U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

**ORDER
JO 1000.37B**

Effective Date:
10/31/2018

SUBJ: Air Traffic Organization Safety Management System

The core business function of the Air Traffic Organization (ATO) is to provide safe and efficient Air Traffic Management (ATM) services in the National Airspace System (NAS) and in United States–controlled international/oceanic airspace. ATM services include communications, navigation, and surveillance services. Safety is fundamental to the provision of these services; the ATO develops, implements, and maintains processes, tools, and guiding principles within the framework of a Safety Management System (SMS) to ensure that performance-based NAS safety goals are achieved. The ATO ensures that the management of safety is a primary and defined responsibility of all managers and employees. This order establishes the SMS as the foundation upon which the ATO's safety efforts are conducted and measured.

All ATO employees must strive not only to maintain safety in the NAS for those services they provide but also to continuously improve the SMS. The ATO must continually refine its SMS to ensure that acceptable safety performance is maintained and that a positive safety culture is supported. The Chief Operating Officer is accountable for the continued maturation of the SMS and its processes, tools, and initiatives to promote and improve safety.

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 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). The ATO COO is the ultimate accountable executive for ensuring the effectiveness of the SMS.

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

   - Development of safety policy and processes;

   - Promotion of a safety culture that identifies and reports activities that are potentially or actually detrimental to system safety;

   - Identification, analysis, assessment, and treatment of safety risk within the National Airspace System (NAS) and United States–controlled international/oceanic airspace; and

   - Continuous collection, analysis, and assessment of safety data to determine if the ATO is meeting or exceeding its safety performance objectives and to determine the effectiveness of safety risk controls.

2. **Audience.** This order applies to all employees and contractors at all levels of the ATO and its Service Units engaged in the provision of Air Traffic Management (ATM) and communication, navigation, and surveillance services.

   NOTE–
   The ATO Service Units include Safety and Technical Training (AJI); the Program Management Organization (AJM); Technical Operations (AJW); Air Traffic Services to include Headquarters (HQ), the Service Areas, and SDPs; System Operations Services; Mission Support Services (AJV) to include HQ and the Service Center; and Management Services. Although Flight Program Operations, AJW-3, is an ATO Service Unit, it adheres to a Title 14 Code of Federal Regulations Part 5 Safety Management System.

3. **Where to Find This Order.** This order is available on the Federal Aviation Administration (FAA) website and on the FAA ATO Plans and Publications website.

4. **Cancelation.** This order cancels FAA Order JO 1000.37A, *Air Traffic Organization Safety Management System*, dated May 30, 2014.

5. **Explanation of Policy Changes.** This order includes revisions that address needed improvements to mature the ATO SMS and clarify requirements. Changes include:

   - Setting accountabilities for the management of the ATO SMS, and

   - Clarifying Safety Risk Management (SRM) responsibilities for the ATO, specific to AJV and AJM.

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

7. **Scope.** The ATO 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, cybersecurity, or information security, unless those issues affect the operational safety of NAS services provided by the ATO.

8. **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. It supports International Civil Aviation Organization (ICAO) standards and recommended practices. The four components that make up the SMS are:

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

      (2) **SRM.** The processes and procedures established and used by ATO safety practitioners to identify hazards, analyze and assess the associated risks, implement safety risk mitigations, and, as applicable, define safety performance targets.

      (3) **Safety Assurance.** The processes and procedures within the ATO SMS used to determine whether the ATO is meeting its safety objectives as defined in the ATO SMS Manual. Safety Assurance processes continually monitor ATO internal processes and NAS operations to determine compliance with safety-related and SMS requirements and to ensure changes or deviations that may introduce safety risk into the NAS are addressed through the SRM process. Safety Assurance provides a determination as to whether risk has been mitigated to an acceptable level. NAS safety performance is monitored through the identification of adverse safety trends using operational data collection and analysis and through the auditing of SMS performance, compliance, and processes.

