EUACA

EUROPEAN AIRPORT COORDINATORS ASSOCIATION

Recommended Practices

Contents

EUACA Recommended Practices

1. Scope

Throughout these Recommended Practices the EU Slot Regulation 95/93 as amended by Regulation 793/04 is simply referred to as the Regulation.

One of the primary objectives of the EUACA is to support the implementation and application of the Regulation, and related or successor Regulations, in a comprehensive, consistent and efficient manner throughout the EU.

Additionally Members of the EUACA consider how all applicable rules, regulations, international guidelines, standards and practices are understood, interpreted, converted into national guidelines (when appropriate) and applied, and how they might be improved.

The Regulation states in Article 8.5 that the Coordinator or Schedules Facilitator shall take into account additional rules and guidelines established by the air transport industry world-wide or Community-wide.

These Recommended Practices are the Community-wide guidelines that have evolved out of the practical application of the Regulation by the Coordinators and Schedules Facilitators in the EU.

These Recommended Practices are designed to supplement and clarify both the Regulation and the IATA Worldwide Scheduling Guidelines. Wherever it is appropriate the EUACA will seek to gain acceptance of its interpretations and Recommended Practices and seek their incorporation into successor slot Regulations and/or the IATA Worldwide Scheduling Guidelines.

The Recommended Practices should act as a source of reference for all EU Coordinators and Schedules Facilitators when dealing with complex coordination issues that may have already been addressed by their fellow Coordinators or Schedules Facilitators.

The scope of these Recommended Practices is limited to Members of the EUACA operating under the Regulation and the IATA Worldwide Scheduling Guidelines.

2. Disclaimer

The EUACA accepts no responsibility for actions or decisions taken by Coordinators or Schedules Facilitators on the basis of these Recommended Practices. Where doubts about the correct application or interpretation of rules and Regulations exist advice should be sought from the relevant authority.

The Recommended Practices outlined in this document are intended as Community-Wide Guidelines however some Member States may have national legislation dealing with some of these issues. In these cases national legislation will have precedence over the Recommended Practices in this document.

3. Structure and Distribution

These Recommended Practices, which are stored on the EUACA website, contain a number of sections each of which deals with one issue or problem.

The structure of each section is:

> ➢ Title
> ➢ Explanation of the issue
> ➢ Cross references to the Regulation and/or the Worldwide Scheduling Guidelines (or some other source)
> ➢ Rationale/Description of the Recommended Practice
> ➢ The Status of the Recommended Practice and the date that it was created or last updated

Copies of all the agreed Recommended Practices will be sent to the European Commission for information.

EUACA Schedule Optimisation Meetings Guidelines

Airport Coordinators have a duty to make the best use of available slots and to provide a service to their airline customers.

The EUACA holds regular Schedule Optimisation Meetings (SOM) to achieve these objectives.

The Schedule Optimisation Meetings will not replace the twice yearly Schedules Conference, however, they offer all airlines the opportunity to improve their schedules, return unwanted slots, and exchange slots with other airlines.

1.   Objectives

The purpose of this voluntary assembly of airlines, Coordinators and Schedules Facilitators is to provide a forum for the exchange, optimisation and allocation of slots and for the reaching of consensus on the schedule adjustments necessary to conform to airport capacity limitations.

The SOM is not a forum for discussions or agreements involving the allocation of aircraft capacity, pooling operations, division of markets, or any other commercial arrangements relating to pricing, market entry, or aircraft capacity.

2.   General Principles

The general principles which govern the EUACA SOMs, and which have been endorsed by the European Commission, are as follows:

1. No carrier must be disadvantaged by not attending such meetings.

2. There will be no obligation on airlines, Coordinators or Schedules Facilitators to attend these meetings.

3. All Coordinators attending these meetings will maintain a permanently updated list of outstanding requests.

4. Schedule improvements and new slot allocations made with slots released during the SOM will be in accordance with the priorities of all outstanding requests.

5. New slots may be allocated at the SOM, in accordance with the list of outstanding requests, which has priority over completely new slot requests.

6. The normal coordination process for the current season at each Coordinators/Schedules Facilitator's office will continue during the SOM.

7. Local slot swap meetings can be held at any time throughout the year.

8. The highest standards of transparency should be observed with slot swap lists available to all carriers, whether they attend the SOM or not.

3.   Status - Version 2 – Agreed at EUACA/49 September 2008

Interpretation of 'Force Majeure'

1. Explanation

Air carriers are required to operate 80% of the slots in a series held at 31 January or 31 August, as cleared by the Coordinator, in order to qualify for their entitlement to the same series of slots in the next equivalent season.

Unless the air carrier can demonstrate to the satisfaction of the Coordinator that a series of slots has been operated, as cleared by the Coordinator, for at least 80% of the time for which it has been allocated, all the slots in that series will be placed in the slot pool, unless the non-utilisation can be justified. Justification can only take place for a limited number of quite specific reasons.

2. References

Articles 8 and 10 of the Regulation deal with this topic but in particular Article 10(4) contains the following justifications for the non-utilisation of slots.

"(a) unforeseeable and unavoidable circumstances outside the air carrier's control leading to:

- *grounding of the aircraft type generally used for the air service in question;*
- *closure of an airport or airspace;*
- *serious disturbance of operations at the airports concerned, including those series of slots at other Community airports related to routes which have been affected by such disturbance, during a substantial part of the scheduling period;*

1. interruption of air services due to action intended to affect these services which makes it practically and/or technically impossible for the air carrier to carry out operations as planned;

2. serious financial damage for a Community air carrier concerned, with, as a result, the granting of a temporary license by the licensing authorities pending financial reorganisation of the air carrier in accordance with Article 5(5) of Regulation (EEC) No 2408/92

3. *……"* (Not relevant in this context)

In the IATA WSG section 6.10.7 (use it or lose it provision) refers to the justifications for failure to utilise slots allocated by the Coordinator.

3. Rationale/Description

The EUACA believe that the following are examples of 'force majeure' operational issues outside the air carrier's control:

Grounding of an aircraft type
The grounding of an aircraft type (or engine type) by the manufacturers or by the relevant regulatory authority (e.g. Civil Aviation) for safety reasons.

Airport Closure
Total or partial closure (e.g. extreme weather conditions, action of 'mother nature', failure of ATC services, conflict or political reasons) or restructuring of an airport and/or airspace for a limited period or the closure of an airport for a particular type or group of aircraft, including reactionary cancellations, resulting in at least widespread disruption and the cancellation of a significant proportion of services in that period.

In case of extreme weather conditions for a prolonged period (snow, storm, fog etc.), after reopening, partial or total, the continuing disruption from the earlier closure would be taken into account when considering the utilisation of slots.

Air carriers are expected to find alternative routings if airspace is disrupted for a prolonged period and the Coordinator should be flexible if revised slot times are required as a result of changed routings.

Also, cancellations at one airport of all services to/from another airport by all airlines because of total or partial closure at that other airport would be considered outside the air carrier's control for the non-utilisation of slots.

Serious disturbance of operations
Serious disturbances which affect a number of airports in the EU for a substantial part of the scheduling period for which, under the original text of Regulation 95/93 a special waiver of the use it or lose it rule would have been requested for example an epidemic outbreak (e.g. SARS), war or hostilities (e.g. Iraq) etc.

The EUACA believe that the following are examples of action intended to affect the services of air carriers though the exact circumstances need to be considered carefully in each case:

- Internal strikes within the company that are publicised (though not staff "working to rule")
- External strikes by critical services (e.g. ATC, fire services, fuel companies or fuel supplies, customs and immigration, catering companies, aircraft manufacturers etc.) that directly prevent that airline's operation.
- The withdrawal or suspension of traffic rights as a result of bilateral disputes.
- Temporary withdrawal of permission to operate by a State on the grounds of safety or security

The following are examples of cancellations which should not be considered as 'force majeure':
- Cancellations due to public holidays
- On-the-day technical/mechanical cancellations
- Commercial cancellations within the airlines discretion

In all cases the Coordinator must be flexible regarding the reactionary and rotational delays arising from the disruptions outlined above which may affect many other flights on the same day. The full picture should be discussed as soon as possible during or directly after the disruption with the air carrier concerned so that there is clarity about how the Coordinator intends to treat the historic entitlements for the affected services. Air carriers must not leave it until the SHL's are sent out to advise the Coordinator of claims for 'force majeure'.

