

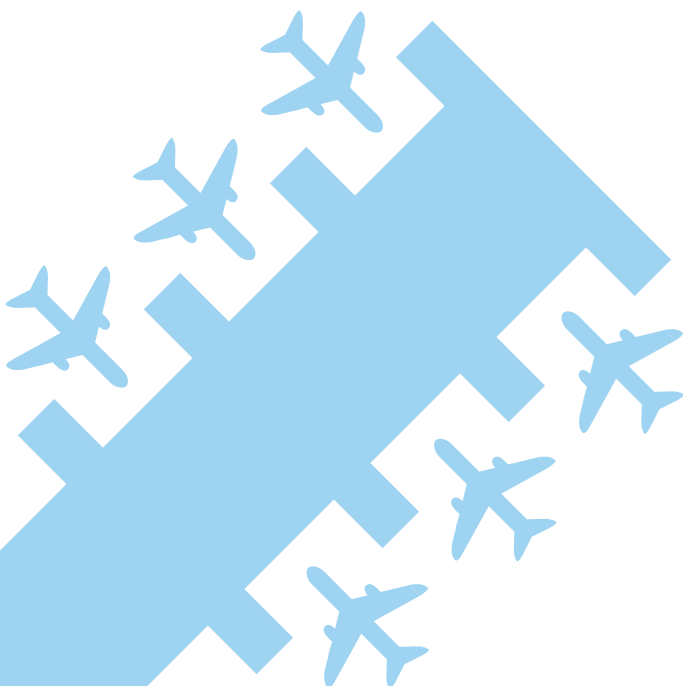


Worldwide Slot Guidelines

Effective August 2012

www.iata.org/wsg

3rd Edition



NOTICE

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PREFACE

The Worldwide Slot Guidelines (WSG) is published by IATA to provide the global air transport community with a single set of standards for the management of airport slots. The management of airport slots is required at some airports where the available airport infrastructure is insufficient to meet the demand of airlines and other aircraft operators.

The WSG is the industry standard recognized by many regulatory authorities for the management and allocation of airport slots. In some instances, this text has been incorporated into local regulations and national law.

The IATA member airlines and the community of airport coordinators from across the globe jointly produce the WSG. The standards contained in this document have been developed since 1974 and are the result of consultation between airlines and airport coordinators. They reflect the proven best practice for the coordination and management of airport slots.

The WSG is organized with distinct sections addressing policy, principles and process.

Although the policies, principles and processes outlined in this document are intended as best practice for worldwide application, it is possible that some States or Regions may also have regulations governing some of these issues. In such cases those regulations will have precedence over the policies, principles and processes of these guidelines.

The WSG is a living document that is reviewed and revised on a regular basis to remain up to date with industry and regulatory changes. The current version of the WSG can be found at www.iata.org/wsg.



ABOUT THE WORLDWIDE SLOT GUIDELINES (WSG)

The WSG is organized and presented in a way to allow easy access to the policies, principles and processes that support the allocation and management of airport slots at congested airports worldwide.

The WSG is overseen by the IATA Joint Slot Advisory Group (JSAG), comprised of an equal number of IATA Member airlines and airport coordinators. The composition of JSAG reflects the global nature of international air transport. Each member is responsible for ensuring that their region is represented in discussing and agreeing policies and standards.

JSAG meets regularly to agree on proposals for changes to the WSG and to consult on the administration of the twice yearly IATA Slot Conference (SC). All changes are agreed by JSAG before being endorsed by the Heads of Delegation of the SC. This ensures that no new or changed standards or best practices can be introduced unilaterally by any airline, coordinator or IATA.

The current composition of JSAG can be found at www.iata.org/wsg.

This edition of the WSG will take effect from 1 August 2012.

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CALENDAR OF COORDINATION ACTIVITIES

ACTIVITY	Typical dates	Summer 2013 Season SC/131	Winter 2013/14 Season SC/132
SHL Deadline	SC -59 days	17 Sep 2012	22 Apr 2013
Agreed Historics Deadline	SC -42 days	4 Oct 2012	9 May 2013
Confirmation of final coordination parameters and details of available capacity	SC -42 days	No later than 4 Oct 2012	No later than 9 May 2013
Initial Submission Deadline	SC -35 days	11 Oct 2012	16 May 2013
Appointments calendar opened to coordinators to make appointments with airlines	SC -16 days	30 Oct 2012	4 Jun 2013
SAL Deadline	SC -14 days	No later than 1 Nov 2012	No later than 6 Jun 2013
Appointments calendar opened to airlines to make appointments with coordinators	SC -13 days	2 Nov 2012	7 Jun 2013
IATA Slot Conference	Opens Thursday after second Saturday in November (summer) and June (winter)	15 Nov 2012	20 Jun 2013
Slot Return Deadline	15 January (summer) and 15 August (winter)	15 Jan 2013	15 Aug 2013
Historics Baseline Date	31 January (summer) and 31 August (winter)	31 Jan 2013	31 Aug 2013
Start Of Season	Last Sunday in March (summer) And Last Sunday in October (winter)	31 Mar 2013	27 Oct 2013

AMENDMENTS TO WSG EDITION 3

SECTION	TYPE OF CHANGE	AMENDMENT	EFFECTIVE
5.5.1 e)	Change to wording	Monitor cancellations made after the Historic Baseline Date and any non-utilization of slots for the purpose of applying the Use it or Lose it rule.	1 August 2012 Edition 3
5.5.1 e) Now 5.5.1 f)	Change to wording	Monitor planned and actual use of slots to identify any possible instances of intentional misuse of slots, and initiate a dialogue with the airline or aircraft operator concerned.	1 August 2012 Edition 3
5.5.1 f) Now 5.5.1 g)	No change		1 August 2012 Edition 3
5.5.1 g) Now 5.5.1 h)	No change		1 August 2012 Edition 3

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PART 1: POLICY

1 INTRODUCTION TO AIRPORT COORDINATION

1.1 WHAT IS AIRPORT COORDINATION?

- 1.1.1 Airport coordination is a means of managing airport capacity through the application of a set of rules contained in these Worldwide Slot Guidelines (WSG). Coordination involves the allocation of constrained or limited airport capacity to airlines and other aircraft operators to ensure a viable airport and air transport operation. Coordination is also a process to maximize the efficient use of airport infrastructure.
- 1.1.2 Coordination is not a solution to the fundamental problem of a lack of airport capacity. In all instances, coordination should be seen as an interim solution to manage congested infrastructure until the longer term solution of expanding airport capacity is implemented.

1.2 WHAT IS THE OBJECTIVE OF AIRPORT COORDINATION?

- 1.2.1 The prime objective of airport coordination is to ensure the most efficient use of airport infrastructure in order to maximize benefits to the greatest number of airport users.

1.3 WHO ARE THE STAKEHOLDERS IN AIRPORT COORDINATION?

- 1.3.1 The stakeholders in airport coordination are:
- a) Airlines and other aircraft operators using or planning to use the airport.
 - b) The airport managing body that administers and manages the airport facilities.
 - c) The air traffic control authorities responsible for the airport and airspace.
 - d) The coordinator or facilitator responsible for coordination at the airport.
 - e) The government authorities responsible for the airport.

1.4 WHAT ARE THE CONDITIONS FOR AIRPORT COORDINATION?

- 1.4.1 For the purposes of airport coordination, airports are categorized by the responsible authorities according to the following levels of congestion:
- a) **Level 1:** airports where the capacity of the airport infrastructure is generally adequate to meet the demands of airport users at all times.
 - b) **Level 2:** airports where there is potential for congestion during some periods of the day, week, or season which can be resolved by voluntary cooperation between airlines. A facilitator is appointed to facilitate the planned operations of airlines using or planning to use the airport.

- c) **Level 3:** airports where capacity providers have not developed sufficient infrastructure, or where governments have imposed conditions that make it impossible to meet demand. A coordinator is appointed to allocate slots to airlines and other aircraft operators using or planning to use the airport as a means of managing available capacity.

1.5 HOW ARE AIRPORTS DESIGNATED?

- 1.5.1 An airport should only be designated as Level 3 by the responsible authority following a thorough demand and capacity analysis, and full consultation with all stakeholders and interested parties. The airport should be designated as Level 3 only if this analysis and consultation concludes that the demand for airport infrastructure significantly exceeds available capacity and there is no practical way to alleviate the problem in the short term.
- 1.5.2 An airport should not be designated as Level 3 for reasons other than a genuine shortage of airport infrastructure, as demonstrated in a thorough demand and capacity analysis.

1.6 WHAT IS AN AIRPORT SLOT?

- 1.6.1 An airport slot (or 'slot') is a permission given by a coordinator for a planned operation to use the full range of airport infrastructure necessary to arrive or depart at a Level 3 airport on a specific date and time.

1.7 WHAT ARE THE KEY PRINCIPLES OF SLOT ALLOCATION?

- 1.7.1 The key principles of slot allocation are¹ :
 - a) Slots are only allocated for planning purposes by a duly appointed coordinator at a Level 3 airport.
 - b) Slots are only allocated to airlines and other aircraft operators.
 - c) An airline or other aircraft operator must have a slot allocated to it before operating at a Level 3 airport. Certain types of flight (for example, humanitarian or state flights) may be exempt or subject to special local procedures.
 - d) Airlines and other aircraft operators must not intentionally operate services at a significantly different time or use slots in a significantly different way than allocated by the coordinator
 - e) A series of slots is at least 5 slots requested for the same time on the same day-of-the-week, distributed regularly in the same season, and allocated in that way or, if that is not possible, allocated at approximately the same time.

