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

JO 1000.37C
CHG 1

Air Traffic Organization Policy

Effective Date:
05/10/2024

SUBJ: Air Traffic Organization Safety Management System

1. Purpose. This change establishes the Safety Management System (SMS) training policy for all Air Traffic Organization (ATO) employees and contractors and for any participant on an ATO Safety Risk Management (SRM) panel. It defines the level of SMS training required depending on the safety role an employee is tasked to perform.

2. Audience. This change applies to all ATO employees, contractors, and any non-ATO employees participating on ATO SRM panels.

3. Where to Find This Order. This order is available on the Federal Aviation Administration (FAA) Orders and Notices webpage and on the FAA Air Traffic Plans and Publications webpage.

4. Explanation of Change. Safety and Technical Training (AJI) is required to provide SRM training using trained SRM instructors. AJI is also required to develop and maintain ATO SMS training materials, requirements, and schedules. SMS and SRM training must be appropriate for each individual's involvement in the SMS. The ATO SMS Manual describes various roles and responsibilities the ATO must perform to support the SMS. This change identifies the training that is required for all ATO employees and contractors and the training recommended for non-ATO employees tasked to perform certain ATO SRM functions.

PAGE CHANGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
2-12	10/01/2021	2-12	05/10/2024
		APPENDIX A	05/10/2024

FRANKLIN J MCINTOSH
Digitally signed by FRANKLIN J MCINTOSH
Date: 2024.05.10 14:45:19 -04'00'

Timothy L. Arel
Chief Operating Officer
Air Traffic Organization

    a. 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 JO 1030.7, *Air Traffic Organization Fatigue Risk Management*
- FAA Order JO 2900.2, *Air Traffic Organization Audits and Assessments*
- FAA Order 7050.1, *Runway Safety Program*
- FAA Order JO 7210.633, *Air Traffic Organization (ATO) Quality Assurance (QA)*
- FAA Order JO 7200.21, *Partnership for Safety Program*

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

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

        (b) Use safety best 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 required SMS training outlined in Appendix A, as it relates to their assigned roles and responsibilities.

Appendix A. Air Traffic Organization Safety Management System Training Requirements

Table A.1: ATO SMS Training Matrix[1]

Training Title	All ATO Employees	ATO SRM Panel Role				
		Change Proponent	Facilitator	Panel Member	SME	Observer
Managing Safety	X					
ATO SMS and SRM for Safety Stakeholders		X	X	X	X	X
ATO SRM Panel Member Workshop				X		
ATO SRM Practitioner Course			X			
ATO SRM Panel Facilitation Course			X			
SRM Panel Facilitation Refresher Course			X			

1. Web-based Training.

    a. Managing Safety (FAA50338003).

        (1) Overview. The Managing Safety briefing provides a high-level overview of the Air Traffic Organization (ATO) Safety Management System (SMS) and explains its key components. It describes the Safety Risk Management (SRM) process as an integral component of the SMS and presents strategies for promoting a robust safety culture within the ATO. The briefing features a short video illustrating the risks and consequences of non-compliance with safety management.

        (2) Target Audience. This training is required for all ATO employees and contractors.

        (3) How to Obtain the Training. This briefing is automatically assigned to ATO Federal employees through the electronic Learning Management System (eLMS). All ATO contractors must access eLMS and self-assign the briefing.

Note: Federal Aviation Administration (FAA) employees and contractors can access the briefing video using the FAA YouTube channel, but completion credit can only be achieved through eLMS.

---

1. The matrix depicts required SMS and SRM training for ATO employees. In addition to the required training included in the matrix, the SRMGSA briefing is recommended for all acquisition change proponents. A full description of all training is included below.

(4) Prerequisite. None.

(5) Recurring Requirement. This briefing has a two-year recurring requirement.

b. ATO Safety Management System (SMS) and Safety Risk Management (SRM) for Safety Stakeholders (FAA50338002).

(1) Overview. The ATO Safety Management System (SMS) and Safety Risk Management (SRM) for Safety Stakeholders briefing provides an overview of the structure and requirements of the ATO SMS and describes how the ATO coordinates with safety stakeholders to execute the SRM component of the SMS. This briefing describes the SRM process as an integral part of the system and presents strategies for promoting a robust safety culture within the ATO. It provides safety stakeholders with an understanding of their roles and responsibilities when participating in the ATO SRM process. This briefing is a prerequisite for the ATO SRM Panel Member Workshop.

(2) Target Audience. ATO employees and contractors serving in any ATO SRM panel role (e.g., change proponents, panel members, subject matter experts, and observers) are required to complete the briefing prior to participating on a panel.

Note: Safety and Technical Training (AJI) recommends that all non-ATO employees and contractors participating on an ATO SRM panel in any capacity complete the briefing video to gain a better understanding of the SRM process, roles, and responsibilities.

(3) How to Obtain the Training. ATO employees and contractors must access this briefing video through eLMS to receive completion credit. All non-ATO employees that have access to eLMS can receive completion credit if the briefing is accessed through eLMS.

Note: FAA employees and contractors can access the briefing video by using the FAA YouTube channel, but completion credit can only be achieved through eLMS.

(4) Prerequisite. None.

(5) Recurring Requirement. This briefing has a two-year recurring requirement.

c. ATO SRM Panel Member Workshop (FAA50338001).

