



**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION**

**Air Traffic Organization Policy**

**ORDER  
JO 1000.37A**

Effective Date:  
5/30/14

**SUBJ:** Air Traffic Organization Safety Management System

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The mission of the Air Traffic Organization is to provide safe and efficient air navigation services in the National Airspace System and in United States–controlled international/oceanic airspace. Air navigation services include communications, navigation, surveillance, and air traffic management services. Because safety is fundamental to the provision of these services, the Air Traffic Organization uses processes, tools, and guiding principles within the framework of a Safety Management System to ensure that performance-based National Airspace System safety goals are achieved. This order establishes the Safety Management System as the foundation upon which the Air Traffic Organization’s safety efforts are conducted and measured.

The Air Traffic Organization strives not only to maintain safety in the National Airspace System for those services it provides but also to continuously improve the Safety Management System. The Air Traffic Organization will continue to refine its Safety Management System to ensure safety and to support a positive safety culture.

A handwritten signature in cursive script, reading "Teri L. Bristol".

Teri L. Bristol  
Chief Operating Officer  
Air Traffic Organization

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## Chapter 1. General Information

**1. Purpose of This Order.** This order establishes the Safety Management System (SMS) policies for the Air Traffic Organization (ATO). It defines the scope, requirements, and applications of the SMS in the ATO and gives the responsibility for owning and executing the SMS to all employees at all levels of the ATO, from the ATO Chief Operating Officer (COO) to the individual air traffic controllers and airway transportation systems specialists at a Service Delivery Point (SDP).

Specifically, this order requires the ATO SMS to be the framework for:

- The development of safety policy and processes;
- The promotion of a safety culture that identifies and reports activities that are potentially or actually detrimental to system safety; and
- The identification, continuous monitoring, auditing, and evaluation of hazards and the assessment and mitigation of safety risk within the National Airspace System (NAS) and United States–controlled international/oceanic airspace.

**2. Audience.** This order applies to all employees and contractors at all levels of the ATO. Each ATO employee and manager is responsible for executing the requirements of this order within the purview of his or her work.

**3. Where to Find This Order.** This order is available on the Federal Aviation Administration (FAA) website at [http://www.faa.gov/regulations\\_policies/orders\\_notices/](http://www.faa.gov/regulations_policies/orders_notices/) and on the FAA ATO Plans and Publications website at [http://www.faa.gov/air\\_traffic/publications/](http://www.faa.gov/air_traffic/publications/).

**4. Effective Date.** This order will take effect on September 1, 2014.

**5. Cancellation.** This order cancels the following documents:

- Order JO 1000.37, *Air Traffic Organization Safety Management System*, dated March 19, 2007
- Order JO 1000.39A, *Air Traffic Organization En Route and Oceanic Services Safety Management System*, dated November 2, 2009
- Order JO 1000.40, *Air Traffic Organization Terminal Services Safety Management System*, dated March 26, 2009
- Order JO 1000.41, *Air Traffic Organization NextGen and Operations Planning Safety Management System*, dated January 1, 2009
- Order JO 1030.4, *Air Traffic Organization (ATO) System Operations Services Safety Management System (SMS) Oversight*, dated January 6, 2010
- Order JO 1030.5, *Technical Operations Safety Management System (SMS) Roles and Responsibilities*, dated June 18, 2010

- Order JO 1000.38A, *Technical Operations Services Safety Management System Internal Safety Assurance Program*, dated July 27, 2011
- Eastern Service Area Order JE 7232.14A, *Safety Risk Management Implementation*, dated October 17, 2008
- Central Service Area Order JC 7232.15, *Safety Risk Management Implementation*, dated September 30, 2008
- Western Service Area Order JW 7232.15, *Safety Risk Management Implementation*, dated February 19, 2008
- Eastern Service Area Order JE 7232.3, *Safety Management System (SMS)*, dated August 28, 2011

**6. Explanation of Policy Changes.** This order:

- a. Addresses continued ATO SMS management and improvement.
- b. Reinforces ATO Safety Assurance activities.
- c. Establishes ATO SMS roles and responsibilities at all levels of the organization.
- d. Establishes that the ATO COO may permit temporary continued use of an operation or system with an existing high-risk hazard to allow the responsible Service Unit to develop and implement a plan that would mitigate the risk or eliminate the hazard.
- e. Introduces integrated safety management as part of the SMS.
- f. Establishes the ATO Safety Manager (ATO Safety and Technical Training (AJI) Group Manager for Safety Management) and ATO Chief Safety Engineer positions.

