

AMS/FAST CHANGE REQUEST (CR) COVERSHEET

Change Request Number: 21-22

Date Received: 17 Dec 20

Title: ASP Administrative Policy Changes

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Initiator Organization Name / Routing Code: Strategy & Performance (ASP)

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Policy and Guidance: (check all that apply)

- Policy
- Procurement Guidance
- Real Estate Guidance
- Other Guidance
- Non-AMS Changes

Summary of Change: Added a paragraph clarifying CIO authority over IT purchases \geq \$250K (see 3.2.1.6) and changed “Office of Information & Technology, Strategy & Performance Service, Investment Portfolio & CPIC Branch” to “Office of Information & Technology, Enterprise Program Management, Budget, Program Control & CPIC Branch” in several places to reflect AEM’s ownership.

Reason for Change: The change is to clarify the CIO Review Process requirement; incorporating this change request will help improve the FAA's compliance with the Federal Information Technology Acquisition Reform Act (FITARA). This change will also accurately reflect the owner of the FAA CPIC process.

Development, Review, and Concurrence: CIO Review Team (ASP-200 and ASP-400); ASP-1 and ASP-2; AIT-1 and AIT-2; and Acquisition Policy.

Target Audience: Contracting personnel, acquisition personnel, program offices that purchase information technology (IT) products and services

Briefing Planned: No.

ASAG Responsibilities: None.

Section / Text Location: Sections: 1.2.16 OMB Budget Documentation; 2.6.3 Who Does It?; 2.7.3 Who Does It? Appendix A: Roles and Responsibilities (p.176); added a new section 3.2.1.6 (after 3.2.5.1.3 Health Related Emergency Janitorial Services)

The redline version must be a comparison with the current published FAST version.

I confirm I used the latest published version to create this change / redline

or

This is new content

Links:

https://fast.faa.gov/docs/acquisitionManagementPolicy/acquisitionManagementPolicy_1.pdf

https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicy_2.pdf

https://fast.faa.gov/docs/acquisitionManagementPolicy/acquisitionManagementPolicy_3.pdf

<https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicyAppendix A.pdf>

Attachments: Redline and final documents.

Other Files: N/A.

Redline(s):

Section Revised: 2.6.3 – Who Does It?

Acquisition Management Policy - (~~10/2020~~1/2021)

[2.6 Solution Implementation](#) Revised 4/2019

[2.6.1 What Must Be Done](#) Revised 4/2019

[2.6.2 Outputs and Products](#) Revised 4/2019

[2.6.3 Who Does It?](#) Revised ~~4/2019~~1/2021

[2.6.4 Who Approves?](#) Revised 4/2019

[2.6.5 In-Service Decision](#) Revised 7/2015

[2.6.5.1 Entrance Criteria](#) Revised 7/2013

[2.6.5.2 In-Service Decision Authority Actions](#) Added 4/2013

2.6 Solution Implementation Revised 4/2019

Solution implementation begins at the final investment decision when the Joint Resources Council approves and funds an investment program or segment, establishes the acquisition program baseline or execution plan 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 or execution plan 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. 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) and functional disciplines (e.g., human factors, information systems security, configuration management, integrated logistics support). 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 or execution plan 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 or execution plan on a continuing basis, and takes corrective action when variances from planning objectives arise. The service organization also reports program status at acquisition quarterly program 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

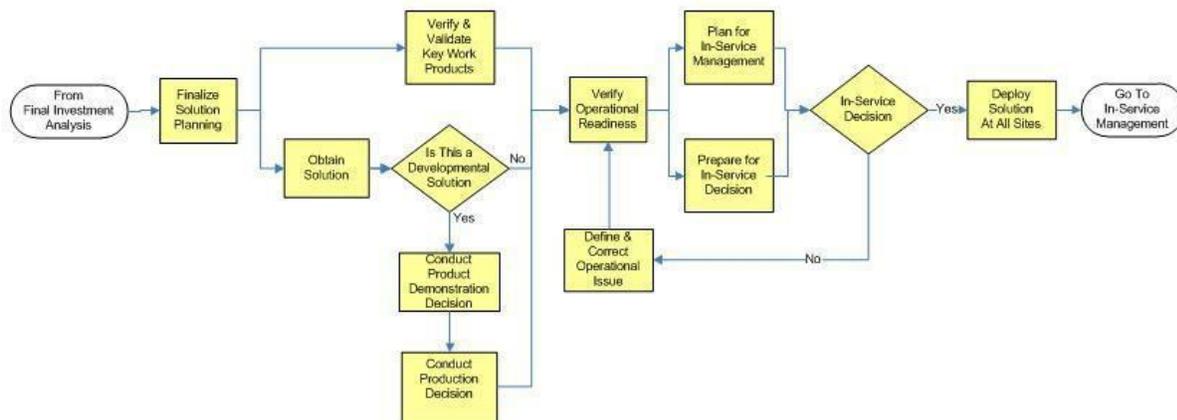
being executed satisfactorily, particularly those outside the control of the service organization. The service organization applies the principles of earned value management to development, modernization, and enhancement investment programs, and when applicable, uses audits to ensure contract costs are proper and allowable.

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

For those NAS investment programs progressing through solution implementation as elements of an operational capability, capture team members assess and report progress of each investment increment monthly to the portfolio manager. The portfolio manager reports status of the overall capability to the NextGen Management Board quarterly. These reviews focus on cost, schedule, or performance issues associated with every element of the operational capability. The portfolio manager recommends action for correction of cost, schedule, or performance shortfalls, and may propose the transfer of funding from one investment increment to another when necessary to improve the health and prognosis of the overall capability. The Joint Resources Council evaluates proposed baseline changes among investment increments at acquisition quarterly program reviews. Each service team or program office works with the capture team to ensure each investment increment provides the functionality and performance necessary to achieve the operational capability.

