U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Air Traffic Organization Policy

ORDER JO 7210.67

Effective Date:
06/12/15

SUBJ: Policies and Procedures for Validating New/Revised Sectors/Positions in En Route and Terminal Air Traffic Facilities

1. Purpose of This Order. This order provides guidance on how to request new/revised sectors/positions in FAA Air Traffic Organization (FAA-ATO) facilities.

2. Audience. FAA-ATO Facility and District Managers, Senior FAA Management and FAA personnel who support requests for New/Revised Sectors/Positions in the ATO-Operations Service Centers and FAA-ATO Headquarters.

3. Where Can I Find This Order? You can find this order on the MyFAA employee website: https://employees.faa.gov/tools_resources/orders_notices/.

4. Cancellation. This order replaces the ATO Policy Memo titled "Policies and Procedures for Validating New/Revised Sectors/Positions in En Route and Terminal Air Traffic Facilities," dated July 14, 2014.

5. Background. FAA Order 7210.60, Policies and Procedures for Validating New/Revised Sectors/Positions in Terminal an En Route Air Traffic Facilities was in effect from early January 2003 until December 2007. Since then Air Traffic Services has issued two associated Policy Memos to serve as interim guidance for FAA terminal facilities (issued in May 2008 and Dec. 2009), and the most recent one, which served as interim guidance for FAA Terminal and En Route Facilities (issued in July 2014). The goal is to provide FAA Air Traffic facilities a standardized process for requesting new/revised sectors/positions and associated assets. This guidance promotes consistency in the approvals process and gives facilities a blueprint for submission standards.

6. Compliance Requirements.

a. All requests for new sectors/positions must comply with the requirements in this order.

b. Requests for revised sectors/positions must comply with the requirements in this order if any of the following conditions exist:

(1) Request to change the position type and/or function.

(2) Request requires additional FAA equipment and/or Facility and Equipment type work (i.e. radar displays, radio frequencies, communication switches, wind indicators, IDS,

position/console work, Request for additional equipment, or any associated Needs Assessment Program (NAP) submissions, etc.).

(3) The revised sectors/positions require additional frequencies. All requests for new/revised sectors/positions require coordination with the appropriate Spectrum Engineering Team, AJW-1C5, AJW-1C6 or AJW-1C7.

(4) The revised sectors/positions require additional ATCS staffing

c. If the request for new/revised sector/position is part of, or associated with, a Metroplex, Facility Realignment, or Airspace Re-Design type effort, and the approved justification of that study meets the requirements in Paragraph 9 in this order, then that supporting documentation can be used in lieu of the requirements in this order.

d. Special Event Positions (SPE) - Special Event Positions are positions that are necessary (on a non-regular basis) for example, NASCAR, Super Bowl, Olympics, Fly-Ins', Airshows, etc. These type positions are normally established for use during a defined time period (activating and de-activating them in a facility's CRU-ART database, as necessary).

(1) New SPE Sector/Position - When a facility initially determines the need to establish a SPE sector/position, they would have to follow the requirements contained in this Order to gain approval to create them.

(2) Existing SPE Sector/Position – For existing SPE sectors/positions the following is required:

(a) Coordinate with the Technical Advisory Group, AJT-22, to have the sector/position re-activated/de-activated, as needed.

(b) If a facility wants to change/revise the sector/position type/function of an existing SPE sector/position, they would have to follow the requirements contained in this Order to gain approval to revise the sector/position.

7. Roles and Responsibilities.

a. Terminal/En Route Air Traffic Manager.

(1) Prepare Staff Study in accordance with Paragraph 9 of this order.

Note: Each affected facility must comply with requirements of this order and coordinate the effort with their chain of command/supervision.

(2) Prepare a Memo of Endorsement to route the Staff Study to all the approving officials for concurrence or approval. By naming all the approving officials in the memo, only one submission is required to transmit the request "through the approval process". A sample memo appears in Appendix D of this order.

(a) Address the memorandum to the Manager, Technical Requirements and Forecasting Group, Air Traffic Services Team, AJG-R41.

(b) Include, on the "THRU" line, the names of all the appropriate concurring officials, up the line, which may involve more than one District and/or Service Area.

(3) Terminal facilities submit the Memo of Endorsement and the Staff Study package to the appropriate District Manager.

(4) En Route facilities submit the Memo of Endorsement and Staff Study package to the Planning and Requirements (PRG) Office of the appropriate Service Area, for coordination with the appropriate Service Center groups and with the Director, Air Traffic Operations.