Slots made available by circumstances justified under Article 10(4) (serious disturbance of operations at Community airports for a substantial part of the season) may be reallocated to other operators on a non-historic basis. The operators will be informed, at the time of allocation, that they will not be entitled to claim historic status.

4.   Status - Version 11 Agreed at EUACA/49 September 2008

Dealing with Ad Hoc Requests

1. Explanation

Ad hoc operations are generally defined as operations for which historic precedence does not apply. Any operation that is not a part of a series of slots is considered as an ad hoc. A series of slots generally covers a recognisable period and would consist of at least five operations requested at the same time of the day on the same day of the week regularly in the same scheduling period. Any individual commercial flight as well as any business or private flight may be an ad hoc.

Requests for ad hocs may be submitted to the Coordinator or Schedules Facilitator at any time from the setting up of a new season (prior to the submission deadline for that season) until the end of that season. At congested airports it is not appropriate to approve or allocate slots for ad hocs too early in the scheduling process i.e. not normally before the 31 January for a Summer scheduling season or 31 August for a Winter scheduling season, as this may block capacities at the airport on a particular day and consequently may prevent a series of slots from being allocated and result in wasted capacity.

2. References

Worldwide Scheduling Guidelines – Section 6.11.4 and Definitions in the Regulation, Article 8.7.

Ad hocs are technically dealt with in the Standard Scheduling Information Manual – SSIM Chapter 6.2 and 6.3. and Appendix K of the SSIM manual for the GA/BA operators.

3. Rationale/Description

Air carriers requesting a slot for an ad hoc operation may have good reasons for submitting an early request. Therefore, starting to allocate slots for ad hocs after the 31 January for a Summer scheduling season and 31 August for a Winter scheduling season is recommended.

There are three exceptions to this recommendation:

1. The need for air carriers to request slots for ad hocs may be generated by the end of one scheduling season and the beginning of the next consecutive season. For example, an air carrier may want to extend a series of flights planned and operated throughout a season for a limited time (e.g. Easter holidays) into the next season by operating ad hoc services, as it is often the case with leisure flights. The ad hoc operations to continue the series into the following season should be allocated slots, where feasible, by the Coordinator or Schedules Facilitator as soon as possible.

2. At some airports allotments may exist for ad hocs as a local rule. For example, two slots per 60 minutes may be reserved for ad hocs and are not available for series of flights.

In such cases, requests for ad hocs may be dealt with by the Coordinator or Schedules Facilitator at any time. However, such arrangements are discouraged because they might result in the poor utilisation of potentially scarce capacity.

3. Where capacity is freely available to meet demand for ad hoc operations, for example in off peak hours, and the allocation of a series of slots is unlikely to be compromised then the coordinator should allocate the ad hoc slots to meet requests immediately after the Schedules Conference.

Requests for ad hocs should **only** be dealt with by the Coordinator or Schedules Facilitator. "Secondary" coordination of elements of airport capacity by any other party must be avoided.

However in the interest of making the best use of available capacity, caused by short-term ad hoc cancellations, as well as providing the best possible service to operators, available slots should be allocated to ad hocs on a very short notice. The Regulation (Article 4(5)) states that the Coordinator or Schedules Facilitator shall make provisions, usually in the form of an agreement with the managing body of the airport and/or the ATC authorities, to allocate slots for ad hocs, on their behalf, outside normal office hours (e.g. during night times and weekends) for a limited period prior to the date of the slot request.

It has to be kept in mind, however, that Coordinators and Schedules Facilitators are part of the schedules **planning** community of the industry. Purely operational flight deviations, caused by weather, technical problems, etc. are **not** ad hocs and are not normally part of the Coordinator's or Schedules Facilitator's scope of responsibilities.

4.   Status - Version 2 – Agreed at EUACA/49 September 2008

Handling of Outstanding Requests

1.   Explanation

At coordinated airports many Coordinators are unable to precisely satisfy airline requirements because of the shortage of capacity. At schedules facilitated airports airlines may be requested to accept a retiming which differs from their ideal time.

Details of unsatisfied schedule requirements should be maintained by Coordinators/Schedules Facilitators on a list of outstanding schedule requests that should be regularly reviewed to see if improvements can be offered to the air carrier.

2.   References

The IATA Worldwide Scheduling Guidelines require all Coordinators and Schedules Facilitators to maintain, keep updated and regularly review their list of outstanding schedule requests (section 6.11.2)

3.   Rationale/Description

EUACA Coordinators or Schedules Facilitators should observe the following Guidelines:

a) Maintain a regularly updated list of outstanding schedule requests at all times for series and ad hoc slot requests.

b) Delete "No-slots" at the IATA slot handback deadline unless the carrier requests the No-slots to be maintained on the list of outstanding requests.

c) Review outstanding schedule requests regularly after the IATA slot handback deadline.

d) Ask air carriers to confirm their requirements and that they wish to be kept on the list of outstanding schedule requests after 15. December and 15. February for the summer season and 15 July and 15 September for the winter season. If there is no reply from the air carrier within 10 days then requests should be deleted from the list of outstanding requests in the Coordinator's/Schedule Facilitator's database.

e) Before the start of the season Coordinator's/Schedule Facilitator's should contact all air carriers with outstanding requirements and ask them to confirm that they intend to operate at the allocated slot time. (Air carriers should not be publishing or plan to operate at slot times that have not been allocated by the Coordinator or agreed with the Schedules Facilitator).

4.   Status - Version 5 – Agreed at EUACA/49 September 2008

Slot Monitoring and the Determination of Historic Slots

1. Explanation

At Coordinated Airports, Coordinators are responsible for monitoring the use of allocated slots.

In all cases, slot monitoring is directed to ensure that allocated slots are effectively utilised, that an adequate level of schedule integrity is maintained and that the quality, flexibility and effectiveness of the coordination processes is improved.

2. References

Articles 4, 5, 7, 10 and 14 of the Regulation refer to slot monitoring and, in particular, Articles 8 and 10 refer to the usage calculation for the recognition of Historic Slots.

IATA WSG Section 6.10 refers to the use of slots and in particular 6.10.7 refers to the use it or lose it provision. Appendix 4 also refers to the use it or lose it provision as a basis for the Calculation of Historic slots and Annex 1, items 4 and 5, refer to the Coordination Committees and to the Slot Performance Sub-Committees.

3. Rationale/Description

General Principles

- Slot monitoring is a continuous process designed to ensure that slots are effectively utilised **and** to separate intentional schedule abuse from the normal random variations in operational performance.

- The main objective of slot monitoring should be to identify possible problems regarding the use of slots and seek solutions, before they occur whenever possible, or as soon as possible after the date of operation.

- All procedures related to slot monitoring must be based on the principles of neutrality, transparency and non-discrimination.

- Coordinators should establish a dialogue with affected air carriers as soon as possible when potential issues are identified. Issues should not be left until the determination of historic slots at the end of the season unless it is unavoidable to do so because the problem develops late in the season.

- The determination of historic slots for a summer season, distributed to air carriers in mid-September, is provisional until the season finishes at the end of October. Slot monitoring should continue until the end of the season and the determination of historic slots should be finalised immediately thereafter. At the request of Coordinators, air carriers must submit all necessary and relevant information for the purposes of slot monitoring in a timely and appropriate manner.

- The slot monitoring process relies on good quality slot performance data. Other involved parties (airports and ATC providers) must exchange all the information required for the exercise of slot monitoring duties with Coordinators. In particular, airports should provide Coordinators with information on actual operations. Software should be developed to facilitate these comparisons.

- Coordinators should take into account any justifications for the non-utilisation of slots by air carriers, made in accordance with Article 10(4) of the Regulation, and any guidelines that comply with Community law when determining historic precedence.

- Coordination Committees can provide valuable assistance to the Coordinator by assisting in the development of methods and local guidelines for the monitoring of allocated slots and support the Coordinator in dealing with serious problems. Ideally, the slot monitoring process and rules should also be documented by the Coordinator.

- The establishment of Slot Performance Sub-Committees to assist the Coordinator with slot monitoring is encouraged.

Recommended Monitoring Actions

Before the Date of Operation

- At the time of initial coordination, Coordinators should review air carriers' slot submissions to identify the possible instances of false or misleading information, in accordance with EUACA Recommended Practice – Information for Schedules Facilitators and Coordinators.

- Where possible, checks of consistency between origin/destination airports should be made among Coordinators/Schedules Facilitators' databases, especially, after the 31 January or 31 August in accordance with the EUACA Recommended Practice – Use of Schedule Discrepancy Data.

