

ORDER

AL 6000. 19

ALASKAN REGION F&E PROGRAM MANAGEMENT HANDBOOK

September 13, 1988

**DEPARTMENT OF TRANSPORTATION**  
**Federal AVIATION ADMINISTRATION**

FOREWORD

This order provides the basic management concepts, descriptions and procedures, and delineates responsibilities for administering the Airway Facilities Division Facilities and Equipment (F&E) Program in the Alaskan Region. The Airway Facilities Division branches will issue any additional operational standards and procedures needed to manage the F&E Program within their individual program areas, from concept to completion.

The material in this order explains chronologically the basic steps in the F&E Program process and provides sufficient direction to plan, program, develop and accomplish F&E projects in the Alaskan Region. Consultation with the Program Management Section, AAL-454, is encouraged whenever assistance is required.

This order informs personnel at all levels of the F&E process and provides guidelines for the effective execution of F&E projects. The contents have been prepared on a region-wide basis; therefore, individual organizations may issue directives to cover F&E operational requirements, with specific guidelines and instructions, as needed, to ensure organizational compatibility.

Franklin L. Cunningham  
Regional Administrator

## TABLE OF CONTENTS

	<u>Page Number</u>
CHAPTER 1. GENERAL INFORMATION	
100. Purpose	1
101. Distribution	1
102. Background	1
103. Responsibilities	1
104. Coordination	4
105. Resolution of Disagreements	5
106. Organization of Order	5
107. Forms	6
108.-199. <b>Reserved.</b>	6
CHAPTER 2. BUDGET DEFINITION	
200. Introduction	7
201. Responsibilities	8
202. Field Budget Submission and Coordination Procedures	9
203. Regional Budget Submission Procedures	10
204. Space Layout	13
205. Airport Master Plan	14
206. Airport Improvement Program (AIP)	15
207. Regional Office Budget Review and Submission to the Washington Office	15
208. Feedback	16
209. Washington Budget Review Activities	16
210. Reimbursable Agreements/Projects	17
211. <b>Quality Control</b>	17
212.-299. <b>Reserved</b>	17
Figure 2-1. Field/Regional/Washington Relationships in Budget Cycle	18
Figure 2-2. Budget Flow Process - Regional	19
CHAPTER 3. PROGRAM MANAGEMENT	
300. Introduction	21
301. Responsibilities	21
302. Project Authorization (PA)	22
303. Revalidation of Project	22
304. Staffing and Training Requirements	23
305. Coordination Team	24
306. Project Evaluation	25
307. Project Schedule	25
308. Coordination and Concurrence	27
309. Project Coordination	28
310. Site Selection Revalidation	29

	<u>Page Number</u>
311. Quality Control	29
312.-399. Reserved.	29
Figure 3-1. Airway Facilities Coordination Team Concept for Major FOE Project	31
Figure 3-2. Major Project Coordination Team	32
Figure 3-3. F&E Project Coordination and Concurrence Sheet (3 pages), AL Form 6000-15	33
Figure 3-4. Planning Checklist, AL Form 6000-12	36
 CHAPTER 4. PROJECT ENGINEERING	
400. Introduction	37
401. Work Order	37
402. Responsibilities	37
403. Project Management	40
404. Redesign Coordination	48
405. Surveys and Investigations	49
406. Design Coordination, Review, Changes, and Approval	51
407. Project Activity Reporting	54
408. Work Order, Bid Solicitations, Negotiations, and Contracts	54
409.	55
410. Control	55
411.-499. Reserved.	56
Figure 4-1. Bar Chart Project Schedule - Example	57
Figure 4-2. Engineering Checksheet (2 pages), AL Form 6000-11	58
Figure 4-3. Engineering Change Proposal, AL Form 6000-10	60
 CHAPTER 5. PROJECT ACCOMPLISHMENT	
500. Intro auction	61
501. Responsibilities	61
502. Project Changes During Accomplishment	62
503. Project Coordination Conferences	63
504. Periodic Progress Reviews	67
505. Coordination During Construction and Installation	68
506. Reporting and Coordination of Schedule Changes	69
507. Scheduling Shutdowns and Service Interruptions of Electronic Facilities, Lighting/Visual Aids, and Airport Runways	69
508. Participation of Operations Personnel on F&E Work	69
509. Preliminary and Commissioning Flight Inspections	70
510. Preacceptance Planning	71

	<u>Page Number</u>
511. Conducting Contract Acceptance Inspections (CAI's) and their Relationship to Joint Acceptance Inspections (JAI's)	73
512. Conducting Joint Acceptance Inspections (JAI' ) s	74
513. Ancillary Supporting Services for New Facilities	76
514. Requisitioning Handling, and Storage of Project Materials	77
515. Closeout Documentation	78
516. Quality Control (QC)	79
517.-599. <b>Reserved.</b>	80
Figure 5-1. Construction/Installation Project Evaluation Report ( 5 pages) AL Form 6000-14	82
Figure 5-2. Instructions for Filling Out AL Form 6000-14	87
 CHAPTER 6. PROJECT COMPLETION	
600. Introduction	89
601. Responsibilities	89
602. Commissioning	89
603. Final Capitalization	90
604. Facility Decommissioning/Dismantling	91
605. Project Closeout and FERS Deletion	92
606. Project Review/Critique	92
607. Quality Control (QC)	93
608.-699. <b>Reserved.</b>	93
Figure 6-1. Project Review Form, AL Form 6000-13	94
 CHAPTER 7. QUALITY CONTROL AND ASSURANCE	
700. Introduction	95
701. Definitions	95
702. Responsibilities	95
703. Procedures	97
704. <b>Criteria</b>	98
705.-799. <b>Reserved.</b>	100
APPENDIX 1. DIRECTIVE AND FORM REFERENCE (By Page)	1
APPENDIX 2. NUMERICAL DIRECTIVES REFERENCE	1