Note: *The Service Center via the PRG office normally offers support to the facility in preparing the final draft of the Staff Study and related documents.*

b. District Manager (for Terminal facilities). Validate and concur or non-concur with the staff study. If concurred, forward the request package to Planning and Requirements (PRG) Office within the appropriate Service Area. If the decision is non-concur, inform the Facility Manager with a written explanation.

Note: *The Service Center via the PRG office normally offers support to the facility in preparing the final draft of the Staff Study and related documents.*

c. Service Area Planning and Requirements Office (PRG)

(1) Coordinate the facility request throughout the other Service Center groups including OSG, QCG, BSG, and ASG to validate content, assumptions and conclusions. Add any comments to the endorsement.

(2) Coordinate the request to the appropriate Service Area, Director, Air Traffic Operations.

(a) If the Director concurs, indicate so by endorsing the request. Forward the package to the Manager, Technical Requirements and Forecasting Group, Air Traffic Services Team, AJG-R41, for action.

(b) If the Director does not concur, advise the District Manager (for Terminal facility requests) and/or the Facility Manager (for En Route facility requests) with a written explanation for the non-concurrence.

d. FAA Headquarters.

(1) AJG-R41 will review and analyze the request for a new/revised sector/position and prepare a written briefing on the analysis of the request for the Director, Air Traffic Operations-Headquarters, AJT-2.

(a) If the request requires FAA equipment and/or Facility and Equipment type work (i.e. radar displays, radio frequencies, communication switches, wind indicators, IDS, position/console work, or any associated Needs Assessment Program (NAP) submissions, etc.), AJG-R41 will provide a copy of the request package to Terminal Validations and Requirements, AJV-723, for action.

(b) If the request does not require facility or equipment modifications, AJG-R41 will coordinate the request with the Director, Air Traffic Operations- Headquarters, AJT-2, for final action.

(2) The Director, Air Traffic Operations-Headquarters will notify the Director, Air Traffic Operations in the appropriate Service Area, AJV-723, and AJG-R4, in writing of the final disposition.

e. Affected Facilities. If the Director, Air Traffic Operations, AJT-2, approves the request, the facility is responsible for the following actions

(a) Create a Needs Assessment Program (NAP) submission, if the request for new/revised sector/position requires new equipment and/or Facilities and Equipment work in an existing facility. NAP submissions ensure that the appropriate equipment is documented for purchase and installation.

(b) Amend local facility directives as applicable.

(c) Coordinate operational position name/ID/type changes to appropriate databases (example: Cru-X/Art, Staffing Workbook, Business Objects, Operational Position MGT System [OPIS]) with Terminal Services, Technical Advisory Group, AJT-22, using the following guidance:

(i) Operational Position Names – Operational Position Names are determined by the facility. These names can be anything the facility desires or may reflect the names of Position Designators contained in FAA Order JO 7210.3, Facility Operation and Administration, paragraph 4-6-6, tables, FAA Form 7230-10, Position Log, or accommodate local situations.

(ii) Operational Position Identifiers (ID) – A Position Identifier contains a maximum of five letters and/or numbers (in accordance with FAA Order JO 7210.3, Facility Operation and Administration, paragraph 4-6-6, c, 2, FAA Form 7230-10, Position Log). Due to Accident/Incident packages, training records and other official FAA documents, position identification designators cannot be reused. Facilities that utilize National Airspace System (NAS) Scope, Keyboard, dial code identifiers as the Position ID, must append an alpha (a, b, c, etc.) and/or numeric (1,2,3, etc.) character to the end of a re-used Position ID and increment this value anytime that Position ID is re-used. This additional character must not make the new Position ID exceed 5 characters. *Example: New York TRACON uses dial codes (a current position ID is 403, 1st change it would become 403a, 2nd change it would become 403b, etc.)*

Position IDs are the official identification of an operational position; therefore, facilities cannot change Position IDs unless they justify the need through the provisions of this order.

(iii) Operational Position Types - Position Type, contains a maximum of two letters (in accordance with FAA Order Facility Operation and Administration, JO 7210.3, paragraph 4-6-6, c, 3, FAA Form 7230-10, Position Log). The position type should be the type that best aligns with the facility Standard Operating Procedure (SOP) of the new or revised position/sector. If the position will encompass multiple position types, the position will be assigned the highest type function. *Example: the new position will include Flight Data,*

Clearance Delivery and Ground Control functions, the most appropriate Position Type would be "GC"-Ground Control.

