# AMS CHANGE REQUEST (CR) COVERSHEET

**Change Request Number:**  15-04

**Date Received:**  October 22, 2014

**Title:**  Implementation Strategy and Planning Document (ISPD) Revision and New Program Master Plan (PMP)

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**Guidance and Policy must be submitted with separate CR coversheets**

- ⦿ Policy

**Or**

- ○ Procurement Guidance
- ○ Real Estate Guidance
- ○ Other Guidance

## Summary of Change:

Revises the ISPD template to be consistent with and complementary to the newly developed PMP template which was approved by the Acquisition Board. The ISPD contains the implementation strategy of the investment initiative. The PMP explains how the service team or program office will execute that strategy.

This change also adds contact points and instructions to the ISPD to facilitate it's use by Non-NAS information technology investment initiatives, and updates certain sections to be consistent with current FAA policy and practice (e.g., integrated logistics support, disposition of replaced assets, and program schedule).

## Reason for Change:

The Acquisition Executive Board (AEB) approved the adoption of a program management plan that  defines how the implementation strategy in the ISPD will be executed and defines  the roles and responsibilities of key organizations that will contribute to program success. The AEB directed that the ISPD be revised to focus only on implementation strategy and to be complementary and compatible with the PMP.

This change also adds contact points and instructions to facilitate use of the ISPD by Non-NAS information technology investment initiatives as recommended by the Non-NAS IT work group which was chartered by the AEB to streamline and facilitate application of the AMS to Non-NAS IT investment initiatives. It also updates specific sections of the ISPD to be consistent with current AMS policy and agency practice in such areas as integrated logistics support, disposition of replaced assets, and program schedule.

## Development, Review, and Concurrence:

Measurement and Analysis Work Group, including AJM-O, ABP-340, AAP-130, AFI-400, AAP-200, ASP-130, ABP-300, AAP-320

## Target Audience:

Acquisition  management  workforce.

**Briefing Planned:** Yes.

**ASAG Responsibilities:** Review and comment.

## Section / Text Location:

AMS Policy document sections:
Appendix B
Section 5 Investment Analysis
Table 1.2.15.1
Acquisition Category Table

**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:

None.

## Attachments:

Redline and final version.

## Acquisition Management Policy - (1/2015)

## 1.2 Key Elements of Acquisition Management

### 1.2.1 Strategic Planning, Management, and Budgeting Revised 1/2014

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, currently Destination 2025. FAA strategic planning 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 NAS Concept of Operations specifies the operational capabilities that the National Airspace System will have over time. Together, the FAA strategic plan and NAS Concept of Operations set the primary 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 FAA strategic planning. 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 Strategic Planning, Management, and Budgeting*
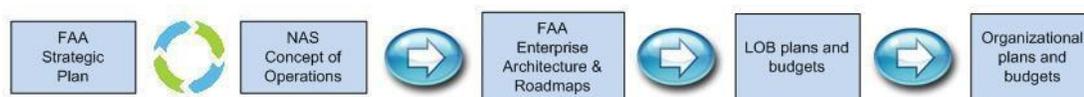


Service organizations develop integrated business plans and budgets across all appropriations to achieve full lifecycle support of service delivery. Planning is realistic within budgetary constraints. Success or failure in achieving performance goals influences future planning and budgeting decisions.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

The Administrator approves the FAA strategic plan; the NextGen Management Board approves the NAS Concept of Operations; the Joint Resources Council approves the FAA Enterprise Architecture.

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.

## 1.2.2 FAA Enterprise Architecture Revised 1/2015

The FAA Enterprise Architecture (referred to as the enterprise architecture throughout AMS policy) 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 two components: the National Airspace System (NAS) architecture and the non-NAS architecture (See Figure 1.2.2-1 FAA Enterprise Architecture). The NAS architecture is comprised of the systems, people, and procedures necessary for command and control of the National Airspace System. It also includes mission-support systems that manage or design command and control components and air traffic procedures. The non-
NAS architecture is comprised of the information technology operations and investments needed for agency business administration and planning. It includes all mission-support applications, systems, policies, and procedures not directly involved in air traffic control.

### *Figure 1.2.2-1 FAA Enterprise Architecture*
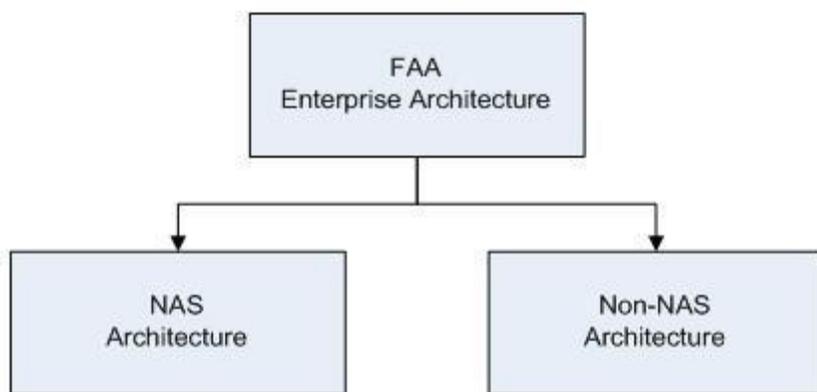


The FAA Enterprise Architecture Board governs the enterprise architecture. The Chief Information Officer maintains it. The Enterprise Architecture Service Division administers the NAS architecture. The Office of Information & Technology, Strategy & Performance Service, EA Division administers the non-NAS architecture.