Solution implementation is organized into the activities shown in Figure 2.6-1. These activities are tailored to the special requirements of each investment program.

Figure 2.6-1 Key Activities of Solution Implementation



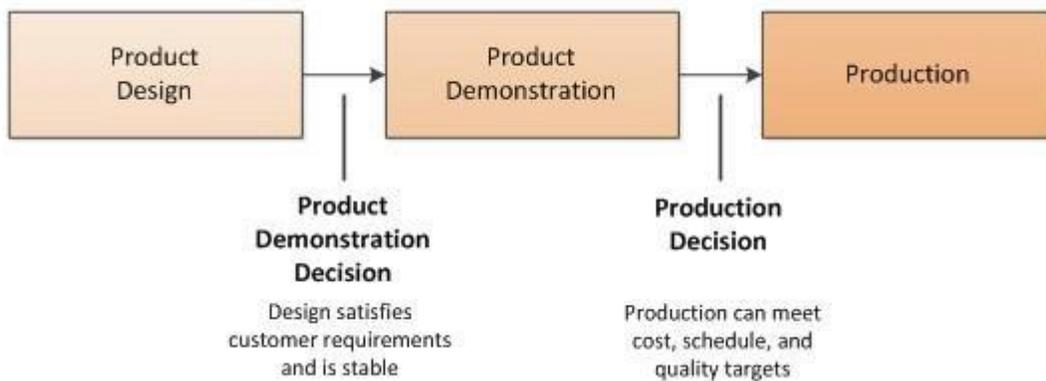
2.6.1 What Must Be Done Revised 4/2019

- **Finalize Solution Planning.** The service organization or program office reviews and updates program planning completed during final investment analysis (i.e., implementation strategy and planning document, work breakdown structure, ISR checklist). 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 or program office 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.
- **Is This a Developmental Solution?** Investment programs that develop, modernize, or enhance systems or software follow the knowledge-based product development process shown in Figure 2.6.1-1. The following two decisions are intended to ensure the knowledge base is sufficiently mature to warrant proceeding to the next stage of implementation.

Figure 2.6.1-1 FAA Knowledge-Based Product Development Process



- **Conduct Product Demonstration Decision.** Table 2.6.1-1 defines the timing, decision authority, and decision criteria for authorizing full development and demonstration of the product.

Table 2.6.1-1 Timing, Decision Authority, and Decision Criteria for the Product Demonstration Decision

Timing	Decision Authority	Decision Criteria
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

		<input type="checkbox"/> RMA goals are defined and planning is complete <input type="checkbox"/> Failure modes and effects analysis is complete <input type="checkbox"/> Critical manufacturing processes are identified
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- Conduct Production Decision.** Table 2.6.1-2 defines the timing, decision authority, and decision criteria for authorizing full production of the product.

Table 2.5.1-2 Timing, Decision Authority, and Decision Criteria for the Production Decision

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

* Unless otherwise designated by the Joint Resources Council at the final investment decision.

- Verify and Validate Key Work Products and Products.** The service organization or program office incrementally verifies and validates key work products and products of solution implementation, including the contract to obtain the capability, 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.
- Verify Operational Readiness.** The service organization or program office 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 an 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.

- **Plan for In-Service Management.** The service organization or program office plans how it will sustain and manage deployed assets throughout their full lifecycle. This includes in-service logistics support, post implementation review, and other evaluations of operational assets to measure performance, collection of performance data in support of acquisition quarterly program reviews, product sustainment strategy and actions, service- life extension, and eventual removal from service including site restoration.
- **Prepare for In-Service Decision.** The service organization or program office 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 the 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.
- **In-Service Decision Approved?** The in-service decision authority reviews operational test results, the status of in-service checklist items, the independent operational assessment (designated programs only), the perspective of key stakeholders, and other information deemed relevant to the in-service decision. If the in-service request is approved, deployment of the solution may begin. If the request is not approved, the service organization must correct any deficiency and return for the in-service decision upon verification that all outstanding issues have been resolved.
- **Define and Correct Operational Issues.** The service organization or program office takes whatever corrective action is necessary to resolve all remaining operational issues. This may involve a return to concept and requirements definition if correcting the issue involves a change to program requirements or to investment analysis if operational issues require a change to the acquisition program baseline or execution plan.
- **Deploy the Solution at All Sites.** The service organization or program office 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.

2.6.2 Outputs and Products Revised 4/2019

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 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 Major IT Business Case for designated programs;
- Continuous evaluation of progress against targets in the acquisition program baseline or execution plan (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 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);
- In-service management plan;
- Monthly capture team assessments, when applicable; and
- Acquisition quarterly program reviews.

Key work products are verified and validated according to the FAA AMS Verification and Validation Guidelines before the in-service decision.