- Where possible, checks for consistency between ATC flight plan data and the Coordinator's data should be made.

- Where possible, checks for consistency between airport handling requests and the Coordinator's data should be made.

- Where discrepancies are identified, the Coordinator should contact the airline concerned to seek clarification and correct the issue before the date of operation where possible.

- In order to avoid wasting scarce airport capacity, air carriers must cancel unwanted slots in advance, where it is practical to do so, even at short notice.

- A list of airlines that return slots after the IATA slot handback deadline will be published each season by the Coordinator. (IATA WSG section 6.10.3)

After the Date of Operation

a) Cleared but Not Operated Flights

- Coordinators should closely monitor instances where an air carrier fails to operate without cancelling in advance.

- In the event of the non-use of a series of slots, the Coordinator should contact the air carrier concerned as soon as possible and initiate a dialogue to either confirm that the remaining slots in the series will be operated or cancel the surplus slots. The use it or lose it rules will be

applied unless the air carrier can demonstrate that a justification for the failure to utilise the slots exist.

- Coordinators should also monitor for general patterns of 'Cleared but Not Operated Flights', such as the failure to cancel ad hoc positioning flights, and initiate a dialogue with the air carrier concerned and seek improvements in performance.

b) Operated but Not Cleared Flights

- Coordinators should closely monitor for **any** instances of operating without an allocated slot at a coordinated airport, and immediately raise any instances with the air carrier concerned and with the appropriate authorities to take action against further abuse.

Intentional Slot Abuse

An air carrier is guilty of slot abuse if it operates repeatedly and intentionally in a significantly different way than the slot was allocated by the Coordinator.

a) Time Difference

- Where there is clear evidence that an air carrier repeatedly and **intentionally** operated at a different time than allocated, any time difference may be considered significant. Such operations will be considered intentional for the purposes of Article 14.4 of the Regulation and the air carrier will lose its historic precedence for the series of slots.

- Coordinators may use whatever information is available to demonstrate intentional off-slot operation, such as:

  - Airport data / handling requests
  - CRS or airline website published times
  - Flight plan data
  - Comparisons with slots at the other end of the route
  - Pre flight monitoring reports
  - Checks against the waitlist or initially requested times

- Where there is no evidence of intent, Coordinators should apply a reasonable schedule tolerance range to filter potential slot abuse from normal operational variability. A 'significant ' difference is taken to be a consistent pattern of deviation from the allocated slot time that is identifiably different from comparable operations that may cause prejudice to airport or air traffic operations. In such circumstances, the Coordinator/Schedules Facilitator should initiate a dialogue with the air carrier concerned and seek an improvement in performance as soon as possible.

- Coordinators must **not** penalise air carriers for random operational delays in determining 80% use of a series of slots for the purposes of Articles 8(2) of the Regulation.

- Where available, the Slot Performance Sub-Committee may be called upon to assist the Coordinator in dealing with such slot performance issues.

- Where an air carrier fails or refuses to take reasonable action to improve its adherence to the allocated slot times after being given an opportunity to do so by the Coordinator, then the deviations will be considered **intentional** for the purposes of Article 14(4) of the Regulation and the air carrier will lose its historic precedence.

b) Other Capacity Relevant Differences

- An air carrier must not operate slots in a significantly different way than allocated and thereby cause prejudice to airport or air traffic operations. What is considered significant will depend on the relevant coordination parameters at the airport concerned. Typical examples are:

  - Operating an aircraft with a larger seat capacity than allocated where terminal capacity is limited.
  - Operating a larger aircraft type than authorised where parking stand capacity is limited.
  - Operating during the night period without authorisation or operating a noisier aircraft type than authorised.
  - Operating on a route that requires different passenger handling and/or uses a different terminal than allocated, e.g. domestic versus international flights.

- When the Coordinator identifies this type of slot abuse, he should contact the air carrier concerned and seek adherence to the allocated slot parameters.

- In accordance with Article 14(4) of the Regulation, continued misuse of slots in this way will result in loss of historic precedence and the Coordinator may withdraw the series of slots in question for the remainder of the scheduling period.

Determination of the 80% Target

The 80% use of a series of slots is measured against the number of slots held at the relevant slot return deadline of 31 January (Summer) or 31 August (Winter), <u>or</u> on the date first allocated, whichever is later.

If an airline holds more than one slot with the same timings, then each record is considered separately. If a flight operates on more than one day of the week, each day of the week is considered separately.

If a series of flights has been filed with a Coordinator before 31 January for the Summer season and 31 August for the Winter season, historic slots will be calculated in accordance with the **Winter season examples below**.

1. The cancellation of **less than five** consecutive weeks prior to the slot return deadline should not affect the period eligible for historic precedence.

    Example 1

    ```
    Original series:   |--------------22------------|
    Before 31 Aug:     |--5--| 4 |--------13--------|

    Historic:          |-------------22-----------| Target: 80% of 18
    ```

2. The cancellation of **<u>five or more</u>** consecutive weeks will result in separate historic periods

Example 2

```
Original series:  |--------------22------------|
Before 31 Aug:    |--5--|  5  |--------12-------|

Historic 1:                  |--------12-------|     Target:
80% of 12
Historic 2:       |--5--|                            Target: 80% of 5
```

3. Operating periods of <u>less that five weeks</u> are not eligible for historic precedence

Example 3

```
Original series:  |--------------22------------|
Before 31 Aug:    |--4--|  4  |--------14--------|

Historic:                    |--------14--------|    Target:
80% of 14
```

4. Cancellations at the start or end of the season will shorten the period eligible for historic precedence

Example 4

```
Original series:  |--------------22------------|
Before 31 Aug:    4  |-------13--------|  5

Historic:         |-------13--------|              Target: 80% of 13
```

5. If a series of flights is filed with a coordinator and a break in the period of operation is requested **after** 31 January (Summer) or 31 August (Winter), then the whole of the originally filed recognisable period will be considered as 100% for use it or lose it calculations.

Example 5

```
Original series:  |--------------22------------|
After 31 Aug:     |--7--|  3  |-------12--------|

Historic:         |--------------22------------|
```

6. No dispensation will be given by coordinators for non-operation of slots on Public/Bank holidays against use it or lose it rule. Cancellations on those holidays should be made as early as possible but no later than 31 January and 31 August.

7. Ad-hoc cancellations due to the closure of an airport will not be considered against the use it or lose it rule. Ad-hoc cancellations for any other reason e.g. grounding of an aircraft type or circumstances beyond the airlines' control, must be discussed and agreed with the Coordinator.

8. Ad-hoc changes of timing, equipment or flight number changes on a specific date(s) will not affect the base historic schedule, provided the airline can demonstrate the continued use of the series of slots. However, in the case of a change in aircraft type, historic precedence will apply to the aircraft type normally operated.

9. In calculating the percentage of slots that have been used during the season, the slots from a flight in the same coordination period cannot be used to help another flight achieve the 80% utilisation target.

It is not possible to 'share' cancellations between, for example, two flights to retain two historic series of slots for only one series of actual operations, as in the example below:

```
Slot 1:        |--5-x|   4   |--5--| 3 |x-5--|
Slot 2:        4 |---5--|   4 |x-5--| 4
```

Note: **x** denotes a cancellation after 31 August

10.   Schedule changes to a series of five or more slots, agreed with the Coordinator during a scheduling season, do not lead to a loss of historic precedence provided that at least 80% of the slots are operated as cleared by the Coordinator. The new times will become historic for the period in question.

4.   Status - Version 8 – Agreed at EUACA/49 September 2008

Monitoring by Schedules Facilitators

1.   Explanation

At schedules facilitated Airports, the Schedules Facilitator is responsible for monitoring the conformity between the actual times of operation and the schedules recommended to the air carriers.

In all cases, monitoring is directed to ensure that capacity is effectively utilised, that an adequate level of schedule integrity is maintained, that the quality, flexibility and effectiveness of the schedules facilitation processes are improved and to avoid the need for the introduction of coordination.

2.   References

Article 4 of the Regulation refers to monitoring by Schedules Facilitators and Article 7 refers to the duty of air carriers to provide information, on request, to the Schedules Facilitator.

IATA WSG Section 4.5 and 4.6 refer to the requirement for Schedules Facilitators to maintain records of all services planned and operated as well as recording airlines' conformity with arrival and departure times recommended to them in case the airport changes from level 2 to level 3.

