



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

Air Traffic Organization Policy

**ORDER
JO 1900.47D**

Effective Date:
03/08/2013

SUBJ: Air Traffic Control Operational Contingency Plans

The Federal Aviation Administration (FAA) operational contingency planning is a key component in ensuring safety and continuity of services in the National Airspace System (NAS). Comprehensive and coordinated planning between air traffic control facilities and the stakeholders and organizations that support them, can avert disruptions or mitigate their impacts to safely and reliably serve the flying public. This order provides guidance for the critical roles and procedures that govern maintaining a pro-active approach to contingency planning.

The practices and procedures set forth in this order apply to FAA personnel and FAA-contract personnel who provide air traffic control services at FAA facilities and FAA contract towers, or support its infrastructure or operational environments.

A handwritten signature in black ink, appearing to read "Elizabeth L. Ray".

Elizabeth L. Ray
Vice President, Mission Support
Air Traffic Organization

Table of Contents

Chapter 1. Introduction.....	1
1.A. Purpose of This Order.....	1
1.B. Audience.....	1
1.C. Where to Find This Order.....	1
1.D. Distribution.....	1
1.E. Policy.....	1
1.F. Background.....	2
1.G. Cancellation.....	2
1.H. Explanation of Changes.....	2
1.I. Scope.....	3
1.J. Abbreviations and Acronyms.....	3
Chapter 2. General Roles and Responsibilities	4
2.A. Vice President, System Operations Services	4
2.B. Vice Presidents for En Route and Oceanic, and Terminal Services	4
2.C. Vice Presidents for Mission Support, and Technical Operations Services.....	4
2.D. En Route and Oceanic, and Terminal Services Area Directors	4
2.E. Technical Operations Service Area Directors.....	4
2.F. Service Center Directors	4
2.G. Operations Support Group (OSG) Managers.....	5
2.H. ATCSCC Managers	5
2.I. Terminal, FSS, and ARTCC Air Traffic Facility Managers.....	6
2.J. Technical Operations Field Manager.....	7
Chapter 3. Documentation	8
3.A. Developing and Maintaining Support Agreements and OCPs	8
3.B. Reports and Reporting.....	10
Chapter 4. Support Agreements	11
4.A. Responsibilities	11
4.B. Support Agreement Content	11
4.C. Approvals and Revisions.....	11
Chapter 5. Operational Contingency Levels (OCLs) by Facility Type.....	13
5.A. ARTCCs.....	13
5.B. Terminals and Flight Service Facilities	15
5.C. ATCSCC.....	18
Chapter 6. Report of a Non-Responsive Air Traffic Control Facility.....	21
Appendix A. Glossary	22
Appendix B. Abbreviations and Acronyms	25
Appendix C. Examples.....	26
C.1 OCL Changes.....	26
C.2 Support Agreements.....	27
C.3 OCP Networks	28
C.4 Non-Responsive Facility.....	29

CHAPTER 1.INTRODUCTION

1.A. Purpose of This Order.

Operational contingency plans (OCP) are pre-planned actions and procedures to respond to events that affect the capability of facilities to provide operational air traffic control (ATC) services. OCPs guide response until services can be fully restored or provided under continuity plans.

This order establishes the ATC requirements and responsibilities for the development and implementation of OCPs for Federal Aviation Administration (FAA) ATC facilities, including FAA Contract Towers (FCT), Flight Service Stations (FSS) (FAA and contract), hereafter known as “ATC facilities.”

1.B. Audience.

This directive applies to the following Air Traffic Organization (ATO) service units: En Route and Oceanic, Technical Operations, Terminal, Mission Support, and System Operations Services (SOS), including the David J. Hurley Air Traffic Control System Command Center (ATCSCC), Flight Services Program Operations, the Alaska Flight Services Information Area Group, FCT service providers, and all ATC facilities; ATC services within Washington headquarters; the William J. Hughes Technical Center (WJHTC); and the Mike Monroney Aeronautical Center (MMAC).

1.C. Where to Find This Order.

This order is available on the MY FAA Web site at https://employees.faa.gov/tools_resources/orders_notices/.

1.D. Distribution.

This order is distributed to ATO service units: En Route and Oceanic, Terminal, Technical Operations, Mission Support, and System Operations Services, including ATCSCC, Flight Services Program Operations, the Alaska Flight Services Information Area Group, FCT service providers, and all ATC facilities; ATC services within Washington headquarters; the WJHTC; the MMAC; and SOS.

1.E. Policy.

The following policy is provided:

1. This order applies to ATC facilities. Facility management is responsible to have OCPs in place to respond to events that affect the operational contingency levels (OCL) of their facility to provide ATC services.
2. The handling and management of air traffic during ATC Limited and ATC Zero events may result in airborne/ground delays, reroutes around impacted facilities, and/or use of contingency routes via the Contingency Plan Support System (CPSS).

1.F. Background.

Audits by SOS and actual contingency events revealed that current OCP guidance does not provide enough operational assistance to those involved. Specific shortcomings include the inability to continue reduced operations through the affected airspace and the lack of coordination between all necessary parties. In addition, the recent requirement to remove contingency plan information from the Facility Directives Repository (FDR) left no signature authority between facilities involved in supporting one another and limits the use of Letters of Agreement (LOA).

The rewrite of this order is intended to address these issues. The most significant change involves the creation of Support Agreements to re-establish signature authority for OCP purposes. In addition, a new OCL was created to advise of limited, but not total loss of services. This replaces the often-misunderstood ATC Alert – VFR Tower Only OCL. In addition, procedures for handling reports of non-responsive facilities were added.

1.G. Cancellation.

This order cancels FAA Order JO 1900.47C, Air Traffic Organization Operational Contingency Plan, dated October 22, 2009.

1.H. Explanation of Changes.

This document outlines simpler, more collaborative, and flexible response capabilities for operational contingency events. Specifically, it:

1. Is restructured for more efficient flow and completeness.
2. Harmonizes OCL from “Operational Capability Level” to “Operational Contingency Level.”
3. Introduces support agreements (Chapter 4).
4. Eliminates Visual Flight Rules (VFR) Tower OCL.
5. Creates a new ATC Limited OCL specifically for Terminal facilities (see Chapter 3, Chapter 5); this OCL does not apply to VFR towers.
6. Limits one OCP per location identifier (LOCID), with the exception of facilities with oceanic operations.
7. Clarifies OCP roles and responsibilities (Chapter 5).
8. Adds guidance for “Reports and Reporting” (paragraph 3.B) and “Report of a Nonresponsive ATC Facility” (Chapter 6).
9. Updates definitions and acronyms (Appendix A and Appendix B, respectively).
10. Consolidates roles and responsibilities for CONUS and non-CONUS ARTCC Air Traffic Managers (ATM).
11. Removes iterated language; terms have been standardized and moved to Appendix A. Glossary.