¹ These Key Principles also appear in 7.1.1

- f) An airline is entitled to retain a series of slots on the basis of historic precedence.
- g) Historic precedence applies to a series of slots that was operated at least 80% of the time during the period allocated in the previous equivalent season.
- h) Historic slots may not be withdrawn from an airline to accommodate new entrants or any other category of aircraft operator. Confiscation of slots for any reason other than proven intentional slot misuse is not permitted.
- i) Slots may be freely transferred or exchanged between airlines, or used as part of a shared operation, subject to the provisions of these guidelines and applicable regulations.
- j) Coordinators must be functionally and financially independent of any single interested party and act in a neutral, transparent and non-discriminatory way.
- k) The allocation of slots is independent from the assignment of traffic rights under bilateral air service agreements.
- l) Slot times are based on the planned on-block (arrival) and off-block (departure) times. Actual times of arrival and departure may vary due to operational factors.
- m) All activities involving slots, including the determination of historic slots, are in UTC, unless otherwise agreed.



POLICY – Introduction to Airport Coordination

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2 ROLE OF IATA IN AIRPORT COORDINATION

2.1 WORLDWIDE SLOT GUIDELINES

- 2.1.1 The Worldwide Slot Guidelines (WSG) is a set of standards and best practices developed by IATA Member airlines and the airport coordinator community. These guidelines are a comprehensive set of procedures for the allocation and management of airport capacity. The principal users of these guidelines are airlines and airport coordinators.
- 2.1.2 IATA maintains the WSG under the supervision of the Joint Slot Advisory Group (JSAG). All changes are agreed by JSAG before being presented to the Heads of Delegation of the Slot Conference for majority endorsement. This ensures that no new or changed standards or best practice can be introduced into the WSG unilaterally by any airline, coordinator or IATA.
- 2.1.3 The WSG is recognized by the global air transport community as the industry standard methodology for the allocation of slots at Level 3 airports. Where a State or government intends to develop and implement their own rules or procedures, the principles of these guidelines should be adopted. IATA encourages the use of these guidelines as the basis of such regulations.
- 2.1.4 The WSG provides a consistent, transparent and fair method for the allocation and management of airport capacity. Air transport is global in nature and requires harmonized slot allocation standards at both the origin and destination airports of each route in order to maximize an airline's efficient use of resources.

2.2 IATA SLOT CONFERENCE

- 2.2.1 The IATA Slot Conference (SC) is the forum for the coordination of planned operations at Level 2 and Level 3 airports, held twice each year for the summer and winter seasons. The June SC addresses the following winter season and the November SC addresses the following summer season.
- 2.2.2 The IATA SC is convened solely for the purpose of allocating and managing slots. Discussions about pooling of flights, pricing, market entry or any other competitively-sensitive activities beyond the scope of the SC are not permitted.
- 2.2.3 The dates of the SC are communicated to the industry by IATA Management using the Calendar of Coordination Activities found in these guidelines and available at www.iata.org/wsg. Other key dates in the coordination process can also be found in the Calendar.
- 2.2.4 Delegates at the SC must be the accredited representatives of their airline or coordination organization. The SC is essential to help ensure the success of an airline's commercial operation and to the successful management of airport capacity by the responsible coordinator. IATA undertakes to ensure that the information necessary to participate in the twice yearly SC is available to all airlines, coordinators and facilitators.
- 2.2.5 IATA maintains a directory of companies participating in the SC and the individuals designated by their companies as Heads of Delegation. This



directory lists the names and contact details of coordinators and facilitators, and those authorized to trade, exchange or make slot requests on behalf of an SC participant airline.

2.3 STANDARD SCHEDULES INFORMATION MANUAL

- 2.3.1 The IATA Standard Schedules Information Manual (SSIM) contains the industry standards for the exchange of airport coordination information using standard message formats. The preferred method of data exchange is email, but the same message formats can be exchanged by telex or other agreed means.
- 2.3.2 SSIM is developed by the Schedules Information Standards Committee (SISC), and is governed under the authority of the IATA Passenger Services Conference through Recommended Practice 1761b, “FORM OF EXCHANGE FOR SCHEDULE INFORMATION”.
- 2.3.3 IATA strongly encourages all participants in the airport coordination process to follow the standards published in SSIM.

2.4 EDUCATION

- 2.4.1 IATA provides training to introduce participants to the airport coordination process. This training includes introductory sessions for new attendees of the SC and more advanced training for airlines and coordinators.

3 LEVEL 1 AIRPORTS

3.1 DEFINITION OF A LEVEL 1 AIRPORT

3.1.1 A Level 1 airport is one where the capacity of the airport infrastructure is generally adequate to meet the demands of airport users at all times.

3.2 ROLE OF AIRLINES

3.2.1 Airlines operating or planning to operate at a Level 1 airport should give adequate notice of their planned operations to their appointed handling agent, and either the airport managing body or the data collection agent if one is appointed. Operations at Level 1 airports are not addressed at the SC.

3.3 ROLE OF AIRPORTS

3.3.1 The airport managing body of a Level 1 airport should monitor demand for airport infrastructure and develop additional capacity when required to meet that demand. It is also responsible for working with handling agents and other authorities to avoid constraints that impact on airline operations. The airport managing body may request information from airlines on planned operations in specified formats. In some cases, it may appoint a data collection agent to undertake this task.

3.4 ROLE OF HANDLING AGENTS

3.4.1 It is the responsibility of the handling agent to make its own arrangements with the airport managing body to handle planned operations. Handling agents have a major responsibility to ensure that unnecessary constraints are not created either through poor planning or inadequate resources in their own operations.



POLICY – Level 1 Airports

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4 LEVEL 2 AIRPORTS

4.1 DEFINITION OF A LEVEL 2 AIRPORT

4.1.1 A Level 2 airport is one where there is potential for congestion during some periods of the day, week or season, which can be resolved by voluntary cooperation between airlines.

4.2 APPOINTMENT OF A FACILITATOR

4.2.1 A facilitator is appointed by the responsible authority, following consultations with the airport managing body, the airlines using the airport and their representative organizations, for example, IATA. Previous airline scheduling knowledge and/or coordination experience is a prerequisite for appointment.

4.2.2 Facilitators must have sufficient time and resources to provide facilitation services in accordance with these guidelines.

4.2.3 The facilitator must be independent and act in a neutral, transparent and non-discriminatory way.

4.3 ROLE OF AIRLINES

4.3.1 All airlines operating or planning to operate flights at a Level 2 airport must provide and update details of their planned operations to the facilitator. Details of the format used in exchanging data with the facilitator are shown in SSIM Chapter 6.

4.3.2 The deadline dates for data submission can be found in the Calendar of Coordination Activities. The contact details of facilitators can be found at www.iata.org/wsg.

4.3.3 Airlines operating at a Level 2 airport must be willing to make voluntary schedule adjustments in order to avoid exceeding the coordination parameters, otherwise the airport could be designated as Level 3 and require mandatory slot allocation. It is useful for airlines to discuss and review future operating plans with the facilitator and airport managing body (where appropriate).

4.4 ROLE OF AIRPORTS

4.4.1 The airport managing body must provide support to the facilitator in seeking full airline cooperation at Level 2 airports. It should provide the infrastructure necessary to handle planned airline operations within agreed levels of service.

4.4.2 The airport managing body must keep the facilitator and all interested parties informed about any capacity limitations, and especially give timely warning if one or more of these limitations might be reached or exceeded in the near future.

4.4.3 After consultation with stakeholders, the airport managing body or other responsible authority must inform the facilitator of any capacity changes and of the coordination parameters. The facilitator will in turn inform the airlines. This declaration must be completed at least 7 days before the Initial Submission Deadline for each SC.

4.5 ROLE OF THE FACILITATOR

4.5.1 The facilitator will:

- a) Collect data on the planned operations of all airlines operating or planning to operate at the airport;
- b) Make available to interested parties details of the coordination parameters and utilization of available capacity; and
- c) Facilitate the process of voluntary schedule adjustments by airlines to avoid exceeding the airport's coordination parameters.

4.6 PROCESS OF FACILITATION

- 4.6.1 At Level 2 airports no slots are allocated. The process of facilitation centers on voluntary cooperation between airlines and the facilitator. Airlines and facilitators should use the SSIM message exchange formats developed for communication at Level 2 airports.
- 4.6.2 The Calendar of Coordination Activities specifies the dates when airlines submit their planned operations to the facilitator and the dates when the facilitator must reply to the airlines.
- 4.6.3 Before the SC, the combined demand of all airlines should be reviewed with the airport managing body and any capacity shortages identified. If elements of the airport infrastructure can be modified to meet demand, then no voluntary schedule adjustments will be required.
- 4.6.4 Facilitators must reply to each airline's Initial Submission in SAL format, listing the planned operations of that airline held in the facilitator's database and any recommended schedule adjustments. Airlines should arrange to meet with the facilitator at the SC to resolve any outstanding issues.
- 4.6.5 After the SAL distribution date, data on planned operations collected by the facilitator must be made available to all interested parties.
- 4.6.6 Airlines and other aircraft operators should update the facilitator with all changes to their planned operations as soon as they are known. Facilitators must inform the airport of all changes to planned operations.