(d) Define an implementation schedule, training, and/or coordination requirements and staffing requirements to minimize operational disruptions.

(e) Evaluate changes after implementation. Utilize the metrics developed in the Staff Study to validate the project to ensure the anticipated benefits have been gained.

9. Staff Study Requirements. *(The size, cost, and complexity of the project will dictate the methods used for the Staff Study).*

a. Air Traffic Managers (ATMs). When identifying a need for new/revised sectors/positions, ATMs will form a study team to prepare a Staff Study that formally documents the analysis, conclusions, and recommendations concerning the request for new/revised sectors/positions.

b. Staff Study Team. It is recommended that a cross-section of personnel be used on the study team including management, staff, controllers, union representation, traffic management, and, if practical, Technical Operation and FAST personnel (when applicable) and a NAS stakeholder. Facilities with limited staffing will be required to prepare the same documentation as outlined in this directive, staff participants may be replaced/supplemented by personnel from their respective district, service area, or if feasible, a nearby facility.

Note 1: *Identify as early as possible in the planning process desired changes in sectors/positions so that existing requirements for Facilities and Equipment and Staffing Authorization adjustments can be addressed.*

Note 2: *Refer to appendices A and B, for guidance/ideas on defining the need for change, and appendix C for best practices for preparing a staffing study.*

c. Staff Study Components. The Staff Study must include the following:

(1) Executive Summary

(2) Statement of the Problem

(3) Alternatives Considered

(4) Justification for the requested New/Revised Sector/Position

(5) Business Case for the Requested New/Revised Sector/Position

(6) Facility's Needs Assessment Program (NAP) Submission Information

(7) Safety Risk Documentation: Safety Risk Management Document (SRMD) or Safety Risk Management Decision Memo (SRMDM)

d. Executive Summary. The one-page Executive Summary must summarize the problem, the alternatives considered, and the justification for the request for a new/revised sector/position.

e. Statement of the Problem. This part of the Staff Study is a formal statement that must:

(1) Describe the current situation.

(2) Identify and document the problem and related issues. Explain how the problem affects productivity, capacity, or safety.

(3) Where feasible, document the request with quantifiable data, for example: traffic volume, loss of separation, runway incursions, frequency congestion, etc.

(4) State any known issues about the problem. For example, the increase or decrease of traffic volume, existence of a flight school; military operations; unique topographical features; or whether the problem exists 24 hours a day or only at certain times.

(5) Describe the scope of the problem; i.e., whether it is limited to the facility or affects other facilities as well.

f. Alternatives Considered.

(1) List at least three alternative solutions to the problem, for example: maintaining the status quo, adopting new equipment or procedures that will correct the problem, or implementing a new/revised sector/position (the request).

(2) Identify the types of analysis used to evaluate the alternatives (expert judgment vs. statistical analysis vs. human-in-the-loop testing to get pilot's/controller's view), based on the minimum resources required.

(3) Establish and define metrics that will serve as the basis for comparing alternative solutions.

(4) For each alternative, discuss the pros and cons. Explain how each alternative would solve the problem. Consider, as appropriate, the following factors:

(a) Safety (loss of separation, runway incursions, etc.).

(b) Documented results of models, if any are used. When using models:

(i) Use technical judgment in selecting an appropriate set of scenarios and simulations.

(ii) Adapt the model to the specific facility, site, sector, and/or position

under study to address specific constraints, such as miles-in-trail, altitude restrictions, or off-gate performance.

(iii) Be sure that the analysis of alternative scenarios and models is valid even if the assumptions change (e.g., traffic growth, aircraft types, equipment, and infrastructure). Assumptions should be kept to a minimum.

(c) Controller operations (workload, repeated clearances).

(d) Controller staffing (additional hires, overtime).

(e) Frequency issues (congestion, missed radio transmissions, unanswered interphone calls).

(f) Traffic (traffic count, position/sector traffic loads, delays, sector overload, aircraft holding, timeliness of services).

(g) Operational efficiency.

(h) Costs to airlines (users). Gather customer input for this.

(i) Overall cost to FAA.

(i) Staff resources (additional controllers and/or supervisors to staff/supervise the new/revised position/sector).

(ii) Facility and Equipment (F&E) expenses.

