

**CHANGE**

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

JO 1000.37C  
CHG 2

Effective Date:  
11/08/2024

Air Traffic Organization Policy

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

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- 1. Purpose.** This change adds the Acceptable Level of Risk (ALR) to Federal Aviation Administration (FAA) Order JO 1000.37, *Air Traffic Organization Safety Management System*, as risk acceptance criteria for space missions in the National Airspace System (NAS). It also adds the Safety Risk Management Guidance for System Acquisitions (SRMGSA) to Paragraph 2-2a(3).
- 2. Audience.** This change applies to all Air Traffic Organization (ATO) employees and contractors.
- 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.** The NAS is dynamic, evolving in ways that often affect aviation safety. The expansion of space operations increases the complexity of the system and, like every other operation in the NAS, requires the FAA's continued examination to ensure that safety risk is appropriately managed. Accommodating new entrants into the NAS, while maintaining the accepted level of safety, is a challenge and has led the FAA to take a closer look at its Safety Management System (SMS) and safety risk acceptance criteria.

Aviation and space safety methods and standards have developed over time through the work of different parties operating under different circumstances. The FAA Office of Commercial Space Transportation and the ATO have separately established public safety risk acceptance criteria that are expressed using different terminology and numerical values. ALR bridges these differences and accommodates the growth of space launches in the NAS.

FAA Notice JO 1000.31, *Application of the Acceptable Level of Risk (ALR) to Space Missions in the National Airspace System (NAS)*, was published in February 2024 to establish the ATO's policy for applying ALR as risk acceptance criteria for space missions in the NAS. FAA Order JO 1000.45, *Application of the Acceptable Level of Risk to Space Missions in the National Airspace System*, was subsequently published. This change incorporates ALR and FAA Order JO 1000.45 into FAA Order JO 1000.37.

This change also adds the SRMGSA to Paragraph 2-2a(3) as an ATO SMS document with which the ATO must comply.

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Timothy L. Arel  
Chief Operating Officer  
Air Traffic Organization

- FAA Order JO 2900.2, *Air Traffic Organization Audits and Assessments*
  - FAA Order JO 3000.57, *Air Traffic Organization Technical Operations Training and Personnel Certification*
  - FAA Order JO 3120.4, *Air Traffic Technical Training*
  - FAA Order JO 1000.45, *Application of the Acceptable Level of Risk to Space Missions in the National Airspace System*
- (2) Facilities and Equipment Management:
- FAA Order JO 6000.50, *National Airspace (NAS) Project Implementation Risk Management*
  - FAA Order 6000.15, *General Maintenance Handbook for NAS Facilities*
- (3) Hardware and Software System Development:
- The Reliability, Maintainability, and Availability (RMA) Handbook
  - FAA Acquisition Management System (AMS) Policy / FAA Acquisition System Toolset
- (4) Safety Reporting:
- FAA Order JO 7200.20, *Voluntary Safety Reporting Programs*
  - FAA Order 7050.1, *Runway Safety Program*
  - FAA Order JO 7210.632, *Air Traffic Organization Occurrence Reporting*
  - FAA Order JO 7210.633, *Air Traffic Organization (ATO) Quality Assurance (QA)*
  - FAA Order JO 7210.634, *Air Traffic Organization (ATO) Quality Control*
  - FAA Order JO 7200.21, *Partnership for Safety Program*
  - FAA Order JO 1030.3, *Initial Event Response*
- (5) Directives Management:
- FAA Order JO 7000.5, *Procedures for Submitting Changes to Air Traffic Control Publications*
  - FAA Order 1320.1, *FAA Directives Management*
  - FAA Order JO 1320.62, *Air Traffic Organization Directives Management*

- (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.

## 2. SRM.

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

- (1) Conduct SRM on ATO-provided NAS 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 and, if applicable, FAA Order JO 1000.45.
- (3) Comply with the ATO SMS Manual, FAA Order JO 1000.45, and the SRMGSA. 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 SRM efforts, 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 or elevate them to the SMS Committee, when necessary.
  - (d) Inform each affected FAA LOB of any risks and/or safety requirements for which they are responsible.

(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.

(19) Provide SRM training using trained SRM instructors.

**c. Service Unit SRM Responsibilities.** The ATO Service Units are responsible for establishing and maintaining the safe provisioning of ATM services provided by the ATO. To do so, the ATO Service Units must:

(1) Conduct and/or ensure, as required, the completion of the SRM process, in accordance with the ATO SMS Manual and, if applicable, FAA Order JO 1000.45, for:

(a) Changes to ATO-provided air traffic services and infrastructure, including second-level engineering changes.

(b) Existing safety issues in ATO-provided air traffic services.

(2) Record SRM efforts for NAS changes / existing safety issues in SMTS in accordance with the ATO SMS Manual. Maintain this information in SMTS (including up-to-date risk tracking and monitoring information) until the monitoring has been completed, as dictated by the monitoring plan, per the ATO SMS Manual.

(3) Review and approve applicable SRM documentation and accept associated risk, if appropriate, in accordance with the ATO SMS Manual.

(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 trained SRM panel facilitators at the Service Center for Service Area use.

(2) Provide SRM expertise, guidance, review, and input to local Air Traffic Control (ATC) 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 for ATO acquisition programs under the jurisdiction of the JRC in accordance with the SRMGSA.