5 LEVEL 3 AIRPORTS

5.1 DEFINITION OF A LEVEL 3 AIRPORT

5.1.1 A Level 3 airport is one where:

- a) Demand for airport infrastructure significantly exceeds the airport's capacity during the relevant period;
- b) Expansion of airport infrastructure to meet demand is not possible in the short term;
- c) Attempts to resolve the problem through voluntary schedule adjustments have failed or are ineffective; and
- d) As a result, a process of slot allocation is required whereby it is necessary for all airlines and other aircraft operators to have a slot allocated by a coordinator in order to arrive or depart at the airport during the periods when slot allocation occurs.

5.2 APPOINTMENT OF A COORDINATOR

5.2.1 A coordinator is appointed by the responsible authority, following consultations with the airport managing body, all airlines using the airport and their representative organizations, for example, IATA. Previous airline scheduling knowledge and/or coordination experience is a prerequisite for appointment.

5.2.2 Coordinators must have sufficient time, resources and expertise to provide coordination services in accordance with these guidelines. Coordinators should have computer systems that are capable of performing the functions necessary to comply with the Worldwide Slot Guidelines (WSG) and any local guidelines and regulations. The recommended minimum system requirements for coordinators are provided at www.iata.org/wsg.

5.2.3 Coordinators must be functionally and financially independent of any single interested party and act in a neutral, transparent and non-discriminatory way.

5.2.4 When the day-to-day coordination at an airport is transferred to a different coordination organization, the date of transfer to the new organization must be notified as soon as possible to all airlines operating at that airport and to IATA.

5.3 ROLE OF AIRLINES

5.3.1 All airlines operating or planning to operate at a Level 3 airport must be allocated a slot by the coordinator before operating at that airport. For this purpose, details of the formats to be used are shown in SSIM Chapter 6.

5.3.2 Airlines should have adequate resources, expertise and systems to effectively participate in the coordination process.

5.3.3 The deadline for data submission can be found in the Calendar of Coordination Activities. The contact details of coordinators can be found at www.iata.org/wsg.

5.3.4 Because slots at a Level 3 airport may not be available at peak times, it is essential that airlines operating or planning to operate at that airport should be prepared to develop alternative plans if they are unable to obtain the slots they require. Some airports have few or even no suitable slots available. In these cases, airlines should be aware of alternative airports which could accommodate their planned operations.

5.4 ROLE OF AIRPORTS

5.4.1 The role of airport managing bodies in the coordination process is limited to ensuring that appropriate coordination parameters are agreed with stakeholders and updated twice each year. Where airport constraints persist, the airport managing body should examine its capacity and implement the necessary capacity enhancements to allow for a re-designation to Level 2 or Level 1 at the earliest opportunity.

5.4.2 After consultation with the Coordination Committee the airport managing body or other responsible authority must inform the coordinator of any capacity changes and of the coordination parameters. The coordinator will in turn inform the airlines. This declaration must be completed at least 7 days before the Initial Submission Deadline for each SC.

5.5 ROLE OF THE COORDINATOR

5.5.1 The coordinator will:

- a) Allocate slots to airlines and other aircraft operators in a neutral, transparent and non-discriminatory way, on the basis of the applicable coordination parameters, and in accordance with the priority criteria of the WSG and any local guidelines and regulations.
- b) Make available to interested parties details of the applicable coordination parameters, local guidelines and regulations, and any other criteria used in the allocation of slots, at least 7 days before the Initial Submission Deadline for each SC, where possible.
- c) Make available to the airlines, ideally in SSIM Chapter 6 format and by online means, lists of slots allocated, remaining slots available and the reasons why slots were not allocated as requested.
- d) Attend and participate in all IATA SCs.
- e) Monitor cancellations made after the Historic Baseline Date and any non-utilization of slots for the purpose of applying the Use it or Lose it rule.
- f) Monitor planned and actual use of slots to identify any possible instances of intentional misuse of slots, and initiate a dialogue with the airline or aircraft operator concerned.
- g) Offer advice to airlines and the relevant authorities on all matters likely to improve airport capacity or slot allocation flexibility, and in particular on any area which will help the airport return to Level 2 or Level 1.

- h) Address problems arising from conflicting requirements in such a way as to avoid any need for external intervention.

5.6 ROLE OF THE COORDINATION COMMITTEE

- 5.6.1 The Coordination Committee is established at a Level 3 airport to advise the coordinator on matters relating to capacity, slot allocation and monitoring the use of slots at the airport.
- 5.6.2 Membership of the Coordination Committee is open to all airlines using the airport regularly and their representative organizations, the airport managing body, air traffic control authorities and representatives of general/business aviation (where relevant). The coordinator attends all meetings as an observer.
- 5.6.3 Meetings of the Coordination Committee should be held to review the coordination parameters on a seasonal basis, or when changes in policy or capacity are planned which could significantly affect coordination.
- 5.6.4 The Coordination Committee should ensure that agendas and working documents are distributed to members in advance of the meetings, and that minutes are published promptly after each meeting. The dates of Coordination Committee meetings should be published on the IATA and Worldwide Airport Coordinators Group (WWACG) websites.
- 5.6.5 Ideally, meetings of the Coordination Committee should be conducted in English.
- 5.6.6 The Coordination Committee should provide mediation where there are complaints about the allocation of slots, or issues regarding the use of slots, which cannot be resolved between an airline and the coordinator in a mutually acceptable way.



POLICY – Level 3 Airports

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6 DEMAND AND CAPACITY MANAGEMENT

6.1 DEMAND AND CAPACITY ANALYSIS

- 6.1.1 The airport managing body or other competent authority should regularly conduct a thorough demand and capacity analysis, using commonly recognized methods. In particular, demand and capacity should be assessed whenever there are significant changes in airport infrastructure, operational practices, or patterns of demand.
- 6.1.2 The analysis should objectively consider the ability of the airport infrastructure to accommodate demand at desired levels of service, such as queue times, levels of congestion or delay. The analysis should assume that the airport facilities are being managed efficiently and are fully staffed.
- 6.1.3 The analysis should determine any infrastructure, operational, or environmental constraints that prevent demand being satisfied and identify options for overcoming such shortages through infrastructure, operational or policy changes and improvements.
- 6.1.4 The results of the demand and capacity analysis should be made available to interested parties in order to encourage cooperation and to alleviate and resolve any constraints on demand.
- 6.1.5 The objective of this analysis should be to improve the ability of the airport to accommodate demand and avoid, wherever possible, the need for the airport to change from Level 1 to Level 2 or from Level 2 to Level 3. Another objective of this analysis should be to identify ways to reduce or eliminate the need for coordination.

6.2 CHANGE FROM LEVEL 1 TO LEVEL 2

- 6.2.1 When an airport's infrastructure is no longer able to accommodate all of the demand, a voluntary system of airline schedule adjustments may assist in smoothing demand to fit within these limitations.
- 6.2.2 The responsible authority may determine that a change to Level 2 is required following a request from either the airport managing body or airlines operating at the airport representing at least 50% of the traffic, or on its own initiative.
- 6.2.3 A change in level should only occur after the responsible authority has ensured that:
 - a) A full demand and capacity analysis has been undertaken; and
 - b) All interested parties have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.

6.3 CHANGE FROM LEVEL 2 TO LEVEL 3

- 6.3.1 A change to Level 3 may be necessary, when:

- a) Demand for airport infrastructure significantly exceeds the airport's capacity during the relevant period;
 - b) Expansion of airport infrastructure to meet demand is not possible in the short term; and
 - c) Attempts to resolve the problem through voluntary schedule adjustments have failed or are ineffective.
- 6.3.2 The responsible authority may determine that a change to Level 3 is required following a request from either the airport managing body or airlines operating at the airport representing at least 50% of the traffic, or on its own initiative.
- 6.3.3 A change in level should only occur after the responsible authority has ensured that:
- a) A full and thorough demand and capacity analysis has been undertaken, assessing the factors specified in 6.3.1; and
 - b) All interested parties have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.
- 6.3.4 The same process should be followed in the event of an airport changing directly from Level 1 to Level 3.

6.4 ESTABLISHING HISTORIC SLOTS FOR THE FIRST TIME

- 6.4.1 When an airport changes to Level 3, it becomes necessary to determine the historic slots for each airline that operated at the airport in the previous equivalent season.
- 6.4.2 This determination is based on the records held by the facilitator of both planned and operated schedules from the previous equivalent season. The coordinator of the newly designated Level 3 airport will compare the planned schedules with the services operated to determine the historic slots. This procedure would also apply in the event that an airport changes directly from Level 1 to Level 3.
- 6.4.3 Airlines that have not complied with requests from the facilitator to adjust their schedules or have not provided details of changes to their schedules should not receive historic precedence for the times operated.

6.5 REMOVAL OF COORDINATION

- 6.5.1 When the airport managing body or airlines representing at least 50% of the traffic believe there is sufficient capacity to meet demand and permit the airport to revert to Level 2 or Level 1 (as appropriate), the responsible authority should change the airport to Level 2 or Level 1 when:
- a) A full demand and capacity analysis has been undertaken; and
 - b) All interested parties have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.

