



Department of Defense **INSTRUCTION**

NUMBER 5030.36

April 24, 2014

USD(AT&L)

SUBJECT: Emergency Security Control of Air Traffic (ESCAT)

References: See Enclosure 1

1. **PURPOSE.** In accordance with the authority in DoD Directives 5134.01 and 5030.19 (References (a) and (b)), this instruction reissues DoD Instruction 5030.36 (Reference (c)) to update established policy, assigned responsibilities, and prescribed procedures and provide guidance for the security control of civil and military air traffic in all U.S. territorial airspace and other airspace over which the Federal Aviation Administration (FAA) has air traffic control jurisdiction by international agreement when various emergency conditions exist.

2. **APPLICABILITY.** This instruction applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this instruction as the “DoD Components”).

3. **POLICY.** It is DoD policy that:

a. DoD programs and initiatives are aligned to provide defense and aviation security. As a result of fulfilling its mission sets, DoD makes extensive use of the U.S. National Airspace System (NAS) in support of National Security Presidential Directive-47/Homeland Security Presidential Directive-16 (Reference (d)), the National Strategy for Aviation Security (Reference (e)), and Executive Order 12656 (Reference (f)).

b. Policies and procedures for the ESCAT will be in compliance with part 245 of Title 32, Code of Federal Regulations (Reference (g)).

c. Due to the significant impact ESCAT procedures have on NAS users and civil industry, ESCAT will not be implemented unless the urgency and breadth of control of airspace necessary make normal airspace control measures (ACM) coordination protocols ineffective.

d. ESCAT will not be considered for Defense Support of Civil Authorities events such as hurricanes, earthquakes, or other disasters unless conducted in association with a hostile act.

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosure 3.

6. RELEASABILITY. **Unlimited**. This instruction is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

7. EFFECTIVE DATE. This instruction:

a. Is effective April 24, 2014.

b. Must be reissued, cancelled, or certified current within 5 years of its publication to be considered current in accordance with DoD Instruction 5025.01 (Reference (h)).

c. Will expire effective April 24, 2024 and be removed from the DoD Issuances Website if it hasn't been reissued or cancelled in accordance with Reference (h).



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Acquisition, Technology, and Logistics

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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)),” December 9, 2005, as amended
- (b) DoD Directive 5030.19, "DoD Responsibilities on Federal Aviation,” September 13, 2013
- (c) DoD Instruction 5030.36, "Plan for the Security Control of Air Traffic and Air Navigation Aids (Short Title: SCATANA),” April 24, 1980 (hereby cancelled)
- (d) National Security Presidential Directive-47/Homeland Security Presidential Directive 16, "Aviation Security Policy,” June 22, 2006
- (e) Office of the White House, "National Strategy for Aviation Security,” March 26, 2007
- (f) Executive Order 12656, "Assignment of Emergency Preparedness Responsibilities,” November 18, 1988, as amended
- (g) Part 245 of Title 32, Code of Federal Regulations
- (h) DoD Instruction 5025.01, "DoD Directives Program,” September 26, 2012, as amended
- (i) Government of Canada, TP 1258E, "Emergency Security Control of Air Traffic (ESCAT) Plan,” October 2009
- (j) Joint Publication 1-02, "Department of Defense Dictionary of Military and Associated Terms,” current edition

ENCLOSURE 2

RESPONSIBILITIES

1. ASSISTANT SECRETARY OF DEFENSE FOR ACQUISITION (ASD(A)). Under the authority, direction, and control of the Under Secretary of Defense for Acquisition, Technology, and Logistics, the ASD(A):

a. Provides policy recommendations and oversight of DoD interactions with the FAA on NAS matters as identified in Reference (b).

d. Supports the guidance in References (d), (e), and (f) to align DoD aviation security programs and initiatives in a comprehensive and cohesive national effort to provide active layered aviation security and in-depth defense for the United States.

2. UNDER SECRETARY OF DEFENSE FOR POLICY (USD(P)). The USD(P) provides oversight and guidance on policy matters as they pertain to this instruction.

3. ASSISTANT SECRETARY OF DEFENSE FOR HOMELAND DEFENSE AND AMERICAS' SECURITY AFFAIRS (ASD(HD&ASA)). Under the authority, direction, and control of the USD(P), the ASD(HD&ASA):

a. Provides policy recommendations and oversight with respect to defense of the homeland, including the air domain, and defense policy issues beyond the purview of the ASD(A).

b. Provides policy recommendations and oversight of DoD interaction with the FAA and other federal partners related to the security and defense of the homeland in the air domain, particularly, but not exclusively, as they pertain to:

(1) The implementation of References (d), (e), and (f).

