

**ORDER**

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

1370.52D

12/31/96

**SUBJ: INFORMATION RESOURCES POLICY**

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1. **PURPOSE.** This order establishes policy, assigns responsibilities, and describes supporting relationships necessary for the governance of Federal Aviation Administration (FAA) information resources, and provides a framework for further information resources direction. The order also includes the Corporate Information Technology Board charter as Appendix 1.
2. **DISTRIBUTION.** This order is distributed to the branch level in Washington headquarters, regions, and centers with limited distribution to field offices and facilities.
3. **CANCELLATION.** Order 1370.52C, Information Resources Management -- Policies and Procedures, dated February 25, 1991, is canceled.
4. **EXPLANATION OF CHANGES.** This revision:
  - a. Incorporates Executive Order 13011 (July 16, 1996), *Federal Information Technology*, which implements relevant provisions of the Paperwork Reduction Act of 1995 (Public Law 104-13), the Information Technology Management Reform Act of 1996 (Division E of Public Law 104-106) ("Information Technology Act"), and the Government Performance and Results Act of 1993 (Public Law 103-62); Acquisition Management System (Public Law 104-50) and applicable Federal and DOT laws and regulations.
  - b. Reflects changes in the management of information resources in the FAA, such as establishment of the position of Chief Information Officer, the Office of Information Technology, and the Corporate Information Technology Board (CITB).
  - c. Reflects changes in the organizational structure of the FAA, such as restructuring the FAA along lines of business.
  - d. Reflects FAA personnel and acquisition reform.
  - e. Complies with the National Performance Review initiative to reduce the number and size of regulations.
  - f. Applies to all FAA information resources, including the National Airspace System real-time systems.
5. **DEFINITIONS.**
  - a. **Corporate Information Technology Board (CITB).** A decisionmaking team composed of officers and executives representing FAA organizations that sponsor and support information technology activities for the FAA. Chartered by the Administrator on January 22, 1996.
  - b. **Information Resources.** Information and related resources, such as personnel, equipment, funds, and information technology.
  - c. **Information Resources Management (IRM).** The process of managing information resources to accomplish FAA missions and to improve FAA performance, e.g., through the reduction of information collection burdens on the public.

d. **Information System.** A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.

e. **Information Technology (IT).**

(1) Any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the FAA. This includes equipment used directly by the FAA or by a contractor using the equipment under a contract with the FAA which:

(a) Requires the use of such equipment, or

(b) Requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product.

(2) Includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

(3) Notwithstanding paragraphs 5e(1) and 5e(2), does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.

f. **Information Technology Architecture.** An integrated framework for evolving or maintaining existing and acquiring new information technology to achieve the FAA's strategic goals and information resources management goals.

6. **FRAMEWORK FOR INFORMATION RESOURCES DIRECTION.** The FAA produces three major forms of information resources direction: policies, standards, and guidelines. All FAA information resources direction will be consistent with the requirements and intent of appropriate DOT and Federal laws, regulations, and direction.

a. **Subject-specific Information Resources Policies** are published as needed to supplement this order. To the extent possible, FAA information resources policies should concentrate on the outcomes to be accomplished and should include detailed implementation procedures only if they are required by statute, court order or Executive order; required to implement other external agency regulations; or necessary for the delivery of essential services.

b. **Information Resources Standards** are generally technical in nature. To the extent possible, information resources standards that are mandatory should be published as directives, and nonmandatory information resources standards should be published as guidelines. Additional information resources standards will be developed as required.

c. **Information Resources Guidelines** are recommended effective practices, not mandates. They are generally procedural in nature but can include nonmandatory information resources standards.

7. **POLICY.** It is the policy of the Federal Aviation Administration to acquire and manage its information resources in a manner that implements Executive Order 13011, *Federal Information Technology* and applicable Federal and DOT laws and regulations. This will be done by establishing goals, strategies, and plans for effectively and economically acquiring and using FAA information resources to improve the efficiency and effectiveness of FAA operations supporting the FAA strategic mission; managing FAA information resources in accordance with these goals, strategies, and plans and in compliance with applicable Federal, DOT, and FAA regulations and direction; measuring and evaluating the efficiency and effectiveness of FAA information resources acquisition and management in meeting the goals; and modifying the strategies, plans, acquisition, and management of information resources as needed to accomplish the goals.