3.   Rationale/Description

General Principles

- Monitoring is a continuous process designed to ensure that recommended arrival and departure times are effectively utilised **and** to separate intentional operation at different times from the recommended arrival and departure times from the normal random variations in operational performance.

- The main objective of monitoring should be to identify possible problems regarding recommended arrival and departure times and seek solutions, before they occur whenever possible, or as soon as possible after the date of operation.

- All procedures related to monitoring must be based on the principles of neutrality, transparency and non-discrimination.

- Schedule Facilitators should establish a dialogue with affected air carriers as soon as possible when potential issues are identified. Issues should not be left until the end of the season unless it is unavoidable to do so because the problem develops late in the season.

- At the request of Schedules Facilitators, air carriers must submit all necessary and relevant information for the purposes of monitoring in a timely and appropriate manner.

- All air carriers must be encouraged to keep their schedules continuously updated in the Schedules Facilitator's database.

- The monitoring process relies on good quality schedule performance data. Other involved parties (airports and ATC providers) must exchange all the information required for the exercise of monitoring duties with Schedules

Facilitators. In particular, airports should provide Schedules Facilitators with information on actual operations. Software should be developed to facilitate these comparisons.

- The Coordination Committee, if one exists, or local committees can provide valuable assistance to the Schedules Facilitator by assisting in the development of methods and local guidelines for the monitoring of recommended arrival and departure times and support the Schedules Facilitator in dealing with serious problems. Ideally, the monitoring process and rules should also be documented by the Schedules Facilitator.

Recommended Monitoring Actions

Before the Date of Operation

- At the time of initial coordination, Schedules Facilitators should review air carriers' schedule submissions to identify the possible instances of false or misleading information, in accordance with EUACA Recommended Practice –Information for Schedules Facilitators and Coordinators.

- Where possible, checks for consistency between origin/destination airports should be made among Coordinators/Schedules Facilitators' databases, especially, after the 31 January or 31 August in accordance with the EUACA Recommended Practice – Use of Schedule Discrepancy Data.

- Where practical, checks for consistency between ATC flight plan data and the Schedules Facilitator's data may be made.

- Where possible, checks for consistency between airport handling requests and the Schedules Facilitator's data should be made.

- Where discrepancies are identified, the Schedules Facilitator should contact the airline concerned to seek clarification and correct the issue before the date of operation where possible.

- In order to avoid wasting scarce airport capacity, and in order to avoid unnecessary adjustments to other carriers schedules, air carriers must cancel unwanted arrival and departure times in advance, where it is practical to do so, even at short notice.

After the Date of Operation

a) Cleared but Not Operated Flights

- Schedules Facilitators should closely monitor instances where an air carrier fails to operate recommended arrival and departure times without cancelling in advance.

- In the event of the non-use of a series of recommended arrival and departure times, the Schedules Facilitator should contact the air carrier concerned as soon as possible and initiate a dialogue to either confirm that the remaining arrival and departure times in the series will be operated or cancel the remainder of the series.

- Schedules Facilitators should also monitor for general patterns of 'Cleared but Not Operated Flights', such as the failure to cancel ad hoc positioning

flights, and initiate a dialogue with the air carrier concerned and seek improvements in utilisation.

b) Operated but Not Cleared Flights

- Schedules Facilitators should closely monitor for **any** instances of operating without a recommended arrival and departure time, and immediately raise any instances with the air carrier concerned and with the appropriate authorities to take action against the continuation of this behaviour, if appropriate.

Intentionally operating at different times from the Recommended Arrival and Departure Times

a) Time Difference

- Where there is clear evidence that an air carrier repeatedly and **intentionally** operated at a different time than the recommended arrival and departure times then the Schedules Facilitator should contact the air carrier immediately and determine the reason for the discrepancy and discuss possible solutions.

- Schedules Facilitators may use whatever information is available to demonstrate intentional 'off-slot' operations, such as:

  - Airport data / handling requests
  - CRS or airline website published times
  - Flight plan data
  - Comparisons with 'slots' at the other end of the route
  - Pre flight monitoring reports
  - Checks against the list of outstanding requests or initially requested times

- Where there is no evidence of intent, Schedules Facilitators should apply a reasonable schedule tolerance range to filter out operations at different times than the recommended arrival and departure times from normal random operational variations. A 'significant ' difference is taken to be a pattern of consistent deviation from the recommended arrival and departure time that is identifiably different from comparable operations that may cause prejudice to airport or air traffic operations. In such circumstances, the Schedules Facilitator should initiate a dialogue with the air carrier concerned and seek their co-operation in complying with the recommended arrival and departure times as soon as possible.

- Where an air carrier fails or refuses to take reasonable action to improve its adherence to the recommended arrival and departure times after being given an opportunity to do so by the Schedules Facilitator, the air carrier will lose its entitlement to historic precedence for these timings if the status of the airport changes to level 3.

b) Other Capacity Relevant Differences

- An air carrier must not operate its schedules in a significantly different way than the recommended arrival and departure times and thereby cause prejudice to airport or air traffic operations. What is considered significant will depend on the relevant coordination parameters at the airport concerned. Typical examples are:

- Operating an aircraft with a larger seat capacity than allocated where terminal capacity is limited.
- Operating a larger aircraft type than authorised where parking stand capacity is limited.
- Operating during the night period without authorisation or operating a noisier aircraft type than authorised.
- Operating on a route that requires different passenger handling and/or uses a different terminal than allocated, e.g. domestic versus international flights.

- When the Schedules Facilitator identifies this type of behaviour, he/she should contact the air carrier concerned and seek adherence to the coordination parameters.

4.   Status - Version 5 – Agreed at EUACA/49 September 2008

Application of Article 14(6)

1.   Explanation

The Regulation contains provisions empowering the coordinator, as the ultimate remedy, to withdraw series of slots that are not being effectively used during the current season, rather than waiting until the end of the season when the use it or lose it rule is applied.

The purpose of these provisions is to avoid wasting scarce slots.

2.   References

Article 14(6) of the revised Slot Regulation states:

> *14 (6)(a) Without prejudice to Article 10(4), if the 80% usage rate as defined in Article 8(2) cannot be achieved by an air carrier, the coordinator **may** decide to withdraw from that air carrier the series of slots in question for the remainder of the scheduling period and place them in the pool after having heard the air carrier concerned.*

> *14(6)(b) Without prejudice to Article 10(4), if after an allotted time corresponding to 20% of the period of the series validity no slots of that series of slots have been used, the coordinator **shall** place the series of slots in question in the pool for the remainder of the scheduling period, after having heard the air carrier concerned.*

3.   Rationale/Description

The words 'Without prejudice to Article 10(4)' simply mean that the air carrier still has the opportunity to justify the non-utilisation of slots, i.e. claim *force majeure*.

The important distinction between the paragraphs is that 14(6)(a) says 'the coordinator **may**', while 14(6)(b) says 'the coordinator **shall**'.

Article 14(6) is designed to prevent the abuse of the scheduling system. Before applying Article 14(6), the coordinator must decide if there has been an abuse of the scheduling system and have 'heard from the air carrier concerned', i.e. initiated a dialogue and communicated with the air carrier, ideally in writing, and given the carrier an opportunity to respond by explaining any mitigating circumstances which may affect the Coordinator's decision e.g. delays to the delivery of new aircraft beyond the air carriers control.

If the air carrier refuses to respond by a reasonable deadline date, but was given a fair opportunity to be heard, then the withdrawal of slots may proceed. Article 7 allows Coordinators to set reasonable timescales for responses to enquiries and requests for information.

Application of Article 14(6)(a)

As a 'coordinator may' apply this sanction, the application of 14(6)(a) is somewhat at the coordinator's discretion.   The decision should be based on an objective assessment of what would make best use of the slots for the remainder of that season.

Before applying the sanction, the Coordinator should consider the following factors:

- Are the remaining slots in the series likely to be used by the air carrier as allocated by the coordinator?

- Would the travelling public be disrupted by withdrawing the remaining slots?
- Are there outstanding requests that would utilise the slots more effectively?
- Has the air carrier been given warnings about this before, or tended to be wasteful with slots in the past?

Generally,14(6)(a) should be invoked where the Coordinator is not satisfied that the remaining slots will be used as allocated by the coordinator and there are other requests on the list of outstanding requests that will utilise the slots more effectively.

Even if the withdrawal of slots is not implemented, coordinators should inform the air carrier concerned that they have failed under the 80/20 rule and will not earn historic rights to the series of slots, and that repeat behaviour could result in the withdrawal of slots later in the season.