CHAPTER 1. GENERAL INFORMATION

100. PURPOSE. The purpose of this order is to provide a uniform planning, coordination, and implementation process for all F&E projects that will include all interested parties and result in cost effective products that are completed within budgeted funds.

101. DISTRIBUTION. This order is distributed to section level in Airway Facilities, Air Traffic, Flight Standards, Airports, Financial Management, and Logistics Divisions, and to all field offices/facilities.

102. BACKGROUND. There is no national or regional directive pertaining to the overall management and execution of the F&E program. The F&E process in the Alaskan Region has generally worked well and delivered acceptable finished products largely through long-standing informal procedures. The informal process, however, occasionally results in problems or delays in F&E project accomplishment. The F&E process can be improved by emphasizing coordination, implementing quality control and assurance, improving overall planning, and providing for realistic schedules based on historical data, which includes allowances for delays which may prevent projects from being completed on schedule. In the F&E process, projects are initiated by Air Traffic and Airway Facilities field offices; regional office Air Traffic, Airway Facilities, and Flight Standards Divisions; the FAA Washington headquarters or under reimbursable agreements. These projects are then processed as follows:

a. The project is defined and a budget item is submitted to the FAA Washington Headquarters and, if approved, a Project Authorization (PA) is sent to the appropriate regional office.

b. When the PA arrives in the region, the project is revalidated, planning and coordination are performed, and the project is released for engineering and accomplishment.

c. The project is designed and accomplished, and, when acceptable, the facility is commissioned for use on the NAB.

103. RESPONSIBILITIES. The Airway Facilities Division is responsible for accomplishment of the Regional F&E Program and receives support and guidance from various divisions, staff offices, and field facilities.

a. Airway Facilities Division, AAL-400:

(1) Serves as the focal point for detailed preparation of Airway Facilities sponsored F&E budget submissions, and prepares project cost estimates project scopes, and material requirements for budget submissions by other divisions.

(2) Identifies and justifies field requirements for equipment replacement, modernization, and other projects directed toward improved system maintainability and operation.

(3) Accomplishes F&E project engineering, construction, and installation work.

(4) Formulates realistic schedules and goals for the accomplishment of the F&E Program.

(5) Serves as the focal point for carrying out the fiscal programming aspects of the Regional F&E Program.

(6) Develops commissioning obligation, and outlay goals and develops and justifies F&E manpower requirements.

(7) Conducts quality control and quality assurance programs throughout all phases of the F&E process.

(8) Schedules and chairs meetings Bullring various phases of the F&E coordination process.

(9) Participates as a member of the Interprogram Working Group (IPWG), the Regional Budget Review Board (RBRB), and the Project Coordination Team (PCT).

b. Financial Management Division, AAL-30:

(1) Provides accounting services for the Alaskan Region F&E Program, maintains necessary accounting con ~ ups, operates the financial reporting system, and analyzes and presents accounting data to regional officials for management action.

(2) Determines entitlement for payment of all obligation documents associated with the F&E Program.

(3) Provides policy guidance and assists the other divisions In formulating F&E budget estimates.

(4) Administers the F&E fiscal program In coordination with the Airway Facilities Division.

(5) Participates as a member of the Interprogram Working Group (IPWG) and the Regional Budget Review Board (RBRB), and the project coordination team (PTC) .

(6) Issues the regional call for estimates for the F&E budget submission, assures a completed submission which is on accordance with appropriate directives, and effects appropriate coordination with the Office of Budget regarding matters related to the region's submission.

c. Logistics Division, AAL-50:

(1) Manages and controls project material required on the establishment or modernization of facilities from the time requirements are determined until the material is placed on use or other disposition is completed.

(2) Administers the procurement program, which includes construction, equipment, materiel, and service contracts.

(3) Accomplishes real estate actions, negotiates and executes contract documents to acquire real property by lease, purchase, condemnation, etc; contracts for utility services; negotiates and coordinates reimbursable and interagency agreements; acquires "Economy Act" approval from the Regional Administrator when necessary.

(4) Participates as a member on the Interprogram Working Group (IPWG) and the Regional Budget Review Board (RBRB), and the Project Coordination Team (PCT).

d. Flight Standards Division, AAL-200:

(1) Determines and develops requirements necessary for new approach lighting systems and terminal air navigation aids (except radar), including justification, priorities, and place names for all items to be in the region's annual F&E budget submission.

(2) Provides technical expertise to other divisions as required, including revalidation of previously submitted projects, after funding approval and prior to project accomplishment.

(3) Participates as a member of the Interprogram Working Group (IPWG), the Regional Budget Review Board (RBRB), and the Project Coordination Team (PCT).

