documents.

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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.

Business Case Analysis

Old Content: Acquisition Management Policy:

Business Case Analysis

[download business case template](#)

PURPOSE

The business case analysis provides summary 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 or Director of the implementing service organization approves the business case analysis. Designated ACAT reviewers review and sign the analysis.

DISTRIBUTION

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

CONTENT

The business case analysis 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.

The author shall use the business case template in FAST and shall provide information for all sections.

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New 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.

The author shall use the business case template in FAST and shall provide information for all sections.

Red Line Content: Acquisition Management Policy:
Business Case ~~Analysis~~

[download business case template](#)

PURPOSE

The business case ~~analysis provides summary~~ **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 ~~analysis~~. Designated ACAT reviewers review and sign the ~~analysis~~ **business case**.

DISTRIBUTION

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

CONTENT

The business case ~~analysis~~ 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.

The author shall use the business case template in FAST and shall provide information for all sections.

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 IDA 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, ATO Acquisition and Contracting, and Director, FAA Financial Controls; (2) Sections 5, 6 and 10: ATO Vice President for Technical Operations; (3) Sections 1, 4 and 5: ATO Director of Systems Engineering and Safety (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 IDA, which is the responsibility of the IDA secretariat. All members of the IDA will be provided copies of the ISPD and are expected to read it prior to making an investment decision. Final signed approval of the ISPD by all members of the IDA occurs concurrent with the investment decision. For ACAT Levels 1 and 2 the JRC Chairperson signs on behalf of the JRC, concurrent with the investment decision.

DISTRIBUTION

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

CONTENT

The originating office uses the ISPD template in FAST to generate the document. For sections that do not apply to the investment program, the originating office so indicates.

New 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

The originating office uses the ISPD template in FAST to generate the document. For sections that do not apply to the investment program, the originating office so indicates.

Red Line Content: Acquisition Management Policy: Implementation Strategy and Planning Document

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PURPOSE

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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 appropriate IDA JRC executive secretariat before an initial or final investment decision. The IDA JRC executive secretariat maintains a database of all ISPDs.

CONTENT

The originating office uses the ISPD template in FAST to generate the document. For sections that do not apply to the investment program, the originating office so indicates.

Appendix C: Definitions

Old Content: Acquisition Management Policy:

Appendix C: Definitions

Access. In general the term "access" is defined as the ability to physically enter or pass through an FAA area or a facility; or having the physical ability or authority to obtain FAA sensitive information, materials and resources. In relation to classified information, the ability, authority or opportunity to obtain knowledge of such information or materials.

Acquisition Executive Board is the primary executive-level body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, and tools.

Acquisition planning is the process by which all acquisition-related disciplines of an investment program are developed, coordinated, and integrated into a comprehensive plan for executing the program and meeting the stated requirements within the cost and schedule boundaries.

Acquisition planning is normally associated with detailed program planning during final investment analysis, but is also important at other times of the lifecycle management process.

Acquisition program baseline establishes the performance to be achieved by an investment program, as well as the cost and schedule boundaries within which the program is authorized to proceed. The acquisition program baseline is a formal document approved by the investment decision authority at the final investment decision, and is a contract between the FAA and the service organization.

Acquisition strategy. The overall concept and approach of an investment program for acquiring a capability to meet the requirements and perform within the boundaries set forth in the acquisition program baseline. The strategy considers all aspects of a program such as acquisition approach, contracting, logistics, testing, systems engineering, risk management, program management, impact on facilities, human factors, schedules, and cost. The results are documented in the implementation strategy and planning document during final investment analysis.

Affiliate business is a business that controls or has the power to control another business, or a third party that controls or has the power to control another business (contractual relationships must be considered).

Agency/organization program coordinator (AOPC) (also referred as contracting officer's technical representative) means an individual designated by the ordering agency/organization to perform contract administration within the limits of delegated authority. The individual shall have overall responsibility for the purchase/credit card program within their bureau, agency/organization or region and may determine who the approving officials or cardholders will be.

Agreement with a state government, local government, and/or public authority is a written agreement between the FAA and a state or local government or public authority where the FAA agrees to receive from, or exchange supplies or services with, the other party.

Agreements with private parties are written documents executed by the parties, which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party. The term excludes procurement contracts for real estate, supplies and services.

Agreements with public entities other than Federal agencies are written documents executed by the parties which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party.

Alternative dispute resolution (ADR). Any procedure or combination of procedures voluntarily used to resolve issues in controversy without the need to resort to litigation. These procedures may include, but are not limited to, assisted settlement negotiations, conciliation, facilitation, mediation, fact-finding, mini-trials, and arbitration. These procedures may involve the use of neutrals.

Approval. The agreement that an item is complete and suitable for its intended use.

Approving official (AP) means a government employee(s) within the organization who has a number of cardholders under his/her purview and determines that the cardholder's purchases are made within applicable regulations, policies, and procedures.

Architect-engineer services are: (1) professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed or approved by a person licensed, registered, or certified to provide such services; (2) professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and (3) such

other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

Associate program manager for logistics. An integrated logistics support specialist responsible for ensuring that all NAS integrated logistics support requirements are identified and satisfied for each piece of equipment in the lifecycle management process, RE&D program, and major equipment modification program.

Auctioning techniques is a method of screening vendors using commercial competition techniques, and includes such techniques as indicating to an offeror a cost or price that it must meet to obtain further considerations; advising an offeror of its price standing relative to another offeror; and otherwise furnishing information about other offerors' prices. This may only be used for commercially available products.

Baseline. (1) An agreed-to-description of the attributes of a product, at a point in time, which serves as a basis for defining change; (2) an approved and released document, or a set of documents, each of a specific revision; the purpose of which is to provide a defined basis for managing change; (3) the currently approved and released configuration documentation; or (4) a released set of files consisting of a software version and associated configuration documentation.

Best value. A term used during procurement source selection to describe the solution that is the most advantageous to the FAA, based on the evaluation of price and other factors specified by the FAA. This approach provides the opportunity for trade-offs between price and other specified factors, and does not require that an award be made to either the offeror submitting the highest rated technical solution, or to the offeror submitting the lowest cost/price, although the ultimate award decision may be to either of these offerors.

Budget impact assessment. The process of assessing the budget impact of each alternative solution developed in the investment analysis phase against all existing programs in the FAA's financial baseline for the same years. Standard criteria are used to determine the priority of the candidate program in relation to all others. If the amount of funding available for the years in question is insufficient, offsets from lower priority programs are identified. A budget impact assessment is also performed when considering program baseline changes for existing programs that involve an increase in the cost baseline and the need to reallocate resources.

Business case analysis summarizes the analytical and quantitative information developed during investment analysis in the search for the best means for satisfying mission need. It is the primary information document supporting the initial investment decision.

Cancellation is the termination of the total requirements of all remaining program years of a multi-year contract. Cancellation results when the contracting officer notifies the contractor of nonavailability of funds for contract performance for any subsequent program year, or fails to

notify the contractor that funds are available for performance of the succeeding program year requirement.

Cancellation ceiling is the maximum amount that the FAA will pay the contractor which the contractor would have recovered as a part of the unit price, had the contract been completed. The amount, which is actually paid to the contractor upon settlement for unrecovered costs (which can only be equal to or less than the ceiling), is referred to as the cancellation charge. This ceiling generally includes only nonrecurring costs.

Capability shortfalls, within the context of mission analysis, refers to the difference between the projected demand for services and ability to meet that demand with the current capability.

Capital Investment Team (CIT). A team 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 reviewing investment programs, 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.

Capital Planning and Investment Control (CPIC). The process used by FAA management to identify, select, control, and evaluate proposed capital investments. The CPIC process encompasses all stages of capital management including planning, budgeting, procurement, deployment, and assessment. Within the FAA, the Acquisition Management System is the CPIC process. Mission analysis and investment analysis are the "select" portion of the CPIC process, solution implementation is the "control" phase, and in-service management is the "evaluate" phase.

Cardholder means the individual government employee with the organization who is a warranted contracting officer or to whom a written delegation of procurement authority has been issued by the cognizant Chief of the Contracting Office or designee granting the use of the purchase and credit transactions made within the established billing period.

Certified cost or pricing data refers to all facts that, at the time of the price agreement, the seller and buyer would reasonably expect to affect price negotiations. The data requires certification, and is factual, not judgmental, and therefore verifiable. While the data do not indicate the accuracy of the prospective contractor's judgment about estimated future costs or projections, they do include the data utilized to form the basis for that judgment. Certified cost or pricing data is more than historical accounting data; it is all the facts that can be reasonably expected to contribute to the soundness of estimates of all future costs and to the validity of determinations of costs already incurred.

Card issuing bank (CIB) means the bank which issues cards to cardholders and submits monthly statements to the cardholders, approving officials, and finance offices detailing amounts of purchases and credits made by cardholders.

Claim, as used herein, means a contract dispute.

Classified information. Official information or material that requires protection in the interest of national security and is classified for such purpose by appropriate classification authority in accordance with the provisions of Executive Orders 12958 "Classified National Security Information", 12968 "Access to Classified Information", and 12829 "National Industrial Security Program".

Commercial component means any component that is a commercial item. The term component means any item supplied to the Federal government as part of an end item or of another component. See **Commercial Item**.

Commercial item can mean any of the following: [Note: For purposes of this document, the term "commercial item" is interchangeable with the terms "commercially available," "commercial component(s)," "commercial product(s)," and "commercial off-the-shelf (COTS)"]:

(A) Any item, other than real property, that is of a type customarily used by the general public or by nongovernmental entities for purposes other than governmental purposes and that has been sold, leased, licensed to the general public; or has been offered for sale, lease, or license to the general public.

(B) Any item that evolved from an item described in paragraph (A) through advances in technology or performance and that is not yet available in the commercial marketplace, but will be available in the commercial marketplace in time to satisfy the delivery requirements under a government solicitation.

(C) Any item that would satisfy a criterion expressed in paragraphs (A) (B) of this definition, but for-(i) modifications of a type customarily available in the commercial marketplace; or (ii) modifications of a type not customarily available in the commercial marketplace made to meet Federal government requirements.

(D) Any combination of items meeting the requirements of paragraphs (A), (B), (C), or (E) of this definition that are of a type customarily combined and sold in combination to the general public.

(E) Installation services, maintenance services, repair services, training services, and other services if such services are procured for support of an item referred to in paragraph (A), (B), (C), or (D) of this definition, and if the source of such services--(i) offers such services to the general public and the Federal government contemporaneously and under similar terms and conditions; and (ii) offers to use the same work force for providing the Federal government with such services as the source uses for providing such services to the general public.

(F) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standards commercial terms and conditions. This

does not include services that are sold based on hourly rates without an established catalog or market price for specific service performed.

(G) Any item, combination of items, or service referred to in paragraphs (A) through (F), notwithstanding the fact that the item, combination of items, or service is transferred between or among separate divisions, subsidiaries, or affiliates of a contract; or

(H) An item, determined by the procuring agency to have been developed exclusively at private expense and sold in substantial quantities, on a competitive basis, to multiple state and local governments.

Commercial-off-the-shelf is a product or service that has been developed for sale, lease or license to the general public and is currently available at a fair market value. See **Commercial Item**.

Commercial product means a product in regular production that is sold in substantial quantities to the general public and/or industry at established catalog or market prices. See **Commercial Item**.

Commercially available refers to products, commodities, equipment, material, or services available in existing commercial markets in which sources compete primarily on the basis of established catalog/market prices or for which specific costs/prices established within the industry have been determined to be fair and reasonable. See **Commercial Item**.

Commonality refers to the use of identical parts, components, subsystems or systems to achieve economies in development and manufacture.

Communications, when referring to contracting, means any oral or written communication between the FAA and an offeror that involves information essential for understanding and evaluating an offeror's submittal(s), and/or determining the acceptability of an offeror's submittal(s).

Computer resources support. The facilities, hardware, system support software, software/hardware development and support tools (e.g. compilers, PROM burners), documentation, and personnel needed to operate and support embedded computer systems. These items represent the resources required for the operational support engineering functions and do not include administrative computer resources.

Concept Development is the second stage in the CMTD process. This activity develops and evaluates promising concepts to determine which should undergo further development. Activities include modeling, simulation, and detailed analysis.

Concept Evaluation is the third and final stage in the CMTD process. It confirms that a concept has great promise toward meeting the service needs of the agency and begins to determine

operational and technical feasibility. Concept evaluation can include concept integration, evolution, or scalability. Representative activities include prototyping and field demonstration.

Concept Exploration is the first stage in the CMTD process. The objective is to describe promising concepts with sufficient definition to begin development of a concept of operations and to plan follow-on activities. Outputs are promising and feasible concepts that warrant further development.

Concept Maturity and Technology Development (CMTD). The CMTD process governs activities directed toward the production of useful materials, devices, systems, and methods, as well as advance the maturity of new concepts. Typical activities include concept feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate opportunities for improving the delivery of NAS services. These efforts reduce risk, define requirements, demonstrate operational requirements, inform concept and requirements definition activities, and generate information required to support agency investment decisions and product lifecycle management.

Configuration. (1) The performance, functional, and physical attributes of an existing or planned product, or a combination of products; or (2) one of a series of sequentially created variations of a product.

Configuration audit. Product configuration verification accomplished by inspecting documents, products, and records; and reviewing procedures, processes, and systems of operation to verify that the product has achieved its required attributes (performance requirements and functional constraints), and the product's design is accurately documented. Sometimes divided into separate functional and physical configuration audits.

Configuration change management. (1) A systematic process which ensures that changes to released configuration documentation are properly identified, documented, evaluated for impact, approved by an appropriate level of authority, incorporated, and verified. (2) The configuration management activity concerning the systematic proposal justification, evaluation, coordination and disposition of proposed changes, and the implementation of all approved and released changes into (a) the applicable configurations of a product, (b) associated product information, and (c) supporting and interfacing products and their associated product information.

Configuration documentation. Technical documentation, the primary purpose of which is to identify and define a product's performance, functional, and physical attributes.

Configuration Identification. (1) The systematic process of selecting the product attributes, organizing associated information about the attributes, and stating the attributes; (2) unique identifiers for a product and its configuration documents; or (3) the configuration management activity which encompasses selecting configuration documents; assigning and applying unique identifiers to a product, its components, and associated documents; and maintaining document revision relationships to product configurations.

Configuration management. A management process for establishing and maintaining consistency of a product's performance, functional, and physical attributes with its requirements, design, and operational information throughout its life.

Configuration status accounting. The configuration management activity concerning capture and storage of, and access to, configuration information needed to manage products and product information effectively.

Configuration verification. The action verifying that the product has achieved its required attributes (performance requirements and functional constraints) and the product's design is accurately documented.

Contract is a legal instrument used to acquire products and services for the direct benefit or use by the FAA.

Contract. As used herein denotes the document (for example, contract, memorandum of agreement or understanding, purchase order) used to implement an agreement between a customer (buyer) and a seller (supplier).

Contract dispute as used herein, means a written request seeking as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to the contract. A claim arising under a contract unlike a claim relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. The term does not include a request for payment of an invoice, voucher, or similar routine payments expressly authorized under the terms of the contract, which have not been rejected by the contracting officer. The term includes a termination for convenience settlement proposal and request for equitable adjustment, but does not include cost proposals seeking definitization of a letter contract or other undefinitized contract action.

Contractor. The party(ies) receiving a direct procurement contract from the FAA and who is responsible for performance of the contract requirements.

Controversy or concern. A material disagreement between the FAA and an offeror that could result in a protest.

Core policy refers to the official governing policy of the Acquisition Management System. It consists of all Sections and Appendices A-E of this document. All other acquisition information not contained within this policy document is in the form of guidance, processes, references, and other acquisition aids, used by the lifecycle management workforce with discretion and in a manner that makes sense for individual programs. All of this information, including core policy, is considered to be the entire Acquisition Management System. This information may be found within the FAA Acquisition System Toolset on the Internet.

Cost is the contractor's expenses of contract performance, either estimated or actual.

Cost or pricing data. See "Certified Cost or Pricing Data" and "Non-certified Cost or Pricing Data".

Critical operational issue. A key operational effectiveness or suitability issue that must be examined in operational test and evaluation to determine a product's capability to perform its mission.

Customer. External users of FAA products or services, such as airlines and the flying public.
See User.

Data. Recorded information of any nature (including administrative, managerial, financial, and technical), regardless of medium or characteristics.

Demand, as used in the context of mission analysis, is the current or projected demand for FAA products, services, and capacity, based on input from diverse sources such as the aviation community, Enterprise Architecture, long-range planners, and operators and maintainers of the NAS and other FAA support systems.

Design to cost is a concept that establishes cost elements as management goals to best balance between lifecycle cost, acceptable performance, and schedule. Under this concept, cost is a design constraint during the design, development, and production phases, and a management discipline throughout the system lifecycle.

Direct-work maintenance staffing. The direct person-hours required to operate, maintain, and support a product for the duration of its lifecycle.

Disapproval. Conclusion by the appropriate authority that an item submitted for approval is either not complete or is not suitable or its intended use.

Discriminating criteria/key discriminators, used in procurement context, are those factors expected to be especially important, significant, and critical in the ultimate source selection decision.

Dispute as used herein, means a Contract Dispute or Claim.

Dispute resolution officer is a licensed legal practitioner who is a member of the Office of Dispute Resolution, and who has authority to conduct proceedings, which, if agreed to by the parties and concurred in by the FAA Administrator, result in binding decisions on the parties.

Dominant business is a controlling or major influence in a market in which a number of businesses are primarily engaged. Factors such as business volume; number of employees; financial resources; competitiveness; ownership or control of materials, processes, patents, and license agreements; facilities; sales territory; and nature of the business must be considered.

Economically disadvantaged individuals means disadvantaged individuals whose ability to compete in the free enterprise system is impaired due to diminished opportunities to obtain capital and credit as compared to others in the same line of business who are not disadvantaged.

End product. A system, service, facility, or operational change that is intended for delivery to a customer or end user.

Enterprise architecture defines the operational and technical framework for all capital assets of the FAA. It describes the agency's current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture has three segments: the NAS architecture, the NAS regulatory architecture, and the non-NAS architecture. The non-NAS segment uses the Federal Enterprise Architecture Framework (FEAF). The operational view is split between the business process, application, and data views. The systems view in the FEAF is specified in the technical view.

Enterprise architecture products include the operational view family (business rule) and systems view family (engineering). Operational view family components represent a set of graphical and textual products that describe the changes in tasks and activities, operational elements, and information exchanges required to accomplish NAS service delivery or ATO business processes. The business process and application views present this information in the FEAF with the data architecture providing the terms used to describe information exchanges between processes. System view family components represent a set of graphical and textual products that describe systems and interfaces that directly or indirectly support, communicate, or facilitate NAS service delivery or ATO business processes. In the FEAF, interfaces between applications are described in the application view. Also in the FEAF, there is a logical description of systems, but not a physical or geographic description in the enterprise architecture.

Evolutionary product development is the process of establishing a product designed to evolve over time, as opposed to the need for wholesale replacement, to satisfy requirements. The objective is to accommodate rapid insertion of new technology and upgrades, rather than invest in entirely new products.

FAA disputes resolution system is a process established within the FAA for resolving protests of FAA screening information request and contract awards, as well as contract disputes.

FAA Office of Dispute Resolution for Acquisition is an independent organization within the FAA, reporting to the FAA Chief Counsel, which is staffed with an appropriate number of dispute resolution officers.

Fee is compensation paid to a consultant for professional services rendered.

Firm, as defined for architect-engineering services, is any individual, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture or engineering.

Firmware. The combination of a hardware device and computer instructions or computer data that reside as read-only software "burned into" the hardware device; various types of firmware include devices whose software code is erasable/re-programmable to some degree.

First-Level Technical Support. This work comprises maintenance of the National Airspace System infrastructure and includes certifying equipment and performing periodic maintenance, restoration, troubleshooting, and corrective activities.

Functional baseline is the initially approved documentation describing a product's functional, interoperability, and interface characteristics, and the verification required to demonstrate the achievement of those characteristics.

Generic processes. Flowcharts and supporting information, including descriptions, approving officials, references, templates, and other aids that describe each event of a phase of the lifecycle management process. Generic processes are provided to service organizations for guidance to assist in the complex planning, product development, procurement, production, testing, delivery, and implementation activities of this important phase of the lifecycle management process. Generic processes are an integral part of FAST.

Hardware products. Made of material and their components (mechanical, electrical, electronic, hydraulic, pneumatic). Computer software and technical documentation are excluded.

Historically black colleges and universities. Institutions determined by the U.S. Secretary of Education to meet the requirements of 34 CFR 608.2 and listed therein.