(2) Homeland air defense operations conducted by the North American Aerospace Defense Command (NORAD), U.S. Pacific Command (USPACOM), and other Combatant Commands, as required.

4. DoD COMPONENT HEADS. The DoD Component heads ensure their personnel are trained and follow provisions and procedures contained in this instruction and Reference (g).

5. COMMANDER, NORAD (CDRNORAD), AND COMMANDER, USPACOM (CDRUSPACOM). In addition to the responsibilities in section 4 of this enclosure, the CDRNORAD and CDRUSPACOM:

- a. Coordinate and implement ESCAT in their respective areas of responsibility (AOR) in accordance with Reference (g).
- b. Develop command-specific supplements to this instruction as needed.
- c. Ensure ESCAT training and tests are conducted at all levels in their respective commands, in accordance with Reference (g).

6. CDRNORAD. In addition to the responsibilities in sections 4 and 5 of this enclosure, the CDRNORAD, acting for DoD, will process and distribute administrative and organizational changes to the ESCAT plan as they occur, in accordance with Reference (g).

ENCLOSURE 3

PROCEDURES

1. GENERAL

a. When ESCAT is implemented, a system of traffic priorities may be required to make optimum use of airspace that is consistent with air defense requirements. ESCAT should not be implemented when normal ACM coordination or implementation through the FAA may successfully provide the needed airspace control.

b. In accordance with Reference (g), the Secretary of Defense (SecDef) is the primary official with the authority to approve ESCAT implementation. Every effort will be made to obtain SecDef approval prior to ESCAT declaration. The military authorities empowered to direct ESCAT implementation (see section 3 of this enclosure) are authorized to initiate ESCAT without SecDef approval only when the situation warrants an immediate response, and time and circumstances do not allow SecDef approval. At times when ESCAT is implemented without SecDef approval, the SecDef will be notified as soon as possible through the Chairman of the Joint Chiefs of Staff.

c. Rules and procedures governing special use airspace (SUA) will remain in effect unless or until notified otherwise by the appropriate military authority. The appropriate military authority will address SUA use in any ESCAT activation message and notice to airmen (NOTAM).

d. Flight operations vital to national defense, as determined by appropriate military commanders (see section 3 of this enclosure), will be given priority over all other military and civil aircraft.

e. ESCAT may be implemented in phases to facilitate a smooth transition from normal air traffic identification and control procedures to the more restrictive identification and control procedures specific to the situation. Interference with normal air traffic should be minimized.

f. Once ESCAT is implemented, the appropriate military authority (see section 3 of this enclosure) will consult regularly with the Department of Transportation (DOT) (through the FAA administrator or designee) and the Department of Homeland Security (DHS) (through the Transportation Security Administration (TSA) administrator or designee) as appropriate, regarding any changes in the air traffic management, airspace, and security measures required. See the appendix to this enclosure for DOT/FAA and DHS/TSA actions.

g. Depending on the situation, ESCAT may be implemented throughout the United States or in smaller specified areas such as a State or a defined geographic area of U.S. territorial airspace. The U.S. ESCAT Plan in Reference (g) and the Canadian ESCAT Plan (Reference (i)) are synchronized to provide common North American procedures. Both plans can be implemented individually or concurrently as warranted. Familiarization with Reference (i) is required before flight operations in Canada.

h. Specific ACM within the NORAD area of operations or USPACOM AOR will be defined by CDRNORAD or CDRUSPACOM, respectively. ACM will be implemented through national air traffic control (ATC) agencies' NOTAMs. These procedures apply to all U.S. territorial airspace, including U.S. sovereign airspace delegated to Canada and other nations or independent states for ATC purposes.

2. GEOGRAPHIC BOUNDARIES AND JURISDICTION

a. Continental United States (CONUS)

(1) Headquarters (HQ) NORAD coordinates and approves ESCAT.

(2) The CONUS NORAD Region (CONR) applies ESCAT based on Air Route Traffic Control Center (ARTCC) and national boundaries through the FAA Air Defense Liaison Officer (ADLO) to the FAA Air Traffic Control System Command Center (ATCSCC).

(3) If CONR cannot contact ATCSCC or the HQ Domestic Event Network (DEN) is not available, CONR may contact ARTCC directly.

b. Alaska

(1) HQ NORAD coordinates and approves ESCAT.

