AMS/FAST CHANGE REQUEST (CR) COVERSHEET

Change Request Number: 21-51

Date Received: Apr 6, 2021

Title: Update ACAT table and AMS Policy Appendix B

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Initiator Organization Name / Routing Code: Life Cycle Acquisition Policy Branch, AAP-100

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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Summary of Change: The change clears up outdated references to eliminated ACATs, as well as clarifies confusing phrases. It also adds language referencing the JRC Checklist as the comprehensive source for all items necessary for a JRC decision, listed by Investment phase and ACAT.

Reason for Change: Clarification and align JRC Checklist and AMS policy

Development, Review, and Concurrence: AAP-100

Target Audience: Acquisition Workforce, Program offices

Briefing Planned: No.

ASAG Responsibilities: None.

Section / Text Location: Useful AMS Information - Acquisition Categories - ACAT Table
AMS Policy Appendix B

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/acqcattable.doc
https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicyAppendixB.pdf

Attachments: Redline and final.

Other Files: N/A.

Redline(s):

Section Revised: Appendix B – Acquisition Planning and Control Docuements

Acquisition Management Policy - (~~1/2021~~4/2021)

Appendix B: Acquisition Planning and Control Documents Revised ~~4/2019~~4/2021

Acquisition Program Baseline ~~or Execution Plan~~ Revised ~~7/2019~~4/2021

Program Requirements Document Revised 10/2012

Business Case Revised 10/2012

Implementation Strategy and Planning Document Revised 10/2015

Program Management Plan Added 1/2015

Appendix B: Acquisition Planning and Control Documents Revised ~~4/2019~~4/2021

AMS Policy Section 1.2.5 ~~provides~~, as well as the ACAT table, provide guidance and direction ~~relative to~~ for the use of acquisition categories ~~for investment decision-making and governance.~~in the FAA acquisition process. These categories ensure the appropriate level of oversight and documentation requirements are 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 baseline or execution plan
- 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 ~~or Execution Plan~~ Revised ~~7/2019~~4/2021

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).~~New Investment ACATs. The second APB template is to be used for ~~technology refreshment programs (acquisition categories 4TR~~Tech Refresh Portfolio Project Level 1 and ~~5TR).~~Sustainment Level 1 initiatives.

DESCRIPTION

The acquisition program baseline is established at the final investment decision concurrent with approval of an investment program for implementation. The cost and schedule baselines are developed during final investment analysis by the service organization (working within the investment analysis team) that will implement and manage the program throughout its lifecycle.

The 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 program and the cost, schedule, and performance parameters that will be reported and tracked monthly.

DESCRIPTION

There are four execution plan templates. The ~~first is~~ execution plan templates used are based on the initiative's assigned ACAT. Variable Quantity ~~Execution Plan~~programs use the Variable Quantity template ~~used for acquisition categories 1VQ through 5VQ.~~. The ~~second and third Execution Plan templates are the~~ Facility ~~Execution Plans. The program-level~~ACAT has two templates – one for the overall Facility ~~Execution Plan is~~ program and the second used for ~~acquisition categories 1F through 5F. The project-level~~ Facility ~~Execution Plans is used for acquisition~~Level 1 sub~~-categories F1, F2, and F3.~~ – projects. The fourth execution plan is ~~the Technology~~for Tech Refresh Portfolio ~~Execution Plan and is used for acquisition category 1TRP~~1.

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 must use the program requirements document template in FAST and must 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 must use the business case template in FAST and must provide information for all sections.

Implementation Strategy and Planning Document Revised 10/2015

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 Analysis;

Sections 5, 6 and 10: ATO Vice President for Technical Operations, (NAS and Mission Support programs) and Director, AIT Infrastructure & Operations, (Mission Support programs);

Sections 1, 4 and 5: Director of NextGen Engineering Services (NAS programs); Director, AIT Strategy & Performance Service (Mission Support programs)

Sections 6.7, 7.1, 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 members, which are obtained at the time of the JRC decision by 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 Added 1/2015

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.