**7. Authority to Supplement.** This order may be supplemented to add further detail; however, supplements may not subtract from, conflict with, nor void the policy described herein. All supplements to this order must be approved by AJI.

**8. Scope.** The SMS focuses on the safe provision of air traffic control and navigation services. Accordingly, this order does not directly apply to issues related to the environment, occupational safety and health, physical security, or information security, unless those issues affect the operational safety of the NAS services provided by the ATO.

**9. Background.**

**a. About the SMS.** The SMS is a multidisciplinary, integrated, and closed-loop framework used to help maintain safe and efficient air navigation services and infrastructure throughout the NAS and in United States–controlled international/oceanic airspace. The four components that make up the SMS are:

(1) **Safety Policy.** The requirements, standards, guidance, methods, and processes the ATO uses to establish, execute, and improve the SMS, ensure NAS safety, and promote a positive safety culture.

(2) **Safety Risk Management (SRM).** The processes and procedures established and followed by ATO safety practitioners to identify hazards, analyze and assess their risks, determine safety performance targets, and implement and track appropriate risk controls for all air traffic operations, facilities, equipment, and systems in the NAS.

(3) **Safety Assurance.** The processes and procedures within the ATO SMS that ensure the ATO is operating according to expectations and requirements. Safety Assurance continually monitors ATO internal processes and operations to determine compliance with safety-related and SMS requirements and to ensure changes or deviations that may introduce risk to the NAS are addressed through the SRM process. Safety Assurance provides validation of SRM efforts for operations, systems, and equipment; identification of adverse safety trends through operational data collection and analysis; and the auditing of SMS performance, compliance, and processes.

(4) **Safety Promotion.** The communication of proper safety practices through advocacy of the principles of a positive safety culture; the conduct of employee training; compliance with ATO orders, policies, and guidance; and the use of data, processes, and tools to improve safety in daily ATO operations and in interactions with the NAS.

**b. Establishment of the SMS.** The ATO SMS, as approved by AOV, has been implemented in accordance with FAA Order 1100.161, *Air Traffic Safety Oversight*, and FAA Order 8000.369, *Safety Management System*, as well as International Civil Aviation Organization standards and recommended practices. The ATO SMS is executed in accordance with the ATO SMS Manual and the Safety Risk Management Guidance for System Acquisitions (SRMGSA), and through the concerted application of various FAA safety documents, some of which are listed in paragraph 9e.

**c. Improvement of the SMS and Safety.** The ATO is committed to continuously improving its SMS as well as the processes used to identify and address safety issues associated with ATO-provided services and NAS equipment/infrastructure. To proactively reduce the potential for accidents and incidents and to ensure that an acceptable level of safety risk is established and maintained, the ATO will use an integrated safety management approach to expand the perspective of safety analyses. As elements of the Next Generation Air Transportation System (NextGen) are introduced into the NAS, the application of integrated safety management will provide a more thorough approach to performing safety analysis and leveraging existing safety policy and methodologies.

**d. ATO Safety Manager and Chief Safety Engineer.** This order establishes two key ATO safety leadership roles: the ATO Safety Manager and the ATO Chief Safety Engineer. These two positions have the responsibility of overseeing the ATO SMS and ensuring that an acceptable level of operational safety risk is maintained in the air traffic services that the ATO provides.

**e. Relevant Safety Documents.** Compliance with the current versions of the following documents is integral to and supports the successful execution of the ATO SMS.