- 6.5.2 IATA Management monitors all coordinated airports to identify opportunities to reduce the number of coordinated airports.
- 6.5.3 All airlines should monitor operational or capacity changes at the airports they serve and should actively promote a re-designation of the airport to the coordinator, the Coordination Committee or IATA Management.

6.6 TEMPORARY CHANGE OF LEVEL

- 6.6.1 The responsible authority may, in exceptional circumstances, designate an airport as Level 3 for a temporary period not to exceed one season. Examples of exceptional circumstances are a significant increase in demand due to a special event (for example, Olympics, World Cup, etc) or a temporary reduction in capacity, resulting in a significant imbalance between demand and capacity at the airport.
- 6.6.2 As the Level 3 designation is temporary and for not more than a single season, airlines will not accrue historic rights to slots during the temporary change of level.

6.7 NOTIFICATION

- 6.7.1 When a change in level is decided, the responsible authority must notify all interested parties (airlines, airport managing body, governments, IATA) of the decision to change the level of the airport. In any event, notification of an airport level change should be made no later than 1 April for the next winter season and 1 September for the next summer season.
- 6.7.2 For the purpose of maintaining an up-to-date list of the levels of all airports, any change of level must be notified to IATA using the Notification of Airport Level Change Form found at www.iata.org/wsg.

6.8 SEASONAL REVIEW OF AIRPORT CAPACITY

- 6.8.1 The coordination parameters are reviewed twice each year by stakeholders, normally at meetings of the Coordination Committee or an equivalent representative body. This review must occur in good time so that the declaration of coordination parameters can be made at least 7 days before the Initial Submission Deadline for each SC.
- 6.8.2 Late declarations or changes to coordination parameters after the Initial Submission Deadline should be avoided.

6.9 REDUCTION IN AIRPORT CAPACITY

- 6.9.1 A reduction in capacity from the previous equivalent season should be avoided wherever possible. The Coordination Committee and airlines operating at the airport must be consulted as soon as possible before any reduction of capacity occurs. In any case, airlines' historic slots must be honored. The coordinator, or other responsible authority, must communicate the capacity change to all interested parties at least 7 days before the Initial Submission Deadline for the SC.



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- 6.9.2 A capacity reduction after the Initial Submission Deadline, or a reduction to a level that cannot accommodate established historic slots must be avoided in all but the most exceptional circumstances.

PART 2: PRINCIPLES

7 PRINCIPLES OF SLOT ALLOCATION

7.1 KEY PRINCIPLES OF SLOT ALLOCATION

7.1.1 The key principles of slot allocation are²:

- a) Slots are only allocated for planning purposes by a duly appointed coordinator at a Level 3 airport.
- b) Slots are only allocated to airlines and other aircraft operators.
- c) An airline or other aircraft operator must have a slot allocated to it before operating at a Level 3 airport. Certain types of flights (for example, humanitarian or state flights) may be exempt or subject to special local procedures.
- d) Airlines and other aircraft operators must not intentionally operate services at a significantly different time or use slots in a significantly different way than allocated by the coordinator
- e) A series of slots is at least 5 slots requested for the same time on the same day-of-the-week, distributed regularly in the same season, and allocated in that way or, if that is not possible, allocated at approximately the same time.
- f) An airline is entitled to retain a series of slots on the basis of historic precedence.
- g) Historic precedence applies to a series of slots that was operated at least 80% of the time during the period allocated in the previous equivalent season.
- h) Historic slots may not be withdrawn from an airline to accommodate new entrants or any other category of aircraft operator. Confiscation of slots for any reason other than proven, intentional slot misuse is not permitted.
- i) Slots may be freely transferred or exchanged between airlines, or used as part of a shared operation, subject to the provisions of these guidelines and applicable regulations.
- j) Coordinators must be functionally and financially independent of any single interested party and act in a neutral, transparent and non-discriminatory way.
- k) The allocation of slots is independent from the assignment of traffic rights under bilateral air service agreements.

² These Key Principles also appear in 1.7.1

- l) Slot times are based on the planned on-block (arrival) and off-block (departure) times. Actual times of arrival and departure may vary due to operational factors.
- m) All activities involving slots, including the determination of historic slots, are in UTC, unless otherwise agreed.

7.2 GENERAL PRIORITIES FOR SLOT ALLOCATION

7.2.1 Coordinators should allocate the available capacity based on the following broad priority order:

- 1) A series of scheduled services;
- 2) Ad hoc services;
- 3) Other operations.

7.2.2 Airlines and other aircraft operators should use message formats specified in SSIM Chapter 6 to request slots with the appropriate priority status.

7.3 PRIMARY CRITERIA FOR INITIAL SLOT ALLOCATION

7.3.1 When developing a slot allocation plan for the SC based on Initial Submissions by airlines, coordinators should apply the following priorities:

7.3.2 Historic Slots

7.3.2.1 The first priority of slot allocation is historic slots.

7.3.3 Changes to Historic Slots

7.3.3.1 Changes to a historic slot should have priority over new requests for the same slot within the capacity available.

7.3.4 Slot Pool

7.3.4.1 Once historic slots and changes to historic slots have been allocated, the coordinator will establish a slot pool, including any newly created slots.

7.3.4.2 Slots available in the pool are allocated to airlines requesting a slot, using the criteria set out in 7.3.5, 7.3.6 and 7.4 below.

7.3.5 New Entrants

7.3.5.1 Only airlines are eligible for new entrant status.

7.3.5.2 50% of the slots contained in the pool at initial slot allocation must be allocated to new entrants, unless requests by new entrants are less than 50%. The coordinator will treat requests of new entrants and other airlines fairly, in accordance with the coordination parameters across the day.

7.3.5.3 In allocating slots among new entrants, the priority for Year Round Operations (7.3.6) and the Additional Criteria for Slot Allocation (7.4) will apply.

7.3.5.4 A new entrant that has been offered slots within one hour before or after the time requested, but does not accept this offer by the end of the first day of the SC, will not retain new entrant status for that season.

7.3.5.5 If a new entrant is dissatisfied with the response from the coordinator to its slot request, then it may ask for a meeting of the Coordination Committee to seek to resolve the situation.

7.3.6 Introduction of Year Round Operations

7.3.6.1 Within each category (changes to historic slots, allocations to new entrants and other allocations from the slot pool), a request to extend an existing operation to operate on a year round basis should have priority over a new slot request.

7.3.6.2 In evaluating whether the year round priority applies, coordinators should allow flexibility on timings to cater for the differing requirements of short and long haul services.

7.4 ADDITIONAL CRITERIA FOR INITIAL SLOT ALLOCATION

7.4.1 When slots cannot be allocated using the primary criteria as set out in 7.3 above, consideration should be given to the following factors:

- a) **Effective Period of Operation:** The schedule that will be effective for a longer period of operation in the same season should have priority.
- b) **Type of Service and Market:** The balance of the different types of services (scheduled, charter and cargo) and markets (domestic, regional and long haul), and the development of the airport route network should be considered.
- c) **Competition:** Coordinators should try to ensure that due account is taken of competitive factors in the allocation of available slots.
- d) **Curfews:** When a curfew at one airport creates a slot problem elsewhere, priority should be given to the airline whose schedule is constrained by the curfew.
- e) **Requirements of the Travelling Public and Other Users:** Coordinators should try to ensure that the needs of the travelling public and shippers are met as far as possible.
- f) **Frequency of Operation:** Higher frequency such as more flights per week should not in itself imply higher priority for slot allocation.
- g) **Local Guidelines:** The coordinator must take local guidelines into account should they exist. Such guidelines should be approved by the Coordination Committee or its equivalent.

7.5 HOLDING AND RETURNING OF SLOTS

7.5.1 Airlines may only hold slots that they intend to operate, transfer, exchange or use in a shared operation.

- 7.5.2 To ensure that scarce capacity is not wasted, airlines must immediately return any slots they know they will not use. Even at short notice, it may be possible to reallocate returned slots to other operators.
- 7.5.3 In particular, series of slots that an airline does not intend to operate must be returned no later than the Slot Return Deadline dates of 15 January (summer) and 15 August (winter).
- 7.5.4 Airlines that intentionally return them after the Slot Return Deadline will receive a lower priority by the coordinator during the Initial Coordination of the next equivalent season.
- 7.5.5 A list of airlines that return series of slots after the Slot Return Deadline will be maintained and published by the coordinator.

7.6 USE IT OR LOSE IT RULE

- 7.6.1 Historic precedence is only granted for a series of slots if the airline can demonstrate to the satisfaction of the coordinator that the series was operated at least 80% of the time during the period allocated in the previous equivalent season.
- 7.6.2 Coordinators should provide timely feedback to airlines about flights at risk of failing to meet the minimum 80% usage requirement during the season to allow the airline to take appropriate action.

