



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

Air Traffic Organization Policy

**ORDER
JO 1030.1B**

Effective Date:
5/30/14

SUBJ: Air Traffic Organization Safety Guidance

- 1. Purpose of This Order.** This order establishes the use of Air Traffic Organization (ATO) Safety Guidance (ATO-SG) documents and describes the policies for their development, approval, and management.
- 2. Audience.** This order applies to the ATO and may be of interest to the Air Traffic Safety Oversight Service (AOV), the Office of NextGen, and other Federal Aviation Administration (FAA) Lines of Business.
- 3. Where to Find This Order.** This order is available on the MyFAA employees website at https://employees.faa.gov/tools_resources/orders_notices/ this order is also available on the FAA website at http://www.faa.gov/regulations_policies/orders_notices/ and on the ATO Plans and Publications website at http://www.faa.gov/air_traffic/publications/.
- 4. Cancellation.** This order cancels ATO Order JO 1030.1A, *Air Traffic Organization Safety Guidance (ATO-SG)*, dated December 10, 2008.
- 5. Explanation of Policy Changes.** This order modifies previous ATO-SG development, management, and approval policies.
- 6. Authority to Change This Order.** The ATO Chief Operating Officer has delegated the authority to amend or cancel this order to the Vice President of ATO Safety and Technical Training (AJI).
- 7. Policy.**
 - a. Purpose of an ATO-SG.** ATO-SGs will be issued to provide guidance on how to implement safety provisions contained in ATO directives and manuals and to transmit safety information to the ATO Service Units. An ATO-SG may also be used to interpret or clarify safety policy and guidance contained in existing ATO directives and/or publications.
 - b. Scope of an ATO-SG.** The information in an ATO-SG must pertain to ATO directives or manuals. An ATO-SG cannot replace or supersede an existing FAA directive or manual, but can interpret or clarify it, or provide implementation guidance.
 - c. ATO-SG Incorporation and Review.**

(1) Incorporation and Cancellation. If appropriate, ATO-SG information may be incorporated into new or existing directives at the next planned update for those directives. Once the ATO-SG information is incorporated into a new or existing directive, the ATO-SG may be canceled.

(2) Review. An ATO-SG will be in effect until it is canceled. The ATO Safety Manager must conduct a periodic review of each ATO-SG to determine if the ATO-SG is still valid or needed. If the ATO-SG is no longer valid or needed, it must be canceled.

8. ATO-SG Development, Publication, and Management.

a. Initiation. Appendix A diagrams the process for the initiation of a new ATO-SG. A proposal for a new ATO-SG may be initiated by any ATO stakeholder. The initiating Service Unit must justify the requirement for a new ATO-SG and submit draft wording, if possible, to the ATO Safety Manager. See appendix B for an ATO-SG template. AJI personnel may develop ATO-SG needs internally, in which case, the justification and draft wording must be submitted directly to the ATO Safety Manager.

b. Development. The ATO Safety Manager (in consultation with AJI Safety Services, as appropriate) must confirm the suitability of the proposal and manage the development, coordination, approval, and publication of the ATO-SG based on the proposal.

c. Directives. If the proposed need would be best met by changing an existing FAA directive or creating a new one, then the affected Service Unit must follow the processes outlined in the latest editions of Order 1320.1, *FAA Directives Management*; Order JO 1320.62, *Air Traffic Organization Directives Management*; and/or Order JO 1320.58, *Instructions for Writing Notices, Maintenance Technical Handbooks, and System Support Directives*.

d. Validation. The ATO Safety Manager must address the need for developing ATO-SGs based on these questions:

- Is there a benefit to developing an ATO-SG based on the identified need?
- Is the identified need for an interpretation or clarification of safety provisions contained in an ATO directive or manual?
- Is the identified need a request for guidance on how to implement safety provisions contained in ATO directives and manuals?
- Is the identified need a request for a new safety requirement or a change to an existing directive?