1.I. Scope.

This document defines roles and responsibilities for Terminal, En Route and Oceanic, SOS, FSS, Mission Support, Technical Operations, and the ATCSCC relative to operational contingency planning for ATC facilities described in paragraph 1.A. Purpose of This Order.

1.J. Abbreviations and Acronyms.

Appendix B. Abbreviations and Acronyms contains abbreviations and acronyms used in this order.

CHAPTER 2.GENERAL ROLES AND RESPONSIBILITIES

This section contains an overview of administrative roles and responsibilities for OCPs.

2.A. Vice President, System Operations Services

The Vice President, System Operations Services must:

1. Serve as the national focal point for ATO OCPs and the office of primary interest for this order, including the responsibility to coordinate with the other affected service units included in this section.
2. Provide oversight for and approve national OCP-related actions, corrective plans, and decisions that will affect traffic management procedures, FAA and contract flight service procedures, requirements, budget, staffing, equipment, operations, or training.
3. Provide support for the National OCP Database, including maintenance and updates of the software and hardware system.

2.B. Vice Presidents for En Route and Oceanic, and Terminal Services

The Vice President for En Route and Oceanic, and Terminal Services must provide oversight for and approve OCP-related actions, corrective plans, and decisions within their given service units that will affect procedures, requirements, staffing, equipment, operations, and training.

2.C. Vice Presidents for Mission Support, and Technical Operations Services

Vice Presidents for Mission Support and Technical Operations Services must provide oversight for and approve OCP-related actions, corrective plans, and decisions that will affect procedures, requirements, staffing, and equipment.

2.D. En Route and Oceanic, and Terminal Services Area Directors

En Route and Oceanic, and Terminal Service Area Directors must:

1. Provide oversight to ensure that OCPs are developed in accordance with this order.
2. Provide oversight to ensure that action plans are developed to correct identified deficiencies.

2.E. Technical Operations Service Area Directors

Technical Operations Service Area Directors must ensure cooperation at the field facility level with respect to the contents of subparagraphs 2.I.4 and 2.I.5 below.

2.F. Service Center Directors

Service Center Directors must:

1. Provide resources necessary to ensure that OCPs are developed in accordance with this order.
2. Provide resources necessary to ensure that action plans are developed to correct identified deficiencies.

2.G. Operations Support Group (OSG) Managers

Operations Support Group (OSG) Managers must:

1. Designate the service center administrator for OCP planning and coordination and to perform the following tasks.
2. Serve as the liaison between the ATCSCC, the service area lines of business, and service delivery points on all matters relating to OCPs, the National OCP Database, and CPSS.
3. Review OCPs and lessons learned in the CPSS and the National OCP Database for currency and consistency.
4. Serve as an information and training resource for service area facilities to help them maintain current and accurate information in the CPSS and National OCP Database.
5. Review certifications and exercise reports for facilities within the service area to help them meet their requirements.
6. Provide a report each January to the Service Area Directors regarding the status of all facility certifications and exercises for the prior calendar year.
7. Maintain current and accurate service area facility and personnel accounts in the National OCP Database.

2.H. ATCSCC Managers

ATCSCC Managers must:

1. Ensure maintenance of the National OCP Database application.
 - a. Designate an administrator to provide oversight of the National OCP Database.
 - b. Ensure that support contracts and agreements are maintained.
2. Designate a facility-level administrator to manage development and maintenance of the ATCSCC OCP.
 - a. Develop and approve work aids in coordination with the Technical Operations Services and National Operations Group and other groups as necessary.
 - b. Ensure that ATCSCC OCPs are current in the National OCP Database.
 - c. Coordinate changes to OCPs in advance with all affected support facilities.
3. Ensure that a support agreement is developed between the ATCSCC and its network of supporting facilities (i.e., its OCP network). If specialized assets or assistance are identified in an OCP, coordinate and secure approval with supporting organizations.
4. In support of ATCSCC ATC Limited and ATC Zero events and exercises:
 - a. Chair the crisis response team (CRT).
 - b. Serve as the primary focal point for external stakeholder contact and coordination.
5. Ensure that guidance and training is provided to ATCSCC air traffic personnel.

6. By December 31 of each calendar year, ensure that an ATCSCC OCP ATC Zero exercise is conducted unless an ATCSCC ATC Zero or ATC Limited event occurred during the year.
7. By December 31 of each calendar year, ensure that ATC Zero table-top (TTX) exercises are conducted for ARTCCs and, at a minimum, all Terminal Radar Approach Control (TRACON) that overlie Core airports.
 - a. Ensure that an annual schedule is published.
 - b. Ensure that ATCSCC comments are entered in the National OCP Database.
8. Ensure that guidance and training support is provided for the service center administrators.

2.I. Terminal, FSS, and ARTCC Air Traffic Facility Managers

Terminal, FSS, and ARTCC Air Traffic Facility Managers must:

1. Develop and maintain facility OCPs. A facility-level administrator may be designated for this responsibility.
2. Designate a primary support facility.
3. Develop an OCP network of support facilities.
 - a. Ensure a support agreement is developed between the impacted facility and its OCP network.
 - b. At a minimum, the OCP network will consist of the impacted facility and the primary support facility.
 - c. The OCP network should include all facilities with which the impacted facility has an LOA for normal operations and may include other facilities as needed (e.g., military ATC facilities).
4. If non-ATC organizations are needed as part of the OCP network to supply specialized assets or assistance, enter into agreements with such supporting organizations.
 - a. Technical Operations may be included in the OCP network support agreement.
 - b. Other organizations, such as airport operations, will require an LOA, which must not be stored in the FDR.
5. Approve the facility OCP and supporting work aids. Prior to approval, coordinate with Technical Operations Field Manager to ensure that the plan does not interfere with their restoration plan.

NOTE: Requirements for approving facility OCPs are included in paragraph 4.C.

