



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

Air Traffic Organization Policy

**ORDER
JO 1030.1C**

Effective Date:
05/01/2015

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 provides the policies and steps for their development, approval, and management.

2. Audience. This order applies to the ATO.

3. Where to Find This Order. This order is available on the [Federal Aviation Administration \(FAA\) website](#) and through [the employee portal](#).

4. Cancellation. This order cancels Order JO 1030.1B, *Air Traffic Organization Safety Guidance*, dated May 30, 2014.

5. Explanation of Policy Changes. This order modifies previous ATO-SG development, management, and approval policies.

- Paragraph 7 has been revised to indicate that ATO-SGs are governing and enforceable documents.
- Paragraph 8 documents a method for ATO organizations to propose alternative means of compliance with the intent of an ATO-SG.
- Paragraph 11c is modified to remove the location of canceled and superseded ATO-SGs.
- The ATO-SG template in appendix B is simplified.
- This order has been updated to more thoroughly reflect the drafting, approval, and publishing process for creating new ATO-SGs.

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 for Safety and Technical Training, AJI-0.

7. Scope of an ATO-SG. ATO-SGs are governing documents that supplement existing ATO directives or manuals. An ATO-SG may provide additional information that is not outlined in detail in an order, but it must be built on basic requirements established in an order or other directive.

8. Compliance Policy and Waiver Request. An ATO-SG cannot replace an existing FAA directive or manual; however, compliance with an ATO-SG is required. If an organization is unable to adhere to an ATO-SG, a request to deviate from the ATO-SG must be submitted for acceptance by AJI-0 through the Safety Management Group Manager, AJI-31. The proposal must contain a rationale for the requested deviation and a description of the alternate means for compliance.

9. ATO-SG Planning and Coordination.

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 Service Unit. The Office of Primary Responsibility (OPR) requesting the guidance must submit a justification for development of a new ATO-SG, along with any draft language, to the Integrated Safety Policy Team, AJI-311, via 9-AJI-SMS@faa.gov. See appendix B for an ATO-SG template.

b. Review and Validation.

(1) **Validation.** Upon receipt of the request, the AJI-311 Team Manager or a designee, on behalf of the AJI-31 Group Manager, will confirm that an ATO-SG is the appropriate type of document to distribute the information. When necessary, AJI-31 will initiate coordination of the needs assessment with the Director for Safety, AJI-1. Based on the nature of the information provided, he or she may propose alternatives such as a notice, a new order, or an amendment to an existing order. The AJI-311 Team 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?

(2) **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*.

(3) **Process.** The process flow of this needs validation is presented in appendix A. After confirming that the creation of an ATO-SG is appropriate, the AJI-311 Team Manager will assign a staff member to serve as Process Lead. The Process Lead is responsible for working with the OPR to develop, coordinate, and publish the ATO-SG.

c. Timeline and Schedule. The Process Lead will establish a timeline with the OPR for development, coordination, and publication of the ATO-SG. Phases of the documentation development will include the following:

- Draft writing
- Internal review
- Editing
- Grid coordination and comment adjudication
- Distribution for publication approval and signature
- Online publication

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

a. Writing the ATO-SG. Guided by the Process Lead, the OPR will develop a draft ATO-SG using the template provided in appendix B.

(1) **Draft Writing.** The OPR will compile relevant information and coordinate with stakeholders to ensure that the document to be developed will align with the intended purpose and scope. After gathering information, the OPR will draft the document according to the template in appendix B.

(2) **Internal Review.** After developing the initial draft, the OPR will distribute the document to a select group of subject matter experts and stakeholders for an informal internal review. The OPR should allow sufficient time for this review and modify the document based on comments received.

(3) **Editing.** Upon completion of the internal review, the OPR will submit the ATO-SG to the Process Lead to perform quality control and have the document edited. The Process Lead or a designee will review the document to assess its compliance and determine whether it presents any potential conflicts with overall ATO Safety Management System (SMS) requirements. If needed, the Process Lead may provide comments and revisions to better align the ATO-SG with SMS policy.

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

(1) **ATO Coordination of ATO-SGs.** The OPR must inform the Process Lead of the ATO organizations to which the ATO-SG should be distributed for approval. The period for ATO grid coordination is 10 working days.

(2) **Air Traffic Safety Oversight Service (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 AJI-31 Group Manager will process the request in accordance with AJI correspondence procedures.

(3) Acquisition Executive Board (AEB) and Acquisition System Advisory Group (ASAG) Approval of ATO-SG Information. If a proposed ATO-SG contains implementing guidance related to the Acquisition Management System, the Process Lead also must submit the draft ATO-SG to either the AEB or the ASAG for review and approval, as directed by the AEB. The Process Lead adjudicates all comments before issuing a final document.

(4) ATO Approval of ATO-SGs. The proposed ATO-SG becomes effective upon signature by AJI-0.

11. Configuration Management of ATO-SGs.

a. Web Posting. Within five business days of approval, AJI must post ATO-SGs on [the SMS website](#), where all active ATO-SGs are housed. ATO-SGs that pertain to existing orders or notices are accessible through the [the FAA website](#) and through [the employee portal](#).

b. Numbering. AJI-311 must number and date each ATO-SG on the SMS website sequentially, beginning with the calendar year.

c. Integration and Cancellation of ATO-SGs. All ATO-SGs that are superseded by a new ATO-SG or integrated into another document are immediately canceled upon publication of the new document. Publications that incorporate an ATO-SG must explain in the cancellation section that the associated ATO-SG is being canceled. Organizations that wish to cancel an ATO-SG must notify the AJI-31 Group Manager of the intent and provide an explanation. AJI will archive all canceled ATO-SGs, and they will be made available upon request.