(2) The Alaskan NORAD Region (ANR) coordinates ESCAT ACM with the Alaskan ARTCC. The FAA ADLO will serve as the point of contact between ANR and ATCSCC or HQ DEN for ESCAT declaration and implementation.

(3) If ANR cannot reach the FAA ADLO, ANR may contact ARTCC directly.

c. Sector AOR. Sector AOR boundaries do not align with ARTCC boundaries in CONR, so an ARTCC may lie within two or more sectors. Accordingly, for coordination purposes, FAA ARTCC combined centers and radar approach controls (CERAPs) are aligned as shown in Table 1.

Table 1. NORAD/USPACOM and ARTCC Alignment

REGION/SECTOR	ARTCCs
CONR Eastern Air Defense Sector	Atlanta, Boston, Chicago, Cleveland, Houston, Indianapolis, Jacksonville, Kansas City, Memphis, Miami, Minneapolis, New York, Washington
CONR Western Air Defense Sector	Albuquerque, Chicago, Denver, Fort Worth, Houston, Kansas City, Los Angeles, Memphis, Minneapolis, Oakland, Salt Lake City, Seattle
ANR 176 Air Control Squadron	Anchorage
USPACOM	Honolulu Control Facility, Guam CERAP, Oakland, Anchorage

3. IMPLEMENTATION AUTHORITY

a. NORAD AOR. CDRNORAD is the appropriate military authority authorized to direct ESCAT within the NORAD AOR.

(1) CDRNORAD may delegate ESCAT implementation authority to region commanders when contact with higher authority is not possible, and the situation warrants an immediate response.

(2) Region commanders may delegate military authority to sector commanders when contact with higher authority is not possible and the situation warrants an immediate response. Region commanders will stipulate sector commander delegations in their respective region ESCAT supplements.

(3) Geographically, the appropriate military authorities are:

(a) Contiguous 48 U.S. States and Alaska – CDRNORAD or designees.

(b) Puerto Rico and U.S. Virgin Islands – CDRNORAD or designees.

b. USPACOM AOR. CDRUSPACOM is the appropriate military authority authorized to direct ESCAT within the USPACOM AOR.

(1) The USPACOM AOR includes Hawaii, Guam, Wake Island, the Commonwealth of Northern Mariana Islands, other U.S. Pacific territories, and Pacific oceanic airspace over which the FAA has ATC jurisdiction by international agreement.

(2) CDRUSPACOM may delegate ESCAT implementation authority to a designated area air defense commander when contact with higher authority is not possible and the situation warrants an immediate response.

4. SITUATIONS WARRANTING ESCAT. ESCAT may be implemented:

a. By CDRNORAD when an event results in the declaration of an air defense emergency (ADE) by appropriate military authority or by CDRUSPACOM when a defense emergency (DE) is declared by appropriate military authority.

(1) Notification and approval by the SecDef will be sought as directed.

(2) Even under an ADE or DE scenario, coordination with DOT/FAA and DHS/TSA will take place before implementation. Although DOT and DHS approval is not required, their respective agencies' workforces implement the needed ACM, so prior coordination is appropriate.

b. When an adjacent Combatant Command is under attack and an ADE or DE has not yet been declared. Under this condition, if ESCAT is warranted and agreed on by DoD, DHS, and DOT, the appropriate NORAD or USPACOM authority may implement ESCAT within the applicable area(s).

c. When other emergency conditions exist that either threaten national security or interests vital to the United States or Canada, but do not warrant declaration of ADE or DE. Under these conditions, if ESCAT is warranted and agreed on by DoD, DHS, and DOT, appropriate NORAD and USPACOM authorities may implement ESCAT for their own geographic areas individually.

5. IMPLEMENTATION PROTOCOLS. The appropriate military authority will take these actions:

a. Coordinate, as appropriate, the extent of implementation or termination of ESCAT with the FAA, TSA, Transport Canada (TC), and NAV CANADA.

b. Direct ESCAT implementation through the ATCSCC and Canadian Forces Integrated Command Center (CFICC), and delineate the extent of ACM to be implemented. This information will also be disseminated through Mardam-Bey Internet Relay Chat, Defense Messaging Service or Automatic Digital Network System message, and NOTAMs, as appropriate.

(1) NORAD will not disseminate ESCAT notice via the DEN without earlier coordination with the FAA.