6. Ensure that the approved OCP is available for all of the impacted facility's supporting and adjacent facilities.
7. When requested to participate in another impacted facility's OCP network, develop supporting procedures and ensure that they are coordinated and shared among that OCP network's support facilities.

8. Provide training to ATC personnel to ensure familiarity with procedures and airspace based on the facility OCP.
9. Ensure that training is coordinated with supporting organizations as necessary.
10. Coordinate changes to OCPs and obtain approval in advance with all affected support facilities.
11. Identify the members of the facility CRT for situations that may require response to an ATC Limited or ATC Zero declaration.
12. By December 31 of each calendar year,
 - a. Ensure that the support agreement has been reviewed.
 - b. Ensure that an ATC Zero exercise is conducted unless an ATC Zero or ATC Limited event occurred during the year. The exercise may be conducted in concert with the ATC Zero TTX conducted by the ATCSCC. It should include the OCP network
 - c. Ensure certification of the facility OCP procedures in the National OCP Database.
 - d. Ensure certification of contact information in OCPs in the National OCP Database.

NOTE: The annual exercise validates facility telephone numbers and tests the facility's OCP.

13. ARTCC managers must ensure CPSS data is current. Notify the service center administrator of revisions to CPSS data.

2.J. Technical Operations Field Manager

Technical Operations Field Managers must ensure that:

1. Service Operations Center (SOC) Manager or designee/ upward report to their Operational Control Center (OCC) all changes to OCLs.
2. System Support Center (SCC) manager or designee. upward report to their OCC all changes to OCLs.
3. OCC Team Leads operationally report to the National Operations Control Center (NOCC) all changes to OCLs.

CHAPTER 3.DOCUMENTATION

3.A. Developing and Maintaining Support Agreements and OCPs

1. Each ATC facility must develop or modify administrative and operational information for use during ATC Alert, ATC Limited, and ATC Zero events.
2. Information must be entered into the National OCP Database (via templates where available). OCPs must include:
 - a. Contact information (names, phone numbers, and descriptions).
 - b. A list of all underlying and support ATC facilities.
 - c. Dates, event summaries, and lessons learned from ATC Zero events, ATC Limited events, and exercises.
3. ATC Alert procedures must include:
 - a. Notification to support facilities
 - b. A requirement to review ATC Limited and ATC Zero procedures.
4. ATC Limited procedures must support the loss of one or more operational segments.
5. ATC Zero routing information for ARTCC overflights and, at a minimum, arrivals and departures for Core airports, must be defined and submitted for entry into the CPSS.

NOTE: All airports within Core airport terminals may be considered eligible to use CPSS routes. For example, DAL could utilize the same route as DFW.

- a. Develop routes that are procedurally separated.
- b. Developed routes must remain clear of special use airspace (SUA).

NOTE: Procedures are not required for SUA in which operations, including return-to-base, are conducted under VFR rules.

- c. Definitions must contain the following information:
 - (1) Prescribed routes and destinations served.
 - (2) Altitudes for use along each defined route based on the destination airport.
 - (3) Procedures to ensure basic longitudinal separation of 10 minutes-in-trail (MINIT) between successive aircraft cleared along the same routes and altitude.
 - (4) For aircraft transitioning to or from Core terminals, procedures must ensure 10 MINIT, regardless of altitude.
 - (5) Transfer of control/communication points and frequency information.
 - (6) Telephone numbers, fax numbers, email addresses, etc. to be used for the coordination of flight plan information for the providing and the receiving ATC facilities.
- d. Routes may be defined for other underlying terminals.

NOTE: The ARTCC ATM may develop routes for additional airports as needed, and enter the routes into the CPSS.

6. As a support facility, planning can include:
 - a. Defined roles, responsibilities, and coordination requirements (e.g., delegation of responsibilities, details of control procedures, clearance limits, communications procedures), for both the impacted facility and the support facility.
 - b. Defined conditions governing use of the airspace (e.g., altitudes, routing configuration, and limitations or exceptions to the use of the applicable airspace).
 - c. Notification procedures for ATC Alert, ATC Limited, and ATC Zero events.

NOTE: These procedures may include the use of the National Traffic Management Log (NTML) facsimile transmission (FAX), telephonic notification, National Airspace Data Interchange Network (NADIN), Aeronautical Information System-Replacement (AIS-R), and similar mechanisms.

- d. Charts or other visual presentations when needed to help describe procedures.
7. Support agreements, LOAs that contain contingency plan information, and associated procedures must be stored in the National OCP Database. Contingency plan information from LOAs with military ATC facilities may be copied into the National OCP Database.

NOTE: The Terminal district points of contact (POC) will help facilities within their jurisdiction in maintaining National OCP Database data.

8. OCPs and support agreements must be available in operational quarters to operational personnel in either hard copy or through electronic means. If the OCP is provided through electronic means, hard copies must also be maintained in the operational area to provide backup.
9. ATMs must designate a primary support facility which will normally be an overlying facility. The ATCSCC is the primary support facility for ARTCCs.
10. Each ATC facility must conduct refresher training on OCP procedures in accordance with JO 3120.4. Training for operational ATC personnel must include:
 - a. Use of CPSS information, where applicable.
 - b. Operationally relevant information seen during an exercise or event.
11. Procedures that reference a change of OCL must include instruction on notifying the applicable Regional Operations Center (ROC), ATCSCC, applicable Technical Operations entity, and the Domestic Events Network (DEN).
12. By December 31 of each calendar year, every ATC facility must:
 - a. Ensure that the support agreement has been reviewed.
 - b. Ensure that an ATC Zero exercise is conducted unless an ATC Zero or ATC Limited event occurred during the year.

- c. Ensure that a lessons learned report for the facility is compiled for an ATC Limited event or an ATC Zero exercise or event.
- d. Ensure certification of the facility OCP procedures in the National OCP Database.
- e. Ensure certification of contact information in OCPs in the National OCP database.

3.B. Reports and Reporting.

This paragraph describes reporting for ATC Zero and ATC Limited events, and exercises.

1. All reports, including lessons learned, must be entered in the National OCP database.
2. Impacted facilities must initiate an event report within 7 calendar days of the termination of the event.
3. Support facilities must provide their inputs, including lessons learned, to the event report within 15 calendar days from when the event report was initiated.
4. The impacted facility must complete the report, including lessons learned, within 30 calendar days of the termination of the event. Prior to completion, the report must be coordinated with the Technical Operations Field Manager.