(1) Overview. The ATO SRM Panel Member Workshop is a web-based workshop that prepares SRM panel members to participate on ATO SRM panels. The workshop provides SRM panel members with a practical understanding of the ATO SRM process and describes what to expect before, during, and after participation on an SRM panel.

(2) Target Audience. All ATO employees and contractors are required to complete the workshop prior to participating as a panel member on an ATO SRM panel.

Note: AJI recommends that non-ATO FAA employees and contractors and non-FAA employees that have access to eLMS complete the workshop prior to participating as a panel member.

(3) How to Obtain the Training. This training is available on eLMS.

(4) Prerequisite. ATO Safety Management System (SMS) and Safety Risk Management (SRM) for Safety Stakeholders (FAA50338002).

(5) Recurring Requirement. The workshop has a two-year recurring requirement.

d. Safety Risk Management (SRM) Panel Facilitation Refresher Course (FAA50338021).

(1) Overview. The Safety Risk Management (SRM) Panel Facilitation Refresher Course is a web-based course that provides continuous learning to ATO SRM panel facilitators. This training provides facilitators with a refresher on SRM pre-panel activities and responsibilities, the roles and duties associated with facilitating ATO SRM panels, and effective facilitation tools and techniques to apply to the SRM process during panels.

(2) Target Audience. This training is required for all employees designated to perform ATO SRM panel facilitator and co-facilitator roles.

(3) How to Obtain the Training. This training is available on eLMS.

(4) Prerequisite. ATO SRM Panel Facilitation Course (FAA66000026).

(5) Recurring Requirement. This training has a two-year recurring requirement.

2. Instructor-Led Training.

a. The training schedule for the instructor-led courses is available on the ATO SMS Toolbox.

b. Participants must attend the entire training session and pass the end-of-course examination with a grade of 70 percent or higher to receive credit for each course.

c. All contractors are required to complete and submit an approved and signed Support Contractor Authorization form to request FAA training in accordance with the Acquisition Management System (AMS). Contractors will NOT be enrolled in a course until the Safety Policy Team, AJI-311, has received the signed Support Contractor Authorization form.

d. ATO SRM Practitioner Course (FAA66000025).

(1) Overview. The SRM Practitioner Course is an instructor-led course designed to provide participants with the knowledge, skills, and tools needed during the SRM process, which are derived from the SMS Manual. At the conclusion of the course, participants will be able to apply these skills when involved in SRM activities.

(2) Target Audience. This training is required for employees and contractors designated to perform ATO SRM panel facilitator and co-facilitator roles and recommended for any ATO employees and contractors involved in the SRM process.

05/10/2024 JO 1000.37C CHG 1

(3) How to Obtain the Training. Federal employees and contractors must follow the SRM Training Registration Process available on the ATO SMS Toolbox.

(4) Prerequisite. Managing Safety (FAA50338003) and ATO Safety Management System (SMS) and Safety Risk Management (SRM) for Safety Stakeholders (FAA50338002).

(5) Recurring Requirement. None.

e. ATO SRM Panel Facilitation Course (FAA66000026).

(1) Overview. The ATO SRM Panel Facilitation course is an instructor-led course designed to teach participants techniques for applying SRM concepts derived from the SMS Manual and facilitating SRM panels through the five-phase SRM process. This course provides the knowledge, skills, and techniques essential for facilitating SRM panels.

(2) Target Audience. Required for employees designated to perform ATO SRM panel facilitator and co-facilitator roles.

(3) How to Obtain the Training. Federal employees and contractors must follow the SRM Training Registration Process available on the ATO SMS Toolbox.

(4) Prerequisite. Prerequisites for this course include:

(a) ATO SRM Practitioner Course (FAA66000025).

(b) Prior to registering for the ATO SRM Panel Facilitation course, employees must be recommended in writing by the appropriate Service Center Quality Control Group Manager or the Manager of the Safety Management Group, AJI-31.

(5) Recurring Requirement. None.

f. Introduction to the ATO Safety Risk Management Guidance for System Acquisitions (SRMGSA) Briefing (FAA66000031).

(1) Overview. The ATO Safety Risk Management Guidance for System Acquisitions (SRMGSA) Briefing provides an overview of the ATO SMS and reviews the key components of the SRMGSA.

(2) Target Audience. FAA employees and contractors supporting programs going through the AMS.

(3) How to Obtain the Training. Federal employees and contractors must follow the SRM Training Registration Process available on the ATO SMS Toolbox.

(4) Prerequisite. None.

(5) Recurring Requirement. None.

A-4

05/10/2024JO 1000.37C CHG 1
Appendix A

3. ATO SRM Panel Facilitator Requirements.

    a. Training Requirements. Employees must successfully complete the SRM Practitioner Course (FAA66000025) and the SRM Panel Facilitation Course (FAA66000026).

    b. On-the-Job Training. Employees must serve as a co-facilitator on one ATO SRM panel before serving as a facilitator.

    c. Refresher Requirement. Employees designated to perform ATO SRM panel facilitator and co-facilitator roles are required to complete the Safety Risk Management (SRM) Panel Facilitation Refresher Course (FAA50338021) through eLMS every two years after completing the SRM Panel Facilitation Course (FAA66000026).