## 1.2.3 Service Management Revised 7/2013

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 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.


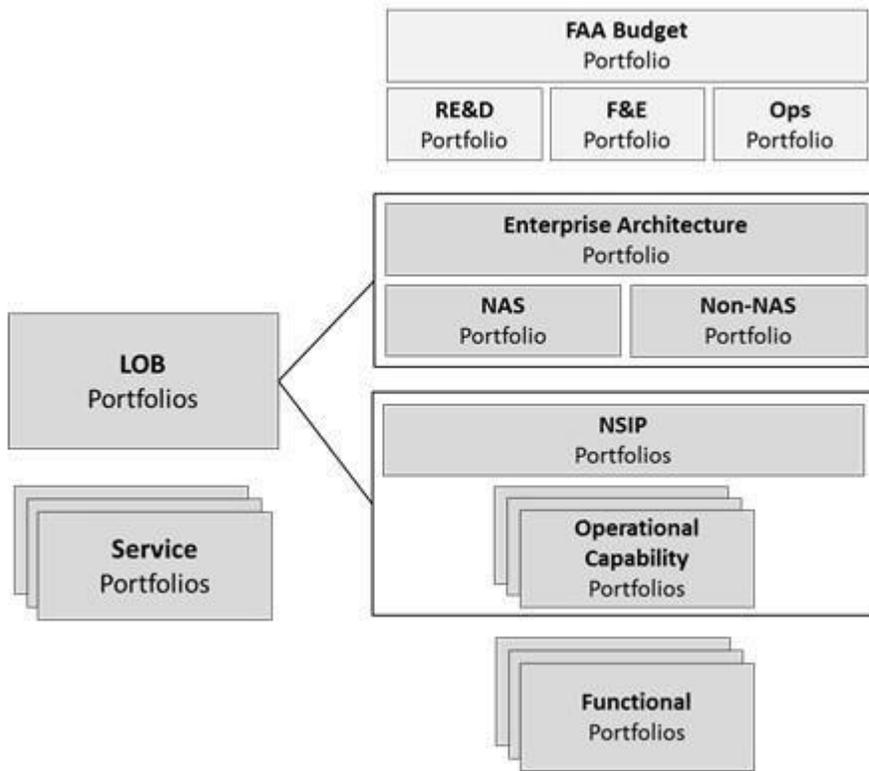## 1.2.4 Portfolio Management <span style="color:green">Revised 4/2013</span>

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.

Operational capability portfolios are rational groupings of NAS 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.

The Joint Resources Council uses 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.

AMS policy does not create a universal definition for the term "portfolio management." It establishes the definition and policy for several standard agency-wide portfolios (Section 1.2.4.1) and for operational capability portfolios (Section 1.2.4.2). This policy does not preclude other types of portfolios within the agency, nor does it provide policy or guidance for managing them. Figure 1.2.4-1 illustrates the levels and groupings of FAA portfolios.

*Figure 1.2.4-1 Portfolio Management in FAA*

FAA Budget
Portfolio

| RE&D Portfolio | F&E Portfolio | Ops Portfolio |

Enterprise Architecture
Portfolio

| NAS Portfolio | Non-NAS Portfolio |

LOB Portfolios

Service Portfolios

NSIP Portfolios

Operational Capability Portfolios

Functional Portfolios

## 1.2.4.1 Agency-Wide Portfolio Management Revised 4/2013

The FAA implements agency-wide 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 a strategic management process that ties it to the needs in the enterprise architecture and the goals in the FAA strategic plan to create a unified performance-based budget. The budget is reviewed each year considering several corporate-level portfolio measures including progress in meeting FAA strategic goals, budget allocations relative to strategic planning 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.

**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 and oceanic services,

regulatory services, certification services) manage integrated sets of investment and operational assets to optimize service delivery over time.

**NAS Segment Implementation Portfolio Management -** The NextGen organization oversees investment portfolios that cut across service organizations to provide fully integrated operational capabilities for the National Airspace System in such areas as precision-based navigation and improved runway operations. More than one service organization may be involved with implementation and in-service management of these investment packages.

**Functional Portfolio Management -** The NextGen 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.


**1.2.4.1.1 Portfolio Management Governance** <span style="color:green">Revised 4/2013</span>

Figure 1.2.4.1.1-1 portrays portfolio management governance within FAA.