The process flow of this needs validation is presented in appendix A.

e. Writing the ATO-SG. The ATO Safety Manager or his/her designee must write ATO-SGs using the template in appendix B as the starting basis.

f. ATO-SG Coordination/Approval. Appendix A diagrams the process for the coordination and approval processes of a new/revised ATO-SG.

(1) ATO Coordination of ATO-SGs. The ATO Safety Manager must coordinate any proposed ATO-SG with the appropriate organizations within the ATO and adjudicate any comments before issuing a final document.

(2) AOV Approval of ATO-SGs. If a proposed ATO-SG meets the criteria for AOV approval, as identified in the latest version of FAA Order 1100.161, *Air Traffic Safety Oversight*, the ATO Safety Manager will process the request in accordance with AJI correspondence procedures.

(3) Acquisition Executive Board (AEB) Approval of ATO-SGs. If a proposed ATO-SG contains implementing guidance related to the Acquisition Management System, the ATO Safety Manager must also submit the draft ATO-SG to either the AEB or the Acquisition System Advisory Group for review and approval, as directed by the AEB, and adjudicate any comments before issuing a final document.

(4) ATO Approval of ATO-SGs. The proposed ATO-SG will become effective upon signature by the Vice President of AJI.

9. Configuration Management of ATO-SGs.

a. Web Posting. Within five business days of approval, AJI must post ATO-SGs on the AJI Safety Management System (SMS) website at <https://employees.faa.gov/org/linebusiness/ato/safety/sms>. All active, canceled, and superseded ATO-SGs must be housed on the AJI SMS website.

b. Numbering. AJI must number and date each ATO-SG on the AJI SMS website sequentially, beginning with the calendar year.

c. Integration and Cancellation of ATO-SGs. AJI must cancel and archive on the AJI SMS website all ATO-SGs that are superseded by a new ATO-SG or integrated into another document upon publication of the new document. Publications that incorporate an ATO-SG must explain in the cancellation section that the ATO-SG being canceled. ATO-SGs that are canceled without a replacement must also be archived.

10. Training. The AJI Director of Technical Training must ensure that SMS information contained in approved ATO-SGs is included in initial and refresher SMS training, as appropriate.