Human factors are a multi-disciplinary effort to generate and apply human performance information to acquire safe, efficient, and effective operational systems.

Implementation strategy and planning is the detailed planning document for all aspects of program implementation. It integrates the planning requirements of several previous FAA planning documents including the program master plan, the integrated logistics support plan, the test and evaluation master plan, the program implementation plan, the human factors plan, and the procurement plan. It is recorded in the implementation strategy and planning document.

In-service decision is the decision to accept a product or service for operational use during the solution implementation phase of the lifecycle management process. This decision allows deployment activities, such as installing products at each site and certifying them for operational use, to start.

In-service management phase of the lifecycle management process, is that period of time after a product or service begins operational use, and continues for as long as the product is in use.

Indian means any person who is a member of any Indian tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs in accordance with 25 U.S.C. 1452(c) and any "Native" as defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601).

Indian organization means any governing body of any Indian tribe or entity established or recognized by the governing body of an Indian tribe for the purposes of 25 U.S.C., chapter 17.

Indian-owned economic enterprise means any Indian-owned (as determined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for the purpose of profit, provided that Indian ownership shall constitute not less than 51 percent of the enterprise.

Indian tribe means any Indian tribe, band, group, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from BIA in accordance with 25 U.S.C. 1452 (c).

Integrated logistics support is the functional discipline that plans, establishes, and maintains a full lifecycle support system for FAA products and services. This applies to the sustainment and disposal of fielded products and services as well as new investment programs. The objective is the required level of service to the end user at optimal lifecycle cost to the FAA. The logistics manager is the service-team member who plans, establishes, and maintains an integrated product support package for the lifecycle of FAA products and services.

Integrated requirements team. An integrated requirements team is made up of subject-matter experts from various disciplines to address air traffic system requirements and FAA goals and objectives in a disciplined forum setting. These teams are intended to provide horizontal integration across organizational lines, continuity of requirements throughout mission and investment analysis , and stability of requirements throughout the lifecycle.

Interagency agreement is a written agreement between the FAA and another Federal agency where the FAA agrees to receive from, or exchange supplies or services with, the other agency, and FAA funds are obligated.

Interested party. An interested party is one who:

- (1) Prior to the close of a solicitation, is an actual or prospective participant in the procurement, excluding prospective subcontractors; or
- (2) After the close of a solicitation, is an actual participant who would be next in line for award under the solicitations scheme if the protest is successful. An actual participant who is not in line for award under the solicitations scheme is ineligible to protest unless that party's complaint alleges specific improper actions or inactions by the agency that caused the party to be other than in line for award. Proposed subcontractors are not eligible to protest.

Where a contract has been awarded prior to the filing of a protest, the awardee may be considered an interested party for purposes of participating in the protest proceedings.

Interface. The performance, functional, and physical attributes required to exist at a common boundary.

Interface Control Documentation. Interface control drawing or other documentation that depicts physical, functional, and test interface characteristics between two or more related or co-functioning items.

Interim Payment is a form of contract financing for cost reimbursement contracts where a contractor is paid periodically during the course of a contract for allowable costs it incurs in the performance of the contract. As interim payments are issued during the course of a contract, they do not include the final payment issued after contract completion.

Intra-agency agreement is a written agreement between the FAA and Office of the Secretary of Transportation or another Department of Transportation operating administration where the requesting organization agrees to provide or exchange supplies or services with the FAA, and FAA funds are obligated.

Investment analysis of the lifecycle management process is conducted to determine the most advantageous solution to an approved mission need. It involves: (1) a market search to determine industry capability, (2) analysis of various alternative approaches for satisfying requirements, (3) and affordability assessment to determine what the FAA can afford, and (4) detailed planning for the alternative selected for implementation.

Investment program. A sponsored, fully funded effort initiated at the final investment decision of the lifecycle management process by the investment decision authority in response to a priority agency need. The goal of an investment program is to field a new capability that satisfies performance, cost, and schedule targets in the acquisition program baseline and benefit targets in the business case analysis report. Typically an investment program is a separate budgeted line-item and may have multiple procurements and several projects, all managed within the single program.

Joint Resources Council is the FAA body responsible for making corporate level decisions.

Learning system is the same as lifecycle management workforce learning system (see below).

Lifecycle. The entire spectrum of activity for an FAA capital asset starting with the identification of need and extending through design, development, production or construction, deployment, operational use, sustaining support, and retirement and disposal.

Lifecycle management process. A depiction of the series of phases and decision points that comprise the lifecycle of FAA products and services.

Lifecycle acquisition management system is a fully coordinated set of policies, processes, and computer-based acquisition tools that guide the lifecycle management workforce through the lifecycle management process from the determination of mission needs to the procurement and lifecycle management of products and services that satisfy those needs.

Lifecycle cost is the total cost to the FAA of acquiring, operating, maintaining, supporting, and disposal of systems or services over their useful life. Lifecycle cost includes total investment costs, development costs, and operational costs and includes all appropriations, RE&D, F&E, and O&M.

Lifecycle management workforce. All individuals who play a role in the lifecycle management process. Service organizations are a major part of the lifecycle management workforce. Also included are those persons associated with strategic planning, mission analysis, investment analysis, users of investment program capabilities and products, and various other functional discipline support organizations.

Line of business. An informal term used to characterize the major organizations of the FAA, headed by the Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO), having major roles and responsibilities in the lifecycle Acquisition Management System. They are: Air Traffic Organization, Aviation Safety, Airports, Commercial Space Transportation, Civil Aviation Security, and Regions and Centers. See Appendix A for line of business roles and responsibilities.

Maintenance planning. The process is conducted to determine, evolve, and establish hardware and software maintenance concepts and requirements for the lifecycle of a product.

Maintenance support facility. The permanent or semi-permanent real property assets required to support a product. Maintenance support facility management includes conducting studies to define types of facilities or facility improvements, locations, space needs, environmental requirements, real estate requirements and equipment.

Market survey is used in two different contexts in AMS. In terms of the procurement and contracting process, it refers to any method used to survey industry to obtain information and comments and to determine competition, capabilities, and estimate costs. In terms of the lifecycle management process, market surveys are an integral part of investment analysis. After initial requirements are established, market surveys are used as a basis for identifying all potential material and nonmaterial solutions to mission need.

Memorandum of agreement (MOA) is a written document executed by the parties, which creates a legally binding commitment and may require the obligation of funds. However, when the FAA will acquire services, equipment, personnel, or facilities from a contractor for the direct benefit or use of the FAA, a procurement contract should be used.

Memorandum of understanding (MOU) is a written document executed by the parties which establishes policies or procedures of mutual concern. It does not require either party to obligate funds and does not create a legally binding commitment.

Merchant category codes (MCC) means the codes established by the bankcard associations or banks to identify different types of businesses. Merchants select the codes best describing their business. Approving officials may limit the types of businesses where the card will be accepted by limiting the MCC available to the cardholder.

Metrics are measurements taken over time that monitor, assess, and communicate vital information about the results of a program or activity. Metrics are generally quantitative, but can be qualitative.

Minority Educational Institutions. Institutions verified by the U.S. Secretary of Education to meet the criteria set forth in 34 CFR 637.4. Also includes Hispanic-serving institutions as defined by 20 U.S.C. 1059c(b)(1).

Mission analysis is that part of the lifecycle management process during which continuous analytical activity is performed to evaluate the capacity of FAA assets to satisfy existing and emerging demands for services. It is conducted within the lines of business organizations of the FAA.

Multi-year contracts are contracts covering more than one year but not in excess of five years of requirements. Total contract quantities and annual quantities are planned for a particular level and type of funding as displayed in a current five year development plan. Each program year is annually budgeted and funded and, at the time of award, funds need only to have been appropriated for the first year. The contractor is protected against loss resulting from cancellation by contract provisions, which allows reimbursement of costs included in the cancellation ceiling.

Multi-year funding refers to Congressional authorization and appropriation covering more than one fiscal year. The term should not be confused with two-year or three-year funds which cover only one fiscal year's requirement but permit the Executive Branch more than one year to obligate the funds.

NAS Enterprise Architecture is a NAS-wide enterprise repository of views which describe the current (as-is), mid-term, and far-term (to-be) perspectives of the NAS architecture as well as the strategic planning roadmaps which depict the possible evolution path from the "as is" to the "to be".

NAS technical documentation. Any set of documents that describe the technical requirements of the National Airspace System.

Neutral means an impartial third party, who serves as a mediator, fact finder, or arbitrator, or otherwise functions to assist the parties to resolve the issues in controversy. A neutral person may be a permanent or temporary officer or employee of the federal government or any other individual who is acceptable to the parties. A neutral person shall have no official, financial, or personal conflict of interest with respect to the issues in controversy, unless such interest is fully disclosed in writing to all parties and all parties agree that the neutral person may serve.

NextGen Implementation Plan is an executive-level outline of current activities and program commitments necessary to implement new operational capabilities. The plan is published annually to reflect prior-year accomplishments and new commitments.

No-year funding refers to Congressional funding that does not require obligation in any specific year or years.

Non-certified cost or pricing data is any type of information that is not required to be certified, that is necessary to determine price reasonableness or cost realism. This includes pricing, sales, or cost information, and cost or pricing data for which certification is determined inapplicable after submission.

Non-developmental item (NDI) is an item that has been previously developed for use by federal, state, local, or a foreign government and for which no further development is required.

Nonmaterial solution. A solution to an FAA capability shortfall identified during mission or investment analysis that is operationally acceptable to users and can be implemented within approved budgets and baselines. Nonmaterial solutions typically involve regulatory change, process re-engineering, training, procedural change, or transfer of operational assets between sites.

Nonrecurring costs are those production costs which are generally incurred on a one time basis and include such costs as plant or equipment relocation, plant rearrangement, special tooling and special test equipment, pre-production engineering, initial spoilage and rework, and specialized workforce training.

Operational baseline. The approved technical documentation representing installed operational hardware and software.

Operational readiness refers to the state of a fielded new system in the NAS. This state is achieved after the system is tested by the FAA at a field test site where it is demonstrated that local site personnel have the ability to fully operate and maintain the new system.

Operational suitability. The capability of a product to be satisfactorily integrated and employed for field use, considering such factors as compatibility, reliability, human performance factors, maintenance and logistics support, safety, and training. The term also refers to the actual degree to which the product satisfies these parameters.

Other transaction. Transactions, as referenced in Public Law 104-264, October 9, 1996, which do not fall into the category of procurement contracts, grants, or cooperative agreements.

Owners. Within context of the Air Traffic Organization, owners of the FAA are the President, Congress, flying public, and American taxpayers.

Packaging, handling, storage and transportation. The resources, processes, procedures, design considerations, and methods to ensure that all subsystem, equipment, and support items are preserved, packaged, handled, and transported properly. Included are environmental considerations and equipment preservation requirements for short and long term storage and transportability.

Performance. A quantitative measure characterizing a physical or functional attribute relating to the execution of an operation or function. Performance attributes include quantity (how many or how much), quality (how well), coverage (how much area, how far), timeliness (how responsive,

how frequent), and readiness (availability, mission/operational readiness). Performance is an attribute for all systems, people, products and processes including those for development, production, verification, deployment, operations, support, training and disposal. Thus, supportability parameters, manufacturing process variability, reliability and so forth, are all performance measures.

Performance parameters are those mission-critical performance and lifecycle supportability criteria contained in the program requirements document. They represent the sponsoring organization's translation of the capability shortfall in an enterprise architecture roadmap into critical factors the selected solution must contain in its eventual operational state to satisfy the user's needs.

Personnel security. The standards and procedures utilized to determine and document that the employment or retention in employment of an individual will promote the efficiency of the service and is clearly consistent with the interests of the national security.

Prescreening. The evaluation of case files for impacts on safety, ATC services, and other intangible benefits, as well as cost/benefits implications, to determine if the proposed change should be implemented.

Price equals cost plus any fee or profit involved in the procurement of a product or service.

Primary engineer or principal consultant is a firm which is held responsible for the overall performance of the services, including that which is accomplished by others under separate or special service contracts.

Procurement strategy meeting is a meeting of organizations with vested interests in the contemplated procurement. The purpose of this meeting is to reach a consensus on the planned course of the acquisition and to obtain the necessary approvals to proceed.

Procurement Team means the Contracting Officer, legal counsel, program officials and other supporting staff.

Program requirements document establishes the operational framework and requirements of the line of business with a mission need. It translates mission need into top-level performance, supportability, and benefit requirements that should be satisfied by the fielded capability. It is prepared in the concept and requirements definition phase of the lifecycle management process.

Product baseline is the initially approved documentation describing all of the necessary functional and physical characteristics of the configuration item and the selected functional and physical characteristics designated for production acceptance testing and tests necessary for support of the configuration item. In addition to this documentation, the product baseline of a configuration item may consist of the actual equipment and software.

Product Team (PT) or Service Team (ST). A team with a mission, resources, leader, and cross-functional membership, which executes an element of a service organization's mission.

Program decision-making. In general, resource decision-making in the lifecycle management process is at the corporate level and program decision-making is within service organization.

Protest is a written, timely objection submitted by a protester to an FAA screening information request or contract award.

Protester is a prospective offeror whose direct economic interest would be affected by the award or failure to award an FAA contract, or an actual offeror with a reasonable chance to receive award of an FAA contract.

Rational Basis. Documented facts that are: (1) objective and verifiable (not unreasonable, capricious or arbitrary), (2) understandable to a reasonable person, and (3) supported by substantial evidence that results in a logical conclusion. The AMS is a tool used to help formulate a rational basis.

Real Property is defined as:

(1) Any interest in land, together with the improvements, structures, and fixtures located thereon (including prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers with or without undercarriages), and appurtenances thereto, under the control of any Federal agency, except-

(a) The public domain;

(b) Lands reserved or dedicated for national forest or national park purposes;

(c) Minerals in lands or portions of lands withdrawn or reserved from the public domain that the Secretary of the Interior determines are suitable for disposition under the public land mining and mineral leasing laws;

(d) Lands withdrawn or reserved from the public domain but not including lands or portions of lands so withdrawn or reserved that the Secretary of the Interior, with the concurrence of the Administrator of General Services, determines are not suitable for return to the public domain for disposition under the general public land laws because such lands are substantially changed in character by improvements or otherwise; and

(e) Crops when designated by such agency for disposition by severance and removal from the land.

(2) Improvements of any kind, structures, and fixtures under the control of any Federal agency when designated by such agency for disposition without the underlying land (including such as may be located on the public domain, on lands withdrawn or reserved from the public domain, on lands reserved or dedicated for national forest or national park purposes, or on lands that are not owned by the United States) excluding, however,

prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers (with or without undercarriages).

(3) Standing timber and embedded gravel, sand, or stone under the control of any Federal agency, whether designated by such agency for disposition with the land or by severance and removal from the land, excluding timber felled, and gravel, sand, or stone excavated by or for the Government prior to disposition.

Record drawings are drawings submitted by a contractor or subcontractor at any tier to show the construction of a particular structure or work as actually completed under the contract.

Recurring costs are production costs that vary with the quantity being produced, such as labor and materials.

Release. The designation by the originating activity that a document or software version is approved by an appropriate authority and is subject to configuration change management procedures.

Requirements. Conditions or capabilities that must be met or exceeded by a product or component to satisfy agency needs. Requirements form the basis for a contract, standard, specification, or other formally imposed document.

Research, engineering and development (RE&D). The RE&D process governs selection and execution of the RE&D portfolio. This portfolio includes systematic studies to gain knowledge or understanding of concepts, products, or procedures that could potentially benefit the aviation community with or without specific application or means by which a specific need may be met such as research related to materials and human factors. These activities inform the NAS enterprise architecture and CMTD activities, but do not lead directly to concept and requirements definition.

Resources. As it applies to contractor personnel security refers to FAA resources including a physical plant, information databases including hardware and software, as well as manual records pertaining to agency mission or personnel.

Screening is the process of evaluating offeror submittals to determine either which offerors/products are qualified to meet a specific type of supply or service, which offerors are most likely to receive award, or which offerors provide the best value to the FAA.

Screening decision is the narrowing of the number of offerors participating in the source selection process to only those offerors most likely to receive award.

Screening information request is any request made by the FAA for documentation, information, or offer for the purpose of screening to determine which offeror provides the best value solution for a particular procurement.

Second-level engineering support. This work comprises engineering support of the National Airspace System infrastructure and includes defining system performance standards, developing and publishing procedures, designing system improvements, and providing support to first-level technical support personnel.

Selection decision is the determination to make an award by the source selection official to the offeror providing the best value to the FAA.

Service-disabled veteran-owned small business is a small business concern that is 51% owned and controlled by a service disabled veteran(s).

Service organization. A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Simplified purchases are those products or services of any nature that are smaller in dollar value, less complex, shorter term, routine, or are commercially available and are generally purchased on a fixed price basis.

Single-source contracting is to award a contract, without competition, to a single supplier of products or services.

Small business is a business, including its affiliates, that is independently owned and operated and not dominant in producing the products or performing the services being purchased, and one that qualifies as a small business under the federal government's criteria and North American Industry System Classification Codes size standards.

Small business set-aside is the reservation of an acquisition exclusively for participation by small businesses.

Small disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor

shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Small socially and economically disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Socially disadvantaged individuals - individuals who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their qualities as individuals.

Solution implementation is the phase of the lifecycle management process that begins after the investment decision authority selects a solution and establishes an investment program. It ends when the new capability goes into service. This phase is led by the service organization assigned by the IDA at the investment decision.

Solution providers. An organization (e.g., service organization or a regional office implementing a construction program) that has the responsibility for providing assets to satisfy National Airspace requirements.

Specification. A document that explicitly states essential technical attributes/requirements for product and procedures to determine that the product's performance meets its requirements/attributes.

Standardization is the practice of acquiring parts, components, subsystems, or systems with common design or functional characteristics to obtain economies in ownership costs.

Strategic sourcing. The collaborative and structured process of critically analyzing an organization's spending and using this information to make business decisions about acquiring products and services more effectively and efficiently.

Supply, as used in the context of mission analysis, is the existing or projected supply of services to its customers, based on information from field organizations that operate and maintain the NAS, from the aviation community, and from the enterprise architecture.

Supply support. All management actions, procedures, and techniques used to determine requirements that acquire, catalog, track, receive, store, transfer, issue, and dispose of items of supply. This includes provisioning for initial support, maintaining asset visibility for financial accountability, and replenishing spares.

Supportability. The degree to which product design and planned logistics resources meet product use requirements.

Support equipment. All equipment (mobile or fixed) required to support maintenance of a product. It includes associated multi-use end items, ground-handling and maintenance equipment, tools, metrology and calibration equipment, test equipment, and automatic test equipment. It includes the procurement of integrated logistics support necessary to maintain the support equipment itself. Operational engineering support systems and facilities are also integral parts of the lifecycle support equipment.

Sustainment. Those activities associated with keeping fielded products operational and maintained. Also applies to the planning, programming and budgeting for fielded products, referred to as sustainment funding.

Technical data. Recorded information regardless of form or character (such as manuals, drawings and operational test procedures) of a scientific or technical nature required to operate and maintain a product over its lifecycle. While computer programs and related software are not technical data, documentation of these programs and related software are technical data. Also excluded is financial data or other information related to contract administration.

Technical leveling is the act of helping an offeror to bring its proposal/offer up to the level of other proposals/offers through successive rounds of communication, such as by pointing out weaknesses resulting from the offeror's lack of diligence, competence, or inventiveness in preparing his proposal.

Technical transfusion is the FAA's disclosure of technical information from one submittal that results in the improvement of another submittal.

Technical opportunity. A technological opportunity exists when a product or capability not currently used in the NAS has the potential to enable the FAA to perform its mission more safely, efficiently or effectively.

Termination for convenience is a procedure that may apply to any FAA contract, including multi-year contracts. As contrasted with cancellation, termination can be effected at any time during the life of the contract (cancellation is effected between fiscal years) and can be for the total quantity or a partial quantity (whereas cancellation must be for all subsequent fiscal year quantities).

Termination liability is the maximum cost the FAA would incur if a contract is terminated. In the case of a multi-year contract terminated before completion of the current fiscal year's

deliveries, termination liability would include an amount for both current year termination charges and out year cancellation charges.

Termination liability funding refers to obligating contract funds to cover contractor expenditures plus termination liability, but not the total cost of the completed end items.

Total estimated potential value. The sum of the initial award, unexercised options, the value of any indefinite delivery/indefinite quantity (IDIQ) contract line items (CLINs), estimates for unpriced CLINs, such as preplanned product improvements, estimated value of partially priced items, and any other items the Contracting Officer deems relevant to establishing potential total contract value. The potential contract value should exclude anticipated change orders, pre-planned product improvements which are not established as CLINs, and any other anticipated actions not included in the written contract. Where duplicative or alternative options are established (i.e., if option 1 is exercised, option 2 will not be exercised) the Contracting Officer should include only the value which reflects the highest priced option. For incentive contracts, the maximum liability of the Government should be included in the potential contract value. For IDIQ contracts, the total contract value is the stated maximum amount the total of issued delivery orders cannot exceed.