CHAPTER 4.SUPPORT AGREEMENTS

Support agreements are used to establish OCP networks. Support agreements describe the basic interaction of the OCP network during an ATC Limited or ACT Zero OCL.

4.A. Responsibilities

1. The impacted facility is primarily responsible for processing the support agreement, unless otherwise coordinated.
2. The ATM must:
 - a. Negotiate and prepare a single support agreement between their facility and its OCP network.
 - b. Coordinate and disseminate changes to OCPs and the support agreement across their OCP network.
3. The ATM should consult with the Operations Support Group (OSG) to resolve any issues or conflicts in developing the support agreement.

4.B. Support Agreement Content

1. Support agreements must include, at a minimum:
 - a. An effective date
 - b. Signatures of the facilities or organization managers
 - c. Contact information for the support facility(ies)
 - d. Scope and limitations of the agreement
 - e. Purpose
 - f. A statement that delegates support facilities the authority to create, update, and amend supporting procedures as needed.
2. Support agreements may include, but are not limited to, the temporary delegation of airspace or ATC services. This does not include divestment of an ARTCC's entire airspace. Temporary delegation must not conflict with or negate use of established CPSS routes.

4.C. Approvals and Revisions.

1. The ATM is responsible for managing approvals and revisions to support agreements.
2. For approvals, the ATM must:
 - a. Establish an effective date acceptable to all parties involved that permits sufficient time for entry into the National OCP Database, and for facilities in the OCP network to familiarize ATC personnel with OCPs.
 - b. Sign the document using physical or electronic signatures of all participants in the OCP network.
 - c. Store the support agreement in the National OCP Database.

NOTE: Due to sensitive information contained in support agreements, they are not to be stored in the FDR.

3. For revisions, the ATM must:
 - a. Make revisions when support facilities are added or deleted from the OCP network, or when information changes.
 - b. Place an asterisk or vertical line to the left of each new or revised paragraph or section to signify new material.
 - c. Identify page revisions by the “REV” number, e.g., “REV 1,” and the effective date in the lower right hand corner of each revised page.
 - d. Coordinate revisions in the same manner and degree as for the original document.
 - e. Cancel or update the support agreement as needed.

CHAPTER 5. OPERATIONAL CONTINGENCY LEVELS (OCLS) BY FACILITY TYPE

This paragraph outlines OCP requirements for the different operational contingency levels (OCLs) by facility type. For each OCL, the order of responsibilities is generally sequential as depicted but can be carried out based on the event itself.

5.A. ARTCCs

1. **ATC Alert Requirements.** This section describes the roles and responsibilities for handling ATC Alert events that occur at ARTCCs.
 - a. The Operations Manager-in-Charge (OMIC), or designee, must:
 - (1) Declare ATC Alert when required
 - (2) Notify support facilities in the network.
 - (3) Ensure that the ATCSCC, DEN, and ROC are notified.
 - (4) Ensure that the Technical Operations Service Operations Center (SOC) is notified.
 - (5) Review the facility OCP to prepare for the possibility of declaring ATC Limited or ATC Zero.
 - (6) Log the event on FAA Form 7230-4, Daily Record of Facility Operation (facility log), or equivalent electronic media.
 - (7) When the ATC Alert is canceled:
 - (a) Notify all affected facilities.
 - (b) Ensure that the ATCSCC, DEN, and ROC are notified.
 - (c) Ensure that the SOC is notified.
 - (d) Update the facility log.
 - b. The ATCSCC must document the event in the NTML and notify affected stakeholders.
 - c. When notified that an ARTCC is in ATC Alert, ATC support facilities within the OCP network must review their OCP in preparing to provide assistance if necessary.
2. **ATC Zero Requirements.** This section describes the roles and responsibilities when an ARTCC is unable to safely provide published ATC services.
 - a. The impacted facility OMIC, or designee, must:
 - (1) Declare ATC Zero.
 - (2) Notify the ATCSCC as the primary support facility. If time and resources allow, notify all support facilities in the network.
 - (3) Ensure that the DEN and ROC are notified.
 - (4) Ensure that the SOC is notified.

- (5) Ensure that the facility's OCP is followed.
- (6) When practical, verify that support ATC facilities have been notified.
- (7) If able, convene and lead a facility CRT.
 - (a) Ensure that the CRT collaboratively determines actions to be taken in response to the event.
 - (b) Communicate the plan to all affected facility personnel and support facilities.
 - (c) Notify the ATCSCC when the airspace of the impacted facility has been stabilized and is ready to implement CPSS procedures.
- (8) Log the event on FAA Form 7230-4, Daily Record of Facility Operation (facility log), or equivalent electronic media.
- (9) Notify the ATCSCC as the ability to provide air traffic services is restored, and collaboratively develop a plan to resume operations. Communicate this plan to all affected facility personnel and support facilities.

NOTE: The restoration plan may include traffic management initiatives and tiered levels of service restoration.

- (10) Resume operations following the coordinated restoration plan.
 - (11) When ATC Zero is canceled:
 - (a) Notify the ATCSCC, DEN, and ROC.
 - (b) Ensure that the SOC is notified.
 - (c) Update the facility log.
 - (d) Participate in post-event analysis within one week of terminating the ATC Zero event.
 - (e) Compile the lessons learned report
- b. Support ATC facilities in the OCP network must:
- (1) Take actions necessary to stop the flow of air traffic or ATC services into the impacted facility and mitigate the effects of the ATC Zero declaration.
 - (2) Notify the impacted facility and the ATCSCC when ready to begin operations in accordance with the impacted facility's OCP and the support agreement.
 - (3) Help in the notification process as directed by the ATCSCC.
 - (4) Support the impacted facility by following the OCP procedures and coordinated ad hoc modifications to the plan.
 - (5) Transition back to normal operations at the impacted facility following the coordinated restoration plan.
 - (6) Participate in post-event analysis if requested by the impacted facility.

- (7) Contribute to the lessons learned report.
- c. ATCSCC must:
 - (1) Notify stakeholders and FAA senior management of any ATC Zero declarations.
 - (2) Notify the applicable ROC.
 - (3) Notify support facilities and other predefined entities.
 - (4) Help the impacted facility traffic management unit (TMU) in an initial sterilization of airspace.
 - (5) Provide updates to stakeholders and senior FAA management officials on ATC Zero response actions taken and restoration plans.
 - (6) When notified that the ATC Zero-impacted facility is able to provide ATC services, coordinate the resumption of services.

