

CHANGE

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

Air Traffic Organization Policy

**JO 7210.3DD
CHG 1**

Effective Date:
October 5, 2023

SUBJ: Facility Operation and Administration

- 1. Purpose of This Change.** This change transmits revised pages to Federal Aviation Administration Order JO 7210.3DD, Facility Operation and Administration, and the Briefing Guide.
- 2. Audience.** This change applies to all Air Traffic Organization (ATO) personnel and anyone using ATO directives.
- 3. Where Can I Find This Change?** This change is available on the FAA website at http://faa.gov/air_traffic/publications and https://employees.faa.gov/tools_resources/orders_notices/.
- 4. Explanation of Policy Change.** See the Explanation of Changes attachment which has editorial corrections and changes submitted through normal procedures. The Briefing Guide lists only new or modified material, along with background.
- 5. Distribution.** This change is distributed electronically to all who subscribe to receive email notification through the FAA's website. All organizations are responsible for viewing, downloading, and subscribing to receive email notifications when changes occur to this order. Subscriptions to air traffic directives can be made through the Air Traffic Plans and Publications website at https://www.faa.gov/air_traffic/publications/ or directly via the following link: https://public.govdelivery.com/accounts/USAFAA/subscriber/new?topic_id=USAFAA_39.
- 6. Disposition of Transmittal.** Retain this transmittal until superseded by a new basic order.
- 7. Page Control Chart.** See the page control chart attachment.

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Explanation of Changes

Change 1

Direct questions through appropriate facility/service center office staff to the office of primary responsibility (OPR)

a. 2-1-14. AIRCRAFT IDENTIFICATION PROBLEMS

This proposed change will mandate use of the Similar Sounding Call Sign Submission Tool and Documentation Tool as the sole methods of submitting, documenting and tracking similar sounding call sign reports and follow-up actions.

b. 2-1-19. SPECIAL ACTIVITY AIRSPACE (SAA) SCHEDULING, COORDINATION, AND DISSEMINATION

This change adds a new paragraph 2-1-19 to Section 1, General, Special Activity Airspace (SAA) Scheduling, Coordination, and Dissemination, and renumbers existing paragraphs 2-1-19 and subsequent paragraphs to 2-1-43.

c. 2-2-5. OPERATING INITIALS

2-4-3. TIME CHECKS

3-2-1. RESPONSIBILITY

3-4-1. USE OF RECORDERS

3-4-3. CHECKING AND CHANGING RECORDING EQUIPMENT

3-4-4. HANDLING RECORDER TAPES, DATs, OR DALR STORAGE

3-4-5. VSCS DATA RETENTION

8-1-3. COMPUTER DATA RETENTION

12-2-2. DATA RETENTION

This change removes all references to tapes from analog voice recording devices and updates the order with references to digitally recorded audio files. Additionally, paragraph 3-4-5 was removed since the requirement for voice recording is captured in other paragraphs.

d. 2-2-9. PERSONNEL BRIEFINGS REGARDING AIR TRAFFIC BULLETIN ITEMS

This change updates FAA Order JO 7210.3, Facility Operation and Administration, paragraph 2-2-9, adding "Procedures" to the title and replaces current language in 2-2-9b(3) referring to bulletin expiration/extension with new language for Air Traffic Procedures Bulletins (ATPBs) usage as well as a note containing a hyperlink to the publication webpage where ATPBs may be accessed.

e. 3-8-1. MINIMUM VECTORING ALTITUDE CHARTS (MVAC) FOR FACILITIES PROVIDING TERMINAL APPROACH CONTROL SERVICES

This change accounts for the NAS-wide transition to Standard Terminal Automation Replacement System (STARS) and removes legacy guidance to facility managers no longer required as automation has evolved. This change also accounts for facilities that do not have Monopulse Secondary Surveillance Radar (MSSR) systems which require a different design constraint.

f. 3-8-5. ESTABLISHING DIVERSE VECTOR AREA/S (DVA)

8-2-1. THREE MILE OPERATIONS

This change replaces current references to ASR-9 and ASR-11 and their associated secondary radar systems with new terminology associated with the Mode S Beacon Replacement System (MSBRS).

g. 4-3-7. HOT AIR BALLOON LOAs FOR CLASS C AIRSPACE

This change adds a new paragraph to the order, requiring air traffic managers whose facilities conduct hot air balloon operations within Class C airspace to enter into an agreement with balloon operators or festival

representatives. Facilities must utilize a hot air balloon letter of agreement (LOA) template provided by their respective Operations Support Group upon request. This change cancels and incorporates Notice JO 7210.944, which was effective July 5, 2023.

h. 6-5-1. CRITERIA

6-5-2. IMPLEMENTATION AND COORDINATION

6-5-3. PREPARATION AND MAINTENANCE OF BULK STORE FILE

6-5-4. REMARKS DATA

This change removes Chapter 6, Section 5, Stored Flight Plan Program, since it is no longer used in En Route Automation Modernization (ERAM) and subsequent sections are renumbered.

i. 10-4-6. SIMULTANEOUS INDEPENDENT APPROACHES

This change revises the currently published high update rate surveillance (HUR) runway centerline spacing (RCLS) distances to those articulated within an AFS report with improved surveillance update rate conditions. A new note was added at the request of Flight Standards concerning Traffic Alert and Collision Avoidance System (TCAS) operational sensitivities that during and after turn on to final at or above 5000 feet when runways are separated by less than 3400 feet, there can be an increase in TCAS resolution advisories.

j. 18-14-1. SPECIAL EVENT PROGRAMS

18-14-2. COORDINATION

18-14-3. IMPLEMENTATION

18-14-4. AIRPORT RESERVATION OFFICE

Dual-tone multi-frequency (telephone touch-tone signaling) interfaces are no longer available for use to receive an Electronic Special Traffic Management Program or Enhanced Computer Voice Reservation System reservation. Procedures for coordination processing is updated and some content has been revised for clarification.

k. 1-1-1. PURPOSE OF THIS ORDER

19-7-1. PURPOSE

19-7-2. POLICY

19-7-3. RESPONSIBILITY

19-7-4. WAIVER REQUESTS

19-7-5. DEVELOPMENT OF SAFETY DOCUMENTATION AND OTHER SAFETY STUDIES

19-7-6. WAIVER RENEWAL PROCESSING

19-7-7. PERIODICITY OF WAIVERS

19-7-8. WAIVER APPROVAL PROCESS

This change provides guidance for air traffic managers to follow when requesting a new waiver or a waiver renewal to air traffic procedures.

l. Editorial Changes

Editorial changes include updates to references to JO 7110.10DD in paragraphs 2-1-23 and 2-2-4; the addition of five Airport Traffic Control Towers to the Aviation System Performance Metrics Table in paragraph 18-5-4; a simple reference correction in paragraph 10-3-15; correcting references to FAA Order 1350.14B, Records Management; updating references throughout to the newly-titled FAA Order JO 7610.4, Sensitive Procedures and Requirements for Special Operations; correcting URLs throughout with "aeronav"; finally, there were updates to the distribution, subscription, and purchase information in Chapter 1, Section 1, and in the Distribution paragraph on the Change cover pages.

m. Entire Publication

Additional editorial/format changes were made where necessary. Revision bars were not used because of the insignificant nature of these changes.

PAGE CONTROL CHART

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Part 1. BASIC

Chapter 1. General

Section 1. Introduction

1-1-1. PURPOSE OF THIS ORDER

This order provides instructions, standards, and guidance for operating and managing air traffic facilities.

- a.** Part 1 contains information generally applicable to two or more options.
- b.** Part 2, Part 3, and Part 4 prescribe instructions unique to each discipline:
 - 1.** Air Route Traffic Control Centers (ARTCC).
 - 2.** Terminal Air Traffic Control Facilities.
 - 3.** Flight Service Stations.
- c.** Part 5 prescribes the instructions for traffic management applicable to the David J. Hurley Air Traffic Control System Command Center (ATCSCC), center, and terminal facilities.
- d.** Part 6 contains regulatory and procedural information concerning waivers, authorizations, exemptions, and flight restrictions.
- e.** Part 7 provides the overview concerning System Operations Security, Strategic and Tactical Operations, which are further delineated in FAA Order JO 7610.4, Sensitive Procedures and Requirements for Special Operations. Part 7 explains Air Traffic's role in the security realm, military activities, and other events which have impact on facilities and the NAS.

1-1-2. AUDIENCE

This order applies to all ATO personnel and anyone using ATO directives.

1-1-3. WHERE TO FIND THIS ORDER

This order is available on the FAA's Air Traffic Plans and Publications website at http://faa.gov/air_traffic/publications and Orders & Notices website at https://www.faa.gov/regulations_policies/orders_notices/.

1-1-4. WHAT THIS ORDER CANCELS

FAA Order JO 7210.3CC, Facility Operation and Administration, dated June 17, 2021, and all changes to it are canceled.

1-1-5. EXPLANATION OF CHANGES

The significant changes to this order are identified in the Explanation of Changes page(s). It is advisable to retain the page(s) throughout the duration of the basic order.

1-1-6. EFFECTIVE DATES AND SUBMISSIONS FOR CHANGES

- a.** This order and its changes are scheduled to be published to coincide with AIRAC dates.

b. The “Cutoff Date for Completion” in the table below refers to the deadline for a proposed change to be fully coordinated and signed. Change initiators must submit their proposed changes well in advance of this cutoff date to meet the publication effective date. The process to review and coordinate changes often takes several months after the change is initially submitted.

TBL 1-1-1
Publication Schedule

Basic or Change	Cutoff Date for Completion	Effective Date of Publication
JO 7210.3DD	11/3/22	4/20/23
Change 1	4/20/23	10/5/23
Change 2	10/5/23	3/21/24
Change 3	3/21/24	9/5/24
JO 7210.3EE	9/5/24	2/20/25
Change 1	2/20/25	8/7/25
Change 2	8/7/25	1/22/26
Change 3	1/22/26	7/9/26

1-1-7. DELIVERY DATES

■ This order will be available on the FAA’s website 30 days prior to its effective date.

1-1-8. RECOMMENDATIONS FOR PROCEDURAL CHANGES

The responsibility associated with processing and coordinating revisions to this order is delegated to the Director, Policy, AJV-P.

- a. Personnel should submit recommended changes in procedures to facility management.
- b. Recommendations from other sources should be submitted through appropriate FAA, military, or industry/user channels.
- c. Proposed changes must be submitted electronically to 9-AJV-P-HQ-Correspondence@faa.gov. The submission should include a description of the recommended change, and the proposed language to be used in the order.

NOTE-

For details on the submission process as well as additional AJV-P processing responsibilities, please see FAA Order JO 7000.5, Procedures for Submitting Changes to Air Traffic Control Publications.

- d. Procedural changes will not be made to this order until the operational system software has been adapted to accomplish the revised procedures.

1-1-9. CONSTRAINTS GOVERNING SUPPLEMENTS AND PROCEDURAL DEVIATIONS

- a. Exceptional or unusual requirements may dictate procedural deviations or supplementary procedures to this order. The written approval of the Vice President of System Operations Services must be obtained prior to issuing a supplemental or procedural deviation to this order which decreases the level, quality, or degree of service required by this order.
- b. Prior approval by the following appropriate military headquarters is required for subsequent interface with the Federal Aviation Administration (FAA) if military operations or facilities are involved. (See TBL 1-1-2.)

TBL 1-1-2
Military Headquarters

Branch	Address
U.S. Air Force	HQ AFFSA/A3A 7919 Mid-America Blvd Suite 300 Oklahoma City, OK 73135
U.S. Army	Director USAASA (MOAS-AS) 9325 Gunston Road Suite N-319 Ft. Belvoir, VA 22060-5582
U.S. Navy	Department of the Navy Chief of Naval Operations (N885F) 2000 Navy Pentagon Washington, DC 20350-2000

1-1-10. SAFETY MANAGEMENT SYSTEM (SMS)

Every employee is responsible to ensure the safety of equipment and procedures used in the provision of services within the National Airspace System (NAS). Risk assessment techniques and mitigations, as appropriate, are intended for implementation of any planned safety significant changes within the NAS, as directed by FAA Order 1100.161, Air Traffic Safety Oversight. Direction regarding the Safety Management System (SMS) and its application can be found in the FAA Safety Management System Manual and FAA Order 1100.161. The Safety Management System will be implemented through a period of transitional activities. (Additional information pertaining to these requirements and processes can be obtained by contacting the service area offices.)

1-1-11. REFERENCES TO FAA NON-AIR TRAFFIC ORGANIZATION

When references are made to regional office organizations that are not part of the ATO (i.e., Communications Center, Flight Standards, Airport offices, etc.), the facility should contact the FAA region where the facility is physically located – not the region where the facility's Service Area office is located.

1-1-12. DISTRIBUTION

This order is distributed electronically to all who subscribe to receive email notifications through the FAA's website. All organizations are responsible for viewing, downloading, and subscribing to receive email notifications when changes occur to this order. Subscriptions to air traffic directives can be made through the Air Traffic Plans and Publications website at https://www.faa.gov/air_traffic/publications/ or directly via the following link:

https://public.govdelivery.com/accounts/USAFAA/subscriber/new?topic_id=USAFAA_39.

Chapter 2. Administration of Facilities

Section 1. General

2-1-1. INTERREGIONAL REQUIREMENTS

a. An air route traffic control center (ARTCC) is responsible to an En Route and Oceanic Operations Area Office. Terminal and Flight Service facilities located within an ARTCC operational area must comply with the En Route and Oceanic Operations Area Office directives governing interfacility operational requirements. Although these facilities are not under its administrative jurisdiction, the En Route and Oceanic Operations Area Office responsible for the administration of the ARTCC must provide these directives to the appropriate facilities in ARTCC operational areas. These facilities must coordinate directly on mutual procedural or operational requirements.

b. When the resolution of procedural or operational problems is not possible or when the En Route and Oceanic Operations Area Office directives are incompatible with those published by the administratively responsible area office, the facility must notify its own Terminal Operations Area or Flight Service Safety and Operations Group for resolution.

2-1-2. FACILITY STANDARD OPERATING PROCEDURES DIRECTIVE

The air traffic manager must issue a Standard Operating Procedures (SOP) Directive. The directive must specify, as a minimum, the required procedures for maintaining a safe and efficient operation and the jurisdictional boundaries for each operational position/sector.

a. Review SOPs at least annually and update as necessary. Examine current SOPs for practices and/or procedures that are no longer required. Review includes both content and relevance that achieve full operational efficiency and customer flexibility.

b. Review and, if necessary, update SOPs when new or revised instrument flight procedures are published or pertinent national procedures are implemented or changed.

NOTE-

Information related to subscribing for alerts regarding upcoming changes to instrument flight procedures is available at the Instrument Flight Procedures Information Gateway: https://www.faa.gov/air_traffic/flight_info/aeronav/procedures/.

REFERENCE-

FAA Order JO 7210.3, Para 2-1-6, Checking Accuracy of Published Data.

FAA Order JO 7210.3, Para 4-1-1, Correspondence Standards.

FAA Order JO 7210.3, Para 4-3-3, Developing LOA.

FAA Order JO 7210.3, Para 4-3-8, Annual Review/Revisions.

c. Ensure noise abatement procedure commitments are included in the SOP or other facility directives and identified as such.

NOTE-

Noise abatement procedure commitments are the result of the NEPA process or other formal/informal agreements.

2-1-3. POSITION/SECTOR BINDERS

Air traffic managers must develop and maintain binders for each position/sector within the facility. In addition to the above, this must include a supervisor position binder. The supervisor position binder should address procedures that will enhance controller performance in areas such as scanning, coordination, use of proper phraseology, and proficiency/remedial training. The binders must contain as a minimum, but not be limited to, the information listed in the En Route, Terminal, Flight Service Option Specific Guidelines. The binder must contain information that is necessary for the safe and efficient operation of each position/sector, including

examples and formats where appropriate. A copy of each binder must be in a location easily accessible by each position/sector. Data may be stored and displayed via electronic means, e.g., on Information Display Systems (IDS), where available. Air traffic managers in terminal facilities may determine the need for individual binders for associated/coordinator positions.

2-1-4. REFERENCE FILES

Air traffic managers must maintain current sets of orders, facility directives, Letters of Agreement (LOA), aeronautical charts, pertinent International Civil Aviation Organization (ICAO) documents and related publications so that they may be readily available for operational use and study by facility personnel. Also, the air traffic manager must maintain reference materials at appropriate work areas. These materials must consist of pertinent directives, agreements, emergency and overdue aircraft procedures, and a location listing of airports within the area of responsibility including runway alignment, lighting, surface, and length as a minimum. Current telephone numbers of user companies/organizations identifying the source who has the capability of contacting no radio (NORDO) aircraft may also be listed. Air traffic managers must determine the applicability of other materials to be included.

NOTE-

The air traffic manager will ensure that the user list is kept current.

2-1-5. RELEASE OF INFORMATION

a. It is FAA policy to make factual information available to persons, properly and directly concerned, except information held confidential for good cause.

b. Except as provided in this and other FAA orders, or when specifically authorized to do so by the Secretary of Transportation or the Administrator, no agency employee must release information from any National Airspace System (NAS) database regarding the position, altitude, heading, flight plan, origination or destination of a single aircraft ("Flight Track Data") upon the oral request of an individual outside of the FAA.

1. No request for Flight Track Data must be granted unless it is first determined that the request is being made in the interest of aviation safety or efficiency, or for an official purpose by a United States Government agency or law enforcement organization with respect to an ongoing investigation.

2. No Flight Track Data on aircraft conducting military, law enforcement, presidential, or other sensitive flights must be released except as operationally required to assist such flights.

3. Each request must be handled in the following manner:

(a) The agency employee must positively identify the requestor by name, organization or affiliation, and point-of-contact (including a telephone call-back number).

(b) The agency employee must inquire about the purpose of the request so as to determine whether the request is being made in the interest of aviation safety or efficiency, or for an official purpose.

(c) Except for requests received from any United States Government agency or law enforcement organization, the agency employee must enter into the facility Daily Record of Facility Operation, FAA Form 7230-4, a record of the request, including:

(1) The information obtained under subparagraphs b3(a) and b3(b) above; and

(2) A summary of any information provided to the requestor, including the flight number or registration number of the aircraft in question.

(d) For requests received from any United States Government agency or law enforcement organization, the only information entered into the local facility log must be that called for by subparagraph b3(a) above, with a brief notation as to whether the request was granted or not.

4. If the request is from an individual and it is determined that the request, if granted, would not further aviation safety or efficiency, the employee must deny the request and may inform the requester that information

may be sought under the Freedom of Information Act (FOIA). A FOIA request should be filed in writing with the FOIA Officer, ARC-40, 800 Independence Avenue, S.W., Washington, DC 20591, or by email to 7-AWA-ARC-FOIA@faa.gov.

5. If it cannot be ascertained whether the purpose of the request, if from an individual, is in furtherance of aviation safety or efficiency, or if from a United States Government agency or law enforcement organization, is for an official purpose, the agency employee must contact facility management for guidance. If local management is unable to determine whether or not a request should be granted, the official should contact the Quality Assurance Investigator on-call in Washington headquarters. En Route and Oceanic Operations, Terminal Operations, and Flight Service Safety and Operations Group may elect to process after-hour requests through the appropriate Service Area office Quality Assurance on-call specialist.

c. Federal Contract Flight Service Stations (FCFSS) must handle the release of information in accordance with contract requirements.

2-1-6. CHECKING ACCURACY OF PUBLISHED DATA

Air traffic managers and air traffic representatives (ATREPs) must ensure, upon receipt of official publications, that a review of data pertaining to their facilities and areas of concern is accomplished to ensure accuracy and completeness. When pertinent national procedures, aeronautical data (to include weather reporting locations), or flight procedures are created or changed, review facility standard operating procedures (SOPs) directives, position/sector binders, reference files, and/or letters of agreement (LOAs) and initiate corrections and briefings as required.

NOTE-

1. Information related to subscribing for alerts regarding upcoming changes to instrument flight procedures is available at the Instrument Flight Procedures Information Gateway:

https://www.faa.gov/air_traffic/flight_info/aeronav/procedures/.

2. Additional digital AeroNav Products are available via the following websites:

a. https://www.faa.gov/air_traffic/flight_info/aeronav/procedures

b. <http://aerochart.faa.gov>

3. Information on aeronautical data changes, including weather reporting locations, is available for free at the Aeronautical Information Services (AJV-A), Aeronautical Data web portal. Check 28-Day Subscription and Transmittal Letters at https://www.faa.gov/air_traffic/flight_info/aeronav/aero_data/.

4. Notice to Air Missions information may be viewed on the Aeronautical Information System Replacement (AISR) or at <https://notams.aim.faa.gov/notamSearch>.

REFERENCE-

FAA Order JO 7210.3, Para 2-1-2, Facility Standard Operating Procedures Directive.

FAA Order JO 7210.3, Para 2-1-3, Position/Sector Binders.

FAA Order JO 7210.3, Para 2-2-11, Personnel Briefings Regarding Orders, Published Aeronautical Data and Flight Procedures.

FAA Order JO 7210.3, Para 4-3-3, Developing LOA.

FAA Order JO 7210.3, Para 4-3-8, Annual Review/Revisions.

FAA Order 7930.2, Notices to Air Missions (NOTAM).

FAA Order JO 8260.19, Flight Procedures and Airspace.

FAA Order JO 8260.3, United States Standard for Terminal Instrument Procedures (TERPS).

FAA Order JO 8260.43, Flight Procedures Management Program.

2-1-7. AIR TRAFFIC SERVICE DURING PLANNED AND UNPLANNED OUTAGES

The air traffic manager (ATM) must develop and maintain guidelines to provide continuity of required services during planned and, to the degree possible, during unplanned outages.

a. The ATM must collaborate with Technical Operations (Tech Ops) during any projected planned maintenance tasks that may impact air traffic control (ATC). The ATM must ensure affected air traffic stakeholders or appropriate subject matter experts (SMEs) are notified of planning meetings.

b. The ATM must review all project risk plans (PRP) received from Tech Ops. A PRP is a living document that promotes coordination and communication and reduces the risk to the National Airspace System (NAS)

associated with project implementation. After review, the ATM must forward concur or non-concur via the notification email or directly through the corporate work plan portal link provided in the email. The ATM may forward questions or comments regarding the PRP directly through the notification email or by contacting the point of contact identified in the notification email.

c. Facility Standard Operating Procedures (SOP) must include the use of the Operational Risk Management Plan (ORMP), which is the formal document for review and approval that includes the plan for ATC to protect continuity of service.

NOTE–

Operational Risk Management (ORM) training is available via eLMS.

1. The ORMP must be used in conjunction with local procedures to support the completion of formal ORM maintenance activities and projects.

2. Certain maintenance tasks that do not meet the criteria identified in subparagraph c1 may still have the potential for operational consequences locally. Air Traffic and Technical Operations should jointly identify these additional maintenance activities that will require an ORMP.

d. The ATM must develop an ORM section in the facility SOP. The facility SOP must identify persons or positions authorized to review and/or approve ORMPs for the facility. Additionally, the SOP must identify communication procedures to ensure team members are notified in a timely manner of their team participation responsibilities.

e. All air traffic personnel identified in an ORMP are team members. Additional team members may be added for informational and increased situational awareness purposes and should address any concerns through the point of contact (POC)/reviewer or approver. The required air traffic team members consist of POC/reviewer and approver. Air traffic team members must:

1. Add additional team members as necessary.
2. Participate in ORMP meetings.
3. Review and comment on the ORMP.
4. Assess operational risks, identify any conflicting activities, and propose mitigations.
5. Maintain situational awareness until completion of the activity.
6. Contact the air traffic POC if the situation changes or the ORMP requires reassessment.

f. The air traffic POC/reviewer is responsible for coordination of the ORMP meeting with all affected air traffic stakeholders. The air traffic POC/reviewer:

1. Reviews the composition of the ORMP team and ensures the appropriate air traffic team members and/or air traffic approver have been assigned. When more than one facility is affected, ORMPs may require multiple reviewers or approvers.

2. Adds team members as appropriate.
3. Participates in ORMP meetings.

4. Ensures the completeness and feasibility of executing the ORMP, (shares responsibility with the air traffic approver).

5. Identifies any conflicting activities.

6. When the ORMP has been submitted for Air Traffic review, completes the air traffic mitigation plan element and submits the ORMP for approval. The System Support Center (SSC) manager will submit the plan to the Air Traffic and Tech Ops approvers.

7. Ensures the affected air traffic personnel are briefed and prepared to implement mitigations prior to commencing work.

g. The Air Traffic and Tech Ops approvers are responsible for the final review of the ORMP. Plans approved by Air Traffic and Tech Ops approvers are forwarded to Tech Ops personnel to perform the agreed-upon work. If a plan is not approved, the approver will select the Take 5 button in the ORMP tool and will notify the SSC manager or the initiator of their concern. The approvers:

1. Ensure the completeness and feasibility of executing the ORMP (shared responsibility with the air traffic POC/reviewer).
2. Approve the ORMP or select the Take 5 button with comments for additional consideration or follow-up.
3. Change role assignments or team members as necessary.
4. Identify any conflicting activities.
5. Ensure the High Visibility Event flag is set when it meets the appropriate definition outlined below.

NOTE–

High Visibility Events are those that require upper management awareness because of their potentially significant impact on the NAS. These are events that if the worst-case scenario occurs, even with mitigations in place, could cause a hazardous situation in the NAS, change Operational Contingency Level (OCL), create a significant increase in workload for ATC, or cause aircraft to be held or diverted, especially at High Impact facilities.

h. The majority of interactions with Tech Ops will not involve a PRP or an ORMP. Therefore, the facility must develop and incorporate procedures into the facility SOP for the coordination of maintenance activities which may affect the ability of the facility to provide air traffic services. These procedures must be consistent with the Principles of ORM outlined below and take into consideration the facility's unique operational circumstances. Air traffic personnel will use these procedures when coordinating and executing planned outages and maintenance tasks with Tech Ops.

i. Principles of ORM.

1. Situational Awareness. Understand the current state and dynamics of the operation and remain vigilant for future changes and developments. Considerations include:

- (a) Peak and off-peak traffic periods.
- (b) Weather conditions.
- (c) Known concurrent activities that could impact, or be impacted by this activity. Example: VIP movement, airshows, other outages, etc.
- (d) Additional outages in your facility or adjacent facility.
- (e) Current staffing/operational oversight.
- (f) Other communication/surveillance equipment available as an alternate means of providing air traffic services.

2. Plan Actions. The method and resources needed to accomplish the activity. Considerations include:

- (a) Review break rotations/staffing plan to ensure positions are staffed accordingly.
- (b) Review applicable (e.g., FAA Order JO 1900.47) Air Traffic Control Operational Contingency Plans.
- (c) Brief affected staff prior to outages of the credible risks and potential impacts including worst-case scenarios and alternate procedures.
- (d) Identify the Tech Ops POC if immediate contact is needed.
- (e) Test back-up equipment before releasing the primary equipment to be worked on (where applicable).

3. Identify operational consequences. Identify the NAS systems and air traffic stakeholders that will, or could potentially be affected during the execution of the plan. Considerations include:

- (a) Credible risks and potential impacts including worst-case scenarios that could affect air traffic's ability to provide service.

(b) Affected facilities, sectors/areas, positions, or other stakeholders participating in, or potentially impacted by the activity.

(c) Adverse effects to ATC personnel safety.

4. Communicate. An ongoing exchange of information between Technical Operations and air traffic personnel is essential for the review of the potential operational consequences and development of mitigation strategies. The information must be received, understood, and, in some cases, approved. Considerations include:

(a) Identified credible risks and potential impacts including worst-case scenarios.

(b) Mitigation Strategies.

(1) Include using the back-up equipment/systems, alternate channels, etc.

(2) Confirm proper operation of support equipment, standby equipment and/or backup systems prior to conducting the scheduled activity.

(3) Confirm Technical Operations and Air Traffic are prepared to implement their mitigation strategies.

(c) Notify Tech Ops immediately of any circumstances that may affect the procedure/task, e.g., change in operational hours, unusual circumstances, or operational configurations.

(d) “Take-5,” if needed (to gain more information or reassess approval).

(e) Discuss and/or document effectiveness of plan for future reference or training.

5. Coordinate. Considerations include:

(a) Coordinating the activity with the appropriate adjacent facilities.

(b) Additional coordination and notification requirements should there be a change to planned activity.

(c) Notify Regional Operations Center (ROC), Domestic Events Network (DEN), or facility management (when applicable).

(d) Verify the equipment status and configuration upon completion of the activity.

(e) Ensuring that Out for Maintenance (OFM) and Return to Service (RTS) are recorded on FAA Form 7230-4, Daily Record of Facility Operations.

j. For unplanned outages, air traffic managers must develop and maintain operational plans that provide continuity of services to the extent dictated by the outage. The plans must be in accordance with FAA Order JO 1900.47.

k. For unplanned outages of airport traffic control towers, air traffic managers, in coordination with the local airport operator, must ensure operational plans for the temporary use of Common Traffic Advisory Frequency (CTAF) do not exceed 48 hours, unless an extension is approved by the Service Area Director of Operations because of unforeseen extenuating circumstances.

REFERENCE–

FAA Order JO 1900.47, *Air Traffic Control Operational Contingency Plans*.
14 CFR 91.129, *Operations in Class D airspace*.

2-1-8. OPERATIONS DURING A STAFFING CONSTRAINT

The following steps must be followed when traffic management initiatives (TMI), ATC-0, or any reduction in ATC services are being considered due to staffing constraints:

a. The Air Traffic Manager (ATM) or designee must contact the General Manager (GM) or Assistant General Manager (AGM) or designee and provide the factors of the staffing shortage, expected duration, facility mitigations implemented, and any other related information. If the situation can be mitigated by other means and no TMIs, ATC-0 declaration, or reduction in services is required, the GM or AGM or

designee will determine if a Staffing Trigger report should be initiated and coordinated with the Director of Operations (DO), Deputy Director of Operations (DDO), or designee.

b. If it is determined that TMIs are required, ATC-0 is unavoidable, or a reduction in services is required, then the GM, AGM, or designee must notify the DO, DDO, or designee for their concurrence. The GM or AGM or designee must obtain DO, DDO, or designee approval before submitting a Staffing Trigger report to the National Operations Manager (NOM) and Joint Air Traffic Operations Command (JATOC).

NOTE–

1. *Situations involving a minor disruption of air traffic services or a short duration ATC-0 situation that does not have an impact on the NAS should be reported to the DO, DDO, or designee. The DO, DDO, or designee will determine if a Staffing Trigger report is to be submitted to the NOM. (e.g., a facility is opening a few minutes late without flight delays, airborne holding, or flight diversions.)*

2. *The Staffing Trigger report is a collection of key data elements related to a staffing constraint that is captured and available for the JATOC and NOM for upward distribution. The Staffing Trigger report application is accessible at: <https://AJTStaffingTriggers.FAA.gov>.*

REFERENCE–

FAA Order JO 7110.65, Para 11-1-2, Duties and Responsibilities.

FAA Order JO 7210.3, Chapter 18, Section 7, Traffic Management Initiatives.

2-1-9. HANDLING BOMB THREAT INCIDENTS

Air Traffic facilities must establish procedures to carry out their functions in accordance with FAA Order 1600.6, Physical Security Management Program. The following provisions must be incorporated into facility plans:

a. All air traffic facilities must notify the respective regional operations center and other appropriate Service Area office element when a bomb threat occurs.

b. All personnel in the facility will be advised when a bomb threat has been received and of pertinent information regarding the bomb threat.

c. The decision to evacuate a facility will be made by the air traffic manager or his/her designee.

d. If the decision is made to evacuate and air safety is not a factor, immediately release nonessential personnel, instruct aircraft to contact the appropriate facility designated in the facility contingency plan, advise adjacent facilities as appropriate (ARTCCs should advise the ATCSCC of pending evacuation), broadcast that the facility is being evacuated, and evacuate the building.

e. If the decision is made to evacuate and air safety is a factor, immediately release nonessential personnel, resolve traffic conflicts (aircraft on radar vectors should be cleared to resume normal navigation), instruct aircraft to contact the appropriate facility designated in the facility contingency plan, advise adjacent facilities (ARTCCs should advise the ATCSCC), broadcast that the facility is being evacuated, and evacuate the building as rapidly as personnel can be released. The appropriate actions should be accomplished quickly to minimize personnel exposure. Further, the air traffic manager or his/her designee will determine which personnel will remain on duty until the traffic situation is resolved. Personnel designated to perform this function normally will be selected from the supervisory ranks or persons volunteering temporary services. To be effective this action should be planned in advance. There are various ways in which this can be accomplished. One simple method is that at the beginning of each watch, supervisors will plan their watch coverage should the need to evacuate arise.

f. The evacuation plans will also include recall procedures.

g. Consideration should be given to establishing an alternate site to provide limited flight service or airport air traffic and approach control services.

NOTE–

Processes for the establishment of alternate sites and divestiture of airspace/responsibilities are outlined in FAA Order JO 1900.47 and facility Operational Contingency Plans (OCPs).

h. During bomb threat situations, facility air traffic managers or their designees should exercise discretion regarding admittance of visitors to their facilities.

i. Facilities will take action to increase the security whenever such action is feasible. Measures to protect administrative and operational areas and equipment rooms should be taken. FAA Order 1600.6, Physical Security Management Program, provides additional guidance for the protection of agency facilities, installations, equipment, etc. Examples are:

1. Increase security forces and measures.
2. Ensure that facilities are kept tidy so that out-of-place articles can be easily detected. This concept should be emphasized to all personnel including contractors and their employees.
3. Room or area monitors can be assigned to “look over” the area at frequent intervals for suspicious objects. In this regard, air traffic personnel assigned temporary administrative duties would be given building warden responsibilities.

REFERENCE–

FAA Order JO 7210.3, Para 2–8–2, Medical Clearance Requirements.

4. Outside areas should be kept as neat as possible. Landscaping should, if possible, be done in a manner that will not enhance clandestine activities.

j. Although it is envisioned that the foregoing will be accomplished within existing resources, planning (including budgeting) should be initiated to establish a secure environment.

k. Release information on bomb threat incidents in accordance with the procedures established in current directives. Where no applicable procedures have been established, all information must be treated as “For Official Use Only.”

2–1–10. HANDLING MANPADS INCIDENTS

a. Air traffic managers must coordinate with federal, local, and other law enforcement agencies, as needed, to develop notification and contingency plans during a threat or attack from Man-Portable Air Defense Systems (MANPADS).

b. Air traffic managers must establish procedures to ensure the dissemination of MANPADS alert level 2 (credible threat)/alert level 3 (reported attack) and post-event activity via ATIS and/or controller-to-pilot transmissions. These reports must continue until notified otherwise by the Domestic Events Network (DEN) Air Traffic Security Coordinator (ATSC).

REFERENCE–

FAA Order JO 7110.65, Para 2–9–3, Content.

FAA Order JO 7110.65, Para 10–2–13, MANPADS Alert.

FAA Order JO 7610.4, Para 3–1–3, Responsibilities.

c. Air traffic managers must ensure the Operations Manager/OS/controller-in-charge (CIC) notifies the DEN ATSC of any MANPADS threat or attack as soon as possible. In the event of an observed or reported MANPADS launch, the initial report to the DEN ATSC must include the following information:

1. Call sign (if known);
2. Type aircraft (if known);
3. Coordinated Universal time;
4. Position/location of event;
5. Altitude (if known); and
6. Any other pertinent information (e.g., contrail sighting, additional pilot or ATC observation reports, law enforcement contact, etc.).

2–1–11. AIRPORT EMERGENCY PLANS

a. Operational instructions covering airport emergency service at airports served by an ATCT and/or FSS must be issued by the air traffic manager (the ATCT manager at airports with both facilities) in the form of a LOA.

Procedures and/or LOAs for alerting airport emergency equipment at other public-use airports served by the ATCT and/or FSS must also be developed, if deemed appropriate.

NOTE–

Facility managers or their designee should meet with Airport Rescue and Fire Fighting (ARFF) personnel on an annual basis to review the local airport emergency service LOA and the effectiveness of local procedures.

REFERENCE–

FAA Advisory Circular AC 150/5210–7, Aircraft Rescue and Fire Fighting Communications.

b. Responsibility for the prompt dispatch of equipment upon alert notice by the FAA ATCT or the FSSs is the joint responsibility of the airport management and the emergency equipment operator. The amount of equipment and number of personnel responding to the emergency will be determined by the equipment operator and should be kept to the minimum required. After receiving the alert and the route to be taken, the personnel operating the equipment are responsible for handling the emergency.

c. Procedures for alerting airport emergency equipment, including additional equipment which may be located off the airport, must consist only of:

1. Stating the nature and the location of the emergency by means of a signalling system; e.g., a siren and/or telephone. When required, the tower must indicate the route to be taken by the emergency equipment. FSSs must not specify such routes.

2. Specifying, when required, the category of alert applicable to the emergency.

3. Initiating the alert when, in the opinion of any of the following, a potential or actual emergency exists:

(a) The FAA specialists on duty.

(b) The pilot of the aircraft concerned.

(c) The operator of the aircraft or his/her representative.

(d) A representative of the airport management.

d. Alert Phases: Operations personnel may categorize local alerts if the category or phase designations have been coordinated locally and agreed to. It may be desirable for emergency equipment to be alerted on a standby or ready basis by use of a two-phase or three-phase alert system, but keep these actions as inconspicuous as possible without impairing efficiency. A three-phase alert may be set up as follows:

1. Alert I: Indicating an aircraft approaching the airport is in minor difficulty; e.g., feathered propeller, oil leak, etc. The emergency equipment and crews would standby at the equipment house for further instructions.

2. Alert II: Indicating an aircraft approaching the airport is in major difficulty; e.g., engine on fire, faulty landing gear, no hydraulic pressure, etc. This could mean emergency equipment would proceed to a predetermined location (end of runway, etc.) to await development of the potential emergency.

3. Alert III: Indicating an aircraft involved in an accident on or near the airport and emergency equipment should proceed immediately to the scene.

e. After alerting the emergency equipment, notify only the local aircraft operator or his/her representative and the airport management.

NOTE–

Airport management is responsible for notifying other agencies or personnel.

REFERENCE–

Advisory Circular AC 150/5210–7, Aircraft Rescue and Fire Fighting Communications.

2–1–12. EXPLOSIVES DETECTION K–9 TEAMS

At many of our major airports a program has been established by the FAA and the Law Enforcement Assistance Administration to make available an explosives detection K–9 team. ATC facilities must take the following actions should they receive an aircraft request for the location of the nearest explosives detection K–9 team:

- a. The facility will relay the pilot's request to the FAA Washington Operations Center, AEO-100, telephone: commercial (202) 267-3333; ETN 521-0111; or DSN 851-3750 providing the aircraft's identification and position.
- b. AEO-100 will provide the facility with the nearest location. The facility will have AEO-100 standby while the information is relayed to the pilot.
- c. After it has been determined that the aircraft wishes to divert to the airport location provided, the air traffic facility will ascertain estimated arrival time and advise AEO-100. AEO-100 will then notify the appropriate airport authority at the diversion airport. In the event the K-9 team is not available at this airport, AEO-100 will relay this information to the air traffic facility providing them with the secondary location. ATC will then relay this to the pilot concerned for appropriate action.

2-1-13. INTERSECTION TAKEOFFS

Air traffic managers at ATCTs and at FSS facilities that provide LAA will prepare an airport diagram showing intersection takeoff information as follows:

- a. Indicate the actual remaining runway length from each intersection; round all actual measurements "down" to the nearest 50-feet. Obtain measurements from an authentic source and record them on the diagram.

NOTE-

Some airports publish "declared distances" for a particular runway. These are published in the Chart Supplement U.S. or the Aeronautical Information Publication (AIP), and there is no requirement that facility personnel be made aware of them. These distances are a means of satisfying airport design criteria and are intended to be used by pilots and/or operators for preflight performance planning only. There are no special markings, signage, or lighting associated with declared distances, and they do not limit the actual runway available for use by an aircraft. Therefore, they cannot be used for any air traffic control purpose. If pilots inquire about the existence of declared distances, refer them to the Chart Supplement U.S. or the AIP.