2.6.3 Who Does It? Revised 4/2019/2021

Organization	Responsibilities
Performing service organization or program office	<ul style="list-style-type: none"> <input type="checkbox"/> Manages all activities necessary to plan, obtain, and deploy the solution, and to obtain the in-service decision. 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 or execution plan. <input type="checkbox"/> Updates program planning to address how the newly fielded capability will be sustained throughout in-service management <input type="checkbox"/> Reports status of the investment program to the Joint Resources Council at acquisition quarterly program reviews
Operating service organization	<ul style="list-style-type: none"> <input type="checkbox"/> Conducts joint acceptance and inspection or service acceptance (service contracts) at each site <input type="checkbox"/> Declares operational readiness and commissions the solution into operational use
Key stakeholder organizations	<ul style="list-style-type: none"> <input type="checkbox"/> Work with service organizations to identify and resolve all issues and concerns during solution implementation up to and including the in-service decision
Vice President of the service organization	<ul style="list-style-type: none"> <input type="checkbox"/> Notifies the Vice President of ATO Safety and Technical Training when the product is ready for independent operational

	assessment via the independent operational assessment readiness declaration (designated programs only)
Director of Policy and Performance, ATO Safety and Technical Training	<input type="checkbox"/> Evaluates operational readiness of the product and reports findings to the in-service decision authority (designated programs only)
Information Technology Shared Services Committee	<input type="checkbox"/> Annually reviews OMB Major IT Business Cases for designated programs as part of the annual budget process
Office of Information & Technology, Strategy & Performance Service, <u>Investment Portfolio Enterprise Program Management Service, Budget, Program Control & CPIC Branch</u>	<input type="checkbox"/> Independently scores all OMB Major IT Business Cases that will be submitted to the Office of Management and Budget through the Office of the Secretary of Transportation
Capture team members	<input type="checkbox"/> Assess and report monthly to the portfolio manager the status of each investment increment contributing to an operational capability
Portfolio manager	<input type="checkbox"/> Reports status of the operational capability to the NextGen management Board (NAS only) <input type="checkbox"/> Recommends corrective action for cost, schedule, or performance shortfalls within all investment increments contributing to an operational capability

2.6.4 Who Approves? **Revised 4/2019**

Artifact	Approval Authority
Acquisition program baseline or execution plan changes	Joint Resources Council
OMB Major IT Business Case (designated information technology programs)	Chief Information Officer, Chief Financial Officer, Acquisition Executive Chief Financial Officer, Acquisition Executive

OMB Major IT Business Case (designated non-information technology capital investments)	
Product demonstration decision (if applicable)	Vice President or Director of the implementing service organization
Production decision (if applicable)	Vice President or Director of the implementing service organization, unless otherwise designated by the Joint Resources Council at the final investment decision

2.6.5 In-Service Decision **Revised 7/2015**

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 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 Joint Resources Council is the ISD authority. At the final investment decision, the Joint Resources Council 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 Joint Resources Council 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. Action plans for resolving remaining operational readiness issues are included as an attachment to the record of decision. Status of 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.

Mission Support and Mission Support IT initiatives do not require an in-service decision nor a waiver from the In-Service Decision Executive Secretariat. Acceptance criteria will be agreed upon by the customer and the service delivery organization.

2.6.5.1 Entrance Criteria Revised 7/2013

The following artifacts are required for each in-service decision:

- Operational test report(s);
- Independent Operational Assessment Report for designated programs;
- ISR Checklist completed or action plans for those remaining open;
- Safety Risk Management Document approved;
- Information security certification and authorization or certification and authorization;
- Stakeholder concurrence on readiness for the ISD; and
- ISD briefing and action plans.

2.6.5.2 In-Service Decision Authority Actions Added 4/2013

The ISD Authority:

- Approves the ISD strategy for phased or segmented deployments;
- Agrees to the action plans;
- Makes the ISD; and
- Approves the Record of Decision.

Section Revised: 2.7.3 – Who Does It?

Acquisition Management Policy - (~~10/2020~~/2021)

[2.7 In-Service Management](#) Revised 4/2019

[2.7.1 What Must Be Done](#) Revised 4/2013

[2.7.2 Outputs and Products](#) Revised 4/2013

[2.7.3 Who Does It?](#) Revised ~~4/2015~~1/2021

[2.7.4 Who Approves?](#) Added 4/2013

2.7 In-Service Management Revised 4/2019

Activity during in-service management supports execution of the FAA mission of providing air traffic control and other services. This entails operating, maintaining, securing, and sustaining systems, products, services, and facilities in real time to provide the level of service required by users and customers. It also entails periodic monitoring and evaluation of fielded products and services, and feedback of performance data into service and investment analysis as the basis for revalidating the need to sustain deployed assets or taking other action to improve service delivery.

Service organizations are responsible and accountable for managing service delivery within their area of responsibility throughout in-service management. They bring together the multiple engineering, logistics, and other management specialists necessary to operate and sustain fielded systems, services, products, and facilities. This includes managing resources within specific geographic areas, and may involve emergency sustainment actions in response to natural disasters or other unanticipated events.

Service organizations have flexibility to sustain and enhance fielded capability. They may implement pre-planned product improvements or block upgrades as stipulated at the investment decision, and may use sustainment resources to upgrade components of fielded products as needed (e.g., printers or processors).

In-service management planning documents focus on actions and activities that support continued operation and maintenance of deployed assets. The documents clearly define in-service management activities such as configuration management, preventive and corrective maintenance, training, infrastructure support and logistics support, along with planned activities to support post implementation reviews and operational analyses.

Service organizations evaluate the safety, efficiency, and effectiveness of operational assets throughout in-service management as a basis for improving service delivery over time. This process begins with a post implementation review at one or more early operational sites to determine whether a new investment program is achieving its performance and benefit targets and whether it is meeting the service needs of customers. The primary objective is useful information on how best to eliminate flaws and optimize performance and benefits before deployment at additional sites. This evaluation process continues throughout in-service management with the periodic evaluation of operational assets to determine whether they are continuing to contribute to agency safety, performance, and cost goals or whether they should be modernized, replaced, or removed from service. These operational analyses are the basis for out-year planning in the service organization business plan, which integrates ongoing and planned investment activity with resources for the operation and sustainment of fielded assets over their service life. The overarching goal is the continued best use of agency resources to achieve FAA strategic and performance goals. Click here for links to [post implementation review and operational analysis policy and guidance](#).