8. **RESPONSIBILITIES.** Responsibility for information resources lies with the following FAA officials:

a. **Administrator.** The Administrator (AOA-1) is responsible for ensuring that information resources for the FAA are acquired and managed in a manner that results in measurable improvement of the efficiency and effectiveness of FAA operations and delivery of services to the public.

**b. Associate Administrator for Research and Acquisitions.** The Associate Administrator for Research and Acquisitions (ARA-1) is responsible for:

(1) Ensuring that the FAA life-cycle acquisition process fully supports the IT acquisition life-cycle; integrates the IT acquisition life-cycle with FAA processes for making budget, financial, and program management decisions; and is in compliance with applicable DOT and Federal IT laws, regulations, and direction.

(2) Ensuring that the FAA's Chief Information Officer has primary duties related to the management of FAA information resources.

**c. Director, Office of Information Technology.** The Director, Office of Information Technology (AIT-1) is responsible for:

(1) Serving as the FAA Chief Information Officer (CIO).

(2) Advising and assisting the Administrator and other officers and executives of the FAA and providing FAA-wide leadership, direction, and oversight to ensure IT is acquired and information resources are managed for the FAA in a manner that implements appropriate Federal and DOT laws, regulations, and direction and is consistent with the priorities established by the Administrator.

(3) Establishing and maintaining FAA-wide goals, strategies, and plans for effectively and economically acquiring and using FAA information resources to improve the efficiency and effectiveness of FAA operations supporting the FAA strategic mission, in conjunction with the Corporate Information Technology Board (CITB).

(4) Promoting and facilitating the effective and efficient design and operation of major information resources management (IRM) processes for the FAA, including improvements to work processes of the FAA, to reduce risk, promote flexibility and interoperability, increase accountability, and match mission need with existing technology and market conditions.

(5) Developing, maintaining, and facilitating the implementation of a sound and integrated IT architecture for the FAA.

(6) Monitoring and evaluating the performance of FAA IT programs based on established performance measurements and, as necessary, advising the FAA Administrator to modify or terminate programs or projects.

(7) Providing leadership and direction to ensure that all FAA personnel have sufficient knowledge and skill in the management of information resources to facilitate achievement of the performance goals established for information resources management.

(8) Participating in the FAA acquisition process so as to maximize the value and assess and manage the risks of FAA IT acquisition, in conjunction with the Office of Acquisitions.

(9) Collaborating with the Chief Financial Officer (CFO) to ensure that information systems in the CFO's functional area are designed developed and maintained in compliance with Federal laws and other pertinent regulations.

(10) Serving as liaison between the FAA and the Office of the Secretary of Transportation, other modes of DOT, external organizations, and the public on issues related to the acquisition and management of information resources.

(11) Serving as chairperson of the CITB.

(12) Chartering technical groups or tasking existing technical groups to examine information resources issues and propose solutions as may be necessary for the orderly and efficient conduct of FAA activities.

d. **Assistant And Associate Administrators And Chief Counsel.** The assistant and associate administrators and Chief Counsel are responsible for:

(1) Acquiring and managing information resources for their organizational complex consistent with the FAA's strategic, business, and information resources goals and in compliance with the FAA Acquisition Management System and with other, applicable FAA, Federal, and DOT laws, regulations, and direction.

(2) Establishing appropriate goals, strategies, plans, and performance criteria for the IT programs of their organizational complex; measuring the performance of these programs against the performance criteria to determine the effectiveness and efficiency of the programs in meeting their cost, performance, and schedule goals; and reporting to the CIO on the performance of these programs.

(3) Implementing an IT architecture for their organizational complex that is integrated and consistent with the FAA IT architecture.

(4) Monitoring information resources acquisition and management and acting as liaison to the FAA CIO for their organizational complex, or designating an executive system employee to carry out these responsibilities.

(5) Representing or designating an executive system employee to represent their organizational complex on the CITB. This employee may be the person designated in subparagraph 8d(4). This subparagraph is optional for assistant administrators.

9. **CORPORATE INFORMATION TECHNOLOGY BOARD.** The Corporate Information Technology Board (CITB) is responsible for:

a. Determining the overall approach for using IT to meet FAA business needs.

b. Identifying and representing the IT needs of the FAA, translating those needs into requirements, prioritizing those requirements, and supporting the resourcing and implementation of cost-effective solutions.