- b. If the airport authority requests that certain intersection takeoffs be denied, so indicate on the diagram.

EXAMPLE-

/NO TKOFF/

- c. Indicate any access points to a runway from which an intersection takeoff may be made.

2-1-14. AIRCRAFT IDENTIFICATION PROBLEMS

FAA CONTRACT TOWERS NOT APPLICABLE

To reduce any potential misunderstandings of aircraft identifications caused by duplicate, phonetically similar-sounding, or hard to distinguish registration numbers or call signs operating in the same area, facility managers must ensure that those occurrences are processed using the Similar Sounding Call Sign Submission Tool. Where possible, facility managers must ensure computers in operating quarters are provided with a bookmarked hyperlink to <https://ksn2.faa.gov/ATO/AJT-BURST-Team-Tools/SSCS/SitePages/Home.aspx>. Where no internet-connected computers are accessible in operations areas, specify procedures in a facility directive for forwarding pertinent information to personnel that can make the entry into the tool as soon as practical. Ensure that the following additional actions are taken.

- a. Scheduled air carrier aircraft: When two or more air carriers with duplicate flight numbers or phonetically similar-sounding call signs operate within 30 minutes of each other at the same airport or within the same sector and cause an identification problem on a recurring basis, request that the flight identification numbers be changed by:

NOTE-

Recurrent situations would be aircraft proceeding primarily the same direction through the same sectors three or more times a week, at least two weeks out of four consecutive weeks.

- 1. For carriers listed at the following web address, <http://tfms.faa.gov/airlinephones.html>, contact the appropriate airline office.

2. For carriers not listed on the website, contact the operator or the chief pilot of the carrier concerned. Changes to the list can be provided to the ATCSCC Facility Automation Office via the Traffic Management Officer (TMO) or the Deputy Director of System Operations (DDSO).

b. *Military aircraft*: Contact base operations of the departure airport and request that action be taken to have the flight identifications changed when duplicate, phonetically similar, or hard to distinguish call signs are causing a flight identification problem. If additional assistance is required, immediately advise the military representative assigned to the Service Area office.

c. Civil aircraft other than air carrier: Advise Mission Support Services, Aeronautical Information Services, at Callsigns@faa.gov when two or more designated call signs are found to be phonetically similar or difficult to pronounce and are causing a flight identification problem.

d. The designated facility officer must maintain a record of actions taken using the Similar Sounding Call Sign Documentation Tool accessed via <https://ksn2.faa.gov/ATO/AJT-BURST-Team-Tools/SSCS/SitePages/Home.aspx>.

2-1-15. APPROACH CONTROL AIRSPACE

With the advancement of technologies, the air traffic services provided by en route facilities and terminal facilities are becoming more integrated. Terminal airspace should be adjusted to match the services provided. Although en route services are an ARTCC function, terminal facilities may be expected to provide some en route service. There are some areas in which an ARTCC may not have adequate radar coverage or resources, and in these areas it may be necessary to expand the terminal airspace to provide service. Conversely, at locations with nonradar approach control facilities, en route facilities may have radar coverage, and better service would be provided if some approach control airspace is recalled to the ARTCC. At certain locations, the en route facility may be able to absorb all the airspace of a nonradar approach control. Prior to implementing airspace changes, en route and terminal facility managers must work together to ensure the delegated approach control airspace best meets the needs of the airspace area.

2-1-16. AUTHORIZATION FOR SEPARATION SERVICES BY TOWERS

a. Nonapproach control towers, not equipped with a tower radar display, may be authorized to provide appropriate separation between consecutive departures based upon time or diverging courses, and between arrivals and departures, provided:

1. A LOA exists with the IFR facility having control jurisdiction which authorizes the separation responsibilities and prescribes the procedures to be used;

2. The agreement has been approved by the Area Director of Terminal Operations; and

3. There is no delegation of airspace to the tower.

b. Towers equipped with certified tower radar displays (CTRD) may be authorized to provide separation services in accordance with paragraph 10-5-3, Functional Use of Certified Tower Radar Displays.

c. An authorization for towers to provide separation services other than those prescribed in subparagraphs a and b must be supported by a staff study prepared by the authorizing facility or the Terminal Operations Service Area office which addresses at least:

1. The proposed procedures.

2. Operational benefits.

3. Operational impact.

4. Why the IFR facility is unable to provide an equal or superior level of service without the delegation.

5. Improved services to users.

6. Additional radar training.

7. The measures taken to ensure that the local controller's ability to satisfy the FAA's air traffic responsibilities regarding aircraft operating on the runways or within the surface area is not impaired.

8. On-site spares, maintenance support/restoration requirements.

9. Savings and/or additional costs.

10. The number of additional people required.

d. The staff study must, following the Terminal Operations Service Area review and concurrence, be forwarded to Terminal Services through System Operations Planning, and System Safety and Procedures for approval. System Operations Planning will coordinate with all affected Technical Operations Services Area Service Directors prior to finalizing their comments and recommendations.

2-1-17. BIRD HAZARDS

The air traffic manager of the ATCT must establish procedures to:

a. Ensure that any reported bird strikes or trend toward an increase in bird activity on or around the airport served by the ATCT are reported to airport management.

b. Ensure that coordination will be accomplished with airport management for the possible issuance of NOTAMs when flocks of birds roost on the runways.

NOTE-

It is the responsibility of airport management to issue any such NOTAMs.

c. Participate in local bird hazard programs when established by airport management.

2-1-18. PROHIBITED/RESTRICTED AREAS AND STATIONARY ALTRVS

FAA Order JO 7110.65, Air Traffic Control, prescribes separation requirements from special use, ATC-assigned airspace, and stationary ALTRVs. The intent in prescribing this separation requirement is to establish separation minima between nonparticipating aircraft and certain aircraft operations inside that airspace. Some prohibited/restricted areas and stationary ALTRVs are established for security reasons or to contain hazardous activities, and do not require a boundary separation minima. These areas may be exempted from vertical and lateral separation minima when identified by facility management. In making a determination to exempt specific areas, air traffic facility managers must be guided by the following:

a. Determine the exact nature of prohibited/ restricted area and stationary ALTRV utilization through direct liaison with the using agency.

b. Coordinate with the Service Center during the analysis of area utilization.

c. The following types of activity are examples of restricted area utilization which may not require application of boundary separation minima:

1. Explosives detonation.

2. Ground firing of various types.

3. VFR aircraft operations associated with the above but only in a safety, observer, or command and control capacity.

4. VFR aircraft, not directly engaging in activity for which the airspace is activated, that have been authorized by the using agency.

d. If area utilization varies between aircraft operations and other types of activity as described above, do not exempt the area from separation requirements unless a significant operational advantage can be obtained.

e. Restricted airspace with the same number but different letter suffixes are considered to be separate restricted areas. However, treat these types as one restricted area for the purpose of identifying areas for exemption from separation requirements in order to simplify application of separation minima unless a significant operational advantage can be obtained.

2-1-19. SPECIAL ACTIVITY AIRSPACE (SAA) SCHEDULING, COORDINATION, AND DISSEMINATION

Air Traffic Managers (ATMs) must develop procedures for SAA information and integrate them into facility Standard Operating Procedures (SOPs) and Letters of Agreement (LOAs). The following processing actions must be included in SOPs and LOAs.

- a. SAA Scheduling/Airspace Request Processing.
 - 1. Receive and process requests for SAA (e.g., times and altitudes).
 - 2. Check the Special Use Airspace Management System (SAMS) or other information sources to obtain SAA schedules/changes.
 - 3. SAA schedule verification/approval and conflict resolution.
- b. SAA Implementation Coordination Process and impacted organizations.
 - 1. Department of Defense (DoD) facilities.
 - 2. FAA ATC facilities.
 - 3. Air Traffic Control System Command Center (ATCSCC) Central Altitude Reservation Function (CARF).
 - 4. Others (e.g., Department of Energy [DOE], National Aeronautics and Space Administration [NASA], and other civilian entities).
- c. Activation/Deactivation/Change Dissemination Procedures.
 - 1. Enter SAA information in FAA systems.
 - 2. Methods for distributing SAA information to external ATC facilities (e.g., GI message).
 - 3. Methods of intra-facility dissemination of SAA information.
 - 4. Publishing to Notices to Air Missions (NOTAMs), if applicable.

2-1-20. SPECIAL AIR TRAFFIC RULES (SATR) AND SPECIAL FLIGHT RULES AREA (SFRA)

The Code of Federal Regulations prescribes special air traffic rules for aircraft operating within the boundaries of certain designated airspace. These areas are listed in 14 CFR Part 93 and can be found throughout the NAS. Procedures, nature of operations, configuration, size, and density of traffic vary among the identified areas.

a. Special Flight Rules Areas are areas of airspace wherein the flight of aircraft is subject to special air traffic rules set forth in 14 CFR Part 93, unless otherwise authorized by air traffic control. Not all areas listed in 14 CFR Part 93 are Special Flight Rules Areas, but special air traffic rules apply to all areas designated as SFRA.

REFERENCE-

14 CFR Part 93, Special Air Traffic Rules.

P/CG, SPECIAL AIR TRAFFIC RULES (SATR).

P/CG, SPECIAL FLIGHT RULES AREA (SFRA).

b. Each person operating an aircraft to, from, or within airspace designated as a SATR area or SFRA must adhere to the special air traffic rules set forth in 14 CFR Part 93, as applicable, unless otherwise authorized or required by ATC.

2-1-21. ATC SECURITY SERVICES FOR THE WASHINGTON, DC, SPECIAL FLIGHT RULES AREA (DC SFRA)

ATC security services are designed to support the national security mission of the FAA and other agencies. A designated security services position has area responsibility for the purpose of security service. Such positions do not have airspace jurisdiction and are not ATC operational positions for purposes beyond the scope of this section, for example, transfer of control, communications, point-out, etc.

a. The OS/CIC must report all instances of loss of radio communication, intermittent transponder or transponder/Mode C failure, the inability to security track aircraft, and other unusual IFR/VFR flight information to the Domestic Events Network (DEN) through the appropriate lines of communication. Some examples are, but are not limited to; suspicious activities, deviation from assigned course/altitude, or other equipment malfunction that may cause an aircraft to operate in an unexpected manner. Relay all known information regarding the aircraft.

b. ATC Security Services Position: ATC Security Services Position is responsible for providing ATC security services as defined. This position does not provide air traffic control IFR separation or VFR flight following services, but is responsible for providing security services in an area comprising airspace assigned to one or more ATC operating sectors and as such, normal airspace jurisdictional constraints do not apply.

c. Facility manager must:

1. Designate in a facility directive which existing position(s) and frequencies will be utilized to provide Security Services when required and the transition procedures from the ATC operational status to the Security Services Position.

2. Ensure that contingency plan parent and support procedures are updated regarding operational capability level (OCL) changes that affect Special Security Areas.

NOTE-

The requirement to establish an ATC Security Services Position in addition to ATC operating position does not by itself constitute a need for additional staffing nor is its purposes intended to justify or deny facility staffing needs.

d. When the Security Services position and the ATC Operating position are both staffed, detailed position responsibilities must be defined in the facility directive.

NOTE-

Airspace sectorization and the workload associated with the normal use of that airspace may degrade the ability of an ATC operation position to provide security services. When this occurs, pilots must be held outside of the security services area in accordance with FAA Order JO 7110.65, paragraph 9-2-1, Aircraft Carrying Dangerous Materials, subparagraph b2.

1. When an ATC Security Services Position is not separately staffed, the appropriate ATC operating position responsible for that airspace will assume the security service responsibilities.

2. Requests for ATC services to VFR aircraft operating within the designated area to enter positive controlled airspace must be issued by the appropriate radar position in accordance with FAA Order JO 7110.65, Air Traffic Control, and other applicable directives.

e. Adjacent Airport Operations.

1. Aircraft that will enter the designated airspace after departing controlled airports within or adjacent to security areas must be provided security services by the appropriate ATC facility having jurisdiction over the affected airspace. Procedures for handling this situation must be covered in a Letter of Agreement (LOA) or facility directive as appropriate.

2. Aircraft departing uncontrolled airports within security areas must be handled using procedures contained in a NOTAM or rule designating the area where ATC security services are required.

2-1-22. AIRPORT TRAFFIC PATTERNS

a. The Service Area Directors of Air Traffic Operations are the focal point to review traffic patterns. Traffic patterns at airports without an operating control tower should be established in accordance with Advisory Circular, AC 90-66, Non-Towered Airport Flight Operations.

b. FAA Order JO 7400.2, Procedures for Handling Airspace Matters, will be the source for handling technical matters pertaining to the establishment or the revision of traffic patterns.

2-1-23. OBSTACLE IDENTIFICATION SURFACES, OBSTACLE FREE ZONES, RUNWAY SAFETY AREAS, APPROACH/ DEPARTURE HOLD AREAS, AND CLEARWAYS

a. Facility air traffic managers must monitor planned airport construction projects, work with the regional airports office and the airport manager in determining the need to modify any taxi routes normally used, and request notification from the airport manager when adequate signage and marking are completed on the new/different taxi routes, while ensuring that local procedures provide protected airspace from adjacent, nonintersecting runways and taxiways where simultaneous use could create hazards for arriving and departing aircraft. These procedures must be reviewed whenever new runways or taxiways are programmed or whenever new/different aircraft are scheduled to provide service to the airport.

b. Ensure that aircraft on the ground do not penetrate marked Obstacle Identification Surfaces, Obstacle Free Zones, Runway Safety Areas, Approach/Departure Hold Areas, Clearways, or other airspace designed to provide protection for departures and arrivals.

c. At locations where potential for conflict exists, take action to rectify the situation by developing proposed solutions and establishing local procedures to define conditions when the Approach/Departure Hold Areas and other surfaces must be protected. These procedures must be included in a facility directive and the signage at the intended hold position must be consistent with the phraseology identified in FAA Order JO 7110.65, paragraph 3-7-2, Taxi and Ground Movement Operations.

d. ATMs must consult with the airport authority, Flight Standards, Airports, and the Regional Runway Safety Program Manager (RSPM) when developing proposed solutions and establishing local procedures. The RSPM will assist the ATM, as needed, in initiating contact with Flight Standards and Airports.

REFERENCE-

P/CG Term – Approach/Departure Hold.

2-1-24. FACILITY IDENTIFICATION

a. Service Area Directors are the focal point to review/approve requests for waivers for facility identification changes in FAA Order JO 7110.65, Air Traffic Control, paragraph 2-4-19, Facility Identification, subparagraphs a, b, and c. The Flight Service Safety and Operations Group (AJR-B100) is the focal point to review/approve requests for waivers for facility identification changes in FAA Order JO 7110.10, Flight Services, paragraph 2-5-2, Facility Identification. If the waiver request is approved, the Service Area Director or the Director of Flight Service, as appropriate, must ensure that all aeronautical publications are changed to reflect the new identification and that a Letter to Airmen is published notifying the users of the change.

b. Service Area Directors must forward a copy of the approval to System Operations Services.

2-1-25. DISPOSITION OF OBSOLETE CHARTS

a. Obsolete charts may only be disposed of by destroying, including recycling, or by giving to flight schools and other training institutions where the charts are to be used only for training in the classroom. Under no circumstances should obsolete charts be given to pilots or the general public, regardless if they are marked obsolete or not.

b. There are hundreds of changes that appear on each new edition of a chart. When pilots are given obsolete charts they are not aware of critical changes that have occurred. Further, the use of such a chart could result in

a Code of Federal Regulations (CFR) violation or an accident which would have serious legal implications for the agency.

2-1-26. OUTDOOR LASER DEMONSTRATIONS

- a. The Area Directors of Terminal Operations Services are the focal point for reviewing/approving requests for outdoor laser demonstrations.
- b. FAA Order JO 7400.2, Procedures for Handling Airspace Matters, is the source for processing outdoor laser demonstration requests.

2-1-27. COMBINE/RECOMBINE AN ATCT/TRACON

Prior to consideration for any ATCT/TRACON to combine or recombine, a detailed staff study will be required from the facility explaining the benefit to the agency and the customer. After the Terminal Operations Service Area office review, the staff study must be forwarded to the Director of Terminal Planning. A decision to combine or recombine an ATCT/TRACON will require coordination with the ATO Chief Operating Officer.

2-1-28. SUBMISSION OF AIR TRAFFIC CONTROL ASSIGNED AIRSPACE (ATCAA) DATA

Air Traffic Service Area offices submit data on all ATCAAs used on a continuing/constant basis, and any subsequent changes to the ATCAA database to System Operations Airspace and Aeronautical Information Management for the purpose of updating the Special Use Airspace Management System (SAMS) and Aeronautical Information System. Include the following as applicable:

- a. Transmittal memorandum containing a brief overview of the ATCAA, and/or changes to, FAA headquarters, and System Operations Airspace and Aeronautical Information Services. Summarize the ATCAAs or any amendments made to ATCAAs including additional changes, etc.
- b. A separate attachment that contains a description of the area to include latitude/longitude points, boundaries, altitudes, times, controlling agency, using agency, and any other relative information.

NOTE-

If only part of the description of an existing area is being amended, the attachment should show just the changed information rather than the full legal description.

- c. A sectional aeronautical chart depicting the final boundaries of the proposed area, including any subdivisions.
- d. Any other information that should be considered by FAA headquarters.

NOTE-

ATCAA descriptive data will normally be submitted 9 weeks prior to the requested/required airspace effective date.

2-1-29. SUBMISSION OF SUA AND PAJA FREQUENCY INFORMATION

The Aeronautical Information Services maintain a national database of Special Use Airspace (SUA) and Parachute Jump Area (PAJA) controlling sector contact information. The database is used to publish frequencies for pilots to obtain status information for SUAs and PAJAs. Facility managers should ensure that the following information is forwarded to Aeronautical Information Services:

- a. Contact frequencies for existing SUAs and PAJAs within your area of jurisdiction.
- b. Any changes to contact frequencies for existing SUAs and PAJAs within your area of jurisdiction.
- c. Contact frequencies for any new SUAs or PAJAs within your area of jurisdiction.

2-1-30. REPORTING UNAUTHORIZED LASER ILLUMINATION OF AIRCRAFT

Consistent with the provisions of Air Traffic Service, Duty and Operational Priorities; all Air Traffic Control facilities, FAA Contract Towers, and Flight Service Stations must report unauthorized laser illumination incidents as follows:

- a. Contact local law enforcement or the Federal Bureau of Investigation (FBI) as soon as possible providing location, description, and other pertinent information regarding the incident;
- b. Report the incident to the Domestic Events Network (DEN) Air Traffic Security Coordinator (ATSC);
- c. Record the incident via the Comprehensive Electronic Data Analysis and Reporting (CEDAR) program or, if CEDAR is not available, via the appropriate means, in accordance with FAA Order JO 7210.632, Air Traffic Organization Occurrence Reporting;
- d. Provide the following information when reporting the incident via the DEN and CEDAR:
 1. UTC date and time of event.
 2. Call Sign, or aircraft registration number.
 3. Type of aircraft.
 4. Nearest major city.
 5. Altitude.
 6. Location of event (e.g., latitude/longitude and/or Fixed Radial Distance (FRD)).
 7. Brief description of the event.
 8. Any other pertinent information.
 9. Law enforcement contact information.

NOTE—

Facilities without direct access to the DEN should forward the information through the Washington Operations Center Complex (WOCC) to the DEN.

REFERENCE—

FAA Order JO 7110.65, Para 2–9–3, Content.

FAA Order JO 7110.65, Para 10–2–14, Unauthorized Laser Illumination of Aircraft.

2–1–31. REPORTING SUSPICIOUS AIRCRAFT/PILOT ACTIVITIES

- a. Facility air traffic managers must ensure that the operational supervisor/controller-in-charge promptly reports any suspicious aircraft/pilot activities to the Domestic Events Network (DEN) Air Traffic Security Coordinator (ATSC).

NOTE—

Additional information for ATC on identifying suspicious situations is located in FAA Order JO 7610.4, Sensitive Procedures and Requirements for Special Operations, Chapter 7, Section 3, Suspicious Aircraft/Pilot Activity.

- b. The DEN ATSC must be notified as soon as possible of any suspicious activity, including the following:
 1. Radio communications are lost or not established. Consider any IFR aircraft that is NORDO for more than 5 minutes as suspicious. This includes all aircraft (for example, general aviation, law enforcement, military, medevac) regardless of transponder code. ATC actions taken to establish communications with the NORDO aircraft must be reported to the DEN ATSC.
 2. An aircraft fails to turn on or changes from its assigned transponder beacon code (other than approved emergency/radio failure beacon code).
 3. An aircraft deviates from its assigned route of flight/altitude and refuses to return to it when instructed.
 4. Phantom or inappropriate transmissions such as unusual questions about military activities or sensitive/secure areas.
 5. Inconsistent or abnormal repetitive aircraft activity such as; flights over/near sites of interest or prohibited/restricted airspace, inappropriate speed or rate of climb/descent, or missed crossing restrictions or reporting points.

6. Pilot reports flight difficulties with no eventual explanation or response to ATC.
7. Any air carrier, cargo, or scheduled air taxi that requests to divert from its original destination or route for any reason other than weather or routine route changes should be considered by ATC as suspicious activity.
8. Any general aviation arriving from an international departure point that requests to divert from the original U.S. destination airport.
9. Other general aviation and non-scheduled air taxi or charter services that request to divert from the original destination or route for any unusual reason (e.g., reasons other than weather, company request, passenger request, mechanical, etc.) should be considered by ATC as suspicious activity.
10. Any other situation that may indicate a suspicious aircraft, including any reported or observed unauthorized unmanned aircraft activity or remote controlled model aircraft that deviate from normal practice areas/flight activities would be considered suspicious or a safety hazard.

REFERENCE–

FAA Order JO 7110.65, Para 2–1–2, Duty Priority.
Advisory Circular 91-57, Model Aircraft Operating Standards.

11. Any situation or pilot activity (for example, background noise, change in pilot's voice characteristics, etc.) that may indicate a hijacked aircraft. Due to air to ground communications capabilities (e.g., data links, cellular phones), ATC facilities may learn of a hijack situation from alternate sources (for example, airline air operations center) rather than the aircrew itself.

2–1–32. REPORTING DIVERTED AIRCRAFT ARRIVING FROM INTERNATIONAL LOCATIONS

Any aircraft departing from an international location that diverts to a U.S. Airport, or is diverted and lands at a U.S. airport different from the original U.S. destination airport, must be reported to the Domestic Events Network (DEN) Air Traffic Security Coordinator (ATSC). In addition, any diverted aircraft that ATC identifies as suspicious (in accordance with paragraph 2–1–31) must be promptly reported to the DEN ATSC.

NOTE–

Weather, airport/runway conditions, or other unforeseen reasons may necessitate an aircraft to divert or be diverted on short notice. Reporting via the DEN assists U.S. Customs and Border Protection (CBP) with real-time notification of the airport change.

2–1–33. REPORTING INOPERATIVE OR MALFUNCTIONING ADS–B TRANSMITTERS

FAA Flight Standards Service (AFS), Safety Standards Division is responsible for working with aircraft operators to correct ADS–B malfunctions. Reports of inoperative or malfunctioning ADS–B transmitters must be forwarded to adsbfocusteam@faa.gov and must include the following information:

- a. The aircraft identification used for the flight;
- b. Location of the occurrence;
- c. Date and time of the occurrence (UTC); and
- d. Any additional information or observations that may be pertinent or helpful to AFS in their investigation.

NOTE–

The intent of this paragraph is to capture ADS–B anomalies observed by ATC, such as errors in the data (other than Call Sign Mis-Match events, which are detected and reported to AFS automatically) or instances when civil ADS–B transmissions would normally be expected but are not received (e.g., ADS–B transmissions were observed on a previous flight leg).

REFERENCE–

FAA Order JO 7210.3, Para 5–4–2, Requests for Deviation from ADS–B Out Requirements.
FAA Order JO 7210.3, Para 5–4–9, ADS–B Out OFF Operations.
FAA Order JO 7110.65, Para 5–2–22, Inoperative or Malfunctioning ADS–B Transmitter.

FAA Order JO 7110.65, Para 5–2–23, ADS–B Alerts.
 FAA Order JO 7110.65, Para 5–2–24, ADS–B Out OFF Operations.

2–1–34. REPORTING SUSPICIOUS UAS ACTIVITIES

Consistent with the provisions of Air Traffic Service, Duty, and Operational Priorities, all Air Traffic Control facilities, FAA Contract Towers, and Flight Service Stations must report suspicious UAS. Suspicious UAS operations may include operating without authorization; loitering in the vicinity of sensitive locations (e.g., national security and law enforcement facilities and critical infrastructure); or disrupting normal air traffic operations resulting in runway changes, ground stops, pilot evasive action, etc. Reports of a UAS operation alone do not constitute suspicious activity. Development of a comprehensive list of suspicious activities is not possible due to the vast number of situations that could be considered suspicious. ATC must exercise sound judgment when identifying situations that could constitute or indicate a suspicious activity.

a. Notify local authorities (e.g., airport/local law enforcement; airport operations; and/or the responsible Federal Security Director Coordination Center) in accordance with local facility directives, including Letters of Agreement with the airport owner/operator.

b. Report the incident to the Domestic Events Network (DEN) Air Traffic Security Coordinator (ATSC).

c. Record the incident via the Comprehensive Electronic Data Analysis and Reporting (CEDAR) program or, if CEDAR is not available, via the appropriate means, in accordance with FAA Order JO 7210.632, Air Traffic Organization Occurrence Reporting.

d. Notify the air traffic manager.

e. Provide the following information when reporting the incident via the DEN and CEDAR:

- 1.** UTC date and time of incident.
- 2.** Reporting source(s).
- 3.** Position: fixed radial distance, bearing and distance, landmark, altitude, and heading.
- 4.** Flight behavior (i.e., loitering, heading toward the airport).
- 5.** UAS type (e.g., quadcopter, fixed wing), if known.

6. Report operational impacts in accordance with paragraph 21–4–1, Domestic Events Network (DEN), of this order.

f. Attempt to obtain additional information relevant to the suspicious UAS including:

- 1.** Size and color.
- 2.** Number of reported/sighted UAS.
- 3.** Location of the person(s) operating the UAS.

4. Remote pilot information including name, address, and phone number, if obtained by local law authorities or other verifiable means.

g. Facilities must maintain a checklist that provides guidance on reporting suspicious UAS activities. At a minimum, this checklist must be available to Operations Supervisor (OS), Controller-in-Charge (CIC), and Operations Manager (OM) personnel. Facilities must consider the following for inclusion on the checklist:

- 1.** Items a through f of this paragraph.
- 2.** Contact information necessary for completing the notification requirements of this paragraph.
- 3.** Local factors that may be necessary in determining if an operation is suspicious (e.g., location of critical infrastructure).

4. A requirement to notify the Regional Operations Center (ROC) for security-related events that may generate significant media or congressional interest as required by FAA Order JO 1030.3.

5. Any other information as deemed necessary by the air traffic manager.

REFERENCE–

FAA Order JO 7110.65, Para 2–1–2, Duty Priority.

FAA Order JO 7610.4, Para 7–3–1, Application.

FAA Order JO 1030.3, Initial Event Response, Chapter 2, Upward Notification.

FAA Order JO 7210.632, Air Traffic Organization Occurrence Reporting.

Advisory Circular 91–57B, Exception for Limited Recreational Operations of Unmanned Aircraft.

P/CG Term – Suspicious UAS.

2–1–35. USE OF UAS DETECTION SYSTEMS

Airport owners/operators or local enforcement may contact ATC facilities to coordinate their acquisition, testing, and operational use of UAS detection systems. These systems and how they are used may have implications for FAA regulations for airports; potentially affect ATC and other Air Navigation Services systems (e.g., RF interference with radars); and/or trigger airport responses (e.g., closing runways), which must be coordinated with ATC.

a. Requests by airport authorities for ATC facility cooperation/authorization in the acquisition, testing, or use of UAS detection systems will be referred to the appropriate FAA Airports District Office (ADO). The ADO will initiate internal FAA coordination, including reviews by the responsible ATO offices and facilities.

b. ATC facilities must not enter into any verbal or written agreement with a commercial vendor or an airport authority regarding UAS detection capabilities without prior coordination and approval from HQ–AJT–0.

NOTE–

1. *UAS detection systems do not include the interdiction components that characterize UAS mitigation technologies, also referred to as Counter Unmanned Aircraft System (C–UAS) technologies. Only select Federal Departments and Agencies have the legal authority to use C–UAS systems in the NAS. The FAA does not support the use of this technology by other entities without this legal authorization.*

2. *The FAA does not advocate the use of UAS detection in the airport environment until appropriate policy and procedures are developed.*

2–1–36. USE OF COUNTER UNMANNED AIRCRAFT SYSTEMS (C–UAS)

Select Departments and Agencies, which have been legally authorized to use this technology, are operationally using Counter Unmanned Aircraft System systems (C–UAS) in the NAS to protect certain facilities and assets. C–UAS systems are capable of disabling, disrupting, or seizing control of a suspicious UAS, and may integrate or be linked to UAS detection capabilities. These Departments and Agencies are required to coordinate with the FAA to assess and mitigate risks to the NAS posed by these C–UAS systems. These systems and their deployment may affect ATC and other Air Navigation Services systems (e.g., RF interference with radars); which could impact other air traffic in the vicinity including legitimate, compliant UAS flights. Additionally, the C–UAS may involve the response and deployment of ground/airborne operational security assets, which must be coordinated with ATC.

a. The Joint Air Traffic Operations Command (JATOC) Air Traffic Security Coordinator (ATSC) team, which manages the Domestic Events Network (DEN), must notify affected ATC facilities when C–UAS systems are activated.

NOTE–

Only select Federal Departments/Agencies have been legally authorized to utilize C–UAS to cover certain facilities and assets, and with coordination with the FAA to address risks to the NAS. Risk mitigation for the NAS typically includes notification to potentially affected ATC facilities.

b. The DEN must alert all ATC facilities affected by C–UAS deployment and JATOC National Operations Control Center (NOCC) of any possible operational impacts.

1. The alerts will focus on real–time reporting regarding possible operational impacts of C–UAS activities providing the affected facilities with heightened awareness to potential flight and equipment anomalies; and will allow the facilities to take actions needed to sustain safe operations.

2. The alerts must be made via landline communications and must not be broadcast over radios, shout lines, or direct dial lines to air traffic controllers on position.
3. The affected ATC facilities must not discuss C-UAS operations with any outside entity.

2-1-37. REPORTING DEATH, ILLNESS, OR OTHER PUBLIC HEALTH RISK ON BOARD AIRCRAFT

a. When an air traffic control facility is advised of a death, illness, and/or other public health risk, the following information must be forwarded to the DEN:

1. Call sign.
2. Number of suspected cases of illness on board.
3. Nature of the illness or other public health risk, if known.
4. Number of persons on board.
5. Number of deaths, if applicable.
6. Pilot's intent (for example, continue to destination or divert).
7. Any request for assistance (for example, needing emergency medical services to meet the aircraft at arrival).

NOTE-

1. *If the ATC facility is not actively monitoring the DEN or does not have a dedicated line to the DEN, they must call into the DEN directly via 844-432-2962 (toll free).*
2. *Except in extraordinary circumstances, such as a situation requiring ATC intervention, follow-on coordination regarding the incident will not involve ATC frequencies.*
3. *The initial report to a U.S. ATC facility may be passed from a prior ATC facility along the route of flight.*

b. Once notification of an in-flight death, illness, and/or other public health risk is provided by an ATC facility, the DEN Air Traffic Security Coordinator must ensure the Centers for Disease Control and Prevention (CDC) Emergency Operations Center (EOC) receives the following information:

1. Call sign.
2. Number of suspected cases of illness on board.
3. Nature of the illness or other public health risk, if known.
4. Number of persons on board.
5. Number of deaths, if applicable.
6. Departure airport.
7. Arrival airport.
8. Estimated time of arrival.
9. Pilot's intent (for example, continue to destination or divert).
10. Any request for assistance (for example, a need for emergency medical services to meet aircraft at arrival).

REFERENCE-

FAA Order JO 7110.65, Para 10-2-19, Reporting Death, Illness, or Other Public Health Risk on Board Aircraft.

2-1-38. OPPOSITE DIRECTION OPERATIONS

Opposite Direction Operations consists of IFR/VFR Operations conducted to the same or parallel runway where an aircraft is operating in a reciprocal direction of another aircraft arriving, departing, or conducting an approach.

REFERENCE–

FAA Order JO 7110.65, Para 1-2-2, Course Definitions.

a. Each facility must:

1. Determine the operational feasibility of conducting opposite direction operations.
2. At a minimum, develop the opposite direction operations procedures necessary to accommodate aircraft that have an operational need or receiving operational priority.

REFERENCE–

FAA Order JO 7110.65, Para 2-1-4, Operational Priority.

b. For aircraft receiving IFR services that are conducting opposite direction operations to the same runway, facility directives must:

1. Define minimum cutoff points identified by distance or fixes between:
 - (a) An arrival and a departure.
 - (b) An arrival and an arrival.
2. Specify that use of Visual Separation is not authorized, except at those unique locations that are operationally impacted by terrain and when issued a Letter of Authorization by the Service Area Director of Operations.
3. Require traffic advisories to both aircraft.

EXAMPLE–

OPPOSITE DIRECTION TRAFFIC (distance) MILE FINAL, (type aircraft). OPPOSITE DIRECTION TRAFFIC DEPARTING RUNWAY (number), (type aircraft). OPPOSITE DIRECTION TRAFFIC, (position), (type aircraft).

4. Require the use of a memory aid.
5. Prohibit opposite direction same runway operations with opposing traffic inside the applicable cutoff point unless an emergency situation exists.
6. Specify the position/facility responsible for ensuring compliance with cutoff points between aircraft conducting opposite direction operations.
7. Contain the following minimum coordination requirements:
 - (a) Define the facility/position that is responsible for initiating coordination.
 - (b) All coordination must be on a recorded line and state “Opposite Direction.” Initial coordination must include call sign, type, and arrival or departure runway.
- c. The cutoff points established under subparagraph b1 must ensure that required lateral separation exists:
 1. When a departing aircraft becomes airborne and has been issued a turn to avoid conflict; or
 2. When the first aircraft has crossed the runway threshold for opposite direction arrivals.
 3. If the conditions in subparagraphs c1 and c2 are not met, facility directives must require action be taken to ensure that control instructions are issued to protect the integrity of the cutoff points.
- d. At a minimum, the following must be considered when developing cutoff points:
 1. Aircraft performance.
 2. Type of approach.
 3. Operational position configuration.
 4. Runway configuration.
 5. Weather conditions.
 6. Existing facility waivers.

e. For aircraft receiving IFR services that are conducting opposite direction operations to parallel runways regardless of the distance between centerlines, facility directives must:

1. Ensure that a turn away from opposing traffic is issued when opposing traffic is inside the cutoff points defined in b1 for the other runway.

2. Specify that use of Visual Separation is authorized once a turn away from opposing traffic is issued.

REFERENCE–

FAA Order JO 7110.65, Para 7-2-1, Visual Separation.

3. Require traffic advisories to both aircraft.

EXAMPLE–

OPPOSITE DIRECTION TRAFFIC (distance) MILE FINAL, (type aircraft). OPPOSITE DIRECTION TRAFFIC DEPARTING RUNWAY (number), (type aircraft). OPPOSITE DIRECTION TRAFFIC, (position), (type aircraft).

4. Require the use of a memory aid.

5. Contain the following minimum coordination requirements:

- (a) Define the facility/position that is responsible for initiating coordination.

- (b) All coordination must be on a recorded line and state “Opposite Direction.” Initial coordination must include call sign, type, and arrival or departure runway.

- (c) At those locations that routinely conduct Opposite Direction Operations due to noise abatement at night and when issued a Letter of Authorization by the Service Area Director of Operations, the provisions of paragraph e5 above are not required.

f. For VFR aircraft that are conducting opposite direction operations to same or parallel runways, facility directives must contain procedures requiring the use of the following, including but not limited to:

1. Ensuring departing VFR aircraft are issued a turn to avoid conflict with opposing IFR/VFR traffic.

2. Traffic advisories to both aircraft.

3. State the phrase “opposite direction” if coordination is required.

4. Memory Aids.

g. All facility directives and letters of agreement addressing opposite direction operations must be approved by the Service Area Director of Operations.

REFERENCE–

FAA Order JO 7110.65, Para 3-8-4, Simultaneous Opposite Direction Operation.

2-1-39. SPECIAL INTEREST SITES

a. Supervisory/CIC personnel receiving any reports or information regarding unusual aircraft activities in the vicinity of special interest sites such as nuclear power plants, power plants, dams, refineries, etc., must immediately notify local law enforcement authorities of these reports/information and notify the overlying air traffic facility of any of these reports and the action taken. Supervisory/CIC personnel may receive reports/information from the Nuclear Regulatory Commission or other sources.

b. Air traffic facilities must promptly advise the Domestic Events Network (DEN) of any actions taken in accordance with this paragraph.

c. Individual facilities must determine which special interest sites, if any, should be displayed on maps, charts, and video displays.

2-1-40. TRANSPORTATION SECURITY ADMINISTRATION AND FAA JOINT OPERATING PROCEDURES

The requirements for Air Traffic Managers (ATM) to follow during security events, according to the Transportation Security Administration (TSA) and the FAA Joint Operating Procedures Agreement, are as follows:

a. If the TSA Federal Security Director (FSD) informs the ATM of an imminent and potentially life threatening security situation, the ATM, consistent with safety, must comply with the FSD's requested operational response. As soon as possible after action is taken, the ATM must contact the Domestic Events Network (DEN) Air Traffic Security Coordinator (ATSC) and report any action taken.

b. The above guidance does not preclude the ATM from taking immediate action in the event the ATM learns of an imminent and potentially life threatening security situation. In such situations, as soon as possible, the ATM must notify the DEN ATSC and the FSD of the situation, along with any action taken.

NOTE–

For information concerning reporting of suspicious activities around airports and FAA facilities, see JO 7210.3, paragraph 2–7–6, Suspicious Activities Around Airports or FAA Facilities.

c. For any security situation identified by TSA, in addition to those that are “imminent and life threatening,” the ATM must contact the DEN ATSC and the FSD to report the situation.

d. At airports that have both an FAA and TSA presence, the ATM and FSD must meet at least every 6 months, or within sixty days of a new ATM or FSD entering into their position, to exchange/update contact information and to discuss security-related information and plans of mutual interest.

e. The responsibilities outlined in this paragraph may be delegated as necessary.

2–1–41. DISPLAYING SPACE LAUNCH AND REENTRY AREAS ON THE SITUATION DISPLAY

Facility ATMs must develop a means to ensure that volumes of airspace depicted on an operational situation display for space launch and reentry operations are verified to be accurate.

2–1–42. DISPLAYING DEBRIS RESPONSE AREAS ON THE SITUATION DISPLAY

Facility ATMs must develop a means to ensure that, when possible, debris response areas (DRA) are displayable on operational situation displays at the start of a launch or reentry window.

NOTE–

The intent of this requirement is to allow controllers to quickly display a DRA if it is activated. If technical limitations prevent the DRA from being drawn on the operational situation display in advance of a space operation, such as if the DRA would cover an entire sector or facility, then an alternative means of providing the needed geographic area of the DRA to the controller must be used. This could be accomplished using the TSD, a paper map, or some other means.

2–1–43. ACCESS TO FALCON REPLAY SYSTEM

Air traffic managers (ATM) must assign access to the Falcon Replay System with voice for:

- a. Facility management and Quality Control personnel.
- b. Training Team Members.
- c. Local Safety Council Members.
- d. Controllers–in–Charge / National Traffic Management Specialists–in–Charge / Traffic Management Coordinators–in–Charge / NOTAM Specialists–in–Charge.
- e. Certified Professional Controllers, Certified Professional Controllers–in–Training, Traffic Management Coordinators, and Traffic Management Coordinators–in–Training.
- f. Other facility personnel deemed appropriate by the ATM or their designee.