Training, training support, and personnel skills. The analysis, design, development, implementation, and evaluation of training requirements to operate and maintain the product. This includes: conducting needs analyses; job and task analyses; delivering individual and team training; resident and nonresident training; on-the-job training; job aids; and logistic support planning for training aids and training installations.

Unauthorized commitment is an agreement entered into by a representative of the FAA who does not have the authority to obligate the FAA to spend appropriated funds.

Unit. One of a quantity of items (products, parts, etc.)

User. Internal FAA user of a product or service, such as Air Traffic Controllers or maintenance technicians.

Validation. Confirmation that an end product or end-product component will fulfill its intended purpose when placed in its intended environment. The methods employed to accomplish validation are applied to selected work products as well as to the end product and end-product components. Work products should be selected on the basis of which are the best predictors of how well the end product and end-product component will satisfy the intended purpose and user needs. Validation may address all aspects of an end product in any of its intended environments, such as operation, training, manufacturing, maintenance, or support services.

Verification. Confirmation that selected work products meet their specified requirements. This includes verification of the end product (system, service, facility, or operational change) and intermediate work products against all applicable requirements. Verification is inherently an incremental process since it occurs throughout the development of the end product and work

products - beginning with initial requirements, progressing through subsequent changes, and culminating in verification of the completed end product.

Version. (1) One of several sequentially created configurations of a data product. (2) A supplementary identifier used to distinguish a changed body or set of computer-based data (software) from the previous configuration with the same primary identifier. Version identifiers are usually associated with data (such as files, data bases and software) used by, or maintained in, computers.

Very small business is a business whose size is no greater than 50 percent of the numerical size standard applicable to the North American Industry System Classification Codes assigned to a contracting opportunity.

Work product. A work product in various forms represents, defines, or directs the end product (system, service, facility, or operational change). This can include concepts of operation, processes, plans/procedures, designs/descriptions, requirements/specifications, models/prototypes, contracts/invoices and other documents.

Work breakdown structure. A hierarchical decomposition of the work to be performed to accomplish an approved agency objective. It includes both internal and external work activities and each descending level represents an increasing definition of the work to be performed.

New Content: Acquisition Management Policy:
Appendix C: Definitions

Access. In general the term "access" is defined as the ability to physically enter or pass through an FAA area or a facility; or having the physical ability or authority to obtain FAA sensitive information, materials and resources. In relation to classified information, the ability, authority or opportunity to obtain knowledge of such information or materials.

Acquisition Executive Board is the primary executive-level body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, and tools.

Acquisition planning is the process by which all acquisition-related disciplines of an investment program are developed, coordinated, and integrated into a comprehensive plan for executing the program and meeting the stated requirements within the cost and schedule boundaries. Acquisition planning is normally associated with detailed program planning during final investment analysis, but is also important at other times of the lifecycle management process.

Acquisition program baseline establishes the performance to be achieved by an investment program, as well as the cost and schedule boundaries within which the program is authorized to proceed. The acquisition program baseline is a formal document approved by the investment decision authority at the final investment decision, and is a contract between the FAA and the service organization.

Acquisition strategy. The overall concept and approach of an investment program for acquiring a capability to meet the requirements and perform within the boundaries set forth in the acquisition program baseline. The strategy considers all aspects of a program such as acquisition approach, contracting, logistics, testing, systems engineering, risk management, program management, impact on facilities, human factors, schedules, and cost. The results are documented in the implementation strategy and planning document during final investment analysis.

Affiliate business is a business that controls or has the power to control another business, or a third party that controls or has the power to control another business (contractual relationships must be considered).

Agency/organization program coordinator (AOPC) (also referred as contracting officer's technical representative) means an individual designated by the ordering agency/organization to perform contract administration within the limits of delegated authority. The individual shall have overall responsibility for the purchase/credit card program within their bureau, agency/organization or region and may determine who the approving officials or cardholders will be.

Agreement with a state government, local government, and/or public authority is a written agreement between the FAA and a state or local government or public authority where the FAA agrees to receive from, or exchange supplies or services with, the other party.

Agreements with private parties are written documents executed by the parties, which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party. The term excludes procurement contracts for real estate, supplies and services.

Agreements with public entities other than Federal agencies are written documents executed by the parties which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party.

Alternative dispute resolution (ADR). Any procedure or combination of procedures voluntarily used to resolve issues in controversy without the need to resort to litigation. These procedures may include, but are not limited to, assisted settlement negotiations, conciliation, facilitation, mediation, fact-finding, mini-trials, and arbitration. These procedures may involve the use of neutrals.

Approval. The agreement that an item is complete and suitable for its intended use.

Approving official (AP) means a government employee(s) within the organization who has a number of cardholders under his/her purview and determines that the cardholder's purchases are made within applicable regulations, policies, and procedures.

Architect-engineer services are: (1) professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed or approved by a person licensed, registered, or certified to provide such services; (2) professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and (3) such other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

Associate program manager for logistics. An integrated logistics support specialist responsible for ensuring that all NAS integrated logistics support requirements are identified and satisfied for each piece of equipment in the lifecycle management process, RE&D program, and major equipment modification program.

Auctioning techniques is a method of screening vendors using commercial competition techniques, and includes such techniques as indicating to an offeror a cost or price that it must meet to obtain further considerations; advising an offeror of its price standing relative to another offeror; and otherwise furnishing information about other offerors' prices. This may only be used for commercially available products.

Baseline. (1) An agreed-to-description of the attributes of a product, at a point in time, which serves as a basis for defining change; (2) an approved and released document, or a set of documents, each of a specific revision; the purpose of which is to provide a defined basis for managing change; (3) the currently approved and released configuration documentation; or (4) a released set of files consisting of a software version and associated configuration documentation.

Best value. A term used during procurement source selection to describe the solution that is the most advantageous to the FAA, based on the evaluation of price and other factors specified by the FAA. This approach provides the opportunity for trade-offs between price and other specified factors, and does not require that an award be made to either the offeror submitting the highest rated technical solution, or to the offeror submitting the lowest cost/price, although the ultimate award decision may be to either of these offerors.

Budget impact assessment. The process of assessing the budget impact of each alternative solution developed in the investment analysis phase against all existing programs in the FAA's financial baseline for the same years. Standard criteria are used to determine the priority of the candidate program in relation to all others. If the amount of funding available for the years in question is insufficient, offsets from lower priority programs are identified. A budget impact

assessment is also performed when considering program baseline changes for existing programs that involve an increase in the cost baseline and the need to reallocate resources.

Business case analysis summarizes the analytical and quantitative information developed during investment analysis in the search for the best means for satisfying mission need. It is the primary information document supporting the initial investment decision.

Cancellation is the termination of the total requirements of all remaining program years of a multi-year contract. Cancellation results when the contracting officer notifies the contractor of nonavailability of funds for contract performance for any subsequent program year, or fails to notify the contractor that funds are available for performance of the succeeding program year requirement.

Cancellation ceiling is the maximum amount that the FAA will pay the contractor which the contractor would have recovered as a part of the unit price, had the contract been completed. The amount, which is actually paid to the contractor upon settlement for unrecovered costs (which can only be equal to or less than the ceiling), is referred to as the cancellation charge. This ceiling generally includes only nonrecurring costs.

Capability shortfalls, within the context of mission analysis, refers to the difference between the projected demand for services and ability to meet that demand with the current capability.

Capital Investment Team (CIT). A team 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 reviewing investment programs, 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.

Capital Planning and Investment Control (CPIC). The process used by FAA management to identify, select, control, and evaluate proposed capital investments. The CPIC process encompasses all stages of capital management including planning, budgeting, procurement, deployment, and assessment. Within the FAA, the Acquisition Management System is the CPIC process. Mission analysis and investment analysis are the "select" portion of the CPIC process, solution implementation is the "control" phase, and in-service management is the "evaluate" phase.

Cardholder means the individual government employee with the organization who is a warranted contracting officer or to whom a written delegation of procurement authority has been issued by the cognizant Chief of the Contracting Office or designee granting the use of the purchase and credit transactions made within the established billing period.

Certified cost or pricing data refers to all facts that, at the time of the price agreement, the seller and buyer would reasonably expect to affect price negotiations. The data requires

certification, and is factual, not judgmental, and therefore verifiable. While the data do not indicate the accuracy of the prospective contractor's judgment about estimated future costs or projections, they do include the data utilized to form the basis for that judgment. Certified cost or pricing data is more than historical accounting data; it is all the facts that can be reasonably expected to contribute to the soundness of estimates of all future costs and to the validity of determinations of costs already incurred.

Card issuing bank (CIB) means the bank which issues cards to cardholders and submits monthly statements to the cardholders, approving officials, and finance offices detailing amounts of purchases and credits made by cardholders.

Claim, as used herein, means a contract dispute.

Classified information. Official information or material that requires protection in the interest of national security and is classified for such purpose by appropriate classification authority in accordance with the provisions of Executive Orders 12958 "Classified National Security Information", 12968 "Access to Classified Information", and 12829 "National Industrial Security Program".

Commercial component means any component that is a commercial item. The term component means any item supplied to the Federal government as part of an end item or of another component. See **Commercial Item**.

Commercial item can mean any of the following: [Note: For purposes of this document, the term "commercial item" is interchangeable with the terms "commercially available," "commercial component(s)," "commercial product(s)," and "commercial off-the-shelf (COTS)"]:

(A) Any item, other than real property, that is of a type customarily used by the general public or by nongovernmental entities for purposes other than governmental purposes and that has been sold, leased, licensed to the general public; or has been offered for sale, lease, or license to the general public.

(B) Any item that evolved from an item described in paragraph (A) through advances in technology or performance and that is not yet available in the commercial marketplace, but will be available in the commercial marketplace in time to satisfy the delivery requirements under a government solicitation.

(C) Any item that would satisfy a criterion expressed in paragraphs (A) (B) of this definition, but for-(i) modifications of a type customarily available in the commercial marketplace; or (ii) modifications of a type not customarily available in the commercial marketplace made to meet Federal government requirements.

(D) Any combination of items meeting the requirements of paragraphs (A), (B), (C), or (E) of this definition that are of a type customarily combined and sold in combination to the general public.

(E) Installation services, maintenance services, repair services, training services, and other services if such services are procured for support of an item referred to in paragraph (A), (B), (C), or (D) of this definition, and if the source of such services--(i) offers such services to the general public and the Federal government contemporaneously and under similar terms and conditions; and (ii) offers to use the same work force for providing the Federal government with such services as the source uses for providing such services to the general public.

(F) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standards commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for specific service performed.

(G) Any item, combination of items, or service referred to in paragraphs (A) through (F), notwithstanding the fact that the item, combination of items, or service is transferred between or among separate divisions, subsidiaries, or affiliates of a contract; or

(H) An item, determined by the procuring agency to have been developed exclusively at private expense and sold in substantial quantities, on a competitive basis, to multiple state and local governments.

Commercial-off-the-shelf is a product or service that has been developed for sale, lease or license to the general public and is currently available at a fair market value. See **Commercial Item**.

Commercial product means a product in regular production that is sold in substantial quantities to the general public and/or industry at established catalog or market prices. See **Commercial Item**.

Commercially available refers to products, commodities, equipment, material, or services available in existing commercial markets in which sources compete primarily on the basis of established catalog/market prices or for which specific costs/prices established within the industry have been determined to be fair and reasonable. See **Commercial Item**.

Commonality refers to the use of identical parts, components, subsystems or systems to achieve economies in development and manufacture.

Communications, when referring to contracting, means any oral or written communication between the FAA and an offeror that involves information essential for understanding and evaluating an offeror's submittal(s), and/or determining the acceptability of an offeror's submittal(s).

Computer resources support. The facilities, hardware, system support software, software/hardware development and support tools (e.g. compilers, PROM burners),

documentation, and personnel needed to operate and support embedded computer systems. These items represent the resources required for the operational support engineering functions and do not include administrative computer resources.

Concept development is the second stage in the CMTD process. This activity develops and evaluates promising concepts to determine which should undergo further development. Activities include modeling, simulation, and detailed analysis.

Concept evaluation is the third and final stage in the CMTD process. It confirms that a concept has great promise toward meeting the service needs of the agency and begins to determine operational and technical feasibility. Concept evaluation can include concept integration, evolution, or scalability. Representative activities include prototyping and field demonstration.

Concept exploration is the first stage in the CMTD process. The objective is to describe promising concepts with sufficient definition to begin development of a concept of operations and to plan follow-on activities. Outputs are promising and feasible concepts that warrant further development.

Concept maturity and technology development (CMTD). The CMTD process governs activities directed toward the production of useful materials, devices, systems, and methods, as well as advance the maturity of new concepts. Typical activities include concept feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate opportunities for improving the delivery of NAS services. These efforts reduce risk, define requirements, demonstrate operational requirements, inform concept and requirements definition activities, and generate information required to support agency investment decisions and product lifecycle management.

Configuration. (1) The performance, functional, and physical attributes of an existing or planned product, or a combination of products; or (2) one of a series of sequentially created variations of a product.

Configuration audit. Product configuration verification accomplished by inspecting documents, products, and records; and reviewing procedures, processes, and systems of operation to verify that the product has achieved its required attributes (performance requirements and functional constraints), and the product's design is accurately documented. Sometimes divided into separate functional and physical configuration audits.

Configuration change management. (1) A systematic process which ensures that changes to released configuration documentation are properly identified, documented, evaluated for impact, approved by an appropriate level of authority, incorporated, and verified. (2) The configuration management activity concerning the systematic proposal justification, evaluation, coordination and disposition of proposed changes, and the implementation of all approved and released changes into (a) the applicable configurations of a product, (b) associated product information, and (c) supporting and interfacing products and their associated product information.

Configuration documentation. Technical documentation, the primary purpose of which is to identify and define a product's performance, functional, and physical attributes.

Configuration identification. (1) The systematic process of selecting the product attributes, organizing associated information about the attributes, and stating the attributes; (2) unique identifiers for a product and its configuration documents; or (3) the configuration management activity which encompasses selecting configuration documents; assigning and applying unique identifiers to a product, its components, and associated documents; and maintaining document revision relationships to product configurations.

Configuration management. A management process for establishing and maintaining consistency of a product's performance, functional, and physical attributes with its requirements, design, and operational information throughout its life.

Configuration status accounting. The configuration management activity concerning capture and storage of, and access to, configuration information needed to manage products and product information effectively.

Configuration verification. The action verifying that the product has achieved its required attributes (performance requirements and functional constraints) and the product's design is accurately documented.

Contract is a legal instrument used to acquire products and services for the direct benefit or use by the FAA.

Contract. As used herein denotes the document (for example, contract, memorandum of agreement or understanding, purchase order) used to implement an agreement between a customer (buyer) and a seller (supplier).

Contract dispute as used herein, means a written request seeking as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to the contract. A claim arising under a contract unlike a claim relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. The term does not include a request for payment of an invoice, voucher, or similar routine payments expressly authorized under the terms of the contract, which have not been rejected by the contracting officer. The term includes a termination for convenience settlement proposal and request for equitable adjustment, but does not include cost proposals seeking definitization of a letter contract or other undefinitized contract action.

Contractor. The party(ies) receiving a direct procurement contract from the FAA and who is responsible for performance of the contract requirements.

Controversy or concern. A material disagreement between the FAA and an offeror that could result in a protest.

Core policy refers to the official governing policy of the Acquisition Management System. It consists of all Sections and Appendices A-E of this document. All other acquisition information not contained within this policy document is in the form of guidance, processes, references, and other acquisition aids, used by the lifecycle management workforce with discretion and in a manner that makes sense for individual programs. All of this information, including core policy, is considered to be the entire Acquisition Management System. This information may be found within the FAA Acquisition System Toolset on the Internet.

Cost is the contractor's expenses of contract performance, either estimated or actual.

Cost or pricing data. See "Certified Cost or Pricing Data" and "Non-certified Cost or Pricing Data".

Critical operational issue. A key operational effectiveness or suitability issue that must be examined in operational test and evaluation to determine a product's capability to perform its mission.

Customer. External users of FAA products or services, such as airlines and the flying public. See **User**.

Data. Recorded information of any nature (including administrative, managerial, financial, and technical), regardless of medium or characteristics.

Demand, as used in the context of mission analysis, is the current or projected demand for FAA products, services, and capacity, based on input from diverse sources such as the aviation community, Enterprise Architecture, long-range planners, and operators and maintainers of the NAS and other FAA support systems.

Design to cost is a concept that establishes cost elements as management goals to best balance between lifecycle cost, acceptable performance, and schedule. Under this concept, cost is a design constraint during the design, development, and production phases, and a management discipline throughout the system lifecycle.

Direct-work maintenance staffing. The direct person-hours required to operate, maintain, and support a product for the duration of its lifecycle.

Disapproval. Conclusion by the appropriate authority that an item submitted for approval is either not complete or is not suitable or its intended use.

Discriminating criteria/key discriminators, used in procurement context, are those factors expected to be especially important, significant, and critical in the ultimate source selection decision.

Dispute as used herein, means a Contract Dispute or Claim.

Dispute resolution officer is a licensed legal practitioner who is a member of the Office of Dispute Resolution, and who has authority to conduct proceedings, which, if agreed to by the parties and concurred in by the FAA Administrator, result in binding decisions on the parties.

Dominant business is a controlling or major influence in a market in which a number of businesses are primarily engaged. Factors such as business volume; number of employees; financial resources; competitiveness; ownership or control of materials, processes, patents, and license agreements; facilities; sales territory; and nature of the business must be considered.

Economically disadvantaged individuals means disadvantaged individuals whose ability to compete in the free enterprise system is impaired due to diminished opportunities to obtain capital and credit as compared to others in the same line of business who are not disadvantaged.

End product. A system, service, facility, or operational change that is intended for delivery to a customer or end user.

Enterprise architecture defines the operational and technical framework for all capital assets of the FAA. It describes the agency's current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture has three segments: the NAS architecture, the NAS regulatory architecture, and the non-NAS architecture. The non-NAS segment uses the Federal Enterprise Architecture Framework (FEAF). The operational view is split between the business process, application, and data views. The systems view in the FEAF is specified in the technical view.

Enterprise architecture products include the operational view family (business rule) and systems view family (engineering). Operational view family components represent a set of graphical and textual products that describe the changes in tasks and activities, operational elements, and information exchanges required to accomplish NAS service delivery or ATO business processes. The business process and application views present this information in the FEAF with the data architecture providing the terms used to describe information exchanges between processes. System view family components represent a set of graphical and textual products that describe systems and interfaces that directly or indirectly support, communicate, or facilitate NAS service delivery or ATO business processes. In the FEAF, interfaces between applications are described in the application view. Also in the FEAF, there is a logical description of systems, but not a physical or geographic description in the enterprise architecture.

Evolutionary product development is the process of establishing a product designed to evolve over time, as opposed to the need for wholesale replacement, to satisfy requirements. The objective is to accommodate rapid insertion of new technology and upgrades, rather than invest in entirely new products.

FAA disputes resolution system is a process established within the FAA for resolving protests of FAA screening information request and contract awards, as well as contract disputes.

FAA Office of Dispute Resolution for Acquisition is an independent organization within the FAA, reporting to the FAA Chief Counsel, which is staffed with an appropriate number of dispute resolution officers.

Fee is compensation paid to a consultant for professional services rendered.

Firm, as defined for architect-engineering services, is any individual, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture or engineering.

Firmware. The combination of a hardware device and computer instructions or computer data that reside as read-only software "burned into" the hardware device; various types of firmware include devices whose software code is erasable/re-programmable to some degree.

First-level technical support. This work comprises maintenance of the National Airspace System infrastructure and includes certifying equipment and performing periodic maintenance, restoration, troubleshooting, and corrective activities.

Functional baseline is the initially approved documentation describing a product's functional, interoperability, and interface characteristics, and the verification required to demonstrate the achievement of those characteristics.

Generic processes. Flowcharts and supporting information, including descriptions, approving officials, references, templates, and other aids that describe each event of a phase of the lifecycle management process. Generic processes are provided to service organizations for guidance to assist in the complex planning, product development, procurement, production, testing, delivery, and implementation activities of this important phase of the lifecycle management process. Generic processes are an integral part of FAST.

Hardware products. Made of material and their components (mechanical, electrical, electronic, hydraulic, pneumatic). Computer software and technical documentation are excluded.