(4) Recommends priorities in the Flight Standards Establishment Program.

e. Air Traffic Division, AAL-500:

(1) Serves as the lead office for development and coordination of the region's long-range program plans to establish, modernize, relocate, or discontinue air traffic services and air navigation facilities, except terminal nav aids.

(2) Develops plans, conducts staff studies, and prepares detailed written justification to support the establishment program in these operational areas.

(3) Collects, compiles, and analyzes statistical data relating to air traffic activity for forecasting trends which affect operations and planning activities.

(4) Recommends project priorities in the Air Traffic Control Establishment Program.

(5) Participates as a member of the Interprogram Working Group (IPWG), the Regional Budget Review Board (RBRB), and the Project Coordination Team (PCT).

f. Airports Division, AAL-600:

(1) Coordinates with other divisions on regional airport planning and development activities, generated by airport sponsors and the Airport Improvement Program (AIP), which may impact on the regional F&E program or commissioned facilities and equipment.

(2) Participates as a member of the Interprogram Working Group (IPWG), the Regional Budget Review Board (RBRB), and the Project Coordination Team (PCT).

g. Airway Facilities Sector Offices and Air Traffic Facilities:

(1) Identify, coordinate, and submit field requirements into the F&E budget cycle.

(2) Participate an the establishment program, as required, throughout the planning, coordination, engineering, and accomplishment phases.

h. System Engineering and Integration Contractor (SEIC). The SEIC provides technical and management support for the implementation of the NAS Plan. While the bulk of the SEIC effort is on the Washington, D.C., area, SEIC contingents have been placed on each region and the Technical Center to assist in regional NAS Plan implementation. Within the Alaskan Region, the SEIC assists on transition planning, F&E program management assistance, communications engineering, and training/maintenance support during all phases of implementation. Additionally, the SEIC is working to formulate an F&E Program Management System that will support the implementation of this order.

104. COORDINATION. A project coordination team shall be formed for each project and will include a representative from each affected organization. The chairman of the team will be designated at the start of each phase and shall be a representative from the lead organization of that phase; e.g., the Manager, Program Management and Planning Section, AAL-454, will designate chairpersons for the budget definition and project planning phases; the Manager, Environmental Engineering Section, AAL-451, will designate a chairperson during the construction engineering phase, etc. The amount and method of coordination will vary according to the complexity of the project and will be recommended by AAL-454 after the arrival of the PA and after consultation with the affected sector, AAL-451, AAL-452, and AAL-460. Since it is important that coordination be accomplished at specified milestones during the F&E process, a check-off sheet shall be initiated during budget formulation and utilized throughout the project establishment process to document coordination steps. As a ~~minimum~~ the coordination milestones will be as follows:

COORDINATION MILESTONES

OPI

a. Budget formulation and submission  
(F&E and leased communications).

AAL-30

b. PA Revalidation.

AAL-454

- |    |   |                                  |
|----|---|----------------------------------|
| c. | Formation of Project Coordination Team.             | AAL-454                          |
| d. | Predesign Conference.                               | AAL-451/452                      |
| e. | Request leased communications services.             | AAL-451/452                      |
| f. | Request real estate & utilities services.           | AAL-451                          |
| g. | Preliminary and Critical Engineering design review. | AAL-451/452                      |
| h. | Construction procurement request.                   | AAL-451/452                      |
| l. | Preconstruction or preinstallation.                 | AAL-451/452                      |
| j- | Construction or installation progress.              | AAL-451/452/50                   |
| k. | Preacceptance review (generate punch list).         | AAL-451/452<br>*Sector Office    |
| l. | Contract Acceptance Inspection (CAI).               | AAL-451/452/50<br>*Sector Office |
| m. | Joint Acceptance Inspection (JAI).                  | AAL-451/452<br>*Sector Office    |
| n. | Final critique and feedback.                        | AAL-460                          |
- \*If assigned CAI/JAI responsibilities

105. RESOLUTION OF DISAGREEMENTS If the coordination team members are unable to reach full accord on any aspect of the project work, the coordination team chairperson shall attempt to resolve the issue to the satisfaction of the team members. When full agreement of the team members cannot be attained at the end of each phase, the coordination team chairperson shall schedule a formal team meeting or telephone conference. The full coordination team shall determine the merit of the issue(s) and decide on a course of action. All efforts shall be taken to reach a consensus. If a consensus cannot be reached, the dissenting member(s) shall state their positions and recommendations in a written report, which shall be forwarded to their supervisors for resolution. The report shall be submitted within 5 working days of the team meeting or telephone conference. The responsible Airway Facilities Division branch manager(s) and sector manager shall attempt to resolve issues on which the coordination team members cannot reach agreement. Issues which cannot be resolved by the branch manager(s) and sector manager will be forwarded to the Manager, Airway Facilities Division for resolution. If other divisions are parties to the disagreement, the appropriate involvement of their management shall also be included in the resolution process.

106. ORGANIZATION OF THIS ORDER. Each chapter of this order is organized in the following sequence: introduction, responsibilities, chronological development of subject material, coordination process, and, finally, quality

control and assurance. A chapter has been devoted to quality control and assurance because of the importance of these activities to a successful F&E Program.