*Figure 1.2.4.1.1-1 FAA Portfolio Management Governance*

(*representative depiction*)
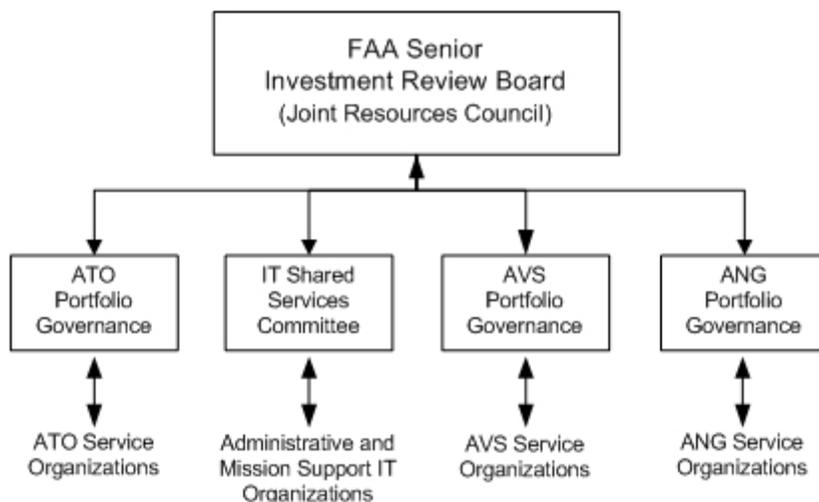


The Joint Resources Council oversees the FAA investment portfolio as expressed in the enterprise architecture, FAA budget, and individual service portfolios. It evaluates the performance of all investment programs and operational assets within each service against quantified baseline measures. Planned 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 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). NextGen (ANG) 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.


### 1.2.4.1.2 Portfolio Management Criteria Revised 4/2013

The FAA has standard criteria for selecting, controlling, and evaluating its investment portfolio. The Joint Resources Council 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 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 in FAST).

**Selection criteria**: The Joint Resources Council 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 FAA strategic 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.

**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.

## 1.2.4.2 Operational Capability Portfolios <span style="color:green">Revised 4/2013</span>

The NextGen Management Board establishes operational capability portfolios to achieve priority NAS performance and operational goals subject to concurrence by the Joint Resources Council. When an individual investment increment of the portfolio comes before the Joint Resources Council for investment decisions, the portfolio manager is present so decisions are made within context of the entire portfolio and overall corporate framework.

An operational capability portfolio may contain materiel (e.g., hardware or software deliverables) and non-materiel (e.g., airspace redesign or procedures) components. Each investment increment must receive an acquisition category designation from the Acquisition Executive Board and is managed through the AMS lifecycle according to its designation.

An operational capability integration plan (OCIP) approved by the executives responsible for each investment increment of an operational capability portfolio defines the critical interdependencies between investment increments, how they will be managed, and their interaction with each other and the overall portfolio. The OCIP specifies how cost, schedule, or performance issues will be communicated to other portfolio investment increments and how they will be resolved corporately for the benefit of the portfolio. A standard template is used to develop the OCIP, which includes measures for tracking and evaluating the portfolio (e.g., portfolio costs and benefits).

## 1.2.5 Acquisition Categories <span style="color:green">Revised 4/2013</span>

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

Investment programs are classified by investment type (new investment, technology refreshment, variable quantity, facility initiative, or support service contract) and then categorized based on 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 by investment type and acquisition category, as defined in the AMS Table of Acquisition Categories.

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

## 1.2.6 Lifecycle Management Decision-Making <span style="color:green">Revised 7/2013</span>

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 Joint Resources Council 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 Joint Resources Council may approve, disapprove, modify, or terminate an investment initiative at any AMS decision point.

The Joint Resources Council approves investment resources, regardless of appropriation, in useful and manageable segments (e.g., development, demonstration, production, deployment, and operations). Each segment is managed within cost, schedule, and performance targets in the acquisition program baseline approved by the Joint Resources Council at the final investment
decision.  The portfolio manager attends all lifecycle management decision points involving each investment increment of an operational capability to disclose the impact on an end-state
capability of not approving an investment increment.

The service team or program office must complete all phase activities and artifacts to qualify for a decision to proceed to the next lifecycle management phase, but can return to the Joint Resources Council at any time including the next decision point if the recommendation is to terminate the effort.

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 | FAA Enterprise Architecture Board | 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 1 | Note 2 | Note 2 |
| Production 1 and 2 | Note 2 | Note 2 |
| In-service 2 | Note 2 | Note 2 |
| Program baseline change | JRC | Acquisition Executive |
| F&E, RE&D, and OPS budget approvals | JRC | Acquisition Executive |
| FAA Enterprise Architecture changes | JRC | Acquisition Executive |

1 Decision required for developmental products. See AMS section 2.6.1.
2 The Joint Resources Council 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 processes and acquisition quarterly program reviews 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.