      (4) **Safety Promotion.** The communication of effective safety practices through advocacy of the principles of a positive safety culture. This is accomplished with 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.

   b. **Establishment of the SMS.** The ATO SMS, as approved by the Air Traffic Safety Oversight Service (AOV), has been implemented in accordance with FAA Order 1100.161, *Air Traffic Safety Oversight*, and FAA Order 8000.369, *Safety Management System*. It also complies with ICAO SMS standards and recommended practices, including those in ICAO Annex 19, *Safety Management*. 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/ATO safety documents, including ATO Safety Guidance (ATO-SG) documents. Some of these safety documents are listed in Chapter 1, Paragraph 8e.

c. **Improvement of the SMS and Safety.** The ATO is committed to continuously improving SMS processes used to identify and address safety issues associated with ATO-provided services and NAS equipment/infrastructure. To manage safety, the ATO utilizes available data to assess risk from multiple points of view, considering the combined effects of processes, human operators, hardware, and software. The ATO measures the performance of each of those system elements to ensure lapses do not create unacceptable risk or lead to accidents.

d. **ATO Safety Manager and Chief Safety Engineer.** There are two key ATO safety leadership roles: the ATO Safety Manager and the ATO Chief Safety Engineer. They are responsible for overseeing the ATO SMS and ensuring that intolerable and/or unacceptable risk is not accepted; they establish and maintain the safe provisioning of ATM services provided by the ATO.

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
- The Reliability, Maintainability, and Availability (RMA) Handbook
- FAA Order JO 1030.1, *Air Traffic Organization Safety Guidance*
- FAA Order 1100.161, *Air Traffic Safety Oversight*
- FAA Order JO 3120.4, *Air Traffic Technical Training*
- FAA Order 8000.369, *Safety Management System*
- FAA Order JO 3000.57, *Air Traffic Organization Technical Operations Training and Personnel Certification*
- FAA Order JO 6000.50, *National Airspace System (NAS) Integrated Risk Management*
- FAA Order JO 7210.632, *Air Traffic Organization Occurrence Reporting*
- FAA Order JO 2900.2, *Air Traffic Organization Audits and Assessments*
- FAA Order JO 7210.633, *Air Traffic Quality Assurance Program (QAP)*
- FAA Order JO 7210.634, *Air Traffic Organization (ATO) Quality Control*
- FAA Order JO 7200.20, *Voluntary Safety Reporting Programs*
- FAA Order JO 1030.3, *Initial Event Response*
- FAA Order 7050.1, *Runway Safety Program*

- FAA Order JO 7200.21, *Partnership for Safety Program*

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

- FAA 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 establish and maintain ATO safety policy, guidance, and processes that support mission requirements. Documents and processes must:

   (1) Comply with FAA policy, requirements, and guidance (e.g., current editions of FAA Order 8040.4, FAA Order 8000.369, and the FAA Acquisition Management System (AMS)).

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

   (3) Adhere to the basic principles and elements of safety management established by the ATO SMS Manual.

   (4) Maintain required NAS service-level availability.

   NOTE–
   See the Reliability, Maintainability, and Availability (RMA) Handbook.

   b. **AJI Safety Policy Responsibilities.** The AJI Vice President is accountable for ensuring that the ATO SMS and supporting ATO safety policy are adhered to at all levels of the organization. Therefore, AJI must:

   (1) Maintain the ATO's SMS orders, ATO-SGs, the SRMGSA, and the ATO SMS Manual.

   (2) Designate an ATO Safety Manager. The ATO Safety Manager is accountable for maintaining and continuously improving the ATO SMS. Among other duties, the ATO Safety Manager must:

   (a) Serve as the ATO SMS liaison to the Service Units, the Office of the Next Generation Air Transportation System (ANG), AOV, and other FAA Lines of Business (LOBs).

   (b) Develop, update, and approve SMS policy, guidance, and processes needed to manage, implement, and apply best practices.

   (c) Develop, update, and approve SMS policy, guidance, and processes that address ATO involvement in the integrated safety management of large, complex initiatives or capabilities that span multiple programs, Service Units, and/or FAA LOBs.

(3)   Designate an ATO Chief Safety Engineer. The ATO Chief Safety Engineer is accountable for the management of the identification of operational safety risk in the services provided by the ATO. Among other duties, the ATO Chief Safety Engineer must:

    (a)   Ensure that safety risk in the early development of NAS equipment and systems is proactively mitigated to an acceptable level.

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

    (c)   Represent the ATO at the Acquisition Safety Advisory Group, the NextGen Management Board, and Joint Resources Council (JRC) meetings concerning safety issues, when required.

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

(5)   Maintain the consistent application of safety and safety-related policy by reviewing all ATO Safety Orders and guidance materials.

(6)   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.

(7)   Provide guidance and input to the Service Units concerning their developed safety processes and standard operating procedures.

(8)   Review any ATO notifications of proposed differences to be filed with ICAO and provide a statement of concurrence or non-concurrence from a safety perspective.

(9)   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 Unit Vice Presidents are accountable for ensuring that their Service Unit's processes and procedures align with ATO safety policies and guidance. In addition, the ATO Service Units must:

(1)   Include safety considerations in business planning activities that are integrated into ATO strategic plans at all organizational levels.