- (3) Holding aircraft.
- (4) Primary targets with no associated alphanumerics.
- (5) Aircraft handed off but still in the airspace.
- (6) Aircraft released but not yet airborne.
- (7) Nonradar operations.
- (8) VFR advisory aircraft.
- (9) Aircraft standing by for service.
- (10) Coordination agreements with other positions.
- (11) Special problems, requests, or instructions.
- (12) UAS activity of operational importance.

(e) Air traffic managers may *increase* the number of items and/or the level of detail of the position relief checklists as they deem necessary.

2. To the extent possible, provide a SIA/s from which specialists may obtain the operational information relevant to the position being worked. The SIA/s may consist of a single or any combination of informational sources where status information can be recorded and displayed. These areas may include, but not be limited to, facility/area/position status boards, weather status boards, “hot item” binders, clip board information sheets, and designated areas for written notes.

3. Designate, through a facility directive, the position/s having responsibility for the accuracy of the various items contained on the SIA/s. The designated position/s should be the focal point for the type of status information for which they are responsible and, except for the accuracy of written notes located at the position, should not be a specialist having primary and direct responsibility for the provision of service or separation to aircraft.

d. To the maximum extent practicable the position relief briefing must be recorded.

e. Specialists staffing the positions identified under subparagraph 2–2–4a, which require continuity of operation, must conduct a position relief briefing in accordance with FAA Order JO 7110.65, Air Traffic Control, Appendix A, Standard Operating Practice (SOP) for the Transfer of Position Responsibility.

f. Responsibilities:

1. The specialist being relieved must be responsible for ensuring that any pertinent status information of which he/she is aware is relayed to the relieving specialist and is either:

- (a) Accurately displayed on the SIA/s for which he/she has responsibility, or
- (b) Relayed to the position having the responsibility for accurately displaying that status information.

2. The relieving specialist must be responsible for ensuring that any unresolved questions pertaining to the operation of the position are resolved prior to accepting responsibility for the position.

3. The relieving specialist and the specialist being relieved must share equal responsibility for the completeness and the accuracy of the position relief briefing.

NOTE–

The sharing of this responsibility means that the specialist being relieved is obligated to provide a complete, accurate briefing, and the relieving specialist is obligated to ensure that a briefing takes place and is to his/her total satisfaction.

4. The specialists engaged in a position relief must conduct the relief process at the position being relieved unless other procedures have been established and authorized by the facility air traffic manager.

2–2–5. OPERATING INITIALS

a. Specialists must be assigned two–letter operating initials to identify the employee for record purposes. When all combinations of letters are depleted, duplicate initials may be assigned to personnel working in different areas of specialization.

- b. Unless signatures are specifically requested, use assigned operating initials for all operating forms, interphone contacts, marking of recorder audio files, and other records.
- c. A current file of assigned initials must be maintained.

2-2-6. SIGN IN/OUT AND ON/OFF PROCEDURES

The following is applicable to all FAA air traffic facilities, but does not apply to FAA contract facilities.

Cru-X/ART is the official time and attendance system for both signing in/out for a shift and on and off positions, not paper logs nor Common ARTS/ERAM/NTML/FSS or other Agency or local programs. Facilities may use Common ARTS/ERAM/NTML/FSS to sign on positions for position preference settings; however, these systems/programs must not be used for official time and attendance nor position times. Duplicate paper logs for sign in/out of the shift and on and off positions must not be utilized during normal daily operations.

a. FAA operations managers-in-charge (OMIC)/ operations supervisor (OS)/supervisory traffic management coordinators (STMC)/national operations managers (NOM)/national traffic management officers (NTMO)/controllers-in-charge (CIC) of the watch are responsible for ensuring the accuracy of the personnel log for time and attendance (T&A) recording. T&A information must be entered into and maintained within the ATO Resource Tool (ART) system approved.

1. The facility air traffic manager must ensure that procedures are in place so that operational schedules are entered correctly into ART.
2. Employees must use ART to sign in and out of their shifts.

(a) Sign in for a shift must be accomplished no later than the shift assigned time unless the OS/STMC/NTMO/CIC and/or OMIC has approved leave at the start of the assigned shift. Sign in, using the assigned shift start time, may occur up to 15 minutes before an employee's assigned shift. Earning of, and signing in for, Time Outside Shift time at the beginning of an assigned shift must receive approval by the OS/STMC/NTMO/CIC or OMIC prior to earning or recording it into Cru-X/ART.

NOTE-

Shift/Core hour changes must be in accordance with local and national policy. Earning Time Outside Shift (overtime, credit hours, etc.) must be approved by the OS/STMC/NTMO/CIC or OMIC prior to entering it into Cru-X/ART or working it.

(b) In situations where it is known in advance that employees will not report to the facility, such as when attending an all day meeting outside the facility, facilities should enter the employee's shift in the schedule as an Other Duty Code.

(c) Sign out must be accomplished at the end of an employee's assigned shift. Sign out using the assigned shift end time may be accomplished no earlier than 15 minutes prior to the end of the shift, or no later than 15 minutes after the end of the assigned shift. Any Time Outside Shift at the end of an assigned shift, or leave, must first receive OS/STMC/NTMO/CIC or OMIC approval prior to earning/using and recording such time in Cru X/ART.

3. The supervisor/CIC position relief briefing check list must include:

- (a) T&A status,
- (b) Other Duties,
- (c) Time Outside Shift (TOS) requests/approvals, and
- (d) Leave requests/approvals.

NOTE-

Upon signing on position the OMIC/OS/STMC/NOM/NTMO/CIC assumes full responsibility of all check list items including those identified above.

4. It is the employee's responsibility to notify the OMIC/OS/STMC/NOM/NTMO/CIC of the watch of any changes to "Other Duty" shifts. For example, an employee is outside of the facility on another duty and requests a day of sick leave.

5. In the event of electronic system failure, scheduled system outage, or facility evacuation, the paper FAA Form 7230-10, "Position Log," must be used to indicate position responsibility. When the ART system has been restored or the facility reoccupied, the facility must ensure that all data collected with the paper FAA Form 7230-10's is entered into ART. In instances where the data cannot be entered into ART, the paper FAA Form 7230-10's must be retained in accordance with document retention guidance.

b. The Cru-X/ART electronic logs must be used to indicate responsibility at all operational positions and for supervisory traffic management coordinator-in-charge (STMCIC), operations supervisor-in-charge (OSIC), traffic management coordinator-in-charge (TMCIC), and CIC functions. It is the responsibility of the relieved controller to enter the correct change of position responsibility time in Cru-X/ART. In situations where there is no relieved controller, such as when opening a position, the person opening the position is responsible for entering the correct position time or notifying the supervisor/STMC/CIC of the position opening time. The supervisor/STMC/NTMO/CIC must then enter that time into Cru-X/ART.

2-2-7. CIRNOT HANDLING

A CIRNOT initiated by WMSCR/NNCC must be transmitted to all circuit users.

a. WMSCR/NNCC must maintain a record of all CIRNOTs and forward a hard copy to the appropriate Service Area Director of Air Traffic Operations by the most expeditious means available.

b. FSS air traffic managers must provide CIRNOTs to the appropriate Service Area Director of Air Traffic Operations and/or other field facilities upon request.

c. CIRNOTs should be retained at the receiving facility for 120 days.

NOTE-

The most expeditious means is transmitting the CIRNOT via facsimile, telephone, mail, electronic mail, etc.

2-2-8. GENOT HANDLING

A General Notice (GENOT) is issued by headquarters ATO organizations via the Washington Operations Center (WOC) and is transmitted to all FAA and contract air traffic facilities via Aeronautical Information System-Replacement (AIS-R).

a. Facility ATMs must establish local procedures to ensure AIS-R, or equivalent Service B message provider via NADIN/NMR, is checked at least daily for new GENOTs.

b. Upon receipt, facility ATMs must:

1. Determine if the content of the GENOT is applicable to their facility.

2. Ensure required information is briefed to employees prior to performing operational duties.

NOTE-

Managers should update employee's Training and Proficiency Record in accordance with FAA Order JO 3120.4, Air Traffic Technical Training.

2-2-9. PERSONNEL BRIEFINGS REGARDING AIR TRAFFIC PROCEDURES BULLETIN ITEMS

a. The Policy Directorate is the ATO authority on all matters pertaining to Air Traffic Procedures; hence, the development of an Air Traffic Procedures Bulletin (ATPB).

b. The ATPB is:

1. A tool that the Policy Directorate utilizes to share additional Air Traffic Procedures information with field facilities.

2. Published on an *as needed basis*, to provide additional clarity or to communicate useful information concerning the proper application of air traffic standards, policies, and procedures.

3. Published on the FAA's publication website. Archived ATPBs accessed on the website should be deemed reliable only for historical reference purposes as some references contained within the article(s) may have changed.

NOTE—

ATPBs may be accessed at: https://www.faa.gov/air_traffic/publications/#atpb.

c. While this list is not all inclusive, the ATPB can be used to:

1. Respond to field facility questions or concerns that are typically generated with the establishment of new separation minima.

2. Address the misapplication of existing procedures as identified through a Safety Assurance Program (e.g., internal/external audit).

3. Address safety recommendations received from any safety related program or organization (e.g., Runway Safety, ATSAP, AJI, AOV, and NTSB).

4. Communicate the need for changing air traffic procedures based on a pressing safety need (risk mitigation).

5. Communicate the development of new air traffic procedures associated with the deployment of new technologies.

d. Facility Air Traffic Managers must:

1. Ensure that their facility is on the distribution list for the Air Traffic Procedures Bulletin. Any corrections, additions or deletions should be directed through the appropriate Service Center.

2. Ensure that ATPB items that are appropriate to a particular facility are verbally briefed with facility personnel.

(a) The Policy Directorate will annotate the ATPB with the type of facilities that the subjects are applicable to.

(b) These briefings must take place within 45 days after receipt of the bulletin. Record briefings in accordance with FAA Order 3120.4, Appendix A.

3. Encourage submissions of suggested ATPB items that have an operational or procedural impact from facility personnel at regular crew and personnel briefings.

(a) Evaluate and forward those suggestions considered appropriate for Service Area office review.

(b) Service Center offices must evaluate the suggested items and forward those considered significant and/or national in scope to the Policy Directorate via the electronic mailbox at 9-AJV-P-HQ-Correspondence@faa.gov, in *Microsoft Word* format.

2-2-10. LAW ENFORCEMENT INFORMATION

Law enforcement information; e.g., aircraft identification, flight schedules, flight operations, procedures, aircraft lookouts, etc., is of great value to drug traffickers and others attempting to circumvent the law. Although law enforcement information is normally unclassified, it is considered to be inherently sensitive, of a confidential nature, and is to be handled on a "For Official Use Only" (FOUO) basis. Facility air traffic managers must ensure that such information is safeguarded from disclosure in accordance with FAA Order 1600.2, Safeguarding Controls and Procedures for Classified National Security Information and Sensitive Information, whether the information is physically marked with the FOUO term or not. "Safeguarded from disclosure" includes precaution against oral disclosure, prevention of visual access, and precaution against unauthorized release, gratuitously or in response to a specific request.

2-2-11. PERSONNEL BRIEFINGS REGARDING ORDERS, PUBLISHED AERONAUTICAL DATA, AND FLIGHT PROCEDURES

a. Air traffic managers must ensure that facility air traffic personnel are verbally briefed on changes to FAA Order JO 7110.65, Air Traffic Control, FAA Order JO 7210.3, Facility Operation and Administration, and FAA

Section 4. Hours of Duty

2-4-1. SERVICE HOURS

ATC must be provided during published hours of operation. Early opening or late closing may be occasionally necessary to accommodate traffic which may otherwise divert or cancel its operation because air traffic control is not available at the airport. Good judgment, based on known or observed traffic, must be exercised when deciding to extend operating hours.

2-4-2. TIME STANDARDS

Use Coordinated Universal Time (UTC) in all operational activities. The word “local” or the time zone equivalent must be used to denote local when local time is given during radio and telephone communications. When written, a time zone designator is used to indicate local time, e.g., “0205M” (Mountain). The local time may be based on the 24-hour clock system. The day begins 0000 and ends 2359. The term “ZULU” may be used to denote UTC. In general, operational forms will be recorded in UTC and administrative forms recorded in local time.

2-4-3. TIME CHECKS

a. Facilities without a direct coded time source must, at 8-hour intervals, obtain an accurate time check from ARTCC/s equipped with coded time source or from any one of the following standard frequency and time radio stations:

1. WWV, Fort Collins, Colorado, on 2.5, 5, 10, 20, and 25 MHz, which broadcasts continuously except 45 to 49 minutes after each hour. The telephone number for WWV is (303) 499-7111.

2. WWVH, Kekaha, Kauai, Hawaii, on 2.5, 5, 10, 15 and 20 MHz, which broadcasts continuously except 15 to 19 minutes after each hour.

3. CHU, Ottawa, Canada, on 3.33, 7.34, and 14.670 MHz, which broadcasts continuously on all frequencies.

4. U.S. Naval Observatory, Washington, D.C., telephone number (202) 762-1401.

b. Facilities are exempt from performing time checks if they meet the following requirements:

1. The facility clocks are digital.

2. The clocks are tied to the direct coded time source or Global Positioning System (GPS) receiver on the Digital Audio Legal Recorder (DALR) system, National Voice Recorder (NVR) system, or a facility GPS or Network Time Protocol (NTP) synchronized time server.

2-4-4. STATUS OF SERVICE

Part-time facilities must establish procedures for opening and closing their facilities. The procedures must be coordinated with the facility having IFR jurisdiction and must include, as a minimum, the following:

a. Broadcast an announcement upon resuming/ terminating service on appropriate frequencies. This broadcast must include, as a minimum, a statement that indicates ATC service and the airspace class of service being resumed or terminated, e.g., “[Time] Waukesha Tower is terminating airport traffic control service; Class E/G airspace now in effect.”

b. At locations where neither a tower nor FSS continues service or the FSS does not have lighting controls/approach aid monitoring capability, do the following as appropriate:

1. Include, in the termination broadcast, the status of the airport and essential components; e.g., Navigational Aids (NAVAIDs), airport and approach lighting, weather, NOTAMs concerning NAS, and field conditions.

2. If there is an approach procedure for the airport, inform the facility having IFR jurisdiction of the information determined appropriate in subparagraph b1. Runway information, approach information, airport status information, and pertinent NOTAMs must be verbally relayed, to include any pertinent NOTAMs planned to take effect during the hours the facility is closed.

c. At the time of closure, the facility having IFR jurisdiction must inform all inbound flights with which it has communications and which will use any of the components associated with the airport of the information received from the closing facility.

d. If a collocated FSS operates when the tower is closed, pertinent flight data must be exchanged before the tower opens/closes.

Section 7. Appearance and Security

2-7-1. PERSONNEL APPEARANCE

Personnel must maintain a neat, clean, businesslike appearance during working hours. Personal grooming and clothing must be appropriate to the conduct of Government business.

2-7-2. QUARTERS APPEARANCE

The appearance of each air traffic facility must reflect the high standards of the agency at all times. Facility air traffic managers must ensure that adequate janitorial services are provided.

2-7-3. BULLETIN BOARDS

Air traffic bulletin boards should only display material authorized by the facility air traffic manager or his/her designee.

2-7-4. FOOD AND BEVERAGES

Food and beverages may be permitted in the operating quarters at the discretion of the facility air traffic manager.

2-7-5. FACILITY SECURITY

a. Facility air traffic managers are responsible for the security of operating quarters and must use appropriate agency directives for guidance in maintaining this security. This is not applicable to pilot briefing areas in flight service stations.

b. Facility air traffic managers must determine that adequate locks or other suitable devices are installed and operated so as to ensure security control over access to operating quarters.

c. In no case must ARTCC buildings be used as public fallout shelters.

2-7-6. SUSPICIOUS ACTIVITIES AROUND AIRPORTS OR FAA FACILITIES

ATC facilities must report suspicious activities (for example, unauthorized use of aircraft, tampering with aircraft or other property around airports or FAA facilities, placing packages or other objects in unusual locations, and any activity performed in a manner that is suspect of malice) on the Domestic Events Network (DEN) at 844-432-2962 (toll-free). In addition, these types of suspicious activities must be reported to local law enforcement, the airport manager, aircraft operator, or any combination thereof as appropriate. Do not attempt to delay, detain, or question suspects, but do attempt to keep the person or persons under surveillance until law enforcement representatives arrive.

NOTE-

Procedures for reporting other suspicious activities or security events are located in JO 7210.3, paragraphs 2-1-31, Reporting Suspicious Aircraft/Pilot Activities; 2-1-34, Reporting Suspicious UAS Activities; 2-1-40, Transportation Security Administration and FAA Joint Operating Procedures; and 2-7-7, Cooperation with Law Enforcement Agencies.

2-7-7. COOPERATION WITH LAW ENFORCEMENT AGENCIES

a. Theft of aircraft and other suspicious activities concerning aircraft have complicated the task of law enforcement agencies, particularly with federal drug enforcement efforts. Any information the Federal Bureau of Investigation (FBI) and Department of Homeland Security (DHS) obtains on these activities could assist their investigations. ATC facilities must report information pertaining to stolen aircraft and other suspicious activities concerning aircraft on the Domestic Events Network (DEN) as described in subparagraph c.

REFERENCE–

FAA Order JO 7210.3, Para 2–7–6, Suspicious Activities Around Airports or FAA Facilities.

b. The Blue Lightning Initiative, led by U.S. Customs and Border Protection and the Department of Transportation, trains airline personnel to identify potential traffickers and human trafficking victims, and to report their suspicions to federal law enforcement. Reports of suspected human trafficking must be reported on the DEN as described in subparagraph c.

c. Report on the DEN directly if the ATC facility is actively monitoring the DEN or has a dedicated line to the DEN. Otherwise, the ATC facility must immediately report the above referenced activities on the DEN via 844–432–2962 (toll free).

2–7–8. FACILITY VISITORS

a. Persons interested in the services and facilities provided by air traffic should be encouraged to visit facilities for familiarization. The facility air traffic manager or a designated representative may authorize these visits if:

- 1.** The presence of visitors does not interfere with the operation of the facility.
- 2.** There is no breach of security directives.
- 3.** Personnel are or will be available to conduct an escorted tour.

b. Foreign national visits must be handled in accordance with current directives.

2–7–9. SECURITY OF JOINT–USE RADAR DATA

Personnel involved in a joint–use radar environment must be familiar with the provisions of directives concerning the security of joint–use radar.

Section 2. Use of Communications

3-2-1. RESPONSIBILITY

The air traffic manager is responsible for taking action to detect, prevent, and report:

- a. Obscene, indecent, or profane language used on any means of communications (e.g., voice frequencies, Satellite Communication(s) (SATCOM), Controller Pilot Data Link Communications (CPDLC)).
- b. False, deceptive, or phantom controller communications to an aircraft or controller. The following must be accomplished when false or deceptive communications occur:
 1. Collect pertinent information regarding the incident.
 2. Notify the Regional Operations Center (ROC) of the phantom controller situation and request a conference call with the Technical Operations, System Management Office (SMO) manager, the Spectrum Management Officer, the Service Area Director and the Security and Hazardous Materials Division Manager.
 3. Report all relevant information pertaining to the incident on the telephone conference.
 4. Save the audio file(s) on Digital Audio Legal Recorder (DALR) and National Voice Recorder (NVR) systems associated with the false or deceptive communications to an Organizer incident. Add the pertinent information to the Organizer incident, export the Organizer incident to a folder and copy it to external media in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting. The folder containing incident files should be saved to other media (e.g., flash drive, CD, or DVD) and labeled in accordance with FAA Order JO 8020.16.
- c. Identification used on frequencies not assigned or authorized by the FAA.
- d. Willful or malicious interference with other communications.
- e. Remarks of a personal nature on any means of communications (e.g., voice frequencies, SATCOM, CPDLC).

3-2-2. AUTHORIZED MESSAGES NOT DIRECTLY ASSOCIATED WITH AIR TRAFFIC SERVICES

Occasions may arise when messages by a third party pertaining to the safety of aircraft operation or the preservation of life and/or property are necessary. Such messages may be authorized on FAA radio communications channels. They may be handled by air traffic specialists or the individuals making the request. The latter may be given access to facilities to personally issue such messages provided (See FAA Order 6050.32, Spectrum Management Regulations and Procedures Manual):

- a. Control instructions must not be issued.
- b. Transmission can be interrupted when required to continue ATC services.

REFERENCE-

Advisory Circular AC 150/5210-7, Aircraft Rescue and Fire Fighting Communications.

3-2-3. USE OF OTHER THAN FAA COMMUNICATIONS CIRCUITS

FAA personnel must be responsive to any State or local governmental agency offering to use their communications facilities for the relay of flight plan information and to cooperate with such agencies in developing procedures for relaying flight plan information to FAA facilities.

3-2-4. FBI USE OF FAA FREQUENCIES

Local FBI offices have been authorized to contact FSSs and ATCTs to consummate local agreements for emergency use of specific frequencies using FBI transceiver equipment in hijacking situations. To facilitate the

handling of these requests, the guidelines set forth below must be followed (see paragraph 3–2–2, Authorized Messages Not Directly Associated with Air Traffic Services):

- a. Selection of FSS and ATCT radio frequencies is flexible, but it must be from existing local assignments and approved by the air traffic manager after coordination with the regional frequency management office.
- b. Selection of tower radio frequencies is flexible, but it must be from existing local assignments and approved by the air traffic manager after coordination with the regional frequency management office. Requests for frequency between 121.60 and 121.90 MHz can be expected.

3–2–5. AERONAUTICAL ADVISORY STATIONS (UNICOM/MULTICOM)

Pursuant to FCC Rules and Regulations, Part 87, Subpart C, UNICOM stations are not authorized for ATC purposes other than the relay of certain ATC information between the pilot and the controller. Relay of ATC information is limited to:

- a. Takeoff, arrival, or flight plan cancellation times.
- b. ATC clearances, provided there is a LOA between the licensee of the advisory station and the FAA facility.

Section 4. Recorders

3-4-1. USE OF RECORDERS

- a. Air traffic facilities must record operational communications to the maximum extent practicable.
- b. Air traffic facilities must record emergency response notifications by telephone or communication lines to the maximum extent practicable.
- c. Record at each operating position to include all data transmitted and/or received via radio, telephone, VSCS, or automated means such as Mode S, Data Link, and satellite. Facility management must advise operating positions when the recording equipment associated with these positions is not operating or otherwise unavailable for recording. Facility management must then ensure that a written record, or equivalent, to the extent possible, is made for all IFR clearances.
- d. If combined positions are periodically split into individual positions, record them on separate channels when so used.
- e. Supervisors must ensure that the proper FAA/telephone company (TELCO) “jacks” are used to obtain the required recording at facilities with dual capability.
- f. Use a separate channel on each recorder to record time at facilities with time-announce systems. Where these systems have not been installed, a spare receiver tuned to a time transmitting station may be used. DALR and NVR systems automatically time stamp all recordings, which eliminates the need to record time on a separate channel.
- g. Operational voice recorders must be provided a time source.
- h. Except as noted in paragraph 3-4-2, Assignment of Recorder Channels, record with regard to the position in lieu of the function. All headset audio on a position must be recorded on a single channel. In facilities so equipped, all FAA-speaker audio must be recorded on the “radio only” jack channel. If a “radio only” jack is not available, another channel may be used.
- i. Recording more than one time source on any recorder is prohibited.
- j. Recorders may be used to monitor any position for evaluation, training, or quality control purposes.
- k. Air traffic managers should develop procedures to ensure that frequencies are not recorded when facilities are officially closed.

3-4-2. ASSIGNMENT OF RECORDER CHANNELS

- a. Assign position recording channels in the following order of priority:
 - 1. ARTCCs:
 - (a) Radar controller.
 - (b) Sector controller.
 - (c) Radar handoff controller.
 - (d) Radio controller.
 - (e) Coordinator.
 - (f) Supervisor.
 - (g) Traffic Manager.
 - (h) Flight data.

- (i) Data systems coordinator.
- (j) Mission coordinator.
- (k) AMIS controller.

2. Terminals:

- (a) Arrival control.
- (b) Departure control.
- (c) Local control.
- (d) Precision approach radar.
- (e) Clearance delivery.
- (f) Ground control.
- (g) Inbound flight data.
- (h) Outbound flight data.
- (i) Direction-finding.
- (j) Supervisory.

(k) Automatic terminal information services (ATIS) – air traffic managers must designate a channel to record ATIS when a separate channel is not available. Record the ATIS message once at the time of preparation on the designated channel. Make a written record of each ATIS and retain for 45 days if a recorded channel is not available.

3. FSSs:

- (a) Inflight.
- (b) Preflight.
- (c) Flight data.
- (d) Supervisory.

4. ATCSCC:

- (a) National Operations Manager (NOM).
- (b) National Traffic Management Officer (NTMO).
- (c) National Traffic Management Specialist (NTMS) operating position.

b. You may use existing remaining spare recording channels to record the primary radio frequencies of positions using the same priority stated above.

3-4-3. CHECKING AND CHANGING RECORDING EQUIPMENT

a. At En Route facilities and the ATCSCC, Technical Operations personnel must be responsible for checking the DALR or NVR system for alarm conditions.

REFERENCE–

FAA Order JO 6670.16B, *Maintenance of Digital Audio Legal Recorder Types 1, 2, and N (DALR1/DALR2/DALR-N)*,

or

(Digital) FAA Order JO 6670.17, *Maintenance of NAS Voice Recorder (NVR)*.

b. At terminal and flight service facilities:

1. Where recorders are not convenient to operating quarters, the facility air traffic manager and the Technical Operations local manager must develop an agreement assigning the responsibility for checking the DALR or NVR system for alarm conditions.

2. Where recorders are convenient to operating quarters, air traffic personnel must perform recorder checks for alarm conditions.

3. At Federal Contract Flight Service Stations, engineering staff will monitor the operational status of all audio recording equipment.

c. If air traffic personnel check and change tapes, DATs, or DALRs, the facility air traffic manager must ensure that personnel are trained in the proper methods to be used.

d. Recorder operational checks on voice recorder systems must be performed daily and must not exceed 26 hours between checks.

1. On a daily basis (not to exceed 26 hours), validate that the DALR or NVR system is not in alarm condition.

2. Indicate accomplishments of checks on FAA Form 7230-4, Facility Record of Operation.

e. Perform operational checks on DALR or NVR systems.

1. At facilities using DALR: On a daily basis (not to exceed 26 hours), validate the Castle Rock SNMPc window for the alarms, and verify normal operation of the DALR system.

REFERENCE-

FAA Order JO 6670.16, Chapter 4, Section 1, Performance Check, 4-3, Daily.

2. At facilities using NVR: On a daily basis (not to exceed 26 hours), validate the NICE Inform Health Manager (IHM) window for the alarms, and verify normal operation of the NVR system.

REFERENCE-

FAA Order JO 6670.17, Chapter 4, Section 1, Performance Check, 4-3, Daily.

3. Document the accomplishment of the check on FAA Form 7230-4, Facility Record of Operation.

3-4-4. AUDIO DATA RETENTION

a. Ensure that the DALR and NVR default audio retention period is set for 45 days.

b. When voice recordings are saved as an Organizer incident or to external media, the following retention requirements apply:

1. Accidents: Retain the voice recordings in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting.

2. Incidents: Retain the voice recordings in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting; and FAA Order 1350.14, Records Management.

3. Hijacking: Retain all relevant voice recordings of hijackings from the time communication commences with the aircraft until communication has terminated. After 3 years, contact System Safety and Procedures for the release of the DALR or NVR audio files. In every case, a release from System Safety and Procedures is required to delete the hijack DALR or NVR audio files.

4. Tarmac Delay: When a facility is notified that an aircraft has or may have exceeded the "Three/Four-Hour Tarmac Rule," retain voice recordings relevant to the event for 1 year.

c. For facilities using a different voice recorder than the DALR or NVR, the procedures and media will vary but the recordings must follow the same retention period requirements.

Section 8. Other Displays

3-8-1. MINIMUM VECTORING ALTITUDE CHARTS (MVAC) FOR FACILITIES PROVIDING TERMINAL APPROACH CONTROL SERVICES

Air traffic managers must ensure MVACs are included in the STARS or MEARTS site adaptation. Provide controllers with the minimum vectoring altitudes as follows:

a. Where the system is utilizing FUSION mode, develop an MVAC that provides:

1. 3-mile separation minima from obstacles, except when applying the provision in subparagraph 3-8-1a2. The MVAC must depict obstacle clearances, outward to the lateral limits of the associated approach control airspace and an appropriate buffer outside the lateral approach control airspace boundaries; and

2. 5-mile separation minima from obstacles for use whenever the FUSION system cannot provide 3-mile separation due to degraded status or system limitations, or when using Multi-Sensor Mode.

b. When set to single sensor display, use 3-mile obstacle buffers when less than 40 miles from the antenna, and 5-mile obstacle buffers when 40 miles or more from the antenna, at ASR locations without a monopulse secondary surveillance radar (MSSR).

NOTE-

Mission Support Services, Aeronautical Information Services, Aeronautical Charting, Radar Video Mapping Team should be contacted if assistance is required. (See FAA Order 8260.3, United States Standard for Terminal Instrument Procedures (TERPS), Chapter 11.)

REFERENCE-

FAA Order JO 7110.65, Para 5-5-4, Minima.

FAA Order JO 7110.65, Para 5-5-9, Separation from Obstructions.

3-8-2. MINIMUM VECTORING ALTITUDE CHARTS (MVAC) PREPARATION (TERMINAL/MEARTS)

Prepare a vectoring chart in accordance with the criteria contained in FAA Order 8260.3, United States Standard for Terminal Instrument Procedures (TERPS).

a. MVACs must be developed and maintained using the Web-based Sector Design and Analysis Tool (Web-SDAT). Facility Managers may request assistance in the development and maintenance of their MVAC or request SDAT user support by soliciting the Program Management Office, Aeronautical Services Group. MVACs developed in SDAT properly apply obstruction clearance criteria required by FAA Order 8260.3. SDAT completes FAA Form 7210-9 and automatically creates and sends the necessary data files to Mission Support Services, Radar Video Mapping Team upon certification for subsequent radar video map creation. Facility correspondence to the Radar Video Mapping Team regarding MVACs and video maps must be accomplished via email to 9-AJV-HQ-ATCPRODUCTS.

NOTE-

MVAs are established without considering the flight-checked radar coverage in the sector concerned. They are based on obstruction clearance criteria and controlled airspace only. It is the responsibility of the controller to determine that a target return is adequate for radar control purposes.

b. At a minimum, the airspace considered for providing obstacle clearance information on MVA charts must accommodate the facility's delegated area of control as well as adjacent airspace where control responsibility is assumed because of early handoff or track initiation.

c. MVACs may be subdivided into sectors to gain relief from obstacles that are clear of the area in which flight is to be conducted. There is no prescribed limit on the size, shape, or orientation of the sectors.

d. Depict the sectors in relationship to true north from the antenna site.

e. Facility requests for reduced required obstruction clearance (ROC) in an area designated as mountainous in accordance with 14 CFR, Part 95, Subpart B, must conform to the following procedures:

1. Designated mountainous terrain must be evaluated for precipitous terrain characteristics and the associated negative effects. Facility managers must use FAA Order 8260.3, paragraph 15-2-1, as a guide when considering ROC reductions in designated mountainous areas. ROC reductions are not authorized where negative effects of precipitous terrain are documented or known having followed the process contained in subparagraphs e2 and 3 below. ROC reductions within designated mountainous areas are only authorized by complying with at least one of the following criteria:

REFERENCE-

FAA Order 8260.3, Appendix 1, Glossary Term, Precipitous Terrain.

(a) Where lower altitudes are required to achieve compatibility with terminal routes.

(b) To permit vectoring within the airport radar traffic pattern area for either a departure procedure, an instrument approach procedure, or a visual approach to an airport. Air traffic managers must define each airport's radar traffic pattern area for which ROC reductions are sought. These areas must include sufficient maneuvering airspace necessary for ATC sequencing and spacing of traffic in the vicinity of an airport.

2. Where mountainous terrain has been deemed precipitous by the air traffic facility, each ROC reduction request must include a query to an independent data source, such as NASA's Aviation Safety Reporting System to determine if any ground proximity warnings have been reported in the subject area. After completing the query, consider the facility's history and experiences with turbulence at the minimum altitude requested. Avoid ROC reductions where reported ground proximity warnings relate to both existing MVA sector altitude ROC reductions and rapid terrain elevation changes. ROC reduction requests in these areas may require additional evaluation and review.

REFERENCE-

FAA Order 8260.3, Appendix 1, Glossary Term, Precipitous Terrain.

3. The facility MVAC package must include a detailed account of the steps taken by the facility to determine if the sector will qualify for taking a ROC reduction in the sector. This data will be reviewed by the Service Center Operations Support Group (OSG) and the Radar Video Mapping Team personnel for ROC reduction approval. Service Center Operations Support personnel must be the approving authority for ROC reduction criteria compliance with paragraph e1(a) and (b) above. Previously approved reductions in ROC justifications must be resubmitted for approval during a facility's recurring certification process.

NOTE-

Should a ROC reduction request be denied by Service Center Operations Support personnel, the manager may appeal the decision to the appropriate Service Area Director of Air Traffic Operations.

4. In the advent of the development of an automated precipitous terrain algorithm certified by AFS, the automated method will be used in lieu of the manual method described above.

5. Ensure MVA areas submitted for ROC reductions do not cover large geographical areas that include locations that would not, individually, meet ROC reduction standards. In such cases, the Radar Video Mapping Team may work with the Service Center and the facility to design a sector that will pass the approval process for a particular approach/departure route.

6. Whenever a ROC reduction is taken, the rationale/justification for taking the ROC reduction as defined in subparagraph e1 must be included in the MVAC package by facility managers.

7. ROC reductions should only be requested when there is a demonstrated operational need.

f. An assumed adverse obstacle (AAO) additive is required in areas not designated as mountainous (ROC 1,000 feet) and in designated mountainous terrain areas when any ROC reduction is requested.

g. Resultant MVAs may be rounded down to the nearest 100-foot increment (those that are xx49 feet or less), except in the following cases:

1. Any locations outside of the Contiguous United States.

2. Where any part of an MVA Sector is more than 65 NM from the issued altimeter source.

3. When all of the following conditions are applicable:

(a) the MVA Sector is within designated mountainous areas by 14 CFR Part 95,

(b) the terrain is deemed precipitous by facility Air Traffic Management,

(c) the previous 5 year average low temperature at the primary airport is documented to be less than the temperature shown in TBL 3–8–1 for the amount of ROC reduction requested. Retain temperature documentation locally with approved 7210-9. Use TBL 3–8–1 to determine the extent of mountainous terrain reduction permitted if rounding down, based on the average low temperature. Comply with the following process to determine the average low temperature.

(1) Go to the National Center for Environmental Information website at www.ncei.noaa.gov.

(2) Mouse over the “Resources” link on the blue bar.

(3) Click on “Quick Links.”

(4) Click on “Global Historical Climatology Network” link.

(5) Click on “Global Summary of the Year.”

(6) Accept the default date, select “Stations” in the search for field, then enter the station representing the primary airport. Then click on search.

(7) Click on the airport name. When the page opens, scroll down to “View Station Data.” Select the year interested in. Then view data.

(8) A report will appear, then go to the second page. Document the EMNT value. Select each relevant year and document the EMNT for that year. Then calculate the 5–year average.

TBL 3–8–1
ROC Reduction/Temperature Table

Requested ROC Reduction	Minimum Average Low Temperature
100'	-40°C/-40°F
200'	-35°C/-31°F
300'	-30°C/-22°F
400'	-25°C/-13°F
500'	-20°C/-4°F
600'	-15°C/5°F
700'	-10°C/14°F
800'	-5°C/23°F
900'	0°C/32°F
1000'	7°C/45°F(2°C/36°F when MVA sector is within 35 NM of issued altimeter)

h. Managers requesting to waive criteria contained in FAA Order 8260.3, must submit FAA Form 8260-1, Flight Procedures/Standards Waiver in conjunction with the MVA project. This waiver form will contain the criteria requested to be waived, with the operational need fully explained, and examples of how the facility will achieve an equivalent level of safety, if approved. The package will be sent to the Radar Video Mapping Team through the Service Center OSG. Upon completion of the Radar Video Mapping Team review, the package will be forwarded to the Flight Procedure Implementation and Oversight Branch. For the Flight Standards Waiver process, facility managers do not need to complete a Safety Management System evaluation. An electronic copy of the completed waiver package must be sent to Operations Headquarters Directorate, AJT-2, at 9–AJT–HQ–Correspondence.

i. MVAs must not be below the floor of controlled airspace and should provide a 300–ft buffer above the floor of controlled airspace. In some cases, this application will result in an exceptionally high MVA (for example,

in areas where the floor of controlled airspace is 14,500 MSL). When operationally required to vector aircraft in underlying Class G (uncontrolled) airspace, 2 MVAs may be established. The primary MVA must be based on obstruction clearance and the floor of controlled airspace. A second, lower MVA that provides obstruction clearance only may be established. The obstruction clearance MVA must be uniquely identified; for example, by an asterisk (*). Do not consider buffer areas for controlled airspace evaluations.

j. If new charts prepared using SDAT create a significant impact on a facility's operation, the impact must be coordinated with Operations Headquarters Directorate, AJT-2, for joint coordination with System Operations.

NOTE–

Significant impacts include changes to flight tracks for turbine-powered aircraft, multiple losses of cardinal altitudes, and/or reductions in airport arrival/departure rates.

k. Air traffic managers may request to merge adjoining, like altitude MVA sectors that resulted from using differing design criteria provided the merged sectors are identified in the remarks on FAA Form 7210-9 and a statement is included with each affected sector that the merged sectors are for Radar Video Map (RVM) presentation only; for example, Sector B, B1, and B2 are to be merged in SDAT shape files for RVM presentation only.

l. Air traffic managers must submit the request for MVACs to the appropriate Service Center OSG for review. The Service Center OSG must then forward the requested MVAC to the Radar Video Mapping Team for processing.

m. Each request must indicate the MVAC was accomplished in Web-SDAT, stored in the Web-SDAT database and when necessary, include a statement regarding the issued altimeter settings being within 65 NM of a rounded down sector and/or provides the 5-year average cold temperature.

n. Each request must include the SDAT generated Form 7210-9 with the manager's signature and point of contact at the submitting facility. Form 7210-9 must also be an electronic copy with the manager's signature, and imported into the MVA project file. When applicable, each Form 7210-9 must include explanations/justifications for ROC reduction requests. The MVA request with the 7210-9 will be electronically forwarded to the OSG. When the capability of electronic signatures is developed within SDAT, Form 7210-9 may be transmitted electronically between the facility, Service Center, and Radar Video Mapping Team in lieu of the paper process. SDAT will automatically store the approved MVAC package in the National Airspace System Resource (NASR).

o. When more than one chart is used, prepare those charts with the oldest review/certification date(s) first to help avoid lapses in annual review/certification requirements.

p. New charts that result in significant operational impacts must not be implemented by air traffic managers until associated changes to facility directives, letters of agreement, and controller training are completed within a period not to exceed 6-months from new chart certification.

q. Once a chart without significant operational impacts has been approved, it must be implemented as soon as possible. MVAC installations projected to be more than 60 days from date of approval must be coordinated with and approved by the Service Center OSG.

r. Air traffic managers must ensure that MVACs are periodically reviewed for chart currency and simplicity and forwarded for certification to the Radar Video Mapping Team at least once every 2 years. Charts must be revised immediately when changes affecting MVAs occur.

3-8-3. ALTITUDE ASSIGNMENTS TO S/VFR AND VFR AIRCRAFT

Where procedures require altitude assignments to S/VFR and VFR aircraft less than the established IFR altitude or MVA, facility air traffic managers must determine the need and the method for displaying the appropriate minimum altitude information.

REFERENCE–

FAA Order JO 7110.65, Para 7-5-4, Altitude Assignment.

FAA Order JO 7110.65, Para 7-8-5, Altitude Assignments.