(2) In the event the ATCSCC or CFICC cannot be reached, or are unable to comply, implementation instructions should be passed directly to the affected ARTCC/CERAP, the NAV CANADA Operations Centre (NOC), or the affected Canadian Air Control Centre (ACC), in that order.

- c. Coordinate subsequent ACM generated by NORAD regions or through the NORAD and U.S. Northern Command (USNORTHCOM) Command Center (N2C2) before implementation.
- d. Generate and disseminate an ESCAT message immediately after specific ACM have been identified.
- e. Determine when restrictions have been fully implemented, and monitor feedback from ATCSCC, CFICC, and NOC on the impact of those restrictions.
- f. Revise or remove ACM and security restrictions as the tactical situation permits.

6. AUTHENTICATION. If possible, the appropriate military authority will direct ESCAT implementation via secure communications to the ATCSCC and CFICC. Subsequent dissemination of ESCAT implementation information may be accomplished by non-secure means.

7. ESCAT TESTS

- a. ESCAT tests will be conducted at least every 2 years, normally in conjunction with HQ NORAD and regional exercises.
- b. ESCAT tests will validate communications and notification procedures only. See Enclosure 5 for appropriate terminology and instructions.

Appendix
DOT/FAA and DHS/TSA ESCAT Actions

APPENDIX TO ENCLOSURE 3

DOT/FAA AND DHS/TSA ESCAT ACTIONS

1. GENERAL. Specific DOT/FAA and DHS/TSA responsibilities are outlined in Reference (g).

2. DOT/FAA. Civil and military ATC facilities will:
 - a. Maintain current information on the status of restrictions imposed on airspace and air traffic.

 - b. Process flight plans in accordance with instructions received from the appropriate ARTCC or ACC. Ensure that all flights comply with ACM in effect, and meet ESCAT Air Traffic Priority List (EATPL) or security control authorization (SCA) requirements.

 - c. Disseminate instructions and restrictions to airborne traffic as directed by the ARTCC or ACC.

 - d. Implement ACM as directed.

 - e. Provide notification through the ATCSCC or NOC to the appropriate military authority as to when ACM have been implemented, and provide feedback on the impact of those measures.

 - f. Disseminate ESCAT implementation instructions to all civil and military ATC facilities within their jurisdiction, and advise adjacent ATC facilities (national and international) that may be affected.

3. DHS/TSA. DHS/TSA will maintain liaison with Combatant Commands with AORs that include TSA geographic areas of authority through the appropriate Federal Security Directors (FSDs) or other Field Offices. The Transportation Security Operations Center (TSOC) will direct appropriate FSDs and field offices to implement the ESCAT restrictions specified by the appropriate military authority. When directed to implement ESCAT, FSDs and field offices will:
 - a. Advise appropriate military authority when restrictions have been implemented, and provide feedback, through the TSOC, on the impact of those restrictions.

 - b. Impose restrictions on civil aviation as directed by DOT and DHS.

ENCLOSURE 4

EATPL

1. SITUATION. When ESCAT is implemented, a system of traffic priorities may be required to make optimum use of airspace consistent with air defense requirements. The EATPL is a list of pre-determined priorities that may be used in conjunction with the ESCAT Plan for the movement of air traffic in a defined area. This system will be used in extreme situations as a supplement to other ACM and may be further supplemented by SCA requirements.

2. INTENTION. The EATPL is intended to establish priorities for the movement of air traffic when ESCAT has been implemented and provide policy guidance for the practical application of the system.

3. POLICY FOR APPLICATION OF EATPL

a. Verifying the Mission. The originator of an aircraft flight operation under the EATPL will be responsible for determining and verifying that the mission meets the appropriate definition and priority in accordance with the EATPL and ensuring a security check of crew, cargo, and aircraft has been completed before takeoff.

b. Filing the Flight Plan. The individual filing the flight plan will be responsible for including the priority number, as determined by the originator of the aircraft flight operation, in the remarks section of the flight plan.

c. Other Situations. Situations may occur that cannot be related to the EATPL, e.g., aircraft emergencies and inbound international flights that have reached the point of no return, such as foreign air carrier flights en route to safe haven airports in accordance with specific international agreements. These events will be treated individually through coordination between ATC and appropriate military authorities in consideration of the urgency of the in-flight situation and existing tactical military conditions.

d. Exceptions to the EATPL

(1) Aircraft in priorities 3 through 7 of section 4 of this enclosure that do not meet EATPL restrictions may request an SCA requirement exemption from the appropriate military authority. For the contiguous 48 U.S. States, Alaska, Puerto Rico, U.S. Virgin Islands, and Canada, SCA requests will be submitted directly to the appropriate NORAD region. For Hawaii, Guam, Wake Island, the Commonwealth of Northern Mariana Islands, and other U.S. Pacific territories, SCA requests will be submitted directly to the USPACOM Joint Operation Center.