5.B. Terminals and Flight Service Facilities

1. **ATC Alert Requirements.** This section describes the roles and responsibilities for handling ATC Alert events that occur at terminal and flight service facilities.
 - a. The ATM or designee must:
 - (1) Declare ATC Alert when required.
 - (2) Notify support facilities in the network.
 - (3) Ensure that the ATCSCC, DEN, and ROC are notified.
 - (4) Ensure that the Technical Operations control center, be it SOC or OCC, is notified.
 - (5) Review the facility OCP to prepare for the possibility of declaring ATC Limited or ATC Zero.
 - (6) Log the event on FAA Form 7230-4, Daily Record of Facility Operation (facility log), or equivalent electronic media.
 - (7) When the ATC Alert is canceled:
 - (a) Notify all affected facilities.
 - (b) Ensure that the ATCSCC, DEN, and ROC are notified.
 - (c) Ensure that the Technical Operations control center, be it SOC or OCC, is notified.
 - (d) Update the facility log.
 - b. The ATCSCC must document the event in the NTML and notify affected stakeholders.
 - c. When notified that a facility is in ATC Alert, ATC support facilities within the OCP network must review their OCP in preparing to provide assistance if necessary.

2. **ATC Limited Requirements.** This section describes the roles and responsibilities when an operational segment(s) at a Terminal facility is unable to safely provide all published ATC services, but the facility has not reached ATC Zero.
 - a. The ATM or designee must:
 - (1) Declare ATC Limited.
 - (2) Notify support facilities in the network.
 - (3) Ensure that the ATCSCC, DEN, and ROC are notified.
 - (4) Ensure that the Technical Operations control center, be it SOC or OCC, is notified.
 - (5) Implement the facility OCP as necessary to support the impacted operational segment.
 - (6) If applicable, convene and lead a facility CRT in managing an ATC Limited event.
 - (a) Ensure that the CRT collaboratively determines actions to be taken in response to the event.
 - (b) Communicate the plan to all affected facility personnel and support facilities.
 - (7) Review ATC Zero OCP to prepare for the possibility of further degradation.
 - (8) Log the event on FAA Form 7230-4, Daily Record of Facility Operation (facility log), or equivalent electronic media.
 - (9) Develop a restoration plan to return to full service. Coordinate with other entities as needed.
 - (10) When able to resume full operations, follow the restoration plan.
 - (11) When the ATC Limited is canceled:
 - (a) Notify all affected facilities.
 - (b) Ensure that the ATCSCC, DEN, and ROC are notified.
 - (c) Ensure that the Technical Operations control center, be it SOC or OCC, is notified.
 - (d) Update the facility log.
 - (e) Participate in post-event analysis within one week of terminating the ATC Limited event.
 - (f) Compile a lessons learned report.
 - b. Support facilities in the OCP network: When notified that an ATC facility has declared ATC Limited, all support facilities must review their OCP to prepare to provide assistance if necessary.
3. **ATC Zero Requirements.** This section describes the roles and responsibilities when a terminal or flight service facility is unable to safely provide published ATC services.

- a. For ATC Zero events that occur in ATC or flight service facilities, the ATM or designee must:
 - (1) Declare ATC Zero
 - (2) Notify the primary support facility. If time and resources allow, notify all support facilities in the network. Include the FSS hub facility, if appropriate.
 - (3) If applicable, convene and lead a facility CRT in managing an ATC Zero event.
 - (a) Ensure that the CRT collaboratively determines actions to be taken in response to the event.
 - (b) Communicate the plan to all affected facility personnel and support facilities.
 - (4) Ensure that the ATCSCC, DEN, and ROC are notified.
 - (5) Ensure that the Technical Operations control center, be it SOC or OCC, is notified.
 - (6) If the impacted facility is unable to contact the ATCSCC, the primary support facility must make the notification.
 - (7) Log the event on FAA Form 7230-4, Daily Record of Facility Operation (facility log), or equivalent electronic media.
 - (8) Ensure that the facility's OCP is followed.
 - (9) Develop a coordinated restoration plan.
 - (10) Transition back to normal operations following the restoration plan.
 - (11) When ATC Zero is canceled:
 - (a) Notify the overlying facility.
 - (b) Notify the support facility(ies).
 - (c) Notify the ATCSCC, DEN, and ROC.
 - (d) Ensure that the Technical Operations control center, be it SOC or OCC, is notified.
 - (e) Update the facility log.
 - (f) Participate in post-event analysis within one week of terminating the ATC Zero event.
 - (g) Compile the lessons learned report.
- b. For ATC Zero events that occur at TRACONs overlying Core airports, the ATCSCC must:
 - (1) Notify stakeholders and FAA senior management.
 - (2) Notify the applicable ROC.
 - (3) Notify support facilities and other predefined entities.

- (4) Help the impacted facility traffic management unit in an initial sterilization of airspace.
- (5) Provide updates to stakeholders and senior FAA management officials on the response actions taken and restoration plans.
- (6) When notified the ATC Zero impacted facility is able to provide ATC services, coordinate the resumption of services.

NOTE: The previous paragraphs do not preclude the ATCSCC from providing support to other ATC facilities.

- c. Support ATC facilities in the OCP network must:
 - (1) Support the impacted facility by following OCP procedures and coordinated ad hoc modifications to the plan.
 - (2) Participate in post-event analysis, if requested by the impacted facility
 - (3) Contribute to the lessons learned report.

5.C. ATCSCC

1. **ATC Alert Requirements.** This section describes the roles and responsibilities for handling ATC Alert events that occur at the ATCSCC.
 - a. The ATM or designee must:
 - (1) Declare ATC Alert.
 - (2) Ensure that the Washington Operations Center Complex (WOCC) and DEN are notified.
 - (3) Ensure that SOC is notified
 - (4) Ensure that the NOCC is aware of the ATC Alert status and collaborates on any response.
 - (5) Ensure that the affected ATC facilities, stakeholders, and other ATO organizations are notified.
 - (6) Review the facility OCP to prepare for the possibility of declaring ATC limited or ATC Zero.
 - (7) Log the event on FAA Form 7230-4, Daily Record of Facility Operation (facility log), or equivalent electronic media.
 - (8) When the ATC Alert is canceled:
 - (a) Ensure that the WOCC, NOCC, DEN, stakeholders, and all other affected facilities are notified.
 - (b) Ensure that SOC is notified
 - (c) Update the facility log.