107. FORMS. The forms referenced in this order may be obtained through the Regional Office Supply Room, AAL-52C.

108.-199. Reserved

CHAPTER 2. BUDGET DEFINITION200. INTRODUCTION.

a. Scope. Each year, the calls for F&E and leased communications budget submissions are initiated at FAA Washington headquarters. Although these calls may occur at different times relative to each other, the planning process involved in the validation and development of each budget item is the same. The purpose of this chapter is to define the desired planning process required to achieve a viable and effective budget item at a realistic cost that will, when implemented, produce the results intended by the originator of the project. This chapter will also delineate the responsibilities of each branch on the Airway Facilities Division on regard to budget submissions. Regional policy and procedural guidelines for the formulation of the F&E budget are outlined in AL 2500.3E, Budget and Fiscal Management.

b. F&E Appropriation. Under this appropriation, improvements to the National Airspace System are accomplished by the installation of new equipment and the construction and modernization of facilities to keep pace with aeronautical activity. Operating costs of facilities installed and constructed under the F&E appropriation are financed under the Operations Appropriation.

c. Operations Appropriation. This appropriation provides funding for the operation, maintenance, communications, and logistics support of the air traffic control and navigation systems and associated regulatory functions.

d. F&E Budget Cycle. The normal F&E budget follows a basic progression from initial budget request/estimate to the allocation of funds for the integration of the new or relocated facility into the National Airspace System. Definitions and details relative to the budget cycle can be found in the current 2500 series AL notice titled, Call for Estimates, F&E Budget Estimates. The typical budget cycle is depicted below. It should be emphasized, however, that the budget process is continuous and requires the ongoing efforts of various offices throughout the year.

March	Field begins planning for budget-year submission.
June	Washington Office develops budget-year requirements.
August	Cutoff date for field input to Maintenance Branch, AAL-460.
June-October	Airway Facilities, Air Traffic, Logistics, Airports, and Flight Standards Divisions provide input to the AF Establishment Branch, AAL-450.
November-January	Regional review and approval. Budget forwarded to FAA, Washington.
March	Interservice Working Group (ISWG) on Washington.
April	Service Director/Administrator review. FAA recommends budget to Office, Secretary of Transportation (OST).
June	Office, Secretary of Transportation (OST) submission.

September	Office of Management and Budget (OMB) submission.
January	Congressional submission.
April	House/Senate hearings.
October	President signs appropriation bill.
October	Funds available to region.

Total Approximate Elapsed Time: 32 months.

e. Leased Communications Budget Cycle. The telecommunications budget, both for leased and procured services, is under the Operations Appropriation. Procurement budgeting is accomplished through the regional operations budget process as detailed in the current 2500 series AL notice titled Call for Estimates, Operations Appropriation, CY 19xx & BY 19xx. Leased services budgeting is accomplished through a separate "Call-For-Estimates" by the Fiscal Support Section, AAL-421.

201. RESPONSIBILITIES.

a. General. The Air Traffic, Flight Standards, and Airway Facilities Divisions are responsible for identifying, and justifying, projects for submission under the yearly F&E budget. The Airway Facilities Division shall, however, provide cost estimates, project scopes, identify material requirements, and validation of project feasibility for all regional project submissions. Figure 2-1, Relationships in the Budget Cycle, depicts the flow process used in the preparation of F&E budget submissions.

b. me role and correcting responsibilities of the Airway Facilities Division elements are:

(1) me NAS Plan Coordinator, AAL-456, is responsible for reviewing the regional F&E budget submissions to assure that the F&E program is consistent with the National Airspace System Plan.

(2) The Planning and Cam Management Section, AAL-454, is responsible for the overall preparation of the budget submissions for the national call. The section is responsible for the dissemination of information on proposed budget items to all organizations involved in the budget process to the extent necessary to produce realistic engineering cost estimates and budget submissions. The section also validates the feasibility of major projects and is responsible for ensuring that projects comply with the current issue of Order 7031.2C, Terminal Air Navigation Facilities and Air Traffic Control Services.

(3) The Environmental Section, AAL-451, is responsible for preparation of all environmental engineering cost estimates and detailed project scopes for inclusion in the budget submission. The section determines the best method to be used in satisfying the intent of a budget item and submits requests for all needed support items which can be foreseen at budget time. The section also budgets for and submits requests for leased communications services required to complete the project.

(4) The Electronics Section, AAL-452, prepares electronic engineering cost estimates and detailed project scopes for inclusion in the budget submission. The section determines the best methods or plan of action to be used in satisfying the intent of a budget item and submits requests for all needed support items which can be foreseen at budget time. The section also budgets for and submits requests for leased communications services required to complete the project.

(5) The Maintenance Branch, AAL-460, is responsible for validating, in terms of need and for concurrence with provisions of Order 2500.8, Operations vs. F&E Funding, all Airway Facilities Division field project proposals prior to their incorporation into the national call. The branch ensures that total field needs are addressed in each budget item proposal.

(6) Airway Facilities sectors are responsible for identifying and submitting budget items to the Maintenance Branch, AAL-460, on accordance with AL 6030.10B. The sectors are also responsible for the coordination of their proposals with the Air Traffic field managers to ensure that all requirements are included in the budget item submissions.

c. Before submitting to AAL-510, Air Traffic facility managers shall coordinate their F&E budget submissions with the appropriate Airway Facilities sector/sector field office managers to ensure that the project is technically feasible. (Reference current 2500 series AL notice titled, "F&E Budget Estimates.")