7.7 ELIGIBILITY FOR HISTORIC PRECEDENCE

- 7.7.1 The following guidelines are used to determine which slots are eligible for historic precedence and the number of operations required to achieve 80% usage:
- a) The series of slots held on the Historic Baseline Date of 31 January (summer) and 31 August (winter) is used as the basis for determining eligibility for historic precedence.
 - b) For a series of slots newly allocated after the Historic Baseline Date, the number of slots in the series on the date of first allocation forms the basis of the 80% usage calculation.
 - c) If the period of operation of a series of slots is extended after the Historic Baseline Date, then the airline is eligible for historic precedence for the extended period of operation, subject to the 80% usage of the extended series.
 - d) Slots allocated as ad hoc are not eligible for historic precedence. However, slots requested as a series but initially allocated as ad hoc, which form a series by the end of the season, may be eligible for historic precedence.
 - e) If an airline holds more than one series of slots at the same time with identical or overlapping periods of operation, then the usage of each series is calculated separately.

- f) If a flight operates on more than one day-of-week, then each day-of-week is considered as a separate series of slots.
- g) Time changes allocated by the coordinator for part of a series of slots (for example, daylight saving time) do not affect eligibility for historic precedence, provided the 80% usage requirement is met over the full period of operation of the service.
- h) Historic precedence applies to the latest times approved by coordinators for a series of slots, unless otherwise agreed between the coordinator and airline.
- i) Ad hoc non-time related changes to a series of slots (for example, aircraft type, flight number, route or service type) do not affect eligibility for historic precedence. The 80% usage is calculated over the full period of operation of the service. Historic precedence normally applies to the series of slots as operated the majority of the time, unless otherwise agreed between the coordinator and airline.

7.7.2 Cancellations before the Historics Baseline Date

7.7.2.1 The cancellation of 5 or more consecutive weeks will reduce the period eligible for historic precedence or result in separate periods eligible for historic precedence. Where the separate periods are recognized as part of the same service (for example, same flight number, route, etc.) then the 80% usage will be calculated for the total number of operations across all periods.

7.7.2.2 The cancellation of periods of less than 5 consecutive weeks does not reduce the period eligible for historic precedence, provided the total number of cancellations is less than 20% of the period between the first and last date of the series of slots.

7.7.3 Cancellations after the Historics Baseline Date

7.7.3.1 All cancellations made after the Historics Baseline Date are considered as non-utilization of the series of slots in the 80% usage calculation, unless the non-utilization is justified on the basis of the provisions of 7.8.

7.8 JUSTIFIED NON-UTILIZATION OF SLOTS

7.8.1 When calculating the 80% usage of a series of slots, slots not used will be considered as operated if the non-utilization is justified for any of the following reasons:

- a) Interruption of the air services of the airline due to unforeseeable and unavoidable causes outside the airline's control, for example a closure of an airport or airspace or severe weather; or
- b) Action intended to affect these services that prevents the airline from carrying out operations as planned, for example, industrial action or strikes.

7.8.2 Airlines should contact the coordinator as soon as possible after the flight cancellation or non-operation occurs to confirm that such flights will be treated as operated.

7.9 INTENTIONAL MISUSE OF SLOTS

7.9.1 An airline must have a slot allocated to it before operating at a Level 3 airport. An airline that operates without slots will be requested by the coordinator to stop any operations not having slots. If the airline continues to operate without slots, the matter will be brought to the attention of the airport's Coordination Committee or other responsible body.

7.9.2 Airlines must not intentionally operate services at a significantly different time or use slots in a significantly different way than allocated by the coordinator. Airlines that do so on a regular basis will not be entitled to historic precedence for either the times they operated or for the allocated times.

7.9.3 At all times, it is the responsibility of the operating airline to ensure that the necessary slots are allocated by the coordinator, even if it is operating under an agreement with another airline.

7.9.4 The coordinator must not deny an airline historic precedence without first initiating a dialogue with that airline. If, by the Agreed Historic Deadline, the airline has not responded to the dialogue initiated by the coordinator, then the decision of the coordinator will be final.

7.9.5 The following actions also constitute slot misuse:

- a) Holding slots that the airline does not intend to operate, transfer, exchange, or use in a shared operation;
- b) Holding slots for an operation other than that planned for the purpose of denying capacity to another aircraft operator;
- c) Requesting new slots that the airline does not intend to operate; or
- d) Requesting slots for an operation other than that indicated, with the intention of gaining improved priority.

7.9.6 In some instances, legitimate changes of plans may appear to be slot misuse. This makes deliberate slot misuse difficult to confirm.

7.9.7 The coordinator should seek the advice of the Coordination Committee or Slot Performance Committee (if one exists) to review the coordinator's findings in monitoring slot performance. It is the coordinator's responsibility to initiate any disciplinary action against an airline that intentionally misuses its allocated slots.

7.9.8 Continued slot misuse may result in a lower priority for future slot requests. Additionally, the coordinator may seek to have sanctions applied under local regulations and/or national law.

7.10 FLEXIBILITY IN SLOT ALLOCATION

7.10.1 To achieve optimum utilization of the available capacity when allocating slots, coordinators may exercise flexibility as outlined below.

7.10.2 **Operational Factors:** Airlines are not always able to operate to the allocated slot times. Weather, winds, air traffic control or technical problems may result in flight time variations.

7.10.3 **Season Changeover:** Arrivals of a flight at the beginning of a season that departed in the previous season should be allocated as requested in the new season.

7.10.4 **Daylight Saving Time:** Where there are differences of less than 5 weeks in the start or end dates of Daylight Saving Time (DST) at the beginning or end of the season, the following guidelines should be adopted:

- a) Airlines and coordinators should discuss and agree how the airline should submit its request for slots during the DST periods, before the Initial Submission Deadline date.
- b) Historic precedence should apply to the full period of operation of the service. The historic time will be the time held during the majority of the season. Time changes during the DST period(s) should be treated as ad hoc changes and should not affect eligibility for historic precedence.
- c) The 80% usage calculation should be applied over the full period of operation of the service, including operations during the DST periods.
- d) Ad hoc time changes for DST periods of 7 days or less should be allocated as requested, when feasible, and should be confirmed by coordinators as soon as possible, ideally by start of the SC.
- e) Ad hoc time changes for DST periods of 8 days or more should also be allocated by coordinators as soon as possible, and in any case no later than 5 business days after the Historics Baseline Date.

7.10.5 Schedule Disruptions:

7.10.5.1 In the short term, flights delayed by events beyond the airline's control should be considered operated as originally allocated. Airlines do not need to apply for another slot as a result of on-the-day disruptions.

7.10.5.2 Significant operational variations which affect the following day(s) may require an airline to request new slots for the following day(s).

7.10.5.3 When long term disruptions result in a rescheduling process, the treatment of eligibility for historic precedence should be discussed and agreed between the coordinator and the airline.

7.11 CHANGE OF USE OF SLOTS BY AIRLINES

- 7.11.1 Airport slots are not route, aircraft or flight number specific and may be changed by an airline from one route or type of service to another. Such changes are subject to final confirmation by the coordinator.
- 7.11.2 The coordinator's confirmation should be given promptly and should not be withheld unless coordination parameters would be exceeded or these guidelines or local regulations would be violated.

7.12 EXCHANGE OF SLOTS BETWEEN AIRLINES

- 7.12.1 The exchange of slots between airlines is encouraged. Allocated slots may be freely exchanged on a one-for-one basis at a Level 3 airport by any number of airlines.
- 7.12.2 In the case of an exchange involving newly allocated slots, which are slots other than historic slots or changed historic slots, the coordinator may refuse to confirm the exchange if not satisfied that the exchange improves the operating position of that airline. Dialogue between the coordinator and the airline is essential in such circumstances.
- 7.12.3 Airlines engaging in slot exchanges must notify the coordinator of every exchange. The coordinator will confirm the feasibility of the exchange and amend its database. If the exchange involves compensation or consideration, the following details will be made available to interested parties if requested and published on the coordinators website for transparency purposes only:
- a) The names of the airlines involved;
 - b) The slot times exchanged; and
 - c) The period of the exchange (for example, period of operation, seasons, permanent/temporary, etc).
- 7.12.4 Except for the above information, it is not necessary to make available any other details of the agreement between the airlines.
- 7.12.5 Slot exchanges for compensation or consideration may only take place where they are not prohibited by the laws of the relevant country.

7.13 TRANSFER OF SLOTS BETWEEN AIRLINES

- 7.13.1 Slot transfers between airlines, whether for compensation or consideration, or not, may only take place where they are not prohibited by the laws of the relevant country. Slots may only be transferred to another airline that is serving or planning to serve the same airport.
- 7.13.2 The transfer of newly allocated slots, which are slots other than historic slots or changed historic slots, is not permitted until such slots have been operated for two equivalent seasons. This is to prevent airlines taking advantage of an enhanced priority, such as new entrant status, to obtain slots simply to transfer them to another airline.

7.13.3 Airlines engaging in a transfer of slots must notify the coordinator of every transfer. The coordinator will confirm the feasibility of the transfer and amend its database. If the transfer involved compensation or considerations, the following details will be made available to interested parties, if requested and published on the coordinators website for transparency purposes only:

- a) The names of the airlines involved;
- b) The slot times transferred; and
- c) The period of the transfer (for example, period of operation, seasons, permanent/temporary, etc).

7.13.4 Except for the above information it is not necessary to make available any other details of the agreement between the airlines.

7.14 SHARED OPERATIONS

7.14.1 A shared operation involves slots held by one airline being used by another airline. Shared operations may only take place where not prohibited by the laws of the relevant country.