### 1.2.7 Acquisition Quarterly Program Reviews Revised 4/2013

The Joint Resources Council reviews investment programs at acquisition quarterly program reviews 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. The portfolio manager is present at the reviews to discuss the impact on an operational capability of cost, schedule, or performance shortfalls among capability investment increments and to present for consideration potential baseline adjustments among increments, when applicable.

### 1.2.8 TechStat Reviews Revised 4/2013

The FAA uses TechStat reviews when appropriate to assess underperforming investment programs. A TechStat review is an in-depth examination of program performance data from the OMB Information Technology Dashboard and SPIRE, including associated earned value management data, program management and control data, and actions for achieving the JRC- approved program baseline. The TechStat review results in a corrective action plan to improve program execution and performance within the approved program baseline, or results in other actions if the program is unlikely to improve as baselined. The Joint Resources Council determines whether a TechStat review will be conducted, and uses acquisition quarterly program reviews and investment decision meetings to identify those programs that will be subject to a TechStat review.

### 1.2.9 Cost Accounting Revised 4/2013

The FAA uses a financial management system that integrates planning, budgeting, and accounting across service organizations and appropriations. Cost accounting provides the financial basis for determining whether the FAA is meeting its performance goals within baseline costs and for determining the actual cost of service delivery.

Cost categories include all activities necessary for full lifecycle management of service delivery, including research, service analysis, concept and requirements definition, investment analysis, solution implementation, operations and support, and decommissioning. The FAA standard lifecycle work breakdown structure, cost accounting system, and labor distribution report are aligned to use the same cost categories and activities.

### 1.2.10 Workforce Development and Qualification Revised 4/2013

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 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 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 acquisition career program and associated competency, training, and certification requirements for personnel in key acquisition positions.

### 1.2.11 Continuous Improvement Revised 7/2010

The FAA continually improves its policies and guidance to increase the safety, capacity, efficiency, and effectiveness of agency services. It does this through periodic comparison with the best practices of industry and other government organizations. The FAA integrates into its policy and guidance successful practices that save time, reduce cost, and improve customer satisfaction.

### 1.2.12 On-line Policy and Guidance Revised 1/2012

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.

### 1.2.13 AMS Change Management Revised 1/2012

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.

## 1.2.14 Legal Coordination <span style="color:green">Revised 7/2006</span>

Service organizations coordinate with agency counsel on competitive acquisitions with an estimated total value greater than $100,000 and on non-competitive acquisitions with an estimated total value greater than $10,000. In addition, certain matters, described in Procurement Guidance (T1.15), require legal coordination regardless of their dollar value. FAA counsel also advises service organizations regarding legal issues and represents service organizations in litigation and other legal matters. Service organizations document the acquisition file with agency counsel's opinion and recommendations.

At Headquarters, the Assistant Chief Counsel for Procurement, and at Regions and Centers, the Region or Center Counsel, may make written exceptions to this coordination policy, adjust dollar minimums, or in appropriate cases, waive the coordination.


## 1.2.15 AMS Lifecycle Management Documentation <span style="color:green">Revised 1/2014</span>

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.

Click here to view the official storage location of investment-related program documentation.

*Table 1.2.15-1 AMS Lifecycle Acquisition Management Policy Planning and Control Documents*

**Agency-Level Strategic Planning Documents**

| Document | Purpose | Requirement | Responsible Organization(s) | Approving Official or Body |
|---|---|---|---|---|
| **FAA Strategic Plan** (currently Destination 2025) | 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 | Strategy, Budget, and Planning Committee | Administrator |
| **NAS Concept of Operations (ConOps)** | Defines target operational capabilities of the National Airspace System | Reviewed annually and updated as needed | Advanced Concepts & Technology Development Office | NextGen Management Board |
| **NAS Operational Requirements Document (ORD)** | Specifies FAA operational services consistent with the NAS ConOps | Updated annually or as necessary to remain consistent with the NAS ConOps | Advanced Concepts & Technology Development Office  ATO Operational Concepts and | NextGen Management Board  Concept Steering Group endorses |

| | | | Requirements<br><br>Lines of business | |
|---|---|---|---|---|
| **NAS Requirements Document** | Specifies NAS functional and performance requirements derived from the NAS ORD | Updated annually or as necessary to remain consistent with the NAS ConOps and ORD | NAS Systems Engineering Services<br><br>Advanced Concepts & Technology Development Office<br><br>NAS Lifecycle Integration Office<br><br>ATO Operational Concepts and Requirements<br><br>Lines of business | NextGen Management Board<br><br>NAS Systems Engineering Services endorses |
| **FAA Enterprise Architecture** | Defines the FAA target architecture and the transition strategy to reach the target Establishes the basis for service organization planning | Reviewed annually and updated as needed | Chief Information Officer<br><br>Assistant Administrator for NextGen | Joint Resources Council |
| | Defines the strategic investment plan for the FAA | | | |