Requests to Reinstate Cancellations:

When the Coordinator informs an air carrier that it will fall below the 80% usage target, the air carrier may seek to reinstate some planned cancellations in order to recover the situation.

Generally, this is permissible where the slots are still available and the flights are genuine reinstatements. The following should not be considered permissible:

- Seeking to 'share' the cancellations with another service at the same time
- Retiming another service on an ad hoc basis, also to 'share' the cancellation rate
- Adding unrelated flights to the series, such as ad hoc positioning flights

Application of Article 14(6)(b):

As a 'coordinator shall' sanction, 14(6)(b) describes the more serious situation where the carrier has already failed to utilise 20% of a series of slots and prompt action is warranted to prevent further wastage.

This provision clearly applies where an air carrier:

- Fails to operate the first 20% of the series without cancelling in advance at all; or
- Cancels on a rolling basis at relatively short notice

Although the sanction cannot be invoked until 20% of the series has passed, the process of contacting the carrier concerned could and should, where possible, be started earlier, i.e. tell the air carrier that if they have not started operations by the 20% date then the slots will be withdrawn from that date.

As 14(6)(b) cannot be applied until part-way through the season, there may be little other demand for the slots that would be released by the withdrawal from an air carrier except on an ad hoc basis. None-the-less, the purpose of the sanction is to deter behaviours by air carriers that waste slots, so it is appropriate to use the slots for ad hoc services rather than re-allocate them to the offending air carrier.

Where an air carrier cuts back the start date of a service well in advance, albeit after the slot return deadline, it is more appropriate deal with this under Article 14(6)(a), ie. the 'coordinator **may**' sanction this behaviour but does not have to do so.

4.   Status - Version 5 – Agreed at EUACA/49 September 2008

Use of Schedule Discrepancies Data by Coordinators

1.   Explanation

As part of their monitoring processes Coordinators regularly compare schedule data for specific flights held in their databases between them in order to identify where different information is held for the same flight at the two ends of the route.

Slots are not always route specific so the interpretation and use of the "discrepancy" data requires sensitive handling as there are many legitimate reasons why the data held in two Coordinators' databases may differ. Schedules are also highly dynamic and likely to change.

2.   References

The exchange of schedule data between Coordinators to detect inconsistencies is mandatory in the Regulation in Article 4.7.

Sections 6.10.6 and 6.10.7 of the Worldwide Scheduling Guidelines identify some potential abuses of slots that may be more easily identified by comparing schedule data between Coordinators.

This Recommended Practice has been discussed and agreed with representatives of the airline industry.

3.   Rationale/Description

a) Two Coordinators can compare data with each other at any time after the Schedules Conference, but **no contact** will be made with airlines regarding discrepancies until after the IATA slot handback deadline to avoid unnecessary requests to airlines for justification of discrepancies. Coordinators should be aware that schedules may change right up to the end of the season.

b) After the IATA slot handback deadline when Coordinators identify discrepancies they can initiate a dialogue with the airline involved in order to understand the problem.

c) Where serious problems are identified affecting capacity at coordinated airports, the Coordinator and the airlines will work together to find a solution. Airlines will be expected to co-operate with the Coordinator in this process.

d) Coordinators will use their experience and expertise to decide which discrepancies should be followed up with the airlines.

e) For flights between two coordinated airports the Coordinators will initially decide between themselves, after discussion of the problem and consideration of what flexibility each may have, which Coordinator should follow up the problem with the airline concerned.

f) If no solution to the problem can be found then, at a coordinated airport, the Coordinator will act to prevent slot abuse in accordance with the Regulation. In order to resolve the problem the Coordinator may seek advice from the airport, the Coordination Committee, the Slot Performance Committee or any other appropriate body.

4. **Status** - Version 6 – Agreed at EUACA/49 September 2008

Interested Parties

1.   Explanation

Coordinators have a duty to provide information and data upon request to 'interested parties' about historic slots, requested slots, allocated slots, available slots and the parameters used in the coordination process at a coordinated airport.

Capacity users and capacity providers have asked the EUACA for clarification on where Coordinators 'draw the line' when it comes to distributing the relevant schedule information.

The purpose of this recommended practice is to indicate which entities are to be treated as 'interested parties'.

2.   References

Article 4.8 of the Regulation stipulates that:
"The coordinator shall on request and within a reasonable time make available free of charge for review to interested parties, in particular to members or observers of the coordination committee, either in written form or in any other easily accessible form, the following information:

- *Historic slots by airline, chronologically, for all air carriers at the airport*

- *Requested slots (initial submissions), by air carriers and chronologically, for all air carriers.*

- *All allocated slots, and outstanding slot requests, listed individually in chronological order, by air carriers, for all air carriers.*

- *Remaining available slots*

- *Full details of the criteria being used in the allocation*

Article 7.3 of the Regulation states: "The schedules facilitator or the coordinator, the managing body of the airport and the air traffic control authorities shall exchange all the information they require for the exercise of their respective duties, including flight data and slots."

3.   Rationale/Description

EUACA coordinators and schedule facilitators should consider the following entities as "Interested Parties":

- The managing body of the respective coordinated or schedules facilitated airport. (The airport has to prepare for the operation of the coordinated or schedules facilitated flights)

- The appropriate ATC/ATS office for the same reasons

- Air carriers and other operators (including general aviation) using the airport regularly

- EU, national, and regional authorities having a genuine interest in receiving the schedule information according to article 4.8 of the Regulation

- Other members and regular observers of the coordination committee in order to assist them with their duties at the coordination committee

- Air carrier associations, provided they are coordination committee members

Other entities such as ground handling companies, fuel companies, catering firms, consultancy companies, community organisations, independent agencies, etc. should **not** be considered "Interested Parties" for the purpose of Article 4.8. However, Coordinators and Schedule Facilitators may provide such entities with relevant information on a voluntary basis, with or without levying a fee.

In all cases interested parties must not disclose the information provided to them to third parties without the authorisation of the Coordinator or the Schedules Facilitator.

The Coordinator or the Schedules Facilitator may require a binding commitment from interested parties that they will not disclose the data provided to them to third parties.

4. Timescales

Before the Schedules Conference schedule data may only be distributed to airlines.

After the opening of the Schedules Conference all interested parties are entitled to review the schedule data however, as the data is liable to change during the Conference, the best practice would be to only make the schedule data available during the Conference to air carriers and the airport managing body if it requests the data.

5. Status - Version 8 – Agreed at EUACA/49 September 2008

Handling of 'Paper Airlines'

1.   Explanation

'Paper airlines' (undertakings) without all the necessary authorities, finance or equipment to commence operations (e.g. IATA designator, traffic rights, AOC, Operating Licence, aircraft etc) occasionally apply for slots at Coordinated airports in the expectation of obtaining the authorities and resources they need before their first operation. Sometimes they are successful – sometimes they are not.

The purpose of this recommendation is to ensure scarce airport capacity is not wasted as a result of an allocation of slots to 'paper airlines' that are unable to commence operations at a late stage in the scheduling process whilst giving maximum support to new entrant air carriers to start new services.

2.   References

The Regulation refers in Article 14.2 to the Coordinators' duty to withdraw slots allocated to any 'paper airline' that does not hold an operating licence at 31 January for a Summer season or 31 August for a Winter season, unless the carrier is likely to receive a licence by the start of the season.

The IATA Worldwide Scheduling Guidelines, Section 6.12, deals with airlines requesting slots prior to obtaining traffic rights or its operating licence.

3.   Rationale/Description

'Paper airlines' are entitled to request slots. Where slots are not in short supply they should be allocated to the 'paper airline' in accordance with normal slot allocation procedures.

Where slots are in short supply they should not be allocated to 'paper airlines' and then withdrawn but should be **reserved** for the 'paper airline' **on a provisional basis only**. The Coordinator retains control of the slots and reserves the right to cancel or change the slots should a higher priority and/or more certain demand for the slots arise during the coordination process. The Coordinator should maintain a dialogue with the 'paper airline' affected.

Before the deadlines of 31 January or 31 August the Coordinator should request confirmation of the status of the operating licence, or equivalent, finance or equipment which the undertaking should supply to the Coordinator in accordance with Article 7 of the Regulation.

Where an undertaking fails to provide the required information, or provides false or misleading information in response to enquiries by the Coordinator or if the undertaking does not hold an operating licence, or equivalent, or it has not been stated by the competent licensing authority that it is likely that an operating licence or equivalent will be issued before the start of the scheduling season then the Coordinator shall cancel the slots reserved on a provisional basis and make them available for reallocation.