- b. Support facilities in the OCP network: When notified the ATCSCC has declared ATC Alert, all support facilities must review their OCP to prepare to provide assistance if necessary.
2. **ATC Zero Requirements.** This section describes the roles and responsibilities for handling ATC Zero events that occur at the ATCSCC.
 - a. The ATM or designee must:
 - (1) Declare ATC Zero when the facility is unable to provide any traffic flow management (TFM) services.
 - (2) Ensure all affected ATC facilities, stakeholders, and other ATO organizations are notified of the beginning and end of an event.
 - (3) Ensure that SOC is notified.
 - (4) Ensure that the NOCC is aware of the ATC Zero status and collaborates on any response.
 - (5) Ensure that the WOCC is notified and that the WOCC activates the WOCC standing telephone bridge. If the ATCSCC is unable to contact the WOCC, a support facility may make the notification. Provide the following information in the notification:
 - (a) ATC Zero declaration.
 - (b) The condition that triggered the ATC Zero declaration.
 - (c) Actions being taken.
 - (d) When an update is expected.
 - (6) Follow the ATCSCC ATC Zero OCP procedures.
 - (7) Convene and lead a facility CRT in managing an ATC Zero event.

NOTE: At the ATCSCC, the facility CRT consists of the ATCSCC NOM, NOCC representative, the TFM sustainment manager, and other personnel the NOM deems appropriate. The CRT coordinates information about the ATC Zero event and collaboratively determines actions to be taken in response to the event.

- (8) Ensure that support facilities are notified.
- (9) Log the event on FAA Form 7230-4, Daily Record of Facility Operation (facility log), or equivalent electronic media.
- (10) Develop a coordinated restoration plan.
- (11) Resume operations following the restoration plan.
- (12) When the ATC Zero is canceled:
 - (a) Ensure that the WOCC, and all other affected ATC facilities and stakeholders are notified when the ATC Zero is canceled.
 - (b) Ensure that SOC is notified.

- (c) Update the facility log.
 - (d) Participate in post-event analysis within one week of terminating the ATC Zero event.
 - (e) Compile the lessons learned report.
- b. The NOCC must:
 - (1) Participate in the facility CRT.
 - (2) Participate in post-event analysis and lessons learned.
- c. Support ATC facilities in the OCP network must:
 - (1) Support the ATCSCC by following the OCP and coordinated ad hoc modifications to the plan.
 - (2) Transition back to normal operations when the ATC Zero event at the ATCSCC has ended, following the restoration plan.
 - (3) Participate in post-event analysis, if requested by the ATCSCC.
 - (4) Contribute to the lessons learned report.

CHAPTER 6.REPORT OF A NON-RESPONSIVE AIR TRAFFIC CONTROL FACILITY

This section describes the roles and responsibilities which apply when an ATC facility is reported to be non-responsive.

1. If a facility is reported as non-responsive, the primary support facility may declare ATC Zero for the facility.
 - a. The primary support facility must use alternative methods to determine the cause of non-responsiveness.
 - (1) Verify communications.
 - (2) If communications cannot be established, ensure a visual or physical inspection of the facility is attempted.
 - b. If unable to resolve the cause for non-responsiveness, the primary support facility must declare ATC Zero for the non-responsive facility. The designated primary support facility is the only facility, other than the ATCSCC, that can declare ATC Zero for the non-responsive facility.
 - c. After the primary support facility declares ATC Zero, it:
 - (1) Implements the impacted facility's OCP.
 - (2) Carries out its usual support role to the impacted facility.
2. The ATCSCC has the authority to declare ATC Zero for any facility if the primary support facility is unavailable.

APPENDIX A. GLOSSARY

The following terms and their definitions are used throughout this order. Appendix B contains a list of abbreviations and acronyms.

1. **Adjacent** – Any airspace that abuts another.
2. **Annual** – The period of time between January 1 and December 31, inclusive, of a calendar year.
3. **Annual Exercise** – A comprehensive walk-through of procedures to test and validate the impacted facility’s ATC Zero OCP. Each ATC facility must log an annual ATC Zero exercise in the National OCP Database. This exercise may be combined with the ATC Zero TTX conducted by the ATCSCC. The annual exercise will validate facility telephone numbers and test the facility’s OCP and its OCP network.
4. **Approval** – Validation for use of the latest official version of an OCP. It is required after creating a new OCP document or modifying an existing OCP document when changed.
5. **ATC Alert** – A precautionary notification to ensure support facilities in an OCP network are informed of a possible ATC Limited or ATC Zero declaration. ATC Alerts are normally associated with, but not limited to, non-routine maintenance activities or equipment outages that eliminate backup equipment to critical systems and services.

ATC Alert declarations include 1) the condition that triggered the alert, 2) actions being taken 3) potential impacts to air traffic, and 4) when an update is expected.
6. **ATC Facility** – Entities that serve as an FAA ATC facility, including FCT and flight service stations (FAA and contract).
7. **ATC Limited** – An OCL declared when a Terminal facility suffers the loss of one or more operational segments but the facility can still provide published ATC services at a reduced level. The ATC Limited OCL excludes VFR Towers because they have only a single operational segment. For example, an up/down facility could declare ATC Limited if the tower cab is unable to provide ATC services but the radar room is functional.
8. **ATC Zero** – An OCL declared when it is determined the facility is unable to safely provide air traffic services, or traffic flow management in the case of the ATCSCC.
9. **Automated Contingency Tool 2 (ACT2)** – A Web-based, administrative application that is housed, maintained, and secured behind the FAA’s Intranet firewall (at <https://act2.faa.gov/>). It is used to collect, organize input, maintain, modify, display, share, publish, and distribute information relative to OCPs. It is currently the application used as the National OCP Database.
10. **Certification** – Verification of the accuracy of the current version of an OCP or facility information. Amended OCPs are considered certified for the calendar year in which they are approved.
11. **Contingency Plan Support System (CPSS)** – An application used to collect, share, publish, and distribute coordinated non-radar routes as part of OCPs for operational use by field facilities, the ATCSCC, and pilots during ARTCC ATC Zero events. CPSS data is available via the “Contingency Plan” tab at <http://www.atcsc.faa.gov/ois/>.
12. **Core Airports** – Major airports that require significant agency focus. The master list of Core airports is available at http://aspmhelp.faa.gov/index.php/Core_30.