11. Acronyms and Abbreviations. A list of acronyms and abbreviations used in this order is included in appendix C.



Joseph Teixeira
Vice President
ATO Safety and Technical Training

Appendix A. ATO-SG Initiation and Management Process

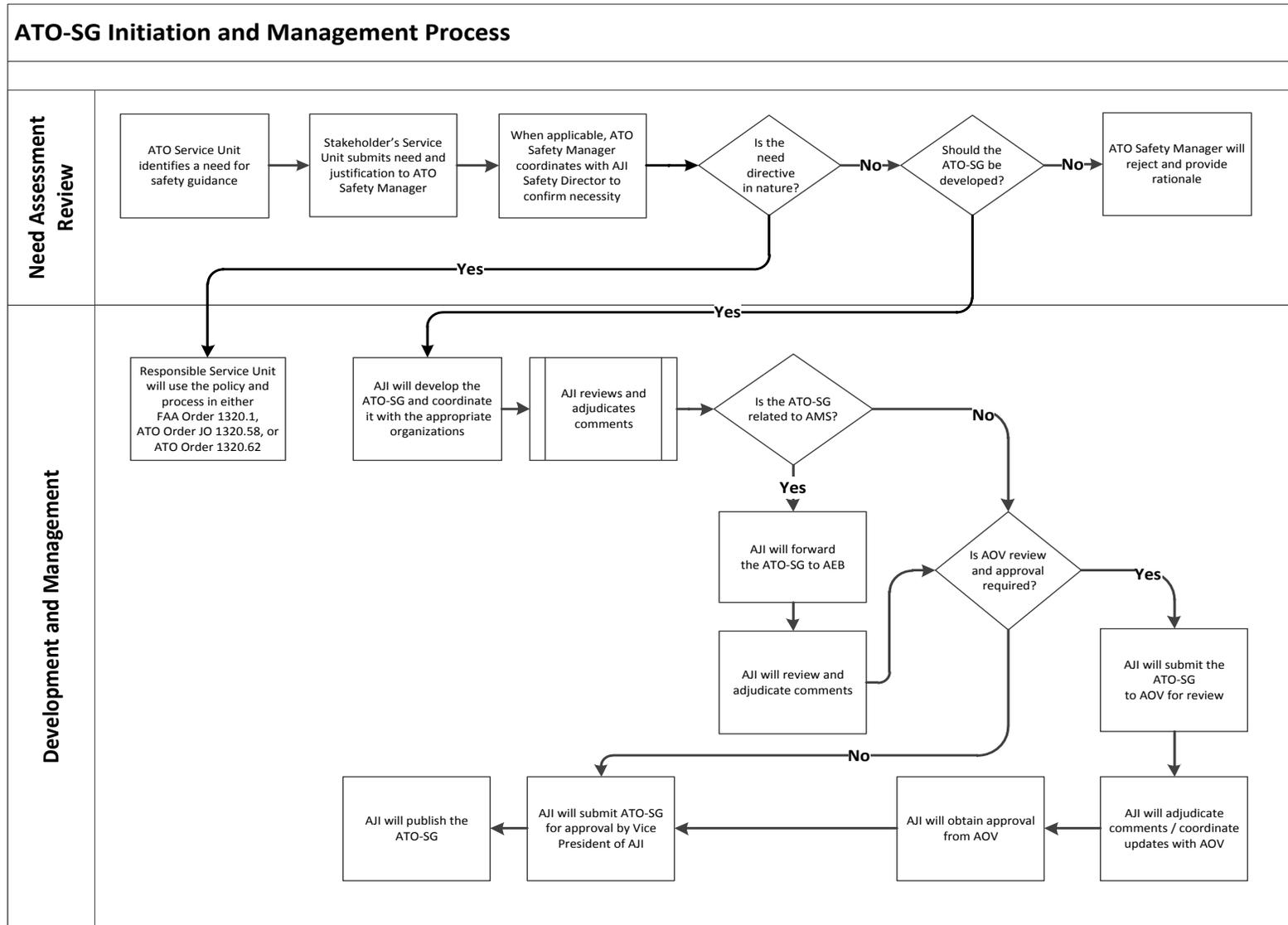


Figure A-1: ATO-SG Initiation and Management Process

Appendix B. ATO-SG Template



U.S. Department of
Transportation

**Federal Aviation
Administration**

ATO-SG

Safety Guidance

ATO-SG-XX-YY

Effective Date: xx/xx/xxxx

Air Traffic Organization
Safety and Technical Training

SUBJECT: [Enter the subject of the document.]

1. **PURPOSE:** [Enter the purpose of the ATO-SG.]
2. **AUDIENCE:** [Identify who the ATO-SG affects.]
3. **CANCELATION:** [If applicable, enter the document(s) that the ATO-SG cancels.]
4. **APPLICABLE POLICY AND RELATED DOCUMENTS:** [Identify the policy document(s) and/or overarching guidance document(s) that this ATO-SG is derived from and supports.]
5. **BACKGROUND:** [Explain the background of and need for the ATO-SG.]
6. **PROCEDURES:** [Identify the specific process steps and the expected requirements and outcomes. The following information may be included:
 - Referenced Orders
 - Data Analysis (Sources and Trends)
 - Application of Safety Risk Management
 - Monitoring Requirements
 - Background Materials (Checklists, Templates, Unique Documentation)]

(Approval Signature Block)
Name (e.g., Joseph Teixeira)
Title (e.g., Vice President)
Organization (e.g., ATO Safety and Technical Training)

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Appendix C. Acronyms and Abbreviations

AEB	Acquisition Executive Board
AJI	Air Traffic Organization Safety and Technical Training
AMS	Acquisition Management System
AOV	Air Traffic Safety Oversight Service
ATO	Air Traffic Organization
ATO-SG	Air Traffic Organization Safety Guidance
FAA	Federal Aviation Administration
SMS	Safety Management System