3–8–4. EMERGENCY OBSTRUCTION VIDEO MAP (EOVM)

a. An EOVM must be established at all terminal radar facilities that have designated mountainous areas as defined in 14 CFR Part 95, Subpart B, within their delegated area of control. This map is intended to facilitate advisory service to an aircraft in an emergency situation in the event an appropriate terrain/obstacle clearance minimum altitude cannot be maintained.

NOTE–

Appropriate terrain/obstacle clearance minimum altitudes may be defined as MIA, MEA, Minimum Obstruction Clearance Altitude (MOCA), or MVA.

b. EOVM Use: The EOVM must be used and the advisory service provided only when a pilot has declared an emergency or a controller determines that an emergency condition exists or is imminent because of the inability of an aircraft to maintain the appropriate terrain/obstacle clearance minimum altitude/s.

c. EOVM Design:

1. The basic design of the EOVM must incorporate the following minimum features:

(a) Base contour lines of the mountains with the highest peak elevation of each depicted mountain plus 200 feet for natural low obstacle growth.

(b) Highest elevations of adjacent topography; e.g., valleys, canyons, plateaus, flatland, etc., plus 200 feet, or water.

(c) Prominent man-made obstacles; e.g., antennas, power plant chimneys, tall towers, etc., and their elevations.

(d) Operational airports which could serve in an emergency as follows:

(1) Primary Airport,

(2) Public-use satellite airports, and

(3) Private airports, only after declaration by the airport owner that the airport is suitable for emergency use. Facility validation of suitability for emergency use must be documented every two years during the EOVM coordination process with AJV–A and retained in facility files.

NOTE–

1. Mission Support Services, Aeronautical Information Services, AJV–A2 will verify the accuracy of video maps they produce to ensure the video maps depict only operational airports as defined by the Office of Airport Safety and Standards, AAS–1. Facilities will be notified by AJV–A2 that a new EOVM will be sent when a depicted airport is no longer operational.

2. AJV–A2 has developed a local template that will be provided to the facility when the coordination process starts. In addition, those facilities depicting private airports will be expected to fill out the template and return to AJV–A2 during the EOVM review process.

(e) Other information deemed essential by the facility.

NOTE–

To avoid clutter and facilitate maintenance, information depicted on the EOVM should be restricted to only that which is absolutely essential.

2. All elevations identified on the EOVM must be rounded up to the next 100-foot increment and expressed as MSL altitudes.

NOTE–

To avoid unnecessary map clutter, the last two digits are not required.

EXAMPLE–

2=200, 57=5700, 90=9000, 132=13200

d. EOVM Production: The initial preparation and procurement of the EOVM must be accomplished in accordance with FAA Order 7910.1, Aeronautical Video Map Program.

e. EOVM Verification: The initial and subsequent EOVM procurement package must be checked for adequacy and then coordinated with AJV–A2 to verify the accuracy of its information. At least once every 2 years, the EOVM must be reviewed for adequacy and coordinated with AJV–A2 for accuracy.

f. Facilities will receive a new EOVM from AJV–A2, regardless of whether changes were made or requested. ATMs must revise maps immediately when changes affecting the EOVM occur. Newly received EOVMs must be implemented by facility managers as soon as possible, but no later than 60 days after the map production date.

NOTE–

AJV–A2's review cycle may not be the same as a facility's 2-year review cycle. In an effort to reduce duplication of work, ATMs should align their 2-year review dates with that of AJV–A2's review.

g. Similar maps often titled VFR or EMERGENCY are EOVM–like maps. These video maps do not follow the EOVM validation process, except for the depiction of operational private airports. Facilities must follow the provisions of c1(d)(3) above concerning suitability for depiction. AJV–A2 will provide their local template during coordination of the video map for private airport depiction.

3–8–5. ESTABLISHING DIVERSE VECTOR AREA/S (DVA)

a. DVAs may be established at the request of the ATM at ATCT locations without published SIDs. DVA requests will be coordinated jointly with the appropriate Service Area respective OSG and Mission Support Services, Instrument Flight Procedures Group, for candidate airports within the facility's area of jurisdiction after considering and fulfilling the following steps:

1. DVAs should be considered when obstacles penetrate the airport's diverse departure obstacle clearance surface (OCS). The OCS is a 40:1 sloping surface and is intended to protect the minimum 200 feet/NM climb gradient. If there are no obstacle penetrations of this surface, then standard takeoff minimums apply, obstacle clearance requirements are satisfied, and vectoring of IFR aircraft is permitted below the MVA/MIA.

2. When the OCS is penetrated, the Instrument Flight Procedures Group procedural designer may develop an obstacle departure procedure (ODP). An ODP may consist of obstacle notes, nonstandard takeoff minimums consisting of nonstandard ceiling and visibility or climb gradient, a specified departure route, or any combination thereof. If an ODP is developed for a runway, it may be a candidate for a DVA. The ATM must determine that sufficient surveillance coverage exists for any airport with a published instrument approach and an operating control tower.

3. Where established, reduced air traffic separation from obstacles, as provided for in TERPS diverse departure criteria, can be used to vector departing IFR aircraft below the MVA/MIA.

4. To assist in determining if obstacles penetrate the 40:1 surface, ATMs may request the Instrument Flight Procedures Group or the Service Center Flight Procedures Team (FPT) to provide a graphic depiction of any departure penetrations.

5. If the location is listed in the Terminal Procedure Publication (TPP) index, check the take-off minimums and (Obstacle) Departure Procedures in section C of the TPP for the DVA runway. If nothing is listed, or only obstacle notes appear, then a DVA is not necessary. If a DP appears, development of a DVA becomes an option.

6. If the location is not listed, query the AIS website at http://www.faa.gov/air_traffic/flight_info/aeronav/Aero_Data/ and select the Special Procedures link to determine if a "special" instrument approach procedure exists at that airport/heliport. If there is a special procedure, the Regional Flight Standards All Weather Office (AWO) can supply FAA Form 8260–15A for ODP information when requested by the facility.

NOTE–

If the TPP or AWO indicates IFR departures N/A for any given runway, then a DVA is not authorized.

7. If the ATM elects to request a DVA, use the sample memorandum below as a guide (see FIG 3–8–1). Specify if the request is to establish, modify, or cancel a DVA. If modifying or canceling a DVA, attach the memorandum that authorizes the current DVA. The DVA request must include the following:

- (a)** Airport identifier.
- (b)** Desired DVA runway(s).
- (c)** Requested DVA method. Specify a range of operational headings by starting from the extreme left heading proceeding clockwise (CW) to the extreme right heading as viewed from the departure runway in the direction of departure (for example, Runway 36, 290 CW 120), or isolate a penetrating obstacle(s) by identifying that obstacle(s) either by DOF number or range/bearing from airport.
- (d)** Maximum Extent (Distance) from Departure Runway.
- (e)** Radar Type/Beacon Type. Provide whether the facility has an ASR-8, 9, or 11, and its associated beacon system or monopulse secondary surveillance radar (MSSR), if applicable.
- (f)** Facility Hours of Operation.

FIG 3-8-1
Sample DVA Memo



Federal Aviation Administration

Memorandum

Date: March 10, 2011

To: John Bickerstaff, Manager, Terminal Procedures and Charting Group, AJV-35
THRU: Mark Ward, Manager, Eastern Operations Support Group, AJV-E2

From: Steve Jones, Air Traffic Manager, XYZ TRACON

Prepared by: Joseph B. Specialist, Support Specialist

Subject: Diverse Vector Area (DVA) Request

XYZ TRACON requests the following DVA action as specified for the following airport(s) based on the information provided below:

<u>ACTION</u>	<u>AIRPORT</u>	<u>RWY</u>	<u>REQUESTED DVA METHOD</u>	<u>DIST FROM RWY</u>
ESTABLISH	KABC	35R	Range of Headings 320 CW 020	Within 18NM
ESTABLISH	KABC	17L	Range of Headings 140 CW 200	Within 20NM
MODIFY	KXYZ	15	Isolate Penetrating Obstacle DOF 05-00234	
CANCEL	KDEF	22		

Radar Type/Beacon Type: ASR-8 with ATCBI-5

Hours of Operation: 0600-2300 local

POC is Joe Specialist, XYZ TRACON, 416-555-9988.

Attachments:

1. KXYZ DVA authorization memorandum dated October 28, 2008.
2. KDEF DVA authorization memorandum dated February, 16, 2009.

- a. Between ARTCCs:**
 - 1. Radar handoff procedures.
 - 2. Interfacility coordination procedures.
 - 3. Delegation of responsibility for IFR control jurisdiction.
- b. Between ATCTs:**
 - 1. Tower en route control service.
 - 2. Interfacility coordination procedures.
- c. Between Flight Service Stations: Procedures for maintaining master flight plan files.**
- d. Between an ARTCC and an ATCT:**
 - 1. Approach control service.
 - 2. Interfacility coordination procedures.
 - 3. Tower/center en route control service.
- e. Between an ARTCC and an FSS: Procedures for the assignment of DVFR and VFR beacon codes.**
- f. Between an ATCT and an FSS: Operation of airport lighting.**
- g. Between an ARTCC or an approach control facility and a nonapproach control tower, an FSS, an airport manager, or a local operator: Special VFR Operations. (See FIG 4-3-1.)**
- h. Between an ARTCC or an approach control facility and a nonapproach control tower:**
 - 1. Authorization for separation services.
 - 2. Interfacility coordination procedures.
 - 3. Opposite direction operations procedures.

REFERENCE—

FAA Order 7210.3, Para 2-1-38, Opposite Direction Operations.

- i. Between an ARTCC and another government agency:**
 - 1. Interfacility coordination for control of ADC aircraft.
 - 2. Delegation of responsibility for approach control services.
 - 3. MTR procedures.
- j. Between a tower and another government agency:**
 - 1. Simulated flameout procedures.
 - 2. Control of helicopter SVFR flights.
 - 3. Operation of aircraft-arresting barriers.
 - 4. MTR procedures.
- k. Between a tower and/or FSS and an airport manager/aircraft operator at airports upon which the tower and/or FSS is located:**
 - 1. Airport emergency service.
 - 2. Operation of airport lighting.
 - 3. Reporting airport conditions, to include how all PIREP braking action reports of “good to medium,” “medium,” “medium to poor,” “poor,” or “nil” are to be immediately transmitted to airport management, and an agreement on actions by air traffic personnel for the immediate cessation of operations on runways subject to “nil” braking action reports.

REFERENCE–

Advisory Circular AC 150/5200–30D, Airport Winter Safety and Operations.

4. Control of vehicular traffic on airport movement areas.
5. Specific activities allowed in the RSA during aircraft operations.

REFERENCE–

■ *FAA Order JO 7210.3, Para 2–1–23, Obstacle Identification Surfaces, Obstacle Free Zones, Runway Safety Areas. Approach/Departure Hold Areas and Clearways.*

AC–150/5210–20A, Appendix C.

6. Operations under an exemption from Part 91, Appendix D, Section 3, the surface area of Class B, Class C, Class D, or Class E airspace within which Special VFR weather minimums are not authorized.

REFERENCE–

Advisory Circular AC 150/5210–7C, Airport Rescue and Fire Fighting Communications.

- l. Between a tower and/or FSS and an airport manager/aircraft operator at airports upon which the tower is located but the FSS is not: Reporting airport runway conditions.

m. Between an air traffic control facility and a fixed site operating under Section 44809. For all operations occurring on–airport, follow procedures in FAA Order JO 7200.23, Processing of Unmanned Aircraft Systems Requests, Chapter 2, Processing of Section 44809 Authorization Requests.

4–3–3. DEVELOPING LOA

Air traffic managers must take the following action when developing an LOA: (See examples FIG 4–3–1 and FIG 4–3–2. For commercial space example LOAs, see Appendix 6.)

- a. Determine, through coordination, which FAA facility is principally responsible for processing the LOA.
- b. Confine the material in each agreement to a single subject or purpose.
- c. Describe the responsibilities and procedures applicable to each facility and organization involved. Review pertinent national procedures or local instrument flight procedures and incorporate into the new LOA(s) as necessary.

NOTE–

Information related to subscribing for alerts regarding upcoming changes to instrument flight procedures is available at the Instrument Flight Procedures Information Gateway: https://www.faa.gov/air_traffic/flight_info/aeronav/procedures/.

REFERENCE–

FAA Order JO 7210.3, Para 2–1–2, Facility Standard Operating Procedures Directive.

FAA Order JO 7210.3, Para 2–1–6, Checking Accuracy of Published Data.

■ *FAA Order JO 7210.3, Para 4–3–8, Annual Review/Revisions.*

- d. Delegate responsibility for control of IFR aircraft, where necessary, by taking the following action:
 1. Describe the area within which responsibility is delegated. The area may be depicted in chart form.
 2. Define the conditions governing use of the area. These include altitudes, routing configuration, and limitations or exceptions to the use of the applicable airspace.
 3. Specify the details of control procedures to be used. These include clearance limits, reporting points, handoff points, and release points.
 4. Identify clearance limits designated as Instrument Approach Fixes when they are to be used for holding aircraft.
 5. Specify communications and coordination procedures.
- e. Coordinate with other FAA facilities and military or civil organizations as appropriate.
- f. Attach charts or other visual presentations, when appropriate, to depict the conditions of the LOA.
- g. Coordinate with the Regional Flight Standards Division, All Weather Operations Program Manager if aircraft operations or pilot procedures will be affected.

h. Prepare a single supplement, if necessary, to augment the letter at a facility and attach it to the basic LOA. Do not repeat material from the basic LOA.

i. After coordination, send two copies of the proposed LOA, including supplements, to the service area office for approval if required.

4-3-4. REVIEW BY SERVICE AREA OFFICE

a. The Service Area office must review the proposed LOA, ensure coordination with other interested offices and affected user groups, as necessary, and approve the LOA if satisfactory. Coordination includes mandatory review of the LOA by a Service Center Environmental Protection Specialist (EPS) in accordance with paragraph 4-1-6.

b. The Service Area office may, in writing, delegate to air traffic managers, air traffic managers designees, ATREPs, or Region Air Defense Liaison Officer (RADLOs) the authority to develop, coordinate, approve, and implement LOAs except for:

1. Those which prescribe procedures or minima contrary to those contained in FAA Order JO 7110.65, Air Traffic Control, unless appropriate military authority has authorized application of reduced separation between military aircraft; or

REFERENCE-

FAA Order JO 7110.65, Para 1-1-9, Procedural Letters of Agreement.

2. Those between an IFR facility and a tower to authorize the separation services prescribed in paragraph 2-1-16, Authorization for Separation Services by Towers, and paragraph 10-5-3, Functional Use of Certified Tower Radar Displays.

4-3-5. APPROVAL

Upon receipt of Service Area office approval, the air traffic manager must:

a. Prepare the LOA in final form incorporating the Service Area office guidance. Development of the LOA includes an environmental impact review by the appropriate Service Center EPS in accordance with paragraph 4-1-6 of this order.

b. Establish an effective date, acceptable to all parties involved, that permits sufficient time for distribution and for participating facilities and user groups to familiarize personnel, revise directives, flight charts, etc., and complete other actions.

c. Sign the LOA and obtain signatures of other authorities as required.

d. Distribute copies of the signed LOA to each participating facility or organization, the Service Area office, and other interested offices. Distribution of supplements outside the facility is not required.

e. Ensure that current, new, or revised LOA, Standard Operating Procedures (SOP), and FAA Facility Orders (FO) are posted in the Facility Directives Repository (FDR) before the effective date of the document.

EXCEPTION. LOAs containing contingency plan information must not be posted to the FDR. LOAs with such information must be posted to the National OCP database.

REFERENCE-

FAA Order JO 7210.3, Para 2-2-14, Facility Directives Repository (FDR).

4-3-6. COMMERCIAL SPACE LOAs

LOAs exist between ATC facilities and commercial space launch/reentry site, launch, and/or reentry operations proponents. FAA Order JO 7400.2, Procedures for Handling Airspace Matters contains responsibilities and procedures for Commercial Space operations. The following lists the roles and responsibilities of organizations and individuals involved in the commercial space LOA process:

- a. The respective ATO Service Center OSG will serve as facilitator of the LOA development.
- b. ATO Service Center OSG will coordinate with the appropriate Service Area, ATO Space Operations, the Office of Commercial Space Transportation (AST), the Office of Airports, and other offices having responsibilities in accordance with the operation.
- c. Each LOA must include, but is not limited to:
 - 1. Names and contact information for all parties involved.
 - 2. For launch/reentry operation LOAs: Description of operation to include vehicle type and characteristics; anticipated frequency of operations; and requested airspace, altitude, vehicle positioning data transmittal, and Aircraft Hazard Area (AHA) information.
 - 3. For launch/reentry site LOAs: Brief description of the launch/reentry site, types of anticipated operations, and anticipated frequency of proposed operations.
 - 4. Operating procedures to include communications, real-time coordination, NOTAM content issuance, contingency, and emergency.

4-3-7. HOT AIR BALLOON LOAs FOR CLASS C AIRSPACE

Air traffic managers at facilities that conduct hot air balloon operations within Class C airspace must enter into an LOA with balloon operators or festival representatives specifying procedures and conditions for operations. The LOA must be developed using a hot air balloon LOA template obtained from the Service Center Operations Support Group.

4-3-8. ANNUAL REVIEW/REVISIONS

- a. Review LOAs at least annually and update as necessary. Examine current LOAs for practices and/or procedures that are no longer required. Reviewing includes both content and relevance that achieve full operational efficiency and customer flexibility. Review and, if necessary, update LOAs when new/revised instrument flight procedures are published or national procedures are implemented or changed.

NOTE-

Information related to subscribing for alerts regarding upcoming changes to instrument flight procedures is available at the Instrument Flight Procedures Information Gateway: https://www.faa.gov/air_traffic/flight_info/aeronav/procedures/.

REFERENCE-

FAA Order JO 7210.3, Para 2-1-2, Facility Standard Operating Procedures Directive.

FAA Order JO 7210.3, Para 2-1-6, Checking Accuracy of Published Data.

FAA Order JO 7210.3, Para 4-3-3, Developing LOA.

- b. Process revisions to LOAs and attachments or supplements thereto as page replacements. Mark the revisions as follows:
 - 1. Place an asterisk or vertical line to the left of each new or revised paragraph or section to signify new material.
 - 2. 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.
- c. Coordinate revisions to a LOA in the same manner and degree as for the original LOA.

4-3-9. CANCELLATION

After appropriate coordination with LOA signatories and the Service Area, cancel any agreement which is no longer applicable. Ensure that the FDR is updated.

FIG 4-3-1

Format for a Control Facility/FSS Letter of Agreement

(Name) Center/Approach Control and (Name) FSS

LETTER OF AGREEMENT

EFFECTIVE: _____

SUBJECT: Special VFR Operations within (Name) Airport Surface Area

1. PURPOSE: To provide operating procedures for Special VFR flight handling in the (name) surface area without individual coordination.**2. SCOPE:** The procedures outlined herein are for use in the conduct of Special VFR operations within the (name) Airport surface area at or below _____ feet. These procedures are applicable only to aircraft equipped with functioning 2-way radio in order to effect a recall when required by traffic or weather conditions.**3. RESPONSIBILITIES:** Upon request by the (name) FSS, the Center/Approach Control Facility may authorize Special VFR operations in the (name) Airport surface area for specific periods of time. The Center/Approach Control Facility must retain the authority to withdraw the provisions of this agreement at any time.**4. PROCEDURES:**

a. Local Special VFR operations. The (name) FSS must not authorize more than one aircraft to operate simultaneously in the surface area unless pilots agree that they will maintain visual separation with other aircraft operating in the surface area.

b. IFR Arrivals and Departures. Special VFR operations must be controlled by the (name) Center/Approach Control during the following periods:

(1) From 10 minutes prior to the estimated time of arrival of an IFR aircraft over the approach fix until it is on the ground (IFR arrivals must not be cleared for an approach until the FSS confirms that there are no Special VFR operations in progress.)

(2) From 10 minutes prior to the estimated time of departure of an IFR aircraft until it departs the surface area.

c. Special VFR Arrivals and Departures:

(1) The (name) FSS may authorize aircraft to enter, depart, or fly through the surface area when no Special VFR operations are in progress. Authorization must be granted as outlined in 4a.

(2) Aircraft desiring to enter the surface area during times Special VFR operations are in progress must be instructed to maintain VFR conditions outside the surface area pending recall and landing of aircraft operating in the surface area.

d. Predesigned clearance phraseologies. To authorize Special VFR operations or to issue instructions or other messages pertinent thereto, the (name) FSS must use the following phraseology:

(1) To authorize operations:

A-T-C CLEARS (identification) TO ENTER/OUT OF/THROUGH (name) SURFACE AREA. MAINTAIN SPECIAL VFR CONDITIONS AT OR BELOW (altitude). REPORT LANDING COMPLETED/LEAVING SURFACE AREA, or
A-T-C CLEARS (identification) TO OPERATE WITHIN (name) SURFACE AREA. MAINTAIN SPECIAL VFR CONDITIONS AT OR BELOW (altitude).

(2) To deny operations when visibility is less than one mile:

VISIBILITY (value). A-T-C UNABLE TO ISSUE DEPARTURE/ENTRY CLEARANCE.

(3) To suspend operations:

SPECIAL VFR AUTHORIZATION DISCONTINUED. RETURN TO AIRPORT OR DEPART SURFACE AREA. ADVISE INTENTIONS (after response), REPORT LANDING COMPLETED/LEAVING SURFACE AREA.

(4) To advise an aircraft to remain outside the surface area:

A-T-C ADVISES (identification) TO MAINTAIN VFR OUTSIDE THE (name) SURFACE AREA PENDING ARRIVAL/RECALL/DEPARTURE OF SPECIAL VFR AIRCRAFT.

Air Traffic Manager, (Name) FSS_____
Air Traffic Manager, (Name) ARTCC/Approach
Control

FIG 4-3-2
Format for an ARTCC/Air Division Letter of Agreement

(Name) Air Route Traffic Control Center and (Name) Air Division <div style="text-align: center;">LETTER OF AGREEMENT</div> <div style="text-align: right;">EFFECTIVE: _____</div> <p>SUBJECT: Interfacility Coordination for the Control of Aerospace Defense Command Interceptor Aircraft</p> <p>1. PURPOSE: (List responsibility and describe necessary coordination.)</p> <p>2. CANCELLATION: (As required.)</p> <p>3. SCOPE: (Specify area, names, and types of facilities involved.)</p> <p>4. RESPONSIBILITIES: (Specify.)</p> <p>5. PROCEDURES:</p> <ul style="list-style-type: none"> a. ATC-Assigned Airspace. (List procedures to be followed for requesting and authorizing airspace, handling aircraft to and from the airspace, and notifying when no longer required.) b. Transfer of Control. (Specify transfer procedures.) c. Departure. (Specify required advanced time for filing flight plans. Outline additional items required in the flight plan; e.g., type of departure, CONAD control facility, and IND position number.) d. En Route. (including information that ATC is responsible for effecting separation in assigned airspace whenever nonparticipating aircraft are cleared to operate within such airspace.) e. Arrivals. (Outline handoff procedures and special instructions.) f. General. (Self-explanatory.) <p>6. ATTACHMENTS (List, as required, items such as chart of ATC-assigned airspace areas, common reference/handoff points, etc.)</p>
_____ Air Traffic Manager, (Name) ARTCC
_____ Commander, (Name) Air Division
_____ (Title of other appropriate authority)

■ 4-3-10. AUTOMATED INFORMATION TRANSFER (AIT)

a. Radar identification, altitude, and en route fourth line control information approval may be transferred via full data blocks without using point-out procedures or verbal coordination. Air traffic managers wishing to authorize the use of the AIT process must establish AIT procedures adapted to local traffic situations and use the process only within the context of those specific procedures. These precoordinated procedures and the controller responsibilities must be specifically defined in facility directives.

REFERENCE-

FAA Order JO 7110.65, Para 5-4-11, En Route Fourth Line Data Block Usage.

b. The controller who first transfers radar identification will also transfer aircraft communications. Either the transferring or the receiving controller, whoever is specified in a facility AIT directive, may issue the altitude change, if any. Additionally, facility AIT directives must require that any deviation from the specified procedure invalidates the procedure for that situation and requires that verbal coordination be completed as per FAA Order JO 7110.65, Air Traffic Control, paragraph 2-1-14, Coordinate Use of Airspace, paragraph 2-1-15, Control Transfer, paragraph 5-4-5, Transferring Controller Handoff, paragraph 5-4-6, Receiving Controller Handoff, or paragraph 5-4-7, Point Out. The following are general examples of the AIT process.

1. Transfer of radar identification only:

EXAMPLE-

Controller A initiates a transfer of radar identification to controller B before the aircraft enters controller B's airspace. Controller B accepts the transfer of radar identification before the aircraft enters his/her airspace. Controller B, traffic

(c) *FSSs*: Use two-letter codes, as follows:

TBL 4-6-3
Field 3 – FSS

<i>Designator</i>	<i>Position</i>
BC	Broadcast
FD	Flight Data
IF	Inflight
NO	NOTAM
OT	Other
PF	Preflight
WO	Weather Observer

4. Field 4 must contain the date in digit format. All spaces must be used.
5. Field 5 must contain the UTC time that the employee assumes responsibility for the position or the UTC time that the position is combined with another. For employees receiving OJT instruction or evaluation, field 5 must contain the UTC time that the OJT instruction or evaluation begins.
6. Field 6 must contain the operating initials of the employee working the position.
7. Field 7 must contain the UTC time that the employee is relieved of responsibility for the position or the UTC time that the position is decombined. For employees receiving OJT instruction or evaluation, field 7 must contain the UTC time that the OJT instruction or evaluation ends.
8. Field 8 must contain the appropriate code identified at the bottom of page 1 of the form.
9. Field 9 must contain the identifier of the position being combined with (per field 2). Field 9 may be left blank if the same entry is appropriate and entered in field 10.
10. Field 10 must contain the type of position being combined with (per field 3).
11. If the second page (back-side) of FAA Form 7230-10 is used, then fields 1, 2, 3 and 4 on that page must also be completed.
12. When a mistake is made in filling out fields 5, 6, 7, 8, 9, or 10 – if the portion of the line that is incorrect can be legibly corrected, then line out that portion only and write the correct information. If the incorrect portion cannot be legibly corrected, then line out the entire line and write the correct information on the next line.

4-6-7. AUTOMATED POSITION SIGN ON/OFF

a. *FLIGHT SERVICE STATION.*

Use of automated position sign on/off procedures is approved for FSS facilities. Facility managers are responsible for ensuring the accuracy of sign on/off data. Facilities must ensure sign on/off data is forwarded to concerned facilities along with other data required for accident packages. Sign on/off data must be retained for six months, in accordance with FAA Order 1350.14, Records Management. Data can be retained either electronically or on paper. FAA Form 7230-10, Position Log, is only required to be used during those times that the automated procedure is not available.

b. *TERMINAL/EN ROUTE.*

Use of automated position sign on/off procedures is approved for terminal and en route facilities. The information requirements described in paragraph 4-6-6, FAA Form 7230-10, Position Log, for FAA Form 7230-10 also apply to the automated procedure, except that times on/off the position may be displayed to the second rather than to the minute. Before implementation, facilities must receive En Route and Oceanic

Operations Area or Terminal Operations Area office approval and must verify the accuracy of the automated sign on/off procedure by conducting a 30-day trial period. After successfully verifying the automated procedure's accuracy, an actual FAA Form 7230-10 is only required to be used during those times that the automated procedure is not available.

4-6-8. TIME AND ATTENDANCE (T&A) RECORDING

Record the actual times an employee works and is absent on a daily basis. Facilities may use any of the following methods for documenting time and attendance reported to the servicing payroll office.

a. The supervisor's or timekeeper's observation and subsequent recording of employees' hours worked. When this method is used, leave usage must be documented via OPM (Formerly Standard Form 71), Request for Leave or Approved Absence, or a locally produced form/electronic format documented by facility directive.

b. Personnel log. A locally produced sign in/out form documented by facility directive, or FAA Form 7230-4.

1. When employees arrive, they must sign their name and record their time of arrival. When employees leave, they must record their time of departure and initial the form.

2. The personnel log must contain a statement or certification signed by each shift supervisor affirming the form's accuracy and approving the entries made by personnel while under their supervision. This statement must include the specific period of time for which each supervisor is providing certification.

3. The personnel log may also be used to document leave usage provided:

(a) The employee records the amount and type of leave used on the day the leave is used.

(b) Since leave use is covered by the Privacy Act, local management must inform all employees that they may use OPM (Formerly Standard Form 71), Request for Leave or Approved Absence instead of indicating their leave use on the log (or any other group format employed). This notification must be in writing, signed by the employee and retained in facility files, or the notification may be included in a facility directive which authorizes the group form.

c. Facilities may develop forms other than the personnel log to facilitate the documentation of leave and absence, provided:

1. The form includes, as a minimum, the employee request for leave, and the supervisor's approval/disapproval.

2. Each form and its use must be contained in a facility directive.

3. Group forms must allow for the Privacy Act alternative addressed above.

d. Initialing time and attendance reports may be used to document leave usage where this capability still exists.

e. Time clocks or other automated timekeeping devices. These devices may be linked to a supporting computer system for purposes of recording.

Chapter 5. Special Flight Handling

Section 1. Presidential Aircraft

5-1-1. ADVANCE COORDINATION

NOTE—

Presidential aircraft and entourage, referred to herein, include aircraft and entourage of the President, the Vice President, or other public figures designated by the White House. These parties may also be referred to as very important persons (VIP).

a. An advance survey group comprised of representatives of the Office of the Military Assistant to the President, the U.S. Secret Service (USSS), the White House Staff, and a Presidential Advance Agent may visit each ATC facility the Presidential aircraft will transit. The visit is normally made several days in advance of the trip to determine security aspects and the availability of supporting services. On this visit the group may meet with the airport operator, the air traffic manager (ATM), and other interested parties. Based on the evaluation by this group, a decision is made on the use of the airport, and further coordination is planned for the advance group as described in subparagraph b.

b. The advance group, comprised of representatives of the same organizations stated in subparagraph a, will meet with the same airport elements to complete security measures and supporting services and determine the necessary restrictions to air traffic operations before the arrival and the departure of the Presidential aircraft and while the Presidential entourage is on the airport. The security provisions may include stationing a guard in the tower cab or at the tower entrance and maintaining two-way communications between the control tower and agents on the ground. This meeting will be held several days in advance of the planned arrival of the Presidential aircraft. The advance group has been requested to have all elements of the group coordinate with the FAA simultaneously.

c. In addition to the responsibilities described in this paragraph, additional advance coordination requirements and information are located in JO 7610.4. Responsibilities include the following:

REFERENCE—

FAA Order JO 7610.4, Para 10-2-1, Advance Coordination.

1. The ATM must appoint an air traffic supervisor to serve as coordinator who will be responsible for attending all meetings and briefing all affected personnel. Additionally, the coordinator must brief the ATCSCC, the appropriate ARTCC, and other affected ATC facilities within their jurisdiction of any traffic delays or restrictions.

2. All advance coordination must be documented, with special attention given to routes, radio frequencies, and assigned transponder codes. This documentation must be made available to the personnel on duty who will be handling the Presidential movement.

3. The meeting must be attended by the ATM, the coordinator, and, if available, the supervisory specialist(s) who will be on duty and directly involved in the control of airport traffic during the arrival and departure, and while the Presidential entourage is on the airport.

4. The ATM must take whatever steps are necessary to ensure that the Presidential flight, Presidential support aircraft, and entourage are given priority. Restrictions will be placed upon normal air traffic operations to provide priority unless directed otherwise by the Domestic Events Network (DEN) Air Traffic Security Coordinator (ATSC). Air traffic personnel must be guided by the determinations of the advance group and must cooperate to the maximum extent possible.

5. The ATM must also consider the following measures:

(a) Employing air traffic control techniques to temporarily adjust (e.g., change runway configurations) or suspend the movement of traffic to accommodate the arrival and departure of the Presidential aircraft, and while the Presidential entourage is on the airport.

(b) Requesting traffic, by NOTAM (separate from the TFR NOTAM), to voluntarily conform to restrictions in the vicinity of an airport. The NOTAM must give the approximate time of the restrictions and should be cleared by the advance group. It must avoid any reference to presidential activities and must be issued at least 8 hours in advance.

EXAMPLE–

ALL TRAFFIC CAN EXPECT DELAYS FROM (date/time) TO (date/time) AND FROM (date/time) TO (date/time).

(c) The time will normally be 15 minutes before to 15 minutes after the arrival and the departure time.

(d) Advising airport management to ask aircraft operators to consider pre-positioning to other airports outside of the TFR area while the TFR is in effect in order to reduce the economic or other adverse impacts to those operators.

d. If the advance group determines that mandatory airspace restrictions are required, the Washington headquarters office of the U.S. Government agency responsible for the protection of the personage concerned will contact FAA Headquarters in accordance with established procedures and request the necessary regulatory action. The air traffic manager must advise the Service Area office of the regulatory proposal. (See 14 CFR Section 91.141 and FAA Order JO 7610.4, Sensitive Procedures and Requirements for Special Operations.)

NOTE–

The actions established herein do not affect the provisions of 14 CFR Section 91.113(b); i.e., an aircraft in distress has the right-of-way over all other air traffic.

REFERENCE–

FAA Order 7930.2, Para 7–1–1, FDC NOTAM Categories.

e. To ensure radio communications and radar service, the following should be coordinated with the advance group:

1. All aircraft in the flight should be assigned a discrete transponder code. As a minimum, the lead aircraft and the aircraft containing the President should turn their transponders on when flying in formation. In the event of a formation breakup, all aircraft should squawk their assigned code to facilitate auto-acquire.

2. Normal frequencies are preferred over discrete frequencies.

NOTE–

Secret Service personnel will transmit progress reports on the Presidential entourage to the affected tower as soon as possible.

f. Prior to the actual operation, action must be taken to ensure that all air traffic specialists who will be on duty during the arrival and departure of the Presidential aircraft are thoroughly briefed concerning the arrangements pertaining to the operation, including movements of the Presidential entourage while on the airport.

g. At military airports, the base commander will determine the restriction or delay of flight operations into that airport and the need to issue a NOTAM. He/she should coordinate his/her actions with the appropriate FAA facilities if air traffic will be affected.

5–1–2. THE PRESIDENT, VICE PRESIDENT, AND EXEC1F AIRCRAFT MONITORING

a. Advance scheduled movement information of the President, Vice President, and Executive One Foxtrot (EXEC1F) aircraft received from the White House must be distributed to the air traffic manager of each facility through which these aircraft will transit.

b. The ATM will be notified of the scheduled movement of the President, Vice President, or EXEC1F aircraft by the appropriate service center office or, when time critical, by national headquarters through the ATCSCC or the DEN.

c. The President, Vice President, and EXEC1F aircraft must be aurally and visually monitored by a supervisory specialist/controller-in-charge (CIC) from departure to arrival as follows:

Section 5. Air Carrier Computer Interface Program

6-5-1. GENERAL

Apply the provisions of this section when coordinating and implementing the air carrier computer interface program. The term *air carrier* used in this section includes scheduled air taxi operators that have the capability to transmit flight plans via the NADIN/Center B interface to ARTCC computer programs.

6-5-2. FACILITY RESPONSIBILITIES

The ARTCC, upon request from an air carrier to participate in this program, must:

- a. Obtain local contacts from the air carrier for coordinating the program.
- b. Provide the air carrier with a contact for the continued coordination of the program.
- c. Ensure that the air carrier is apprised of the criteria in paragraph 6-5-3, Criteria for Participation.

6-5-3. CRITERIA FOR PARTICIPATION

Air carriers participating in the program must be advised of the following criteria:

- a. Departure points and destinations must be contained within the CONUS. However, some users have made previous arrangements with various ICAO States (Puerto Rico, Panama, Canada, etc.) to accept domestic format. These agreements must be honored.
- b. Flight plans must not be filed more than 3 hours in advance of the proposed departure times. Flight plans must be telephoned to the appropriate facility if less than 45 minutes from the proposed departure time. All changes in the flight plan after filing must be telephoned to the appropriate facility.
- c. All flight plans must adhere to the format convention and content specified in paragraph 6-5-4, Format Conventions, and paragraph 6-5-5, Message Content.

6-5-4. FORMAT CONVENTIONS

Flight plans must be filed in the following format:

- a. Data input must adhere to a fixed order and not exceed the stated maximum number of characters or elements allowed for each field in messages addressed to an ARTCC computer.
- b. Each field of data is composed of one or more elements. Discrete elements of information within a field are separated by delimiters; generally, virgules (/) or periods.
- c. Some fields contain the necessary functions to operate the computer adapters and are designated by alpha characters. Do not separate these fields with spaces.
- d. One space character must be entered at the end of each data field, except:
 1. The first data field of a message must not be preceded by a space.
 2. The last data field of message need not be followed by a space.
 3. The Remarks (Field 11) terminate with the last nonspace character transmitted.

6-5-5. MESSAGE CONTENT

The complete message content, the order of data, the number of characters allowed within any data field or element, and any associated operational procedure or restrictions must be as follows: (See FIG 6-5-1).

- a.** Start of Message Code (Field A). Appropriate individual company coding to ensure entry into the AFTN system.
- b.** Preamble Line (Field B). Consists of priority and addressees in ICAO format.
- c.** End of Line Function (Field C). Three characters composed of carriage return, carriage return, line feed.
- d.** Computer Adapter Turn-on Code (Field D). Three characters specifying the facility adapter code plus carriage return, carriage return, line feed.
- e.** Source Identification (Field 00). Ten characters followed by a space character in the following order:
 - 1.** Three-character address of the originating office.
 - 2.** Four-character (digits) time in UTC.
 - 3.** Three characters (digits) representing the number of the message being transmitted to the specific facility. All facilities will have individual sequence numbers beginning with number 000 at 0000Z.
- f.** Message Type (Field 01). The letters “FP” followed by a space character.
- g.** Aircraft Identification (Field 02). Consists of two to seven characters followed by a space character. The first character of the identification must be a letter.
- h.** Aircraft Data (Field 03). Consists of two to nine characters followed by a space character. Aircraft data within the field may vary from one to three elements consisting of:
 - 1.** Super or heavy aircraft indicator (H/): When aircraft are designated super or heavy, the heavy indicator is mandatory.
 - 2.** Type of Aircraft: This element is mandatory and contains the standard aircraft type designator, in accordance with FAA Order JO 7360.1, Aircraft Type Designators.
 - 3.** Equipment Suffix: This element is optional and consists of a slash followed by one letter which is one of the approved designators identifying transponder and/or navigation equipment.
- i.** Airspeed (Field 05): Consists of two to four characters followed by a space character. This field must include the filed true airspeed in knots or Mach speed.
- j.** Departure Point (Field 06): The airport of departure must be two to a maximum of five characters using the authorized identifier as listed in FAA Order JO 7350.9, Location Identifiers, and must duplicate the first element of the route of flight (Field 10).
- k.** Proposed Departure Time (Field 07): Consists of five characters followed by a space character. This field contains the letter “P” followed by a four-digit time group (in UTC).
- l.** Requested Altitude (Field 09): Consists of two to three characters followed by a space character. Altitudes or flight levels, as appropriate, must be expressed in hundreds of feet.
- m.** Route of Flight (Field 10): The route of flight consists of the departure point, the route of flight, and a destination:
 - 1.** Field 10 is fixed sequence field and must begin with a fix; e.g., fix.route.fix.route., etc. An element is separated from another element by a period character.
 - 2.** When consecutive fix elements or route elements are filed, the fixed sequence format is maintained by inserting two period characters between the filed Field 10 elements; e.g., fix..fix or route..route.
 - 3.** The maximum number of filed field elements for computer-addressed flight plans is 40. Double period insertions do not count against the 40-element limitation.
- (a)** Fix Descriptions: A fix identifies a geographic point and must be one of either domestic, Canadian, or international identifiers, which are two to twelve alphanumeric characters.

(b) Route Descriptions: A route element must be one of the following:

(1) Airway: The official airway designator must be filed.

(2) Standard Instrument Departures (SID): SIDs, if used, must be filed by the computer-code designator as the second element of Field 10 and followed by the transition fix.