## Portfolio-Level Documents

| Document | Purpose | Requirement | Responsible Organization(s) | Approving Official or Body |
|---|---|---|---|---|
| **Operational Capability Business Case (NAS)** | Defines the rough costs and benefits of an operational capability | Required as the basis for establishing a new operational capability | Advanced Concepts and Technology Development Office<br><br>ATO Program Management Office<br><br>Investment Analysis & Planning | NextGen Systems Engineering & Modeling |

| | | | Service organizations | |
|---|---|---|---|---|
| **Operational Capability Integration Plan (NAS)** | Defines the relationships, responsibilities, and agreements between all organizations contributing to the achievement of an operational capability | Preliminary plan required upon formation of a capture team Final plan required when all capability elements have entered concept and requirements definition | Portfolio manager Capture team | NextGen Management Board |

## Program-Level Documents

| Document | Purpose | Requirement | Responsible Organization(s) | Approving Official or Body |
|---|---|---|---|---|
| **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 Joint Resources Council 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 organization during solution implementation and the operating service organization Non-ATO: Second-level executive of the executing service organization during solution implementation |
| **Business Case** | 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 analyzed and summarized comparatively for factors in select sections of the ISPD | Implementing service organization

Operating service organization | Chair of the Joint Resources Council

ATO: Chief Operating Officer / Deputy Chief Operating |
| | | Complete ISPD is required for the final investment decision

Reviewed annually | | Officer

Non-ATO: Second-level executive of the organization executing during solution implementation

Stakeholder organizations approve specific sections per the ISPD template

~~Updates approved at the same level~~ Updated sections approved at the same level |
| **Program Management Plan** | Defines how the implementation strategy of the investment program will be executed during solution implementation | PMP required for the final investment decision

Reviewed annually | Implementing service organization | Director, implementing service organization

Updates approved at the same level |
| **OMB Exhibit 300** | Budgetary document required by OMB for designated investment programs | Preliminary document at the initial investment decision

Final document at the final investment decision | Investment analysis team

Implementing service organization | ATO: Chief Operating Officer

Non-ATO: Associate or Assistant Administrator of the line of business or staff office |

| | | | | Acquisition Executive |
|---|---|---|---|---|
| | | | | Chief Financial Officer |
| | | | | Chief Information Officer |
| | | | | Deputy Administrator concurs |

### 1.2.16 OMB Budget Documentation Revised 1/2015

The OMB Exhibit 300 is a budget request document updated yearly and sent to Office of Management and Budget 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 Office of Information & Technology, Strategy & Performance Service, Investment Portfolio & CPIC Branch. The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve the OMB Exhibit 300 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.

### 1.2.17 National Acquisition Evaluation Program Added 7/2007

The National Acquisition Evaluation Program provides oversight of FAA acquisition management through the evaluation of contracts, programs, and acquisition management practices.  The goal is to ensure consistent implementation of AMS policy and guidance by FAA offices and to identify innovative processes or opportunities for improvements.  Recommendations based on findings are tracked to closure to promote continuous process improvement and procurement integrity.

### 1.2.18 Earned Value and Baseline Management Added 7/2013

The Office of Management and Budget (OMB) directs all Government agencies to use an earned value management (EVM) system that complies with the industry EVMS Standard, American National Standard Institute, Electronic Industries Alliances-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.

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 10 percent must be reported quarterly to the Joint Resources Council, 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 Joint Resources Council 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.

## Acquisition Management Policy - (10/2014)

## 2.5 Investment Analysis <span style="color:green">Revised 4/2013</span>

Investment analysis is a disciplined process that supports sound capital investment decisions. Investment analysis is conducted in the context of the enterprise architecture and FAA strategic goals and objectives. Such plans serve as guides to prioritize current and future investment analyses. Investment analyses, in turn, 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 or service need 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 timeliness, complexity, and size of the investment analysis with the rigorous development of quantitative data needed by the Joint Resources Council 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 the Joint Resources Council 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.

When the investment initiative is an element of an operational capability (NAS only), the capture team for the capability (if established) participates in and contributes to investment analysis activity. The capture team is populated with representatives from each service team or program office that will provide an increment of the overall operational capability. They ensure the alternative emerging from initial investment analysis for each increment fits within the strategy for obtaining the operational capability and can provide the necessary performance and functionality.

A nonmateriel solution that emerges during investment analysis may proceed to solution implementation upon approval of solution requirements and implementation and resource planning, if it meets the following criteria:

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

This determination is made by the Vice President or Director of the service organization with the service need with the concurrence of the FAA Enterprise Architecture Board.