(2)   Align individual business plans with ATO SMS initiatives.

(3)   Ensure that all orders for which the Service Unit is the Office of Primary Responsibility (e.g., orders that are not specifically focused on SMS) align with ATO safety policy.

(4) Develop and maintain emergency response plans that provide for the safe transition between normal and emergency operations where applicable, as required by FAA Order 8000.369.

(5) Ensure that safety responsibilities are included in employee performance plans so that ATO safety professionals can perform their SMS-related work functions. (ATO Service Unit Vice Presidents should perform this task.)

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 safety issues with ATO operations, facilities, equipment, and systems identified through Safety Assurance, in accordance with FAA/ATO directives; the ATO SMS Manual; and the SRMGSA, if applicable.

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

   (3) In accordance with the ATO SMS Manual, for a confirmed existing high-risk hazard, the ATO COO must:

      (a) Approve interim mitigations along with an acceptable predicted residual risk, or

      (b) Require the operation causing the high-risk hazard be stopped.

   b. AJI SRM Responsibilities. AJI must:

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

      (a) 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.

      (d) Inform each affected FAA LOB of any risks and/or safety requirements for which they are responsible.

      (e) Coordinate with other FAA LOBs to verify that mitigations 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 or existing safety issue and to facilitate their approval of the assessments.

(2)   Participate in SRM efforts initiated by other FAA LOBs when requested and as resources permit.

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

(4)   Facilitate/Conduct SRM for NAS changes, as directed by the ATO Chief Safety Engineer or ATO Safety Manager and in accordance with the ATO SMS Manual and the SRMGSA, if applicable, for safety assessments that meet any of the following criteria:

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

      (d) 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.

      (e) Potential NAS-level safety issues identified through safety data trends.

(5)   Load SRM documentation for which AJI facilitated/conducted the safety assessment into the ATO Safety Management Tracking System (SMTS).

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

(7)   Review and approve SRM documentation requiring the signature of the ATO Chief Safety Engineer per the ATO SMS Manual.

(8)   Provide safety input for JRC and In-Service Decisions. Review safety risk analyses and approve SRM documentation as necessary per the ATO SMS Manual and the SRMGSA.

(9)   Review and approve SRM documentation for safety assessments of NAS changes that impact ATO-provided services and cross or impact other FAA LOBs. These documents must be approved in accordance with the ATO SMS Manual.

(10) Conduct SRM on existing safety issues and previous practices that may impact the safety of ATO-provided NAS systems and services. These issues may include those identified by the National Transportation Safety Board (NTSB), the Inspector General, or the Government Accountability Office (GAO). The SRM process must occur prior to the acceptance and implementation of a solution. This includes

Safety Assurance Corrective Action Requests (CARs) generated as an output of processes defined in FAA Order JO 7210.633 or the findings of Runway Safety Action Teams, as identified in FAA Order 7050.1.

(11) Request AOV approval for safety requirements that mitigate initial or identified existing high-risk hazards to an acceptable level on behalf of the Service Units.

(12) Provide safety advisory services and integrated safety management support related to systems acquisitions, operational procedures, and second-level engineering to NextGen portfolio managers and program/project teams throughout the FAA AMS lifecycle, as requested.

(13) Review the safety assessments and plans contained in NextGen Operational Capability Integration Plans to ensure they meet the ATO's safety policy and standards before they are approved by the NextGen Management Board, as requested.

(14) Conduct safety strategy meetings and review and approve 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) Enter the appropriate data into the FAA Hazard Identification, Risk Management, and Tracking (HIRMT) tool as required by FAA Order 8040.4 for safety analyses of operational changes led by AJI, field facilities, Service Centers, and Regional/District Offices.

(16) Mediate disagreements among the Service Units and FAA LOBs with regard to ATO SMS policy and SRM guidance (e.g., approval, risk assessment, risk acceptance), as requested.

(17) Collaborate with AOV, on behalf of the ATO Service Units, to determine the appropriate organizations outside of the ATO required to review and approve any SRM documentation for systems, services, operations, and products delivered to organizations outside of the ATO.

NOTE–
These organizations include the Office of Aviation Safety, the Office of Airports, the Office of Commercial Space Transportation, ANG, non-federal facility owners and sponsors, the Department of Defense, and other non-FAA organizations.