13. **Crisis Response Team (CRT)** – A facility team that coordinates information about the ATC Zero or ATC Limited event, and collaboratively determines actions to be taken in response to the event. The CRT should include ATC OMIC, the Technical Operations Manager or designee, and the supervisory traffic management coordinator (STMC). At facilities with limited support staff the makeup of the CRT will be at the discretion of the ATM.
14. **Domestic Events Network (DEN)** – A standing telephonic network that is managed by ATO’s NTSO team to link major ATC field facilities and over 170 interagency nodes. The DEN is used for rapid alerting, shared situational awareness, and tactical response coordination addressing security and other disruptions to the NAS.
15. **Impacted Facility** – An ATC facility that is unable to provide some or all published ATC services.
16. **National OCP Database** – The repository to store and distribute OCPs, support agreements and certain LOAs. Currently, the National OCP Database is implemented via ACT 2 but is not tool-specific.
17. **National Tactical Security Operations (NTSO)** – One of four teams of Air Traffic Security Coordinators (recruited from senior air traffic controllers and other experienced front-line personnel) that carryout ATO’s tactical security operation such as helping to protect Presidential movements. The NTSO manages the DEN out of the FAA headquarters.
18. **OCP Network** – The impacted facility and one or more facilities that provide support during an event.
19. **Operational Contingency Level (OCL)** – The level of severity of an event (ATC Alert, ATC Limited, or ATC Zero) that indicates the status of published ATC services that a facility can provide. In the past, OCL has been also referred to as “Operational Capability Level.”
20. **Operational Contingency Plan (OCP)** – A pre-coordinated plan containing operational and administrative instructions and procedures for impacted and support facilities. It guides the OCP network when an impacted facility experiences a degradation or loss of ability to provide ATC services.

For facilities with a single LOCID, there will be only one OCP. ARTCCs that contain oceanic operations may use a separate OCP for each operation (i.e., domestic and oceanic).
21. **Operational Segment** – Any one of the distinct operational quarters in a Terminal ATC facility, specifically, the air traffic control tower (ATCT) cab, the radar room, and areas of specialization.
22. **Primary Support Facility** – An ATC facility that has entered into a support agreement with another ATC facility to serve as its notification facility in the event of the impacted facility’s immediate evacuation. The primary support facility also has certain roles and responsibilities in the event of a non-responsive facility. It may have other duties as a support facility in the OCP network.
23. **Published ATC Services** – ATC services as prescribed in FAA Orders JO 7110.65, JO 7210.3, and JO 7110.10.
24. **Specialized Assets and Assistance** – Any equipment, building, or service not normally available at the facility but is needed in case of an OCL change. Examples include provisions for transportation, opening of legacy or ramp control towers, and radio retuning.

25. **Stabilized Airspace** – An impacted facility’s airspace is considered stabilized when all aircraft previously under the control of that facility are accounted for or are receiving ATC services from a support facility.
26. **Support Agreement** – A document developed and signed by an ATC facility and other ATC facilities and/or Technical Operations that describes the range and limits of support agreed upon should the facility declare ATC Limited or ATC Zero. An impacted facility’s support agreement establishes its OCP network.
27. **Support Facility** – Any ATC facility or entity that provides pre-coordinated assistance to the impacted facility during an ATC Zero event or during an ATC Limited OCL.
28. **Supporting Organization** – Any non-ATC organization within or outside of the FAA that provides pre-coordinated assistance to the impacted facility during an ATC Zero event or during an ATC Limited OCL.
29. **Table-top Exercise (TTX)** – A training exercise to verify the validity of OCP steps and phone numbers. The table-top exercise does not meet ATC Zero annual exercise requirements. The ATCSCC conducts annual TTX with ARTCCs and TRACONs overlying Core airports. Facilities may combine their ATC Zero Exercise with the ATCSCC TTX if desired.
30. **Terminal** – For the purpose of this order, terminals refer to TRACONs and both Contract and Federal ATCTs.
31. **Up/Down Facility** – Terminal facility wherein all CPC controllers are certified to work all tower and radar positions.
32. **Work Aids** – For the purposes of this order, items such as checklists, sector procedures, phone numbers, frequencies, and any other materials used during an OCP event.

APPENDIX B. ABBREVIATIONS AND ACRONYMS

The abbreviations and acronyms included in this appendix are defined in accordance with how they are used in this order.

TERM	DEFINITION	TERM	DEFINITION
ACT2	Automated Contingency Tool	NOM	National Operations Manager
CPC	Certified Controllers	NTML	National Traffic Management Log
AIS-R	Aeronautical Information System-Replacement	NTSO	National Tactical Security Operations
ARTCC	Air route traffic control center	OCC	Operational Control Center
ATC	Air traffic control	OCL	Operational Contingency Level
ATCSCC	David J. Hurley Air Traffic Control System Command Center	OCP	Operational Contingency Plan
ATCT	Air traffic control tower	OEP	Operational Evolution Plan
ATM	Air Traffic Manager	OMIC	Operations Manager-in-Charge
ATO	Air Traffic Organization	OSG	Operations Support Group
CONUS	Continental United States	POC	Point of contact
CPSS	Contingency Plan Support System	REV	Revision
DEN	Domestic Events Network	RMT	Route Management Tool
CRT	Crisis Response Team	ROC	Regional Operations Center
FAA	Federal Aviation Administration	SOC	Service Operations Center
FAX	Facsimile	SOS	System Operations Services
FCT	FAA Contract Tower	SSC	System Support Center
FDR	Facility Directive Repository	STMC	Supervisor Traffic Management Coordinator
FSS	Flight Service Station	SUA	Special Use Airspace
LOA	Letter of Agreement	TFM	Traffic Flow Management
LOCID	Location Identifier	TMU	Traffic Management Unit
MINIT	Minutes-in-trail	TRACON	Terminal Radar Approach Control
MMAC	Mike Monroney Aeronautical Center	TTX	Table-top exercise
NADIN	National Airspace Data Interchange Network	VFR	Visual Flight Rules
NAS	National Airspace System	WJHTC	William J. Hughes Technical Center
NAVAID	Navigation/Aid	WOCC	Washington Operations Center Complex
NOCC	National Operations Control Center		

APPENDIX C. EXAMPLES

This Appendix includes examples of situations that illustrate the requirements included in this Directive.