(2) For federal, State, provincial, and local government agencies and aircraft not meeting the approved EATPL, an SCA may be granted on a case-by-case basis. Requests for SCAs will be coordinated through the TSA. The TSA will forward requests that it recommends for approval to the appropriate military authority. Aircraft with an SCA must have a security

assurance check before takeoff. Refer to specific SCA procedures provided in a separate agreement among the NORAD, USPACOM, TSA, and the FAA for requirements.

(a) Direct inquiries regarding EATPL and SCA requests to the appropriate NORAD or USPACOM joint operation center or region in accordance with Table 2. Refer to Table 1 for region alignment with FAA ARTCCs.

(b) Refer to NORAD sectors when contact with a region is not possible.

Table 2. NORAD and USPACOM Sector Contact Information

HQ/Region	Sector/Center/Office	Phone	Defense Switched Network (DSN)
NORAD/ CONR	Eastern Air Defense Sector, Airspace Management	(315) 334-6311	523-6311
		Secure Terminal (315) 334-6304	523-63
NORAD/ CONR	Western Air Defense Sector	(253) 982-4675	382-4675
NORAD/ ANR	176 Air Control Squadron	(907) 552-6119	317 552-6119
USPACOM	Joint Operation Center Director	(808) 477-7377	477-7377
NORAD HQ	N2C2	(719) 554-7336	692-7336
	Cheyenne Mountain Air Force Station	(719) 474-3387/2578	268-3387/2578

4. PROCEDURES FOR MOVEMENT OF AIR TRAFFIC UNDER ESCAT

a. Priorities 1 or 2. Aircraft assigned an EATPL number 1 or 2 will not be delayed, diverted, or rerouted Commanders. However, commanders may recommend that this traffic be rerouted to avoid critical or critically threatened areas.

b. Priorities Other Than 1 or 2. Aircraft assigned an EATPL number other than 1 or 2 may be delayed, diverted, or rerouted Commanders to prevent degradation of the air defense system.

c. Aircraft in Recovery. Aircraft being recovered will be expedited home or to an alternate base. Search and rescue aircraft may be expedited on their missions. Such aircraft may be diverted to avoid critical areas or takeoff may be delayed to prevent saturation of the airspace.

d. Flight Plan, Transponder and Radio Requirements. Aircraft will file instrument flight rules (IFR), visual flight rules (VFR), or defense visual flight rules (DVFR) flight plans, be assigned a discrete transponder code, and must be in direct radio communication with ATC. The appropriate EATPL or SCA number will be entered in the remarks section of the flight plan. The EATPL or SCA number will be passed with flight plan data from one ATC facility to the next, and to the appropriate air defense control facilities. See the appendix to this enclosure for flight operations protocols.

5. EATPL PRIORITIES. Precedence will be from Priority 1 to Priority 8. There is no precedence within each priority.

a. Priority 1

(1) The President of the United States, Prime Minister of Canada, and respective cabinet or staff members essential to national security, and other members as approved or designated by the SecDef and Canada's Chief of Defence Staff (CDS).

(2) Aircraft engaged in active continental defense missions including anti-submarine aircraft, interceptors, air refueling tanker aircraft, and airborne early-warning and control aircraft (e.g., E-3, E-2, and P-3).

(3) Military response aircraft, including direct tanker support aircraft, executing strategic missions.

(4) Airborne command elements that provide backup to command and control systems for the combat forces.

(5) Anchor annex flights.

b. Priority 2

(1) Forces being deployed or in direct support of military offensive and defensive operations, including the use of activated Civil Reserve Air Fleet (CRAF) aircraft as necessary, and/or other U.S. and foreign flag civil air carrier aircraft under mission control of the U.S. military.

(2) Aircraft operating in direct and immediate support of strategic missions.

(3) Search and rescue aircraft operating in direct support of military activities.

(4) Aircraft operating in direct and immediate support of special operation missions.

(5) Federal flight operations in direct support of homeland security, such as law enforcement agencies (LEAs), and aircraft performing security for high-threat targets such as nuclear power plants, dams, chemical plants, and other areas identified as high-threat targets.

c. Priority 3

(1) Forces being deployed or performing pre-deployment training or workups (e.g., Navy field carrier landing practice) in support of the emergency situation.