If the 'paper airline' has obtained the relevant authorisations, finance or equipment the Coordinator will allocate the reserved slots to that air carrier.

4.   Status - Version 5 – Agreed at EUACA/49 September 2008

Information for Schedules Facilitators and Coordinators

1. Explanation

The airline community asked the EUACA for clarification on how its Members would interpret and apply certain aspects of Articles 7.1 and 7.2 in the Regulation.

2. References

Article 7.1 of the Regulation states:

*'Air carriers operating or intending to operate at a schedules facilitated or coordinated airport shall submit to the schedules facilitator or coordinator respectively all **relevant information requested by them………………'** **(Bold text has been added for emphasis)***

Article 7.2 of the Regulation states:

*'Where an air carrier fails to provide the information referred to in paragraph 1 unless it can satisfactorily demonstrate that mitigating circumstances exist, or **provides false or misleading information,** the coordinator shall not take into consideration the slot request or requests by that air carrier to which the missing, false or misleading information relates. The coordinator shall give that air carrier the opportunity to submit its observations.' **(Bold text has been added for emphasis)***

3. Rationale/Description

Interpretation

- Coordinators and Schedules Facilitators are only concerned if the false or misleading information is <u>relevant</u> to coordination parameters and/or limited capacity and facilities i.e. where demand equals or exceeds supply.

- Timescales are also very important as the relevance of the information may increase as the scheduling season approaches. More flexibility should be allowed earlier in the planning process.

- Coordinators are particularly concerned with false or misleading information if it affects the priority that is given to a particular slot request e.g. claiming new entrant status.

- Detailed destination information is not, generally, regarded as relevant information where the destination is not relevant to the coordination parameters and/or limited capacity and facilities or priorities for slot allocation. Where the destination is relevant to the coordination parameters then the air carrier must show the intended destination on its schedule request. Where the destination is not relevant to the coordination parameters then air carriers should inform the Coordinator or Schedules Facilitator of the true destination of their flight as soon as possible but no later than the 30 days before the start of the season.

- Some examples of false information at coordinated airports include:
  - Allocated slots for one Service Type but operating another Service Type e.g. requesting a passenger service but operating a positioning flight.
  - Tactical slot bidding to get higher priority in the slot allocation process e.g. requesting a daily service or a full season operation that the airline has no intention of operating.

- ➢ Requesting slots for a longer period of operation than it is intended to operate.
- ➢ Requesting slots based on year round operation priority in May/June for the Winter season for services that are not planning to operate in the Summer season.
- ➢ Overbidding for slots in order to get a higher share of slots allocated than can be operated.
- ➢ Requesting new entrant status when not a new entrant.

Similar problems may be caused at schedules facilitated airports with airlines giving false or misleading information.

Contacting the Air Carrier
Where the Coordinator/Schedules Facilitator believes that an air carrier may be giving false or misleading information (see examples above) then the Coordinator/Schedules Facilitator should try to contact the air carrier concerned to seek clarification and satisfy himself/herself that the schedule information being provided by the air carrier is correct before the date of operation.

Sanctions
Where an air carrier gives false or misleading information to the Coordinator, or fails to supply information requested by the Coordinator it will not have its requests for slot(s) taken into account by the Coordinator unless mitigating circumstances exist. In general however it is probable that action will be taken on the basis of the Article 14 in the Regulation.

The sanction will only be applied to the slot requests to which the false or misleading information relates and for the season for which the slot requests were made.

4.   Status
Version 10 – Agreed at EUACA/49 September 2008

Airlines that Cease Operations for Financial Reasons

1. Explanation

Sometimes, without informing Coordinators and Schedules Facilitators, airlines stop all operations, cancel or 'suspend' some or all operations. This is particularly common when an air carrier is in financial difficulties.

This Recommended Practice describes what to do in these circumstances – it does not deal with the cancellation or suspension of specific flights for other reasons.

When an air carrier cancels or suspends operations for financial reasons it can be very difficult for Coordinators/Schedules Facilitators to make contact with any of the employees of the air carrier to find out what is happening.

Coordinators and Schedules Facilitators have a duty to make efficient use of scarce airport capacity. Within the scope of the Regulation Coordinators and Schedules Facilitators seek to provide support for air carriers which may be in financial difficulties in order to give them time to recover from their difficulties.

Often information emerges that the air carrier has had its AOC or Operating Licence suspended by the relevant authorities eg. Civil Aviation Authority, in its home country.

It can be very difficult for Coordinators/Schedules Facilitators to find out the current status of the airline's AOC or Operating Licence.

The purpose of this Recommended Practice is to describe how Coordinators and Schedules Facilitators should act if this situation arises.

2. References

The Regulation refers in Article 2 (f) (i) to the definition of an air carrier which means *'an air transport undertaking holding **a valid operating license or equivalent** at the latest on 31 January for the following summer season or on 31 August for the following winter season'.'*

The Regulation uses the expression '*valid operating license **or equivalent'** because in some non EU countries different types of licenses may be applicable.*

Council Regulation 1008/2008 on common rules for the operation of air services in the Community explains the rules concerning Operating Licences that apply in the Community and in the European Economic Area (EEA).

The IATA Worldwide Scheduling Guidelines, Section 6.13, deals with the issue of how Coordinators should deal with the slots of an airline that has lost its operating license.

The IATA WSG states that:

Slots can only be held by an airline with a valid operating license. If an airline ceases to hold a valid operating license, its slots revert to the appropriate coordinators. However, the representatives of the airline may enter into dialogue with the coordinators regarding future use of the slots involved. This may mean that the slots are reserved by the coordinator pending either reinstatement of the airline's operating license or a legally authorised takeover of the airline's activities. The status of the airline should be reviewed by the relevant coordinators at 30-day intervals. If dialogue has not been initiated within 30-days of the airline losing its operating license, and if

there is no legal protection linked to insolvency under national law, then the relevant coordinator should reallocate the slots involved.

3. Rationale/Description

Slots can only be allocated by a Coordinator.

A slot is a permission to operate and regulated by European law – not domestic/national law.

Only an air carrier can hold slots at coordinated airport in the EU.

It is clear from the Regulation and the WSG that an air carrier must hold **a valid operating licence** (or equivalent) to hold slots.

In Europe it is normal for the regulatory authorities to **suspend** an air carrier's operating licence for 3 months when it is in financial difficulties and ceases operations to enable it to restructure.

A suspended operating licence does not qualify as a valid operating licence.

Operating Licences

Operating Licences do not themselves authorise air operations, but holders of Operating Licences are entitled to take advantage of Council Regulation 1008/2008 on common rules for the operation of air services in the Community. This enables air carriers based in the European Economic Area (EEA) to fly on most routes within the area with no further licences being required. Operations outside the EEA will normally require a carrier to hold an additional licence (a Route Licence).

Before an Operating Licence is granted, airlines must demonstrate that they have enough **funding** for the first two years of operation. Once a licence is granted, the state authority (CAA) will in most cases continue to monitor their finances and may revoke the licence of any licence holder that it considers no longer has sufficient resources to carry on its business.

Air Operator's Certificate

An Operating Licence cannot be granted until the air carrier holds an Air Operator's Certificate (AOC) granted by the authorities (CAA). The AOC certifies that the air carrier has met strict criteria for **safe operations** (maintenance, crew training and management control etc etc)

When an operating licence is suspended and an administrator is appointed there are four possible scenarios which the Coordinator/Schedules Facilitator must address:
    a) The air carrier is bankrupt and its assets will be liquidated by the administrator
    b) The air carrier may find new financing in order to resume operations
    c) The air carrier may be subject to a whole or partial takeover by another air carrier
    d) The air carrier is allowed to continue operations under a temporary operating license

As soon as an airline's operating licence is lost or suspended and it ceases operating the Coordinator/Schedules Facilitator must take the following steps in accordance with the WSG to deal with any of these four scenarios:
    a) Immediately contact the air carrier and/or the local CAA authority to establish the status of the air carrier's operating licence. This can be difficult.

b) The Coordinator/Schedules Facilitator of the country in which the carrier who has ceased operations is based should act as the focal point for regularly distributing information to other EUACA members and, if appropriate, other Coordinators/Schedules Facilitators worldwide on the day to day situation and should immediately distribute the contact details of the appointed administrator of the air carrier.