12. Training. The Director for Technical Training, AJI-2, must ensure that SMS-related information contained in approved ATO-SGs is included in initial and refresher SMS training, as appropriate.



Joseph Teixeira
Vice President
Safety and Technical Training

Appendix A. ATO-SG Initiation and Management Process

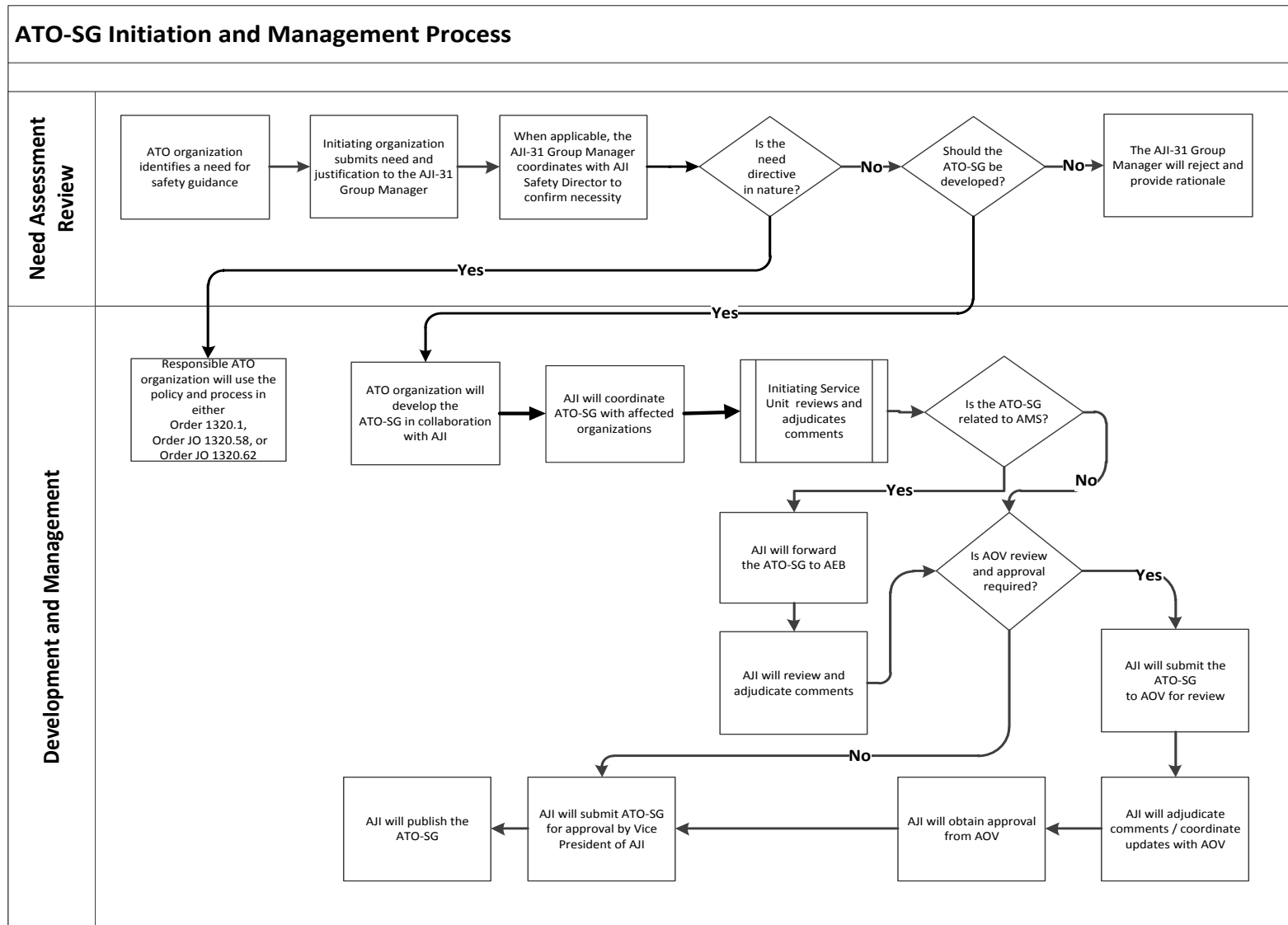


Figure A.1: ATO-SG Initiation and Management Process

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. **COMPLIANCE POLICY:** This ATO-SG is a governing document developed to supplement [insert order/manual/policy name here]; compliance with this ATO-SG is required.
5. **BACKGROUND:** [Explain the background of and need for the ATO-SG.]

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

CONCURRENCES

ROUTING SYMBOL

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Appendix C. Acronyms and Abbreviations

AEB	Acquisition Executive Board
AJI	Safety and Technical Training
AMS	Acquisition Management System
AOV	Air Traffic Safety Oversight Service
ASAG	Acquisition System Advisory Group
ATO	Air Traffic Organization
ATO-SG	Air Traffic Organization Safety Guidance
FAA	Federal Aviation Administration
OPR	Office of Primary Responsibility
SMS	Safety Management System