When a fielded capability is projected to be unable to satisfy service demand or when another solution offers improved safety, lower cost, or higher performance, the service organization initiates action to enter the service analysis process leading to a new investment decision. The key is to look

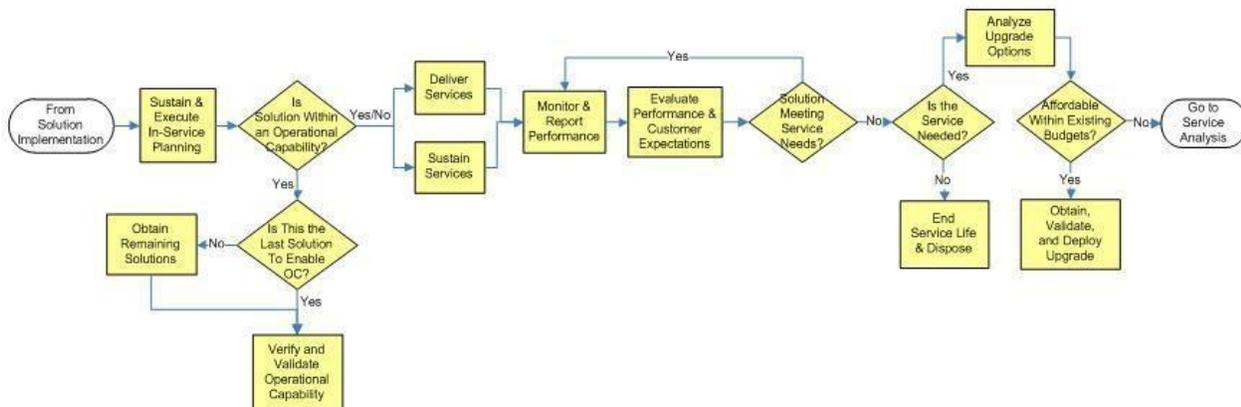
far enough into the future so there is enough time to approve and implement a solution before the existing capability fails or becomes obsolete.

Service organizations must remove and dispose of fielded assets and services when they are no longer needed. This includes restoration of sites where obsolete products or services were deployed, disposal of government property, recovery of precious metals, and cannibalization of useful assets. The cost of removal and restoration is included in the acquisition program baseline or execution plan of the replacement program. If there is no replacement program, the cost must be otherwise factored into the service-area operating plan.

2.7.1 What Must Be Done Revised 4/2013

Figure 2.7.1-1 portrays the activities undertaken during in-service management. They are organized to deliver, sustain, and evaluate operational assets, and to take corrective action when they are projected to be unable to satisfy the service needs of users and customers or when they are becoming unsupported or obsolete. The work flow includes actions to verify and validate achievement of projected benefits from an operational capability resulting from completion and integration of multiple investment increments.

Figure 2.7.1-1 Key Activities of In-Service Management



Sustain and Execute In-Service Planning. Service organizations review and update in-service planning documents as needed. This includes updating the OMB Major IT Business Case each year for designated programs. Annual updates reflect program changes and move the budget submission forward one year. The OMB Major IT Business Case must continue to achieve a passing score from the Office of Management and Budget.

- **Is Solution Within an Operational Capability?** When a recently deployed solution is not an increment necessary to achieve a complex operational capability, it is operated and sustained during in-service management as a stand-alone capability. When it is part of an operational

capability, the agency validates that the projected benefits of the operational capability are being achieved once all supporting investment increments are in service.

- **Is This the Last Solution to Enable an Operational Capability?** If the recently deployed solution is the last investment increment necessary to implement an operational capability, a post implementation review is planned and executed to determine whether the performance and benefits projected for the operational capability are being achieved and to identify what corrective action is needed when they are not.
- **Obtain Remaining Solutions.** All investment increments necessary to achieve the operational capability are obtained and deployed before verifying and validating that the performance and benefits of the operational capability are being realized.
- **Verify and Validate Operational Capability.** When the last investment increment of an operational capability is deployed and approved for operational service, the capture team oversees the integration of investment elements necessary to achieve the operational capability and verifies achievement of operational and performance benefits in the operational capability business case. Typically, a post implementation review will be planned and executed for this purpose. Results are presented to the NextGen Management Board, which determines whether performance of the operational capability meets agency expectations or whether further action is necessary.
- **Deliver Services.** The operational workforce provides air traffic control and other business services using infrastructure, procedures, and other assets as assigned and funded. This includes all safety-related quality assurance actions such as flight inspection, aircraft certification, 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. Emergency sustainment actions are planned and executed whenever required. During emergencies, highest priority services are sustained even if performance goals for lower priority services cannot be met. In addition, physical, personnel, and information security is maintained at all FAA facilities. This includes environmental threat and facility assessment and accreditation in accordance with FAA internal security planning.
- **Sustain Services.** A variety of actions are undertaken by the FAA workforce during in-service management to ensure operational assets remain in good working order. These include:
 - 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.
 - Management and engineering actions to 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.
- Management and control of the configuration of all services and service components. This includes submission of NAS change proposals to the appropriate approval board to baseline, install, and manage changes to NAS systems, software, and equipment. It requires coordination with the appropriate systems engineering organization to ensure changes are compatible with and reflected in the enterprise architecture.
 - Sustainment of utilities, buildings, grounds, structures, roads, telecommunications, handling of hazardous materials, lightning protection, bonding, grounding, heating, cooling, and special access.
 - Participation in cross-organizational planning to review, integrate, and prioritize the allocation of operational resources to fielded services and assets. The 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.
 - Acquisition and management of FAA-owned and leased properties, as well as management of 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.
 - **Monitor and Report Performance.** Post implementation review(s) at early deployment sites help 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.
 - **Evaluate Performance and Customer Expectations.** Operational 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 problems in the service environment.
 - **Solution Meeting Service Needs?** If the solution is meeting service needs and no supportability issues have emerged, the operational workforce continues to operate and sustain the solution, as well as monitor and evaluate it periodically. If supportability issues are emerging or the solution is projected to be unable to satisfy the service need, corrective action is initiated once it is verified the service is supported by the NAS ConOps during timeframe in question.
 - **Is the Service Needed?** The operating service organization determines whether the service provided by the solution is still needed. In making this determination, the service organization reviews the NAS ConOps and enterprise architecture roadmaps to confirm the service will continue to be required in the timeframe any upgrade to the operational asset would cover.
 - **End Service Life and Dispose of Unneeded Assets.** When an operational asset is replaced by new capability, the program office installing the new capability removes and disposes of replaced assets. When there is no replacement asset, the operating service organization removes and disposes of unneeded assets. 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.