202. FIELD BUDGET SUBMISSION AND COORDINATION PROCEDURES.

a. General. The preparation for the basic justification and recommendations for specific budget items are the responsibilities of the Air Traffic facility manager, the Airway Facilities sector manager, sector field office manager, or field unit supervisor, Flight Standards field offices, and regional divisions.

b. The types of projects which are normally funded under the F&E appropriation are listed in the current 2500 series AL notice titled, "F&E Budget Estimates."

c. Due Date. The budget item preparation effort by field offices is to be a continuous process throughout the year, with all budget-year submissions finalized prior to the regional call for estimates. This means that field offices are to prepare budget estimates, with justifications throughout the year as needs become apparent. Such continuing effort will avoid last-minute, often incomplete, or unsatisfactory submissions being prepared after field receipt of the call for estimates. The cutoff date for Airway Facilities field submission of budget items to AAL-460 for inclusion in each year's budget is August 1 of that year. Other organizations will comply with instructions outlined in the current 2500 series AL notice.

d. Coordination.

(1) Locally-Developed Projects. Projects generated at the facility

level shall be fully coordinated between Air Traffic facility and Airway Facilities field managers, prior to submission in accordance with the current edition of 2500 series AL notice. Projects generated by AT field facilities should include associated AF requirements and, conversely, projects generated by AF facility offices should include AT requirements. Airway Facilities field managers should offer and provide necessary technical assistance to AT facility managers for the preparation of budget submissions. Coordination of the budget submission shall be indicated on the budget estimate/request form. This coordination process provides all field and regional office elements the opportunity to assure that all aspects of the project are considered and that estimates, data, and requirements for accomplishment of all aspects of the project are included and provided for in the submission.

(2) Regionally or Nationally Developed Projects. It shall be the responsibility of the Maintenance Branch, AAL-460, to coordinate with the Airway Facilities sectors on all proposed budget items generated by national or regional offices of Airway Facilities, Air Traffic, and Flight Standards. Airway Facilities field comments on regional/national budget items shall be submitted to the Maintenance Branch, AAL-460, for review and later transmittal to the Planning and Program Management Section, AAL-454, for validation.

(3) Reimbursable Projects. It shall be the responsibility of the Real Estate and Utilities Branch, AAL-58, to process, negotiate, and coordinate reimbursable projects to be accomplished by the Alaskan Region. After a Copy of the signed agreement is forwarded to the Airway Facilities Division, AAL-400, a request for Project Authorization will be processed through AAL-31 by the Program Support Branch, AAL-420.

e. Preparation and Routing of Budget Submissions. The submission and routing process is outlined In Figure 2-1, Regional Budget Flow Process. Detailed procedures for preparing budget submissions are included on the current 2500 series AL notice and AL 6030.10B.

### 203. REGIONAL BUDGET SUBMISSION PROCEDURES.

a. General. Regional procedures for accomplishing and/or determining validation, need, feasibility, and engineering cost estimates for projects are listed relative to branch and section responsibilities. For the basis of these activities and for division responsibilities, refer to the current issue of Order AL 2500.3, Budget & Fiscal Management.

#### b. Validation.

(1) Each F&E budget request shall be validated with respect to need, cost versus benefit, and compatibility with the National Airspace System Plan by:

(a) The Plans, Yams, and Resources Branch, AAL-510, for all Air Traffic field submissions.

(b) The Maintenance Branch, AAL-460, for all Airway Facilities field submissions.

(c) The Flight Inspection and Procedures Staff, AAL-223,  
for all Flight Standards submissions.

(d) The Logistics Division, AAL-50

(e) The Airports Division, AAL-600

(f) The Fiscal Management Division, AAL-30

(2) All budget submissions are further validated as to need and feasibility by the Airway Facilities Division Planning and Program Management Section, AAL-454.

(3) All requests for budget cost estimates and scope shall be forwarded to AAL-454 and annotated as to whether or not preliminary planning information will be provided by AAL-454.

c. The definition of work scope in each item of the budget submission shall contain sufficient information to eliminate the need for further clarification when the project is funded. The responsibility for providing a well-defined work scope rests with the following branches or sections:

(1) For Airway Facilities field-generated budget requests, it is the responsibility of the Maintenance Branch, AAL-460, to verify that detailed work scopes are generated by the Airway Facilities sector/sector field offices. AAL-460 shall ensure that each budget request meets the criteria of Order 2500.8, Operations vs. F&E Funding, and the Call for Estimates/Item before forwarding the budget request to AAL-454. AAL-460 shall also ensure that each budget request has been coordinated with the local Air Traffic manager. Copies of budget requests which have not been coordinated will be returned by AAL-460 to the appropriate sector for coordination with the AT manager. All field F&E requests shall include all known items, such as problem, solution, recommendations scope (if known and equipment and materiel requirements, to facilitate accomplishment of the budget item. However, cost estimates are not required for budget items submitted by the sectors or AAL-460. Any changes to the basic scope of work submitted by the field shall be coordinated by AAL-460 with the appropriate sector office. The Planning and Program Management Section, AAL-454, will, upon receipt, review field budget submissions to determine if there are national or regional office programs which will provide the requested budget submission. Budget submissions which are not covered by national or regional programs will be returned to AAL-460 for revalidation and/or more data. After a field submission has been validated by AAL-460 and if it survives the IPWG and RBRB reviews, it is ranked with other AAL projects and forwarded to AAL-454 for inclusion in the budget. After the budget item becomes part of the response to the national call, it will be processed by AAL-454 on the same manner as described in subparagraph (2), below.