c) If the air carrier is not an EU carrier then the Coordinator/Schedules Facilitator should obtain the contact details of the appointed administrator from the air carrier, the local Department of Transport, the local CAA, the local Coordinator/Schedules Facilitator or from the Coordinator/Schedules Facilitator's own CAA or Department of Transport.

d) Advise the air carrier and/or the administrator that with immediate effect the carrier's slots have been returned to the control of the Coordinator until the future of the air carrier has been clarified. The slots are not 'assets' of the air carrier for disposal by the administrators.

e) Advise the air carrier and/or the administrator of a date (up to 30 days from the date of appointment of the administrator depending upon the situation) for clarification of the air carrier's future.

f) The Coordinator/Schedules Facilitator in the country where the airline that has lost its licence is based should keep EUACA Coordinators/Schedules Facilitators informed of the situation.

g) If there is no response by the deadline set by the Coordinator or if the air carrier/administrator confirms that the business is being totally liquidated then the slots should be reallocated as quickly as possible in order to make most efficient use of scarce capacity.

h) If the air carrier/administrator confirms that the business is being refinanced or that it is being taken over by another air carrier then the slots may be transferred to the new carrier in accordance with Article 8a (b) ii) and iii) of the Regulation. The new carrier must first confirm to the Coordinator/Schedules facilitator that it holds a valid operating license.

i) If the air carrier is operating under a Temporary operating licence then the Coordinator/Schedules Facilitator in the country where the airline that is operating under a temporary license is based should keep other EUACA Coordinators/Schedules Facilitators informed of developments.

j) In the case of a whole or partial takeover the two entities in the transaction should write to the Coordinator/Schedules Facilitator to inform them that the takeover is in compliance with Article 8a (1)(b) ii) or iii) and the date from which the takeover is effective.

On receipt of this notification then the Coordinator/Schedules Facilitator should implement the change of control in the slots in their database.

k) The Coordinator should consider carefully how to determine the historic entitlement of the new airline in the situation of a whole or partial takeover of an airline that has ceased operations. The new carrier is also responsible for achieving the level of performance required under the 80/20 rule from the day it begins operations.

4. Status

Agreed at EUACA/54 November 2009

Transparency

1. Explanation

A key requirement for Coordinators is to demonstrate 'transparency' as they undertake their roles and responsibilities. Slightly lower standards apply to Schedules Facilitators but in principle they too should be transparent. Without transparency the level of trust that air carriers have in the activities, data, information and services provided by a Coordinator or a Schedules Facilitator will be reduced.

Air carriers will only be convinced that they are being treated fairly, that they are not disadvantaged and that the Coordinator or the Schedules Facilitator is acting in a neutral and non-discriminatory way, if there is an adequate level of transparency of data and information on scheduling issues.

Transparency is not sufficiently defined in the Regulation.

The purpose of this Recommended Practice is to try and describe best practice regarding transparency and what data and process should ideally be transparent.

2. References

The Regulation refers in Article 4.2 (a) and 4.2(c) to the responsibility of each Member State to ensure that Coordinators and Schedules Facilitators act in accordance with the Regulation, in an independent, neutral, non discriminatory and transparent way.

The Regulation (Article 4.8) and the IATA WSG (Appendix – section 8) say that the Coordinator shall, on request and within a reasonable time, make certain scheduling data available for review to interested parties.

The IATA Worldwide Scheduling Guidelines, Section 5.2 states that the activities of the Coordinator must at all times be neutral, transparent, and non discriminatory.

3. Rationale/Description

The key areas of transparency are:

- Data

- Processes

- Coordination Parameters

- Local Rules

- Meetings (eg Coordination Committee, Capacity meetings etc)

In order to improve transparency in general Coordinators and Schedules Facilitators should ideally have their own web site. This is the natural source of information for air carriers wishing to find out about coordination parameters/criteria for slot allocation, dates and locations of Coordination Committee meetings, Local Rules etc etc.

3.1 Minimum Levels of Transparency

The Regulation (Article 4.8) and the IATA WSG (Appendix – section 8) say that the Coordinator shall, on request and within a reasonable time, make available free of charge for review to 'interested parties' (See EUACA Recommended Practice on

Interested Parties) either in written form or in any other easily accessible form, the following information sorted in time order ((a)-(d) only):

a)   historic slots by airline for all air carriers at the airport,

b)   requested slots (initial submissions), by air carriers for all air carriers,

c)   all allocated slots, and outstanding slot requests, listed individually by air carriers, for all air carriers,

d)   remaining available slots,

e)   full details on the criteria being used in the allocation.

The information referred to above shall be made available at the latest at the time of the Schedules Conference and as appropriate during the Conference and thereafter. On request, the Coordinator shall provide such information in a summarised format.

Note: The information above may be made available at any time following the SAL deadline however in some European countries this data will have route and flight number information removed in accordance with the IATA Worldwide Scheduling Guidelines. In these countries flight number and route information will only be available from the start of the Schedules Conference.

Where it is not possible to allocate a slot/timing as requested by an air carrier the Coordinator/Schedules Facilitator must offer the air carrier the nearest available alternative   slot/timing   and   inform   the   air   carrier   clearly   which coordination/scheduling parameters prevented the allocation of the slot/timing at the time requested by the air carrier.

It is poor practice to simply inform the air carrier that it has not got its requested slot with no explanation as this does not assist the air carrier in resolving its scheduling problems.

3.2 Coordination/Scheduling Parameters

Coordination/scheduling parameters should be regularly reviewed and updated. Coordinators/Schedules Facilitators should ideally notify details of these parameters for the next scheduling period, for runway(s), taxiways, aircraft parking stands, gates, terminal capacity (e.g. check-in and baggage delivery), environmental constraints, to all air carriers by the established industry deadline for submission of initial slot/schedule requests for each Schedules Conference.

Any significant change such as additional capacity available for allocation should be highlighted.

The Coordinator/Schedules Facilitator should also provide details of the actual utilisation of available capacity and how full or close to full the airport is on a 'typical' busy week of the most recent summer and winter scheduling periods.

This data should be as detailed as possible so that airlines can understand the scheduling limitations at the airport for each coordination parameter and which hours are congested.

This will provide essential guidance to the airlines for their planning of future seasons.

Where the Coordinator/Schedules facilitator has a web site this information should also be published on the web site. Links to the coordinators' web sites are also be made available on the EUACA and IATA web sites.

3.3 Local Rules

Details of all applicable local rules should be made available by the Coordinator or the Schedules Facilitator upon request by any air carrier.

In addition, full details of all local rules should be made available by the Coordinator or the Schedules Facilitator in their web site.

3.4 Meetings

The key meetings in the scheduling process, apart from the Schedules Conference and the SOM, are capacity meetings and meetings of the Coordination Committee.

Meetings for the stakeholders to discuss capacity and coordination parameters for the coming season should ideally be held twice per year and such consultations should be held at least once per year. Not all stakeholders will be represented at this meeting.

The Chairman of the Coordination Committee should invite representatives of **all** the stakeholder groups (airlines, airport managing body, Air Traffic Control, representatives of general/business aviation, Coordinator/Schedules Facilitator) to these meetings. Access to all relevant information such as agendas, minutes, and working papers, should ideally **also** be made available by the Chairman, in a timely way, to all members **in English** to ensure that no one is disadvantaged.

The Member State shall also be invited and may also attend these meetings.

The administrative arrangements (date, time, place etc) of these important meetings should be published on the Coordinators/Schedules Facilitators web site and also on the EUACA and IATA web sites.

4. Status
Agreed at EUACA/54 November 2009

Usage of the slot ID for GA/BA flights

1. Explanation

Considering the implementation of Single European Sky (SES II) EU Regulation, it is obvious that the monitoring part of the airport coordination and facilitation is becoming a key element in the whole process of SES. One of the objectives of SES is to improve the communication flows and by doing this share a maximum of valuable information amongst the airspace/airport stakeholders.

Airport Collaborative Decision Making (A-CDM) milestone 1 and 2 are addressing the correlation between the airport slot and the initial flight plan filed by an aircraft operator. Because flight plans are filed according ICAO format while airport slot data are requested in IATA format, it is sometimes difficult to correlate flight plans filed for GA/BA flights with corresponding airport slots held in coordinator's database.

Experience gained by different airport Coordinators while implementing such comparison between Flight Plans and airport slots during special (sports) events has shown that it is easy to correlate the data when a flight number is being used as call sign in the Flight Plan. Unfortunately General Aviation flights often use the aircraft registration as call sign making the matching of data more difficult. For that reason these coordinators have implemented a slot ID in order to identify slots allocated to General and Business Aviation and have requested in agreement with their local Air Navigation Service Providers (ANSP) that the slot ID assigned to the operator with the airport slot be reported in an area of the ICAO flight Plan (Field 18) which is originally designed for free text information.