- The ATO SMS Manual
- The SRMGSA
- Order JO 1030.1, *Air Traffic Organization Safety Guidance*
- Order 1100.161, *Air Traffic Safety Oversight*
- ATO Order JO 3120.4, *Air Traffic Technical Training*
- Order 8000.369, *Safety Management System*
- Order 3000.57, *Air Traffic Organization Technical Operations Training and Personnel Certification*
- Order JO 7210.632, *Air Traffic Organization Occurrence Reporting*
- Order JO 7210.633, *Air Traffic Quality Assurance Program (QAP)*
- Order JO 7210.634, *Air Traffic Organization (ATO) Quality Control*
- Order JO 7200.20, *Voluntary Safety Reporting Programs (VSRP)*
- Order JO 1030.3, *Initial Event Response*
- Order 7050.1, *Runway Safety Program*
- Order JO 7200.21, *Partnership for Safety*
- Order JO 1030.7, *Air Traffic Organization Fatigue Risk Management*
- Order 8040.4, *Safety Risk Management Policy*

## Chapter 2. ATO SMS Roles and Responsibilities

### 1. Safety Policy.

#### a. ATO Safety Policy Responsibilities. The ATO must:

(1) Establish and maintain ATO safety policy, guidance, and processes to support mission requirements that:

(a) Are consistent with FAA policy, requirements, and guidance (e.g., current edition of Order 8040.4, Order 8000.369, and the FAA Acquisition Management System).

(b) Meet the NAS safety management requirements established by Order 1100.161.

(c) Are consistent with the basic principles of safety management established by the ATO SMS Manual.

(2) Develop minimum requirements for NAS service level availability.

#### b. AJI Safety Policy Responsibilities. AJI must:

(1) Ensure that ATO SMS and supporting ATO safety policy is adhered to at all levels of the ATO.

(2) Designate an ATO Safety Manager. Among other duties, the ATO Safety Manager must:

(a) Maintain and continuously improve the ATO SMS.

(b) Serve as the ATO SMS liaison to the Service Units, the Office of NextGen, AOV, and other FAA Lines of Business (LOBs).

(3) Designate an ATO Chief Safety Engineer. Among other duties, the ATO Chief Safety Engineer must:

(a) Identify and manage operational safety risk in the air traffic services that the ATO provides.

(b) Ensure that safety risk in the early development of NAS equipment and systems is proactively mitigated in the design and integration of solutions, as well as across organizations to support NextGen capabilities.

(c) Review and approve safety documentation per the ATO SMS Manual guidelines.

(d) Represent the ATO at NextGen Management Board and Joint Resources Council meetings concerning safety issues.

(e) Provide ATO safety input to the NAS Enterprise Architecture Safety Roadmap and National Aviation Research Plan.

- (4) Develop and maintain an SMS continuous improvement plan.
- (5) Develop, update, and approve SMS policy, guidance, and processes needed to manage, implement, and apply lessons learned and best practices.
- (6) Develop, update, and approve SMS policy, guidance, and processes that address the ATO's involvement in the integrated safety management of large, complex initiatives or capabilities that span multiple programs, Service Units, and/or FAA LOBs.
- (7) Maintain the consistency of safety and safety-related policy by serving as the Office of Primary Responsibility for ATO safety orders. When other ATO policy includes integrated safety doctrine or processes within an order that is not otherwise focused on safety, ensure that the policy of the order aligns with the ATO safety policy.
- (8) Provide guidance and input to the Service Units concerning their developed safety processes and standard operating procedures.
- (9) Review any ATO notifications of proposed differences to be filed with the International Civil Aviation Organization and provide a statement of concurrence or non-concurrence from a safety perspective.
- (10) Provide feedback on behalf of the ATO on draft FAA safety policy or safety policy proposed by other FAA LOBs, as requested.

**c. Service Unit Safety Policy Responsibilities.** The ATO Service Units (including AJI, the Service Areas, the Service Center, and SDPs) must:

- (1) Align SMS processes and procedures with current ATO safety policy and guidance.
- (2) Include safety considerations in business planning activities that are integrated into ATO strategic plans at all organizational levels.
- (3) Align individual performance management plans with ATO SMS initiatives, including the establishment of and adherence to measurable, achievable goals and metrics.
- (4) Recommend ATO Safety Guidance in accordance with ATO Order JO 1030.1.
- (5) Develop and maintain emergency response plans, as required by FAA Order 8000.369.

## **2. SRM.**

**a. ATO SRM Responsibilities.** The ATO must:

- (1) Conduct SRM on ATO-provided NAS service changes and improvements, as well as on existing ATO operations, facilities, equipment, and systems, in accordance with FAA/ATO directives, the ATO SMS Manual, and the SRMGSA.