(18) Collaborate with AOV, on behalf of the ATO Service Units, to determine safety risk acceptance ownership and to obtain agreement with all applicable safety risk acceptance organizations outside of the ATO. These organizations include recipients or users of FAA NAS systems, services, or products.

c. **Service Unit SRM Responsibilities.** The ATO Service Units must:

   (1) Conduct and/or ensure, as required, the completion of SRM assessments of:

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

      (b) Existing safety issues 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 the SMTS in accordance with the ATO SMS Manual. Maintain NAS change information in the SMTS (including up-to-date risk tracking and monitoring information) until the effort is closed per the ATO SMS Manual.

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

   (4) Assist AJI with SRM efforts to determine the organizational review, approval, and risk acceptance responsibilities for all SRM documentation for systems, services, and products delivered to organizations outside of the ATO, as requested.

   (5) Provide subject matter expertise for FAA/ATO SRM activities, as required.

d. **AJV SRM Responsibilities.** In addition to the responsibilities outlined in Chapter 2, Paragraph 2c, AJV must:

   (1) Provide a cadre of trained SRM panel facilitators / SRM instructors at the Service Center for Service Area use.

   (2) Provide SRM expertise, guidance, review, and input to local air traffic control facilities and AJW districts to ensure compliance with SMS policy.

e. **AJM SRM Responsibilities.** In addition to the responsibilities outlined in Chapter 2, Paragraph 2c, AJM must:

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

   (2) Adhere to the integrated safety management principles described in the SRMGSA.

   (3) Enter the information required by FAA Order 8040.4 into HIRMT for acquisition safety analyses that are facilitated by AJM.

   (4) For all applicable investments / acquisition programs, conduct a development assurance program in accordance with the current version of RTCA DO-278, *Software Integrity Assurance Considerations for Communication, Navigation, Surveillance and Air Traffic Management (CNS/ATM) Systems*, or its equivalent.

(5) Prepare and approve all required development assurance documentation, as applicable.

3. **Safety Assurance.**

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

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

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

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

        (c) Provide data-driven safety information to decision-makers in order to prioritize and focus resources according to areas of highest safety risk or safety concern.

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

        (e) Implement mitigations to manage safety risk when NAS operations, facilities, equipment, and systems do not perform as designed or expected. In keeping with this order (Chapter 2, Section 2, SRM), perform SRM on the mitigation plans prior to their implementation. Account for any end-state human or operational interface effects (i.e., human factors) after operations, facilities, equipment, and systems are fielded.

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

    (1) Manage the application of Safety Assurance processes in the NAS, including the application of the safety policy listed in Chapter 1, Paragraph 8e.

    (2) Monitor internal processes and operations to identify changes, deviations, or trends to ensure NAS safety.

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

        (a) SMS and operational performance and compliance within the ATO.

        (b) 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 AJW districts.

        (c) Suspected trends identified from safety data analysis.

(d) The effectiveness of safety-related policies and procedures in managing safety risk.

(e) Compliance with the ATO SMS, FAA policies, Corrective Action Plans (CAPs), and other audits.

(4) Periodically report to AJI-0 on the maturity of the ATO SMS.

(5) Direct independent operational assessments on selected acquisition systems and safety assessments on selected fielded systems. Ensure that the systems adhere to ATO SMS requirements and that safety hazards and concerns resulting from these assessments are managed.

(6) Inform the ATO COO of SMS non-compliance by Service Units or other identified unsafe acts within the ATO, when necessary.

(7) Develop, implement, and maintain tools that support data analysis (e.g., the Comprehensive Electronic Data Analysis and Reporting system) in conjunction with the Service Units.

(8) Analyze and/or respond to air traffic incidents and accidents with the goal of distributing information and improving NAS safety by employing best practices.

(9) Analyze risk and determine causal factors of air traffic incidents and accidents.

(10) Maintain safety management tracking tools to:

(a) Track and store SRM efforts and associated safety documentation.

(b) Track and store monitoring efforts resulting from the SRM process.

(c) Track Service Unit audits, assessments, SMS and safety non-compliance issues, and corrective actions.

(d) Track ATO-related responses to safety recommendations from the NTSB, the Office of the Inspector General (OIG), the GAO, other FAA LOBs, and other federal agencies.

(11) Monitor NAS performance and identify potential trends and risks affecting changes to existing ATO operations and procedures.

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

(13) Audit and/or assess Service Units' actions taken to mitigate hazards identified during the SRM process and the safety performance of those actions at managing safety risk to an acceptable level.

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

(15) Maintain 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.

(16) Calculate and monitor the ATO Safety Performance Indicators in the NAS.