C.1 OCL Changes

This section provides a few examples of conditions that may result in OCL declarations. It is not intended to be comprehensive.

ATC Alert

What is an ATC Alert Event?

- Severe weather in area may impact facility operations.
- Up/Down: Abandoned radar room due to fumes but still can provide surveillance services from the tower cab.
- Due to a cable cut, a tower cab loses its ground control and clearance delivery frequencies. It operates with just its local control frequencies.

ATC Limited

What is an ATC Limited Event?

- Up/Down facility: Tower cab has been abandoned due to a fire alarm or adverse weather conditions. TRACON continues in operation.
- Up/Down facility: Sufficient qualified staffs are unavailable to staff both the cab and the TRACON.
- Large TRACON: One or more areas of specialization becomes unable to provide services (e.g., spider infestation).

What is not an ATC Limited Event?

- All of a facility's primary or backup radios are out of service resulting in no redundancy (this is an ATC Alert, not ATC Limited event).
- Individual positions out-of-service: Services can be provided at other positions. (This may or may not be an ATC Alert.)

ATC Zero

What is an ATC Zero Event?

- No staff to open facility or provide service.

C.2 Support Agreements

[Impacted Facility]

Operational Contingency Plan (OCP) Network

Support Agreement

- 1. Purpose.** This document establishes a network of facilities in support of [Impacted Facility] for operational contingency planning.
- 2. Participants.** The network is comprised of [Impacted Facility], [Primary Support Facility], [Additional Support Facility, if any], and [etc.].
- 3. Effective Date.** MM/DD/YYYY
- 4. Scope.** This agreement applies to contingency planning related to changes in Operational Contingency Levels at [Impacted Facility]. It includes the participants' written plans contained in the National OCP Database.
- 5. Limitations.** *[If needed]*
- 6. Authorization.** The support facilities in this agreement are delegated the authority to create, update, and amend support procedures, as needed.
- 7. Primary Support Facility.** [Facility name] is designated as the primary support for this network and is delegated authority to declare ATC Zero on behalf of [Impacted Facility] following procedures outlined in JO 1900.47.
- 8. Additional Responsibilities.** *[Include this paragraph if other responsibilities such as temporary delegation of airspace or ATC services, are needed.]*
- 9. Contact Information.** *[Insert table or use attachment]*

C.3 OCP Networks

VFR Tower or FAA Contract Tower

- With ARTCC overlying: The ARTCC should be the primary support facility. There may or may not be any other facilities in this network.
- With TRACON overlying: The TRACON should be the primary support facility. There may or may not be any other facilities in this network.
- With RAPCON overlying: The overlying ARTCC should be the primary support facility. The RAPCON may or may not be included in the network

Up/Down Facility

- With ARTCC overlying: The ARTCC could be the primary support facility, unless another adjacent facility is more suitable. Adjacent and underlying facilities should be included in the network.
- With TRACON overlying: The TRACON should be the primary support facility. Adjacent and underlying facilities should be included in the network. Overlying ARTCCs may or may not be in the network, if they do not share a common boundary with the impacted facility.

Large TRACON

- An overlying ARTCC should be the primary support facility unless the ATCSCC is so designated. Adjacent and underlying facilities should be included in the network.

ARTCC

- The ATCSCC is the primary support facility. Adjacent ARTCCs and TRACONs should be included in the network. Facilities directly underlying should be included, also. An ATCT underlying a TRACON need not be included in the network.

C.4 Non-Responsive Facility

Example 1:

ABC is an Up/Down facility whose airspace underlies ZGH, an ARTCC. Adjacent to ABC is DEF, a large TRACON, and IJK, another Up/Down facility. All these facilities are part of ABC's network. ZGH has been designated the primary support facility.

ABC goes to cab-only operations at 10 p.m. and airspace reverts to ZGH until 6 a.m. The facility is normally staffed with two people on the mid-shift. By letter of agreement DEF, may call inbound to ABC after point out to ZGH.

Scenario:

ABC loses staffing due to illness and incapacitation. Support facilities are unaware until DEF has an inbound aircraft.

Chronology:

0300 – ABC Controller 1 is controller-in-charge and approves Controller 2's sick leave request, becoming a single person operation for the balance of the shift.

0400 – Controller 1 trips in the cab and is knocked unconscious.

0430 – DEF calls an inbound on the shout line, but receives no response. After several attempts the controller advises the watch supervisor, who in turn contacts ZGH as the primary support facility.

0440 – Following support facility procedures, the ZGH watch supervisor attempts contact with ABC via land-lines and commercial telephone.

0442 – When these prove unsuccessful, the watch supervisor contacts the ABC Crash Fire Rescue unit and requests they observe the cab using binoculars and go to the tower to make contact. The unit advises no silhouette is observed.

0443 – The inbound aircraft attempts radio contact at the request of DEF and reports negative contact. This is reported to ZGH.

0447 – Based on these reports, ZGH declares ATC Zero on behalf of ABC and commences notification procedures per ABC's plan. ZGH also continues its actions as a support facility.

Example 2:

LMN is a part-time Up/Down facility whose airspace underlies ZOP; ZOP is an ARTCC that is LMN's primary support facility. It operates from 0500 to 2200 local. Underlying LMN is VWX, an FAA Contract Tower. It operates from 0600 to 2000 local. These facilities are part of LMN's OCP network, but they otherwise do not have routine interaction. No LOA exists between them.

Scenario:

No staff arrives to open LMN at 0500 due to an ice storm. No other employees are scheduled to arrive until 0630.

Chronology:

0445 – Two controllers carpool to work and are involved in an accident due to the icy conditions. The storm has caused limited cell phone service. They are unable to advise anyone of their situation, immediately.

0510 – ZOP realizes LMN has not reported its routine opening and attempts to contact the facility via land-lines.

0515 – ZOP contacts airport operations but no one answers. A subsequent call to Crash, Fire, and Rescue reveals that no one has driven over the road to the tower.

0516 – ZOP declares ATC Zero on behalf of LMN and commences notification procedures per ABC's plan. ZOP also continues its actions as a support facility. In this example, those actions are to continue mid-shift operations.

0600 – ZOP advises VWX of the outage and the two facilities interact according to their support procedures.