(2) Accept safety risk into the NAS per the requirement established in the ATO SMS Manual.

(3) When an existing hazard is determined to be a high-risk hazard, the ATO Chief Safety Engineer must notify the ATO COO and AOV of the high risk and any interim actions being taken to mitigate that risk. The ATO COO must approve the interim actions and accept the associated risk, or require that the operation be stopped. Thirty days after the notification is sent to the COO and AOV, the responsible Service Unit must coordinate with the ATO Chief Safety Engineer to develop a permanent plan that will eliminate the hazard or reduce the risk to an acceptable level. The Service Unit must forward the plan with a memorandum via its Vice President to the Vice President of AJI for approval and copy the ATO Chief Safety Engineer, who will then forward the memorandum to AOV. AJI will notify AOV of any subsequent changes to the approved plan.

**b. AJI SRM Responsibilities.** AJI must:

(1) Conduct SRM in accordance with Order 8040.4, as applicable. In particular, for ATO-led safety assessments, AJI must:

- (a) Fully coordinate hazards that cross between the ATO and other FAA LOBs.
- (b) Invite other FAA LOBs to participate in ATO SRM efforts, as appropriate.
- (c) Resolve disputes with other FAA LOBs in accordance with Order 8040.4.
- (d) Inform each affected FAA LOB of any risks that they must accept and any safety requirements for which they are responsible.
- (e) Coordinate with other FAA LOBs to verify whether mitigations for safety risk implemented by the responsible LOB are approved by the appropriate management officials.
- (f) Coordinate with other FAA LOBs to ensure they have the opportunity to review the safety assessments for accuracy and correctness with regard to the proposed change and to facilitate their approval of the assessments.

(2) Participate in SRM efforts initiated by other FAA LOBs, as requested.

(3) Provide SRM expertise, guidance, review, and input to the Service Units (including the Service Areas, the SDPs, and the Service Center) to ensure compliance with SMS policy.

(4) Facilitate/conduct safety assessments using SRM, as directed by the Vice President of AJI.

(5) Develop SRM documentation in accordance with the ATO SMS Manual and the SRMGSA, as required, for:

- (a) Air traffic operations and equipment and systems acquisition modifications.

(b) Changes or waivers associated with training requirements for air traffic / airway transportation systems specialists.

(c) Second level engineering changes.

(d) Changes to policies, procedures, or NAS equipment for which training was originally developed.

(e) Removal of or modifications/waivers to existing national and/or local training requirements that could affect the NAS or NAS operations, except for the purposes of individual performance management.

(6) Review and approve SRM documentation of NAS changes/waivers that meet the criteria for AOV approval. These documents must be approved by the ATO Chief Safety Engineer.

(7) Review and approve SRM documentation for NAS changes for which AJI facilitated the SRM panel. These documents must be approved by the ATO Chief Safety Engineer and the Vice President of ATO Air Traffic Services.

(8) Review safety risk analyses and approve SRM documentation to validate safety requirements for associated enabling platforms in support of Joint Resources Council investment decisions.

(9) Review and approve SRM documentation for safety assessments of NAS changes that both impact ATO-provided services and cross or impact other FAA LOBs. These documents must be approved by the ATO Chief Safety Engineer, the Vice President of ATO Air Traffic Services, and the equivalent accountable official(s) of the impacted FAA LOB(s).

(10) Conduct SRM on proposed solutions to existing issues, as required, that may potentially impact the safety of ATO-provided NAS services, equipment, and infrastructure that were identified as a result of any Safety Assurance activity (e.g., an information request or a Corrective Action Request generated as an output of processes defined in Order JO 7210.633 or the findings of Runway Safety Action Teams, as identified in Order 7050.1).

(11) Provide safety input for Joint Resources Council decisions.

(12) Submit safety requirements that mitigate initial or existing high-risk hazards to AOV for approval on behalf of the Service Units.

(13) Provide safety guidance and integrated safety management support related to systems acquisitions, operational procedures, and second level engineering to NextGen portfolio managers, capture teams, and program/project teams.

(a) Provide safety guidance to NextGen portfolio managers, capture teams, program/project teams, and the Service Units, as required, throughout the FAA Acquisition Management System lifecycle.