(2) For regionally or nationally generated projects, the Planning and Program Management Section, AAL-454, will ensure that a detailed work scope for any proposal is distributed to all branches of the Airway Facilities Division and appropriate Airway Facilities sectors. The work scope, depending on the project complexity, shall be determined using one of the following methods:

(a) For major projects, such as those listed under paragraph 305e(1), the Planning and Program Management Section, AAL-454, will call for coordination meetings on the budget item preparation. The purpose of these meetings is to arrive at a mutual understanding among the parties involved as to the basic scope of work intended by the initiator of the budget item. The evaluation and cost estimating of major projects can be complex and time-consuming; therefore, coordination meetings shall take place at the earliest possible date.

(b) For all other projects, AAL-454 will provide timely responses to any requests from organizations involved in budget item preparation for clarification of the scope of work. The method of communication shall be as requested by the organization seeking the clarification.

d. Determination of Feasibility.

(1) General. The establishment or relocation of major facilities such as ASR, ATCT, VOR, or RTR, will require data on location, height of structure, airport cable m using, etc., to determine a suitable location for that facility. For major facilities, this step must be performed before engineering cost estimates are obtained from the engineering sections. The Planning and Program Management Section, AAL-454, will conduct the site investigation and coordination necessary to produce the required data.

(2) Facility Location Selection. Preliminary siting of major facilities during the preparation of the budget will be conducted to the extent necessary to provide the following data:

(a) Ensure the availability of at least two (2) sites which will be adequate and satisfactory for providing the service intended without impacting existing FAA, state, and/or private facilities.

(b) Specify the maximum height of structures that may be constructed to ensure that the selected height will satisfy the primary location and the secondary location in the event the most desirable site is not available at the start of the project.

(c) Environmental assessments, real estate, utilities, communications, and other pertinent data that may affect the selection of sites shall also be considered in the facility location selection.

(d) The site location specified shall represent the most suitable location for the establishment of the facility, regardless of cost. This process is necessary to ensure sufficient funding if the desired site is no longer available and/or a change of environmental conditions makes it necessary to use the most expensive site.

(3) The Planning and Program Management Section, AAL-454, shall coordinate the facility location selection for a major facility with affected elements of the field and regional offices. The coordination and concurrence process shall take place before the location, height of structure, etc., are

submitted to the engineering sections for cost estimates. Coordination of site selection shall include the following offices:

- (a) The appropriate airport sponsor through AAL-50 (only to the extent necessary when project information is not restricted).
- (b) The appropriate sector office/SFO.
- (c) The Air Traffic Division, AAL-500.
- (d) The Flight Standards Division, AAL-200.
- (e) The Electronic Section, AAL-452.
- (f) The Environmental Section, AAL-451.
- (g) The Maintenance Branch, AAL-460.
- (h) The Airports Division, AAL-600.

(4) Engineering Cost Estimates. Once the need, feasibility, and scope of work have been established for a budget item, the anticipated cost of relocating or establishing a facility shall be determined. The necessary engineering cost estimates shall be provided by the appropriate Establishment Branch engineering sections, AAL-451 and/or AAL-452. It is the responsibility of the engineering sections to provide accurate cost estimates which will produce the results intended by the project initiator. Some of the items which should be considered in the preparation of project cost estimates are:

(a) On a relocation project, the cost of restoring the existing site to its original condition, based on existing lease requirements.

(b) For a new facility or a major modernization project, the cost to furnish or refurbish the facility in accordance with current guidelines on acquisition of furniture for administrative and operating space, along with all Schedule "B" provisions required to ensure a totally professional appearance and a modern, well-equipped working environment.

#### 204. SPACE LAYOUT.

a. General. For projects involving the construction of new buildings, the expansion of existing buildings, or the modernization of existing buildings, space layout and utilization will be major considerations during the budget definition phase. Project planning shall conform to the current issue of Order 6000.25, Design and Construction of FAA Facilities.

b. Administrative Space. The Planning and Program Management Section, AAL-454, will generate initial planning for administrative space requirements and utilization. Requests for administrative space shall be coordinated with the Maintenance Branch, AAL-460, and reviewed by affected branch and sectors.

(1) In the case of new buildings, a national standard may be involved which is not subject to basic revision however, the Planning and Program Management Section, AAL-454, shall coordinate closely with the organizational elements that will be assigned space in buildings.

(2) The principal aim of such coordination is to assure efficient allocation of office space and to reach agreements on space requirements with the affected parties during the planning phase of the project. This applies also to conference/meeting space requirements.

(3) Space for training requirements shall be a necessary consideration. The Planning and Program Management Section, AAL-454, shall request inputs relative to known space requirements for training from all involved elements. These requirements shall be considered and allocations agreed upon during the program planning phase.

(4) Allocations of space for storage of administrative supplies and equipment shall be considered and agreed upon by those involved during this phase of the project

(5) Furniture Space requirements for both administrative and operating space shall be included in accordance with current guidelines.

c. Equipment space and layout shall be addressed to the extent possible during the budget definition phase of the project. While details of equipment layout will necessarily be a matter of coordination between the engineering sections and field personnel at a later stages of the project, allocations of space for major systems/equipment shall be considered and agreed upon by the parties involved during the program management phase. Space for spare parts/equipment storage shall also be considered to the extent possible at this time.