Historically black colleges and universities. Institutions determined by the U.S. Secretary of Education to meet the requirements of 34 CFR 608.2 and listed therein.

Human factors are a multi-disciplinary effort to generate and apply human performance information to acquire safe, efficient, and effective operational systems.

Implementation strategy and planning is the detailed planning document for all aspects of program implementation. It integrates the planning requirements of several previous FAA planning documents including the program master plan, the integrated logistics support plan, the test and evaluation master plan, the program implementation plan, the human factors plan, and the procurement plan. It is recorded in the implementation strategy and planning document.

In-service decision is the decision to accept a product or service for operational use during the solution implementation phase of the lifecycle management process. This decision allows

deployment activities, such as installing products at each site and certifying them for operational use, to start.

In-service management phase of the lifecycle management process, is that period of time after a product or service begins operational use, and continues for as long as the product is in use.

Indian means any person who is a member of any Indian tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs in accordance with 25 U.S.C. 1452(c) and any "Native" as defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601).

Indian organization means any governing body of any Indian tribe or entity established or recognized by the governing body of an Indian tribe for the purposes of 25 U.S.C., chapter 17.

Indian-owned economic enterprise means any Indian-owned (as determined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for the purpose of profit, provided that Indian ownership shall constitute not less than 51 percent of the enterprise.

Indian tribe means any Indian tribe, band, group, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from BIA in accordance with 25 U.S.C. 1452 (c).

Integrated logistics support is the functional discipline that plans, establishes, and maintains a full lifecycle support system for FAA products and services. This applies to the sustainment and disposal of fielded products and services as well as new investment programs. The objective is the required level of service to the end user at optimal lifecycle cost to the FAA. The logistics manager is the service-team member who plans, establishes, and maintains an integrated product support package for the lifecycle of FAA products and services.

Integrated requirements team. An integrated requirements team is made up of subject-matter experts from various disciplines to address air traffic system requirements and FAA goals and objectives in a disciplined forum setting. These teams are intended to provide horizontal integration across organizational lines, continuity of requirements throughout mission and investment analysis , and stability of requirements throughout the lifecycle.

Interagency agreement is a written agreement between the FAA and another Federal agency where the FAA agrees to receive from, or exchange supplies or services with, the other agency, and FAA funds are obligated.

Interested party. An interested party is one who:

- (1) Prior to the close of a solicitation, is an actual or prospective participant in the procurement, excluding prospective subcontractors; or

(2) After the close of a solicitation, is an actual participant who would be next in line for award under the solicitations scheme if the protest is successful. An actual participant who is not in line for award under the solicitations scheme is ineligible to protest unless that party's complaint alleges specific improper actions or inactions by the agency that caused the party to be other than in line for award. Proposed subcontractors are not eligible to protest.

Where a contract has been awarded prior to the filing of a protest, the awardee may be considered an interested party for purposes of participating in the protest proceedings.

Interface. The performance, functional, and physical attributes required to exist at a common boundary.

Interface control documentation. Interface control drawing or other documentation that depicts physical, functional, and test interface characteristics between two or more related or co-functioning items.

Interim payment is a form of contract financing for cost reimbursement contracts where a contractor is paid periodically during the course of a contract for allowable costs it incurs in the performance of the contract. As interim payments are issued during the course of a contract, they do not include the final payment issued after contract completion.

Intra-agency agreement is a written agreement between the FAA and Office of the Secretary of Transportation or another Department of Transportation operating administration where the requesting organization agrees to provide or exchange supplies or services with the FAA, and FAA funds are obligated.

Investment analysis of the lifecycle management process is conducted to determine the most advantageous solution to an approved mission need. It involves: (1) a market search to determine industry capability, (2) analysis of various alternative approaches for satisfying requirements, (3) and affordability assessment to determine what the FAA can afford, and (4) detailed planning for the alternative selected for implementation.

Investment program. A sponsored, fully funded effort initiated at the final investment decision of the lifecycle management process by the investment decision authority in response to a priority agency need. The goal of an investment program is to field a new capability that satisfies performance, cost, and schedule targets in the acquisition program baseline and benefit targets in the business case analysis report. Typically an investment program is a separate budgeted line-item and may have multiple procurements and several projects, all managed within the single program.

Joint Resources Council is the FAA body responsible for making corporate level decisions.

Learning system is the same as lifecycle management workforce learning system (see below).

Lifecycle. The entire spectrum of activity for an FAA capital asset starting with the identification of need and extending through design, development, production or construction, deployment, operational use, sustaining support, and retirement and disposal.

Lifecycle management process. A depiction of the series of phases and decision points that comprise the lifecycle of FAA products and services.

Lifecycle acquisition management system is a fully coordinated set of policies, processes, and computer-based acquisition tools that guide the lifecycle management workforce through the lifecycle management process from the determination of mission needs to the procurement and lifecycle management of products and services that satisfy those needs.

Lifecycle cost is the total cost to the FAA of acquiring, operating, maintaining, supporting, and disposal of systems or services over their useful life. Lifecycle cost includes total investment costs, development costs, and operational costs and includes all appropriations, RE&D, F&E, and OPS.

Lifecycle management workforce. All individuals who play a role in the lifecycle management process. Service organizations are a major part of the lifecycle management workforce. Also included are those persons associated with strategic planning, mission analysis, investment analysis, users of investment program capabilities and products, and various other functional discipline support organizations.

Line of business. An informal term used to characterize the major organizations of the FAA, headed by the Chief Operating Officer (ATO) or the Assistant or Associate Administrator (non-ATO), having major roles and responsibilities in the lifecycle Acquisition Management System (FAA staff offices led by an Assistant Administrator are considered as a line of business for purposes of AMS). They are: Air Traffic Organization; Aviation Safety; Airports; Commercial Space Transportation; Security and Hazardous Materials Safety; Finance and Management; NextGen and Operations Planning; Policy, International, Affairs and Environment, Human Resources; Civil Rights; Government and Industry Affairs; and Communications. See Appendix A for line of business roles and responsibilities.

Maintenance planning. The process is conducted to determine, evolve, and establish hardware and software maintenance concepts and requirements for the lifecycle of a product.

Maintenance support facility. The permanent or semi-permanent real property assets required to support a product. Maintenance support facility management includes conducting studies to define types of facilities or facility improvements, locations, space needs, environmental requirements, real estate requirements and equipment.

Market survey is used in two different contexts in AMS. In terms of the procurement and contracting process, it refers to any method used to survey industry to obtain information and comments and to determine competition, capabilities, and estimate costs. In terms of the lifecycle management process, market surveys are an integral part of investment analysis. After initial

requirements are established, market surveys are used as a basis for identifying all potential material and nonmaterial solutions to mission need.

Memorandum of agreement (MOA) is a written document executed by the parties, which creates a legally binding commitment and may require the obligation of funds. However, when the FAA will acquire services, equipment, personnel, or facilities from a contractor for the direct benefit or use of the FAA, a procurement contract should be used.

Memorandum of understanding (MOU) is a written document executed by the parties which establishes policies or procedures of mutual concern. It does not require either party to obligate funds and does not create a legally binding commitment.

Merchant category codes (MCC) means the codes established by the bankcard associations or banks to identify different types of businesses. Merchants select the codes best describing their business. Approving officials may limit the types of businesses where the card will be accepted by limiting the MCC available to the cardholder.

Metrics are measurements taken over time that monitor, assess, and communicate vital information about the results of a program or activity. Metrics are generally quantitative, but can be qualitative.

Minority Educational Institutions. Institutions verified by the U.S. Secretary of Education to meet the criteria set forth in 34 CFR 637.4. Also includes Hispanic-serving institutions as defined by 20 U.S.C. 1059c(b)(1).

Mission analysis is that part of the lifecycle management process during which continuous analytical activity is performed to evaluate the capacity of FAA assets to satisfy existing and emerging demands for services. It is conducted within the lines of business organizations of the FAA.

Multi-year contracts are contracts covering more than one year but not in excess of five years of requirements. Total contract quantities and annual quantities are planned for a particular level and type of funding as displayed in a current five year development plan. Each program year is annually budgeted and funded and, at the time of award, funds need only to have been appropriated for the first year. The contractor is protected against loss resulting from cancellation by contract provisions, which allows reimbursement of costs included in the cancellation ceiling.

Multi-year funding refers to Congressional authorization and appropriation covering more than one fiscal year. The term should not be confused with two-year or three-year funds which cover only one fiscal year's requirement but permit the Executive Branch more than one year to obligate the funds.

NAS enterprise architecture is a NAS-wide enterprise repository of views which describe the current (as-is), mid-term, and far-term (to-be) perspectives of the NAS architecture as well as the strategic planning roadmaps which depict the possible evolution path from the "as is" to the "to be".

NAS technical documentation. Any set of documents that describe the technical requirements of the National Airspace System.

Neutral means an impartial third party, who serves as a mediator, fact finder, or arbitrator, or otherwise functions to assist the parties to resolve the issues in controversy. A neutral person may be a permanent or temporary officer or employee of the federal government or any other individual who is acceptable to the parties. A neutral person shall have no official, financial, or personal conflict of interest with respect to the issues in controversy, unless such interest is fully disclosed in writing to all parties and all parties agree that the neutral person may serve.

NextGen Implementation Plan is an executive-level outline of current activities and program commitments necessary to implement new operational capabilities. The plan is published annually to reflect prior-year accomplishments and new commitments.

No-year funding refers to Congressional funding that does not require obligation in any specific year or years.

Non-certified cost or pricing data is any type of information that is not required to be certified, that is necessary to determine price reasonableness or cost realism. This includes pricing, sales, or cost information, and cost or pricing data for which certification is determined inapplicable after submission.

Non-developmental item (NDI) is an item that has been previously developed for use by federal, state, local, or a foreign government and for which no further development is required.

Nonmaterial solution. A solution to an FAA capability shortfall identified during mission or investment analysis that is operationally acceptable to users and can be implemented within approved budgets and baselines. Nonmaterial solutions typically involve regulatory change, process re-engineering, training, procedural change, or transfer of operational assets between sites.

Nonrecurring costs are those production costs which are generally incurred on a one time basis and include such costs as plant or equipment relocation, plant rearrangement, special tooling and special test equipment, pre-production engineering, initial spoilage and rework, and specialized workforce training.

Operational baseline. The approved technical documentation representing installed operational hardware and software.

Operational readiness refers to the state of a fielded new system in the NAS. This state is achieved after the system is tested by the FAA at a field test site where it is demonstrated that local site personnel have the ability to fully operate and maintain the new system.

Operational suitability. The capability of a product to be satisfactorily integrated and employed for field use, considering such factors as compatibility, reliability, human performance factors,

maintenance and logistics support, safety, and training. The term also refers to the actual degree to which the product satisfies these parameters.

Other transaction. Transactions, as referenced in Public Law 104-264, October 9, 1996, which do not fall into the category of procurement contracts, grants, or cooperative agreements.

Owners. Within context of the Air Traffic Organization, owners of the FAA are the President, Congress, flying public, and American taxpayers.

Packaging, handling, storage and transportation. The resources, processes, procedures, design considerations, and methods to ensure that all subsystem, equipment, and support items are preserved, packaged, handled, and transported properly. Included are environmental considerations and equipment preservation requirements for short and long term storage and transportability.

Performance. A quantitative measure characterizing a physical or functional attribute relating to the execution of an operation or function. Performance attributes include quantity (how many or how much), quality (how well), coverage (how much area, how far), timeliness (how responsive, how frequent), and readiness (availability, mission/operational readiness). Performance is an attribute for all systems, people, products and processes including those for development, production, verification, deployment, operations, support, training and disposal. Thus, supportability parameters, manufacturing process variability, reliability and so forth, are all performance measures.

Performance parameters are those mission-critical performance and lifecycle supportability criteria contained in the program requirements document. They represent the sponsoring organization's translation of the capability shortfall in an enterprise architecture roadmap into critical factors the selected solution must contain in its eventual operational state to satisfy the user's needs.

Personnel security. The standards and procedures utilized to determine and document that the employment or retention in employment of an individual will promote the efficiency of the service and is clearly consistent with the interests of the national security.

Prescreening. The evaluation of case files for impacts on safety, ATC services, and other intangible benefits, as well as cost/benefits implications, to determine if the proposed change should be implemented.

Price equals cost plus any fee or profit involved in the procurement of a product or service.

Primary engineer or principal consultant is a firm which is held responsible for the overall performance of the services, including that which is accomplished by others under separate or special service contracts.

Procurement strategy meeting is a meeting of organizations with vested interests in the contemplated procurement. The purpose of this meeting is to reach a consensus on the planned course of the acquisition and to obtain the necessary approvals to proceed.

Procurement team means the Contracting Officer, legal counsel, program officials and other supporting staff.

Program requirements document establishes the operational framework and requirements of the line of business with a mission need. It translates mission need into top-level performance, supportability, and benefit requirements that should be satisfied by the fielded capability. It is prepared in the concept and requirements definition phase of the lifecycle management process.

Product Baseline is the initially approved documentation describing all of the necessary functional and physical characteristics of the configuration item and the selected functional and physical characteristics designated for production acceptance testing and tests necessary for support of the configuration item. In addition to this documentation, the product baseline of a configuration item may consist of the actual equipment and software.

Product team or service team. A team with a mission, resources, leader, and cross-functional membership, which executes an element of a service organization's mission.

Program decision-making. In general, resource decision-making in the lifecycle management process is at the corporate level and program decision-making is within service organization.

Protest is a written, timely objection submitted by a protester to an FAA screening information request or contract award.

Protester is a prospective offeror whose direct economic interest would be affected by the award or failure to award an FAA contract, or an actual offeror with a reasonable chance to receive award of an FAA contract.

Rational basis. Documented facts that are: (1) objective and verifiable (not unreasonable, capricious or arbitrary), (2) understandable to a reasonable person, and (3) supported by substantial evidence that results in a logical conclusion. The AMS is a tool used to help formulate a rational basis.

Real property is defined as:

(1) Any interest in land, together with the improvements, structures, and fixtures located thereon (including prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers with or without undercarriages), and appurtenances thereto, under the control of any Federal agency, except-

(a) The public domain;

(b) Lands reserved or dedicated for national forest or national park purposes;

(c) Minerals in lands or portions of lands withdrawn or reserved from the public domain that the Secretary of the Interior determines are suitable for disposition under the public land mining and mineral leasing laws;

(d) Lands withdrawn or reserved from the public domain but not including lands or portions of lands so withdrawn or reserved that the Secretary of the Interior, with the concurrence of the Administrator of General Services, determines are not suitable for return to the public domain for disposition under the general public land laws because such lands are substantially changed in character by improvements or otherwise; and

(e) Crops when designated by such agency for disposition by severance and removal from the land.

(2) Improvements of any kind, structures, and fixtures under the control of any Federal agency when designated by such agency for disposition without the underlying land (including such as may be located on the public domain, on lands withdrawn or reserved from the public domain, on lands reserved or dedicated for national forest or national park purposes, or on lands that are not owned by the United States) excluding, however, prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers (with or without undercarriages).

(3) Standing timber and embedded gravel, sand, or stone under the control of any Federal agency, whether designated by such agency for disposition with the land or by severance and removal from the land, excluding timber felled, and gravel, sand, or stone excavated by or for the Government prior to disposition.

Record drawings are drawings submitted by a contractor or subcontractor at any tier to show the construction of a particular structure or work as actually completed under the contract.

Recurring costs are production costs that vary with the quantity being produced, such as labor and materials.

Release. The designation by the originating activity that a document or software version is approved by an appropriate authority and is subject to configuration change management procedures.

Requirements. Conditions or capabilities that must be met or exceeded by a product or component to satisfy agency needs. Requirements form the basis for a contract, standard, specification, or other formally imposed document.

Research, engineering and development (RE&D). The RE&D process governs selection and execution of the RE&D portfolio. This portfolio includes systematic studies to gain knowledge or understanding of concepts, products, or procedures that could potentially benefit the aviation community with or without specific application or means by which a specific need may be met such as research related to materials and human factors. These activities inform the NAS

enterprise architecture and CMTD activities, but do not lead directly to concept and requirements definition.

Resources. As it applies to contractor personnel security refers to FAA resources including a physical plant, information databases including hardware and software, as well as manual records pertaining to agency mission or personnel.

Screening is the process of evaluating offeror submittals to determine either which offerors/products are qualified to meet a specific type of supply or service, which offerors are most likely to receive award, or which offerors provide the best value to the FAA.

Screening decision is the narrowing of the number of offerors participating in the source selection process to only those offerors most likely to receive award.

Screening information request is any request made by the FAA for documentation, information, or offer for the purpose of screening to determine which offeror provides the best value solution for a particular procurement.

Second-level engineering support. This work comprises engineering support of the National Airspace System infrastructure and includes defining system performance standards, developing and publishing procedures, designing system improvements, and providing support to first-level technical support personnel.

Selection decision is the determination to make an award by the source selection official to the offeror providing the best value to the FAA.

Service-disabled veteran-owned small business is a small business concern that is 51% owned and controlled by a service disabled veteran(s).

Service organization. A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Simplified purchases are those products or services of any nature that are smaller in dollar value, less complex, shorter term, routine, or are commercially available and are generally purchased on a fixed price basis.

Single-source contracting is to award a contract, without competition, to a single supplier of products or services.

Small business is a business, including its affiliates, that is independently owned and operated and not dominant in producing the products or performing the services being purchased, and one that qualifies as a small business under the federal government's criteria and North American Industry System Classification Codes size standards.

Small business set-aside is the reservation of an acquisition exclusively for participation by small businesses.

Small disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Small socially and economically disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Socially disadvantaged individuals - individuals who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their qualities as individuals.

Solution implementation is the phase of the lifecycle management process that begins after the investment decision authority selects a solution and establishes an investment program. It ends when the new capability goes into service. This phase is led by the service organization assigned by the IDA at the investment decision.

Solution providers. An organization (e.g., service organization or a regional office implementing a construction program) that has the responsibility for providing assets to satisfy National Airspace requirements.

Specification. A document that explicitly states essential technical attributes/requirements for product and procedures to determine that the product's performance meets its requirements/attributes.

Standardization is the practice of acquiring parts, components, subsystems, or systems with common design or functional characteristics to obtain economies in ownership costs.

Strategic sourcing. The collaborative and structured process of critically analyzing an organization's spending and using this information to make business decisions about acquiring products and services more effectively and efficiently.

Supply, as used in the context of mission analysis, is the existing or projected supply of services to its customers, based on information from field organizations that operate and maintain the NAS, from the aviation community, and from the enterprise architecture.

Supply support. All management actions, procedures, and techniques used to determine requirements that acquire, catalog, track, receive, store, transfer, issue, and dispose of items of supply. This includes provisioning for initial support, maintaining asset visibility for financial accountability, and replenishing spares.

Supportability. The degree to which product design and planned logistics resources meet product use requirements.

Support equipment. All equipment (mobile or fixed) required to support maintenance of a product. It includes associated multi-use end items, ground-handling and maintenance equipment, tools, metrology and calibration equipment, test equipment, and automatic test equipment. It includes the procurement of integrated logistics support necessary to maintain the support equipment itself. Operational engineering support systems and facilities are also integral parts of the lifecycle support equipment.

Sustainment. Those activities associated with keeping fielded products operational and maintained. Also applies to the planning, programming and budgeting for fielded products, referred to as sustainment funding.

Technical data. Recorded information regardless of form or character (such as manuals, drawings and operational test procedures) of a scientific or technical nature required to operate and maintain a product over its lifecycle. While computer programs and related software are not technical data, documentation of these programs and related software are technical data. Also excluded is financial data or other information related to contract administration.

Technical leveling is the act of helping an offeror to bring its proposal/offer up to the level of other proposals/offers through successive rounds of communication, such as by pointing out

weaknesses resulting from the offeror's lack of diligence, competence, or inventiveness in preparing his proposal.

Technical transfusion is the FAA's disclosure of technical information from one submittal that results in the improvement of another submittal.

Technical opportunity. A technological opportunity exists when a product or capability not currently used in the NAS has the potential to enable the FAA to perform its mission more safely, efficiently or effectively.

Termination for convenience is a procedure that may apply to any FAA contract, including multi-year contracts. As contrasted with cancellation, termination can be effected at any time during the life of the contract (cancellation is effected between fiscal years) and can be for the total quantity or a partial quantity (whereas cancellation must be for all subsequent fiscal year quantities).

Termination liability is the maximum cost the FAA would incur if a contract is terminated. In the case of a multi-year contract terminated before completion of the current fiscal year's deliveries, termination liability would include an amount for both current year termination charges and out year cancellation charges.

Termination liability funding refers to obligating contract funds to cover contractor expenditures plus termination liability, but not the total cost of the completed end items.