(3) Standard Terminal Arrivals (STAR): STARs, if used, must be filed by the computer-code designator as the next to last element of Field 10 and be immediately preceded by the entry or transition fix.

(4) Published Radials: Published radials; e.g., within a preferred route, are considered airways. Do not file unpublished radials.

EXAMPLE–

“.RBV020”

“.JFK053”

“.DPK017”

(5) North American Routes (NAR): Numerically coded routes preplanned over existing airways and route system to and from specific coastal fixes serving the North Atlantic.

EXAMPLE–

“.NA50”

“.NA9”

(c) Estimated Time En Route Suffix: Consists of an element separator (/) and four digits appended to the destination. Leading zeros are required, and the time en route is expressed in hours and minutes.

EXAMPLE–

“.STL/0105”

n. Remarks (Field 11): Consists of the remarks code character—a clear sky symbol or an overcast sky symbol, and the remarks.

NOTE–

If remarks (Field 11) are present, a space is required after the last element of Field 10. If remarks are not present, no space is required, and Field E (End of Text) should be the next entry.

1. The overcast sky symbol limits the transmittal of the remarks to the center controlling a point of departure. This should be used when the only remarks are a request for a full route clearance (FRC). It may also be used when it is known that the remarks are only pertinent to the center controlling the departure airport.

2. Remarks are not interpreted by the NAS En Route Program and are optional. When used, they must be limited to flight information pertinent to ATC.

o. End of Text Signal/End of Message Function (Field E).

NOTE–

Fields 04 and 08 are not applicable to proposed flight plans and have been intentionally omitted. (See FIG 6–5–1.)

FIG 6–5–1
Automated Flight Plan Message

(A)		(B)		(C)	(D)	(00)	
Individual company coding		FF KZFWZDZX		DTG KDALAALX	AAL1630001		
(01)	(02)	(03)		(05)	(06)	(07)	(09)
FP	AAL123	B727/A		0350	OKC	P1830	160
(10)	OKC..GAG.V280.AMA/0139				(11)	(E)	
					-> Pressurization inoperative	Enter Key	

<i>Computer Flight Data Input Chart</i>			
<i>Field</i>	<i>Element</i>	<i>Example</i>	<i>Requirements</i>
A	Start of Message (SOM code)	/B	Required for SOM recognition
B	Priority/Address Line	FF KZFWZQZX	Provides priority and addressee
C	DTG/Originator	DTG KDALAALX	Identifies time of transmission and originator
D	End of Line (EOL) Function	New Line Key	Required to end all lines except line of text
E	EOT/EOM	Enter Key	Terminates message

Section 6. En Route Decision Support Tool (EDST)

6-6-1. GENERAL

EDST is used by the sector team in performing its strategic planning responsibilities. EDST uses flight plan data, forecast winds, aircraft performance characteristics, and track data to derive expected aircraft trajectories, and to predict conflicts between aircraft and between aircraft and special use or designated airspace. It also provides trial planning and enhanced flight data management capabilities.

6-6-2. OPERATIONS SUPERVISOR-IN-CHARGE RESPONSIBILITIES

- a. Where authorized, perform EDST data entries to keep the activation status of designated Airspace Configuration Elements current.
- b. Ensure that the EDST Airspace Status Display information accurately reflects current Special Activity Airspace (SAA) status.
- c. Perform coordination and designated actions in the event of an EDST outage or degradation, in accordance with the requirements of this order and as designated by facility directive.
- d. Assist in sector preparations needed to transition to and from EDST operations.
- e. Ensure changes to restrictions based on the Restrictions Inventory and Evaluation are implemented in a timely manner.

6-6-3. OPERATIONS MANAGER-IN-CHARGE RESPONSIBILITIES

- a. Ensure that the EDST Airspace Status Display information accurately reflects current SAA status.
- b. Perform coordination and designated actions in the event of an EDST outage or degradation, in accordance with the requirements of this order and as designated by facility directive.
- c. Ensure changes to restrictions based on the Restrictions Inventory and Evaluation are implemented in a timely manner.

6-6-4. FACILITY MANAGER RESPONSIBILITIES

- a. Ensure LOAs, SOPs, and Sector Position Binders are current to support EDST.
 1. Facility managers must consider EDST functions and limitations in reviewing all current LOAs and/or negotiating all future LOAs.
 2. The following items should be considered when reviewing LOAs:
 - (a) Interfacility coordination procedures.
 - (b) Special Activity Airspace (SAA) use and status.
 - (c) Restriction relaxation/removal.
 - (d) Outage notification.
 - (e) Degradation of functions notification.
 - (f) Automated Information Transfer (AIT) procedures.
- b. Ensure all facility directives are current to support EDST. Directives must include, but are not limited to:
 1. Outages.

2. Airspace Configuration Elements Data Entry.
 3. Standard Use of Automated Flight Data Management.
 4. Sectors authorized to use Inappropriate Altitude for Direction of Flight (IAFDof) Manual Mode..
 5. Sectors authorized to use the Drop Track Delete function and the conditions under which it may be used.
 6. Conditions under which a controller can deactivate an adapted EDST restriction.
 7. Local requirements for posting flight progress strips that exceed national requirements.
 8. Facility standard for annotating status of manual coordination at sectors where automated coordination with an external facility is not available (e.g., international facility, VFR tower). Facility directives may require either the use of the Coordination Menu or flight progress strips, and must define a standard for each sector.
 9. Facility standard for annotating hold instructions and reporting delay information at sectors. Facility directives may require either the use of the ERAM Hold Data Menu, ERAM Hold view, flight progress strips, or a facility-approved worksheet, and must define a standard for each sector.
- c. Ensure the Restrictions Inventory and Evaluation is conducted and maintained in accordance with this order.
 - d. Ensure changes to restrictions based on the Restrictions Inventory and Evaluation are implemented in a timely manner.

6-6-5. EDST AIRSPACE CONFIGURATION ELEMENTS

- a. Airspace Configuration Elements are:
 1. Special Activity Airspace (SAA).
 2. Airport Stream Filters (ASF).
 3. Adapted restrictions.
- b. For each EDST adapted airspace configuration element, facility directives must designate at least one primary position and one secondary position to be responsible to update the status (e.g., active/inactive) and/or the activation schedule for that element.

NOTE—

1. *Accurate conflict probe results require timely updates to the current activation status and/or the projected activation schedule for airspace configuration elements.*
2. *Designating a position to have secondary responsibility for each EDST Airspace Configuration Element is essential to maintain the capability to perform updates in the event that equipment at the primary position is temporarily out of service.*
3. *Positions to be considered for primary or secondary designation include a specified sector, TMU, or operations supervisor.*

c. ATC positions and personnel authorized by facility directive must perform automation entries in a timely manner to update the status of SAAs, restrictions, and ASF.

d. For an EDST airspace configuration element that is associated with a particular sector or sectors and whose status is highly dynamic in nature:

1. The designated sector(s) should be assigned the primary responsibility to keep the EDST status current.
2. The TMU or the appropriate operations supervisor should be assigned the secondary responsibility to keep EDST status current.

6-6-6. STANDARD USE OF AUTOMATED FLIGHT DATA MANAGEMENT

Use of the checkbox flight data management feature of EDST must be standardized in accordance with individual facility directives.

6-6-7. EDST OUTAGES

a. In accordance with Chapter 8, NAS En Route Automation, and the requirements in this chapter, facilities must develop and maintain procedures for transition to and from EDST operations.

NOTE–

The back-up for EDST is flight progress strips.

b. Planned EDST Outages.

1. Schedule preventive or periodic maintenance of EDST to coincide with periods of low air traffic volume.
2. Notification of planned local EDST outages must be coordinated with the Operations Manager no less than 2 hours in advance.
3. The Operations Manager must notify the adjacent EDST facilities of a planned outage no less than 1 hour in advance.
4. The Operations Manager must notify Operations Supervisors of a planned EDST outage as soon as known.
5. Each Operations Supervisor must notify the sector teams in their area of a planned EDST outage as soon as known.
6. At least 20 minutes prior to a local EDST outage, Operations Supervisors must ensure that sectors resume posting and maintenance of flight progress strips, in accordance with FAA Order JO 7110.65, Air Traffic Control, requirements for a non-EDST environment, except as otherwise permitted by facility directive.

c. Unplanned EDST Outages.

1. A facility directive must include a checklist detailing actions to be taken and roles and responsibilities during an unplanned EDST outage.
2. When an unplanned EDST outage occurs, sectors must post and maintain flight progress strips in accordance with FAA Order JO 7110.65, Air Traffic Control, requirements for a non-EDST environment, except as otherwise permitted by facility directive.

NOTE–

1. *A full transition to strips may not be necessary based on the duration of the outage. Outages of short duration may allow continued use of the EDST data while strips are prepared for use in the event that the outage continues.*
2. *A “snapshot” of EDST flight data at the time of the outage will be available to the sector team. Although the data will not be updated and will become stale, it may be used to assist the sector team while reestablishing the support of strips.*
3. Any failure recovery action that will result in the automatic clearing of the EDST data on a position’s display must be approved by the Operations Manager.

d. Degraded Conditions.

1. In the event that EDST is operational, but alert data may be affected due to an associated equipment malfunction, the National Operations Manager (NOM) must notify the Operations Manager who must in turn notify Operations Supervisors. Each Operations Supervisor must ensure that each sector team in their area of specialization is cognizant of the potential for degradation.
2. When the associated equipment malfunction is corrected, the NOM must notify the Operations Manager who must in turn notify Operations Supervisors. Each Operations Supervisor must ensure that each sector team in their area of specialization is cognizant that the source of possible degradation has been corrected.

6-6-8. RESTRICTIONS INVENTORY AND EVALUATION

a. Facilities must identify responsibilities and establish procedures for the creation and maintenance of a facility restriction inventory. Facility plans should include identification and cataloging each air traffic restriction, by type, purpose, and frequency/ duration in effect.

b. Facilities must create a plan and conduct ongoing evaluations on the need to relax or remove restrictions not warranted during EDST operations. This must include EDST impact on ability to relax/remove restrictions and identification of dependencies between ability to remove restrictions and automation capabilities/limitations.

c. Submit annually to the Vice President of En Route and Oceanic Services, an Evaluation Report on facility restriction relaxation/removal related to EDST.

d. Prior to implementation of restriction changes each ARTCC must:

1. Coordinate with any affected ATC facility.
2. Coordinate with the ATCSCC, as appropriate.
3. Inform individual air carriers, as appropriate.

■ 6-6-9. TRAFFIC COUNTS AND DELAY REPORTING

a. Automated counts of traffic activities are the preferred methods.

b. Adherence to all applicable delay reporting directives shall continue while EDST is operational.

c. Delay information, must be recorded on available flight progress strips, on facility approved forms, or via the automated delay reporting features for aircraft in hold. Facility directives must detail the procedures for collecting and reporting this information to the ATCSCC.

■ 6-6-10. COMPUTER DATA RETENTION

Follow the guidelines detailed in this order to retain EDST recorded data.

■ 6-6-11. WAIVER TO INTERIM ALTITUDE REQUIREMENTS

a. If a facility directive has been issued to waive the mandatory computer entry of interim altitudes, controllers and supervisors in any affected area and adjacent areas or facilities must be informed of the resulting potential for misleading conflict probe alert data.

b. Each facility should strongly consider the benefits of conflict probe in evaluating any current or future waiver for data entry of interim altitudes. Conflict probe accuracy in assigning alert priorities for surrounding sectors, including those in adjacent ERAM facilities, are dependent upon the subject sector's entry/update of interim altitudes.

■ 6-6-12. TRANSFER OF POSITION RESPONSIBILITY

Each facility must ensure that pertinent EDST information is integrated into any Position Relief briefing list, whether manual or electronic.

Section 7. Advanced Technologies and Oceanic Procedures (ATOP)

6-7-1. GENERAL

a. ATOP is an Air Traffic Control (ATC) System deployed in designated en route and oceanic airspace. ATOP includes both surveillance and flight data processing, which provides the controllers with automated decision support tools to establish, monitor, and maintain separation between aircraft, and aircraft to airspace and terrain.

b. ATOP capabilities include:

1. MEARTS based radar surveillance processing.
2. Conflict Prediction and Reporting for conflict probe.
3. Automatic Dependence Surveillance–Addressable (ADS–A).
4. Automatic Dependence Surveillance–Broadcast (ADS–B).
5. Controller Pilot Data Link Communications (CPDLC).
6. ATC Interfacility Data Communications (AIDC).
7. Decision Support Tools used primarily for situation awareness.
8. Electronic Flight Data including Electronic Flight Strips.

6-7-2. OPERATIONAL SUPERVISOR-IN-CHARGE RESPONSIBILITIES

In addition to the watch supervision described in Chapter 2, Administration of Facilities, Section 6, Watch Supervision–Terminal/En Route, facilities must provide in facility directives the operational duties and procedures for the Supervisor–In–Charge associated with the ATOP System. Responsibilities and procedures must include but are not limited to the following:

- a. Disseminate flight information received at the Supervisor workstation in a timely manner.
- b. Supervisor workstation message management.
- c. ATOP data management when a channel changeover is being performed.
- d. Assignment of Error Repair responsibilities.

6-7-3. ERROR REPAIR POSITION RESPONSIBILITIES

Facilities must define responsibilities and develop procedures associated with the ATOP System for the Error Repair position. Responsibilities and procedures must include but are not limited to:

- a. Disseminate messages received at the workstation in a timely manner.
- b. Edit and repair messages.

6-7-4. FACILITY MANAGER RESPONSIBILITIES

a. Ensure LOAs, SOPs, MOUs and Sector Position Binders are current to support ATOP.

1. Facility managers must consider ATOP functions and limitations when reviewing current LOAs and/or negotiating future LOAs.

2. Consider the following items when reviewing LOAs:

- (a) Interfacility coordination procedures.
 - (b) Outage notification.
 - (c) Degraded functions notification.
 - (d) Automated Information Transfer Procedures.
- b. Ensure all facility directives, where applicable, support ATOP. Directives should include but are not limited to:
- 1. System problem reporting.
 - 2. Airspace and sector configuration.
 - 3. Use of surveillance sources.
 - 4. Use of paper strips and strip marking.
 - 5. Electronic flight data management.
 - 6. Conflict Probe/Decision Support Tools use, limitations, and exceptions.
 - 7. Internal coordination.
 - 8. Contingency plans.
 - 9. Controller preference management.

■ 6-7-5. TRANSFER OF POSITION

In addition to the procedures outlined in paragraph 6, Step-by-Step Process, of Appendix A, Standard Operating Practice (SOP) for the Transfer of Position Responsibility, in FAA Order JO 7110.65, Air Traffic Control, ensure facility directives include, at a minimum, the following procedures:

- a. Position relief briefing checklist.
- b. Sign-over procedures.

■ 6-7-6. ATOP CHANNEL CHANGEOVERS

Facilities must identify the procedures for a channel changeover that include a checklist detailing actions to be taken, and roles and responsibilities.

■ 6-7-7. OUTAGES

In accordance with Chapter 8, NAS En Route Automation, and requirements in this chapter, facilities must develop and maintain procedures for the transition to and from, and during ATOP degraded operations. A facility directive must include a checklist detailing actions, roles, and responsibilities during planned and unplanned outage or degraded operation.

■ 6-7-8. CONTROLLER PILOT DATA LINK COMMUNICATIONS

Facility managers must ensure that local procedures are developed for the use of CPDLC. These procedures must include but not be limited to:

- a. The use of free-text messages in air-to-ground communication.
- b. Data link limitations and exceptions.
- c. Lost communications procedures.
- d. Frequency assignment for automated transfer.

Section 8. Reduced Vertical Separation Minimum (RVSM)

6-8-1. GENERAL

a. RVSM airspace is defined as any airspace between FL290 and FL410 inclusive, where eligible aircraft are separated vertically by 1,000 feet. Additional altitudes provide users fuel savings and operational efficiencies while providing ATC flexibility, mitigation of conflict points, enhanced sector throughput and reduced controller workload.

b. RVSM is applied in RVSM airspace over the domestic United States, Alaska, the Gulf of Mexico where the FAA provides air traffic services, the San Juan FIR, across international borders with Canada and Mexico, and the Pacific and Atlantic Oceanic airspace controlled by the FAA. All aircraft operating in RVSM airspace must be RVSM eligible unless they qualify for an exception as listed below.

c. The following non-RVSM aircraft are exceptions to the exclusive RVSM airspace, however, access may be approved, workload-permitting:

1. DoD aircraft.
2. DoD-certified aircraft operated by NASA (T38, F15, F18, WB57, S3, and U2 aircraft only).
3. MEDEVAC aircraft.
4. Aircraft being flown by manufacturers for development and certification.
5. Foreign State aircraft.

d. The following aircraft operating within oceanic airspace or transiting to/from oceanic airspace are excepted:

1. Aircraft being initially delivered to the State of Registry or Operator;
2. Aircraft that was formerly RVSM approved but has experienced an equipment failure and is being flown to a maintenance facility for repair in order to meet RVSM requirements and/or obtain approval;
3. Aircraft being utilized for mercy or humanitarian purposes;
4. Within the Oakland, Anchorage, and Arctic FIRs, an aircraft transporting a spare engine mounted under the wing.

e. Two thousand feet separation must be applied for aircraft transitioning RVSM airspace whenever one of the aircraft is not RVSM eligible.

f. Non-RVSM exception aircraft may access RVSM airspace in one of the following ways:

1. LOA: Complies with a Letter of Agreement (LOA) for operations within a single or adjacent ARTCCs.
2. File-and-Fly: Files a flight plan and makes the initial request to access RVSM airspace by requesting an ATC clearance.

g. Facilities with RVSM airspace must:

1. Provide guidance in the facility Standard Operating Procedures (SOP) for managing non-RVSM flights.
2. Where available, display the Center Monitor on the Traffic Situation Display (TSD) in each area and the Traffic Management Unit (TMU). This will aid in the coordination and decision making process for approving non-RVSM flights.

6-8-2. FACILITY MANAGER RESPONSIBILITIES

a. Ensure all facility directives are current to support RVSM.

- b. Ensure all LOAs, SOPs, and Sector Position Binders are current to support RVSM.
- c. Ensure airspace is continually reviewed for impact of RVSM.
- d. Ensure all height deviations of 300 feet or more are recorded and forwarded to the FAA Technical Center in Atlantic City, New Jersey at NAARMO@faa.gov.

■ 6-8-3. OPERATIONS MANAGER-IN-CHARGE RESPONSIBILITIES

Responsibilities must include but not be limited to the following:

- a. Maintain an operational awareness of RVSM impact specifically any non-RVSM aircraft being worked within RVSM airspace.
- b. Ensure proper coordination is accomplished between the STMC/TMU and the operations supervisors/controllers-in-charge regarding the accommodation and handling of any non-RVSM aircraft.
- c. Ensure, in conjunction with the Traffic Management Officer, that monitor alert values are addressed with RVSM impacts considered.
- d. Ensure the proper RVSM software is turned on.

■ 6-8-4. OPERATIONS SUPERVISOR-IN-CHARGE/CONTROLLER-IN-CHARGE RESPONSIBILITIES

Responsibilities must include but not be limited to the following:

- a. Maintain an awareness of all operational impacts associated with RVSM, specifically any non-RVSM aircraft currently within area sectors or projected to be in sectors under his/her area of responsibility.
- b. Ensure sector personnel have been properly briefed regarding any known non-RVSM aircraft in or projected to be in sectors under his/her area of responsibility.
- c. Ensure sector workload remains manageable when non-RVSM aircraft are in or projected to be in sectors under his/her area of responsibility.
- d. Coordinate all non-RVSM aircraft with operational supervisors/CIC as appropriate, both internally and externally, to ensure the aircraft is coordinated and accepted along its route of flight.
- e. Non-RVSM Exception Flights Outbound from the U.S. The operational supervisor/CIC from the last area to have communications and operational control of the aircraft in the facility where an aircraft departs RVSM airspace designated for U.S. air traffic control, or exit facility, must coordinate with the international point-of-contact in a timely manner.
- f. Ensure controllers at applicable sectors have their situation display properly aligned to display the RVSM indicator depicting those non-RVSM.

■ 6-8-5. NON-RVSM REQUIREMENTS

- a. RVSM approval is required for aircraft to operate within RVSM airspace. The operator must determine that the appropriate State authority has approved the aircraft.
- b. DoD, DoD-certified aircraft operated by NASA (T38, F15, F18, WB57, S3, and U2 aircraft only), MEDEVAC, aircraft operated by manufacturers for certification and development, and Foreign State exception aircraft will be accommodated in RVSM airspace on a workload permitting basis.
- c. Within oceanic airspace or transiting to/from oceanic airspace aircraft being initially delivered to the State of Registry or Operator, an aircraft that was formerly RVSM approved but has experienced an equipment failure and is being flown to a maintenance facility for repair in order to meet RVSM requirements and/or obtain approval; an aircraft being utilized for mercy or humanitarian purposes; and within the Oakland, Anchorage, and

Arctic FIRs, an aircraft transporting a spare engine mounted under the wing will be accommodated in RVSM airspace on a workload permitting basis.

d. Non-RVSM Exception Flights Inbound to U.S. The TMU at the facility where an aircraft penetrates RVSM airspace designated for U.S. air traffic control, or entry facility, receives the coordination from an international point-of-contact advising of an inbound non-RVSM exception. The TMU must coordinate with the operational supervisor/CIC in a timely manner.

6-8-6. EQUIPMENT SUFFIX AND DISPLAY MANAGEMENT

RVSM aircraft will file a "W" in the equipment field of an ICAO flight plan, or a suffix showing RVSM capability in a domestic flight plan (/H, /W, /L, or /Z). NAS automation shows non-RVSM aircraft with a coral box around the fourth character in the altitude segment of the data block. The conflict alert function uses the flight plan indication of RVSM capability to determine the appropriate separation standard to apply.

6-8-7. MOUNTAIN WAVE ACTIVITY (MWA)

In areas of known MWA, aircraft operators have been encouraged to report encountering this weather event and the severity of its impact. Operators may request assistance in the form of reroutes, change of altitude, vectors, or merging target procedures.

6-8-8. WAKE TURBULENCE AND WEATHER RELATED TURBULENCE

a. Domestic: Aircraft experiencing turbulence can be anticipated to advise ATC and request a clearance for mitigation in the form of vectors, altitude change, or to fly an offset.

b. Oceanic: Aircraft experiencing turbulence can be anticipated to advise ATC and request a revised clearance. In instances where a revised clearance is not possible or practicable, the aircraft may fly a lateral offset not to exceed 2NM from the assigned route or track. Advise ATC as soon as practical and return to the assigned route when the offset is no longer required.

6-8-9. SUSPENSION OF RVSM

a. Domestic: RVSM will not be suspended in domestic airspace. Should turbulence or other weather phenomena require, separation can be increased in a defined area and thoroughly coordinated operationally.

b. Oceanic: Air Traffic Service providers will consider suspending RVSM procedures within affected areas when pilot reports of greater than moderate turbulence are received. Within airspace where RVSM procedures are suspended, the vertical separation minimum between all aircraft will be 2,000 feet above FL290.

Section 9. En Route Information Display System (ERIDS)

6-9-1. GENERAL

ERIDS is a real time, interactive, electronic information display system that is used as a replacement for paper sources of information. ERIDS provides controllers, supervisors, and traffic management personnel with access to aeronautical data, weather data, airspace charts, ATC procedures, NOTAMs, PIREPs, and other sources of ATC information.

6-9-2. REQUIREMENTS

a. Where available, ERIDS must be used to provide controllers with the following information:

1. Sector binder information.

REFERENCE-

FAA Order JO 7210.3, Para 6-2-2, En Route Sector Information Binder.

FAA Order JO 7210.3, Para 2-1-3, Position/Sector Binders.

2. Notices to Air Missions (NOTAMs). Facilities using ERIDS for NOTAM distribution must develop a backup plan in the event ERIDS becomes unavailable/unusable.

3. National directives.

4. United States Government flight information publications/DoD flight information publications.

5. Other air traffic information and lists determined by facility directives.

b. ERIDS may be used to record and disseminate PIREPs.

c. ERIDS must not be used to disseminate dynamic operational information; for example, miles-in-trail restrictions, runway in use, weather information other than PIREPS, etc.

d. Facilities must develop local procedures to meet the following requirements:

1. Facilities using ERIDS must ensure that the provisions of FAA Order JO 7210.3, paragraph 6-2-2, are met in the event of an ERIDS outage or degradation.

2. Facilities using ERIDS in lieu of sector information binders must ensure that all information is available and maintained for each operational sector in accordance with the provisions of FAA Order JO 7210.3, paragraph 6-2-2.

Chapter 8. NAS En Route Automation

Section 1. General

8-1-1. TRANSITION PROCEDURES

a. Facilities must develop and maintain current detailed procedures for transition to and from the various automated and non-automated modes of operation.

b. The transition plans must include as a minimum:

1. Transition decision authority; i.e., the individual responsible for making the transition decision.

2. Specific transition procedures.

3. Detailed checklists specifying the duties and the responsibilities for the OMIC, STMCIC, OS, Radar Position (R), and other appropriate positions. The checklist must include, as a minimum, the following information/procedures:

(a) Transition decision authority.

(b) Coordination/notification procedures (intra- and interfacility).

(c) Specific duties/responsibilities (including detection and resolution of potential conflicts).

NOTE-

Whenever possible, coordination/notification procedures and duties/responsibilities should be listed in the order in which they are to be accomplished.

8-1-2. ALTRV FLIGHT DATA PROCESSING

a. Facilities must process ALTRV flight plans as follows:

1. Classified ALTRV data, stationary and/or flight plan information, must not be entered into the computer, processed, stored, or transmitted by the computer unless specific declassification data is provided; for example, “declassified for NOTAM/computer flight plan processing 24 hours in advance.” In the absence of declassified data, process this information manually and pass to only those personnel with a need to know. All data must be marked with the appropriate level of security classification, collected when notification to all applicable parties is completed, and destroyed according to security guidelines.

NOTE-

The use of a mission plan message is not authorized for processing classified ALTRV flight plans.

2. The military operations specialist at the departure ARTCC or where the ALTRV begins must ensure that unclassified ALTRV missions are entered into the NAS computer to destination or to ALTRV end point.

NOTE-

Base operations within Anchorage ARTCC’s jurisdiction may enter ALTRV flight plans into the NAS computer.

3. All flight plans for military aircraft (including ALTRVs) to or through the Anchorage FIRs must be given normal addressing plus PAZAZQZX and PAZNZQZX.

4. Unclassified ALTRV flight plans that have a block altitude change must be entered to the destination airport or ALTRV end point. An “XXX” must be entered into the route of flight immediately after each fix where a block altitude change is to occur to prevent the production of flight progress strips containing erroneous altitude information. The air traffic specialist working the area where the “XXX” has been entered must change the mission block altitude to what was previously coordinated and remove the “XXX” so that the correct block altitude will be processed to subsequent facilities.

5. Flight Plan Entries for MARSA and ALTRV

(a) For domestic flight plans (not leaving U.S. domestic airspace), include “MARSA” and/or “ALTRV” in Field 11.

(b) For international flight plans, include the word(s) “MARSA” and/or “ALTRV” in Reasons for Special Handling (STS/). Do not include additional/supplemental information in STS/. Include any additional/supplemental information in Remarks (RMK/).

EXAMPLE–

STS/ALTRV

STS/MARSA RMK/AR20HFAKER1233 IR101E1802X1845 MARSA BAKER23

b. The facility officer who has been designated military liaison and security duties is responsible for the development and implementation of methods for assuring the accuracy and the completeness of ALTRV flight plan and control information.

c. Estimates and revisions of ALTRV flight plans not processed online must be forwarded via the Aeronautical Information System from facility to facility.

8–1–3. COMPUTER DATA RETENTION

a. Retain SAR/CDR computer and DLOG (if recorded) recordings and data communications printouts for 45 days unless they are related to an accident/incident as defined in FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting. Retention of the latter must be in accordance with FAA Order JO 1350.14, Records Management.

b. If a request is received to retain computer data following an accident, the printout of the relative data will suffice, and the recording tape/disc may then be returned to service through the normal rotational cycle. The printout data are considered a permanent record and must be retained in accordance with aircraft accident/incident retention requirements. Reduction of the SAR/CDR and DLOG (if recorded) tapes/discs to hard-copy format must be made at the earliest time convenient to the facility involved without derogating the ATC function and without prematurely taking the computer out of ATC service. Do not make these data and printouts a part of the accident/incident package.

c. If a request is received to retain a specific data recording and the data are available and contained on tape, the tape must be retained in its entirety. If the data are contained on disc, the facility may transfer all pertinent data to magnetic tape and label the tape a *Duplicate Original*. After successful transfer, the disc pack may be returned to service through the normal rotational cycle. However, if a specific request is received to retain the disc, the disc pack must be retained in its entirety.

d. Treat SAR/CDR and DLOG (if recorded) recordings, *duplicate and/or originals*, and data communications printouts related to hijack aircraft the same as voice recorder audio files. (See paragraph 3–4–4, Audio Data Retention.)

8–1–4. FLIGHT PLAN DROP INTERVAL

Set a standard Flight Plan Drop Interval appropriate for daily operations. Coordinate increased drop interval times due to temporary conditions with underlying facilities and the Air Traffic Control System Command Center (ATCSCC). Record temporary adjustments on FAA Form 7230–4, Daily Record of Operations, and the National Traffic Management Log (NTML).

Section 2. Procedures

8-2-1. THREE MILE OPERATIONS

Facilities may adapt airspace to permit the use of 3 NM separation as defined in FAA Order JO 7110.65, Air Traffic Control, subparagraph 5-5-4c, subparagraph 5-5-4d, or subparagraph 5-5-4e, provided all of the following are met:

a. An operational advantage will be obtained. Consideration must be given to such aspects as terminal interface, radar reliability, etc.

b. Facility directives are issued to:

1. Define the 3 NM separation area.
2. Permit 3 NM separation in the defined area.
3. Accommodate local procedural changes.

c. ERAM:

1. The 3 NM separation area is displayable on the video map.
2. The aircraft alert volume is adapted for 3 NM separation.
3. Within 40 NM of the preferred radar; or
4. Within 60 NM of the preferred radar when using an MSSR; or
5. When the facility is operating in track-based display mode.

NOTE—

1. *ADS-B allows the expanded use of 3 NM separation in approved areas. It is not required for and does not affect the use of radar for 3 NM separation.*
2. *The Surveillance Services Directorate provides maps to facilities depicting the geographic areas and altitudes where ADS-B has been validated for 3 NM separation.*

d. MEARTS: All sort boxes within 40 NM of the sensor or within 60 NM of the sensor when using an MSSR and with the single site indicator set to permit the use of 3 NM radar separation.

8-2-2. ADAPTED ALTIMETER SETTINGS

Ensure a current altimeter setting from the adapted reporting station for each radar sort box/surveillance sort cell or geographic area is input into the center's computer. When an altimeter setting for an adapted reporting station cannot be obtained, enter the altimeter setting from the appropriate alternate reporting station.

8-2-3. ADAPTATION OF EXTERNAL ALTIMETER SETTINGS

Adaptation of altimeter settings for reporting stations outside a facility's area is optional up to the maximum number listed in the NAS adaptation specifications.

8-2-4. CONFLICT ALERT FUNCTION PARAMETERS

a. Use the approved CA preset values as defined in the ERAM Site Adaptation Manual (SAM) unless otherwise approved by the En Route and Oceanic Safety and Operation Support Office.

b. Facility air traffic managers are authorized to inhibit the display of CA at specified sectors and within ERAM Aircraft Alert Volumes (AAVs).

8-2-5. MODE C INTRUDER (MCI) ALERT PARAMETERS

a. Use the approved MCI CA preset values as defined in the ERAM Site Adaptation Manual (SAM) unless otherwise approved by the En Route and Oceanic Safety and Operations Support Office.

b. MCI Alert base altitude must be set at any value between ground level and 5,000 feet MSL at the discretion of the facility air traffic manager. When a facility's or sector's ground level is above 5,000 feet MSL, base altitudes may be set to 1,500 AGL. Any instance of base altitudes above 5,000 feet MSL must be documented and forwarded to the En Route and Oceanic Safety and Operations Support Office through the respective Service Area Operations Directorate.

c. Facility air traffic managers are authorized to temporarily adjust the Mode C Intruder Alert base altitude at a sector(s) when excessive MCI alerts derogate the separation of IFR traffic. For the purpose of this section, temporary is considered to be of less than 4 hours duration, not necessarily continuous, during any calendar day. The following is required when MCI base altitude is adjusted:

1. Log each occurrence when this procedure is used on FAA Form 7230-4, including the sector and temporary altitude.

2. Documentation must be forwarded according to subparagraph b above, if it is determined that a temporary adjustment of the MCI base altitude does not meet the needs of the sector.

3. Facility air traffic managers are authorized to inhibit the situation display of MCI Alert at specified sectors.

8-2-6. E-MSAW ADAPTATION

Ensure that all internal airspace is adapted for E-MSAW processing. Ensure that the internal altitude information adapted in the polygons agrees with the MIA sector charts and is in accordance with the ERAM Site Adaptation Manual.

8-2-7. INTERIM ALTITUDE FACILITY DIRECTIVE REQUIREMENTS

Where sector conditions (e.g., heavy traffic or sector complexity) preclude meeting the requirements of FAA Order JO 7110.65, Air Traffic Control, paragraph 5-13-3, Computer Entry of Flight Plan Information, ARTCC air traffic managers may authorize exceptions to the requirement to update the data block with a temporary altitude if an operational advantage is gained. A facility directive must be issued with instructions governing permissible procedures. It must contain:

a. Procedures/sectors where the directive applies.

b. Coordination procedures if required.

c. Specific instructions to input a reported altitude for non-Mode C-equipped aircraft when it will operate at an altitude before proceeding to the assigned altitude.

8-2-8. REQUIREMENTS FOR ERAM DATA BLOCK CHANGES WITHOUT COORDINATION

Where sector conditions offer a significant operational advantage, air traffic managers may authorize exceptions to data block change coordination required by FAA Order JO 7110.65, Air Traffic Control, paragraph 5-4-5, Transferring Controller Handoff, and FAA Order JO 7110.65, Air Traffic Control, paragraph 5-4-6, Receiving Controller Handoff. The facility directive or LOA must contain, at a minimum:

a. Sectors where the directive or LOA applies.

b. Specific situations where omission of coordination is permitted.

EXAMPLE-

LOA specifies the aircraft will be descending to FL290 and changes in interim altitude are authorized after handoff to get to FL 290.

2. The display of those prominent obstacles on a video map, consistent with the assigned flight path, that influence the determination of the authorized headings. Prominent obstacles, as defined in the Pilot/Controller Glossary, can be determined with the assistance of the Service Center FPT. When no prominent obstacles are identified, the facility directive must include a statement of this determination.

3. A statement that air traffic is responsible for terrain and obstruction avoidance when vectoring aircraft, not on a published procedure below the MVA/MIA during climbout, and are assumed to climb at the minimum climb gradient of 200 feet/NM.

REFERENCE–

FAA Order JO 7110.65, Para 5–6–3, *Vectors Below Minimum Altitude.*

FAA Order 1050.1, *Environmental Impacts: Policies and Procedures.*

c. Facility air traffic managers may develop procedural mitigations for non–intersecting converging runways when a 1 NM extension of the runway centerline crosses the centerline of the other runway or the 1 NM extensions of a runway cross the extension of another runway. Facility directives must:

1. Specify procedures to ensure that an arrival that executes a go-around does not conflict with a departure off the non–intersecting converging runway.

2. Define technological tools that could assist in the locally developed procedures.

3. Specify procedures to be used when conditions dictate that intersecting runway separation standards must be applied.

NOTE–

The locally developed procedure will ensure that the potential go around aircraft will not conflict with a departing aircraft that is departing the non–intersecting converging runways. All locally developed procedures will be approved by the Director of Operations, Headquarters. ATMs will determine what tools are needed in the development of local procedures. These may include, but are not limited to:

- a. *Arrival Departure Window (ADW)*
- b. *ASDE-X/ASSC Virtual Runway Intersection Point (VRIP)*
- c. *Cutoff Points (CP) developed with the use of enhanced TARGETS.*

REFERENCE–

FAA Order JO 7110.65, Para 3–9–9, *Non–intersecting Converging Runway Operations.*

d. The procedures must be evaluated on an annual basis to determine their effectiveness.

e. A facility may be permitted to conduct independent non-intersecting Converging Runway Operations (CRO) without use of the mitigations as defined in subparagraph c, when the following conditions are met:

1. A documented independent safety analysis indicating that a specific non-intersecting CRO configuration meets FAA safety criteria.

2. Runway configurations for which these provisions are applied must be specified in a facility directive.

NOTE–

The above provisions will only be considered after review of a facility Safety Risk Management Document (SRMD).

10–3–16. EQUIVALENT LATERAL SPACING OPERATIONS (ELSO)

At locations conducting 10 degree course divergence for simultaneous or successive RNAV departures on the same runway or parallel runways that are separated by 2,500 feet or more, air traffic managers must complete the following:

a. Create radar video map overlays that depict the initial departure tracks from each affected runway end.

b. Develop and administer initial controller training for ELSO. Annual proficiency training on local ELSO procedures are required.

c. Include in the facility Standard Operating Procedures or a Letter of Agreement with a satellite tower, that the OM/OS/CIC assess the feasibility of continuing ELSO when wind conditions dictate that aircraft cannot

consistently fly the intended RNAV track. This is due to the detrimental effects of a strong cross wind component affecting initial departure tracks.

1. Pilots must contact GC/CD prior to starting engines to receive start time or taxi time, as appropriate. The sequence for departure must be maintained in accordance with the initial callup unless modified by flow control restrictions.

2. Develop notification procedures for aircraft unable to transmit without engine(s) running.

NOTE–

Inability to contact GC/CD prior to engine start must not be justification to alter the departure sequence.

3. The operator has the final authority to decide whether to absorb the delay at the gate, have the aircraft towed to another area, or taxi to a delay absorbing area.

4. GC/CD frequency is to be monitored by the pilot. A new proposed engine start time or taxi time must be issued if the delay changes.

NOTE–

For facilities where TFDM capabilities have been deployed, see FAA Order JO 7210.637, Terminal Flight Data Manager Electronic Flight Strips.

10-4-4. ADVISORY SERVICE TO ARRIVING VFR FLIGHTS

When it is desirable to reduce the workload at the LC position, procedures should be established whereby arriving aircraft make their first contact with the control tower on the approach control frequency, regardless of weather, provided the following conditions exist:

- a. Approach control and LC positions use separate frequencies.
- b. ATC service to IFR flights is not affected.
- c. Use of the procedure will not hinder the operation of VFR aircraft by requiring excessive routing or spacing.
- d. Consideration is given to establishing radio contact points based on time or distance rather than on landmarks with which some pilots may not be familiar.
- e. Where possible, radio contact points and the routes between them and the airport are different from those used by IFR flights.
- f. Pilot participation is encouraged rather than required, and compliance with the procedures is not made mandatory.

10-4-5. PRACTICE INSTRUMENT APPROACHES

a. VFR aircraft practicing instrument approaches at the approach control's primary airport must be provided IFR separation in accordance with FAA Order JO 7110.65, Air Traffic Control, Chapter 4, Section 8, Approach Clearance Procedures.

NOTE–

The primary airport is the airport from which approach control service is provided, except for remoted facilities where the facility air traffic manager will designate the primary airport.

b. IFR separation to VFR aircraft in accordance with FAA Order JO 7110.65, Chapter 4, Section 8, Approach Clearance Procedures, must be provided to all secondary airports under the approach control's jurisdiction to the extent possible within existing resources. Where separation service is provided to an airport with a FSS that provides LAA, or a nonapproach control tower, provisions for handling such aircraft must be included in a LOA.

c. Where IFR separation is not provided to VFR aircraft conducting practice approaches, instruct the aircraft to maintain VFR and provide traffic information.

d. At airports where the tower does not provide approach control service, handle practice instrument approaches in accordance with a LOA between the tower and the facility providing approach control service.

e. Facilities must issue a letter to airmen advising the users of those airports where IFR separation is provided for VFR aircraft conducting practice instrument approaches. The letter should specify which facility will handle the aircraft practicing instrument approaches and include the appropriate frequencies.