(17) Issue CARs in accordance with the requirements of FAA Order JO 7210.633. As appropriate, evaluate and concur with CAPs submitted in response to CARs. Assist with the development of CAPs for CARs issued in accordance with FAA Order JO 7200.20.

(18) Support Post-Implementation Reviews, as requested.

c. **Service Unit Safety Assurance Responsibilities.** The ATO Service Units must:

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

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

(3) Implement mitigations (per SRM efforts) to manage safety risk to an acceptable level 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 identified in safety risk assessments is being met.

(5) Monitor and validate NAS service availability standards.

(6) Enter, track, and monitor hazards and associated mitigations on an ongoing basis using the SMTS.

NOTE–
The risk-accepting Service Unit is responsible for completing this task. When AJI facilitates a national operations-based SRM assessment, they may enter, track, and monitor residual risk. It is the responsibility of the risk-accepting organization to ensure this requirement is completed.

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

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

(9) Validate and verify that the safety requirements identified during the SRM process are implemented prior to or in conjunction with full implementation in the NAS by the appropriate ATO Service Unit.

(10) Submit CAPs (with appropriate SRM efforts identified) in response to CARs, in accordance with the requirements of FAA Order JO 7210.633 and the ATO SMS Manual. Begin implementation of CAPs 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, and other communications 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 materials, requirements, and schedules, including SRM and Safety Assurance.

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

   (3) Conduct safety awareness programs and promotional campaigns that are consistent with ATO SMS principles, including ATO SMS training.

   (4) Make available best safety practices and lessons learned.

   (5) Maintain a Voluntary Safety Reporting Program database, in accordance with FAA 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 FAA Order JO 7200.21 and the ATO SMS Manual. Establish a similar partnership with the Professional Aviation Safety Specialists as appropriate. This will facilitate risk identification through the use of collaborative safety councils and ATO SRM panels consisting of employees and management at facilities across the NAS.

   (7) Actively share safety-related information with other external parties (e.g., industry stakeholders, military, air navigation service providers, and other federal agencies), as appropriate.

(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 OIG, the GAO, the NTSB, other FAA LOBs, and other federal agencies.

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

(d)   Participating in cross–FAA LOB meetings to resolve operational safety issues.

(e)   Participating in cross–FAA LOB safety audits and assessments.

(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, ICAO, the Civil Air Navigation Services Organization, and others, as appropriate.

c.   **ATO 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 must:

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

(a)   Promote and abide by ATO SMS principles, processes, and policies and use ATO SMS tools to continuously improve the safety of the NAS.

(b)   Inform management of conditions or perceived issues that may impact the safety of the NAS using formal or informal reporting tools and processes such as those established in FAA Order JO 7200.20.

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

(3)   Support, as required, the ATO-managed Safety Assurance programs outlined in the following orders:

- FAA Order 7050.1
- FAA Order JO 7200.21
- FAA Order JO 7210.633
- FAA Order JO 1030.7
- FAA Order JO 2900.2

(4)   Promote the capture of best safety practices and lessons learned.

    (a) Encourage the reporting of best safety practices and lessons learned.

    (b) Use best safety practices and lessons learned to augment processes and procedures.

(5)   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.

(6)   Ensure that Service Unit personnel complete the basic required SMS training. Ensure that Service Unit personnel complete any additionally required SMS and AMS 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 ANG and AOV.

2. **Acronyms.**

AJI	Safety and Technical Training
AJM	Program Management Organization
AJV	Mission Support Services
AJW	Technical Operations
AMS	Acquisition Management System
ANG	Office of NextGen
AOV	Air Traffic Safety Oversight Service
ATM	Air Traffic Management
ATO	Air Traffic Organization
ATO-SG	Air Traffic Organization Safety Guidance
CAP	Corrective Action Plan
CAR	Corrective Action Request
CNS/ATM	Communication, Navigation, Surveillance and Air Traffic Management
COO	Chief Operating Officer
FAA	Federal Aviation Administration
GAO	Government Accountability Office
HIRMT	Hazard Identification, Risk Management, and Tracking
HQ	Headquarters
ICAO	International Civil Aviation Organization
JRC	Joint Resources Council
LOB	Line of Business
NAS	National Airspace System
NextGen	Next Generation Air Transportation System
NTSB	National Transportation Safety Board
OIG	Office of the Inspector General
QAP	Quality Assurance Program
RMA	Reliability, Maintainability, and Availability

SDP   Service Delivery Point
SMS   Safety Management System
SMTS   Safety Management Tracking System
SRM   Safety Risk Management
SRMGSA   Safety Risk Management Guidance for System Acquisitions