(2) Aircraft deployed in support of CONUS installation or base defense, that is aircraft operating in direct and immediate security support, or deploying ground forces for perimeter defense.

(3) Search and rescue aircraft not included in Priority 2.

(4) Flight inspection aircraft flights in connection with emergency restoration of airway and airport facilities in support of immediate emergency situations.

(5) CONUS airborne reconnaissance for damage assessment (CARDA) missions in support of immediate emergency situations.

d. Priority 4

(1) Dispersal of tactical military aircraft.

(2) Dispersal of U.S. civil air carrier aircraft allocated to the CRAF Program.

(3) Repositioning of FAA, DoD, TC, and NAV CANADA flight inspection aircraft.

(4) Flight inspection activity in connection with airway and airport facilities.

(5) Specific military tactical pilot currency or proficiency in support of homeland defense.

(6) Military tactical aircraft post-maintenance test flights.

(7) Federal aircraft post-maintenance check flights in support of homeland security.

e. Priority 5

(1) Air transport of military commanders, their representatives, DoD and Department of National Defence (DND)-sponsored key civilian personnel, non-DoD and DND or other federal key civilian personnel that are of importance to national security.

(2) Dispersal of non-tactical military aircraft for their protection.

(3) Aircraft contracted to and/or operated by federal agencies.

f. Priority 6

- (1) State and local LEAs directly engaged in law enforcement missions.
- (2) Flight operations in accordance with approved federal and State emergency plans.
- (3) LIFEGUARD and medical air evacuation flight (MEDEVAC) aircraft in direct support of emergency medical services.
- (4) Flight operations essential to the development, production, and delivery of equipment, personnel, materials, and supplies essential to national security.
- (5) Other essential CARDA missions not covered in Priority 3.

g. Priority 7. Other military flight operations.

h. Priority 8. Other flight operations not specifically listed in Priorities 1 through 7.

Appendix
Flight Operations Protocols

APPENDIX TO ENCLOSURE 4

FLIGHT OPERATIONS PROTOCOLS

Flight operations in an ESCAT environment require that specific coordination protocols, such as EATPL or SCA, be used. There may be delays to sorties as a result of ESCAT flight plan and coordination requirements. The pilot in command will take action in accordance with this appendix as soon as possible after being made aware that ESCAT has been implemented.

a. The pilot in command will:

(1) Familiarize him or herself with provisions outlined in this appendix before flight in areas where ESCAT has been implemented.

(2) Review NOTAMs.

(3) Ensure flight complies with approved EATPL or receives an SCA.

(4) Ensure EATPL and SCA numbers are reflected in the remarks section of the flight plan.

(5) Direct all ESCAT, EATPL, and SCA inquiries to the appropriate NORAD region or USPACOM joint operation center as appropriate in accordance with Enclosure 3.

(6) If airborne, comply with the instructions issued by the appropriate aeronautical facility.

(7) If not airborne:

(a) File an IFR, VFR, or DVFR flight plan as required in accordance with ESCAT restrictions.

(b) Obtain a discrete transponder code from ATC.

(c) Be in direct radio communication with ATC before takeoff.

(d) Comply with any additional instructions issued by the appropriate aeronautical facility transmitted via radio or NOTAM.

b. Before or after the declaration of an ADE, DE, or national emergency, there may be a requirement to disperse military aircraft for their own protection. In such cases, the ESCAT plan requirements will have priority over dispersal plan requirements already in place.

c. Aircraft that are not radio-equipped or are incapable of transmitting a discrete transponder code assigned by ATC may not file a flight plan, and will not be permitted to operate in areas affected by ESCAT.

ENCLOSURE 5

ESCAT TEST PROCEDURES

1. PURPOSE. The purpose of establishing training and test procedures is to specify procedures that will allow all participants to determine the time required and ensure the capability to notify all agencies and personnel, down to the lowest action level that ESCAT has been implemented. To ensure the proper level of participation, the appropriate military authority will provide, at a minimum, 30-days' notice of a test to the appropriate civil agencies. Testing will be conducted at least annually.

2. ESCAT TEST RESTRICTIONS

- a. Aircraft will not be grounded or diverted.
- b. Test messages will not be broadcast over air or ground frequencies.
- c. Radio communications will not be interrupted.
- d. Navigational aids will not be affected.