10. **INFORMATION RESOURCES RELATIONSHIPS.** The responsibilities outlined in this paragraph describe a model for governance of FAA information resources that relies on cooperative efforts occurring across a host of agency processes, such as IT acquisition, information resources planning, and program evaluation. For example, the CIO and the associate and assistant administrators and Chief Counsel will work together to facilitate cooperation of FAA headquarters, regions, centers, and field offices to reduce duplication of efforts and share information on effective practices. The CITB will maintain a corporate focus to assist the CIO in formulating IT approaches and priorities. The CIO will advise the associate and assistant administrators and Chief Counsel in all stages of the IT acquisition life-cycle process regarding such things as effective practices; compliance with DOT and Federal laws, regulations, and direction; and development and use of performance measurement criteria. The associate and assistant administrators and Chief Counsel will also work with the CIO through the CITB to identify and provide resources for implementing cost-effective solutions to FAA IT requirements. This coordinated approach to the governance of information resources is needed to provide for the maximum benefit of these resources across the FAA.



Linda Hall Daschle  
Acting Administrator

**FEDERAL AVIATION ADMINISTRATION  
CORPORATE INFORMATION TECHNOLOGY BOARD  
CHARTER**

- I. **PURPOSE.** This charter establishes the Federal Aviation Administration (FAA) Corporate Information Technology Board (CITB).
- II. **DISTRIBUTION.** This document is distributed to the FAA Management Board and FAA CITB members.
- III. **BACKGROUND.** The FAA CITB is composed of senior FAA managers whose organizations generate information technology (IT) requirements, sponsor solutions, and associated activities for the agency. As part of the FAA's Streamlining Plan submitted to the Department of Transportation, and based on an initiative by the Office of Information Technology, the CITB was created to prioritize the use of information technologies to support agencywide business needs.

At the initial meeting on October 24, 1994, the executive workshop participants agreed that a corporate board of executives should be established to set the vision, strategies, and priorities for cross-cutting information technology issues. Attendees also agreed that top level executives will assist in communicating the corporate IT vision, goals, and priorities to line management and information services groups.

At a subsequent meeting, the executives requested a charter be prepared to outline officially their specific roles and responsibilities. This document is a result of that request.

- IV. **MISSION.** The mission of the CITB is to manage corporate IT to meet FAA business needs.
- V. **VISION.** The vision of the CITB is to provide an easily accessible common framework for information sharing and communication, both within the FAA and with our customers.
- VI. **SCOPE OF ACTIVITIES.** The CITB is an executive-level decisionmaking team that determines the overall direction for using IT to meet agency business needs. This responsibility includes identifying the information technology needs of the agency, translating those needs into requirements, prioritizing those requirements, and supporting the resourcing and implementation of cost-effective solutions.

In meeting its responsibilities, the CITB must:

- recognize a rapidly changing business environment,
- commit to the management and use of IT as a strategic corporate asset,
- develop strategies that incorporate IT capabilities and meet FAA plans,
- be held accountable for communicating and supporting corporatewide actions, and
- resolve major issues presented by the CITB members.

**VII. ORGANIZATION AND ADMINISTRATION.**

(A) **CITB Membership.** The CITB is composed of executive-level managers representing those organizations that sponsor and support information technology activities for the agency. At a minimum, each FAA Line of Business shall be represented. At the direction of the CITB, membership may be modified. Each member organization may designate one senior level alternate, if desired.

(B) **CITB Chairperson.** The FAA Chief Information Officer (CIO), the Director, Office of Information Technology, AIT-1, is designated as the Chair of the CITB. The CIO will provide leadership and necessary staff support for the CITB and for selected cross-organizational teams.

**VIII. DECISIONMAKING PROCESS.** Decisions are made by first trying to reach consensus within the group. If this approach proves unsatisfactory, decisions are to be determined by a majority of those attending, provided a quorum (half the membership plus one additional member or alternate) is present. If an alternate attends in the place of the Board member, the alternate may cast the vote for that organization. Voting members or their designated alternate are encouraged to attend all CITB meetings. The Board establishes and maintains a decisionmaking framework to define the detailed process of CITB operations further.

**IX. DOCUMENTATION.** Meeting notes shall be kept and distributed for each CITB meeting.

**X. REPORTING.** The CITB will report on progress and outcomes to the Administrator twice each year, or as needed.

**XI. EFFECTIVE DATE AND APPROVAL.** This charter becomes effective immediately upon the signature of the Administrator, FAA.

**XII. FAA APPROVAL.**



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Administrator

JAN 22 1996

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Date