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 2.5-1 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 2.5-1 Phases and Decision Points of Investment Analysis*
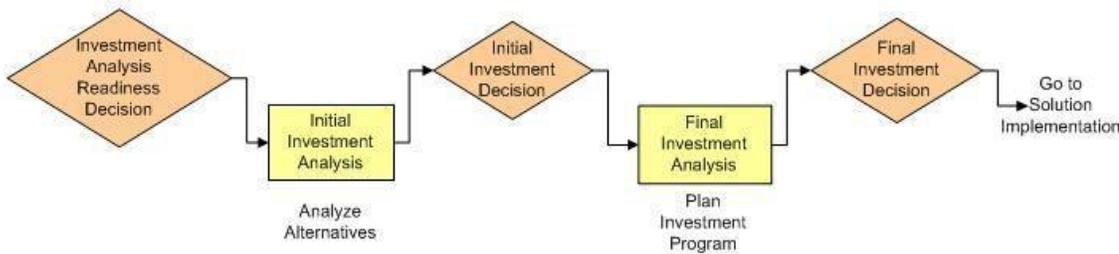
The level of activity required during investment analysis is based on the acquisition category assigned to the investment opportunity. In general, the larger and more complex an investment, the greater the level of effort required during investment analysis.

Very complex investment programs are structured into manageable, lower-risk segments and approved incrementally by the Joint Resources Council. 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 Joint Resources Council for approval.

## 2.5.1 What Must Be Done <span style="color:green">Revised 4/2013</span>

Figure 2.5.1-1 defines the key activities that must be completed during initial investment analysis. The Investment Analysis Process Guidelines on FAST describe the full range of activities that may be required.

**Figure 2.5.1-1 Key Activities of Initial Investment Analysis**
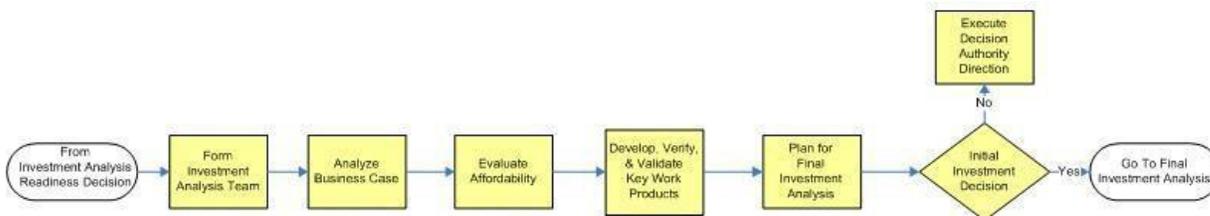


☐ **Form Investment Analysis Team.** An investment analysis team is formed and scaled to the size and complexity of the analysis. Team membership is flexible depending on the needs of the analysis, but typically includes system, technical, logistics, specialty engineering and operational subject-matter experts, and business case analysts. Security and regulatory specialists are team members when potential solutions involve facility, asset, personnel, or information security; hazardous materials; emergency operations; or when they impact aircraft, airspace, or the public.

☐ **Analyze Business Case.** The business case focuses on those key factors that demonstrate value and worth of a proposed investment initiative to the FAA and the aviation industry. This includes updating the preliminary requirements document to reflect any changes resulting from the investment analysis. When the investment initiative is an increment necessary to achieve an operational capability, the impact on achieving the capability is also a key factor of the business case. See the Business Case Analysis Guidance for more details.

☐ **Evaluate Affordability.** FAA Finance assesses the budget impact and relative contribution to agency goals of each alternative against other ongoing and proposed investment programs in the FAA financial baseline. The impact assessment may shape subsequent deliberations of the investment analysis team.

☐ **Develop, Verify, and Validate Key Work Products.** Validation of the business case is described in the Business Case Evaluation and Assessment Guide. Verification and validation for all other documentation is

described in the FAA AMS Lifecycle Verification and Validation Guidelines. The full list of work products that may be required for the initial investment decision is found on the JRC Secretariat website.

- ☐ **Plan for Final Investment Analysis.** The plan for final investment analysis defines work activities, resources, schedules, roles and responsibilities, and products. It also specifies exit criteria and a planning date for the final investment decision. See Investment Analysis Plan Guidance and Template for more details.

Figure 2.5.1-2 defines the key activities that must be completed during final investment analysis. The Investment Analysis Process Guidelines on FAST describe the full range of activities that may be required.

### *Figure 2.5.1-2 Key Activities of Final Investment Analysis*
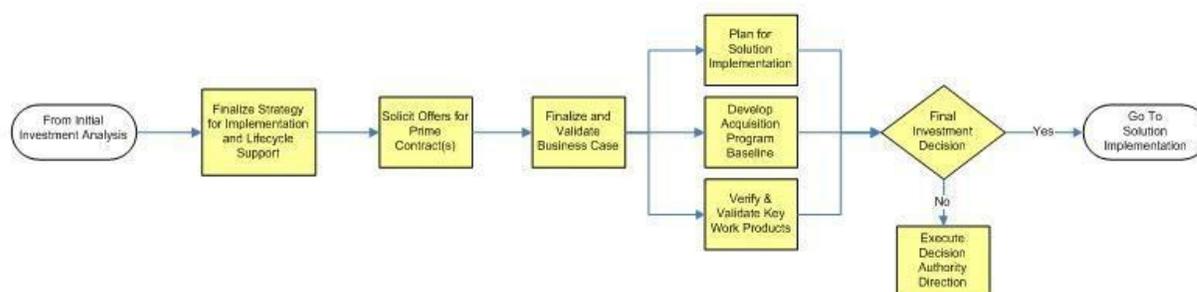


- ☐ **Finalize Strategy for Implementation and Lifecycle Support.** The implementing service organization or program office develops a detailed strategy for procuring, implementing, and supporting the solution over its service life with input from the

  investment analysis team. This strategy is the foundation for a request for offer to industry for procurement of the solution and all subsequent program planning.