Total estimated potential value. The sum of the initial award, unexercised options, the value of any indefinite delivery/indefinite quantity (IDIQ) contract line items (CLINs), estimates for unpriced CLINs, such as preplanned product improvements, estimated value of partially priced items, and any other items the Contracting Officer deems relevant to establishing potential total contract value. The potential contract value should exclude anticipated change orders, pre-planned product improvements which are not established as CLINs, and any other anticipated actions not included in the written contract. Where duplicative or alternative options are established (i.e., if option 1 is exercised, option 2 will not be exercised) the Contracting Officer should include only the value which reflects the highest priced option. For incentive contracts, the maximum liability of the Government should be included in the potential contract value. For IDIQ contracts, the total contract value is the stated maximum amount the total of issued delivery orders cannot exceed.

Training, training support, and personnel skills. The analysis, design, development, implementation, and evaluation of training requirements to operate and maintain the product. This includes: conducting needs analyses; job and task analyses; delivering individual and team training; resident and nonresident training; on-the-job training; job aids; and logistic support planning for training aids and training installations.

Unauthorized commitment is an agreement entered into by a representative of the FAA who does not have the authority to obligate the FAA to spend appropriated funds.

Unit. One of a quantity of items (products, parts, etc.)

User. Internal FAA user of a product or service, such as Air Traffic Controllers or maintenance technicians.

Validation. Confirmation that an end product or end-product component will fulfill its intended purpose when placed in its intended environment. The methods employed to accomplish validation are applied to selected work products as well as to the end product and end-product components. Work products should be selected on the basis of which are the best predictors of how well the end product and end-product component will satisfy the intended purpose and user needs. Validation may address all aspects of an end product in any of its intended environments, such as operation, training, manufacturing, maintenance, or support services.

Verification. Confirmation that selected work products meet their specified requirements. This includes verification of the end product (system, service, facility, or operational change) and intermediate work products against all applicable requirements. Verification is inherently an incremental process since it occurs throughout the development of the end product and work products - beginning with initial requirements, progressing through subsequent changes, and culminating in verification of the completed end product.

Version. (1) One of several sequentially created configurations of a data product. (2) A supplementary identifier used to distinguish a changed body or set of computer-based data (software) from the previous configuration with the same primary identifier. Version identifiers are usually associated with data (such as files, data bases and software) used by, or maintained in, computers.

Very small business is a business whose size is no greater than 50 percent of the numerical size standard applicable to the North American Industry System Classification Codes assigned to a contracting opportunity.

Work product. A work product in various forms represents, defines, or directs the end product (system, service, facility, or operational change). This can include concepts of operation, processes, plans/procedures, designs/descriptions, requirements/specifications, models/prototypes, contracts/invoices and other documents.

Work breakdown structure. A hierarchical decomposition of the work to be performed to accomplish an approved agency objective. It includes both internal and external work activities and each descending level represents an increasing definition of the work to be performed.

Red Line Content: Acquisition Management Policy:
Appendix C: Definitions

Access. In general the term "access" is defined as the ability to physically enter or pass through an FAA area or a facility; or having the physical ability or authority to obtain FAA sensitive information, materials and resources. In relation to classified information, the ability, authority or opportunity to obtain knowledge of such information or materials.

Acquisition Executive Board is the primary executive-level body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, and tools.

Acquisition planning is the process by which all acquisition-related disciplines of an investment program are developed, coordinated, and integrated into a comprehensive plan for executing the program and meeting the stated requirements within the cost and schedule boundaries.

Acquisition planning is normally associated with detailed program planning during final investment analysis, but is also important at other times of the lifecycle management process.

Acquisition program baseline establishes the performance to be achieved by an investment program, as well as the cost and schedule boundaries within which the program is authorized to proceed. The acquisition program baseline is a formal document approved by the investment decision authority at the final investment decision, and is a contract between the FAA and the service organization.

Acquisition strategy. The overall concept and approach of an investment program for acquiring a capability to meet the requirements and perform within the boundaries set forth in the acquisition program baseline. The strategy considers all aspects of a program such as acquisition approach, contracting, logistics, testing, systems engineering, risk management, program management, impact on facilities, human factors, schedules, and cost. The results are documented in the implementation strategy and planning document during final investment analysis.

Affiliate business is a business that controls or has the power to control another business, or a third party that controls or has the power to control another business (contractual relationships must be considered).

Agency/organization program coordinator (AOPC) (also referred as contracting officer's technical representative) means an individual designated by the ordering agency/organization to perform contract administration within the limits of delegated authority. The individual shall have overall responsibility for the purchase/credit card program within their bureau, agency/organization or region and may determine who the approving officials or cardholders will be.

Agreement with a state government, local government, and/or public authority is a written agreement between the FAA and a state or local government or public authority where the FAA agrees to receive from, or exchange supplies or services with, the other party.

Agreements with private parties are written documents executed by the parties, which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party. The term excludes procurement contracts for real estate, supplies and services.

Agreements with public entities other than Federal agencies are written documents executed by the parties which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party.

Alternative dispute resolution (ADR). Any procedure or combination of procedures voluntarily used to resolve issues in controversy without the need to resort to litigation. These procedures may include, but are not limited to, assisted settlement negotiations, conciliation, facilitation, mediation, fact-finding, mini-trials, and arbitration. These procedures may involve the use of neutrals.

Approval. The agreement that an item is complete and suitable for its intended use.

Approving official (AP) means a government employee(s) within the organization who has a number of cardholders under his/her purview and determines that the cardholder's purchases are made within applicable regulations, policies, and procedures.

Architect-engineer services are: (1) professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed or approved by a person licensed, registered, or certified to provide such services; (2) professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and (3) such other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

Associate program manager for logistics. An integrated logistics support specialist responsible for ensuring that all NAS integrated logistics support requirements are identified and satisfied for each piece of equipment in the lifecycle management process, RE&D program, and major equipment modification program.

Auctioning techniques is a method of screening vendors using commercial competition techniques, and includes such techniques as indicating to an offeror a cost or price that it must meet to obtain further considerations; advising an offeror of its price standing relative to another offeror; and otherwise furnishing information about other offerors' prices. This may only be used for commercially available products.

Baseline. (1) An agreed-to-description of the attributes of a product, at a point in time, which serves as a basis for defining change; (2) an approved and released document, or a set of documents, each of a specific revision; the purpose of which is to provide a defined basis for

managing change; (3) the currently approved and released configuration documentation; or (4) a released set of files consisting of a software version and associated configuration documentation.

Best value. A term used during procurement source selection to describe the solution that is the most advantageous to the FAA, based on the evaluation of price and other factors specified by the FAA. This approach provides the opportunity for trade-offs between price and other specified factors, and does not require that an award be made to either the offeror submitting the highest rated technical solution, or to the offeror submitting the lowest cost/price, although the ultimate award decision may be to either of these offerors.

Budget impact assessment. The process of assessing the budget impact of each alternative solution developed in the investment analysis phase against all existing programs in the FAA's financial baseline for the same years. Standard criteria are used to determine the priority of the candidate program in relation to all others. If the amount of funding available for the years in question is insufficient, offsets from lower priority programs are identified. A budget impact assessment is also performed when considering program baseline changes for existing programs that involve an increase in the cost baseline and the need to reallocate resources.

Business case analysis summarizes the analytical and quantitative information developed during investment analysis in the search for the best means for satisfying mission need. It is the primary information document supporting the initial investment decision.

Cancellation is the termination of the total requirements of all remaining program years of a multi-year contract. Cancellation results when the contracting officer notifies the contractor of nonavailability of funds for contract performance for any subsequent program year, or fails to notify the contractor that funds are available for performance of the succeeding program year requirement.

Cancellation ceiling is the maximum amount that the FAA will pay the contractor which the contractor would have recovered as a part of the unit price, had the contract been completed. The amount, which is actually paid to the contractor upon settlement for unrecovered costs (which can only be equal to or less than the ceiling), is referred to as the cancellation charge. This ceiling generally includes only nonrecurring costs.

Capability shortfalls, within the context of mission analysis, refers to the difference between the projected demand for services and ability to meet that demand with the current capability.

Capital Investment Team (CIT). A team 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 reviewing investment programs, 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.

Capital Planning and Investment Control (CPIC). The process used by FAA management to identify, select, control, and evaluate proposed capital investments. The CPIC process encompasses all stages of capital management including planning, budgeting, procurement, deployment, and assessment. Within the FAA, the Acquisition Management System is the CPIC process. Mission analysis and investment analysis are the “select” portion of the CPIC process, solution implementation is the “control” phase, and in-service management is the “evaluate” phase.

Cardholder means the individual government employee with the organization who is a warranted contracting officer or to whom a written delegation of procurement authority has been issued by the cognizant Chief of the Contracting Office or designee granting the use of the purchase and credit transactions made within the established billing period.

Certified cost or pricing data refers to all facts that, at the time of the price agreement, the seller and buyer would reasonably expect to affect price negotiations. The data requires certification, and is factual, not judgmental, and therefore verifiable. While the data do not indicate the accuracy of the prospective contractor's judgment about estimated future costs or projections, they do include the data utilized to form the basis for that judgment. Certified cost or pricing data is more than historical accounting data; it is all the facts that can be reasonably expected to contribute to the soundness of estimates of all future costs and to the validity of determinations of costs already incurred.

Card issuing bank (CIB) means the bank which issues cards to cardholders and submits monthly statements to the cardholders, approving officials, and finance offices detailing amounts of purchases and credits made by cardholders.

Claim, as used herein, means a contract dispute.

Classified information. Official information or material that requires protection in the interest of national security and is classified for such purpose by appropriate classification authority in accordance with the provisions of Executive Orders 12958 "Classified National Security Information", 12968 "Access to Classified Information", and 12829 "National Industrial Security Program".

Commercial component means any component that is a commercial item. The term component means any item supplied to the Federal government as part of an end item or of another component. See **Commercial Item**.

Commercial item can mean any of the following: [Note: For purposes of this document, the term "commercial item" is interchangeable with the terms "commercially available," "commercial component(s)," "commercial product(s)," and "commercial off-the-shelf (COTS)"]:

(A) Any item, other than real property, that is of a type customarily used by the general public or by nongovernmental entities for purposes other than governmental purposes and that has been sold, leased, licensed to the general public; or has been offered for sale, lease, or license to the general public.

(B) Any item that evolved from an item described in paragraph (A) through advances in technology or performance and that is not yet available in the commercial marketplace, but will be available in the commercial marketplace in time to satisfy the delivery requirements under a government solicitation.

(C) Any item that would satisfy a criterion expressed in paragraphs (A) (B) of this definition, but for-(i) modifications of a type customarily available in the commercial marketplace; or (ii) modifications of a type not customarily available in the commercial marketplace made to meet Federal government requirements.

(D) Any combination of items meeting the requirements of paragraphs (A), (B), (C), or (E) of this definition that are of a type customarily combined and sold in combination to the general public.

(E) Installation services, maintenance services, repair services, training services, and other services if such services are procured for support of an item referred to in paragraph (A), (B), (C), or (D) of this definition, and if the source of such services--(i) offers such services to the general public and the Federal government contemporaneously and under similar terms and conditions; and (ii) offers to use the same work force for providing the Federal government with such services as the source uses for providing such services to the general public.

(F) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standards commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for specific service performed.

(G) Any item, combination of items, or service referred to in paragraphs (A) through (F), notwithstanding the fact that the item, combination of items, or service is transferred between or among separate divisions, subsidiaries, or affiliates of a contract; or

(H) An item, determined by the procuring agency to have been developed exclusively at private expense and sold in substantial quantities, on a competitive basis, to multiple state and local governments.

Commercial-off-the-shelf is a product or service that has been developed for sale, lease or license to the general public and is currently available at a fair market value. See **Commercial Item**.

Commercial product means a product in regular production that is sold in substantial quantities to the general public and/or industry at established catalog or market prices. See **Commercial Item**.

Commercially available refers to products, commodities, equipment, material, or services available in existing commercial markets in which sources compete primarily on the basis of established catalog/market prices or for which specific costs/prices established within the industry have been determined to be fair and reasonable. See **Commercial Item**.

Commonality refers to the use of identical parts, components, subsystems or systems to achieve economies in development and manufacture.

Communications, when referring to contracting, means any oral or written communication between the FAA and an offeror that involves information essential for understanding and evaluating an offeror's submittal(s), and/or determining the acceptability of an offeror's submittal(s).

Computer resources support. The facilities, hardware, system support software, software/hardware development and support tools (e.g. compilers, PROM burners), documentation, and personnel needed to operate and support embedded computer systems. These items represent the resources required for the operational support engineering functions and do not include administrative computer resources.

Concept ~~Development~~development is the second stage in the CMTD process. This activity develops and evaluates promising concepts to determine which should undergo further development. Activities include modeling, simulation, and detailed analysis.

Concept ~~Evaluation~~evaluation is the third and final stage in the CMTD process. It confirms that a concept has great promise toward meeting the service needs of the agency and begins to determine operational and technical feasibility. Concept evaluation can include concept integration, evolution, or scalability. Representative activities include prototyping and field demonstration.

Concept ~~Exploration~~exploration is the first stage in the CMTD process. The objective is to describe promising concepts with sufficient definition to begin development of a concept of operations and to plan follow-on activities. Outputs are promising and feasible concepts that warrant further development.

Concept ~~Maturity~~maturity and ~~Technology Development~~technology development (CMTD). The CMTD process governs activities directed toward the production of useful materials, devices, systems, and methods, as well as advance the maturity of new concepts. Typical activities include concept feasibility studies, technical analysis, prototype demonstrations, and operational assessments that identify, develop, and evaluate opportunities for improving the delivery of NAS services. These efforts reduce risk, define requirements, demonstrate operational requirements, inform concept and requirements definition activities, and generate information required to support agency investment decisions and product lifecycle management.

Configuration. (1) The performance, functional, and physical attributes of an existing or planned product, or a combination of products; or (2) one of a series of sequentially created variations of a product.

Configuration audit. Product configuration verification accomplished by inspecting documents, products, and records; and reviewing procedures, processes, and systems of operation to verify that the product has achieved its required attributes (performance requirements and functional constraints), and the product's design is accurately documented. Sometimes divided into separate functional and physical configuration audits.

Configuration change management. (1) A systematic process which ensures that changes to released configuration documentation are properly identified, documented, evaluated for impact, approved by an appropriate level of authority, incorporated, and verified. (2) The configuration management activity concerning the systematic proposal justification, evaluation, coordination and disposition of proposed changes, and the implementation of all approved and released changes into (a) the applicable configurations of a product, (b) associated product information, and (c) supporting and interfacing products and their associated product information.

Configuration documentation. Technical documentation, the primary purpose of which is to identify and define a product's performance, functional, and physical attributes.

Configuration ~~Identification~~identification. (1) The systematic process of selecting the product attributes, organizing associated information about the attributes, and stating the attributes; (2) unique identifiers for a product and its configuration documents; or (3) the configuration management activity which encompasses selecting configuration documents; assigning and applying unique identifiers to a product, its components, and associated documents; and maintaining document revision relationships to product configurations.

Configuration management. A management process for establishing and maintaining consistency of a product's performance, functional, and physical attributes with its requirements, design, and operational information throughout its life.

Configuration status accounting. The configuration management activity concerning capture and storage of, and access to, configuration information needed to manage products and product information effectively.

Configuration verification. The action verifying that the product has achieved its required attributes (performance requirements and functional constraints) and the product's design is accurately documented.

Contract is a legal instrument used to acquire products and services for the direct benefit or use by the FAA.

Contract. As used herein denotes the document (for example, contract, memorandum of agreement or understanding, purchase order) used to implement an agreement between a customer (buyer) and a seller (supplier).

Contract dispute as used herein, means a written request seeking as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to the contract. A claim arising under a contract unlike a claim

relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. The term does not include a request for payment of an invoice, voucher, or similar routine payments expressly authorized under the terms of the contract, which have not been rejected by the contracting officer. The term includes a termination for convenience settlement proposal and request for equitable adjustment, but does not include cost proposals seeking definitization of a letter contract or other undefinitized contract action.

Contractor. The party(ies) receiving a direct procurement contract from the FAA and who is responsible for performance of the contract requirements.

Controversy or concern. A material disagreement between the FAA and an offeror that could result in a protest.

Core policy refers to the official governing policy of the Acquisition Management System. It consists of all Sections and Appendices A-E of this document. All other acquisition information not contained within this policy document is in the form of guidance, processes, references, and other acquisition aids, used by the lifecycle management workforce with discretion and in a manner that makes sense for individual programs. All of this information, including core policy, is considered to be the entire Acquisition Management System. This information may be found within the FAA Acquisition System Toolset on the Internet.

Cost is the contractor's expenses of contract performance, either estimated or actual.

Cost or pricing data. See "Certified Cost or Pricing Data" and "Non-certified Cost or Pricing Data".

Critical operational issue. A key operational effectiveness or suitability issue that must be examined in operational test and evaluation to determine a product's capability to perform its mission.

Customer. External users of FAA products or services, such as airlines and the flying public.
See User.

Data. Recorded information of any nature (including administrative, managerial, financial, and technical), regardless of medium or characteristics.

Demand, as used in the context of mission analysis, is the current or projected demand for FAA products, services, and capacity, based on input from diverse sources such as the aviation community, Enterprise Architecture, long-range planners, and operators and maintainers of the NAS and other FAA support systems.

Design to cost is a concept that establishes cost elements as management goals to best balance between lifecycle cost, acceptable performance, and schedule. Under this concept, cost is a design constraint during the design, development, and production phases, and a management discipline throughout the system lifecycle.

Direct-work maintenance staffing. The direct person-hours required to operate, maintain, and support a product for the duration of its lifecycle.

Disapproval. Conclusion by the appropriate authority that an item submitted for approval is either not complete or is not suitable or its intended use.

Discriminating criteria/key discriminators, used in procurement context, are those factors expected to be especially important, significant, and critical in the ultimate source selection decision.

Dispute as used herein, means a Contract Dispute or Claim.

Dispute resolution officer is a licensed legal practitioner who is a member of the Office of Dispute Resolution, and who has authority to conduct proceedings, which, if agreed to by the parties and concurred in by the FAA Administrator, result in binding decisions on the parties.

Dominant business is a controlling or major influence in a market in which a number of businesses are primarily engaged. Factors such as business volume; number of employees; financial resources; competitiveness; ownership or control of materials, processes, patents, and license agreements; facilities; sales territory; and nature of the business must be considered.

Economically disadvantaged individuals means disadvantaged individuals whose ability to compete in the free enterprise system is impaired due to diminished opportunities to obtain capital and credit as compared to others in the same line of business who are not disadvantaged.

End product. A system, service, facility, or operational change that is intended for delivery to a customer or end user.

Enterprise architecture defines the operational and technical framework for all capital assets of the FAA. It describes the agency's current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture has three segments: the NAS architecture, the NAS regulatory architecture, and the non-NAS architecture. The non-NAS segment uses the Federal Enterprise Architecture Framework (FEAF). The operational view is split between the business process, application, and data views. The systems view in the FEAF is specified in the technical view.

Enterprise architecture products include the operational view family (business rule) and systems view family (engineering). Operational view family components represent a set of graphical and textual products that describe the changes in tasks and activities, operational elements, and information exchanges required to accomplish NAS service delivery or ATO business processes. The business process and application views present this information in the FEAF with the data architecture providing the terms used to describe information exchanges between processes. System view family components represent a set of graphical and textual products that describe systems and interfaces that directly or indirectly support, communicate, or facilitate NAS service delivery or ATO business processes. In the FEAF, interfaces between applications are described in the application view. Also in the FEAF, there is a logical

description of systems, but not a physical or geographic description in the enterprise architecture.

Evolutionary product development is the process of establishing a product designed to evolve over time, as opposed to the need for wholesale replacement, to satisfy requirements. The objective is to accommodate rapid insertion of new technology and upgrades, rather than invest in entirely new products.

FAA disputes resolution system is a process established within the FAA for resolving protests of FAA screening information request and contract awards, as well as contract disputes.

FAA Office of Dispute Resolution for Acquisition is an independent organization within the FAA, reporting to the FAA Chief Counsel, which is staffed with an appropriate number of dispute resolution officers.

Fee is compensation paid to a consultant for professional services rendered.

Firm, as defined for architect-engineering services, is any individual, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture or engineering.

Firmware. The combination of a hardware device and computer instructions or computer data that reside as read-only software "burned into" the hardware device; various types of firmware include devices whose software code is erasable/re-programmable to some degree.

First-Level Technical Support *level technical support*. This work comprises maintenance of the National Airspace System infrastructure and includes certifying equipment and performing periodic maintenance, restoration, troubleshooting, and corrective activities.