(iii) Operation and Maintenance (O&M): installation and maintenance.

(iv) Overtime for development and operation (estimated hours).

(v) Training (hours per person).

(j) Frequency Availability

Note: At the planning phase, Air Traffic shall request a preliminary frequency assessment to the appropriate Spectrum Engineering Team, AJW-1C5, AJW-1C6 or AJW-1C7. In certain congested areas, frequency availability will be an important factor in the feasibility of a new and/or revised sector/position. Once the new/revised sector/position is approved, Air Traffic shall request an actual frequency transmit authorization.

(k) Resource Constraints

(l) Timeline of events.

g. Justification for the Requested New/Revised Sector/Position.

(1) Summarize the benefits of the selected alternative and acknowledge any cons.

(2) Indicate whether the issue could be addressed by changing a procedure or operation that would be less intrusive and/or less costly than the proposed new/revised sector/position design.

Note: *If the scope of the problem and its solution is limited to a single facility, that facility is usually responsible for examining and solving the problem. If, however, the scope extends beyond the facility's boundaries or if the change could affect the operations of other facilities, the appropriate District/s and Service Area/s would be responsible for facilitating a solution. Nevertheless, when an issue crosses facility/district/service area boundaries, it should be resolved at the lowest management level before being elevated to senior management.*

(3) Confirm that existing facility assets are being used efficiently. If any existing position/sector has been used an average of one hour per day or less, over the previous fiscal year/s, the Staff Study must explain why that position/sector was not redistributed to meet the new position/sector requirement.

h. Business Case for the Requested New/Revised Sector/Position.

(1) Provide a Cost-Benefits Analysis outlining the anticipated financial gains/losses from the requested change.

(2) Document the rationale and sources used to derive such benefits.

(3) Describe any anticipated intangible gains, such as improved customer relations, a more manageable controller workload, etc.

i. Facility's Needs Assessment Program (NAP) Submission Information.

(1) If the facility's request for a new/revised sector/position requires any equipment and/or F&E type work the facility will prepare a NAP submission to identify this need. The associated NAP information (identification number, project title/description) will need to be included in the Staff Study. This will ensure appropriate coordination with procurement for the project.

Note: *For information on how to make a NAP submission, consult the User Guide at https://cwp.faa.gov/cwpguide/default.htm. Information about NAP is in the "Glossary" tab on the left side of the Corporate Work Plan (CWP) Guide page.*

(2) If the request for new/revised sector/position is part of a facility replacement or facility realignment, a NAP submission is not necessary, as the request for new equipment and/or facilities and equipment work would be addressed in the associated Requirements Document Workbook process.

(3) If the request for new/revised sector/position does not require any equipment and/or F&E type work, please indicate that in the Staff Study.

j. Safety Risk Documentation. Safety Risk Management Document (SRMD) or Safety Risk Management Decision Memo (SRMDM). To determine if the new new/revised sector/position might affect the safety of the NAS, the change proponent must conduct a Safety Analysis using Safety Risk Management (SRM) process.

(1) If the Safety Analysis does not identify any hazards or effect on safety risk, the change proponent must write an SRMDM (a brief memo that explains the rationale supporting their determination that the safety of the NAS will not be affected).

(2) If the Safety Analysis does identify any hazards or effects on safety risk, then a SRM Panel must be convened to attempt to mitigate the risk. A SRMD must be prepared and risk accepted before the change can be implemented.

Note: *Guidance on the ATO's Safety Risk Management System is in the ATO Safety Management System Manual, Version 4.0*

Terry Biggio
Vice President
Air Traffic Services

Appendix A. Factors/Methods Considered to Determine Need for New/Revised Sectors/ Positions in Air Traffic Facilities

Recognizing Traffic Changes

1. Sector/position consistently operating beyond normal volume loads.

2. Significant/increasing delays incurred by customers.

3. Significant/increasing restrictions needed to preclude saturation.

4. Sector/Position complexity.

5. Valid user/controller input.

Causes

1. Permanent air carrier schedule changes.

2. Customer's operating equipment.

3. Special Use Airspace (SUA).

4. NAS infrastructure changes.

5. NAS procedural changes.

6. Adjacent facility issues.

Methodology for Validation

1. Recognize the problem - Issues may come from controllers, customers, and/or other facilities.

2. Determine the need for further evaluation – Decide if the problem is of short duration caused by a special event, weather, and/or temporary equipment/personnel issues.