3. PROCEDURES

a. For ESCAT testing, the responsible military commander will notify HQ FAA and use one or both of these sample statements:

(1) "Exercise, Exercise, Exercise, this is CONUS NORAD region with a NORAD exercise message for [exercise name]. Simulate implementing ESCAT for [specified area and altitudes]. The following airspace control measures are being implemented: [specified ACMs, such as flight restricted zones, temporary flight restrictions, or other specific ACMs for operators]. All aircraft not previously mentioned as exemptions are restricted from flight in the affected area until further notice." And/or,

(2) "EATPL Priorities [priority number] through [priority number] are being implemented."

b. HQ FAA will advise the appropriate military commander when the affected FAA ATC facilities have reported simulating ESCAT.

(1) FAA System Operations Security through ATCSCC will notify the ARTCC(s) and CERAP(s).

(2) The ARTCC(s) and CERAP(s) will notify all appropriate U.S. civil and military approach control facilities and flight service stations. On completion of all actions, the implementation completion time will be forwarded to the ATCSCC.

(3) The ATCSCC will provide completion times to the appropriate military authority.

c. Tests should normally be conducted in conjunction with scheduled HQ NORAD-approved exercises. Individual NORAD regions and sectors may conduct tests when test objectives are local in nature and prior coordination has been effected with the ATCSCC.

d. The ATCSCC will prepare a narrative summary of each test and copies will be sent to the appropriate military authority. Each military authority will, in turn, forward copies of the summary to HQ NORAD and DHS.

4. AUTHENTICATION. Authentication will be accomplished via secure communications means between the appropriate military authority and the ATCSCC for the implementation of ESCAT. Implementation will be validated with a call back via secure communications to the appropriate military authority. Further dissemination of information may be accomplished over non-secure communications.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

ACC	Area Control Centre (Canadian)
ACM	airspace control measures
ADE	air defense emergency
ADLO	Air Defense Liaison Officer
ANR	Alaskan NORAD Region
AOR	area of responsibility
ARTCC	Air Route Traffic Control Center
ASD(A)	Assistant Secretary of Defense for Acquisition
ASD(HD&ASA)	Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs
ATC	air traffic control
ATCSCC	Air Traffic Control System Command Center
CARDA	CONUS airborne reconnaissance for damage assessment
CDRNORAD	Commander NORAD
CDRUSPACOM	Commander USPACOM
CDS	Chief of the Defence Staff (Canadian)
CERAP	combined center and radar approach control
CFICC	Canadian Forces Integrated Command Center
CONR	Continental United States NORAD Region
CONUS	continental United States
CRAF	Civil Reserve Air Fleet
DE	defense emergency
DEN	Domestic Event Network
DHS	Department of Homeland Security
DND	Department of National Defence (Canadian)
DOT	Department of Transportation
DSN	defense switched network
DVFR	defense visual flight rules
EATPL	ESCAT air traffic priority list

ESCAT	emergency security control of air traffic
FAA	Federal Aviation Administration
FSD	Federal security director
GPS	Global Positioning System
HQ	headquarters
IFR	instrument flight rules
LEA	law enforcement agency
MEDEVAC	medical air evacuation flight
NAS	National Airspace System
NOC	NAV CANADA Operation Centre (Canadian)
NORAD	North American Aerospace Defense Command
NOTAM	notice to airmen
N2C2	NORAD and USNORTHCOM Command Center
SCA	security control authorization
SecDef	Secretary of Defense
SUA	special use airspace
TSA	Transportation Security Administration
TC	Transport Canada
TSOC	Transportation Security Operations Center
USCG	United States Coast Guard
USD(P)	Under Secretary of Defense for Policy
USNORTHCOM	United States Northern Command
USPACOM	United States Pacific Command
VFR	visual flight rules
VHF	very high frequency

PART II. DEFINITIONS

Unless otherwise noted, these terms and definitions are for the purpose of this instruction.

ACM. Airspace and/or flight restrictions that may be issued in support of national defense or homeland security initiatives.

air defense. Defined in Joint Publication 1-02 (Reference (j)).

ADE. An emergency condition that exists when an attack on CONUS, Alaska, Canada, or U.S. installations in Greenland by hostile aircraft or missiles is considered probable, is imminent, or is taking place.

ADLO. An FAA representative at a NORAD air defense facility (NORAD HQ, region or NORAD air defense sector).

ATCSCC. The FAA command center responsible for the efficient operation of the NAS, ensuring safe and efficient air travel within the United States.

anchor annex flight. Classified DoD mission, need to know only.

appropriate military authority. The military commander with the authority to direct the implementation of ESCAT.