## 205. AIRPORT MASERS PLAN.

a. General. Approved projects located on or near airport property must be integrated into and be compatible with the sponsor's Airport Master Plan or the FAA approved Airport Layout Plan.

b. The Airports Division, AAL-600 is the primary FAA element for coordinating adherence to the Airport Master Plan. The Planning and Program Management Section, AAL-454, coordinate F&E establishment or relocation efforts with AAL-600, as well as the airport sponsor and the sponsor's airport consultants. The following factors shall be considered by, and receive concurrence from, those involved:

(1) The facility location is made an integral part of the Airport Master Plan.

(2) Planning for a facility takes into consideration all existing features and future revisions shown on the Airport Master Plan.

(3) Before a facility is established or relocated, its location is shown on the applicable Airport Layout Plan (ALP).

206. AIRPORT IMPROVEMENT PROGRAM (AIP).

a. General. An airport improvement project (AIP) becomes a consideration in the F&E project planning process when the AIP and the F&E projects impact each other. Certain AIP projects will impact existing FAA facilities to the extent of requiring relocation. The responsibility for relocation projects is specified in FAA Order 6030.1A. Close and timely coordination is required between an airport sponsor and the FAA to ensure that all planning efforts produce the objectives intended by both organizations.

b. The Planning and Program Management Section, AAL-454, shall be responsible for all coordination needed between an airport sponsor and the FAA to ensure that all efforts expended on the planning of a F&E project produces the intended objective.

c. The Airports Division, AAL-600, shall monitor and coordinate with AAL-454, Planning and Program Management Section all planning activities associated with an AIP. Coordination shall be performed on a timely manner to minimize the impact an AIP will have on planned F&E or existing FAA facilities.

d. Airway Facilities sector offices shall communicate to the Planning and Program Management Section, AAL-454, all airport sponsor improvement activities which may impact an-going F&E projects and programs.

207. REGIONAL OFFICE BUDGET REVIEW AND SUBMISSION TO THE WASHINGTON OFFICE.

a. General. Once cost estimates are returned to the Planning and Program Management Section, AAL-454, by the Environmental and Electronics Sections, AAL-454, will assemble all data pertaining to each budget proposal for incorporation into a single budget submission. The budget package will be forwarded for division and regional review.

b. Review by Airway Facilities Division of the budget submission shall be conducted prior to the regional review. The division review shall be conducted by all branches involved on the preparation of the budget submission. It is the responsibility of the Planning and Program Management Section, AAL-454, to call for review meetings to eliminate any differences that may exist between branches concerning budget submissions.

c. Interprogram Working Group (IPWG). After the division review is completed, budget submissions will be forwarded to the IPWG. IPWG membership consists of branch level managers from the Flight Standards, Airway Facilities, Air Traffic, Logistics, Fiscal Management, and Airports Divisions F&E budget submission and forwards its recommendations to the Regional Budget Review Board.

d. Regional Budget Review Board (RBRB). Final review, evaluation, and approval of the regional F&E budget submission is conducted by the RBRB. Membership and functional responsibilities of the RBRB are outlined in AL 2500.3F, Budget and Fiscal Management. The final budget submission is forwarded to ABU-1 and distributed within the region by the Financial Management Division, AAL-30.

208. PAYBACK,

a. General. The Airway Facilities Division branches are responsible for providing feedback on F&E projects to the appropriate Airway Facilities sector/branch offices. The sector offices shall be provided a copy of the region's budget submission, and a listing of sector-generated F&E budget items which were not approved at the regional level, with the reasons for nonapproval.

b. The Maintenance Branch, AAL-460, will provide feedback to the sector offices which submitted items which were not approved.

c. The Planning and Program Management Section, AAL-454, will provide feedback to AAL-460 on all F&E budget items sent to Washington as a regional submission. This feedback, provided by the Office of Budget through AAL-30 and the IPWG, will occur following scheduled budget reviews at the national level. This will allow for resubmission by the appropriate sector offices upon notification from AAL-460 that a given project has been disapproved in the review process. The field facility must initiate the resubmission. AAL-454 will also provide feedback to AAL-460 on sector-generated items which were dropped from the budget or disapproved at the regional review process.

d. Lease Communication/Frequency Management and Test Equivalent Section, AAL-464, is responsible for providing periodic feedback to the requesting offices (AAL-451, AAL-452, AAL-460, and AAL-510) on all leased communications items included in the current and future budget year submissions. This will allow for the resubmission by the requesting office for any project which has been disapproved. It will also identify items which were disapproved but are critical to an F&E project.

209. WASHINGTON BUDGET

a. The budgetary review of requirements submitted by field and Washington Office elements starts with a validation/nonvalidation review by the sponsoring services. The Program Engineering and Maintenance Service, APS-1, estimates the total cost of the validated or partially-validated projects.

b. Validation Reviews. In validating and pricing regional-sponsored items, the review by the APS Program Management Staff, APS-10, is particularly directed towards eliminating one-of-a-kind type items, uneconomical buys, and unjustified items.

c. Interservice Working Group (ISWG). After the individual services prepare consolidated priority listings, the ISWG recommends a program within specific resource limitations to the Office of Management and Budget. The

proposal is presented first to the service directors and then to the Administrator for review and approval. Upon approval/revision by the Administrator, the program is then submitted for normal outside agency review: OST, CMB, and Congress.