(b) Review the safety assessments and plans contained in NextGen Operational Capability Integration Plans developed by capture teams to ensure that these plans meet the ATO's safety policy and standards before they are approved by the NextGen Management Board.

(14) Coordinate and lead safety meetings and safety assessments for changes or safety-related issues involving ATO-provided NAS services that require input and resolution from internal (i.e., within the ATO) and external organizations.

(15) Mediate disagreements among the Service Units and FAA LOBs with regard to SRM requirements (e.g., approval, risk assessment, risk acceptance), upon request.

**c. Service Unit SRM Responsibilities.** The ATO Service Units (including AJI, the Service Areas, the Service Center, and SDPs) must:

(1) Conduct, as required, SRM assessments of:

(a) Changes to ATO-provided air traffic services and infrastructure, including second level engineering changes, as appropriate, in accordance with the ATO SMS Manual.

(b) Existing medium- or high-risk hazards in ATO-provided air traffic services, in accordance with the ATO SMS Manual.

(2) Record SRM efforts (NAS changes and/or current risk assessments) in a safety management tracking system provided by AJI, in accordance with the ATO SMS Manual. Maintain NAS change information within the safety management tracking tool (including up-to-date risk tracking information) until the effort is closed.

(3) Review and approve applicable SRM documentation and accept associated risk, if appropriate.

(4) Provide guidance to the NextGen capture team process to ensure that generated NextGen Operational Capability Integration Plans document safety decisions that are in accordance with the ATO SMS Manual and the SRMGSA. Require AJI acceptance of the safety requirements in NextGen Operational Capability Integration Plans before the NextGen Management Board conducts its review.

(5) Provide subject matter expertise to ATO SRM activities, as required.

**d. ATO Mission Support Services SRM Responsibilities.** In addition to the responsibilities outlined in paragraph 2c, ATO Mission Support Services must provide a cadre of trained SRM panel facilitators / SMS instructors at the Service Center for Service Area use.

**e. Program Management Organization SRM Responsibilities.** In addition to the responsibilities outlined in paragraph 2c, the Program Management Organization must:

(1) Conduct SRM assessments of ATO acquisition programs under the jurisdiction of the Joint Resources Council, in accordance with the SRMGSA.

(2) Address the safety integration associated with interfacing with other systems in the NAS for safety assessments of acquisition projects.

### **3. Safety Assurance.**

#### **a. ATO Safety Assurance Responsibilities.** The ATO must:

(1) Maintain and verify the safety performance of the organization and validate the effectiveness of safety risk controls by measuring the current/residual risk and examining indicators of potential safety risk.

(a) Determine whether NAS safety performance goals are met.

(b) Monitor the ATO's safety performance indicators and assess the effectiveness of the SMS and compliance with safety policy.

(c) Provide safety information that is data-driven in order to prioritize and focus resources according to areas of highest risk or safety concerns.

(d) Support improvements to the SMS through continual verification and follow-up actions.

(e) Implement corrective actions to mitigate safety risk when NAS operations, facilities, equipment, and systems do not perform as designed or expected.

#### **b. AJI Safety Assurance Responsibilities.** AJI must:

(1) Manage the application of Safety Assurance processes within the NAS, including the application of the safety policy listed in chapter 1, section 9e.

(2) Monitor internal processes and operations to identify changes or deviations that may introduce risk to ensure that the ATO SMS is operating according to expectations and requirements.

(3) Conduct both on-site and remote independent audits/assessments to evaluate:

(a) SMS performance and operations in the Service Units.

(b) The effectiveness of controls used to mitigate hazards identified via the SRM process.

(c) The effectiveness of the internal quality control efforts (e.g., operational skills assessments, system service reviews, certification, periodic maintenance, data integrity, modifications, and availability) in air traffic control facilities and the ATO Technical Operations Services districts.

(d) The effectiveness of quality control mitigation efforts in response to identified trends and risks.