Functional baseline is the initially approved documentation describing a product's functional, interoperability, and interface characteristics, and the verification required to demonstrate the achievement of those characteristics.

Generic processes. Flowcharts and supporting information, including descriptions, approving officials, references, templates, and other aids that describe each event of a phase of the lifecycle management process. Generic processes are provided to service organizations for guidance to assist in the complex planning, product development, procurement, production, testing, delivery, and implementation activities of this important phase of the lifecycle management process. Generic processes are an integral part of FAST.

Hardware products. Made of material and their components (mechanical, electrical, electronic, hydraulic, pneumatic). Computer software and technical documentation are excluded.

Historically black colleges and universities. Institutions determined by the U.S. Secretary of Education to meet the requirements of 34 CFR 608.2 and listed therein.

Human factors are a multi-disciplinary effort to generate and apply human performance information to acquire safe, efficient, and effective operational systems.

Implementation strategy and planning is the detailed planning document for all aspects of program implementation. It integrates the planning requirements of several previous FAA planning documents including the program master plan, the integrated logistics support plan, the test and evaluation master plan, the program implementation plan, the human factors plan, and the procurement plan. It is recorded in the implementation strategy and planning document.

In-service decision is the decision to accept a product or service for operational use during the solution implementation phase of the lifecycle management process. This decision allows deployment activities, such as installing products at each site and certifying them for operational use, to start.

In-service management phase of the lifecycle management process, is that period of time after a product or service begins operational use, and continues for as long as the product is in use.

Indian means any person who is a member of any Indian tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs in accordance with 25 U.S.C. 1452(c) and any "Native" as defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601).

Indian organization means any governing body of any Indian tribe or entity established or recognized by the governing body of an Indian tribe for the purposes of 25 U.S.C., chapter 17.

Indian-owned economic enterprise means any Indian-owned (as determined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for the purpose of profit, provided that Indian ownership shall constitute not less than 51 percent of the enterprise.

Indian tribe means any Indian tribe, band, group, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from BIA in accordance with 25 U.S.C. 1452 (c).

Integrated logistics support is the functional discipline that plans, establishes, and maintains a full lifecycle support system for FAA products and services. This applies to the sustainment and disposal of fielded products and services as well as new investment programs. The objective is the required level of service to the end user at optimal lifecycle cost to the FAA. The logistics manager is the service-team member who plans, establishes, and maintains an integrated product support package for the lifecycle of FAA products and services.

Integrated requirements team. An integrated requirements team is made up of subject-matter experts from various disciplines to address air traffic system requirements and FAA goals and objectives in a disciplined forum setting. These teams are intended to provide horizontal

integration across organizational lines, continuity of requirements throughout mission and investment analysis , and stability of requirements throughout the lifecycle.

Interagency agreement is a written agreement between the FAA and another Federal agency where the FAA agrees to receive from, or exchange supplies or services with, the other agency, and FAA funds are obligated.

Interested party. An interested party is one who:

(1) Prior to the close of a solicitation, is an actual or prospective participant in the procurement, excluding prospective subcontractors; or

(2) After the close of a solicitation, is an actual participant who would be next in line for award under the solicitations scheme if the protest is successful. An actual participant who is not in line for award under the solicitations scheme is ineligible to protest unless that party's complaint alleges specific improper actions or inactions by the agency that caused the party to be other than in line for award. Proposed subcontractors are not eligible to protest.

Where a contract has been awarded prior to the filing of a protest, the awardee may be considered an interested party for purposes of participating in the protest proceedings.

Interface. The performance, functional, and physical attributes required to exist at a common boundary.

Interface ~~Control~~control ~~Documentation~~documentation. Interface control drawing or other documentation that depicts physical, functional, and test interface characteristics between two or more related or co-functioning items.

Interim ~~Payment~~payment is a form of contract financing for cost reimbursement contracts where a contractor is paid periodically during the course of a contract for allowable costs it incurs in the performance of the contract. As interim payments are issued during the course of a contract, they do not include the final payment issued after contract completion.

Intra-agency agreement is a written agreement between the FAA and Office of the Secretary of Transportation or another Department of Transportation operating administration where the requesting organization agrees to provide or exchange supplies or services with the FAA, and FAA funds are obligated.

Investment analysis of the lifecycle management process is conducted to determine the most advantageous solution to an approved mission need. It involves: (1) a market search to determine industry capability, (2) analysis of various alternative approaches for satisfying requirements, (3) and affordability assessment to determine what the FAA can afford, and (4) detailed planning for the alternative selected for implementation.

Investment program. A sponsored, fully funded effort initiated at the final investment decision of the lifecycle management process by the investment decision authority in response to a priority agency need. The goal of an investment program is to field a new capability that satisfies performance, cost, and schedule targets in the acquisition program baseline and benefit targets in the business case analysis report. Typically an investment program is a separate budgeted line-item and may have multiple procurements and several projects, all managed within the single program.

Joint Resources Council is the FAA body responsible for making corporate level decisions.

Learning system is the same as lifecycle management workforce learning system (see below).

Lifecycle. The entire spectrum of activity for an FAA capital asset starting with the identification of need and extending through design, development, production or construction, deployment, operational use, sustaining support, and retirement and disposal.

Lifecycle management process. A depiction of the series of phases and decision points that comprise the lifecycle of FAA products and services.

Lifecycle acquisition management system is a fully coordinated set of policies, processes, and computer-based acquisition tools that guide the lifecycle management workforce through the lifecycle management process from the determination of mission needs to the procurement and lifecycle management of products and services that satisfy those needs.

Lifecycle cost is the total cost to the FAA of acquiring, operating, maintaining, supporting, and disposal of systems or services over their useful life. Lifecycle cost includes total investment costs, development costs, and operational costs and includes all appropriations, RE&D, F&E, and O&MOPS.

Lifecycle management workforce. All individuals who play a role in the lifecycle management process. Service organizations are a major part of the lifecycle management workforce. Also included are those persons associated with strategic planning, mission analysis, investment analysis, users of investment program capabilities and products, and various other functional discipline support organizations.

Line of business. An informal term used to characterize the major organizations of the FAA, headed by the Chief Operating Officer (ATO) or the AssociateAssistant or AssistantAssociate Administrator (non-ATO), having major roles and responsibilities in the lifecycle Acquisition Management System- (FAA staff offices led by an Assistant Administrator are considered as a line of business for purposes of AMS). They are: Air Traffic Organization; Aviation Safety; Airports; Commercial Space Transportation; Security Civil Aviation and Hazardous SecurityMaterials Safety; Finance and Management; NextGen and Operations Planning; Policy, International, Affairs and Environment, Human Resources; Civil Rights; Government and RegionsIndustry Affairs; and CentersCommunications. See Appendix A for line of business roles and responsibilities.

Maintenance planning. The process is conducted to determine, evolve, and establish hardware and software maintenance concepts and requirements for the lifecycle of a product.

Maintenance support facility. The permanent or semi-permanent real property assets required to support a product. Maintenance support facility management includes conducting studies to define types of facilities or facility improvements, locations, space needs, environmental requirements, real estate requirements and equipment.

Market survey is used in two different contexts in AMS. In terms of the procurement and contracting process, it refers to any method used to survey industry to obtain information and comments and to determine competition, capabilities, and estimate costs. In terms of the lifecycle management process, market surveys are an integral part of investment analysis. After initial requirements are established, market surveys are used as a basis for identifying all potential material and nonmaterial solutions to mission need.

Memorandum of agreement (MOA) is a written document executed by the parties, which creates a legally binding commitment and may require the obligation of funds. However, when the FAA will acquire services, equipment, personnel, or facilities from a contractor for the direct benefit or use of the FAA, a procurement contract should be used.

Memorandum of understanding (MOU) is a written document executed by the parties which establishes policies or procedures of mutual concern. It does not require either party to obligate funds and does not create a legally binding commitment.

Merchant category codes (MCC) means the codes established by the bankcard associations or banks to identify different types of businesses. Merchants select the codes best describing their business. Approving officials may limit the types of businesses where the card will be accepted by limiting the MCC available to the cardholder.

Metrics are measurements taken over time that monitor, assess, and communicate vital information about the results of a program or activity. Metrics are generally quantitative, but can be qualitative.

Minority Educational Institutions. Institutions verified by the U.S. Secretary of Education to meet the criteria set forth in 34 CFR 637.4. Also includes Hispanic-serving institutions as defined by 20 U.S.C. 1059c(b)(1).

Mission analysis is that part of the lifecycle management process during which continuous analytical activity is performed to evaluate the capacity of FAA assets to satisfy existing and emerging demands for services. It is conducted within the lines of business organizations of the FAA.

Multi-year contracts are contracts covering more than one year but not in excess of five years of requirements. Total contract quantities and annual quantities are planned for a particular level and type of funding as displayed in a current five year development plan. Each program year is annually budgeted and funded and, at the time of award, funds need only to have been

appropriated for the first year. The contractor is protected against loss resulting from cancellation by contract provisions, which allows reimbursement of costs included in the cancellation ceiling.

Multi-year funding refers to Congressional authorization and appropriation covering more than one fiscal year. The term should not be confused with two-year or three-year funds which cover only one fiscal year's requirement but permit the Executive Branch more than one year to obligate the funds.

NAS ~~Enterprise~~enterprise ~~Architecture~~architecture is a NAS-wide enterprise repository of views which describe the current (as-is), mid-term, and far-term (to-be) perspectives of the NAS architecture as well as the strategic planning roadmaps which depict the possible evolution path from the “as is” to the “to be”.

NAS technical documentation. Any set of documents that describe the technical requirements of the National Airspace System.

Neutral means an impartial third party, who serves as a mediator, fact finder, or arbitrator, or otherwise functions to assist the parties to resolve the issues in controversy. A neutral person may be a permanent or temporary officer or employee of the federal government or any other individual who is acceptable to the parties. A neutral person shall have no official, financial, or personal conflict of interest with respect to the issues in controversy, unless such interest is fully disclosed in writing to all parties and all parties agree that the neutral person may serve.

NextGen Implementation Plan is an executive-level outline of current activities and program commitments necessary to implement new operational capabilities. The plan is published annually to reflect prior-year accomplishments and new commitments.

No-year funding refers to Congressional funding that does not require obligation in any specific year or years.

Non-certified cost or pricing data is any type of information that is not required to be certified, that is necessary to determine price reasonableness or cost realism. This includes pricing, sales, or cost information, and cost or pricing data for which certification is determined inapplicable after submission.

Non-developmental item (NDI) is an item that has been previously developed for use by federal, state, local, or a foreign government and for which no further development is required.

Nonmaterial solution. A solution to an FAA capability shortfall identified during mission or investment analysis that is operationally acceptable to users and can be implemented within approved budgets and baselines. Nonmaterial solutions typically involve regulatory change, process re-engineering, training, procedural change, or transfer of operational assets between sites.

Nonrecurring costs are those production costs which are generally incurred on a one time basis and include such costs as plant or equipment relocation, plant rearrangement, special tooling and

special test equipment, pre-production engineering, initial spoilage and rework, and specialized workforce training.

Operational baseline. The approved technical documentation representing installed operational hardware and software.

Operational readiness refers to the state of a fielded new system in the NAS. This state is achieved after the system is tested by the FAA at a field test site where it is demonstrated that local site personnel have the ability to fully operate and maintain the new system.

Operational suitability. The capability of a product to be satisfactorily integrated and employed for field use, considering such factors as compatibility, reliability, human performance factors, maintenance and logistics support, safety, and training. The term also refers to the actual degree to which the product satisfies these parameters.

Other transaction. Transactions, as referenced in Public Law 104-264, October 9, 1996, which do not fall into the category of procurement contracts, grants, or cooperative agreements.

Owners. Within context of the Air Traffic Organization, owners of the FAA are the President, Congress, flying public, and American taxpayers.

Packaging, handling, storage and transportation. The resources, processes, procedures, design considerations, and methods to ensure that all subsystem, equipment, and support items are preserved, packaged, handled, and transported properly. Included are environmental considerations and equipment preservation requirements for short and long term storage and transportability.

Performance. A quantitative measure characterizing a physical or functional attribute relating to the execution of an operation or function. Performance attributes include quantity (how many or how much), quality (how well), coverage (how much area, how far), timeliness (how responsive, how frequent), and readiness (availability, mission/operational readiness). Performance is an attribute for all systems, people, products and processes including those for development, production, verification, deployment, operations, support, training and disposal. Thus, supportability parameters, manufacturing process variability, reliability and so forth, are all performance measures.

Performance parameters are those mission-critical performance and lifecycle supportability criteria contained in the program requirements document. They represent the sponsoring organization's translation of the capability shortfall in an enterprise architecture roadmap into critical factors the selected solution must contain in its eventual operational state to satisfy the user's needs.

Personnel security. The standards and procedures utilized to determine and document that the employment or retention in employment of an individual will promote the efficiency of the service and is clearly consistent with the interests of the national security.

Prescreening. The evaluation of case files for impacts on safety, ATC services, and other intangible benefits, as well as cost/benefits implications, to determine if the proposed change should be implemented.

Price equals cost plus any fee or profit involved in the procurement of a product or service.

Primary engineer or principal consultant is a firm which is held responsible for the overall performance of the services, including that which is accomplished by others under separate or special service contracts.

Procurement strategy meeting is a meeting of organizations with vested interests in the contemplated procurement. The purpose of this meeting is to reach a consensus on the planned course of the acquisition and to obtain the necessary approvals to proceed.

Procurement Team ~~team~~ means the Contracting Officer, legal counsel, program officials and other supporting staff.

Program requirements document establishes the operational framework and requirements of the line of business with a mission need. It translates mission need into top-level performance, supportability, and benefit requirements that should be satisfied by the fielded capability. It is prepared in the concept and requirements definition phase of the lifecycle management process.

Product baseline ~~Baseline~~ is the initially approved documentation describing all of the necessary functional and physical characteristics of the configuration item and the selected functional and physical characteristics designated for production acceptance testing and tests necessary for support of the configuration item. In addition to this documentation, the product baseline of a configuration item may consist of the actual equipment and software.

Product Team ~~(PT) team~~ or **Service Team** ~~service (ST) team~~. A team with a mission, resources, leader, and cross-functional membership, which executes an element of a service organization's mission.

Program decision-making. In general, resource decision-making in the lifecycle management process is at the corporate level and program decision-making is within service organization.

Protest is a written, timely objection submitted by a protester to an FAA screening information request or contract award.

Protester is a prospective offeror whose direct economic interest would be affected by the award or failure to award an FAA contract, or an actual offeror with a reasonable chance to receive award of an FAA contract.

Rational Basis ~~basis~~. Documented facts that are: (1) objective and verifiable (not unreasonable, capricious or arbitrary), (2) understandable to a reasonable person, and (3) supported by substantial evidence that results in a logical conclusion. The AMS is a tool used to help formulate a rational basis.

Real ~~Property~~property is defined as:

(1) Any interest in land, together with the improvements, structures, and fixtures located thereon (including prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers with or without undercarriages), and appurtenances thereto, under the control of any Federal agency, except-

(a) The public domain;

(b) Lands reserved or dedicated for national forest or national park purposes;

(c) Minerals in lands or portions of lands withdrawn or reserved from the public domain that the Secretary of the Interior determines are suitable for disposition under the public land mining and mineral leasing laws;

(d) Lands withdrawn or reserved from the public domain but not including lands or portions of lands so withdrawn or reserved that the Secretary of the Interior, with the concurrence of the Administrator of General Services, determines are not suitable for return to the public domain for disposition under the general public land laws because such lands are substantially changed in character by improvements or otherwise; and

(e) Crops when designated by such agency for disposition by severance and removal from the land.

(2) Improvements of any kind, structures, and fixtures under the control of any Federal agency when designated by such agency for disposition without the underlying land (including such as may be located on the public domain, on lands withdrawn or reserved from the public domain, on lands reserved or dedicated for national forest or national park purposes, or on lands that are not owned by the United States) excluding, however, prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers (with or without undercarriages).

(3) Standing timber and embedded gravel, sand, or stone under the control of any Federal agency, whether designated by such agency for disposition with the land or by severance and removal from the land, excluding timber felled, and gravel, sand, or stone excavated by or for the Government prior to disposition.

Record drawings are drawings submitted by a contractor or subcontractor at any tier to show the construction of a particular structure or work as actually completed under the contract.

Recurring costs are production costs that vary with the quantity being produced, such as labor and materials.

Release. The designation by the originating activity that a document or software version is approved by an appropriate authority and is subject to configuration change management procedures.

Requirements. Conditions or capabilities that must be met or exceeded by a product or component to satisfy agency needs. Requirements form the basis for a contract, standard, specification, or other formally imposed document.

Research, engineering and development (RE&D). The RE&D process governs selection and execution of the RE&D portfolio. This portfolio includes systematic studies to gain knowledge or understanding of concepts, products, or procedures that could potentially benefit the aviation community with or without specific application or means by which a specific need may be met such as research related to materials and human factors. These activities inform the NAS enterprise architecture and CMTD activities, but do not lead directly to concept and requirements definition.

Resources. As it applies to contractor personnel security refers to FAA resources including a physical plant, information databases including hardware and software, as well as manual records pertaining to agency mission or personnel.

Screening is the process of evaluating offeror submittals to determine either which offerors/products are qualified to meet a specific type of supply or service, which offerors are most likely to receive award, or which offerors provide the best value to the FAA.

Screening decision is the narrowing of the number of offerors participating in the source selection process to only those offerors most likely to receive award.

Screening information request is any request made by the FAA for documentation, information, or offer for the purpose of screening to determine which offeror provides the best value solution for a particular procurement.

Second-level engineering support. This work comprises engineering support of the National Airspace System infrastructure and includes defining system performance standards, developing and publishing procedures, designing system improvements, and providing support to first-level technical support personnel.

Selection decision is the determination to make an award by the source selection official to the offeror providing the best value to the FAA.

Service-disabled veteran-owned small business is a small business concern that is 51% owned and controlled by a service disabled veteran(s).

Service organization. A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation,

certification, operations, commercial space transportation, airport development, or administrative functions.

Simplified purchases are those products or services of any nature that are smaller in dollar value, less complex, shorter term, routine, or are commercially available and are generally purchased on a fixed price basis.

Single-source contracting is to award a contract, without competition, to a single supplier of products or services.

Small business is a business, including its affiliates, that is independently owned and operated and not dominant in producing the products or performing the services being purchased, and one that qualifies as a small business under the federal government's criteria and North American Industry System Classification Codes size standards.

Small business set-aside is the reservation of an acquisition exclusively for participation by small businesses.

Small disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Small socially and economically disadvantaged business means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent

Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

Socially disadvantaged individuals - individuals who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their qualities as individuals.

Solution implementation is the phase of the lifecycle management process that begins after the investment decision authority selects a solution and establishes an investment program. It ends when the new capability goes into service. This phase is led by the service organization assigned by the IDA at the investment decision.

Solution providers. An organization (e.g., service organization or a regional office implementing a construction program) that has the responsibility for providing assets to satisfy National Airspace requirements.

Specification. A document that explicitly states essential technical attributes/requirements for product and procedures to determine that the product's performance meets its requirements/attributes.

Standardization is the practice of acquiring parts, components, subsystems, or systems with common design or functional characteristics to obtain economies in ownership costs.

Strategic sourcing. The collaborative and structured process of critically analyzing an organization's spending and using this information to make business decisions about acquiring products and services more effectively and efficiently.

Supply, as used in the context of mission analysis, is the existing or projected supply of services to its customers, based on information from field organizations that operate and maintain the NAS, from the aviation community, and from the enterprise architecture.

Supply support. All management actions, procedures, and techniques used to determine requirements that acquire, catalog, track, receive, store, transfer, issue, and dispose of items of supply. This includes provisioning for initial support, maintaining asset visibility for financial accountability, and replenishing spares.

Supportability. The degree to which product design and planned logistics resources meet product use requirements.

Support equipment. All equipment (mobile or fixed) required to support maintenance of a product. It includes associated multi-use end items, ground-handling and maintenance equipment, tools, metrology and calibration equipment, test equipment, and automatic test equipment. It includes the procurement of integrated logistics support necessary to maintain the support equipment itself. Operational engineering support systems and facilities are also integral parts of the lifecycle support equipment.

Sustainment. Those activities associated with keeping fielded products operational and maintained. Also applies to the planning, programming and budgeting for fielded products, referred to as sustainment funding.

Technical data. Recorded information regardless of form or character (such as manuals, drawings and operational test procedures) of a scientific or technical nature required to operate and maintain a product over its lifecycle. While computer programs and related software are not technical data, documentation of these programs and related software are technical data. Also excluded is financial data or other information related to contract administration.