Those with the authority to implement the U.S. plan are: CDRNORAD and designees; NORAD region commanders; and NORAD sector commanders when so delegated by region commanders.

Those with the authority to implement the Canada Plan are: CDS; CDRNORAD or Deputy Commander, NORAD; Commander or Deputy Commander, Canadian NORAD Region; or Commander, Canadian Air Defence Sector.

ACC. NAV CANADA agency responsible for a particular flight information region.

CDS. Commander responsible for the command, control, and administration of the Canadian Forces and military strategy, plans, and requirements. The CDS is the senior military advisor to the Canadian Government as a whole.

CRAF. Defined in Reference (j).

Commander, Canadian NORAD Region. The operational commander of the Canadian NORAD region who reports to the CDRNORAD, and is responsible for the effective employment of air defense forces within Canadian airspace.

Commander, Canadian Air Defence Sector. The operational commander of the Canadian Air Defence Sector who reports to the Commander, Canadian NORAD region, and is responsible for the effective employment of air defense forces within Canadian domestic airspace.

CONUS. Defined in Reference (j).

contingency operations. A situation requiring military operations in response to natural disasters, terrorists, subversives, or as otherwise directed by appropriate authority to protect U.S. interests.

DE. Defined in Reference (j).

DVFR. Flight rules that are used when operating within an Air Defense Identification Zone. DVFR differs from VFR in that the pilot is required to notify ATC before deviating from a DVFR plan and must maintain two-way radio communication.

DEN. A 24-hours-per-day-7-days-per-week interagency unclassified telephonic conference dedicated to real-time coordination of NAS security. Information is shared via the DEN so that federal, State, tribal, and participating local government agencies from different backgrounds can come together jointly to analyze an incident and form a collaborative interagency response on how to manage a NAS event or incident

EATPL. A list composed of 8 priorities designed to provide a system of traffic priorities to make optimum use of airspace, consistent with air defense requirements when ESCAT has been implemented.

ESCAT. The process for regulating air traffic in a defined airspace where air defense activities need to take place in order to provide for the ready identification of aircraft, security of individuals, defended assets, or vital infrastructure.

flight information region. Within Canada, an area of defined dimensions extending upwards from the surface of the earth, within which flight information service and alerting service are provided.

liaison officer. FAA or TSA representative at a NORAD air defense facility.

LIFEGUARD. Civil air ambulance flights.

MEDEVAC. Air ambulance flights.

NAS. The overall environment for the safe operation of aircraft that are subject to the FAA's jurisdiction. It includes:

Air navigation facilities, equipment and services, and airports or landing areas.

Aeronautical charts, information, and services.

Rules, regulations and procedures, technical information, and manpower and material.

Included are system components used by the DoD.

national emergency. Defined in Reference (j).

NAV CANADA. The private sector corporation that owns and operates Canada's national civil air navigation services. NAV CANADA provides ATC, flight information, weather briefings, airport advisory services, and electronic aids to navigation.

navigational aids. Include, but not limited to, Global Positioning System (GPS), tactical air navigation, very high frequency (VHF) omni directional range, VHF omni directional range/tactical air navigation, and radar. GPS also includes Federal Government-provided augmentations, such as the FAA Wide Area Augmentation System and Local Area Augmentation System, United States Coast Guard (USCG) Maritime Differential GPS, and USCG Nationwide Differential GPS.

NORAD. Defined in Reference (j).

NORAD region. A geographical subdivision of the NORAD AORs.

NORAD sector. A geographical subdivision of a NORAD air defense region.

SCA. Authorization for federal, State, local government agencies and aircraft not in the approved EATPL to conduct flight operations when ESCAT has been implemented. SCA requests will be coordinated among FAA, TSA, and the appropriate NORAD region or designee.

security assurance check. Measures taken by DoD or DHS, as appropriate, to ensure aircraft, cargo, and crew security has not been compromised by hostile organizations or individuals who are or may be engaged in espionage, sabotage, subversion, terrorism, or other criminal activities.

SUA. Airspace of defined dimensions identified by an area on the surface of the earth wherein activities must be confined because of their nature, or wherein limitation may be imposed upon aircraft operations that are not part of those activities. Types of special use airspace include military operations areas, prohibited areas, restricted areas, and warning areas.

TC. The Canadian regulatory body that implements, through NAV CANADA, the restricted airspace in support of ESCAT.