When such a procedure is implemented only for a short period on specific airport(s) or a single Member State it is easy for the operators to follow the procedure and for the concerned coordinator to find the information in the Field 18 of the Flight Plan. When similar procedures are implemented on a permanent basis in several countries in the framework of the implementation of EU Regulations, it might become cumbersome for operators to indicate in a reliable manner the slot ID assigned by coordinators at both ends of the route if the format required for this differs significantly for each country.

It also becomes difficult for the coordinator either manually or using a computer tool to spot in the long list of Field 18 free format information the stream of alphanumeric characters referring to the Slot ID concerning one of its airports.

The purpose of this Recommended Practice is to describe best practice regarding implementation of slot ID for GA/BA flights and to establish a European format for operators to report them in Field 18 of the ICAO Flight Plan.

2. References

The EU Slot Regulation 95/93 as amended refers in Article 14.1 to the possibility for ATC to reject flight plans filed while the operator is not holding valid airport slots for this flight.

The Regulation requires in Article 2(g) that all air carriers or aircraft operators obtain adequate airport slot from the airport coordinator prior to land or take-off at a coordinated airport

A-CDM milestones 1 and 2 address the consistency of flight plans versus airport slots.

The IATA SSIM appendix K describes the format of a generic message type for the request for, the amendment of and the deletion of airport slots by General Aviation operators and the relevant Coordinators.

3. Rationale/Description

When Flight Plans and airport slot comparison is to be implemented for a coordinated airport, the coordinator responsible for that airport should ensure with the concerned ANSP that the Slot ID structure and the format to report it in the Field 18 of the Flight Plan that are published in the Aeronautical Publication are complying with the present best practice.

Slot ID Assignment

While allocating a slot at an airport where Flight Plans and airport slot comparison is to be performed, the coordinator will communicate to all operators subject to that procedure the Slot ID assigned for each movement of the operator on that airport.

Use of the standard "GCR" message is one possible way to communicate this information but other solutions exist such as websites or Handling Agents for instance.

The IATA SSIM appendix J states the usage of the information code -ID- in GCR messages.

1. **Slot ID allocation process**

   On its reply to a slot request subject to slot ID procedure, the Coordinator will indicate the slot ID allocated to the corresponding movement(s).

2. **Slot ID structure**

   The slot **ID** consists of **14 alphanumeric characters**. The first 4 characters are always the 4 letters ICAO code of the airport for which the slot is allocated followed by 10 other alphanumeric characters the meaning of which, if any is designed by each coordination organisation at its own discretion but will be unique for an arrival or a departure of an operator at an airport on a specific date.
   Example:
   - Operator slot request
   ```
   GCR
   /REG
   EDDF
   N HBEIV 08JUN 010G159 0900EDDF D
   ```
   - Coordinator response
   ```
   GCR
   /REG
   EDDF
   K HBEIV 08JUN 010G159 0900EDDF D /ID.EDDF1234567890
   ```

Slot ID in the flight plan (FPL)

The operator will indicate in the field 18 of the flight plan the slot ID allocated by the coordinator using the tag **RMK/ASL** followed immediately by 14 alphanumeric characters of the slot ID assigned by the airport Coordinator for that slot.
Example: **RMK/ASLEDDF1234567890**
If the flight operates between 2 coordinated airports, the slot ID delivered by the coordinator of the airport of departure and the slot ID delivered by the coordinator of the airport of arrival shall be indicated in the field 18 of the FPL as in the example below:
RMK/ASLEDDF1234567890
RMK/ASLEBBRGN12340000
Like it is shown here above the format of the 10 characters after the airport ICAO designator might be different between airports.

4. Status Version 1 Agreed at EUACA/56 June 2010.

Adjustments for Varying Season Lengths

1.   Explanation

Reference is very often made in our industry to "Scheduling Seasons". In particular, the industry refers to the "Summer Scheduling Season", which commences on the date of DST introduction in European countries in March and ends in October. The Winter Scheduling Season commences on the last Sunday in October. In this context, the term "equivalent seasons" would refer to two (or more) consecutive Summer or consecutive Winter Scheduling Seasons.

The length of a season may vary because of the date on which the change to Daylight Saving Time falls in Europe.

For calendar reasons, when seasons become longer an extra week appears at the **end** of the season, and when they become shorter a week is lost at the **beginning** of the season.

2.   References

The IATA Worldwide Scheduling Guidelines – Section 8 – Definition of Scheduling Season

The Regulation Definition of Scheduling Period - Article 2 (d)

3.   Rationale/Description

Changes to the length of the season are relevant for obtaining historic priorities and keeping the number of slots …."operated as cleared by the coordinator…." (Article 10.2 of the Regulation) at or above 80% during the season.

Changes to the length of the season are important for administrative reasons. For instance, airports may have night flying or other administrative restrictions that are based on certain movement quota for a season, and, consequently, are affected by changes in the season length.

The season length is also relevant for making comparisons of various kinds. Numerous statistical tasks are based on comparisons between seasons, e.g. the "coordinator's comparisons", requested by IATA at the end of the Schedules Conference. Variable season lengths then have to be taken into consideration.

This raises four issues where some standardisation between Coordinators and Schedules Facilitators would benefit the industry.

   a) **Determination of historic status between equivalent seasons of different lengths**.
      Historic precedence is determined in relation to the dates of the new season.

      Series of slots with start and/or end dates at the beginning or end of the season should be automatically adjusted by the Coordinator or the Schedules Facilitator to the new season boundaries.

For series of slots operating on less than the full season the start and end dates of the series are adjusted to the nearest equivalent dates on the same day of the week in the next equivalent season. For calendar reasons, this will be one day earlier (two days earlier following a leap year).

b) Determination of quotas allocated to air carriers for seasons of varying lengths.

Other capacity limits e.g. movement/night quotas, etc, should be reduced or extended pro-rata for the number of weeks in the season if this is feasible (this depends on the type of constraint).

For example, if the night movement quota for airline X is 630 per season (3 per night for a 30 week season, its share of the quota should be increased to 651 for a 31 week season).

c) Production of comparative data/statistics for seasons of different lengths.

Production of comparative statistics/data for two equivalent seasons is only meaningful if data for the same period lengths is used.

In order to standardise data between EUACA Members, the following process is recommended.

When comparing the current season with the previous equivalent season, the current season data should be presented as it is and the previous equivalent season's data should be adjusted to a comparable length.

When presenting data for a number of seasons (e.g. 10 years) all seasons should be adjusted where necessary to the most common standard (30 week summer season and 22 week winter season)

d) Shortening of a series of slots resulting in loss of historic precedence

When a series of slots becomes shortened to less than five services as a result of the change to the length of the season then the Coordinator or Schedules Facilitator should agree with the airline concerned whether the series will maintain historic precedence if it is restored to its original length in the next equivalent season.

In general the way that the Coordinator processes the difference in season lengths in their system should, so far as possible, be done automatically and must not be to the disadvantage of any airline and result in the loss of historic precedence.

4.   Status - Version 5 – Agreed at EUACA/49 September 2008

	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
Leap Year		Yes				Yes				Yes				Yes				Yes
Season of Easter	S	S	W/S	S	S	S	S	W/S	S	S	S	S	S	W	S	S	S	S
Start of Summer	26-Mar	31-Mar	30-Mar	29-Mar	28-Mar	26-Mar	25-Mar	31-Mar	30-Mar	28-Mar	27-Mar	26-Mar	25-Mar	30-Mar	29-Mar	28-Mar	27-Mar	25-Mar
Start of Winter	29-Oct	27-Oct	26-Oct	25-Oct	31-Oct	29-Oct	28-Oct	27-Oct	26-Oct	31-Oct	30-Oct	29-Oct	28-Oct	26-Oct	25-Oct	31-Oct	30-Oct	28-Oct
Summer - weeks in season	31	30	30	30	31	31	31	30	30	31	31	31	31	30	30	31	31	31
Winter - weeks in season	22	22	22	22	21	21	22	22	22	21	21	21	22	22	22	21	21	22
Summer+Winter weeks	53	52	52	52	52	52	53	52	52	52	52	52	53	52	52	52	52	53

Assumptions

Summer clock change is on last Sunday in March
Winter clock change is on last Sunday in October