Technical leveling is the act of helping an offeror to bring its proposal/offer up to the level of other proposals/offers through successive rounds of communication, such as by pointing out weaknesses resulting from the offeror's lack of diligence, competence, or inventiveness in preparing his proposal.

Technical transfusion is the FAA's disclosure of technical information from one submittal that results in the improvement of another submittal.

Technical opportunity. A technological opportunity exists when a product or capability not currently used in the NAS has the potential to enable the FAA to perform its mission more safely, efficiently or effectively.

Termination for convenience is a procedure that may apply to any FAA contract, including multi-year contracts. As contrasted with cancellation, termination can be effected at any time during the life of the contract (cancellation is effected between fiscal years) and can be for the total quantity or a partial quantity (whereas cancellation must be for all subsequent fiscal year quantities).

Termination liability is the maximum cost the FAA would incur if a contract is terminated. In the case of a multi-year contract terminated before completion of the current fiscal year's deliveries, termination liability would include an amount for both current year termination charges and out year cancellation charges.

Termination liability funding refers to obligating contract funds to cover contractor expenditures plus termination liability, but not the total cost of the completed end items.

Total estimated potential value. The sum of the initial award, unexercised options, the value of any indefinite delivery/indefinite quantity (IDIQ) contract line items (CLINs), estimates for unpriced CLINs, such as preplanned product improvements, estimated value of partially priced items, and any other items the Contracting Officer deems relevant to establishing potential total contract value. The potential contract value should exclude anticipated change orders, pre-planned product improvements which are not established as CLINs, and any other anticipated actions not included in the written contract. Where duplicative or alternative options are established (i.e., if option 1 is exercised, option 2 will not be exercised) the Contracting Officer should include only the value which reflects the highest priced option. For incentive contracts, the maximum liability of the Government should be included in the potential contract value. For

IDIQ contracts, the total contract value is the stated maximum amount the total of issued delivery orders cannot exceed.

Training, training support, and personnel skills. The analysis, design, development, implementation, and evaluation of training requirements to operate and maintain the product. This includes: conducting needs analyses; job and task analyses; delivering individual and team training; resident and nonresident training; on-the-job training; job aids; and logistic support planning for training aids and training installations.

Unauthorized commitment is an agreement entered into by a representative of the FAA who does not have the authority to obligate the FAA to spend appropriated funds.

Unit. One of a quantity of items (products, parts, etc.)

User. Internal FAA user of a product or service, such as Air Traffic Controllers or maintenance technicians.

Validation. Confirmation that an end product or end-product component will fulfill its intended purpose when placed in its intended environment. The methods employed to accomplish validation are applied to selected work products as well as to the end product and end-product components. Work products should be selected on the basis of which are the best predictors of how well the end product and end-product component will satisfy the intended purpose and user needs. Validation may address all aspects of an end product in any of its intended environments, such as operation, training, manufacturing, maintenance, or support services.

Verification. Confirmation that selected work products meet their specified requirements. This includes verification of the end product (system, service, facility, or operational change) and intermediate work products against all applicable requirements. Verification is inherently an incremental process since it occurs throughout the development of the end product and work products - beginning with initial requirements, progressing through subsequent changes, and culminating in verification of the completed end product.

Version. (1) One of several sequentially created configurations of a data product. (2) A supplementary identifier used to distinguish a changed body or set of computer-based data (software) from the previous configuration with the same primary identifier. Version identifiers are usually associated with data (such as files, data bases and software) used by, or maintained in, computers.

Very small business is a business whose size is no greater than 50 percent of the numerical size standard applicable to the North American Industry System Classification Codes assigned to a contracting opportunity.

Work product. A work product in various forms represents, defines, or directs the end product (system, service, facility, or operational change). This can include concepts of operation, processes, plans/procedures, designs/descriptions, requirements/specifications, models/prototypes, contracts/invoices and other documents.

Work breakdown structure. A hierarchical decomposition of the work to be performed to accomplish an approved agency objective. It includes both internal and external work activities and each descending level represents an increasing definition of the work to be performed.

Section 1.2.16 : OMB Budget Documentation

Old Content: Acquisition Management Policy:

Section 1.2.16 : OMB Budget Documentation

The OMB Exhibit 300 is a budget request document that is updated each year and sent to OMB during the annual budget cycle for designated capital investment programs. Service organizations prepare the OMB Exhibit 300, which is independently reviewed and scored by the AIO Value Management Office. The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB. The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

New Content: Acquisition Management Policy:

Section 1.2.16 : OMB Budget Documentation

The OMB Exhibit 300 is a budget request document updated yearly and sent to OMB during the annual budget cycle for designated capital investment programs. Service organizations prepare the OMB Exhibit 300, which is independently reviewed and scored by the Information Technology Program and Portfolio organization. The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB. The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

Red Line Content: Acquisition Management Policy:

Section 1.2.16 : OMB Budget ~~Documentation~~ Documentation

The OMB Exhibit 300 is a budget request document ~~that is~~ updated ~~each~~ yearly ~~year~~ and sent to OMB during the annual budget cycle for designated capital investment programs. Service organizations prepare the OMB Exhibit 300, which is independently reviewed and scored by the ~~AIO~~ Information Technology Value Program and Management Office ~~Portfolio organization~~. The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB. The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

Section 1.2.15 : AMS Lifecycle Management Documentation

Old Content: Acquisition Management Policy:
Section 1.2.15 : AMS Lifecycle Management Documentation

Table 1.2.14-1 summarizes the purpose, requirement, responsible organization, and approving official for required AMS lifecycle management planning and control documents. Appendix B contains detailed policy for investment-program documents. Complete instructions and templates are in FAST. Click here to [view tailoring guidelines by acquisition category](#).

Table 1.2.14-1 AMS Lifecycle Acquisition Management Policy Planning and Control Documents

Document	Purpose	Requirement	Responsible Organization(s)	Approving Official or Body
FAA Strategic Plan	Defines long-range vision and goals for the FAA Establishes top-level performance measures and multi-year performance targets for the FAA	Reviewed and updated annually	FAA Plans and Policy organization	Administrator
FAA Enterprise Architecture	Defines the FAA target architecture and the transition strategy to reach the target Establishes the basis for service organization planning Defines the strategic investment plan for the FAA	Reviewed annually and updated as needed	Chief Information Officer Service organizations ATO Operations Planning	Joint Resources Council
Exhibit 300	Budgetary document required by OMB for designated investment programs	Preliminary document at the initial investment decision Final document at the	Investment analysis team Implementing service organization	Acquisition Executive Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business Chief Financial

		final investment decision		Officer Chief Information Officer ATO Senior Vice President for Finance Deputy Administrator concurs
Acquisition Program Baseline*	Establishes the performance, cost, and schedule baselines for an investment program segment	Required for the final investment decision	Investment analysis team headed by the service organization with the mission need	Chair of the investment decision authority Designated ACAT reviewers
Program Requirements Document	Defines the operational framework and performance requirements an investment program must achieve	Preliminary document at the investment analysis readiness decision Revised document at the initial investment decision Final document at the final investment decision	Implementing service organization Operating service organization	ATO: Vice Presidents of the executing service unit during solution implementation and the operating service organization Non-ATO: Second-level executive of the executing service organization during solution implementation
Business Case Analysis Report	Summarizes results of the business case analysis Provides the analytical and quantitative basis for investment	Initial BCAR at the initial investment decision Final BCAR at the final investment decision.	Investment analysis team, headed by the service organization with the mission need	Vice President or Director of the implementing service organization Designated ACAT reviewers

	decisions			
Implementation Strategy and Planning Document	Defines overall implementation strategy and planning for an investment program	<p>Alternatives analyzed and summarized comparatively for factors in sections of ISPD specified here for the initial investment decision</p> <p>Complete ISPD required for the final investment decision</p> <p>Reviewed annually</p>	<p>Implementing service organization</p> <p>Operating service organization</p>	<p>Chair of the investment decision authority</p> <p>ATO: Senior Vice President of operations and Vice President of the organization executing during solution implementation</p> <p>Non-ATO: Second-level executive of the organization executing during solution implementation</p> <p>Stakeholder organizations approve specific planning sections per the ISPD template</p> <p>Updates are approved at the same level</p>

* Whenever baseline reviews indicate a negative variance to a baseline measure, the service organization must take action as prescribed in AMS Section 1.2.3.

**New Content: Acquisition Management Policy:
Section 1.2.15 : AMS Lifecycle Management Documentation**

Table 1.2.15-1 summarizes the purpose, requirement, responsible organization, and approving official for required AMS lifecycle management planning and control documents. Appendix B contains detailed policy for investment-program documents. Complete instructions and templates are in FAST. Click here to [view tailoring guidelines by acquisition category](#).

Table 1.2.15-1 AMS Lifecycle Acquisition Management Policy Planning and Control Documents

Document	Purpose	Requirement	Responsible Organization(s)	Approving Official or Body
Destination 2025	<p>Defines long-range vision and goals for the FAA</p> <p>Establishes top-level performance measures and multi-year performance targets for the FAA</p>	Reviewed and updated annually	Strategy, Budget, and Planning Committee	Administrator
FAA Enterprise Architecture	<p>Defines the FAA target architecture and the transition strategy to reach the target</p> <p>Establishes the basis for service organization planning</p> <p>Defines the strategic investment plan for the FAA</p>	Reviewed annually and updated as needed	<p>Chief Information Officer</p> <p>Assistant Administrator for NextGen</p> <p>IT Shared Services Committee</p>	Joint Resources Council
OMB Exhibit 300	Budgetary document required by OMB for designated investment programs	<p>Preliminary document at the initial investment decision</p> <p>Final document at the final investment decision</p>	<p>Investment analysis team</p> <p>Implementing service organization</p>	<p>ATO: Chief Operating Officer</p> <p>Non-ATO: Associate or Assistant Administrator of the line of business or staff office</p> <p>Acquisition Executive</p> <p>Chief Financial Officer</p> <p>Chief Information Officer</p> <p>Deputy Administrator concurs</p>

Acquisition Program Baseline*	Establishes the performance, cost, and schedule baselines for an investment program segment	Required for the final investment decision	Investment analysis team headed by the service organization with the mission need	Chair of the investment decision authority Designated ACAT reviewers
Program Requirements Document	Defines the operational framework and performance requirements an investment program must achieve	Preliminary document at the investment analysis readiness decision Revised document at the initial investment decision Final document at the final investment decision	Implementing service organization Operating service organization	ATO: Vice Presidents of the executing service unit during solution implementation and the operating service organization Non-ATO: Second-level executive of the executing service organization during solution implementation
Business Case	Summarizes results of the business case analysis Provides the analytical and quantitative basis for investment decisions	Initial business case at the initial investment decision Final business case at the final investment decision.	Investment analysis team, headed by the service organization with the mission need	ATO: Vice President of the implementing service organization Non-ATO: Director of the implementing service organization Designated ACAT reviewers
Implementation Strategy and Planning Document	Defines overall implementation strategy and planning for an investment program	For the initial investment decision, alternatives are analyzed and summarized comparatively for factors in select	Implementing service organization Operating service organization	Chair of the investment decision authority ATO: Senior Vice President of operations and

		sections of the ISPD Complete ISPD is required for the final investment decision Reviewed annually		Vice President of the organization executing during solution implementation Non-ATO: Second-level executive of the organization executing during solution implementation Stakeholder organizations approve specific planning sections per the ISPD template Updates are approved at the same level
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* Whenever baseline reviews indicate a negative variance to a baseline measure, the service organization must take action as prescribed in AMS Section 1.2.3.

**Red Line Content: Acquisition Management Policy:
Section 1.2.15 : AMS Lifecycle Management Documentation**

Table 1.2.14/15-1 summarizes the purpose, requirement, responsible organization, and approving official for required AMS lifecycle management planning and control documents. Appendix B contains detailed policy for investment-program documents. Complete instructions and templates are in FAST. Click here to [view tailoring guidelines by acquisition category](#).

Table 1.2.14/15-1 AMS Lifecycle Acquisition Management Policy Planning and Control Documents

Document	Purpose	Requirement	Responsible Organization(s)	Approving Official or Body
FAA Strategic Destination Plan 2025	Defines long-range vision and goals for the FAA Establishes top-level performance measures and multi-year performance targets for the	Reviewed and updated annually	FAA Strategy, Plans Budget, and Policy organization Planning Committee	Administrator

	FAA			
FAA Enterprise Architecture	<p>Defines the FAA target architecture and the transition strategy to reach the target</p> <p>Establishes the basis for service organization planning</p> <p>Defines the strategic investment plan for the FAA</p>	<p>Reviewed annually and updated as needed</p>	<p>Chief Information Officer</p> <p>Service Assistant organizations Administrator for NextGen</p> <p>ATO Operations IT Shared Planning Services Committee</p>	<p>Joint Resources Council</p>
OMB Exhibit 300	<p>Budgetary document required by OMB for designated investment programs</p>	<p>Preliminary document at the initial investment decision</p> <p>Final document at the final investment decision</p>	<p>Investment analysis team</p> <p>Implementing service organization</p>	<p>Acquisition ATO: Executive Chief Operating Officer</p> <p>(Non-ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business or staff office</p> <p>Chief Financial Acquisition Officer Executive</p> <p>Chief Information Financial Officer</p> <p>ATO Senior Vice President Chief for Finance Information Officer</p> <p>Deputy Administrator concurs</p>
Acquisition Program Baseline*	<p>Establishes the performance, cost, and schedule baselines for an investment program segment</p>	<p>Required for the final investment decision</p>	<p>Investment analysis team headed by the service organization with the mission need</p>	<p>Chair of the investment decision authority</p> <p>Designated ACAT</p>

				reviewers
Program Requirements Document	Defines the operational framework and performance requirements an investment program must achieve	<p>Preliminary document at the investment analysis readiness decision</p> <p>Revised document at the initial investment decision</p> <p>Final document at the final investment decision</p>	<p>Implementing service organization</p> <p>Operating service organization</p>	<p>ATO: Vice Presidents of the executing service unit during solution implementation and the operating service organization</p> <p>Non-ATO: Second-level executive of the executing service organization during solution implementation</p>
Business Case Analysis Report	<p>Summarizes results of the business case analysis</p> <p>Provides the analytical and quantitative basis for investment decisions</p>	<p>Initial <u>BCAR <i>business case</i></u> at the initial investment decision</p> <p>Final <u>Final <i>BCAR business case</i></u> at the final investment decision.</p>	Investment analysis team, headed by the service organization with the mission need	<p><u>ATO: Vice President of the <i>implementing service organization</i></u></p> <p><u>Non-ATO: Director of the implementing service organization</u></p> <p>Designated ACAT reviewers</p>
Implementation Strategy and Planning Document	Defines overall implementation strategy and planning for an investment program	<p><u>Alternatives <i>For the initial investment decision, alternatives are</i></u> analyzed and summarized comparatively for factors in <u><i>select</i></u> sections of <u>ISPD specified here for the initial investment decision <i>ISPD</i></u></p> <p>Complete ISPD <u><i>is</i></u> required for the final investment decision</p> <p>—Reviewed annually</p>	<p>Implementing service organization</p> <p>Operating service organization</p>	<p>Chair of the investment decision authority</p> <p>ATO: Senior Vice President of operations and Vice President of the organization executing during solution implementation</p> <p>Non-ATO: Second-level executive of the organization executing during solution</p>

				implementation Stakeholder organizations approve specific planning sections per the ISPD template Updates are approved at the same level
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* Whenever baseline reviews indicate a negative variance to a baseline measure, the service organization must take action as prescribed in AMS Section 1.2.3.

Section 1.2.13 : AMS Change Management

Old Content: Acquisition Management Policy:

Section 1.2.13 : 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:

- 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 significant changes to acquisition management policy via the Acquisition Executive. The Acquisition Executive approves all other policy changes. The Director, Acquisition Policy and Workforce Development and Evaluation, approves guidance changes. Approved changes are incorporated into FAST quarterly. The acquisition policy change manager maintains FAST.

**New Content: Acquisition Management Policy:
Section 1.2.13 : AMS Change Management**

The Acquisition Executive Board reviews and authorizes development and implementation of acquisition management policy, guidance, processes, practices, procedures, and tools. The Acquisition Executive Board also 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:

- 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; and
- 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 the change to their ASAG representative, who processes it in accordance with AMS change management procedures. 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 significant changes to acquisition management policy via the Acquisition Executive. The Acquisition Executive approves all other policy changes. The Director, Acquisition Policy and Oversight approves guidance changes. Approved changes are incorporated into FAST quarterly. The acquisition policy change manager maintains FAST.

**Red Line Content: Acquisition Management Policy:
Section 1.2.13 : 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~~~~tools~~. -The ~~AEB~~**Acquisition Executive Board also** 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:

- 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; **and**

- 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~~the change to their ASAG representative, who processes ~~them~~it in accordance with ~~procedures~~AMS in change FAST management procedures. -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 significant changes to acquisition management policy via the Acquisition Executive. -The Acquisition Executive approves all other policy changes. -The Director, Acquisition Policy and ~~Workforce Development and Evaluation~~,Oversight approves guidance changes. -Approved changes are incorporated into FAST quarterly. -The acquisition policy change manager maintains FAST.

Section 1.2.12 : On-line Policy Access - FAST

Old Content: Acquisition Management Policy:

Section 1.2.12 : On-line Policy Access - FAST

FAST is the official record for acquisition management policy and guidance. It is an on-line information system available via the Internet at <http://fast.faa.gov>. FAST contains official guidance, process flowcharts, standard procurement clauses and statements of work, document templates and instructions, checklists, best practices, lessons learned, standards of quality, and other job-related aids for use by the workforce.

New Content: Acquisition Management Policy:

Section 1.2.12 : On-line Policy and Guidance

The FAA Acquisition System Toolset (FAST) is the official record of the Acquisition Management System. It is an information system available via the Internet at <http://fast.faa.gov>. FAST contains official lifecycle acquisition management policy and guidance, process flowcharts, contract clauses, document templates and instructions, checklists, practices, and other job-related aids for use by the workforce.

Red Line Content: Acquisition Management Policy:

Section 1.2.12 : On-line Policy ~~Acess~~and -FAST Guidance

~~FAST~~The FAA Acquisition System Toolset (FAST) is the official record ~~for acquisition of~~management policy and guidance~~the Acquisition Management System~~. It is an ~~on-~~line information system available via the Internet at <http://fast.faa.gov>. FAST contains official acquisition management policy and guidance, process flowcharts, ~~standard~~procurement~~contract~~ clauses ~~and statements of work~~, document templates and instructions,

checklists, best practices, ~~lessons learned, standards of quality,~~ and other job-related aids for use by the workforce.

Section 1.2.10 : Workforce Development and Qualification

Old Content: Acquisition Management Policy:

Section 1.2.10 : Workforce Development and Qualification

The FAA manages its human capital as a critical investment to ensure the agency has the capabilities it needs to achieve business goals. The FAA targets human capital initiatives that provide training for what is most relevant to the FAA mission and reach the right people with the right development opportunities at the right time. Effectiveness is evaluated against established targets and measures.

The FAA maintains a competency-based infrastructure supported by related training and development activities for key occupational communities. This infrastructure requires professional certification for managers and employees in key decision-making positions for designated investment programs. These certification programs satisfy requirements set by the Office of Management and Budget and the Office of Personnel Management. The agency identifies other key occupational certifications, as appropriate, and ensures the certification process is in alignment with Department of Transportation standards.

The Air Traffic Organization develops a yearly Strategic Human Capital Plan linked to FAA's strategic plan, business challenges, and organizational performance goals. An executive-level council oversees workforce planning and development and establishes investment priorities tied to business requirements.

New Content: Acquisition Management Policy:

Section 1.2.10 : Workforce Development and Qualification

The FAA manages its human capital as a critical investment to ensure the agency has the capabilities it needs to achieve business goals. The FAA's Acquisition Workforce Council, comprised of executives with acquisition responsibilities from across FAA, sets acquisition workforce-related requirements and oversees implementation and annual update of FAA's Acquisition Workforce Plan. The Director of Acquisition Policy and Oversight, who reports directly to the Chief Acquisition Officer, chairs the Acquisition Workforce Council and leads the acquisition career management function. AMS Section 5 contains policy related to the FAA's acquisition career program and associated competency, training, and certification requirements for personnel in key acquisition positions.