REFERENCE–

FAA Order JO 7210.3, Para 4–5–2, Letters to Airmen.

10–4–6. SIMULTANEOUS INDEPENDENT APPROACHES

a. Simultaneous independent approaches may be conducted when:

1. Dual parallel runway centerlines are at least 3,600 feet apart, or dual parallel runway centerlines are at least 3,000 feet apart with a 2.5° to 3.0° offset approach to either runway.

2. Triple parallel approaches may be conducted when:

(a) Parallel runway centerlines are at least 3,900 feet apart; or

(b) Parallel runway centerlines are at least 3,000 feet apart, a 2.5° to 3.0° offset approach to both outside runways; or

(c) Parallel runway centerlines are at least 3,000 feet apart, a single 2.5° to 3.0° offset approach to either outside runway while parallel approaches to the remaining two runways are separated by at least 3,900 feet.

(d) Parallel approaches to airports where the airport field elevation is more than 2,000 feet MSL require the use of the final monitor aid (FMA) system.

HIGH UPDATE RATE SURVEILLANCE

b. At locations with high update rate surveillance capable of update rates of 1.2 seconds or faster, and where fusion display mode is utilized, simultaneous independent approaches may be conducted under the following conditions:

1. Dual parallel runway centerlines are at least 3,100 feet apart, or dual parallel runway centerlines are at least 2,500 feet apart with a 2.5° to 3.0° offset approach to either runway.

2. Triple parallel runway centerlines are at least 3,100 feet apart, or triple parallel runway centerlines are at least 2,500 feet apart with a 2.5° to 3.0° offset approach to both outside runways, or triple parallel runway centerlines are at least 2,500 feet apart, and a single 2.5° to 3.0° offset approach to either outside runway while parallel approaches to the remaining two runways are separated by at least 3,100 feet.

3. A surveillance update rate of at least 1.2 seconds is required for monitoring the no transgression zone (NTZ) when conducting simultaneous independent approaches to the runway centerline spacing (RCLS) provided in this paragraph.

NOTE–

1. The facility ATM notifies the Safety Performance Monitoring Team (AJI–313) when implementing HUR surveillance procedures for the first time.

2. Where RCLS is ≤ 3400 feet, the normal operating zone (NOZ) is constant at 700 feet; and for RCLS ≥ 3400 feet, the no transgression zone (NTZ) remains constant at 2000 feet.

3. Technical Operations' Navigation & Surveillance Enterprise Control Center (NECC) monitors the health and status of the ADS–B Service 24/7/365. The NECC notifies those locations using HUR procedures when the ADS–B service is not providing the required target update performance along the full length of the NTZ. When informed by the NECC that the required target update performance is not meeting expectations, facility is expected to cease HUR procedures.

4. At this time, STARS cannot provide the controller with real time notification of target update performance that meet the requirements to achieve HUR surveillance benefits.

5. Parallel approach turn-on at or above 5,000 feet MSL with RCLS less than 3,400 feet may result in increased TCAS RA events.

REFERENCE–

FAA Order 6000.15, General Maintenance Handbook for National Airspace System (NAS) Facilities, Appendix K.

c. Instrument approach procedures are annotated with “simultaneous approach authorized.”

d. Equipment required to maintain communication, navigation, and surveillance systems is operational with the glide slope exception as noted below.

e. During glide slope outages, facilities may continue to conduct simultaneous independent approaches without vertical guidance for a period of no more than 29 days, provided the following requirements are identified in an Air Traffic Safety Oversight Service (AOV) approved contingency plan. Submit glide slope outage contingency plans for approval to the Director, Operations–Headquarters for processing. At a minimum, the following special provisions, conditions, and limitations must be identified in the plan, if applicable, along with any other facility–specific requirements:

1. An LOA with the ATCT (or facility directive for a combined facility) must contain a description of the procedures, requirements, and any limitations as specified in the facility contingency plan for glide slope out of service procedures.

2. The ATC facility must notify Technical Operations personnel of the glide slope outage.

REFERENCE–

FAA Order JO 7210.3, Para 3–5–2, System Component Malfunctions.

3. The ATC facility must notify arriving pilots that the glide slope is out of service. This can be accomplished via the ATIS broadcast.

4. Any other requirements specified in the local facility contingency plan for glide slope out procedures must be complied with before conducting simultaneous independent approach procedures.

5. Controllers must be trained and provided annual refresher training concerning the application of these procedures.

6. The ATC facility must record when the glide slope outage occurs and any adverse impact on the operation on FAA Form 7230–4, Daily Record of Facility Operation.

7. Any loss of separation or break out associated with operations under a contingency plan for glide slope out must be reported to the Director, Operations–Headquarters.

8. The facility must have radar coverage down to the decision altitude or minimum descent altitude, as applicable.

9. Approaches must be terminated to the runway without a glide slope whenever the reported visibility is below the straight–in localizer minimum for that runway.

10. Any required equipment for the approach with the glide slope out of service must be operational, such as DME or VORTAC.

f. Simultaneous approaches with the glide slope unusable must be discontinued after 29 days unless granted a Letter of Authorization by AOV. (See Appendix 4.)

g. When simultaneous approaches are being conducted, the pilot is expected to inform approach control, prior to departing an outer fix, if the aircraft does not have the appropriate airborne equipment or they do not choose to conduct a simultaneous approach. Provide individual handling to such aircraft.

h. Prior to implementing Established on RNP (EoR) operations to parallel runways with centerline spacing 9,000 feet or less (9,200 feet or less at field locations above 5,000 MSL), air traffic managers must:

1. Document all approach and/or transition pairings to be used during EoR operations. Document any existing approach and/or transition that requires application of incorrect flight procedure track separation (see FAA Order 8260.3, Chapter 16).

2. Ensure approved EoR approach pairings comply with the EoR procedure criteria identified in FAA Order 8260.3, Chapter 16.

3. Obtain authorization from the Service Area Director of Air Traffic Operations for the approved instrument approach pairings.

4. Ensure facility directives/letters of agreement list the authorized approach pairs and address the integration of EoR operations with straight-in operations to the same or parallel runway/s. Facility directives/letters of agreement must address, at a minimum, breakout procedures, monitoring, and training requirements.

REFERENCE–

FAA Order JO 7110.65, Para 5–9–7, *Simultaneous Independent Approaches–Dual & Triple*.
P/CG Term – Established on RNP Concept.

10–4–7. SIMULTANEOUS WIDELY– SPACED PARALLEL OPERATIONS

a. Simultaneous independent approaches to widely-spaced parallel runways without final monitors may be conducted when:

1. Instrument approach procedures are annotated with “Simultaneous Approach Authorized.”

2. A separate approach system is required for each parallel runway. A minimum distance of more than 9,000 feet between centerlines is required when approaches are conducted at airports with field elevations at or below 5,000 feet MSL, or 9,200 feet between runway centerlines is required with a field elevation above 5,000 feet MSL. Other integral parts of the total Simultaneous Approach System include radar, communications, ATC procedures, and appropriate airborne equipment.

3. Weather activity is closely monitored that could impact the final approach course. Weather conditions in the vicinity of either final approach course may dictate a change of the approach in use.

4. All turn-ons and final approaches are monitored by radar. Since the primary responsibility for navigation rests with the pilot, instructions from the controller are limited to those necessary to ensure separation between aircraft. Information and instructions are issued as necessary to contain the aircraft on the final approach course. Aircraft which are observed deviating from the assigned final approach course are instructed to alter course left or right, as appropriate, to return to the desired course. Unless altitude separation is assured between aircraft, immediate action must be taken by the controller monitoring the adjacent parallel approach course to require the aircraft in potential conflict to alter its flight path to avoid the deviating aircraft.

5. Missed approach procedures are established with climbs on diverging courses. To reduce the possibility of error, the missed approach procedure for a single runway operation should be revised, as necessary, to be identical with that of a simultaneous approach operation.

6. Separate radar and local control positions are established for each final approach course.

b. Record the time the operation begins and ends on the facility log.

c. Where possible, establish standard breakout procedures for each simultaneous operation. If traffic patterns and airspace permit, the standard breakout altitude should be the same as the missed approach altitude.

d. Provide individual handling to an aircraft when the crew informs you that the aircraft does not have the appropriate airborne equipment or they choose not to conduct a simultaneous approach.

e. Facility ATMs must ensure approach pairings, when conducted under the EoR concept, are identified in a Facility Directive and a Letter of Agreement (LOA), if applicable.

REFERENCE–

FAA Order JO 7110.65, Para 5-9-10, *Simultaneous Independent Approaches to Widely-Spaced Parallel Runways Without Final Monitors*.
P/CG–Term Established on RNP Concept.

10–4–8. SIMULTANEOUS CONVERGING INSTRUMENT APPROACHES

a. The procedures to conduct Simultaneous Converging Instrument Approaches (SCIA) must be developed in accordance with the following paragraphs.

1. The ATM must:

(a) Determine that the volume and complexity of aircraft operations requires the use of simultaneous converging instrument approaches. Additionally, no adverse impact on the users or air traffic control facilities can result from the implementation of the procedure.

(b) Coordinate with airport operations to ensure that runway intersection identification markings are in accordance with appropriate standards if the runways intersect.

(c) Coordinate with the responsible Service Area Flight Procedures Team (FPT) through the service area Operations Support Group (OSG) for the feasibility of SCIA procedural design and the ability to achieve minimums sufficient to justify procedural development. The FPT must consider all aspects of the approach, including NAVAIDS, approach lighting, and airport lighting.

(d) Prepare a staff study which includes:

(1) Type of aircraft and user groups that will be involved in SCIA operations.

(2) Anticipated effect on airport/ airspace capacity, including projected reductions in departure delays, airport arrival rate and projected savings in aircraft fuel consumption.

(3) Daily time periods during which the procedure would be applied.

(4) A preliminary environmental assessment in accordance with FAA Order 1050.1, Environmental Impacts: Policies and Procedures (see paragraph 4–1–6, Preliminary Environmental Review).

2. After completing steps 1 through 4 above, the ATM must:

(a) Submit the request for SCIA operations, to include the completed staff study and a draft graphic of the ILS/GLS or other Approach with Vertical Guidance (APV), to their OSG for review.

(1) The OSG must coordinate the procedure with the regional Flight Standards Division.

(2) When approved, the OSG will process the package through the FPT for development.

(b) Develop a Letter to Airmen defining local procedures to be used at least 30 days before the effective date. Additional means of publicizing local procedures must be employed in accordance with paragraph 4–2–4, Coordination of ATC Procedures.

b. The requirements for conducting SCIA operations to converging runways are:

1. Operational air traffic control radar.

2. Precision Approaches and/or Approach with Vertical Guidance (APV) must be established on each runway. The authorized approach types are: ILS, GLS, RNAV (GPS) with LPV and/or LNAV/VNAV minimums, or RNAV (RNP).

3. Non intersecting final approach courses.

4. SIAP specifically titled “Converging” and is published in parenthesis after the title of the procedure, for example, ILS V Rwy 17 (Converging).

(a) Missed approach points (MAP) must be at least 3 nautical miles (NM) apart, and

(b) Published missed approach procedures diverge by at least 45 degrees.

(c) The ATM must designate a primary and secondary runway for SCIA runway configurations including separation responsibility and procedures to be applied in the event a missed approach is initiated inside the MAP.

(d) Flight Procedures will determine the appropriate approach minimums for both primary and secondary runways for each SCIA configuration.

5. Converging approaches must not be conducted simultaneously to runways that intersect, when the ceiling is less than 1,000 feet or the visibility is less than 3 miles.

6. Converging approaches to runways that do not intersect may be conducted when the ceiling is less than 1,000 feet or visibility less than 3 miles provided all other conditions of this directive are met.

7. Application of this procedure to intersecting runways does not relieve the controller of the responsibility to provide intersecting runways separation as required in FAA Order JO 7110.65, paragraph 3-10-4.

8. A facility directive or letter of agreement must be developed specifying as a minimum:

- (a) The runway configurations to be used during SCIA operations,
- (b) Separation responsibility and procedures, to be applied, in the event a missed approach is initiated inside the MAP,
- (c) Coordination requirements,
- (d) Weather minima applicable to each configuration, if different from published minima.

NOTE—

The ATM may establish higher minima than published on the SIAP to preclude, to the extent feasible, the possibility of a weather related missed approach.

c. Authorize simultaneous instrument approaches to converging runways under the following conditions:

- 1. Only straight-in approaches must be made.
 - 2. All appropriate communication, navigation, and surveillance systems are operating normally.
 - 3. Aircraft must be informed on initial contact, or as soon as possible, that simultaneous converging approaches are in use. Broadcasting this information on the ATIS satisfies this requirement.
 - 4. Weather activity that could impact the final approach courses must be closely monitored. Discontinue SCIA operations if weather trends indicate deteriorating conditions which would make a missed approach likely.
- d. Record any occurrence of simultaneous missed approaches while conducting SCIA on FAA Form 7230-4, Daily Record of Facility Operation and submit a mandatory occurrence report (MOR).

10-4-9. SIMULTANEOUS OFFSET INSTRUMENT APPROACHES

a. Simultaneous Offset Instrument Approaches (SOIA) may be conducted at airports with dual parallel runways with centerlines separated by at least 750 feet and less than 3,000 feet, with one straight-in Instrument Landing System (ILS) and one Localizer Directional Aid (LDA), offset by 2.5 to 3.0 degrees in accordance with the provisions of an authorization issued by the Director of Operations–Headquarters in coordination with AFS. A color digital display set to a 4 to 1 (4:1) aspect ratio (AR) with visual and aural alerts, such as STARS final monitor aid (FMA) is required.

b. Notification procedures for pilots unable to accept an ILS PRM or LDA PRM approach clearance can be found on the Attention All Users Page (AAUP) of the Standard Instrument Approach Procedures (SIAP) for the specific airport PRM approach.

c. Closely monitor weather activity that could impact the final approach course. Weather conditions in the vicinity of either final approach course may dictate a change of the approach in use. (See paragraph 10-1-6, Selecting Active Runways, subparagraph b Note.)

d. All turn-ons and final approaches are monitored by radar. Since the primary responsibility for navigation rests with the pilot, instructions from the controller are limited to those necessary to ensure separation between aircraft and to prevent aircraft from penetrating the NTZ. Information and instructions are issued, as necessary, to contain the aircraft's flight path within the Normal Operating Zone (NOZ). Aircraft which are observed approaching the No Transgression Zone (NTZ) are instructed to alter course left or right, as appropriate, to return to the desired course. Unless altitude separation is assured between aircraft, immediate action must be taken by the controller monitoring the adjacent parallel approach course to require the aircraft in potential conflict to alter its flight path to avoid the deviating aircraft.

e. Missed approach procedures are established with climbs on diverging courses. To reduce the possibility of error, the missed approach procedure for a single runway operation should be revised, as necessary, to be identical with that of the SOIA operation.

f. Where possible, establish standard breakout procedures for each simultaneous operation. If traffic patterns and airspace permit, the standard breakout altitude should be the same as the missed approach altitude.

g. The following requirements must be met for conducting SOIA:

1. All PRM, FMA, ILS, LDA with glideslope, distance measuring equipment, and communications frequencies must be fully operational.

2. The common NOZ and NTZ lines between the final approach course centerlines must be depicted on the radar video map. The NTZ must be 2,000 feet wide and centered an equal distance from the final approach centerlines. The remaining spaces between the final approach courses are the NOZs associated with each course.

3. Establish monitor positions for each final approach course that have override transmit and receive capability on the appropriate control tower frequencies. A check of the override capability at each monitor position must be completed before monitoring begins. Monitor displays must be located in such proximity to permit direct verbal coordination between monitor controllers. A single display may be used for two monitor positions.

4. Facility directives must define the position responsible for providing the minimum applicable longitudinal separation between aircraft on the same final approach course.

h. Dual local control positions, while not mandatory, are desirable.

i. Where possible, establish standard breakout procedures for each simultaneous operation. If traffic patterns and airspace permit, the standard breakout altitude should be the same as the missed approach altitude.

j. Wake turbulence requirements between aircraft on adjacent final approach courses inside the LDA MAP are as follows (standard in-trail wake separation must be applied between aircraft on the same approach course):

1. When runways are at least 2,500 feet apart, there are no wake turbulence requirements between aircraft on adjacent final approach courses.

2. For runways less than 2,500 feet apart, whenever the ceiling is greater than or equal to 500 feet above the MVA, wake vortex spacing between aircraft on adjacent final approach courses need not be applied.

3. For runways less than 2,500 feet apart, whenever the ceiling is less than 500 feet above the MVA, wake vortex spacing between aircraft on adjacent final approach courses, as described in FAA Order JO 7110.65, Air Traffic Control, paragraph 5-5-4, Minima, must be applied unless acceptable mitigating techniques and operational procedures are approved by the Director of Operations–Headquarters pursuant to an AFS safety assessment. A request for a safety assessment must be submitted to the Director of Operations–Headquarters through the Service Area Director of Air Traffic Operations. The wake turbulence mitigation techniques employed will be based on each airport’s specific runway geometry and meteorological conditions and implemented through local facility directives.

4. All applicable wake turbulence advisories must be issued.

k. A local implementation team must be established at each facility conducting SOIA. The team should be comprised of representatives from the local airport sponsor and other aviation organizations. The team will monitor local operational integrity issues and report/refer issues for national consideration as appropriate.

l. For any new proposal to conduct SOIA, an operational need must be identified by the ATC facility manager, validated by the appropriate Service Area Director of Air Traffic Operations, and forwarded to the Director of Operations–Headquarters for appropriate action. The statement of operational need should identify any required site specific procedures.

10-4-10. REDUCED SEPARATION ON FINAL

Separation between aircraft may be reduced to 2.5 NM in-trail separation on the final approach course within 10 NM of the runway provided an average Runway Occupancy Time (ROT) of 50 seconds or less is documented

for each runway. ROT is the length of time required for an arriving aircraft to proceed from over the runway threshold to a point clear of the runway. The average ROT is calculated by using the average of the ROT of no less than 250 arrivals. The 250 arrivals need not be consecutive but must contain a representative sample of the types of aircraft that use the runway. Average ROT documentation must be revalidated within 30 days if there is a significant change in runway/taxiway configuration, fleet mix, or other factors that may increase ROT. Revalidation need not be done for situations that are temporary in nature. Only the ROT for the affected runway(s) will need to be revalidated. All validation and revalidation documentation must be retained and contain the following information for each arrival:

- a. Aircraft call sign.
- b. Aircraft type.
- c. Time across the threshold.
- d. Time clear of the runway.

e. Items c and d above may be omitted if using a stopwatch. Record the total number of seconds required for an aircraft to proceed from over the landing threshold to a point clear of the runway when using a stopwatch.

REFERENCE–

FAA Order JO 7110.65, Subpara 5–5–4j, *Minima*.

10–4–11. MINIMUM IFR ALTITUDES (MIA)

At terminal facilities that require minimum IFR altitude (MIA) charts, determine MIA information for each control sector and display them at the sector. This must include off–airway minimum IFR altitude information to assist controllers in applying 14 CFR Section 91.177 for off–airway vectors and direct route operations. Facility air traffic managers must determine the appropriate chart/map method for displaying this information at the sector. Forward charts and chart data records to the appropriate Service Center Operations Support Group for certification and annual review.

NOTE–

1. *For guidance in the preparation and review of Minimum IFR Altitude charts see FAA Order JO 7210.37, En Route Instrument Flight Rules (IFR) Minimum IFR Altitude (MIA) Sector Charts.*

2. *This may be accomplished by appending the data on sector charts or MVA charts; Special translucent sectional charts are also available. For assistance in obtaining MIA sector charts contact the Radar Video Map group at 9–AJV–HQ–ATCPRODUCTS@faa.gov.*

Section 2. Data Recording and Retention

12-2-1. DATA RECORDING

a. Type or write the date on the console printout at the start of each operational day or as specified in a facility directive. The facility directive must require the time that the date must be entered daily.

NOTE–

The operational day for a 24-hour facility begins at 0000 local time. The operational day at a part time facility begins with the first operational shift in each calendar day.

b. As a minimum, record on the console failure/error messages regarding Data Acquisition Subsystem (DAS), Data Entry and Display Subsystem (DEDS), and Interfacility (IF).

NOTE–

When a failure is known to exist, that particular failure printout may be inhibited to minimize its impact on the system.

c. Facilities having continuous data recording capabilities must extract and record on tape or disc:

1. Tracking messages, target reports, and sector time.
2. Automatic functions and keyboard input data.
3. Interfacility messages.
4. MSAW and CA warning message data. Other data available in the extraction routine may be extracted.

d. Air traffic facilities using a teletype emulator (TTYE) in lieu of a console printout (TTY) must store and retain data in accordance with paragraphs 12-2-1, Data Recording, and 12-2-2, Data Retention. However, the data may be retained on a disc or hard drive as specified in a facility directive.

12-2-2. DATA RETENTION

a. Write on each data extraction tape/disc:

1. The tape/disc drive number.
2. The date.
3. The times (UTC) the extraction started and ended.
4. The items listed in subparagraph 12-2-1c not extracted.
5. The data extracted in addition to that required by subparagraph 12-2-1c.
6. The initials of the person changing the recording.

b. Retain data extraction recordings for 45 days except:

1. Accidents: Retain data extraction recordings in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting.

2. Incidents: Retain data extraction recordings in accordance with FAA Order JO 8020.16.

3. Tarmac Delay: When a facility is notified that an aircraft has or may have exceeded the “Three/Four-Hour Tarmac Rule,” retain data recordings relevant to the event for 1 year.

c. If a request is received to retain data information following an accident or incident, the printout of the relative data will suffice. The tape/disc may then be returned to service through the normal established rotational program. The printout data are considered a permanent record and must be retained in accordance with aircraft accident/incident retention requirements. Reduction of the extracted data to hard-copy format will be made at the earliest time convenient to the facility involved without derogation of the ATC function and without

prematurely taking the computer out of service. Do not make these data and printouts a part of the accident/incident package.

d. If a request is received to retain a specific data recording and the data are available and contained on tape, the tape must be retained in its entirety. If the data are contained on disc, the facility may transfer all pertinent data to magnetic tape and label the tape a *Duplicate Original*. After successful transfer, the disc pack may be returned to service through the normal rotational cycle. However, if a specific request is received to retain the disc, the disc pack must be retained in its entirety.

e. Treat data extraction recordings pertaining to hijack aircraft the same as voice recorder audio files.

REFERENCE—

FAA Order JO 7210.3, Para 3–4–4, *Audio Data Retention*.

12–2–3. FAULT LOG

a. Whenever the computer fails during normal operations, all pertinent data must be recorded on the Fault Log. However, if the computer failure is the first of a particular nature and an operational requirement exists to resume normal computer operation as soon as possible, a Fault Log need not be recorded.

b. When you anticipate the need for assistance from the National Field Support Group (NFSG), record the entire contents of memory before restarting the operational program.

c. Retain the Fault Log and the memory dump until the cause of the fault has been determined or NFSG requests them.

Section 4. Supplemental Duties

18-4-1. TELEPHONE CONFERENCES

a. The ATCSCC is involved in several daily telephone conferences (TELCONs). TELCONs are initiated and hosted by the ATCSCC for field facilities, the appropriate Vice Presidents, and the Chief Operating Officer. Supplemental conference capability is available through the FAA's Remote Transmitter Site and the Washington Operations Center.

b. TMUs/TMCs utilize TELCONs when the need arises to discuss, evaluate, or problem solve any issues. These conference calls should include the appropriate ARTCC TMU, adjacent terminal facilities/towers, the ATCSCC, and the service area TM branch or Service Area office responsible for TM.

c. TMUs/TMCs should actively participate in facility briefings and user meetings in order to promote, educate, and inform all concerned about the function, role, and responsibilities of TM.

d. TELCONs are also used to maintain operational "Hotlines." The objective of Hotlines is to provide rapid communications between FAA facilities, customers and other aviation interests when complex air traffic and airspace issues are being managed. Hotlines allow many participants the capability to problem-solve complicated issues and reduces the amount of coordination needed to implement collaborated strategies. Hotlines may be initiated at the request of both the FAA and other aviation entities that substantiate its use. The operational Hotlines are authorized for customer attendance; however, they may be limited to listen-only capability.

1. The ATCSCC administers, facilitates, and manages operational Hotlines.

2. Hotlines are used to communicate:

(a) Airport and airspace capacity issues.

(b) Constraint/capacity mitigation strategies.

(c) Route availability information and route alternatives.

(d) Weather information.

(e) Equipment Outages.

(f) Customer preferences for initiatives and alternatives.

(g) Special circumstances, contingency requirements and emergency events.

(h) All required coordination and information sharing necessary in regard to the event.

(i) Coordination that can be accomplished quickly and precisely with all parties. If an item requires extensive coordination, other communication sources will be used.

(j) Items that are not considered sensitive or classified in nature.

NOTE-

Examples of sensitive or classified items include VIP movement and military requirements or exercises.

e. TMOs are responsible for ensuring that ARTCC and TRACON TMUs participate in the "Plan, Execute, Review, Train, Improve" (PERTI) Webinar each day at 2:30 p.m. eastern time.

18-4-2. SPECIAL INTEREST FLIGHTS

ATCSCC, ARTCC, and CERAP: Follow procedures in FAA Order JO 7610.14, Non-Sensitive Procedures and Requirements for Special Operations, Chapter 7, Miscellaneous Military and Civil Flight Activities, Section 4, Special Interest Flights, regarding special interest flights from State Department designated special interest

countries. Forward all issues concerning special interest flights to the DEN ATSC for relay to the appropriate authorities.

18-4-3. ANALYSIS

a. The TMU analysis function or individuals assigned analysis functions must be responsible for the collection and analysis of all available data as it pertains to traffic capacity, traffic flows, points of congestion, peak hours, etc. Specific areas of consideration include, but are not limited to:

1. Sector demand (by hours).
2. Sector flows (route/altitudes).
3. Sector loading points.
4. Sector traffic breakdown by category of user.
5. Normal initiatives necessary to prevent sector saturation.
6. Alternatives to prevent saturation and relieve congestion/conflicts.

NOTE–

Alternatives must take into consideration other facility/sector capabilities.

7. Total facility traffic count and potential user demand.
 8. Sector staffing required to support potential user demand.
 9. Location of delays (by sector and airport).
- b. Coordination with user organizations must be effected, when appropriate.

18-4-4. OPERATIONS MANAGER (OM) SUPPORT

Facility TMUs must maintain a working knowledge of the major related fields of air traffic operations/responsibilities to effectively support the STMCIC in dealing with special situations that may arise on a daily basis. Reference sources that identify these related areas are listed below.

a. Emergency plan: Numerous interfacility letters of agreement are normally located at the STMCIC complex concerning plans which have been established to provide continuity in the event of a disaster or emergency conditions that would limit air traffic service. Additionally, in these binders are instructions concerning security control of air traffic and air navigation aids, defense readiness, and physical security plans.

b. Accident procedures/bomb threats/search and rescue procedures:

1. FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting.

2. Bomb threats.

3. National Search and Rescue Manual.

4. FAA Order 1270.1, Freedom of Information Act Program.

■ c. EA activity: FAA Order JO 7610.4, Sensitive Procedures and Requirements for Special Operations.

d. Hijack situations:

■ 1. FAA Order JO 7610.4, Sensitive Procedures and Requirements for Special Operations.

2. FAA Order JO 7110.65, Air Traffic Control.

e. Suspect Aircraft: FAA Order JO 7110.67, Air Traffic Management Security Services for Special Operations.

- f. Special flight operations: FAA Order JO 7110.65, Chapter 9, Special Flights.

NOTE–

In order to provide the maximum TM services, TM personnel should be utilized to perform non–TM functions only as a last resort.

18–4–5. DIVERSION RECOVERY

a. A diversion is a flight that is required to land at other than its original destination for reasons beyond the control of the pilot/company, e.g., periods of significant weather. Diversion recovery is an initiative orchestrated by the ATCSCC and system users to minimize the impact of system disruption. Diversion recovery will be utilized during and after periods of significant weather or other phenomena that has adversely impacted the system resulting in flight diversions. The goal of the diversion recovery initiative is to ensure that flights which have already been penalized by having to divert to another airport, do not receive additional penalties or delays. Flights identified for diversion recovery must receive priority handling over other flights from their point of departure.

b. Diversion flights are identified by having “DVRSN” in the Remarks section of the flight plan, or the user inputs the information into the Diversion Recovery Tool (DRT). The following protocols will be utilized in diversion recovery procedures:

1. A flight on the DRT, as listed in TBL 18–4–1, is requesting priority. FAA facilities must ensure the auto–detect feature is not activated on their DRT. FAA facilities must view the “general aviation” and “comments” columns when utilizing the DRT.

2. “High” priority indicates the user’s preference within one company.

3. “Yes” priority indicates that special handling is requested for the flight.

4. The user submitted preferred priorities may be modified where necessary to maintain the efficiency of the system.

c. The ATCSCC must:

1. Implement diversion recovery.

2. Transmit an advisory to inform both field facilities and users that a diversion recovery initiative has been implemented and the DRT has been activated.

3. Adjust the initiative as necessary to meet changing conditions.

4. Transmit an advisory when the DRT has been deactivated.

d. The ARTCCs must:

1. Implement diversion recovery as directed by the ATCSCC.

2. Notify the ATCSCC if they do not intend to use the DRT. In such cases, the ATCSCC must send the Center a general message with the information as stated in TBL 18–4–1, every 60 minutes until diversion recovery is no longer in effect.

3. Provide expeditious handling in returning to the system those flights identified by the ATCSCC/DRT as diversion flights.

4. Forward user diversion recovery requests to towers and TRACONS. (See TBL 18–4–1).

NOTE–

DVRSN will be placed in the remarks section of the flight plan by the user.

e. Towers and TRACONS must:

1. Provide expeditious handling in returning to the system those flights identified by the ARTCC/DRT as diversion flights.

2. Notify the overlying ARTCC TMU if they will utilize the DRT.

TBL 18-4-1

User Recovery Priority Request Format

The following flights are requesting priority handling to their original destination. Please advise the appropriate FAA facilities of this request.								
ACID	Diverted To	ETD	CTD	DEST	DCNTR	ACNTR	PRIORITY	COMMENTS
ZZZ111	MDW	2210Z	–	ORD	ZAU	ZAU	–	–
ZZZ222	PIT	2200Z	–	ORD	ZOB	ZAU	HIGH	–
ZZZ555	ATL	2300Z	2320Z	IAD	ZTL	ZDC	–	–
Note: *ETD=Proposed Wheels-up Time.								

18-4-6. VOLCANIC ASH

a. Upon receipt of a validated report of volcanic activity and/or ash cloud movement, the ARTCC TMU whose geographic area of responsibility is impacted by such activity must:

1. Assess areas of potential or actual ash cloud location.

2. Notify the ATCSCC and the other facilities in their area of jurisdiction that may be affected. Provide as much information as possible, including PIREPS and other pertinent information that has been received.

b. Upon receipt of a Volcanic Ash Advisory (VAA), Volcanic Ash SIGMET, or ARTCC notification, the ATCSCC must:

1. Retransmit the VAA received from the Washington or Anchorage VAACs to air traffic control facilities and stakeholders via a numbered ATCSCC advisory. The VAA will also be displayed on the ATCSCC website in the advisories database.

2. Conduct, as needed, conference calls to assess constraints and TMIs associated with the volcanic ash.

NOTE–

The FAA does not have the capability to predict or depict volcano eruptions or ash cloud density and movements. It is not the responsibility of the FAA to provide separation between aircraft and volcanic activity or ash clouds.

18-4-7. SPACE LAUNCH OR REENTRY VEHICLE MISHAPS

a. A debris-generating space launch or reentry vehicle mishap is an emergency situation in the NAS. All efforts should be made to safely mitigate aircraft exposure to falling debris.

b. Upon notification of a debris-generating space launch or reentry vehicle mishap, or the activation of a debris response area (DRA), the ARTCC/Terminal TMU whose geographic area of responsibility is impacted must, to the extent possible, take actions to help mitigate aircraft exposure to falling debris.

2. Mark entries for equipment (E) when they cause a TMI or result in a TMI.
3. Enter TBM operations and TMIs initiated by your facility.
4. Enter constraints in your area of responsibility that may impact the NAS and forward them to the ATCSCC.
5. Enter arrival, departure, and en route delay status, as appropriate.
6. Enter deicing status (in/out).

NOTE–

Facilities with the NTML are required to make the above data entries. At non–NTML facilities, the first facility overlying the non–NTML facility is responsible for entering data into the NTML. Facility personnel must enter data in a timely manner on the appropriate template. Timely is construed to mean that it would be useful to someone looking at the data in current time. If workload conditions or the situation prohibits entering the data in a timely manner, the information should be recorded by a subsequent or delayed entry.

TBL 18–5–1

AVIATION SYSTEM PERFORMANCE METRICS				
AIRPORT TRAFFIC CONTROL TOWERS				
ABQ	CMH	ISP	OGG	SDF
ANC	CVG	JAX	OMA	SEA
APA	DAL	JFK	ONT	SFO
ASE	DAY	LAS	ORD	SJC
ATL	DCA	LAX	OXR	SJU
AUS	DEN	LGA	PBI	SLC
BDL	DFW	LGB	PDX	SMF
BHM	DTW	MCI	PHL	SNA
BJC	EWB	MCO	PHX	STL
BNA	FLL	MDW	PIT	SWF
BOI	GYG	MEM	PSP	TEB
BOS	HNL	MHT	PVD	TPA
BUF	HOU	MIA	RDU	TUS
BUR	HPN	MKE	RFD	VNY
BWI	IAD	MSP	RSW	
CLE	IAH	MSY	SAN	
CLT	IND	OAK	SAT	

18–5–5. STATIC COORDINATION

a. The ATCSCC must collect and manage updates for ASPM facilities' static data, currently depicted in the NTML and on the Operational Information System (OIS) under the associated ARTCC tabs in the East and West Directories.

b. The TMO or overlying TMO, in conjunction with their ASPM facilities, must provide the following static data to their appropriate Deputy Director of System Operations (DDSO) and ensure the accuracy of the information:

1. For NTML airport information: All normal runway configurations and their associated AARs/ADRs by April 30, August 31, and December 31 of each year.

NOTE–

AARs are required for the following four categories: Visual meteorological conditions (VMC), low visual meteorological conditions (LVMC), instrument meteorological conditions (IMC), and low instrument meteorological conditions (LIMC).

2. For OIS airport information: Monthly changes to the following ASPM airport data no later than the last day of the month:

(a) Normal runway configuration and associated AARs/ADRs.

(b) Suggested program rate.

(c) Pertinent notes.

(d) Holding capacities.

(e) Arrival flows.

(f) Category minimums.

3. Changes to TM Tips by the first of every month:

(a) Configuration instructions/planning.

(b) Airport operational challenges.

(c) Seasonal traffic information.

(d) Gate hold information.

(e) Special arrival instructions.

(f) Other pertinent information related to airspace, procedures, weather operations, local traffic management initiatives, taxiway information, and any other items that impact traffic flows or runway arrival/configuration.

c. The DDSO must provide:

1. All normal runway configurations and the associated AARs/ADRs for their underlying ASPM facilities to the ATCSCC Facility Automation Office by May 15 and November 15 each year.

2. Changes to additional supporting AAR data and TM tips for their underlying ASPM facilities to the ATCSCC Facility Automation Office by the 10th of each month.

18-5-6. EN ROUTE INTRAFACILITY COORDINATION

a. The STMC must ensure that an operational briefing is conducted at least once during the day and evening shifts. Participants must include, at a minimum, operational supervisors and other interested personnel designated by the facility management. Discussion at this meeting should include:

1. Planning TELCON checklist.

2. Operations Plan.

3. Topics pertinent to the facility.

b. Coordination between the TMU and Operations Supervisor (OS): In some facilities, the TM function may be performed by the OS or as designated by the air traffic manager. Timely coordination between the OS and TMU is paramount in TBM operations and when implementing and evaluating TM initiatives.

18-5-7. TERMINAL INTERFACILITY COORDINATION

a. Coordination between tower and TRACON TMUs: Towers that are not collocated with a TRACON TMU must coordinate with the appropriate TMU where the TM function has been established. If the TM function has not been established, then the tower must coordinate with the appropriate en route TMU.

b. Coordination between the TMU and ATCSCC NTMSs: Unusual circumstances or significant issues do not preclude the terminal TMU from contacting the ATCSCC directly.

c. Coordination between the TMU and the local NWS or CWSU must be completed as soon as practical at the beginning of each shift, and, as necessary, the TMU must obtain a weather briefing from the NWS.

d. Coordination between the TMU and the adjacent terminal: Timely coordination is imperative in order to manage the efficiency of the tower en route control (TEC) environment. TBM operations or TM initiatives imposed between two (2) or more adjacent terminals that could have an impact on the capacity of any airport, sector, or ARTCC must be coordinated with the appropriate ARTCC TMU.

18-5-8. NATIONAL TRAFFIC MANAGEMENT LOG (NTML)

a. Facility personnel must enter data in a timely manner on the appropriate template and verbally coordinated when required. Timely is construed to mean that it would be useful to someone looking at the data in current time. If workload conditions or the situation prohibits entering the data in a timely manner, the information should be recorded by a subsequent or delayed entry or on the appropriate form. Substantive changes in the contents or remarks or additional explanatory information should be accomplished by a subsequent or delayed entry.

b. The data in NTML will be subject to FAA security provisions for Internet technology. Facilities must use the NTML in preference to other methods. The NTML is an automated FAA Form 7230-4, Daily Record of Facility Operation, and will record the operating initials and facility for all log entries. Operating initials are removed at the end of six months in accordance with FAA Order 1350.14, Records Management.

c. The NTML automatically closes and reopens a new log each day; it automatically records the operating initials of the person previously signed on. Carryover items may be entered by the specialist or automatically be entered by the software based on the end/date/time group. Closing and opening logs are concurrent with each local day; however, the entries are made utilizing Coordinated Universal Time.

d. When it is necessary to amend a previous entry, the original entry may be corrected through normal computer entries; however, the database will be automatically marked and the information must be retrievable by the system administrator.

18-5-9. NTML FACILITY CONFIGURATION REQUIREMENTS

At least one TMU position in each facility must:

- a.** Subscribe to DCC for information affecting your facility.
- b.** Subscribe to underlying facilities for the following information:
 - 1.** Runway configurations.
 - 2.** Delays.
 - 3.** Deicing.
 - 4.** Other.
- c.** Enable notification of proposed restrictions.

18-5-10. NTML PROCEDURES

- a.** Facilities must enter, review, and respond to data in the NTML, as appropriate.
- b.** TBM operations and TMI data must be entered using the appropriate template and coordinated with the appropriate facility. Appropriate template means the one best suited for the type of event, such as a ground stop, delays, etc. The "Miscellaneous" templates must not be used if another template is appropriate. The Justification, Remarks, and Text fields must not contain any information that can be entered in other fields on the template.

NOTE-

Causal information entered in the "Restriction" template is disseminated to many other software programs for monitoring the status of the NAS.

- c.** Facilities must verbally contact other facilities when necessary to accomplish a task if electronic coordination has not been completed or is inappropriate to the situation, e.g., emergencies, classified information.

18-5-11. PROCESSING REQUESTS FOR REROUTES AND RESTRICTIONS FOR FACILITIES WITH NTML

a. Restrictions/modifications that require ATCSCC review and approval:

1. Requesting facility must enter the restriction/modification in NTML.
2. Providing facilities should review and respond using NTML within 15 minutes.

NOTE-

The restriction/modification, if not responded to, will be placed in conference status 15 minutes after it has been entered by the requesting facility.