- ☐ **Solicit Offers For Prime Contract(s).** The implementing service organization or program office prepares an independent government cost estimate, releases a request for offers, and evaluates industry responses for completeness, technical suitability, and compliance with the statement of work. The most acceptable industry response forms the basis for the final business case and acquisition program baseline.

- ☐ **Finalize and Validate Business Case.** The business case and supporting documents are prepared according to the ACAT designation for the solution. These requirements are found in the appropriate business case template located on the investment analysis page in FAST. This includes preparation of the final requirements document.

- ☐ **Plan for Solution Implementation.** ~~The investment analysis team develops a realistic plan for solution implementation using the FAA standard work breakdown structure and a tailored in-service review checklist. Planning must cover all key aspects of obtaining the solution so costs are reflected in resource documents and the acquisition program baseline. Planning is recorded in the implementation strategy and planning document.~~

  The investment analysis team develops realistic plans for solution implementation using the FAA standard work breakdown structure and a tailored in-service review checklist. Planning must cover all key aspects of obtaining the solution so costs are reflected in resource documents and the acquisition program baseline. The program implementation strategy is recorded in the implementation strategy and planning document. The program management plan specifies how the service organization or program office will execute the implementation strategy and defines the roles and responsibilities of key stakeholders.

- ☐ **Develop Acquisition Program Baseline.** The acquisition program baseline establishes the cost, schedule, and key performance baselines for the investment initiative. It is the agreement between the implementing service organization or program office and the Joint Resources Council concerning the performance that will be obtained and the timeframe and resources agreed to by the agency. For some investment types (e.g.,

facilities, service contracts, variable quantities), an execution plan is developed in lieu of an acquisition program baseline.

- ☐ **Verify and Validate Key Work Products.** Investment Planning and Analysis validates the business case as described in Business Case Evaluation and Assessment Guide. Verification and validation for all other program work products is according to the FAA AMS Lifecycle Verification and Validation Guidelines. The full list of work products that may be required for the final investment decision is found on the JRC Secretariat website.

See detailed guidance for investment analysis. In all cases, organizations conducting investment analysis must apply the standard processes and guidelines located in the investment analysis section of FAST.

### 2.5.2 Outputs and Products <span style="color:green">Revised 1/2010</span>

### 2.5.2.1 Initial Investment Analysis <span style="color:green">Revised 4/2013</span>

The principal output for initial investment analysis is information that enables the Joint Resources Council 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 documents for each alternative; and☐ Plan for final investment analysis.

Key work products are verified and validated according to the FAA AMS Verification and Validation Guidelines before the initial investment decision.

### 2.5.2.2 Final Investment Analysis <span style="color:green">Revised 4/2013</span>

The principal output for final investment analysis is detailed planning for the alternative selected for implementation. The following are required products:

- ☐ Acquisition program baseline;
- ☐ Final program requirements document;
- ☐ Final business case;
- ☐ Final implementation strategy and planning document;
- ☐ Program management plan; and
- ☐ Updated architecture products and amendments.

Key work products are verified and validated according to the FAA AMS Verification and Validation Guidelines before the final investment decision.

### 2.5.3 Who Does It? <span style="color:green">Revised 4/2013</span>

| Organization | Responsibilities |
|---|---|
| Investment analysis team | ☐ Performs the activities and prepares the outputs and products of investment analysis |

| Implementing service organization or program office | ☐ Typically leads the investment analysis team<br>☐ Coordinates with stakeholders throughout investment analysis |
|---|---|
| Investment Planning and Analysis | ☐ Provides standards, guidance, training, and consulting services to ensure consistency in the conduct of investment analyses<br>☐ Provides analysts who may lead, conduct, or review business cases as agreed to in the investment analysis plan<br>☐ Verifies and validates the business case for both NAS and non-NAS investments |
| Stakeholder organizations | ☐ Participate as team members throughout investment analysis |
| Capture team (NAS only) | ☐ Contributes to investment analysis activity when the investment initiative is an element of an operational capability<br>☐ Ensures the recommended alternative can provide the performance and functionality necessary to achieve the overall operational capability |

### 2.5.4 Who Approves? Revised 4/2013

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

### 2.5.5 Initial Investment Decision Added 4/2013

At the initial investment decision, the Joint Resources Council selects the best alternative for implementation or rejects all alternatives and specifies what action is needed next.

If the Joint Resources Council 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 or when requirements are not sufficiently defined. If rejected, the Joint Resources Council can approve such actions as research, further analysis, development, or termination.