210. REIMBURSABLE AGREEMENTS/PROJECTS. All reimbursable agreements, both Operations and F&E, shall be handled and processed in accordance with procedures provided on the current issue of 2500 series AL notice and Chapter 3 of this order.

211. QUALITY CONTROL.

a. Responsibilities:

(1) The Establishment Branch Manager, AAL-450, shall implement quality control procedures to ensure that quality assurance feedback is considered in the budget process.

(2) The Evaluation Staff, AAL-405, shall define criteria for quality control activities and provide quality assurance feedback from a sampling of completed projects.

b. Procedures The following quality consul procedures shall be used:

(1) Each budget item shall be reviewed and, if established criteria are not satisfied, the budget request shall be returned to the originating office with comments and relations.

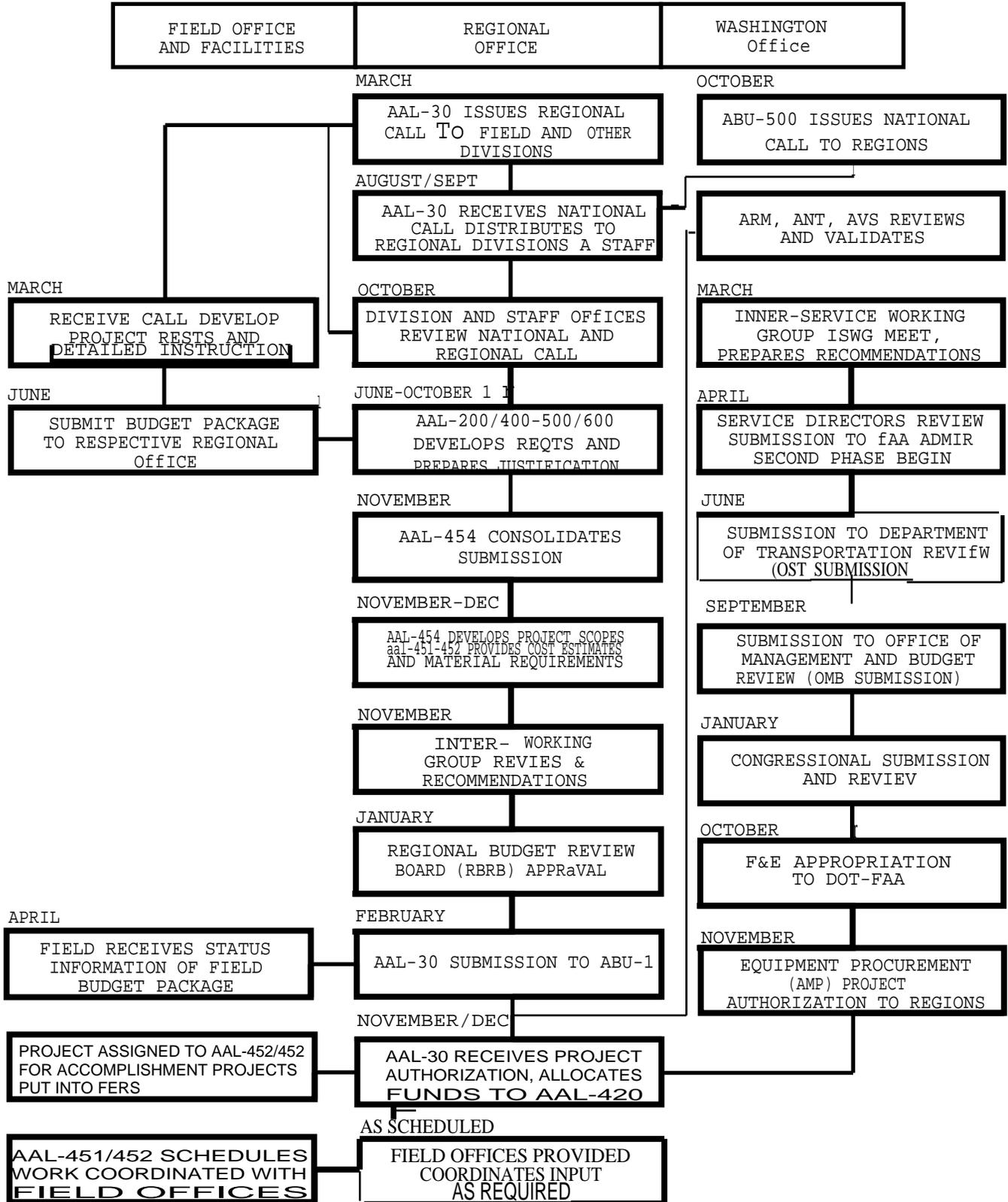
(2) Relations from quality control, quality assurance, and critique team reports of the two most recent similar projects shall be used to assess budget submissions.

(3) Projects must meet all applicable agency standards for need, validity, and accuracy.

(4) The project description must provide sufficient information to support accurate cost estimates.

212.-299. RESERVED.

**FIGURE 2-1. RELATIONSHIPS IN THE BUDGET CYCLE**



# FIGURE 2-2 BUDGET FLOW PROCESS REGIONAL