- Analyze Upgrade Options.** When the service is still needed, the service organization investigates ways to upgrade at-risk assets within existing operating budgets and determines whether additional investment funds are needed.
- Affordable Within Existing Budgets?** When the operational asset can be modernized within existing budgets (e.g., a planned and funded product improvement, operational funds), the upgrade is obtained, validated, and deployed. When new funds outside the scope of available resources are needed, the service shortfall enters service analysis to begin the search for a solution.
- Obtain, Validate, and Deploy Solution Upgrade.** 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 training for personnel who directly operate, maintain, or provide support functions. All 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 are verified and validated before an upgrade enters operational service. This includes the modified content of key work products and products that originate in other phases of the lifecycle, but are intended for use during in-service management. Verification and validation activity supports decisions to implement and deploy procedural or product improvements.

2.7.2 Outputs and Products Revised 4/2013

- Delivery of FAA enterprise services;
- Post implementation reviews and corrective action as needed to achieve investment performance and benefits;
- Periodic operational analysis of fielded assets including the effectiveness and efficiency of supply chain management;
- Periodic revalidation of the need to sustain fielded assets;
- Enforcement actions, baseline changes, and investment recommendations to maintain or improve service delivery;
- Change proposals to install systems, software, and equipment and to improve capability, safety, or efficiency in accordance with the enterprise architecture;
- Program technical reports and hardware discrepancy reports to correct hardware and software problems;
- Annual OMB Major IT Business Case submissions (designated programs only);
- Emergency sustainment actions to sustain high-priority capabilities and services;
- Up-to-date configuration records for fielded equipment;
- Annual report on critical operational needs;
- Periodic assessment of facility security enhancements;
- Action plans to remedy cost and performance shortfalls;
- Updated in-service management planning documents if needed; and
- Flight inspections, aircraft certification, and regulatory actions.

2.7.3 Who Does It? Revised 1/2015/2021

Organization	Responsibilities
Service organization or program office	<ul style="list-style-type: none"> <input type="checkbox"/> Provides and sustains services <input type="checkbox"/> Manages resources to sustain fielded assets <input type="checkbox"/> Manages preplanned product improvements <input type="checkbox"/> Updates OMB Major IT Business Cases for the annual budget cycle (designated programs only); <input type="checkbox"/> Reviews in-service management planning and updates as needed <input type="checkbox"/> Manages the configuration of fielded assets consistent with FAA policy and the enterprise architecture <input type="checkbox"/> Develops infrastructure for modifications to fielded assets, including training, documentation, spare parts, and repair <input type="checkbox"/> Periodically assesses customer satisfaction as the foundation for improving service delivery <input type="checkbox"/> Monitors quality, assesses performance, tracks cost, and identifies adverse support trends for fielded assets <input type="checkbox"/> Periodically revalidates the need to sustain fielded assets or recommends other action such as upgrade, replacement, or decommissioning and removal <input type="checkbox"/> Assesses the impact on sustainment of fielded assets resulting from delays in fielding a new capability <input type="checkbox"/> Sustains the physical infrastructure
Office of Information & Technology, <u>Strategy & Performance Enterprise Program Management</u> Service, <u>Investment Portfolio Budget, Program Control</u> & CPIC Branch	<ul style="list-style-type: none"> <input type="checkbox"/> Reviews and scores OMB Major IT Business Cases as part of the annual budget cycle (designated programs only)
PIR Quality Officer	<ul style="list-style-type: none"> <input type="checkbox"/> Oversees the quality, planning, conduct, and reporting of post implementation reviews
Integrated Logistics Management Team	<ul style="list-style-type: none"> <input type="checkbox"/> Assesses the effectiveness of supply chain management and the support concept <input type="checkbox"/> Recommends changes to logistics management to optimize service delivery at best value
ATO Technical Operations	<ul style="list-style-type: none"> <input type="checkbox"/> Keeps operational assets in good working condition <input type="checkbox"/> Conducts operational analyses periodically and feeds results into

	service analysis
William H. Hughes Technical Center	<input type="checkbox"/> Designs, develops, tests, and fields changes to operational assets that correct recurrent trouble reports and other operational issues <input type="checkbox"/> Provides second-level engineering
Mike Monroney Aeronautical Center	<input type="checkbox"/> Provides supply chain management, depot support, logistics services, and training for operational assets <input type="checkbox"/> Provides second-level engineering services
Capture team	<input type="checkbox"/> Integrates investment increments necessary to obtain an operational capability <input type="checkbox"/> Assists in the planning and verification that an operational capability is achieving the benefits specified in the operational capability business case