Red Line Content: Acquisition Management Policy:

Section 1.2.10 : Workforce Development and Qualification

The FAA manages its human capital as a critical investment to ensure the agency has the capabilities it needs to achieve business goals. The FAA ~~targets human capital initiatives that~~

provide training for what is most relevant to the's FAA mission Acquisition Workforce and reach Council, the right people comprised of executives with the right development opportunities at the right time. Effectiveness acquisition is responsibilities evaluated against established targets and from measures. The across FAA, maintains a competency sets acquisition workforce-based infrastructure supported by related training requirements and development activities for key occupational communities. This infrastructure requires professional certification for oversees managers implementation and employees annual in key decision-making update positions of for FAA's designated investment programs Acquisition Workforce Plan. These certification programs satisfy requirements set by the The Office Director of Management and Acquisition Budget Policy and the Office of Personnel Management. The Oversight, agency identifies other key occupational who reports directly to the certifications, Chief as appropriate Acquisition Officer, and ensures chairs the certification process is in alignment with Department of Transportation standards Acquisition Workforce Council and leads the acquisition career management function. The Air Traffic Organization develops AMS Section 5 contains a yearly Strategic Human Capital Plan policy linked related to the FAA's strategic plan, acquisition business career challenges, program and organizational performance goals. An executive-level council oversees associated workforce competency, planning training, and development and certification establishes investment priorities tied to business requirements requirements for personnel in key acquisition positions.

Section 1.2.8 : Acquisition Quarterly Reviews

Old Content: Acquisition Management Policy:

Section 1.2.8 : Acquisition Quarterly Reviews

Investment decision authorities review the portfolio of service organization investment programs each quarter (except in the spring when service-level reviews are held) to oversee cost, schedule, and technical performance using a standard set of program and performance measures (See AMS 2.1.6). These standard program measures are organized into: financial, schedule, technical, resources, program manager assessment, and external interests. The status of OMB IT Dashboard milestones is also reviewed along with significant program risks. The Directors of each service organization present and discuss performance for all baselined programs and those planning programs that report to the Office of Management and Budget. The reviews use SPIRE, earned-value management (or equivalent), and Enterprise Architecture data to assess technical, cost, and schedule issues that may impact the ability of programs to meet their acquisition program baseline values.

New Content: Acquisition Management Policy:

Section 1.2.8 : Acquisition Quarterly Reviews

The investment decision authority reviews the portfolio of service organization investment programs each quarter (except in the spring when service-level reviews are held) to oversee cost, schedule, and technical performance using a standard set of program and performance measures (see AMS 2.1.6). These standard program measures are organized into: financial, schedule, technical, resources, program manager assessment, and external interests. The status of OMB

Information Technology Dashboard milestones is also reviewed along with significant program risks. The Directors of each service organization present and discuss performance for all baselined programs and those planning programs that report to the Office of Management and Budget. The reviews use SPIRE, earned-value management (or equivalent), and Enterprise Architecture data to assess technical, cost, and schedule issues that may impact the ability of programs to meet their acquisition program baseline values.

**Red Line Content: Acquisition Management Policy:
Section 1.2.8 : Acquisition Quarterly Reviews**

~~Investment~~ **The investment** decision ~~authorities review~~ **authority reviews** the portfolio of service organization investment programs each quarter (except in the spring when service-level reviews are held) to oversee cost, schedule, and technical performance using a standard set of program and performance measures (~~See~~ **AMS 2.1.6**). These standard program measures are organized into: financial, schedule, technical, resources, program manager assessment, and external interests. The status of OMB ~~Information Technology~~ Dashboard milestones is also reviewed along with significant program risks. The Directors of each service organization present and discuss performance for all baselined programs and those planning programs that report to the Office of Management and Budget. The reviews use SPIRE, earned-value management (or equivalent), and Enterprise Architecture data to assess technical, cost, and schedule issues that may impact the ability of programs to meet their acquisition program baseline values.

Section 1.2.6 : Lifecycle Management Decision-Making

**Old Content: Acquisition Management Policy:
Section 1.2.6 : Lifecycle Management Decision-Making**

Table 1.2.6-1 specifies the lifecycle management decision authority by acquisition category. The Joint Resources Council is the FAA’s senior investment review board. It makes corporate-level resource decisions, including authorization and funding for ACAT 1 and 2 investment programs, and approves changes to the enterprise architecture. All investment decision authorities select for approval and funding those investment opportunities having the highest potential for contributing to FAA strategic and performance goals, improving service delivery, increasing aviation safety, lowering operating costs, or otherwise providing value to the FAA and its customers. All investment decision authorities approve investment resources, regardless of appropriation, in useful and manageable segments (e.g., development, demonstration, production, and operations). Each segment is managed within cost, schedule, and performance targets in the acquisition program baseline approved by the investment decision authority at the final investment decision.

The Air Traffic Services Committee reviews all JRC investment decisions for procurement of air traffic control equipment of \$100,000,000 or more in facilities and equipment costs.

Table 1.2.6-1 Lifecycle Management Decision-Making

Decision	Decision Body	Decision Chair
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Concept and requirements definition readiness decision ¹	None	Vice President (ATO) or Director (non-ATO) of the service organization with the mission need
Investment analysis readiness decision	Determined by acquisition category	Determined by acquisition category
Initial and final investment decisions (Including new programs and extension of current capability)	Determined by acquisition category	Determined by acquisition category
Product demonstration ²	Note 3	Note 3
Production ^{2 and 3}	Note 3	Note 3
In-service ³	Note 3	Note 3
Program baseline change	IDA	Determined by acquisition category
F&E, RE&D, and O&M budget approvals	JRC	Acquisition Executive
Enterprise Architecture changes	JRC	Acquisition Executive

¹ Decision does not apply to small administrative or mission support needs managed by the ITEB unless designated.

² Decision required for developmental products. See AMS section 2.5.1.

³ The investment decision authority designates the product demonstration, production and in-service decision authorities at the final investment decision. If the JRC retains any of these decisions, the chair is the Acquisition Executive.

The JRC Executive Secretariat supports the Acquisition Executive, Joint Resources Council, and subordinate investment decision authorities in executing decision-making responsibilities. The Secretariat ensures service organizations have complied with AMS policy requirements before seeking JRC or subordinate IDA approval. The JRC Executive Secretariat also manages the JRC decision-making and service-level review processes on behalf of the Acquisition Executive.

Service organizations make and are accountable for all service-level management decisions except those explicitly assigned otherwise by this policy or the Joint Resources Council.

New Content: [Acquisition Management Policy](#):

Section 1.2.6 : Lifecycle Management Decision-Making

Table 1.2.6-1 specifies the decision authority for each AMS lifecycle management decision point. The Joint Resources Council is the FAA senior investment review board. It makes corporate-level resource decisions, including authorization and funding for investment programs, and approves changes to the enterprise architecture. The investment decision authority selects for approval and funding those investment opportunities having the highest potential for contributing to FAA strategic and performance goals, improving service delivery, increasing aviation safety, lowering operating costs, or otherwise providing value to the FAA and its customers. The investment decision authority approves investment resources, regardless of appropriation, in useful and manageable segments (e.g., development, demonstration, production, and operations). Each segment is managed within cost, schedule, and performance targets in the acquisition program baseline approved by the investment decision authority at the final investment decision.

The Air Traffic Services Committee reviews all JRC investment decisions for procurement of air traffic control equipment of \$100,000,000 or more in facilities and equipment costs.

Table 1.2.6-1 Lifecycle Management Decision-Making

Decision	Decision Body	Decision Chair
Concept and requirements definition readiness decision ¹	Vice President (ATO) or Director (non-ATO) of the service organization with the mission need	None
Investment analysis readiness decision	JRC	Acquisition Executive
Initial and final investment decisions (Including new programs and extension of current capability)	JRC	Acquisition Executive
Product demonstration ²	Note 3	Note 3
Production ^{2 and 3}	Note 3	Note 3
In-service ³	Note 3	Note 3
Program baseline change	JRC	Acquisition Executive
F&E, RE&D, and OPS budget approvals	JRC	Acquisition Executive
Enterprise Architecture changes	JRC	Acquisition Executive

¹ Decision does not apply to small administrative or mission support needs managed by the Information Technology Shared Services Committee unless designated.

² Decision required for developmental products. See AMS section 2.5.1.

³ The investment decision authority designates the product demonstration, production and in-service decision authorities at the final investment decision. If the JRC retains any of these decisions, the chair is the Acquisition Executive.

The JRC Executive Secretariat supports the Acquisition Executive and Joint Resources Council in executing decision-making responsibilities. The Secretariat ensures service organizations have complied with AMS policy requirements before seeking JRC approval. The Secretariat also manages the JRC decision-making, acquisition quarterly review, and service-level review processes on behalf of the Acquisition Executive.

Service organizations make and are accountable for all service-level management decisions except those explicitly assigned otherwise by this policy or the Joint Resources Council.

**Red Line Content: Acquisition Management Policy:
Section 1.2.6 : Lifecycle Management Decision-Making**

Table 1.2.6-1 specifies the ~~lifecycle management~~ decision authority ~~by~~for acquisition ~~each AMS lifecycle management decision category~~point. The Joint Resources Council is the FAA's senior investment review board. It makes corporate-level resource decisions, including authorization and funding for ~~ACAT 1 and 2~~ investment programs, and approves changes to the enterprise architecture. ~~All~~ The investment decision ~~authorities~~authority ~~selects~~selects for approval and funding those investment opportunities having the highest potential for contributing to FAA strategic and performance goals, improving service delivery, increasing aviation safety, lowering

operating costs, or otherwise providing value to the FAA and its customers. ~~All~~The investment decision ~~authorities~~authority ~~approve~~approves investment resources, regardless of appropriation, in useful and manageable segments (e.g., development, demonstration, production, and operations). Each segment is managed within cost, schedule, and performance targets in the acquisition program baseline approved by the investment decision authority at the final investment decision.

The Air Traffic Services Committee reviews all JRC investment decisions for procurement of air traffic control equipment of \$100,000,000 or more in facilities and equipment costs.

Table 1.2.6-1 Lifecycle Management Decision-Making

Decision	Decision Body	Decision Chair
Concept and requirements definition readiness decision ¹	None Vice President (ATO) or Director (non-ATO) of the service organization with the mission need	<u>None</u>
Investment analysis readiness decision	Determined by acquisition category <u>JRC</u>	Determined by acquisition category <u>Acquisition Executive</u>
Initial and final investment decisions (Including new programs and extension of current capability)	Determined by acquisition category <u>JRC</u>	Determined by acquisition category <u>Acquisition Executive</u>
Product demonstration ²	Note 3	Note 3
Production ^{2 and 3}	Note 3	Note 3
In-service ³	Note 3	Note 3
Program baseline change	IDA <u>JRC</u>	Determined by acquisition category <u>Acquisition Executive</u>
F&E, RE&D, and O&M <u>OPS</u> budget approvals	JRC	Acquisition Executive
Enterprise Architecture changes	JRC	Acquisition Executive

¹ Decision does not apply to small administrative or mission support needs managed by the ~~ITEB~~Information Technology Shared Services Committee unless designated.

² Decision required for developmental products. See AMS section 2.5.1.

³ The investment decision authority designates the product demonstration, production and in-service decision authorities at the final investment decision. If the JRC retains any of these decisions, the chair is the Acquisition Executive.

The JRC Executive Secretariat supports the Acquisition Executive, ~~Joint Resources Council,~~ and ~~subordinate investment~~Joint decision authorities~~Resources Council~~ in executing decision-making responsibilities. The Secretariat ensures service organizations have complied with AMS policy requirements before seeking JRC ~~or subordinate IDA~~ approval. The ~~JRC Executive~~ Secretariat also manages the JRC decision-making, acquisition quarterly review, and service-level review processes on behalf of the Acquisition Executive.

Service organizations make and are accountable for all service-level management decisions except those explicitly assigned otherwise by this policy or the Joint Resources Council.

Section 1.2.5 : Investment Decision-Making and Governance

Old Content: Acquisition Management Policy:

Section 1.2.5 : Investment Decision-Making and Governance

The investment decision authority (IDA) and review organization(s) for every FAA investment program are determined by acquisition category to ensure the appropriate level of oversight and tailoring is applied to each. Table 1.2.5-1 specifies the designation criteria, decision authority, and review organization(s) by acquisition category. Tailoring policy is located [here](#). Acquisition category is initially 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. The sponsoring service organization recommends a designation to the Acquisition Executive Board, which makes the final decision and notifies the Joint Resources Council. Acquisition category designation is confirmed at the readiness for investment analysis decision when more definitive cost, schedule, performance, and risk information is available. It is finalized at the initial investment decision. A standard IDA readiness process applies to all ACAT levels for AMS decision points.

Table 1.2.5-1 Investment Decision Authority and Review Organizations by Acquisition Category

Acquisition Category	Designation Criteria (Highest category applies once a criterion is met)	Investment Decision Authority	Review Organizations
1	F&E: > \$800M Single-year F&E: > \$200M O&M: > \$500M Aggregate rating of the following is high : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	JRC	Subordinate Investment Review Board ¹ ATO-P ² ATO-F
2	F&E: \$300M - \$800m Single-year F&E: \$100M - \$200M O&M: \$250M - \$500M Aggregate rating of the following is medium to high : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety For Non-NAS IT: a. Enterprise-wide impact or b. Critical to mission	JRC	Subordinate Investment Review Board ¹ ATO-P ² ATO-F

	support functions		
3	F&E: \$100M - \$300m Single-year F&E: \$50M - \$100M O&M: \$100M - \$250M Aggregate rating of the following is medium : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety For Non-NAS IT: a. Significant impact on one or more LOBs or b. Impact on mission support functions	ATO Program⁴: ATO EC, FAE Non-ATO Program⁴: Assoc. Admin., CFO, FAE Non-NAS IT Program: ITEB	ATO-P ² ATO-F AIO ² ATO-F ⁵ CFO
4	F&E: \$20M - \$100M Single-year F&E: \$20M - \$50M O&M: \$20M - \$100M Aggregate rating of the following is medium to low : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	ATO Program⁴: ATO EC, FAE Non-ATO Program⁴: Assoc. Admin., CFO, FAE Non-NAS IT Program: ITEB	ATO-P ² ATO-F ⁵ AIO ² ATO-F ⁵ CFO
5	F&E: < \$20M Single-year F&E: < \$20M O&M: < \$20M Aggregate rating of the following is low : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	ATO Program⁴: LOB VP, SVP-F, FAE Non-ATO Program⁴: Assoc. Admin., CFO, FAE Non-NAS IT Program: ITEB	ATO-P ² ATO-F AIO ² ATO-F ⁵ CFO

1 For example, ATO EC for NAS programs and ITEB for IT programs

2 Processes any changes to the enterprise architecture

3 Range of alternatives approved by investment decision authority

4 Excludes Non-NAS IT programs

5 Conducts financial analysis for CFO

New 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

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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.

Red Line Content: Acquisition Management Policy:

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

~~The investment decision authority (IDA) and review organization(s) for every FAA investment program are determined by acquisition category. Acquisition to categories ensure the appropriate level of oversight and tailoring documentation is requirements are applied to each. Table 1.2.5-1 specifies the designation criteria, decision authority, and review organization(s) by acquisition category. Tailoring policy FAA is investment located here program. Acquisition category is initially designated when an enterprise architecture roadmap specifies action must be taken categories now apply to address a high priority agency mission or service need and before the all start investment of programs, concept appropriations, and requirements definition FAA organizations. The This sponsoring service organization recommends a designation to the Acquisition Executive includes all capital investments in the National Airspace System and Board. FAA which makes the final decision administrative and mission support systems and notifies services. the The Joint Resources Council. Acquisition category designation is confirmed at the readiness for investment analysis decision when more definitive cost, schedule, performance, and risk information is available. It is finalized at the initial investment decision. A standard IDA readiness process applies to all ACAT levels authority for AMS decision points all acquisition categories.~~

Table 1.2.5-1

Investment Decision Authority and programs Review Organizations are classified by Acquisition investment Category Acquisition type Category Designation Criteria (Highest category applies new once a investment, criterion technology is refreshment, met) Investment variable Decision quantity, Authority Review facility Organizations 1 F&E: > \$800M Single year initiative, F&E: > \$200M O&M: > \$500M Aggregate or rating support of service) the following is and then categorized high: a. by Political qualitative sensitivity b. and Risk e. quantitative Complexity d. criteria. Likelihood of changes to NAS Definitions for investment type and safety JRC Subordinate criteria Investment Review for acquisition Board 1 ATO P2 ATO F 2 F&E: categories \$300M are in \$800M Single year the F&E: AMS \$100M Table -of \$200M O&M: Acquisition \$250M Categories, - \$500M Aggregate accessed rating of by clicking the here. following is Review organizations medium for to investment high: a. decisions Political and sensitivity b. tailoring Risk e. for Complexity d. required Likelihood of changes documentation vary according to NAS safety For investment Non-NAS type IT: a. and Enterprise wide acquisition impact category, or b. as Critical to mission support defined by the AMS functions JRC Subordinate Table Investment Review of Acquisition Board 1 ATO P2 ATO F Categories.

3

F&E: \$100M - \$300M Single year F&E: \$50M - A \$100M O&M: preliminary \$100M acquisition - \$250M Aggregate category rating of the following is is designated when an enterprise medium: a. architecture Political roadmap sensitivity b. specifies Risk e. action Complexity d. must Likelihood of changes be taken now to NAS safety For Non-NAS address IT: a. Significant impact high-priority on one agency mission or more LOBs service or b. need Impact on mission support and before the start functions ATO Program 4: ATO of EC, concept FAE Non-ATO and Program 4: Assoc. requirements Admin. definition, CFO, FAE Non-NAS IT During Program: ITEB ATO P2 ATO F AIO2 ATO F5 CFO 4 F&E: \$20M - \$100M Single year F&E: \$20M - \$50M O&M: \$20M concept - \$100M Aggregate and rating requirements of definition, the following is medium to low: a. Political sponsoring sensitivity b. service Risk e. organization Complexity d. recommends Likelihood of changes an acquisition category to NAS safety ATO Program 4: ATO EC, the FAE Non-ATO Acquisition Program 4: Assoc. Executive Admin. Board, CFO, which FAE Non-NAS makes IT the Program: ITEB ATO P2 ATO F5 AIO2 ATO F5 CFO 5 F&E: < \$20M Single year final F&E: < \$20M O&M: < \$20M Aggregate decision rating of and notifies the following is low: a. Political Joint sensitivity b. Resources Risk e. Council. Complexity d. This Likelihood designation of changes acquisition to NAS category is safety ATO Program 4: LOB made VP, before SVP F, the FAE Non-ATO investment Program 4: Assoc. analysis Admin., readiness CFO decision, FAE Non-NAS IT when Program: ITEB ATO P2 ATO F AIO2 ATO F5 CFO 4 more For example definitive cost, ATO EC for NAS schedule, programs performance, and ITEB for risk IT information programs 2 is Processes available. any changes to the enterprise The acquisition category is confirmed architecture 3 at Range of alternatives the initial investment approved decision.

A by standard investment decision authority 4 readiness Excludes process Non-NAS applies IT to programs 5 all Conducts financial analysis acquisition category levels for CFO AMS decision points.

Section 2.4.2.1 : Initial Investment Analysis

Old Content: Acquisition Management Policy:

Section 2.4.2.1 : Initial Investment Analysis

The principal output for initial investment analysis is information that enables the investment decision authority to select the best alternative that meets the required performance and offers the greatest value to the FAA and its customers. The following are required products:

- Updated program requirements document;
- Initial business case;
- Initial implementation strategy and planning document; and
- Plan for final investment analysis.

New Content: Acquisition Management Policy:

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Appendix D: Acronyms

Old Content: Acquisition Management Policy:

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ADR Alternative Dispute Resolution

AEB Acquisition Executive Board

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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 (2 nd 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
IDA	Investment Decision Authority
ILS	Integrated Logistics Support
IOA	Independent Operational Assessment
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: Acquisition Management Policy:

Appendix D: Acronyms

ADR	Alternative Dispute Resolution
AEB	Acquisition Executive Board
AIP	Airport Improvement Program
AMS	Acquisition Management System
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ASAG	Acquisition System Advisory Group
BC	Business Case
CAS	Cost Accounting Standards
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CCB	Configuration Control Board
CCD	Configuration Control Decision
CIB	Card Issuing Bank
CIP	Capital Investment Plan
CIT	Capital Investment Team
CM	Configuration Management
CMTD	Concept Maturity and Technology Development
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
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EA	Enterprise Architecture
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NDI	Non-developmental Item
NMB	NextGen Management Board
ODR	Office of Dispute Resolution
O&M	Operations and Maintenance
OMB	Office of Management and Budget
OPR	Offices of Primary Responsibility
OC	Operational Capability
OCIP	Operational Capability Integration Plan
OI	Operational Improvement
ORD	Operational Requirements Document
OS	Operational Sustainment
OSHA	Occupational Safety and Health Administration
OST	Office of the Secretary of Transportation
P3I	Preplanned Product Improvement
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