- (e) Suspected trends identified from safety data analysis.
  - (f) The effectiveness of safety-related policies and procedures.
- (4) Validate and verify the safety requirements identified during the SRM process before deployment and full operational use by the appropriate ATO element.
- (5) Periodically report on the performance and operation of the ATO SMS.
- (6) Direct independent operational assessments on selected acquisition systems and safety assessments on selected fielded systems. Ensure that the systems adhere to the ATO SMS requirements and that safety hazards and concerns resulting from these assessments are managed.
- (7) Inform the ATO COO of SMS non-compliance by Service Units or other identified unsafe acts within the ATO, when necessary.
- (8) Develop, implement, and maintain tools that support data analysis (e.g., Comprehensive Electronic Data Analysis and Reporting) in conjunction with the Service Units.
- (9) Analyze and/or respond to air traffic incidents and accidents with the goal of distributing information and improving NAS safety through lessons learned.
- (10) Analyze risk and determine causal factors of air traffic incidents and accidents.
- (11) Develop and maintain safety management tracking tools that the ATO will use to:
- (a) Track and store SRM efforts and associated safety documentation.
  - (b) Monitor both mitigation (i.e., treatment of risk to address expected safety issues) and intervention (i.e., treatment of risk to address existing safety issues) efforts.
  - (c) Identify and track controls used to identify safety risk (e.g., directives, systems, processes, and procedures) so that the owners of those controls are aware of the dependencies and can notify the affected parties when a change is planned.
  - (d) Track and manage Service Unit audits, assessments, SMS and safety non-compliance issues, and corrective actions.
  - (e) Track ATO-related responses to safety recommendations from the National Transportation Safety Board, the Office of the Inspector General, the Government Accountability Office, the FAA, and other federal agencies.
- (12) Monitor NAS performance and identify potential trends and risks affecting changes to existing ATO operations and procedures.
- (13) Audit and evaluate the ATO's safety performance.

(14) Advise the responsible Service Unit when safety performance indicators show a NAS safety concern or issue, including those concerns and issues previously identified.

(15) Oversee Service Unit actions used to eliminate or mitigate identified hazards during the SRM process, and audit and assess the safety performance and effectiveness of those actions.

(16) Develop and distribute safety data analysis reports that indicate safety performance in the NAS.

(17) Develop risk analysis processes (Airborne, Surface, and Service Integrity) to produce safety information that allows the ATO to effectively prioritize actions and mitigations designed to reduce risk in the NAS.

(18) Develop and implement efforts to monitor the Safety Risk Event Rate<sup>1</sup> in the NAS.

(19) Issue Corrective Action Requests in accordance with the requirements of Order JO 7210.633. As appropriate, evaluate and concur with Corrective Action Plans submitted in response to Corrective Action Requests.

**c. Service Unit Safety Assurance Responsibilities.** The ATO Service Units (including AJI, the Service Areas, and SDPs) must:

(1) Conduct quality control activities in accordance with Order JO 7210.634.

(2) Report suspected air traffic occurrences in accordance with Order JO 7210.632.

(3) Implement corrective actions to mitigate safety risk when NAS operations, facilities, equipment, and systems do not perform as designed or expected.

(4) Monitor safety performance to determine if the predicted residual risk (i.e., the residual risk after verification) identified in safety risk assessments is being met.

(5) Monitor and validate NAS service availability standards.

(6) Track and monitor hazards and associated mitigations on an on-going basis using a safety management tracking system provided by AJI.

(7) Monitor SMS activities and provide periodic status reports to AJI at the Service Area / SDP level.

(8) Provide subject matter expertise to ATO Safety Assurance activities, as required.

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<sup>1</sup> The Safety Risk Event Rate metric identifies the ratio between all losses of separation and those identified as high risk.

(9) Support and facilitate safety assessments, audits, and evaluations conducted by the ATO, as requested.

(10) Submit Corrective Action Plans in response to Corrective Action Requests in accordance with the requirements of Order JO 7210.633. Begin implementation of Corrective Action Plans upon AJI concurrence.

#### **4. Safety Promotion.**

**a. ATO Safety Promotion Responsibilities.** The ATO must promote a positive safety culture within its organization by:

(1) Complying with ATO SMS requirements.

(2) Allocating sufficient resources, funding, and personnel to operate and maintain the ATO SMS.

(3) Promoting ATO SMS policy and awareness within the ATO and across the FAA via SMS training, conferences/workshops, communications, and other efforts.

(4) Fostering a voluntary, cooperative, non-punitive environment for the open reporting of safety concerns.