2.7.4 Who Approves? Added 4/2013

Artifact	Approval Authority
OMB Major IT Business Cases (designated information technology capital investments)	Chief Information Officer, Chief Financial Officer, Acquisition Executive
OMB Major IT Business Cases (designated non- information technology capital investments)	Acquisition Executive, Chief Financial Officer
In-service management planning documents	Vice President (ATO) or Director (non-ATO) of the operating service organization

Appendix Revised: Roles and Responsibilities

Acquisition Management Policy - (~~10/2020~~1/2021)

Appendix A: Roles and Responsibilities Revised ~~7/2020~~1/2021

Councils and Boards

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;
- Concurs jointly with the NextGen Management Board on the establishment of new operational capabilities;
- Reviews updates to the NAS ConOps and works with the NextGen Management Board to resolve any issues or concerns;
- 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 or execution plan, 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 or execution plan 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 program reviews to manage ongoing investment programs, including operational assets; and
- Designates investment programs for TechStat reviews.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Chief Information Officer;
- Chief Financial Officer;

- Chief Counsel;
- Associate Administrator for Aviation Safety;
- Associate Administrator for Airports;
- Assistant Administrator for NextGen;
- Assistant Administrator for Policy, International Affairs, and Environment; and
- Director, Joint Planning and Development Office.

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

- Associate Administrator for Commercial Space Transportation.

REAL PROPERTY COUNCIL

- Act as the Office of Primary Interest with respect to changes to the Space Order;
- Review and approve FAA's Real Property Strategic Plan including prioritization of opportunities, projects, and related timelines;
- Review and approve, as appropriate, the Secretariat's recommended governance path and indicate any specific governance requirements for projects;
- Establish the Secretariat Support Team (SST) to perform technical independent readiness reviews, as appropriate;
- Review and concur, as appropriate, with project team acquisition plans for real property projects;
- Review and concur, as appropriate, with completed space management- related documents required by the Acquisition Management System (AMS);
- Conduct periodic project reviews and post implementation reviews of approved real property projects to monitor performance against project baselines; and
- Review, concur, and/or recommend strategies, decisions, and approaches to the Agency Senior Property Management Official (APM-1) as requested on various issues and policy positions relating to agency real property.

The Real Property Council has the following core members:

- ATO: Vice President Management Services, AJG-0
- AAQ: Director, Acquisition and Contracting, AAQ-1
- AVS: Director, Quality, Integration and Executive Services, AQS-1
- ARP: Deputy Associate Administrator for Airports, ARP-2
- ASH: Director, Business and Mission Services, AXM-1
- ARA: Executive Director, ARA-1
- ABA: Director, Budget and Programs, ABP-1 AHR:
Labor and Employee Relations, AHL-1

Note: The Real Property Council (RPC) was created pursuant to Executive Order 13327 - Federal Real Property Asset Management and it resides outside of the AMS Life-cycle Process.

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.

NEXTGEN MANAGEMENT BOARD

- Approves updates to NAS Concepts of Operations;
- Approves NAS Segment Implementation Plan;
- Approves NAS operational capabilities including goals, objectives, and performance targets;
- Approves alignment of NAS investments to operational capabilities;
- Approves capture teams for operational capabilities;
- Conducts portfolio review for operational capabilities; and
- Approves Operational Capability Integration Plans.

OPERATIONS GOVERNANCE BOARD (OGB)

- Reviews and approves Mission Support Operations-funded capital investments;
- May recommend that Contracting Officers not enter into contracts related to applicable investments;
- May request JRC concurrence or recommend JRC review for individual investments;
- Oversees a risk review of proposed investments in coordination with AIT and other functional experts; and
- Provides status to the JRC and other agency executive level boards and organizations on the results of the Mission Support, Operations-funded capital investments brought before the Operations Governance Board.

The members of the Operations Governance Board will be:

- Director of Acquisition & Contracting (Chair) AAQ-1
- Director of Investment Planning & Analysis (IP&A) AFI-1
- Director of Enterprise Program Management Services (EPMS) AEM-1
- Director of Program Control and Integration AJM-1
- Aviation Safety AIR-2
- Assistant Chief Counsel AGC-500

- Customer Representative – As determined by the OGB Chair

FAA ENTERPRISE ARCHITECTURE BOARD

- Ensures the FAA adheres to Federal statutory and regulatory requirements regarding Enterprise Architecture;
- Aligns information technology decisions with business and investment strategies;
- Facilitates the FAA's transition to the target EA;
- Facilitates the collaboration of enterprise architecture and technical expertise of subject matter experts throughout the Agency;
- Promotes data and information reuse through enterprise information management;
- Implements the use of enterprise architecture and systems planning frameworks that facilitate an understanding of technologies and application to business issues;
- Communicates and champions Enterprise Architecture throughout the FAA;
- Approves investment program naming in accordance with FAA nomenclature standards;
- Reviews the annual FAA EA Roadmaps and recommend for approval to the JRC;
- Reviews and approves FAA EA Roadmap changes via Architecture Change Notices (ACN) that guide the FAA towards a target state architecture;
- Minimizes duplication and redundancy in investments and IT capabilities, fosters IT standardization, and promotes reuse of technology, data, and business assets;
- Approves and complies with standards and policies that enable reuse, interoperability, and cost efficiency;
- Approves readiness for Concept and Requirements Definition; and
- Approves processes related to FEAB and subordinate groups, as listed in the FEAB Standard Operating Procedures (SOP).