3. If further evaluation is needed, form a team at the lowest level (Supervisor, CPC, staff specialist, and NATCA). At lower density facilities, the manager may be involved in initial evaluation.

4. Coordinate with adjacent facilities. Seek internal solutions first.

5. Have the team prepare an informal preliminary report for presentation to the appropriate facility office. Modeling, when available, should be considered. At lower density facilities, the manager may discuss with a District/Service Area AT Office.

6. The responsible facility office will either concur with the preliminary report or present suggestions to the evaluation team for further consideration/input prior to formalizing the plan.

7. The **responsible office shall formalize** the plan and forward to the Facility Manager for review. Coordinate with and include user groups in the process.

8. The Facility Manager shall ensure the validity of the plan and forward to the District/Service Area AT Office.

9. The District/Service Area AT Office shall thoroughly review the request, validate the information, and formalize the request for presentation to FAA Headquarters.

Goals of Re-Sectorization

1. Increase efficiency

2. Reduce delays

3. Maintain/increase safety

4. Increase predictability

Appendix B. Questions for ATM to Consider for Resolving an Issue Prior to Requesting Involvement of Other Facilities

It is usually preferable to resolve operational issues within your facility. If it becomes necessary to involve other facilities, consider the following questions to be sure that you are choosing the most cost-effective option:

- Have you looked internally to solve traffic issues?
- Have you looked internally for other ways to free up equipment?
- Have you looked at any equipment problems that may have contributed to the facility's problem (for example, frequency problems/limitations, etc.)?
- Have you considered temporary traffic management initiatives that minimize impact to the stakeholders-for example: miles in-trail, release times, or reroutes to mitigate an overloaded sector/position?
- Have you discussed options with the stakeholders, and/or has Technical Operations and/or FAST been consulted?
- Is staffing an issue?
- Have you considered re-stratifying sectors/positions to balance workload?

Appendix C: Recommended Practices for Preparing Staff Study

When preparing the Staff Study, follow these recommended practices:

- Look internally to resolve sector/position issues first (change procedures, airspace or operations, etc.)
- Remember your audience.
- Start with the problem.
- Do not start out with the desired solution.
- Avoid repetition.
- Use Plain Language principles.
    - Keep it simple.
    - Avoid FAA jargon and overly technical explanations.
    - Define FAA acronyms.
    - After the first use and definition of an acronym, the acronym may be used again without definition.
    - Consider adding an acronym Appendix.
    - Use active verbs.
    - Minimize the use of passive verbs.
    - Keep sentences short.
- Consult the "My FAA" website homepage (https://employees.faa.gov), under the "Tools and Resources" section for guidance in "Branding and Writing."
- Work with your Service Area's Requirements Office to define any Facilities and Equipment requirements.
- Work with Operations Support (airspace and procedural issues), as well as, Technical Operations and FAST.
- Consider all alternatives (including doing nothing).
- Document FAA/User costs and benefits.
- Include operational analysis information, when possible.
- Back up statements with verifiable data, when data is available.

Appendix D. SAMPLE of Memo of Endorsement:

Request for New/Revised Sectors/Positions

Subject: **ACTION:** Request for New/ Revised Sector/Position in an Existing Air Traffic Facility

To: Manager, Technical Requirements and Forecasting Group, Air Traffic Service Team

AJG-R41

Through: Manager, XXXXXXX District and/or
Director, Air Traffic Operations, XXXXXX Service Area, AJT-XX

From: Air Traffic Manager, XXX ATCT/ARTCC/TRACON, AJE/T-X

XYZ ATCT/TRACON/ARTCC has identified a need for two new/revised operational sectors/positions in support of an additional runway/expanded operation/airspace change at XYZ airport/facility.

The attached Staff Study provides supporting documentation, modeling data, and appendices that detail the need and justification for this request/action.

The study contains:

Topic	Page
Signature Page	1
Table of Contents	
a. Executive Summary	3
b. Statement of the Problem	5
c. Alternative Solutions	7
d. Operational Justification for the Requested New/Revised Sector/Position	13
e. Business Case for the Requested New/Revised Sector/Position	15
f. Facility's Needs Assessment Program (NAP) Submission Information	17
g. Safety Risk Documentation (SRMD or SRMDM)	20

If you have any questions regarding this request, please contact (name, office, at phone number).

Attachments: Staff Study/SRMD Documents**.**