3. If all providing facilities accept the restriction/modification using the NTML software, the ATCSCC must approve or deny the restriction/modification as appropriate. The ATCSCC may deny/amend a restriction at anytime; however, it must call the requesting facility and explain the reason for the denial/amendment. For automation purposes, the ATCSCC should not approve a restriction until all field providers have accepted it; however, if the ATCSCC elects to override the automation and approves a restriction/modification before all provider(s) accept, it must coordinate this action with the affected provider(s).

4. When a restriction is in conference status, the requestor must initiate a conference through the ATCSCC with providers. If an amendment is necessary, the ATCSCC amends and approves the restriction while on the conference.

NOTE-

Any party may initiate a conference when deemed appropriate.

b. Restrictions/modifications that do not require ATCSCC review and approval:

1. Requesting facility must enter the restriction/modification in NTML.
2. Providing facilities should review and respond using NTML within 15 minutes.
3. If all providing facilities accept the restriction/modification using the NTML software, it must be considered coordinated/approved.
4. If a providing facility does not respond using the NTML within 15 minutes, the requesting facility must contact the providing facility/facilities to verbally coordinate the restriction/modification.

NOTE-

In the event that no one at the providing facility is available to accept a restriction in NTML, the requesting facility does have the ability to force the restriction into its log so it can be used internally. This must only be done after the verbal coordination mentioned in subparagraph 18-5-11b4 is complete.

c. Restrictions/modifications associated with reroutes coordinated through the ATCSCC:

1. Restrictions/modifications that have been approved/coordinated will be discussed during the development of the reroute.
2. Any facility requiring a restriction in conjunction with a reroute that has been coordinated through the ATCSCC must enter the initiative into the RSTN template with the SVR WX RERTE button enabled. NTML processes these restrictions as approved and no further coordination is required.

18-5-12. DELAY REPORTING

a. Verbally notify the ATCSCC through the appropriate protocol, of any arrival, departure, or en route delay reaching or expected to reach 15 minutes except for Expect Departure Clearance Time (EDCT) delays created by Ground Delay Programs (GDP), Airspace Flow Programs (AFP), Collaborative Trajectory Option Programs (CTOP), or Ground Stops (GS) issued by the ATCSCC.

b. Facilities must update their delay status through the NTML. Facilities that do not have NTML must verbally report the delay increments in 15-minute increments to the overlying facility. The first facility with NTML must enter the delay information.

c. When notified that a facility is in a 15-minute delay situation, the ATCSCC and all impacted facilities, must subscribe to the delay report through the NTML until the facility verbally notifies the ATCSCC/impacted facilities that they are no longer in delays of 15 minutes or more.

d. Facilities must verbally notify the ATCSCC, through the appropriate protocol, when delays reach or are anticipated to reach 90 minutes, except for EDCT delays as a result of a GDP, AFP or CTOP. Facilities must document in their NTML, or daily log if the facility does not have NTML, that the verbal notification was completed. The ATCSCC must document in their NTML that the 90-minute verbal notification was received. The facility manager must be notified when delays reach 90 minutes, except for delays as a result of a GDP, AFP or CTOP.

e. Facilities must notify the TMO of the overlying ARTCC, by whatever means available, of delays that reach 45 minutes or greater, except for EDCT delays as a result of a GDP, AFP, or CTOP. TMOs must then notify the Deputy Director Systems Operations (DDSO) and General Manager.

18-5-13. ELECTRONIC SYSTEM IMPACT REPORTS

AT facilities must coordinate with their TMU or overlying TMU for developing an electronic system impact report (SIR) for all planned outages/projects/events that could cause a significant system impact, reduction in service, or reduction in capacity (for example, air shows, major sporting events, space launch/reentry operations, business conventions, runway closures, and procedural changes affecting terminals and/or ARTCCs). Technical Operations is responsible for reporting all unplanned outages that pertain to FAA equipment.

NOTE-

Planned events/outages are construed to mean that the event or outage is scheduled in advance of the occurrence.

a. The TMU must coordinate the operational impact the outage/project/event will cause with the DDSO or designee, through their TMO. This includes, but is not limited to, reduction in AAR/ADR, anticipated use of TBM operations, anticipated TMIs, alternate missed approach procedures, and anticipated delays or any other significant impacts within the NAS.

b. To ensure the ATCSCC receives all planned events and outages that could have a significant impact on the NAS, the DDSO/designee or the OSG must enter the impact data on the Strategic Events Coordination website at <http://sec.faa.gov>.

c. The electronic SIR must contain the following information:

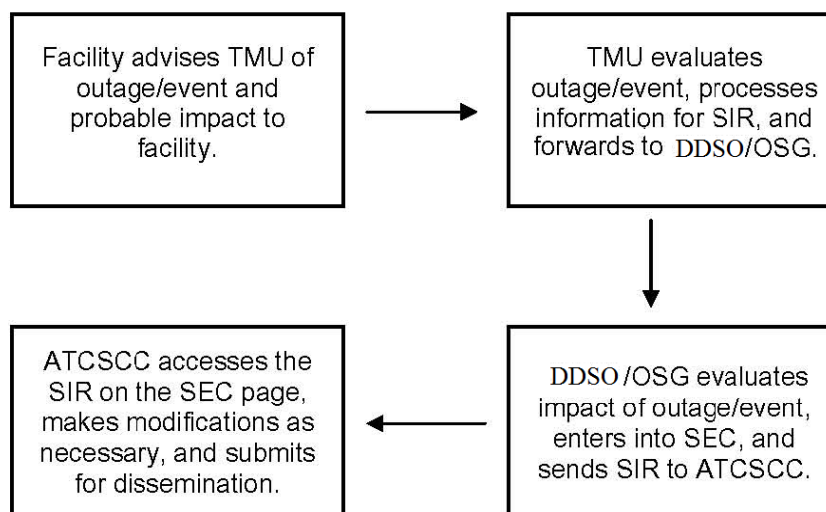
1. Airport/facility identifier.
2. Overlying ARTCC.
3. Scheduled dates/times.
4. Description of outage/project/event.
5. Operational impact.
6. Facility recall.
7. Flight check requirements.
8. Anticipated delays.
9. Anticipated TMIs.
10. Customer coordination.
11. General information.
12. Contact information.
13. Date/time of scheduled telecons.

14. TBM operational impact.

NOTE–

SIRs cannot be viewed on the OIS by facilities or our customers until the ATCSCC has approved the content. Instructions for entering items in detail are provided on the website at <http://sec.faa.gov>.

**FIG 18-5-1
Electronic SIR Process**



d. The ATCSCC will access the SIRs on the SEC page, make modifications as necessary, and submit the SIR for dissemination. Once the ATCSCC has submitted the SIR, the information can be viewed on the intranet at <http://www.atcsc.faa.gov/ois/> on the OIS page under “System Impact Reports.”

e. Field facilities, TMUs, TMOs, DDSOs, the service center OSG, and the ATCSCC must ensure that SIRs:

1. Are coordinated, developed, and submitted with as much advance notice as possible before the planned event/outage.

NOTE–

Providing the SIR in a timely manner allows our customers to more effectively plan their operation and reduce the impact to the extent practicable.

2. Do not contain sensitive security information.

18-5-14. TARMAC DELAY OPERATIONS

a. Facility Procedures. The ATCSCC, en route facilities, and affected terminal facilities must develop procedures for handling requests related to tarmac delays for arriving or departing aircraft. ATMs must ensure that those procedures are in a facility directive and briefed annually. Issues to consider when developing local procedures should include:

1. What constitutes a “significant disruption” of service at that location in order to accommodate a tarmac delay aircraft. These issues vary by location and may include but are not limited to:

(a) Accommodating a tarmac delay aircraft would require airborne holding that would result in delays of 15 minutes or more.

(b) Use of an active runway to taxi a tarmac delay aircraft that would preclude the use of that runway for arrivals or departures and result in arrival/departure delays of 15 minutes or more.

(c) Taxi of tarmac delay aircraft would result in placing other aircraft in jeopardy of violating the “Three/Four-Hour Tarmac Rule.”

(d) Taxi of tarmac delay aircraft would displace departure aircraft already in a reportable delay status and result in delays in excess of an additional 15 minutes.

(e) The taxi of a tarmac delay aircraft to the ramp, gate, or alternate deplaning area would result in a diversion or the airborne holding of more than three aircraft.

2. Operational complexity, surface operations, other arrival/departure runways, taxi routes, ramp areas, and low visibility operations.

3. Security and/or Customs concerns.

4. Local safety considerations, such as multiple runway crossings.

5. Location of alternate deplanement areas, if applicable.

6. Taxiway/runway closures and/or airport construction.

7. Notification, coordination, and investigation requirements.

b. Requirements.

1. When a tarmac delay taxi request/deplanement request is received, primarily from the pilot in command:

(a) An aircraft requesting taxi clearance for tarmac delay reasons should be issued clearance as soon as operationally practical, unless a significant disruption of airport operations or a compromise of safety or security would result.

(b) Tower-only and tower/TRACON facilities must verbally notify the overlying facility and document the incident with pertinent information on FAA Form 7230-4 in CEDAR when:

(1) The facility is informed of a tarmac delay request or taxi for deplanement related to the “Three/Four-Hour Tarmac Rule.”

(2) The facility becomes aware of an aircraft that has or may have exceeded the “Three/Four-Hour Tarmac Rule.”

(c) TRACONs must verbally notify the overlying ARTCC TMU and document the incident with pertinent information on FAA Form 7230-4 in CEDAR when:

(1) An airport within their geographic jurisdiction has received a tarmac delay request or taxi for deplanement related to the “Three/Four-Hour Tarmac Rule.”

(2) The facility becomes aware of an aircraft that has or may have exceeded the “Three/Four-Hour Tarmac Rule.”

(d) ARTCCs must verbally notify the ATCSCC and document the incident with pertinent information on FAA Form 7230-4 in CEDAR when:

(1) An airport within their geographic jurisdiction has received a tarmac delay request or taxi for deplanement related to the “Three/Four-Hour Tarmac Rule.”

(2) The facility becomes aware of an aircraft that has or may have exceeded the “Three/Four-Hour Tarmac Rule.”

(e) Facilities equipped with NTML should utilize the program to forward the information to the TRACON/ARTCC/ATCSCC.

NOTE-

The FAA Form 7230-4 entry in CEDAR should be comprehensive and include pertinent information such as date, time, location of the occurrence, the identification of the aircraft involved, the time a tarmac delay taxi request was made, and other known information concerning movement of the aircraft. Data used during the review may include ASDE data, flight progress strips, voice replay, etc.

2. When an ARTCC is notified that an aircraft has or may have exceeded the “Three/Four-Hour Tarmac Rule,” they must notify the ROC as soon as possible; the ROC must then notify the WOC as soon as possible.

Notification should include the date, time, and location of the occurrence, as well as the identification of the aircraft involved.

3. When a facility is notified that an aircraft has or may have exceeded the “Three/Four–Hour Tarmac Rule,” all available records pertinent to that event will be retained in accordance with FAA Order JO 8020.16.

4. Consumer complaints are to be handled as follows:

- (a)** Refer the complainant to the appropriate airline.
- (b)** Do not engage in discussion with the consumer.

Section 14. Special Traffic Management Programs

18-14-1. SPECIAL EVENT PROGRAMS

Special programs may be established for a location to accommodate abnormally large traffic demands (for example, Indianapolis 500 Race, EAA AirVenture Oshkosh, SUN 'n FUN Aerospace Expo) or a significant reduction in airport capacity for an extended period (airport runway/taxiway closures for airport construction). These special programs may remain in effect until the event is over or local TM procedures can handle the volume.

18-14-2. COORDINATION

Documentation to justify special programs must be submitted by the facility or TMO to their Operations Support Group (OSG) 90 days in advance, with a copy to the appropriate Deputy Director of System Operations (DDSO). The service area must review and forward the request to the ATCSCC for coordination and approval 60 days in advance.

a. Documentation must include the following as a minimum:

1. The reason for implementing special programs and a statement of system impact. Include the total number of additional flights expected.
2. Airport(s)/sector(s) to be controlled.
3. Capacity restraints by user category (five air carrier, three air taxi, seven general aviation, three military) per hour per airport.
4. Hours capacity must be controlled specified in both local time and in UTC (e.g., 0900–1859 EST, 1400–2359Z or, 0900–1859 EDT, 1300–2259Z).
5. Type of flight to be controlled (e.g., unscheduled, arrivals, departures, IFR, VFR).
6. Days of the week and dates (e.g., Thursday, May 7 through Monday, May 11 or Friday, May 22 and Sunday, May 24).
7. A draft copy of the associated Domestic Notice and/or temporary flight restrictions (email preferred).
8. IFR/VFR capacity at each airport/sector.
9. Begin date and time for the start of reservation acceptance.
10. The number of slots to be allocated per airport, or group of airports, per time increment (e.g., ten arrivals every fifteen minutes or forty aircraft every sixty minutes).
11. Coordination accomplished with impacted facilities and any unresolved issues.

b. The Service Center OSG must forward the Domestic Notice to the Mission Support Services, Policy (AJV-P), Domestic Notices editor at 9-ATOR-HQ-PubGrp@faa.gov for publication no later than 10 days prior to the start date. Domestic Notices for special events may be published up to 60 days prior to the event. Please submit 70 days prior to the event to allow for the 10-day internal processing.

NOTE–

The web address to obtain a STMP slot:

1. www.fly.faa.gov/estmp
2. Call the Traffic Flow Management Help Desk (609) 485–9601 for problems using the web-based interface.

18-14-3. IMPLEMENTATION

a. Special TM programs must be managed by the ATCSCC or the affected ARTCC. The ATCSCC must transmit an advisory containing the reason for the program, airport(s)/sector(s) involved, dates and times the

program will be in effect, telephone numbers to be used, and any special instructions, as appropriate. The affected ARTCC must monitor special TM programs to ensure that the demand to the center/terminal facilities is equal to the capacity.

b. The ATCSCC will disseminate a password and instructions for facility STMP reports. Detailed instructions can be found on the web site for the web interface, or in the Aeronautical Information Manual.

18-14-4. AIRPORT RESERVATION OFFICE

a. The Airport Reservations Office (ARO) has been established to monitor the operation and allocation of reservations for unscheduled operations at airports designated by the Administrator under FAA adopted rules. These airports are generally known as slot controlled airports. The ARO allocates reservations on a first come, first served basis determined by the time the request is received at the ARO. Standby lists are not maintained. Reservations are allocated through the ARO by the Enhanced Computer Voice Reservation System (e-CVRS) and not by the local air traffic control facility.

b. Requests for reservations for unscheduled flights at the slot controlled airports will be accepted beginning 72 hours before the proposed time of operation.

c. Flights with declared emergencies do not require reservations.

d. Refer to the website for the current listing of slot controlled airports, limitations, and reservation procedures.

NOTE-

The URL to obtain a reservation for unscheduled operations at a slot controlled airport is: <http://www.fly.faa.gov/ecvrs>. Call the ARO trouble number (540) 422-4246 for problems with a slot reservation.

Part 6. REGULATORY AND PROCEDURAL INFORMATION

Chapter 19. Waivers, Authorizations, and Exemptions

Section 1. Regulatory Waivers and Authorizations

19-1-1. PURPOSE

This section prescribes policy and guidelines for the grant or denial of a Certificate of Waiver or Authorization from Title 14, Code of Federal Regulations (14 CFR).

19-1-2. POLICY

a. The FAA delegates to the Service Area Director of Air Traffic Operations and Flight Standards Division Managers, the Administrator's authority to grant or deny a Certificate of Waiver or Authorization (FAA Form 7711-1), and permits the re-delegation of this authority. Further, re-delegation of this authority to grant or deny waivers or authorizations must be consistent with the functional areas of responsibility as described in the FAA's Exemption/Rulemaking Process documents, and may be limited if deemed appropriate.

b. Applications for a Certificate of Waiver or Authorization acted upon by a Service Center Operations Support Group (OSG) will normally be processed in accordance with guidelines and standards contained herein, unless found to be in the best interest of the agency to deviate from them.

c. Applications for waiver or authorization that require both Air Traffic Organization and Flight Standards technical considerations must be handled jointly.

d. The grant of a Certificate of Waiver or Authorization constitutes relief from the specific regulations stated, to the degree and for the period of time specified in the certificate, and does not waive any state law or local ordinance. Should the proposed operations conflict with any state law or local ordinance, or require permission of local authorities or property owners, it is the applicant's responsibility to resolve the matter.

19-1-3. RESPONSIBILITIES

a. Air traffic, as designated by the Service Area Director, is responsible for the grant or denial of Certificate of Waiver or Authorization, except for those sections assigned to Flight Standards (detailed in subparagraph b).

b. Flight Standards, as designated by the Administrator, and described in FAA Order 8900.1, Flight Standards Information Management System (FSIMS), is responsible for providing advice with respect to the qualification of civil pilots, airworthiness of civil aircraft, and the safety of persons and property on the ground. Additionally, Flight Standards has the responsibility for the grant or denial of Certificate of Waiver or Authorization from the following sections of 14 CFR:

1. Section 91.119, Minimum safe altitudes: General;
2. Section 91.135, Operations in Class A Airspace;
3. Section 91.175, Takeoff and landing under IFR;
4. Section 91.209, Aircraft lights;
5. Section 91.303, Aerobatic flight;
6. Any section listed in 91.905 as appropriate for aerobatic demonstrations and other aviation events;

7. Section 105.21, Parachute operations over or into congested areas or open air assembly of persons, as appropriate for aerobatic demonstrations and other aviation events.

c. Certificate Holder, compliance with the provisions of a waiver is the responsibility of the holder who must be thoroughly informed regarding the waiver and those actions required of them by any special provisions. The holder must be advised that it is their responsibility to ensure that all persons participating in the operation are briefed on the waiver.

19-1-4. PROCESSING CERTIFICATE OF WAIVER OR AUTHORIZATION (FAA FORM 7711-2) REQUESTS

a. Requests for a Certificate of Waiver or Authorization (FAA Form 7711-2) may be accepted by any FAA facility and forwarded, if necessary, to the appropriate office having waiver authority. Those offices making the determination of whether an application should be processed by higher authority may forward the request to the appropriate Service Area Director for action. Those requests that are forwarded to FAA Washington Headquarters for processing must include all pertinent facts, background information, recommendation(s), as well as the basis and reasons for requesting Headquarters action.

b. Requests must be coordinated with all concerned FAA elements, prior to approval, by the office that is most convenient to the applicant and having waiver authority, even though the proposed operation will be conducted within or extended into other jurisdictional areas. This procedure is intended to establish one office as the agency contact for an applicant and will preclude the need for the petitioner to deal with the FAA at various locations.

19-1-5. PROCESSING CERTIFICATE OF WAIVER OR AUTHORIZATION RENEWAL OR AMENDMENT REQUESTS

a. A renewal request should be made by means of a new application. However, a request by another method is acceptable if its substance is essentially the same as the previous application or when, in the judgment of the waiver or authorization office, the request is sufficiently similar that new considerations are not required.

b. An existing waiver or authorization may be amended either by re-issuance or by letter.

19-1-6. ISSUANCE OF CERTIFICATE OF WAIVER OR AUTHORIZATION (FAA FORM 7711-1)

Waivers and authorizations must be completed in accordance with the following instructions and must be signed only by the appropriate authority (see FIG 19-1-1 and Example). The FAA Form 7711-1 should be:

a. Issued to an organization, whenever possible, in preference to an individual but indicate name and title of the individual acting for the organization.

b. Specify the operations that are permitted by the waiver or authorization.

c. Define the area and specify altitudes at which they may be conducted.

d. Specify the regulation, or portion thereof waived by numerical and letter reference as well as title. This section is left blank for authorizations (e.g., unmanned air vehicle operations, etc.).

e. Specify the effective and expiration dates, including hours of operation. The specific dates and hours of operation must allow sufficient time for the accomplishment of the operation and, if appropriate, an alternate date to cover cancellations that might be necessary due to adverse weather conditions.

1. ATO issued waivers or authorizations may be made effective for a period of up to 24 calendar months in accordance with Flight Standards and ATO policies.

2. Flight Standards may issue waivers for aerobatic practice areas (APAs) for a period of up to 36 calendar months.

f. Restrict the waiver or authorization to the extent required by the operation. Further, any special provisions that are required to provide for an adequate level of flight safety and the protection of persons and property on the surface; for example: limitations, location, time periods, and type aircraft, must be specified and included as part of the waiver or authorization.

NOTE—

If a longer duration is requested, or the operation is of national importance, advise the proponent to petition for an exemption utilizing 14 CFR Section 11.63, How and to whom do I submit my petition for rulemaking or petition for exemption.

19–1–7. RETENTION OF CERTIFICATES OF WAIVER OR AUTHORIZATION

The issuing office must retain one copy of each waiver, authorization or denial, along with supporting data, for at least one year after the date of denial or expiration, as appropriate. Significant or unusual waivers or authorizations may be retained for longer periods.

19–1–8. WAIVER, AUTHORIZATION OR DENIAL PROCEDURE

The applicant must be advised in writing of the waiver or authorization approval or denial, and, if appropriate, what is required to obtain reconsideration.

a. Applicant: The original waiver, authorization or denial, and a copy of the application must be forwarded to the applicant.

b. Issuing Office: The original of the application and a copy of the waiver, authorization or denial must be retained by the issuing office.

c. Washington Headquarters: Except for waivers or authorizations issued by Flight Standards Service, forward copies of waivers, authorizations or written denials to the Washington Headquarters, Rules and Regulations Group.

d. Other Distribution: Other than as specified above and as necessary to satisfy Service Area office needs, distribution must be limited to those offices that have a need for the information. For parasail operations covered under paragraph 19–5–1, Service Area offices must distribute approved waivers or authorizations to the appropriate Flight Standards District Office.

19–1–9. CANCELLATION OF WAIVERS AND AUTHORIZATIONS

A waiver or authorization may be canceled at any time by the Administrator, the person authorized to grant the waiver or authorization, or the representative designated to monitor a specific operation. As a general rule, a waiver or authorization should be canceled when it is no longer required or there is an abuse of its provisions or unforeseen safety factors develop. Failure to comply with the waiver or authorization is cause for cancellation. Cancellation procedures, as applicable, must be used as follows:

a. Notify the holder immediately.

b. Verify and document the basis for the cancellation.

c. Notify the appropriate Service Area office, as well as the issuing office.

d. Provide the holder with written notice of cancellation, or written confirmation of a verbal cancellation, with copies to appropriate offices.

e. Take any other action deemed necessary.

FIG 19-1-1
FAA Form 7711-1

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION <h2 style="margin: 10px 0;">CERTIFICATE OF WAIVER OR AUTHORIZATION</h2>	
ISSUED TO	<i>(self-explanatory)</i>
ADDRESS	<i>(self-explanatory)</i>
<p>This certificate is issued for the operations specifically described hereinafter. No person shall conduct any operation pursuant to the authority of this certificate except in accordance with the standard and special provisions contained in this certificate, and such other requirements of the Federal Aviation Regulations not specifically waived by this certificate.</p>	
OPERATIONS AUTHORIZED <p style="text-align: center;"><i>(Indicate in detail all operations authorized. Use a separate sheet of paper if necessary.)</i></p>	
LIST OF WAIVED REGULATIONS BY SECTION AND TITLE <p style="text-align: center;"><i>(This section not used for Unmanned Air Vehicle authorizations.)</i></p>	
STANDARD PROVISIONS	
<ol style="list-style-type: none"> 1. A copy of the application made for this certificate shall be attached to and become a part hereof. 2. This certificate shall be presented for inspection upon the request of any authorized representative of the Administrator of the Federal Aviation Administration, or of any State or municipal official charged with the duty of enforcing local laws or regulations. 3. The holder of this certificate shall be responsible for the strict observance of the terms and provisions contained herein. 4. This certificate is nontransferable. 	
<p>Note: - This certificate constitutes a waiver of those Federal rules or regulations specifically referred to above. It does not constitute a waiver of any State law or local ordinance.</p>	
SPECIAL PROVISIONS	
<p>Special Provisions Nos. <u> 1 </u> to <u> 4 </u>, inclusive, are set forth on the reverse side hereof.</p>	
<p>This certificate is effective from <u>(Beginning date/time)</u> to <u>(Ending date/time)</u>, inclusive, and is subject to cancellation at any time upon notice by the Administrator or his authorized representative.</p>	
<p><i>(self-explanatory)</i></p> <p style="text-align: center;">(Region)</p> <p style="text-align: center;">(Enter date the waiver was signed)</p> <p style="text-align: center;">(Date)</p>	<p style="text-align: center;">BY DIRECTION OF THE ADMINISTRATOR</p> <p style="text-align: center;"><i>(Signed by Appropriate Waiver Authority)</i></p> <p style="text-align: center;">(Signature)</p> <p style="text-align: center;"><i>(self-explanatory)</i></p> <p style="text-align: center;">(Title)</p>

FAA Form 7711-1 (7-74)

*1975 - G.P.O. - 1703-M/674-862/199

Section 7. Procedural Waivers

19-7-1. PURPOSE

This section prescribes policies and guidelines for the processing of air traffic procedural waiver requests.

19-7-2. POLICY

a. The Director, Mission Support Services Policy (AJV-P) is the authority to grant or deny a waiver to air traffic procedures.

b. Procedural waivers pertaining to separation minima require Air Traffic Safety Oversight Service (AOV) approval.

REFERENCE-

ATO-SG-15-05, Safety and Technical Training Guidance on Separation Minima.

c. The grant of a procedural waiver constitutes relief from a specific requirement in an air traffic directive.

19-7-3. RESPONSIBILITIES

The Air Traffic Manager (ATM) must ensure the facility adheres to the provisions outlined in the approved waiver, and that facility personnel are trained accordingly.

19-7-4. WAIVER REQUESTS

a. The ATM must communicate intent and garner support to pursue a new waiver from their operational chain of command, to include the following, as applicable:

1. District General Manager
2. Service Area Director
3. Director, Operational Policy & Implementation (AJT-2)
4. Director, AJV-P

b. All required safety studies and safety documentation must be completed and approved prior to the request for a new waiver.

c. New waiver requests must follow the process outlined in the AJV-P Waiver Checklist and must include a memorandum from the appropriate Service Area Director supporting the request. The processing time for a new waiver request package, once received by AJV-P, is normally 240 days. The AJV-P Waiver Checklist is available through the appropriate Service Center or may be obtained from the Standards and Procedures Group (AJV-P3) by submitting a request to: 9-AJV-P-HQ-Correspondence@faa.gov.

19-7-5. DEVELOPMENT OF SAFETY DOCUMENTATION AND OTHER SAFETY STUDIES

a. A new waiver request pertaining to separation minima requires a safety analysis (e.g., Flight Standards [AFS] study, Monte Carlo simulation) in addition to requiring a Safety Risk Management (SRM) document delineated in the ATO Safety Management System (SMS) Manual. The funding for such a study must be coordinated within the operational service unit. For additional assistance, please contact AJT.

REFERENCE-

ATO Safety Management System Manual, Annex A, Para 2.2, Documentation, Review, and Approval Process for Waivers to Separation Minima.

b. The facility may seek assistance with the development of an SRM document, as needed, from the appropriate Service Center Quality Control Group (QCG).

19-7-6. WAIVER RENEWAL PROCESSING

a. The ATM must submit waiver renewals to AJV-P via their operational chain of command, to include the District General Manager, appropriate Service Area Director, and the Director Operational Policy & Implementation (AJT-2). Waiver renewal packages must be received by AJV-P at least 180 days prior to a waiver's expiration date.

b. When submitting a waiver renewal request, review the current SRM document to determine whether any updates are necessary. Specific requirements pertaining to *Post-SRM Monitoring* and *Revising an SRM Document* are outlined in the ATO SMS Manual.

c. Before submitting a waiver renewal request, ensure the following:

1. Monitoring information pertaining to the existing waiver is reflected in the Safety Management Tracking System (SMTS), as outlined in the ATO SMS Manual.

2. A statement of monitoring activities must be included in the facility memorandum request.

REFERENCE-

Safety Management Systems Manual, Para 4.2, Developing the Monitoring Plan.

Safety Management Systems Manual, Para 4.3, Post-SRM Monitoring.

Safety Management Systems Manual, Para 5.7, Revising an SRM Document.

d. Requests for waiver renewals must be processed in accordance with the AJV-P Waiver Checklist.

e. The AJV-P Waiver Checklist is available through the appropriate Service Center or may be obtained from the Standards and Procedures Group (AJV-P3) by submitting a request to: 9-AJV-P-HQ-Correspondence@faa.gov.

19-7-7. PERIODICITY OF WAIVER RENEWALS

Existing waivers to air traffic procedures that, upon review, are deemed necessary for the continued efficiency and safety of the NAS must adhere to the following renewal timelines:

a. Waivers in existence for 1 to 10 years must undergo the renewal process every 2 years.

b. Waivers in existence for 11 to 19 years must undergo the renewal process every 3 years.

c. Waivers 20 years or older must undergo the waiver renewal process every 5 years.

19-7-8. WAIVER APPROVAL PROCESS

The Policy Directorate must coordinate all waiver approvals with appropriate headquarters organizations based on the nature of the waiver request. If there is a need to coordinate with a field facility, the Policy Directorate must do so through the appropriate Service Center.

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BRIEFING GUIDE



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

**Initiated By: AJV-0
Vice President, Mission Support Services**

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1. PARAGRAPH NUMBER AND TITLE: 2-1-14 AIRCRAFT IDENTIFICATION PROBLEMS

2. BACKGROUND: A NAS-wide safety issue exists involving use of similar-sounding call signs. Reports of similar-sounding call signs are frequent and are not limited to a single facility or region. To address this safety problem, a national program has been developed to facilitate resolution of occurrences of similar-sounding call signs. This program implements new tools for reporting, researching, and tracking similar-sounding call signs.

3. CHANGE:

<u>OLD</u>	<u>NEW</u>
2-1-14 AIRCRAFT IDENTIFICATION PROBLEMS	2-1-14 AIRCRAFT IDENTIFICATION PROBLEMS
Add	<u>FAA CONTRACT TOWERS NOT APPLICABLE</u>
To <u>alleviate</u> any potential misunderstandings of aircraft identifications caused by duplicate, phonetically similar-sounding, or hard to distinguish registration numbers or call signs operating in the same area, facility managers must ensure that <u>operations supervisors report those occurrences to a facility officer and</u> that the following actions <u>be</u> taken.	To <u>reduce</u> any potential misunderstandings of aircraft identifications caused by duplicate, phonetically similar-sounding, or hard to distinguish registration numbers or call signs operating in the same area, facility managers must ensure that <u>those occurrences are processed using the Similar Sounding Call Sign Submission Tool. Where possible, facility managers must ensure computers in operating quarters are provided with a bookmarked hyperlink to https://ksn2.faa.gov/ATO/AJT-BURST-Team-Tools/SSCS/SitePages/Home.aspx. Where no internet-connected computers are accessible in operations areas, specify procedures in a facility directive for forwarding pertinent information to personnel that can make the entry into the tool as soon as practical. Ensure</u> that the following <u>additional</u> actions <u>are</u> taken.
a through c	No Change
d. The designated facility officer must maintain a record of actions taken <u>and provide feedback to operations supervisors. That record should include:</u>	d. The designated facility officer must maintain a record of actions taken <u>using the Similar Sounding Call Sign Documentation Tool accessed via https://ksn2.faa.gov/ATO/AJT-BURST-Team-Tools/SSCS/SitePages/Home.aspx.</u>
<u>1. Date/time of occurrence.</u>	Delete
<u>2. Location (e.g., RUS VORTAC, sector 90, Shannon Airport).</u>	Delete
<u>3. Call signs involved in the occurrence.</u>	Delete
<u>4. Date occurrence is reported by facility.</u>	Delete
<u>5. Office/person that facility contacted.</u>	Delete

1. PARAGRAPH NUMBER AND TITLE:

2-1-19. SPECIAL ACTIVITY AIRSPACE (SAA) SCHEDULING, COORDINATION, AND DISSEMINATION

2. BACKGROUND: To help standardize Special Activity Airspace (SAA) coordination procedures, this change adds national guidance about minimal SAA information that facility Air Traffic Managers (ATMs) must include in local Standard Operating Procedures (SOP)s and Letters of Agreement (LOAs).

3. CHANGE:

<u>OLD</u>	<u>NEW</u>
Add	<u>2-1-19. SPECIAL ACTIVITY AIRSPACE (SAA) SCHEDULING, COORDINATION, AND DISSEMINATION</u>
Add	<u>Air Traffic Managers (ATMs) must develop procedures for SAA information and integrate them into facility Standard Operating Procedures (SOPs) and Letters of Agreement (LOAs). The following processing actions must be included in SOPs and LOAs.</u>
Add	<u>a. SAA Scheduling/Airspace Request Processing.</u>
Add	<u>1. Receive and process requests for SAA (e.g., times and altitudes).</u>
Add	<u>2. Check the Special Use Airspace Management System (SAMS) or other information sources to obtain SAA schedules/changes.</u>
Add	<u>3. SAA schedule verification/approval and conflict resolution.</u>
Add	<u>b. SAA Implementation Coordination Process and impacted organizations.</u>
Add	<u>1. Department of Defense (DoD) facilities.</u>
Add	<u>2. FAA ATC facilities.</u>
Add	<u>3. Air Traffic Control System Command Center (ATCSCC) Central Altitude Reservation Function (CARF).</u>
Add	<u>4. Others (e.g., Department of Energy [DOE], National Aeronautics and Space Administration [NASA], and other civilian entities).</u>
Add	<u>c. Activation/Deactivation/Change Dissemination Procedures.</u>
Add	<u>1. Enter SAA information in FAA systems.</u>
Add	<u>2. Methods for distributing SAA information to external ATC facilities (e.g., GI message).</u>
Add	<u>3. Methods of intra-facility dissemination of SAA information.</u>

Add

4. Publishing to Notices to Air Missions (NOTAMs), if applicable.2-1-~~19~~ through 2-1-~~42~~Renumber 2-1-~~20~~ through 2-1-~~43~~**1. PARAGRAPH NUMBER AND TITLE:**

2-2-5. OPERATING INITIALS

2-4-3. TIME CHECKS

3-2-1. RESPONSIBILITY

3-4-1. USE OF RECORDERS

3-4-3. CHECKING AND CHANGING RECORDING EQUIPMENT

3-4-4. HANDLING RECORDER TAPES, DATs, OR DALR STORAGE

3-4-5. VSCS DATA RETENTION

8-1-3. COMPUTER DATA RETENTION

12-2-2. DATA RETENTION

2. BACKGROUND: FAA Order JO 7210.3DD contains information that no longer applies to operational voice recorders. The legacy Digital Audio Legal Recorder (DALR) is being replaced with the NAS Voice Recorder (NVR). Both recorders are digital and all previous analog recorders are no longer used in the NAS. However, contract towers may still use analog recording equipment so provision is maintained in the order for those facilities to maintain compliance.

3. CHANGE:**OLD****2-2-5. OPERATING INITIALS****Title through a**

b. Unless signatures are specifically requested, use assigned operating initials for all operating forms, interphone contacts, marking of recorder tapes, and other records.

OLD**2-4-3. TIME CHECKS****Title through b1**

2. The clocks are tied to the direct coded time source on the multi-channel recorder, any one of the listed standard frequency and time radio stations or other time generating device.

REFERENCE-

FAA Order JO 6670.4, Maintenance of MultiChannel Recorder Equipment, Chapter 4.

NEW**2-2-5. OPERATING INITIALS****No Change**

b. Unless signatures are specifically requested, use assigned operating initials for all operating forms, interphone contacts, marking of recorder audio files, and other records.

NEW**2-4-3. TIME CHECKS****No Change**

2. The clocks are tied to the direct coded time source or Global Positioning System (GPS) receiver on the Digital Audio Legal Recorder (DALR) system, National Voice Recorder (NVR) system, or a facility GPS or Network Time Protocol (NTP) synchronized time server.

Delete

OLD**3-2-1. RESPONSIBILITY**

Title through b3

4. Remove the voice tape from service at the normal tape change interval and record the pertinent information on a cassette in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation and Reporting, Chapter 6, paragraph 93, Copies of Voice Recordings.

NEW**3-2-1. RESPONSIBILITY**

No Change

4. Save the audio file(s) on Digital Audio Legal Recorder (DALR) and National Voice Recorder (NVR) systems associated with the false or deceptive communications to an Organizer incident. Add the pertinent information to the Organizer incident, export the Organizer incident to a folder and copy it to external media in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting. The folder containing incident files should be saved to other media (e.g., flash drive, CD, or DVD) and labeled in accordance with FAA Order JO 8020.16.

OLD**3-4-1 USE OF RECORDERS**

Title through e

f. Use a separate channel on each recorder to record time at facilities with time-announce systems. Where these systems have not been installed, a spare receiver tuned to a time transmitting station may be used.

g through h

i. Reserve one channel of each recorder for recording time; except two channels must be reserved on the FA5394, 30-channel recorder. If a coded time source and a time code reader are available, record the coded time source in preference to voice time announcements. Recording more than one time source on any recorder is prohibited.

NEW**3-4-1 USE OF RECORDERS**

No Change

f. Use a separate channel on each recorder to record time at facilities with time-announce systems. Where these systems have not been installed, a spare receiver tuned to a time transmitting station may be used. DALR and NVR systems automatically time stamp all recordings, which eliminates the need to record time on a separate channel.

No Change

i. Recording more than one time source on any recorder is prohibited.

OLD**3-4-3. CHECKING AND CHANGING RECORDING EQUIPMENT**

a. At En Route facilities and the ATCSCC, Technical Operations personnel must be responsible for checking and changing recorder tapes, digital audio tapes (DAT), and Digital Audio Legal Recorders (DALR).

NEW**3-4-3. CHECKING AND CHANGING RECORDING EQUIPMENT**

a. At En Route facilities and the ATCSCC, Technical Operations personnel must be responsible for checking the DALR or NVR system for alarm conditions.

REFERENCE–

(Analog) FAA Order JO 6670.4, Maintenance of Multichannel Recorder Equipment,

or

(Digital) FAA Order JO 6670.13, Maintenance of Digital Voice Recorder (DVR) Equipment and FAA Order JO 6670.15, Maintenance of Digital Voice Recorder System Series II (DVR II) Equipment.

b. At terminal and flight service facilities:

1. Where recorders are not convenient to operating quarters, the facility air traffic manager and the Technical Operations local manager must develop an agreement assigning the responsibility for checking and changing recorder tapes, DATs, and DALRs.

2. Where recorders are convenient to operating quarters, air traffic personnel must perform recorder checks.

b3 through c

d. Recorder monitor operation checks on analog voice recorder systems must be performed daily and must not exceed 26 hours between checks. Procedures for monitoring operations in analog recorders are described in FAA Order JO 6670.4, Maintenance of Multichannel Recorder Equipment.

1. On a daily basis (not to exceed 26 hours), validate the Nicelog supervision window for alarms, and verify normal operation of equipment on digital audio tapes.

2. Indicate accomplishments of checks on FAA Form 7230–4, Facility Record of Operation.

e. At facilities using DALR:

1. On a daily basis (not to exceed 26 hours), validate the Castle Rock SNMPc window for the alarms, and verify normal operation of the DALR system.

Add

2. Document the accomplishment of the check on FAA Form 7230–4, Facility Record of Operation.

REFERENCE–

FAA Order JO 6670.16B, Maintenance of Digital Audio Legal Recorder Types 1, 2, and N (DALR1/DALR2/DALR–N),

or

(Digital) FAA Order JO 6670.17, Maintenance of NAS Voice Recorder (NVR).

No Change

1. Where recorders are not convenient to operating quarters, the facility air traffic manager and the Technical Operations local manager must develop an agreement assigning the responsibility for checking the DALR or NVR system for alarm conditions.

2. Where recorders are convenient to operating quarters, air traffic personnel must perform recorder checks for alarm conditions.

No Change

d. Recorder operational checks on voice recorder systems must be performed daily and must not exceed 26 hours between checks.

1. On a daily basis (not to exceed 26 hours), validate that the DALR or NVR system is not in alarm condition.

No Change

e. Perform operational checks on DALR or NVR systems.