The FEAB members include the following or their designated representatives:

- Deputy Assistant Administrator for Acquisition and Business Services;
- Chief Operating Officer of the Air Traffic Organization;
- Vice President of the Program Management Organization;
- Deputy Assistant Administrator for Information & Technology;
- Deputy Assistant Administrator for Financial Services;
- Chief Counsel;
- Associate Administrator for Aviation Safety;
- Associate Administrator for Airports;
- Assistant Administrator for NextGen; and
- Assistant Administrator for Policy, International Affairs and Environment.

ARCHITECTURE REVIEW BOARD

- Works with service organizations and program offices to prioritize and time-phase new operational improvements and operational sustainments within the Mission Support architecture roadmap.

TECHNICAL REVIEW BOARD

- Works with service organizations and program offices to prioritize and time-phase new operational improvements and operational sustainments within the NAS architecture roadmap.

Secretariats

JRC EXECUTIVE SECRETARIAT

- Supports the FAA Acquisition Executive;
- Develops, maintains and obtains JRC member signatures on the JRC Charter;
- Manages the investment decision-making process for all investment decisions;
- Facilitates the efforts of service organizations seeking an investment decision to ensure timely and effective investment decision-making;
- Manages the readiness process which uses criteria based on the AMS policy to evaluate the readiness of an investment initiative seeking an investment decision prior to placing it on the JRC meeting agenda to obtain a decision;
- Manages the electronic investment decision process;
- Obtains JRC member signatures on the investment decision documents after approval of a final investment decision;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items;
- Develops and maintains investment decision guidance documents and processes;
- Coordinates JRC meeting dates, agenda, and arranges logistics; and
- Prepares records of decision from JRC investment decision meetings and acquisition quarterly program reviews.

OPERATIONS GOVERNANCE BOARD SECRETARIAT

- Manages the decision-making process for all Mission Support, Operations-funded assets the OGB reviews;
- Facilitates the efforts of service organizations and the Acquisition Readiness Team to ensure timely and effective decision making;
- Maintains the official repository of OGB decision documentation, records of decision, meeting minutes and assigned action items;
- Develops, maintains and obtains OGB member signatures on the OGB Charter, as well as coordinates OGB meeting dates, agenda, and arranges logistics; and
- Receives and reviews initial intake forms, and conducts preliminary risk reviews in order to provide a governance path recommendation to the OGB.

ACQUISITION EXECUTIVE BOARD SECRETARIAT

- Develops, maintains and obtains JRC member signatures on the AEB Charter;
- Coordinates AEB meeting dates, agenda, and arranges logistics;

- Receives, reviews and tracks ACAT determination requests;
- Receives and distributes to AEB members proposed changes to acquisition management policy, process, practices and procedures;
- Facilitates the efforts of FAA organizations to ensure timely approvals to proposed policy, guidance, practice and procedure changes;
- Maintains the official repository of AEB decision documentation, records of decision, meeting minutes and assigned action items.

FEAB SECRETARIAT

- Coordinates with the JRC executive secretariat for JRC approvals;
- Notifies the JRC executive secretariat for Architecture Change Notices (ACN) and Concept and Requirements Definition Readiness Decision (CRDRD);
- Facilitates the efforts of FEAB co-chairs and FEAB members to ensure timely and effective decision-making;
- Maintains the official repository of FEAB decision documentation, meeting minutes and assigned action items;
- Obtains FEAB co-chair and Chief Architects signature on the Architecture Change Notices (ACN) after approval;
- Obtains FEAB member signatures on the FEAB Charter after approval of the JRC; and
- Coordinates FEAB meeting dates, agenda, and arranges logistics.
- Analyzes FEAB processes and recommends improvements for FEAB approval.

IN-SERVICE DECISION SECRETARIAT

- Manages the deployment planning process for the Joint Resources Council;
- 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.

REAL PROPERTY COUNCIL SECRETARIAT:

- Conducts a preliminary risk review of each opportunity using a risk assessment tool, based on information received from APM;
- Recommends a governance path for each project, based on the risk review, prior to RPC consideration; and indicates any specific governance requirements by project;
- Schedules meetings, prepares agendas, and documents meeting minutes;
- Documents and promulgates the detailed governance process flow, documentation, and training;
- Facilitates and supports RPC meetings;
- Serves as a liaison between the customer, RPC, and the SST;

- Establishes and maintains an RPC repository of information; and
- Executes other duties, as assigned.

Offices and Executives

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.

CHIEF FINANCIAL OFFICER

- Jointly approves the acquisition program baseline or execution plan for investment programs with other Joint Resource Council members;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Major IT Business Cases 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 Information Technology Shared Services Committee;
- Approves OMB Major IT Business Cases for designated capital investments before submission to the Department of Transportation and Office of Management and Budget;
- Jointly approves the acquisition program baseline or execution plan for investment programs with other Joint Resources Council members; and
- Oversees the enterprise architecture.

ACQUISITION EXECUTIVE

- Manages AMS policy;
- Chairs the Joint Resources Council;

- Approves acquisition category designations and AMS tailoring or waivers;
- Chairs acquisition quarterly program reviews; and
- Approves OMB Major IT Business Cases for designated capital investments before submission to the Department of Transportation and Office of Management and Budget.

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.