7.14.2 Airlines engaging in a shared operation must notify the coordinator in advance to confirm the nature and feasibility of the operation. The information required by the coordinator to confirm feasibility and for slot monitoring purposed is:

- a) The names of the airlines involved;
- b) The details of the slots involved (for example, operating flight number); and
- c) The period of the shared operation.

7.14.3 Under a shared operation, the original slot holder retains historic precedence, not the operator of the slots. The slot holder is responsible for initial submissions and typically retains control of the slots until the Slot Return Deadline.

7.14.4 Day-to-day management of the slots (the authority to amend and cancel slots on an ad hoc basis) after the Slot Return Deadline should be agreed between the airlines concerned and the coordinator, but will typically transfer to the operating airline.

7.14.5 The operating airline is responsible for all usage and performance requirements.

7.14.6 At the end of the shared operation or if the operating airline loses its operating license, the slots involved in a shared operation remain allocated to the original slot holder.

7.15 SLOTS OF AN AIRLINE WHICH CEASES TO OPERATE AT AN AIRPORT

7.15.1 An airline that ceases operations at an airport must immediately return all of the slots allocated to it for the remainder of the season and for the next season (if already allocated), and advise the coordinator whether or not it will use the slots in the future.

7.15.2 If an airline fails to provide the necessary information by a reasonable deadline date set by the coordinator, then the coordinator may withdraw and reallocate the slots.

7.16 SLOTS OF AN AIRLINE THAT LOSES ITS OPERATING LICENSE

7.16.1 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 slot pool.

7.16.2 In the case of bankruptcy (or similar proceedings), the representatives of the airline should enter into dialogue with the coordinators to discuss their future intentions for the slots and provide the contact details of the administrator.

7.16.3 The slots may be reserved by the coordinator pending reinstatement of the airline's operating license or a formal takeover of the airline's activities. The airline, its legal representatives, or the responsible licensing authority should keep the coordinator informed of the airline's status.

7.16.4 If dialogue has not been initiated within a reasonable deadline set by the coordinator, and if there is no legal protection linked to bankruptcy under national law, then the coordinator should reallocate the slots.

7.17 SLOTS ALLOCATED BEFORE TRAFFIC RIGHTS OR OPERATING LICENSE

7.17.1 An airline may request slots for flights for which it does not yet hold all of the required traffic rights. If available, the slots should be allocated by the coordinator in accordance with the normal allocation procedures. If an airline holding such provisional slots does not receive the required traffic rights, then the coordinator must be informed immediately.

7.17.2 An airline may also request slots before it has obtained the necessary operating licenses. In this instance, the coordinator may reserve slots on a temporary basis.

7.17.3 The status of the airline's operating license and/or traffic rights should be reviewed with the coordinator by the Slot Return Deadline of 15 January (summer) or 15 August (winter), or at a later date agreed with the coordinator.

7.18 SLOTS ALLOCATED WITHOUT HISTORIC PRECEDENCE

7.18.1 Where a series of slots becomes available only on a non-historic basis, the coordinator may reallocate those slots to another airline on an ad hoc basis.

7.18.2 Usage of such a series of slots does not entitle the airline to claim historic precedence. Historic precedence remains with the original slot holder, provided that airline applies for its historic slots in the next equivalent season.

PART 3: PROCESS

8 WORLDWIDE COORDINATION PROCESS

8.1 AUTHORIZED REPRESENTATIVES AND COMMUNICATION

- 8.1.1 Coordinators and facilitators should ensure that all communication about slots and other matters are received from addresses approved by the submitting airline, as notified to the coordinator and facilitator.
- 8.1.2 The contact details for communication with coordinators and facilitators can be found at www.iata.org/wsg.

8.2 CALENDAR OF COORDINATION ACTIVITIES

- 8.2.1 The coordination process is driven by the Calendar of Coordination Activities, found in these guidelines and at www.iata.org/wsg. The dates of activities for each season are published by IATA at the preceding SC. All parties involved in the coordination process must be aware of these important dates and deadlines and act accordingly.

8.3 AVAILABILITY OF AIRPORT CAPACITY

- 8.3.1 The coordination parameters should be provided by the airport managing body or other responsible authority to the coordinator or facilitator at least 7 days before the Initial Submission Deadline for each SC.
- 8.3.2 Coordinators and facilitators must make the following information available to all airlines operating or planning to operate at the airports they coordinate:
- a) The coordination parameters for the next season, for all constrained components of airport infrastructure, such as runways, taxiways, aircraft parking stands, gates, terminal capacity (check-in, security, baggage reclaim, etc), and environmental constraints (for example, night restrictions); and
 - b) The actual utilization 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 seasons. This data should be as detailed as possible to illustrate in graphic form the schedule limitations at the airport for each coordination parameter and which hours are congested.
- 8.3.3 Coordinators and facilitators websites should display this information and highlight any recent changes. Links to the coordinators' websites are available at www.iata.org/wsg and at www.wwacg.org.
- 8.3.4 If an airline plans a significant increase in operations at a Level 2 or Level 3 airport, then it should first discuss its plans with the coordinator or facilitator in advance of its Initial Submission. Airlines are also encouraged to inform the airport managing body, where appropriate.

8.4 DETERMINATION OF HISTORIC SLOTS BY COORDINATORS

- 8.4.1 Coordinators must provide each airline with the details of their historic slots as an SHL message. These messages must be distributed for each airport when the historic slots are determined by the coordinator, but not later than the SHL Deadline.
- 8.4.2 The coordinator must publish the date when SHLs were sent for each airport by the SHL Deadline at www.wwacg.org. Coordinators who regularly fail to distribute SHLs by the deadline will be contacted by JSAG to discuss their compliance with these procedures.
- 8.4.3 The coordinator should ‘reconstruct’ the records of series of slots that qualify for historic precedence, but which were fragmented by schedule changes during the season (for example, ad hoc cancellations, aircraft type or flight number changes). A single historic record should be created for each series of slots before distributing the SHLs to airlines, provided the reconstruction fits within the coordination parameters of the airport.
- 8.4.4 The dates of operation in the SHL must be expressed in dates applicable to the new season. When flights do not operate for the full season, the start and end dates in the new season should be the closest dates (earlier or later) for the same day(s) of operation.

8.5 REVIEW OF HISTORIC SLOTS BY AIRLINES

- 8.5.1 Airlines must acknowledge receipt of the SHL to the coordinator and check its contents. If an airline disagrees with the determination of historic slots, then it must contact the coordinator as soon as possible and no later than the Agreed Historic Slots Deadline. This will allow differences to be resolved before the Initial Submission Deadline.
- 8.5.2 No new differences related to the SHLs will be considered by the coordinator after the Agreed Historic Slots Deadline.
- 8.5.3 If there is a disagreement regarding historic slots that cannot be resolved before the Initial Submission Deadline, then airlines may seek mediation by the Coordination Committee. The coordinator will decide whether or not the disputed slots are returned to the pool for reallocation.
- 8.5.4 Airlines that do not receive an SHL message must request the SHL from the coordinator. Airlines should consult www.wwacg.org to confirm whether the SHLs were distributed for that airport. If an airline continues to experience difficulty obtaining an SHL from a coordinator, it should raise the issue with IATA Management.

8.6 INITIAL SUBMISSIONS BY AIRLINES

- 8.6.1 Initial Submissions must be made by 23:59 UTC on the Initial Submission Deadline date set in the Calendar of Coordination Activities. Airlines should submit their planned operations as early as possible to assist the coordinators.

- 8.6.2 Initial Submissions sent after 23:59 UTC on the deadline date will be given lower priority and may be dealt with after the initial coordination is completed but before SALs are distributed.
- 8.6.3 Before airlines send their submission, they should be aware of the coordination parameters and utilization data provided by coordinators and facilitators. If airlines do not have up-to-date coordination parameters and utilization data, they should obtain it from the coordinator or facilitator well in advance of the Initial Submission Deadline.
- 8.6.4 Because slots at a Level 3 airport may not be available at peak times, it is essential that airlines operating or planning to operate at the airport should be prepared to develop alternative plans if they are unable to obtain the slots they require. Some airports have few or even no suitable slots available. In these cases, airlines should be aware of alternative airports which could accommodate their planned operations.
- 8.6.5 If a change to historic slots is desired for a flight between two or more Level 3 airports, then the airline may wish to wait until the SC to make the request to the coordinators, or to exchange slots with other airlines. This will avoid the risk of the requested change being allocated at one airport but not at the other.
- 8.6.6 Once an airline's request for a change to a historic time has been accepted by the coordinator, the airline cannot subsequently claim its original historic time.
- 8.6.7 Airlines should be available to answer questions about their submission from the coordinator or facilitator following the Initial Submission Deadline.
- 8.6.8 Initial Submissions must include requests for all slots that an airline intends to operate during the season, including flights at the beginning of the season that originate in the preceding season.
- 8.6.9 If a coordinator notices that an airline has failed to apply for a historic slot, then the coordinator should immediately ask the airline to clarify its submission. If the airline fails to respond within 24 hours, then the slot may be allocated to another airline.