**b. AJI Safety Promotion Responsibilities.** AJI must:

(1) Develop and maintain ATO SMS training material, requirements, and schedules, including SRM, Safety Assurance, crew resource management, and database training.

(2) Ensure that safety communications efforts are distributed, including a quarterly ATO SMS publication.

(3) Conduct safety awareness programs and promotional campaigns that are consistent with safety management principles.

(4) Provide a safety lessons learned repository that is accessible to the Service Units.

(5) Maintain a Voluntary Safety Reporting Program database, in accordance with Order JO 7200.20, through which ATO personnel can report potential NAS safety-related incidents, issues, unsafe acts, and hazardous conditions.

(6) Establish a partnership for local collaborative efforts between FAA management and the National Air Traffic Controllers Association at the facility level in accordance with Order JO 7200.21. Also, establish a similar partnership with the Professional Aviation Safety Specialists as appropriate. This will facilitate risk identification through the use of collaborative safety councils consisting of employees and management at facilities in the NAS.

(7) Proactively share safety-related information with other parties (e.g., industry stakeholders, military, and other government agencies).

(8) Represent the ATO in matters related to NAS operational safety with organizations both internal and external to the FAA. This includes:

(a) Representing the ATO by resolving high-level safety issues at operational meetings and other decision forums.

(b) Coordinating ATO-related responses to safety recommendations and serving as the ATO's primary interface with AOV, the Office of the Inspector General, the Government Accountability Office, the National Transportation Safety Board, other FAA LOBs, and other federal agencies.

(c) Facilitating intra- and inter-Service Unit coordination on operational safety issues.

(d) Sponsoring cross-Service Unit efforts to resolve operational safety issues.

(e) Participating in cross-FAA LOB meetings to resolve operational safety issues.

(f) Serving as the ATO representative on the FAA SMS Executive Council and the FAA SMS Committee and reporting to both forums on the status of the ATO SMS and other safety issues.

(g) Coordinating with international Air Navigation Service providers, the International Civil Aviation Organization, the Civil Air Navigation Services Organization, and others, as appropriate.

**c. Service Unit Safety Promotion Responsibilities.** To promote a safety culture that includes positive attitudes, processes, and structures affecting individuals and the organization, ATO Service Units (including AJI, the Service Areas, Service Center, and SDPs) must:

(1) Require that management, personnel, and contractors:

(a) Follow SMS principles, processes, and policies and use SMS tools to continuously improve the safety of the NAS.

(b) Be continuously aware of the safety of the NAS in their daily work and report conditions that may impact the safety of the NAS to management.

(2) Allocate sufficient resources, funding, and personnel for the conduct of SRM and Safety Assurance activities within their span of control.

(3) Use Voluntary Safety Reporting Programs in accordance with Order JO 7200.20 to identify and report NAS safety issues.

(4) Support, as required, these ATO-managed Safety Assurance programs:

- Order 7050.1, *Runway Safety Program*
- Order JO 7200.21, *Partnership for Safety*

- Order JO 1030.7, *Air Traffic Organization Fatigue Risk Management*

(5) Promote the use of the ATO lessons learned repository to document best practices, lessons learned, and potential new procedures and processes for the SMS.

(6) Foster an integrated organizational culture in which safety is a shared value that encourages everyone to work toward improving the safety of ATO-provided NAS services.

(7) Ensure that Service Unit personnel complete the basic required SMS training. Also, ensure that Service Unit personnel complete any additionally required SMS and Acquisition Management System training as it relates to their assigned areas of responsibility.

### Chapter 3. Administrative Information

**1. Distribution.** This order is distributed to all levels of the ATO, including (but not limited to) the Service Units and FAA contract service providers. It is also distributed to the Office of NextGen and AOV.

#### **2. Acronyms and Abbreviations.**

AJI	ATO Safety and Technical Training
AOV	Air Traffic Safety Oversight Service
ATO	Air Traffic Organization
COO	Chief Operating Officer
FAA	Federal Aviation Administration
LOB	Line of Business
NAS	National Airspace System
NextGen	Next Generation Air Transportation System
SDP	Service Delivery Point
SMS	Safety Management System
SRM	Safety Risk Management
SRMGSA	Safety Risk Management Guidance for System Acquisition