1. At facilities using DALR: On a daily basis (not to exceed 26 hours), validate the Castle Rock SNMPc window for the alarms, and verify normal operation of the DALR system.

REFERENCE–

FAA Order JO 6670.16, Chapter 4, Section 1, Performance Check, 4–3, Daily.

2. At facilities using NVR: On a daily basis (not to exceed 26 hours), validate the NICE Inform Health Manager (IHM) window for the alarms, and verify normal operation of the NVR system.

Add

Add

OLD**3-4-4. HANDLING RECORDER TAPES, DATs, OR DALR STORAGE**

a. Place the following information on each reel or DAT storage case before storage:

- 1. The recorder number.**
- 2. The date and the time UTC.**
- 3. The initials of the person changing the reel.**

b. Retain the tapes or DATs for 45 days, and ensure the DALR .wav file is set to retain recordings for 45 days, except:

1. Accidents: Retain the tapes, DATs, or DALRs in accordance with FAA Order JO 8020.16, Aircraft Accident and Incident Notification, Investigation and Reporting.

2. Incidents: Retain the tapes, DATs, or DALRs in accordance with FAA Order JO 8020.16, Aircraft Accident and Incident Notification, Investigation, and Reporting; and FAA Order 1350.14, Records Management.

3. Hijacking: Retain all relevant tapes, DATs, or DALRs of hijackings from the time communication commences with the aircraft until communication has terminated. After 3 years, contact System Safety and Procedures for the release of the tapes, DATs, or DALRs. In every case, a release from System Safety and Procedures is required to return hijack tapes, DATs, or DALRs to service.

4. Tarmac Delay: When a facility is notified that an aircraft has or may have exceeded the "Three/Four-Hour Tarmac Rule," retain voice recordings relevant to the event for 1 year.

Add

REFERENCE-

FAA Order JO 6670.17, Chapter 4, Section 1, Performance Check, 4-3, Daily.

3. Document the accomplishment of the check on FAA Form 7230-4, Facility Record of Operation.

NEW**3-4-4. AUDIO DATA RETENTION**

a. Ensure that the DALR and NVR default audio retention period is set for 45 days.

Delete

Delete

Delete

b. When voice recordings are saved as an Organizer incident or to external media, the following retention requirements apply:

1. Accidents: Retain the voice recordings in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting.

2. Incidents: Retain the voice recordings in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting; and FAA Order 1350.14, Records Management.

3. Hijacking: Retain all relevant voice recordings of hijackings from the time communication commences with the aircraft until communication has terminated. After 3 years, contact System Safety and Procedures for the release of the DALR or NVR audio files. In every case, a release from System Safety and Procedures is required to delete the hijack DALR or NVR audio files.

No Change

c. For facilities using a different voice recorder than the DALR or NVR, the procedures and media will vary but the recordings must follow the same retention period requirements.

OLD**3-4-5. VSCS DATA RETENTION**

a. Retain the VSCS disc, tape recordings, and data communications printouts for 45 days unless they are related to an accident/incident as defined in accordance with the FAA Records Disposition Reference Table supporting FAA Order 1350.14, Records Management.

b. If a request is received to retain the VSCS communications traffic listings and the system configuration and/or mapping data following an accident, the printout of the relative data will suffice, and the VSCS cassette, disc, and/or tape may then be returned to service through the normal rotational cycle. The printout data are considered a permanent record and must be retained in accordance with aircraft accident/incident retention requirements. Reduction of the VSCS cassette, disc, and tape recordings to hard-copy format must be made at the earliest time convenient to the facility involved without derogating the ATC function and without prematurely taking the VSCS out of ATC service. Do not make these data and printouts a part of the accident/incident package.

c. If a request is received to retain a specific data recording and the data is available and contained on VSCS cassette, disc, and/or tape, the VSCS cassette, disc, and/or tape must be retained in its entirety. If the data requested is contained on several different media (e.g., VSCS cassette, disc, and/or tape media), the facility may transfer all pertinent data to a common media and label the media a Duplicate Original. After successful transfer, the original VSCS cassette, disc, and/or tape may be returned to service through the normal rotational cycle. However, if a specific request is received to retain the original VSCS cassette, disc, and/or tape, the original VSCS cassette, disc, and/or tape must be retained in its entirety.

d. Treat SAR/CDR and DLOG (if recorded) tapes/discs/duplicate and/or originals and data communications printouts related to hijack aircraft the same as voice recorder tapes. (See paragraph 3-4-4, Handling Recorder Tapes or DATs, or DALR Storage.)

NEW

Delete

Delete

Delete

Delete

Delete

OLD**8-1-3. COMPUTER DATA RETENTION****Title through c**

d. Treat SAR/CDR and DLOG (if recorded) tapes/discs/duplicate and/or originals and data communications printouts related to hijack aircraft the same as voice recorder tapes. (See paragraph 3-4-4, Handling Recorder Tapes or DATs, or DALR Storage.)

OLD**12-2-2. DATA RETENTION****Title through d**

e. Treat data extraction recordings pertaining to hijack aircraft the same as voice recorder tapes.

REFERENCE-

FAA Order JO 7210.3, Para 3-4-4, Handling Recorder Tapes DATs, or DALR Storage.

NEW**8-1-3. COMPUTER DATA RETENTION****No Change**

d. Treat SAR/CDR and DLOG (if recorded) recordings, duplicate and/or originals, and data communications printouts related to hijack aircraft the same as voice recorder audio files. (See paragraph 3-4-4, Audio Data Retention.)

NEW**12-2-2. DATA RETENTION****No Change**

e. Treat data extraction recordings pertaining to hijack aircraft the same as voice recorder audio files.

REFERENCE-

FAA Order JO 7210.3, Para 3-4-4, Audio Data Retention.

1. PARAGRAPH NUMBER AND TITLE:**2-2-9. PERSONNEL BRIEFINGS REGARDING AIR TRAFFIC BULLETIN ITEMS**

2. BACKGROUND: Current guidance allows Air Traffic Procedures Bulletins (ATPBs) to be extended past their standard one-year expiration to accommodate topics that are still current. The air traffic plans and publications website displays all previous ATPBs without any indication if an ATPB is expired or current. This leads to questions as to which ATPBs are current vs. expired.

ATPB content is a reiteration of policy and procedures found in various FAA orders and publications, including FAA Order JO 7110.65, Air Traffic Control, and FAA Order JO 7210.3, Facility Operation and Administration. ATPBs should always be viewed as relevant and current at the time of publication. Older ATPBs remain valuable in that they provide opportunities for gaining historical context, reference, and research. Based on these considerations, the Policy Directorate (AJV-P) has determined that, in many cases, content in the ATPBs does not “expire” but rather continues to be a useful source of information long after its publication date unless it is overridden by new policy.

3. CHANGE:**OLD****2-2-9. PERSONNEL BRIEFINGS REGARDING AIR TRAFFIC BULLETIN ITEMS****Title through a****b.** The ATPB is:**b1 through b2****NEW****2-2-9. PERSONNEL BRIEFINGS REGARDING AIR TRAFFIC PROCEDURES BULLETIN ITEMS****No Change****No Change****No Change**

3. Is effective for one year from its publication date. The Policy Directorate may extend a bulletin's expiration date to accommodate topics that are still current.

Add

3. Published on the FAA's publication website. Archived ATPBs accessed on the website should be deemed reliable only for historical reference purposes as some references contained within the article(s) may have changed.

NOTE–

ATPBs may be accessed at:

https://www.faa.gov/air_traffic/publications/#atpb.

1. PARAGRAPH NUMBER AND TITLE:

3–8–1. MINIMUM VECTORING ALTITUDE CHARTS (MVAC) FOR FACILITIES PROVIDING TERMINAL APPROACH CONTROL SERVICES

2. BACKGROUND: The current content of paragraph 3–8–1 no longer accurately conveys the conditions to be followed for minimum vectoring altitude (MVA) chart development. All terminal facilities have fully transitioned to the Standard Terminal Automation Replacement System (STARS) platform using Fusion Mode. Much of the legacy content is obsolete and no longer reflects actual facility practices.

3. CHANGE:

OLD

3–8–1. MINIMUM VECTORING ALTITUDE CHARTS (MVAC) FOR FACILITIES PROVIDING TERMINAL APPROACH CONTROL SERVICES

Air traffic managers must determine the location and the method for the display of vectoring altitude charts to provide controllers with the minimum vectoring altitudes as follows:

a. Where the system is configured to display single radar sensors, provide:

1. An MVAC that accommodates the largest separation minima of all available sensors; or

2. Unique MVACs that accommodate the appropriate separation minima of each available sensor.

b. Where the system is configured to simultaneously display multiple radar sensors, provide an MVAC that accommodates the largest separation minima of all available sensors; or

c. Where the system is utilizing FUSION mode, develop an MVAC that provides:

NEW

3–8–1. MINIMUM VECTORING ALTITUDE CHARTS (MVAC) FOR FACILITIES PROVIDING TERMINAL APPROACH CONTROL SERVICES

Air traffic managers must **ensure MVACs are included in the STARS or MEARTS site adaptation.** Provide controllers with the minimum vectoring altitudes as follows:

Delete

Delete

Delete

Delete

a. Where the system is utilizing FUSION mode, develop an MVAC that provides:

1. ~~Three~~-mile separation minima ~~or more~~ from obstacles, except when applying the provision in paragraph 3-8-1~~c~~2. The MVAC must depict obstacle clearances, outward to the lateral limits of the associated approach control airspace and an appropriate buffer outside the lateral approach control airspace boundaries. As a minimum, this may be accomplished by using the existing single-sensor MVAC for the predominant radar sensor; and

2. ~~Five~~-mile separation minima from obstacles for use whenever the FUSION system cannot provide 3-mile separation due to degraded status or system limitations.

d. At locations adding FUSION, provided the facility uses existing MVA charts with 3-mile buffers and an MVAC with 5-mile buffers, additional charts do not need to be developed to support FUSION.

NOTE-

Mission Support Services, Aeronautical Information Services, Aeronautical Charting, Radar Video Mapping Team should be contacted if assistance is required. (See FAA Order 8260.3, United States Standard for Terminal Instrument Procedures (TERPS) Chapter 10.)

REFERENCE-

FAA Order JO 7110.65, Para 5-5-4, Minima.

1. ~~3~~-mile separation minima from obstacles, except when applying the provision in ~~sub~~paragraph 3-8-1~~a~~2. The MVAC must depict obstacle clearances, outward to the lateral limits of the associated approach control airspace and an appropriate buffer outside the lateral approach control airspace boundaries; and

2. ~~5~~-mile separation minima from obstacles for use whenever the FUSION system cannot provide 3-mile separation due to degraded status or system limitations, or when using Multi-Sensor Mode.

b. When set to single sensor display, use 3-mile obstacle buffers when less than 40 miles from the antenna, and 5-mile obstacle buffers when 40 miles or more from the antenna, at ASR locations without a monopulse secondary surveillance radar (MSSR).

NOTE-

Mission Support Services, Aeronautical Information Services, Aeronautical Charting, Radar Video Mapping Team should be contacted if assistance is required. (See FAA Order 8260.3, United States Standard for Terminal Instrument Procedures (TERPS), Chapter 11.)

REFERENCE-

FAA Order JO 7110.65, Para 5-5-4, Minima.

FAA Order JO 7110.65, Para 5-5-9, Separation from Obstructions.

1. PARAGRAPH NUMBER AND TITLE:

3-8-5. ESTABLISHING DIVERSE VECTOR AREA/S (DVA)

8-2-1. THREE MILE OPERATIONS

2. BACKGROUND: The Surveillance Acquisition and Sustainment Group of the Program Management Office (PMO) is undertaking the Mode S Beacon Replacement System (MSBRS) beginning in 2023. This secondary radar refresh seeks the replacement of all legacy Mode S and Condor MK2 beacon systems associated with ASR-8/9 and ASR-11 airport surveillance radar (ASR) systems. The impending replacement requires the relevant provisions in JO 7210.3 to reflect the new system infrastructure. There will be no changes in separation standards as a result of this system replacement.

3. CHANGE:**OLD****3-8-5. ESTABLISHING DIVERSE VECTOR AREA/S (DVA)**Title through **a7(d)**

(e) Radar Type/Beacon Type. Provide whether the facility has an ASR-8/9 with Mode S beacon system or ASR-11 with MSSR beacon.

NEW**3-8-5. ESTABLISHING DIVERSE VECTOR AREA/S (DVA)**

No Change

(e) Radar Type/Beacon Type. Provide whether the facility has an ASR-8, 9, **or 11, and its associated** beacon system **or monopulse secondary surveillance radar (MSSR), if applicable**.

OLD**8-2-1. THREE MILE OPERATIONS**Title through **c3**

4. Within 60 NM of the preferred radar when using ASR-9 with Mode S or ASR-11 MSSR Beacon; or

c5 through **c5 NOTE 2**

d. MEARTS: All sort boxes within 40 NM of the sensor or within 60 NM of the sensor when using ASR-9 with Mode S or ASR-11 MSSR Beacon and with the single site indicator set to permit the use of 3 NM radar separation.

NEW**8-2-1. THREE MILE OPERATIONS**

No Change

4. Within 60 NM of the preferred radar when using **an** MSSR; or

No Change

d. MEARTS: All sort boxes within 40 NM of the sensor or within 60 NM of the sensor when using **an** MSSR and with the single site indicator set to permit the use of 3 NM radar separation.

1. PARAGRAPH NUMBER AND TITLE:**4-3-7. HOT AIR BALLOON LOAs FOR CLASS C AIRSPACE**

2. BACKGROUND: On January 1, 2020, the FAA mandated that all commercial aircraft and aircraft flying in Class A, B, and C airspace be required to equip with transponders having Automatic Dependent Surveillance-Broadcast (ADS-B) Out capability. Title 14 of the Code of Federal Regulations (14 CFR) §§ 91.215 and 91.225 are the governing Federal Aviation rules that require most aircraft to equip with and use transponders and ADS-B Out. Balloons are excluded from these regulations, provided the operations are outside Class A, B, or C airspace (and other stipulations depending on the regulation). To date, some air traffic control facilities have entered into letters of agreement (LOAs) with balloon operators or balloon festival representatives permitting manned balloon operations in Class C airspace, approving deviations from the transponder, and ADS-B Out regulations. These operations typically require a waiver from Flight Standards. On June 21, 2022, a Safety Risk Management panel convened to assess the safety risk associated with hot air balloon operations in Class C airspace. This change is one of four safety recommendations that resulted from the panel's analysis. Additionally, the panel determined that to ensure LOA standardization, and to provide guidance, all existing LOAs associated with hot air balloon operations within Class C airspace, will expire on March 21, 2023. Henceforth, to ensure LOA standardization, and to provide guidance, facilities conducting hot air balloon operations within Class C airspace, when developing their LOAs, must utilize a hot air balloon LOA template provided upon request by their respective Operations Support Group.

3. CHANGE:**OLD**

Add

Add

4-3-7 through 4-3-9

NEW**4-3-7. HOT AIR BALLOON LOAs FOR CLASS C AIRSPACE**

Air traffic managers at facilities that conduct hot air balloon operations within Class C airspace must enter into an LOA with balloon operators or festival representatives specifying procedures and conditions for operations. The LOA must be developed using a hot air balloon LOA template obtained from the Service Center Operations Support Group.

Renumber 4-3-8 through 4-3-10

1. PARAGRAPH NUMBER AND TITLE:

Chapter 6, Section 5. Stored Flight Plan Program

6-5-1. CRITERIA

6-5-2. IMPLEMENTATION AND COORDINATION

6-5-3. PREPARATION AND MAINTENANCE OF BULK STORE FILE

6-5-4. REMARKS DATA

6-6-2. FACILITY RESPONSIBILITIES

2. BACKGROUND: Bulk-stored flight plans, used in the host operating system, were discontinued upon deployment of En Route Automation Modernization (ERAM). Air Carriers now have their own processing systems, and air taxis use third party vendors. This section contains procedures that are no longer used.

3. CHANGE:**OLD****Section 5. Stored Flight Plan Program****NEW**

Delete

OLD**6-5-1. CRITERIA****NEW**

Delete

The following criteria must be used in coordinating and implementing the stored flight plan program. The term *air carrier*, as used below, includes scheduled air taxi operators meeting the criteria for this program.

Delete

a. Each air carrier will provide the appropriate ARTCCs with a specific contact for coordination of this program.

Delete

b. The individual air carrier is responsible for providing the ARTCC the following:

Delete

1. Current flight plan schedule data at least 7 days prior to the effective date of the scheduled change.

Delete

(a) Changes to become effective between the 15th and the last day of the month must be received by the facility no later than the 8th day of the month.

Delete

<u>(b) Changes to become effective between the 1st and the 14th of the month must be received by the facility no later than the 23rd of the month.</u>	Delete
<u>2. Permanent cancellations to flight plans currently stored will be accepted on a day-to-day basis.</u>	Delete
<u>3. When submitting revised listings, permanent cancellations, and additions, all changes must be clearly indicated.</u>	Delete
<u>(a) Additions to the current listings must be noted as such by placing the word <i>ADD</i> preceding item G(4) of the format and outside the normal left-hand margin.</u>	Delete
<u>(b) Deletions from the current listings should be noted by adding the contraction <i>DLT</i> preceding item G(4) of the format and outside the normal left-hand margin.</u>	Delete
<u>(c) Changes, such as departure time, altitude, equipment, and route of flight should be indicated by adding the contraction <i>CHG</i> preceding item G(4) of the format and outside the normal left-hand margin with the change underlined.</u>	Delete
<u>(d) Subsequent listings will not include the added, deleted, or changed information.</u>	Delete
<u>c. Each air carrier is responsible for providing day-to-day modifications to computer-stored flight plans to the appropriate ARTCC or terminal facility control positions no more than 30 minutes prior to the stored proposed departure time. The following procedures apply:</u>	Delete
<u>1. The ARTCC/ATCT facilities will provide the airline officials with the controller position phone number for modification of the stored flight plan. This procedure only affects the flight for this particular day and is not intended to be a modification to the permanent stored flight plan.</u>	Delete
<u>2. Changes to the flight plan, other than the identification, considered to fall in this category are change in the type of aircraft, DME or transponder equipment, altitude, route of flight, or cancellation.</u>	Delete
<u>3. If the proposed departure time is changed by less than 1 hour, there is no requirement for it to be forwarded to the ARTCC.</u>	Delete
<u>4. If the trip number is changed, a new flight plan must be filed at least 40 minutes prior to the proposed departure time.</u>	Delete

5. Day-to-day modifications to computer-stored flight plans destined for Newark, LaGuardia, or Kennedy Airports must be accepted up to 1 hour and 30 minutes prior to stored proposed departure time. If the proposed departure time of flights for these three airports is changed by 30 minutes or more, the center should be advised.

Delete

d. Flights scheduled at least 1 day each week may be submitted to the ARTCC for the stored flight plan program.

Delete

e. Only these flight plans involving a reasonable amount of stability in the flight planned routes will be accepted in the program. The initial minimum stability factor is 85 percent.

Delete

f. Flight plan data must be submitted in chronological order by airports of departure and in the format outlined in the following example:

Delete

NOTE-

The number above each item is explained in detail by the coinciding numbers listed below the example.

Delete

g. Each airline is responsible for developing procedures to preclude any misunderstanding between controller and pilot in the event of changes to the stored flight plan. If the airline has a requirement for the controller to issue a complete clearance for a period of time after the effective date of a stored flight plan, the airline will alert its pilots not to accept "cleared as filed" and add the following information to remarks after the route of flight data forwarded to the ARTCC: FULL RTE CLRNC TIL, PAREN DATE PAREN.

Delete

EXAMPLE-

(See FIG 6-5-1.)

Delete

OLD

6-5-2. IMPLEMENTATION AND COORDINATION

NEW

Delete

Each ARTCC must provide the airline with a contact for implementing and coordinating this program.

Delete

OLD

6-5-3. PREPARATION AND MAINTENANCE OF BULK STORE FILE

NEW

Delete

Each ARTCC must prepare and maintain card decks, magnetic tapes, and discs necessary for computer processing of the data provided by the airlines.

Delete

OLD**6-5-4. REMARKS DATA**

ARTCC controllers must not use “cleared as filed” until after the date specified in the remarks portion of the stored flight plan. (See subparagraph 6-5-1g.) The remarks data may be removed from the stored flight plan after the date specified.

NEW

Delete

Delete

OLD*FIG 6-5-1***Stored Flight Plan Program**

<u>(1)</u>						
<u>STORED FLIGHT PLAN DATA FOR THE ZDC ARTCC</u>						
<u>(2)</u>						
<u>11-5-86</u>						
<u>(3)</u>						
<u>11-13-86</u>						
<u>(4)</u>	<u>(5)</u>	<u>(6)</u>	<u>(7)</u>	<u>(8)</u>	<u>(9)</u>	<u>(10)</u>
<u>XXXXXXO</u>	<u>EAL490</u>	<u>DC9</u>	<u>0425</u>	<u>DCA</u>	<u>P1830</u>	<u>170</u>
<u>(11)</u>			<u>(12)</u>		<u>(13)</u>	
<u>DCA 7NP V123 RBV</u>			<u>JFK</u>		<u>0105</u>	

(1) Heading indicating the ARTCC for which the flight plan was prepared.

(2) Date flight plan prepared.

(3) Effective date of the stored flight plan based on UTC. (Must be submitted prior to the 8th of the month for an effective date between the 15th and the last day of the month or by the 23rd of the month for an effective date of the 1st to the 14th.)

Note.—Items (1), (2), and (3) must be included on each page of data submitted.

(4) Seven characters reflecting operating frequency with the letter “X” appearing in the days of operation and the letter “O” appearing in the days of non-operation; e.g., XXXXXXO means the flight operates daily except Saturday. The frequency of operation should always be based on UTC; e.g., a flight proposed to depart at 2000 Eastern Standard Time on Friday would be filed as a 0100Z Saturday operation.

(5) The identification of the flight using the ICAO–authorized 3-letter designator followed by the trip number of this flight; i.e., UAL743 would be United Airlines flight number 743. The minimum number of characters is three (3), and the maximum number is seven (7) characters of information.

(6) The type of aircraft to be used on this flight. When equipment varies by the day of the week, this may be entered into the listing as a different flight plan. Although the aircraft identification may be the same, the operating frequency would be different and would preclude ambiguity. The type of aircraft may consist of three items of data. First, if appropriate, the super or heavy aircraft indicator “H,” followed by a required second item containing a maximum of four (4) characters (the authorized contraction for the aircraft designator as described in FAA Order JO 7340.2, Contractions). The third item may be a virgule “/” and one alphabetic character to indicate transponder and distance measuring equipment (DME) as described in FAA Order JO 7110.65 and the AIM.

(7) The filed true airspeed (TAS) in knots or Mach speed. The required format for Mach speed is three (3) digits preceded by the letter “M;” e.g., M095.

(8) The airport of departure must be a maximum of five (5) characters using the authorized identifier as listed in FAA Order JO 7350.9, Location Identifiers, or the ICAO Location Indicators Document 7910.

(9) The proposed departure time must always consist of the “P” followed by four numerics expressing the proposed departure time in 24 hour Coordinated Universal Time (UTC).
(10) The requested altitude must be a maximum of three (3) characters expressing the requested altitude in hundreds of feet; e.g., 140, fourteen thousand feet; 80, eight thousand feet.
(11) The intended route of flight to the first destination airport. (When a flight has multiple stops, each portion of the scheduled route must form the basis for a new flightplan and will be distinguished from other portions by changing the point of departure.) The absence of an airway or route number between two fixes indicates direct; therefore no symbol or abbreviation is required.
(a) All junctions between airways must be included when they can be identified as fixes listed in FAA Order JO 7350.9, Location Identifiers, or the ICAO Location Indicators Document 7910. If any problem exists in using the name or the fix identifier, coordination between the carrier and the ARTCC must be accomplished to resolve the problem.
(b) The point of departure must always be the first item of the route data. If a standard instrument departure (SID) routing is requested, it must be filed using the official designator, followed by the departure point and the transition/exit fix.
(12) The last item in the route of flight will be the destination of the flight as identified in FAA Order JO 7350.9, Location Identifiers, or the ICAO Location Indicators Document 7910.
(13) Estimated Time En Route (ETE).

NEW

Delete

Delete

Section 6 through Section 10**Renumber Section 5 through Section 9****OLD****6-6-2. FACILITY RESPONSIBILITIES****Title through c**

d. Develop facility procedures to monitor air carrier flight plan input as specified in Chapter 6, Section 5, Stored Flight Plan Program.

NEW**6-5-2. FACILITY RESPONSIBILITIES**

No Change

Delete

1. PARAGRAPH NUMBER AND TITLE:**10-4-6. SIMULTANEOUS INDEPENDENT APPROACHES**

2. BACKGROUND: In May 2021, Flight Standards Flight Research and Analysis Branch, AFS-430, completed a supplemental analysis of DOT/FAA/AFS-400/2018/R/22, which provided the foundational analysis for implementation of the revised high update rate (HUR) surveillance procedures now published in JO 7110.65 and JO 7210.3. This supplemental analysis was requested after a 2020 safety risk management panel on the subject. It was found that through additional review of ADS-B surveillance accuracy that was not known at the time of the first report, that runway centerline spacing (RCLS) could be further reduced.

3. CHANGE:**OLD****10-4-6. SIMULTANEOUS INDEPENDENT APPROACHES****Title through a2(d) High Update Rate Label**

b. At locations with high update rate surveillance, simultaneous independent approaches may be conducted where the surveillance update rate is 1 second or faster, the system processing time is 3 seconds or faster, and under the following conditions:

1. Dual parallel runway centerlines are at least 3,200 feet apart, or dual parallel runway centerlines are at least 2,500 feet apart with a 2.5° to 3.0° offset approach to either runway.

2. Triple parallel runway centerlines are at least 3,400 feet apart, or triple parallel runway centerlines are at least 2,500 feet apart with a 2.5° to 3.0° offset approach to both outside runways, or triple parallel runway centerlines are at least 2,500 feet apart, a single 2.5° to 3.0° offset approach to either outside runway while parallel approaches to the remaining two runways are separated by at least 3,400 feet.

3. A surveillance update rate of at least 1 second is required for monitoring the no transgression zone (NTZ) when conducting simultaneous independent approaches to the runway centerline spacing (RCLS) provided in this paragraph.

NOTE-

1. *The facility ATM notifies the Safety Performance Monitoring Team (AJI-313) when implementing HUR surveillance procedures for the first time.*

2. *Where RCLS is ≤ 3400 feet, the normal operating zone (NOZ) is constant at 700 feet; and for RCLS ≥ 3400 feet, the no transgression zone (NTZ) remains constant at 2000 feet.*

3. *Technical Operations' Navigation & Surveillance Enterprise Control Center (NECC) monitors the health and status of the ADS-B Service 24/7/365. The NECC notifies those locations using HUR procedures when the ADS-B service is not providing the required target update performance along the full length of the NTZ.*

NEW**10-4-6. SIMULTANEOUS INDEPENDENT APPROACHES**

No Change

b. At locations with high update rate surveillance **capable of update rates of 1.2 seconds or faster, and where fusion display mode is utilized,** simultaneous independent approaches may be conducted under the following conditions:

1. Dual parallel runway centerlines are at least 3,100 feet apart, or dual parallel runway centerlines are at least 2,500 feet apart with a 2.5° to 3.0° offset approach to either runway.

2. Triple parallel runway centerlines are at least 3,100 feet apart, or triple parallel runway centerlines are at least 2,500 feet apart with a 2.5° to 3.0° offset approach to both outside runways, or triple parallel runway centerlines are at least 2,500 feet apart, **and** a single 2.5° to 3.0° offset approach to either outside runway while parallel approaches to the remaining two runways are separated by at least 3,100 feet.

3. A surveillance update rate of at least **1.2 seconds** is required for monitoring the no transgression zone (NTZ) when conducting simultaneous independent approaches to the runway centerline spacing (RCLS) provided in this paragraph.

No Change

No Change

3. *Technical Operations' Navigation & Surveillance Enterprise Control Center (NECC) monitors the health and status of the ADS-B Service 24/7/365. The NECC notifies those locations using HUR procedures when the ADS-B service is not providing the required target update performance along the full length of the NTZ. **When informed by the NECC that the required target update performance is not meeting expectations, facility is expected to cease HUR procedures.***

4. *At this time, STARS cannot provide the controller with real time notification of target update performance that meet the requirements to achieve HUR surveillance benefits.*

No Change

Add

5. Parallel approach turn-on at or above 5,000 feet MSL with RCLS less than 3,400 feet may result in increased TCAS RA events.

REFERENCE–

FAA Order 6000.15, General Maintenance Handbook for National Airspace System (NAS) Facilities, Appendix K.

No Change

1. PARAGRAPH NUMBER AND TITLE:

18–14–1. SPECIAL EVENT PROGRAMS

18–14–2. COORDINATION

18–14–3. IMPLEMENTATION

18–14–4. AIRPORT RESERVATION OFFICE

2. BACKGROUND: To properly manage the flow of arrivals and departures for special events and slot controlled airports, the FAA requires users to make arrival and departure reservations. A flexible web interface is used to make the reservation.

3. CHANGE:

OLD

18–14–1. SPECIAL EVENT PROGRAMS

Special procedures may be established for a location to accommodate abnormally large traffic demands (Indianapolis 500 Race, Kentucky Derby, fly-ins) or a significant reduction in airport capacity for an extended period (airport runway/taxiway closures for airport construction). These special procedures may remain in effect until the event is over or local TM procedures can handle the situation.

OLD

18–14–2. COORDINATION

Documentation to justify special procedures must be submitted by the facilities to the En Route and Oceanic Operations Service Area Office and Terminal Operations Area Office 90 days in advance, with a copy to the appropriate Deputy Director of System Operations (DDSO). The service area office must review and forward the request to the ATCSCC for coordination and approval 60 days in advance.

a. Documentation must include the following as a minimum:

NEW

18–14–1. SPECIAL EVENT PROGRAMS

Special programs may be established for a location to accommodate abnormally large traffic demands (**for example, Indianapolis 500 Race, EAA AirVenture Oshkosh, SUN 'n FUN Aerospace Expo**) or a significant reduction in airport capacity for an extended period (airport runway/taxiway closures for airport construction). These special programs may remain in effect until the event is over or local TM procedures can handle the volume.

NEW

18–14–2. COORDINATION

Documentation to justify special programs must be submitted by the facility or TMO to **their Operations Support Group (OSG)** 90 days in advance, with a copy to the appropriate Deputy Director of System Operations (DDSO). The service area must review and forward the request to the ATCSCC for coordination and approval 60 days in advance.

No Change

1. The reason for implementing special procedures and a statement of system impact. Include the total number of additional flights expected.

a2 through a6

7. A draft copy of the associated NOTAM and temporary flight restrictions. (Electronic mailing preferred).

8. IFR/VFR capacity at each airport/sector.

9. Resource cost estimate including staffing and telephone requirements.

a10 through a11

b. The service area office must forward the NOTAM to System Operations Airspace Aeronautical Information Management/Publications, for publication no later than 28 days prior to the publication date. Cutoff submittal dates and publication dates are printed inside the front cover of the monthly NOTAM Flight Information Publication.

NOTE–

The toll-free number/web address to obtain a STMP slot are:

1. Touch-tone interface: 1-800-875-9755.
2. Web interface: www.fly.faa.gov.
3. Trouble number: (540) 422-4246.

OLD

18-14-3. IMPLEMENTATION

Title through a

b. The ATCSCC will disseminate a password and instructions for facility STMP reports. Detailed instructions can be found on the web site for the web interface, or in the Aeronautical Information Manual for the touch-tone interface.

OLD

18-14-4. AIRPORT RESERVATION OFFICE

Title through c

1. The reason for implementing special programs and a statement of system impact. Include the total number of additional flights expected.

No Change

7. A draft copy of the associated **Domestic Notice** and/or temporary flight restrictions (**email preferred**).

No Change

9. **Begin date and time for the start of reservation acceptance.**

No Change

b. The **Service Center OSG** must forward the **Domestic Notice** to **the Mission Support Services, Policy (AJV-P), Domestic Notices editor at 9-ATOR-HQ-PubGrp@faa.gov** for publication no later than **10** days prior to the **start** date. **Domestic Notices for special events may be published up to 60 days prior to the event. Please submit 70 days prior to the event to allow for the 10-day internal processing.**

NOTE–

The web address to obtain a STMP slot:

1. www.fly.faa.gov/estmp
2. Call the Traffic Flow Management Help Desk (609) 485-9601 for problems using the web-based interface.

NEW

18-14-3. IMPLEMENTATION

No Change

b. The ATCSCC will disseminate a password and instructions for facility STMP reports. Detailed instructions can be found on the web site for the web interface, or in the Aeronautical Information Manual.

NEW

18-14-4. AIRPORT RESERVATION OFFICE

No Change

d. Refer to the Web site or touch-tone phone interface below for the current listing of the slot controlled airports, limitations, and reservation procedures.

NOTE–

The Web interface and telephone number to obtain a reservation for unscheduled operations at a slot controlled airport are:

1. <http://www.fly.faa.gov/ecvrs>.
2. Trouble number: (540) 422-4246.

d. Refer to the **website** for the current listing of slot controlled airports, limitations, and reservation procedures.

NOTE–

The URL to obtain a reservation for unscheduled operations at a slot controlled airport is: <http://www.fly.faa.gov/ecvrs>. Call the ARO trouble number (540) 422-4246 for problems with a slot reservation.

1. PARAGRAPH NUMBER AND TITLE:

1–1–1. PURPOSE OF THIS ORDER

Part 6. REGULATORY INFORMATION

Chapter 19, Section 1. Waivers and Authorizations

Chapter 19, Section 7. Procedural Waivers

19–7–1. PURPOSE

19–7–2. POLICY

19–7–3. RESPONSIBILITY

19–7–4. WAIVER REQUESTS

19–7–5. DEVELOPMENT OF SAFETY DOCUMENTATION AND OTHER SAFETY STUDIES

19–7–6. WAIVER RENEWAL PROCESSING

19–7–7. PERIODICITY OF WAIVERS

19–7–8. WAIVER APPROVAL PROCESS

2. BACKGROUND: Mission Support Services, Standards and Procedures (AJV–P3), is responsible for processing air traffic procedural waiver requests. However, very little information exists regarding the process a facility must follow for submitting a new waiver request, or for submitting a waiver renewal request. Coordination with various offices and the development of appropriate safety documentation is required. The lack of a process and procedures for submitting new waiver requests as well as waiver renewal requests caused confusion for field facilities, Service Areas, and Service Centers. Specifying the procedures necessary for submitting new or waiver renewal requests will standardize and simplify the application process for field facilities.

3. CHANGE:

OLD

1–1–1. PURPOSE OF THIS ORDER

Title through c

d. Part 6 is regulatory information concerning waivers, authorizations, exemptions, and flight restrictions.

OLD

Part 6. REGULATORY INFORMATION

OLD

Section 1. Waivers and Authorizations

NEW

1–1–1. PURPOSE OF THIS ORDER

No Change

d. Part 6 **contains** regulatory **and procedural** information concerning waivers, authorizations, exemptions, and flight restrictions.

NEW

Part 6. REGULATORY AND PROCEDURAL INFORMATION

NEW

Section 1. Regulatory Waivers and Authorizations

OLD

Add

NEW**Section 7. Procedural Waivers****OLD**

Add

Add

NEW**19-7-1. PURPOSE**

This section prescribes policies and guidelines for the processing of air traffic procedural waiver requests.

OLD

Add

Add

NEW**19-7-2. POLICY**

a. The Director, Mission Support Services Policy (AJV-P) is the authority to grant or deny a waiver to air traffic procedures.

Add

b. Procedural waivers pertaining to separation minima require Air Traffic Safety Oversight Service (AOV) approval.

Add

**REFERENCE—
ATO-SG-15-05, Safety and Technical Training Guidance on Separation Minima.**

Add

c. The grant of a procedural waiver constitutes relief from a specific requirement in an air traffic directive.

OLD

Add

Add

NEW**19-7-3. RESPONSIBILITIES**

The Air Traffic Manager (ATM) must ensure the facility adheres to the provisions outlined in the approved waiver, and that facility personnel are trained accordingly.

OLD

Add

Add

NEW**19-7-4. WAIVER REQUESTS**

a. The ATM must communicate intent and garner support to pursue a new waiver from their operational chain of command, to include the following, as applicable:

Add

1. District General Manager

Add

2. Service Area Director

Add

3. Director, Operational Policy & Implementation (AJT-2)

Add

4. Director, AJV-P

- Add b. All required safety studies and safety documentation must be completed and approved prior to the request for a new waiver.
- Add c. New waiver requests must follow the process outlined in the AJV-P Waiver Checklist and must include a memorandum from the appropriate Service Area Director supporting the request. The processing time for a new waiver request package, once received by AJV-P, is normally 240 days. The AJV-P Waiver Checklist is available through the appropriate Service Center or may be obtained from the Standards and Procedures Group (AJV-P3) by submitting a request to: 9-AJV-P-HQ-Correspondence@faa.gov.

OLD**NEW**

- Add 19-7-5. DEVELOPMENT OF SAFETY DOCUMENTATION AND OTHER SAFETY STUDIES
- Add a. A new waiver request pertaining to separation minima requires a safety analysis (e.g., Flight Standards [AFS] study, Monte Carlo simulation) in addition to requiring a Safety Risk Management (SRM) document delineated in the ATO Safety Management System (SMS) Manual. The funding for such a study must be coordinated within the operational service unit. For additional assistance, please contact AJT.
- Add REFERENCE-
ATO Safety Management System Manual, Annex A, Para 2.2, Documentation, Review, and Approval Process for Waivers to Separation Minima.
- Add b. The facility may seek assistance with the development of an SRM document, as needed, from the appropriate Service Center Quality Control Group (QCG).

OLD**NEW**

- Add 19-7-6. WAIVER RENEWAL PROCESSING
- Add a. The ATM must submit waiver renewals to AJV-P via their operational chain of command, to include the District General Manager, appropriate Service Area Director, and the Director Operational Policy & Implementation (AJT-2). Waiver renewal packages must be received by AJV-P at least 180 days prior to a waiver's expiration date.

- Add **b. When submitting a waiver renewal request, review the current SRM document to determine whether any updates are necessary. Specific requirements pertaining to *Post-SRM Monitoring* and *Revising an SRM Document* are outlined in the ATO SMS Manual.**
- Add **c. Before submitting a waiver renewal request, ensure the following:**
- Add **1. Monitoring information pertaining to the existing waiver is reflected in the Safety Management Tracking System (SMTS), as outlined in the ATO SMS Manual.**
- Add **2. A statement of monitoring activities must be included in the facility memorandum request.**
- Add **REFERENCE–
Safety Management Systems Manual, Para 4.2, *Developing the Monitoring Plan.*
Safety Management Systems Manual, Para 4.3, *Post-SRM Monitoring.*
Safety Management Systems Manual, Para 5.7, *Revising an SRM Document.***
- Add **d. Requests for waiver renewals must be processed in accordance with the AJV-P Waiver Checklist.**
- Add **e. The AJV-P Waiver Checklist is available through the appropriate Service Center or may be obtained from the Standards and Procedures Group (AJV-P3) by submitting a request to: 9-AJV-P-HQ-Correspondence@faa.gov.**

OLD**NEW**

- Add **19-7-7. PERIODICITY OF WAIVER RENEWALS**
- Add **Existing waivers to air traffic procedures that, upon review, are deemed necessary for the continued efficiency and safety of the NAS must adhere to the following renewal timelines:**
- Add **a. Waivers in existence for 1 to 10 years must undergo the renewal process every 2 years.**
- Add **b. Waivers in existence for 11 to 19 years must undergo the renewal process every 3 years.**
- Add **c. Waivers 20 years or older must undergo the waiver renewal process every 5 years.**

OLD

Add

Add

NEW**19-7-8. WAIVER APPROVAL PROCESS**

The Policy Directorate must coordinate all waiver approvals with appropriate headquarters organizations based on the nature of the waiver request. If there is a need to coordinate with a field facility, the Policy Directorate must do so through the appropriate Service Center.