8.7 USE OF SSIM ACTION CODES AND SUPPLEMENTARY INFORMATION

- 8.7.1 Airlines should use the appropriate SSIM Chapter 6 action codes in their Initial Submission to clearly communicate their intentions to coordinators and facilitators.
- 8.7.2 For Level 3 airports, airlines should:
- a) Identify slots by type of request, (historic slots, changes to historic slots, requests for new slots, etc.).
 - b) Advise the coordinator when requesting new slots as a new entrant (if applicable).

- c) Advise the coordinator when requesting new slots or time changes for a year round operation.

8.7.3 For Level 2 and Level 3 airports, airlines should:

- a) Indicate whether or not they can accept offers if the requested times are not available.
- b) Indicate flexibility of times by using the Timing Flexibility Identifier.
- c) Indicate minimum and maximum turnaround times and any other such constraints.
- d) Advise whether they are constrained by a curfew or other operational constraint.

8.8 ACKNOWLEDGEMENT OF INITIAL SUBMISSIONS

8.8.1 Coordinators and facilitators must immediately acknowledge receipt of Initial Submissions. Airlines must check that they have received an acknowledgement to ensure that their submission was received.

8.9 INITIAL COORDINATION

8.9.1 Coordinators and facilitators must inform each airline of the results of initial coordination by SAL message as soon as it is complete, but no later than 23:59 UTC on the SAL deadline date set in the Calendar of Coordination Activities. SAL messages should be sent at the same time to all airlines that requested slots at the airport.

8.9.2 The SAL should indicate any changes from the airline's Initial Submission necessary to keep within the airport's coordination parameters, and the reasons for any changes. In the event that the requested time is not available, the coordinator or facilitator will offer the nearest available time.

8.9.3 In making offers, coordinators and facilitators should follow the principles below. These principles apply at all stages in the coordination process, including Initial Coordination.

- a) Offers must not be made that put an airline in a less favorable position than the times currently held.
- b) Offers should be made between the requested time and the time currently held, or within any Timing Flexibility range indicated by the airline.
- c) If an airline has indicated that offers are not acceptable, no improvement should be offered if the requested times are not available.
- d) Coordinators should take into account the Timing Flexibility range indicated by an airline, but should not place the airline at a disadvantage for having including this information.

- e) Requests for multiple frequencies (for example, a daily service) at a common time should not be offered different times on different days-of-the-week unless the airline has indicated that such offers are acceptable.
 - f) Requests for two legs of a turnaround flight should be offered consistent times for each leg, respecting minimum turnaround times and avoiding any increase in ground time that is not advantageous to the airline.
- 8.9.4 Coordinators and facilitators must use the recognized message formats and codes in the SAL message, as described in SSIM Chapter 6.
- 8.9.5 Airlines that do not receive a SAL message must request it from the coordinator or facilitator. Airlines should consult www.wwacq.org to confirm whether the SALs were distributed for that airport. If an airline experiences continuing difficulty in obtaining a SAL from a coordinator or facilitator, it should raise the issue with IATA Management.
- 8.9.6 Coordinators and facilitators must make their database available as soon as all SALs are distributed for that airport. This database must contain details by airline of all allocated times and outstanding requests in a format that excludes flight number and route details before the SC. The database should be available on the coordinator's or facilitator's website to facilitate access.
- 8.9.7 Coordinators and facilitators must not disclose details of Initial Submissions to any other party before the SALs are distributed for the airport.

8.10 PRE-CONFERENCE ACTIVITY

- 8.10.1 Pre-SC activity can only take place following the distribution of the SALs and should end 4 days before the start of the SC, when airlines, coordinators and facilitators are travelling to the SC.
- 8.10.2 Coordinators and facilitators may enter into pre-SC activity with any airline regarding its requirements provided the coordinator or facilitator has:
- a) Distributed SALs to all airlines serving the airport; and
 - b) Made its data available as specified in 8.9.6.
- 8.10.3 The scope of the pre-SC activity at Level 3 airports is limited and must not include discussions about airline strategy or plans, suggestions for schedule improvements, new slot requests, significant changes to allocated slot times or significant increases in aircraft capacity.
- 8.10.4 Acceptance of initial slot allocations, cancellation of unwanted slots, and minor changes are encouraged in order to improve the efficiency of the SC. Examples of minor changes are:
- a) flight number or destination changes where there is no impact on capacity;
 - b) time changes within the same coordination parameter; or
 - c) changes of aircraft type and number of seats where there is no impact on capacity or where aircraft size is being reduced.

- 8.10.5 At Level 2 airports, where slots are not allocated, all types of change are permitted before the SC, as no airline is at a disadvantage if it cannot participate in pre-SC activity with the facilitator.
- 8.10.6 Activities beyond those listed above may have legal implications in some parts of the world.

8.11 ACTIVITY AT THE SLOT CONFERENCE

- 8.11.1 The twice yearly IATA Slot Conference (SC) is the forum for initial discussions of slots and schedule adjustments. The SC 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. Delegates should not engage in such discussions in preparation for the SC and must refrain from initiating or participating in such discussions during the SC.
- 8.11.2 All airlines (IATA and non-IATA) with an operating license or that have applied for an operating license may participate in the SC.
- 8.11.3 Coordinators and facilitators are required to participate in the SC.
- 8.11.4 Invited observers from other interested parties may also attend the SC.
- 8.11.5 All airline, coordinator and facilitator delegates attending the SC must be accredited and registered in advance with the IATA Secretariat. The SC accreditation process can be found at www.iata.org/wsg.
- 8.11.6 First time attendees (airlines, coordinators, facilitators and observers) should contact the IATA Secretariat at least 30 days in advance so that prior administrative arrangements may be made, and to be briefed about their participation.
- 8.11.7 Coordinators and facilitators must ensure that adequate facilities are made available during the SC to deal with requests for the current season.
- 8.11.8 From the start of the SC, coordinators and facilitators should make available to all airlines the full details of all allocated times and outstanding requests, and updated capacity utilization data for the airport.

8.12 MEETINGS AT THE SLOT CONFERENCE

- 8.12.1 Airline delegates must be fully authorized by their management to act on behalf of their airline at the SC. Coordinators and facilitators should verify the accreditation status of an airline attending the SC before entering into any binding discussions.
- 8.12.2 The coordinator or facilitator should meet with the accredited airline delegate(s) to discuss any adjustments required and to confirm any agreed changes.
- 8.12.3 Non-airline participants may be allowed into coordinators' or facilitators' offices and may observe bilateral discussions only with the express agreement of both

the airlines and the coordinators or facilitators involved. They must not participate in any way in the coordination activity of any airport.

8.12.4 Appointments for meetings at the SC should be made using the IATA AppCal.

8.12.5 Slots allocated as offers that cannot be accepted immediately will be valid until the first meeting of the airline with the coordinator at the SC.

8.13 POST CONFERENCE ACTIVITY

8.13.1 The coordination process continues after the close of the SC. Reallocation is a continuous process. All requests must be processed by coordinators and facilitators promptly, and within 3 business days, where possible. If an airline does not receive a reply within this deadline it should contact the coordinator for clarification of the status of the request.

8.13.2 Where a new or revised request cannot be accommodated within the coordination parameters, the coordinator or facilitator will offer the nearest available slot to the requested times and provide the reason why the original request could not be granted.

8.13.3 Offers of slots made by a coordinator are valid for 3 business days, unless otherwise stated. Airlines must accept or reject an offer within this time limit or the offer may expire. An airline may ask the coordinator for a time extension.

8.14 MANAGING THE WAITLIST

8.14.1 Coordinators and facilitators must maintain a record of all outstanding requests and review it regularly, during and after the SC, and especially at the Slot Return Deadline. Coordinators and facilitators should try to satisfy outstanding requests as soon as possible using the priorities outlined in 7.3 and 7.4.

8.14.2 Coordinators and facilitators should ask airlines to confirm that they wish to keep their outstanding requests on the waitlist, particularly around to the Slot Return Deadline and before the start of each season. The coordinator should set a reasonable deadline for airlines to confirm their outstanding requests. If there is no reply, then the outstanding requests may be considered no longer valid and deleted from the waitlist.

8.14.3 Requests with no slot allocated should be deleted by the coordinator after the Slot Return Deadline, unless the airline asks the coordinator to retain the outstanding requests on the waitlist.

8.15 SLOT RETURNS

8.15.1 Airlines must return all series of slots that they do not intend to operate no later than the Slot Return Deadline dates of 15 January (summer) and 15 August (winter).

8.15.2 Airlines should make all public holiday and other ad hoc cancellations on or before the Historic Baseline Date of 31 January (summer) and 31 August (winter) so that such cancellations are not taken into account in the Use it or Lose it calculation

- 8.15.3 Coordinators should maintain a list of airlines that return series of slots after the Slot Return Deadline. This list will indicate the total number of slots held by each airline on the Slot Return Deadline, compared with the total number of slots held by each airline at the start and end of the season, to show the percentage of each airline's holdings at the airport on these dates.
- 8.15.4 Each list should contain separate figures for the three most recent equivalent seasons.
- 8.15.5 Care should be taken in interpreting these figures that may include the cancellation of slots for operational reasons (for example, closure of airport or airspace) or commercial reasons (for example, public holidays).