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 investment portfolio to the Joint Resources Council at acquisition quarterly program 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 Major IT Business Case for designated investment programs.

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.

CONTRACTING OFFICER

- Serves as the source selection official for procurements not subject to the JRC 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.

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.

OFFICE OF INFORMATION & TECHNOLOGY, ~~STRATEGY & PERFORMANCE~~ ENTERPRISE PROGRAM MANAGEMENT SERVICE, INVESTMENT PORTFOLIO ~~BUDGET, PROGRAM CONTROL,~~ & CPIC BRANCH

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Major IT Business Cases;
- Independently scores OMB Major IT Business Cases 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 Information Technology Shared Services Committee, Department of Transportation, and Office of Management and Budget; and

- Conducts earned value management assessments for programs requiring submission of an OMB Major IT Business Case to the Office of Management and Budget and ensures earned value management transition plans for those programs are implemented effectively.

INVESTMENT PLANNING AND ANALYSIS OFFICE

- Provides leadership and expertise in the preparation of business cases for JRC decisions;
- Advises investment analysis teams during service analysis, concept and requirements definition, and investment analysis;
- Provides leadership and expertise in the exploration, development, and analysis of alternatives;
- Evaluates the business case and supporting documentation prior to investment decisions;
- and
- Develops and maintains policy, standards, guidance, and templates for investment analysis and business case preparation.

Organizations and Committees

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.

NAS SYSTEMS ENGINEERING SERVICES ORGANIZATION

- Performs corporate-level service analysis for the NAS;
- Oversees the NAS architecture;
- Develops and maintains tools for conducting service analysis;
- Work with both corporate strategic planning and service organizations to ensure consistency between service planning and the long-range strategic direction of the FAA;
- Works 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;
- Works with service organizations to determine realistic alternative solutions to service need and assess their impact on the NAS architecture;
- Works with service organizations to conduct service analysis and incorporate associated recommendations into the NAS architecture; and

- Works with service organizations to develop the program requirements document.

NEXTGEN LIFECYCLE INTEGRATION ORGANIZATION

- 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 standard guidance for conducting service analysis and concept and requirements definition;
- Assists service organizations in establishing a service analysis capability and conducting service analysis;
- Leads planning and activities for concept and requirements definition;
- Ensures the requirements, policy, and procedures identified in the AMS and FAST are followed by stakeholders;
- Provides engineering analysis and recommendations to ensure technical integration and integrity is consistent with financial and policy goals, outcomes, and commitments;
- Ensures implementation efforts are harmonized with operations and stakeholder priorities
- Ensures risks are addressed collaboratively to facilitate delivery of operational capabilities and benefits; and
- Develops, maintains, communicates, and supports the execution of enterprise-wide planning artifacts that describe the lifecycle of the National Airspace System.

INFORMATION TECHNOLOGY RESEARCH AND DEVELOPMENT ORGANIZATION

- Performs corporate-level Mission Support service analysis and coordinates service activity across service organizations to ensure alignment with FAA strategic and performance goals as well as to eliminate redundant activity, service gaps, and duplicate benefits;
- Oversees the Mission Support architecture;
- Develops and maintains tools and standards for conducting Mission Support service analysis;
- Works with corporate strategic planning and service organizations to ensure consistency between service planning and long-range strategic planning of the FAA;
- Works with service organizations to translate user needs into a sequenced and traceable Mission Support architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- Leads planning and activity for concept and requirements definition and works with Mission Support service organizations to define program requirements, determine realistic solutions to service need, and assess their impact on the Mission Support architecture;
- Ensures policy and requirements identified in AMS and FAST are followed by Mission Support stakeholders;
- Provides engineering analysis and recommendations to ensure technical integration and integrity is consistent with financial and policy goals, outcomes, and commitments; and
- Ensures implementation efforts are harmonized with operations and stakeholder priorities.

**OFFICE of INFORMATION & TECHNOLOGY, SOLUTION DELIVERY SERVICE,
SOLUTION STRATEGY DIVISION, EA BRANCH**

- Approves Mission Support information technology and chargeback mechanism;
- Approves new Mission Support 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.

SERVICE ORGANIZATIONS

- Plan and manage resources as assigned by the Joint Resources Council 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 the solution concept of operations 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.

Teams and Groups

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.

INDEPENDENT SAFETY ASSESSMENT TEAM

- Conducts independent operational assessment for programs as directed by the Vice President of ATO safety and Technical Training.

PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages the acquisition program baseline or execution plan of investment programs it is implementing and reports breaches to management;
- Updates the OMB Major IT Business Case 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.

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.

CAPTURE TEAM

- Oversees and coordinates implementation of assigned investment increments required to obtain the assigned operational capability; and
- Identifies operational capability risks and issues and recommends corrective action to the portfolio manager.

CONCEPT STEERING GROUP

- Coordinates activity to develop and validate new concepts and ideas during service analysis; and
- Facilitates the review of new ideas and proposed changes to the NAS Concept of
- Operations.

Personnel

PORTFOLIO MANAGER

- Oversees and reports operational capability status to the NextGen Management Board;
- Evaluates operational capability demand against resource constraints;
- Identifies and assesses operational capability risks and recommends corrective actions;
- Suggests trade-offs and recommendations within the operational capability investment increments to the NextGen Management Board; and
- Participates in program reviews and budget build processes for elements of the operational capability.

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.

PRODUCT OR SERVICE TEAM LEADER

- Serves as the source selection official for procurements subject to the JRC process unless otherwise designated by the Joint Resources Council;
- 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 or execution plan and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for revised baseline values;
 - 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 representative;