When the initial investment decision involves an investment initiative that is an element of an operational capability, the portfolio manager attends to explain the interrelationships among capability elements and the impact of not approving the initiative on the overall operational capability.

The Joint Resources Council 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.

## 2.5.6 Final Investment Decision <span style="color:green">Added 4/2013</span>

The Joint Resources Council makes the final investment decision. If the Joint Resources Council disapproves the recommendation, it returns the investment package with specific instructions for further work or terminates the effort. If the Joint Resources Council accepts the recommendations, it:

- ☐ Approves the investment program for implementation and delegates responsibility to the appropriate service organization or program office;
- ☐ 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 architecture products and amendments; and
- ☐ Approves adjustments to FAA plans and budgets to reflect the investment decision.

Before the Joint Resources Council approves documents at the initial or final investment decisions, the documents require approval from other officials, as can be found in AMS Appendix B, Acquisition Planning and Control Documents.

When a final investment decision involves an investment initiative that is an element of an operational capability, the portfolio manager attends to explain the interrelationships among capability elements and the impact of not approving the initiative on the overall operational capability.

## Acquisition Management Policy - (10/2014)

Appendix B: Acquisition Planning and Control Documents  Revised 10/2012
      Acquisition Program Baseline   Revised 10/2012
      Program Requirements Document  Revised 10/2012
      Business Case  Revised 10/2012
      Implementation Strategy and Planning Document  Revised 4/2013
      Program Management Plan [include 'Added 1/2015' date here]

## Appendix B: Acquisition Planning and Control Documents <span style="color:green">Revised 10/2012</span>

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

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

- ☐ Acquisition program baselines and execution plans
- ☐ Program requirements document
- ☐ Business case
- ☐ Implementation strategy and planning document
- ☐ Program Management Plan

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

## Acquisition Program Baseline <span style="color:green">Revised 10/2012</span>

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

### DESCRIPTION
The acquisition program baseline is established at the final investment decision concurrent~~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.~~baselines are developed during final investment analysis by the service organization (working within the investment analysis team) that will implement and manage the program throughout its lifecycle.~~

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

investment analysis team and approved by the investment decision authority. They define the empowerment boundaries of the service team during solution implementation.

### APPROVAL

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

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

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

## Execution Plan

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

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

## APPROVAL
Approval is defined in the execution plan templates.

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

## CONTENT
Content is defined in the execution plan templates.


## Program Requirements Document Revised 10/2012
## PURPOSE
The program requirements document establishes the operational framework and performance baseline for an investment program. It is the basis for evaluating the readiness of products and
services of an investment program to become operational.

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

**DISTRIBUTION**

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

**CONTENT**

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

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

## Business Case Revised 10/2012

**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 synopsizes 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 Revised 1/2014

**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 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 Chief Operating Officer/Deputy Chief Operating Officer.  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:

Section 2:  Director, Acquisition and Contracting; and Director, Financial Controls; Sections 5, 6 and

10:  ATO Vice President for Technical Operations;

Sections 1, 4 and 5:  Director of NextGen Engineering Services (ATO programs only); Sections 6.73, 7.1,-

and 9.2, and 10.2:  Vice President, Safety and Technical Training.

The organization executing the program in solution implementation obtains the required approvals before the investment decision with the exception of Joint Resource Council membersthe investment decision authority, which are obtained at the time of the JRC decision by 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.


## Program Management Plan [include 'Added 1/2015' date here]

## PURPOSE

The program management plan (PMP) defines how the service organization or program office will manage the implementation strategy recorded in the ISPD approved by the Joint Resources Council at the final investment decision. The intent is to ensure: (1) the full scope of program implementation is understood and planned, and (2) agreements are established with key support organizations (e.g., logistics, test, information security, safety, systems engineering) that must provide resources or otherwise contribute to successful program implementation. Do not repeat the implementation strategy recorded in the implementation strategy and planning document – explain how you will manage the execution of that strategy.

A revision to the PMP occurs in the event of a baseline change decision that affects the implementation strategy

significantly or when human resource needs change substantially as the program progresses through solution implementation.

## APPROVAL

The program management plan is circulated for review with the implementation strategy and planning document. It is approved by the Director of the service organization assigned responsibility for implementing the investment program after concurrence by all key stakeholders through a formal review cycle. Key stakeholders are those organizations that have a vested interest in the operational assets to be provided by the investment program, as well as those organizations that must support the implementing service organization or program office to achieve successful implementation and operational use.

## DISTRIBUTION

Send an electronic copy of the approved program management plan to the JRC executive secretariat before the final investment decision. Send an electronic copy of all approved revised PMPs to the JRC executive secretariat as well. The JRC executive secretariat maintains a database of all approved PMPs and revisions.

## CONTENT

Use the PMP template in FAST to prepare the document. Scope and detail should be commensurate with the complexity of the investment program. Be succinct and complete. Quality is preferred over length.

**Other Files:**

None