8.16 SLOT ALLOCATION FOR AD HOC OPERATIONS

- 8.16.1 Coordinators must process all ad hoc slot requests from airlines and general/business aviation operators, but should give priority to requests for series of slots. Generally coordinators should not allocate slots for ad hoc operations before the Slot Return Deadline.
- 8.16.2 Ad hoc cancellations and ad hoc slot requests in off peak periods should be processed as soon as possible.
- 8.16.3 In some cases, the coordinator may need to consider ad hoc requests before the Slot Return Deadline in order to give operators sufficient notice, for example, when a major holiday occurs at the start of a season.

8.17 CHANGES ON THE DAY OF OPERATION

- 8.17.1 Coordinators should establish procedures for slot allocation outside of normal business hours.
- 8.17.2 Requests must be made for additional services planned on the day of operation (for example, a new positioning flight) and the airline or other aircraft operator must receive confirmation of an allocated slot before operating.
- 8.17.3 Airlines should not notify coordinators of on-the-day equipment changes, or operational variations (for example, delayed flights, weather disruptions, etc) to their allocated slots.
- 8.17.4 Only significant operational variations which affect the following day(s) may require an airline to submit a request for a new slot for the following day(s).
- 8.17.5 Airlines should notify the coordinator of on-the-day cancellations so that the slots can be reallocated to other carriers.

9 TERMS AND ABBREVIATIONS

Ad hoc change: a change to a series of slots that does not affect eligibility for historic precedence.

Ad hoc slot: an allocated slot which is not eligible for historic precedence.

Agreed Historic Deadline: the deadline date, as set out in the Calendar of Coordination Activities, by which airlines must raise any disagreements with the coordinator's determination of historic. It is 7 days before the Initial Submission Deadline.

Airline: an air transport undertaking holding a valid operating license or equivalent authorization from its national authority.

Airport Infrastructure: the full range of airport facilities and any environmental or other components, used in the operation of services at an airport.

Airport Managing Body: the body which administers and manages the airport facilities.

Airport Level: the classification of airports based on its level of congestion as Level 1, Level 2 and Level 3.

AppCal: IATA Appointments Calendar

Bilateral Air Service Agreement: an agreement between two governments allowing the operation of commercial air services on nominated routings and through nominated airports.

Calendar of Coordination Activities (or Calendar): the events and industry deadlines governing the coordination process for each season.

Coordination: the generic term encompassing facilitation at a Level 2 airport and slot allocation at a Level 3 airport.

Coordination Committee: a committee established at a Level 3 airport to advise the coordinator on matters relating to capacity, slot allocation and monitoring the use of slots at the airport.

Coordination Parameters: the operational limits of all technical, operational and environmental factors at the airport.

Coordinator: The organization or individual responsible for slot allocation at a Level 3 airport.

Demand and Capacity Analysis: the process of assessing airline demand and determining maximum airport capacity, taking into account all physical, operational and environmental constraints at the airport.

DST: Daylight Saving Time

Equivalent Seasons: consecutive summer seasons (two summers) or consecutive winter seasons (two winters) as opposed to two consecutive seasons (a summer and a winter season).



Terms and Abbreviations

Facilitator: the organization or individual responsible for collecting data on planned operations at a Level 2 airport, and recommending voluntary schedule adjustments as necessary.

Flight: the operation of one or more legs with the same flight designator.

Handling Agent: a person or organization that represents an airline at an airport in areas of passenger or cargo services, or aircraft dispatch.

Historic Precedence: the principle whereby airlines are entitled to a series of slots that were operated at least 80% of the time during the period allocated in the previous equivalent season.

Historic Slots (or Historics): slots allocated on the basis of historic precedence.

Historics Baseline Date: the reference date used for the 80% usage calculation to determine historic precedence, being 31 January (summer) and 31 August (winter).

IATA: International Air Transport Association

Initial Coordination: the process that occurs between the Initial Submission Deadline and SAL Deadline dates for each season, whereby a coordinator allocates slots at a Level 3 airport and a facilitator recommends voluntary schedule adjustments at a Level 2 airport.

Initial Submission Deadline: the deadline of 23:59 UTC on this date, as set out in the Calendar of Coordination Activities, by which airlines must submit their planned operations to coordinators and facilitators at Level 3 and Level 2 airports.

Joint Slot Advisory Group (JSAG): an IATA forum where Member airlines and airport coordinators meet to discuss issues of common interest, formulate and promote industry guidelines related to airport coordination worldwide, and advise on principles for administering the IATA Slot Conference.

Level 1 Airport: an airport where the capacities of all infrastructure at the airport are generally adequate to meet the demands of users at all times.

Level 2 Airport: an airport where there is potential for congestion during some periods of the day, week, or season which can be resolved by voluntary cooperation between airlines.

Level 3 Airport: an airport where it is necessary for all airlines and other aircraft operators to have a slot allocated by a coordinator in order to arrive or depart at the airport during the periods when slot allocation occurs.

New Entrant: an airline requesting a series of slots at an airport on any day where, if the airline's request were accepted, it would hold fewer than 5 slots at that airport on that day.

Pool: see Slot Pool.

SAL (Slot Initial Allocation List message): standard message used by coordinators and facilitators to inform airlines of the results of initial coordination at a Level 2 or Level 3 airport.

SAL Deadline: the deadline date, as set out in the Calendar of Coordination Activities, by which coordinators and facilitators of Level 3 and Level 2 airports must distribute the results of initial coordination to all airlines.

SCR (Slot Clearance Request/Reply message): standard message used by airlines and coordinators, for planning purposes for the clearance of slots at a Level 3 airport, as described in SSIM Chapter 6.

Season: the summer season commencing on the last Sunday in March, or the winter season commencing on the last Sunday in October.

Series of Slots: at least 5 slots requested for the same time on the same day-of-the-week, distributed regularly in the same season, and allocated in that way or, if that is not possible, allocated at approximately the same time.

Shared Operation: a generic term referring to various types of operational or commercial arrangements between two or more airlines.

SHL (Slot Historic List message): standard message used by coordinators to inform airlines of the status of their historic slots.

SHL Deadline: the deadline date, as set out in the Calendar of Coordination Activities, by which coordinators of Level 3 airports must provide each airline with the details of their historic slots. It is the third Monday in September (summer) and third Monday in April (winter).

SISC: Schedules Information Standards Committee

Slot: a permission given by a coordinator for a planned operation to use the full range of airport infrastructure necessary to arrive or depart at a Level 3 airport on a specific date and time.

Slot Conference (SC): a forum organized by IATA for the coordination of planned operations at Level 2 and Level 3 airports, held twice each year for the summer and winter seasons.

Slot Exchange (or Slot Swap): a process whereby allocated slots are exchanged on a one-for-one basis between airlines at the same airport.

Slot Return Deadline: the date by which airlines must return series of slot that they do not intend to operate, being 15 January (summer) and 15 August (winter).

SMA (Schedule Movement Advice message): standard message used for the submission of data on planned operations to a facilitator at a Level 2 airport, or a data collection agent at a Level 1 airport, as described in SSIM Chapter 6.

Slot Monitoring: an analysis carried out by coordinators to measure the operational performance of airlines compared with the slots allocated to them.

Slot Performance Committee: a sub-committee of the Coordination Committee formed to advise the coordinator on slot monitoring issues, with the objective of improving punctuality and combating slot misuse.



Terms and Abbreviations

Slot Policy Working Group (SPWG): an IATA forum of Member airlines established to address matters such as the development of and amendments to the WSG and provide guidance on industry slot matters to the office of the IATA Director General.

Slot Pool (or Pool): the slots available at a Level 3 airport after historic slots and changes to historic slots are allocated, including any newly created slots.

Slot Return Deadline: 15 January (summer) and 15 August (winter).

SSIM: the IATA Standard Schedules Information Manual.

Slot Swap: see Slot Exchange.

Slot Transfer: a process whereby allocated slots are transferred from one airline to another airline.

Use it or Lose it: the principle whereby historic precedence is only granted for a series of slots if an airline can demonstrate to the satisfaction of the coordinator that the series was operated at least 80% of the time during the period allocated in the previous equivalent season.

UTC: Universal Time Coordinated, also referred to as Z or GMT. All slots, including historic slots, are expressed in UTC, unless agreed procedures allow for the use of local time.

Waitlist: a non-prioritized list of outstanding requests, including both allocated slots pending improvements and requests with no slot allocated.

WWACG: Worldwide Airport Coordinators' Group.

10 DOCUMENTS AVAILABLE ON THE WEB

The following documents can be found at www.iata.org/wsg

- 10.1 IATA Slot Conference – Standing Working Arrangements
- 10.2 IATA Appointments Calendar
- 10.3 IATA Standards for Airport Capacity Analysis
- 10.4 Recommended Minimum System Requirements for Airlines and Coordinators
- 10.5 Slot Policy Working Group (SPWG) – Terms of Reference
- 10.6 Joint Slot Advisory Group (JSAG) – Terms of Reference
- 10.7 Schedules Information Standards Committee (SISC) – Terms of Reference
- 10.8 Coordination Committee – Terms of Reference
- 10.9 Slot Performance Committee – Terms of Reference
- 10.10 Membership of the Slot Policy Working Group (SPWG)
- 10.11 Membership of the Joint Slot Advisory Group (JSAG)
- 10.12 Contact list for Level 2 and Level 3 Airports
- 10.13 Notification of Airport Level Change
- 10.14 Independence of the Coordinator



Documents Available on the Web

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