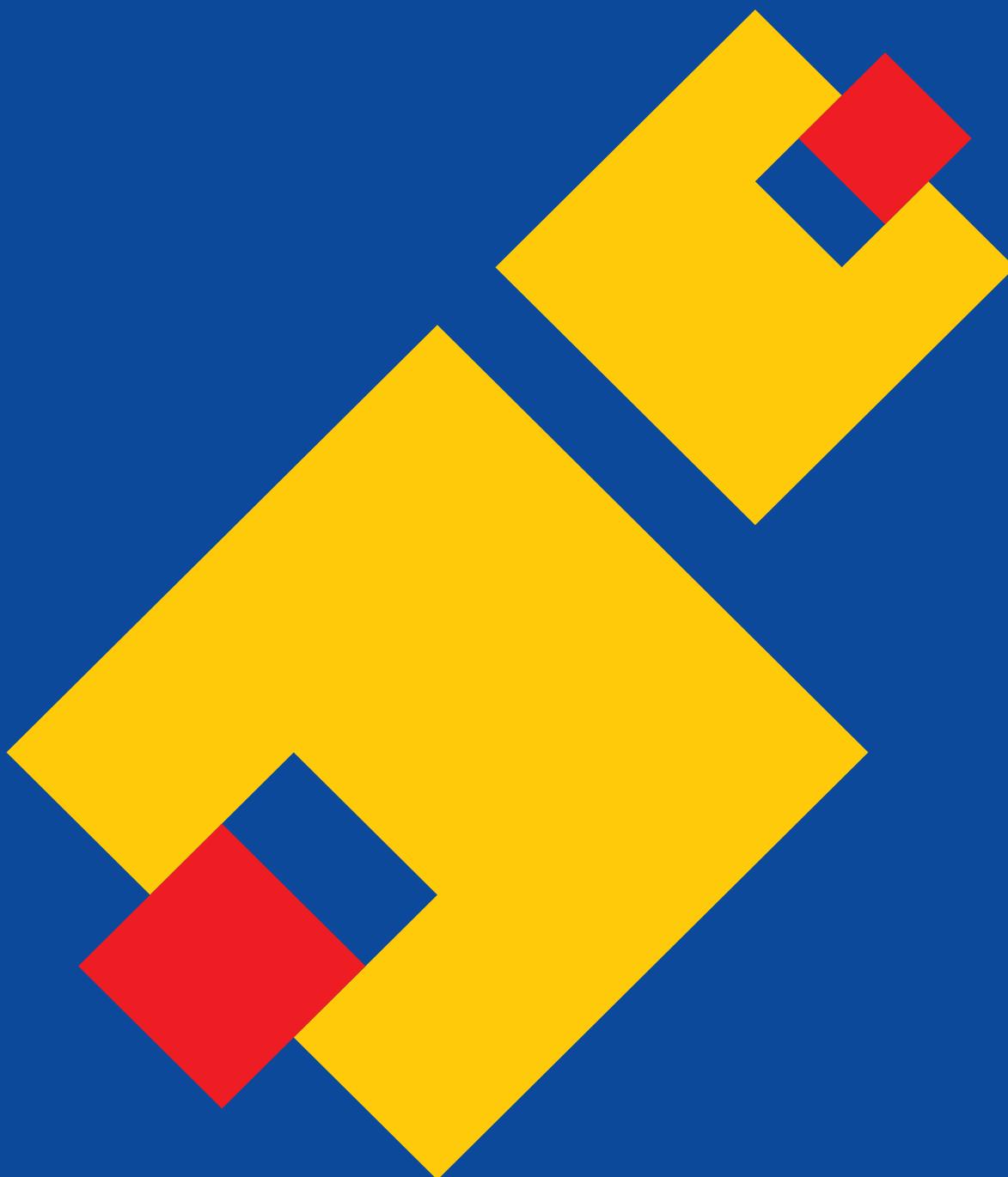


Effective 1 August 2019  
10<sup>th</sup> Edition – English version

# Worldwide Slot Guidelines



## 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 at coordinated airports and of planned operations at facilitated airports. 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 while the management of planned operations at facilitated airports allows a degree of scheduling flexibility within available airport infrastructure capacity.

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

The community of airlines and airport coordinators and facilitators from across the globe jointly produces the WSG. The standards contained in this document have been developed since 1974 and are the result of consultation between airlines, airport coordinators and facilitators, and the airport managing bodies. They reflect the proven best practice for the coordination and management of airport slots and planned operations.

These guidelines use the term “coordination” to refer to the allocation of slots by coordinators at Level 3 airports or the approval of planned operations by facilitators at Level 2 airports.

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](http://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 \(JSAG\)](#), composed 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 WSG is an IATA Recommended Practice (RP 1761a) as documented and recognized in the Passenger Standards Conference Manual. It is recommended that IATA member airlines use the WSG as the globally recognized best practice guidance for slot allocation.

The current [composition of JSAG](#) and other information can be found at [www.iata.org/slots](http://www.iata.org/slots).

This edition of the WSG will take effect from 1 August 2019, with the following exceptions:

1. The new Chapter 9, regarding slot monitoring, shall be effective starting with the coordination of the Winter 2019/2020 season.
2. The changes and additions to 8.3, regarding primary allocation and the definitions for new entrant and slot pool shall be effective starting with the coordination of the Winter 2020/2021 season.

[WSG Edition 9](#) should continue to be used for these matters until the applicable effective dates.

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## CALENDAR OF COORDINATION ACTIVITIES

<b>ACTIVITY</b>	<b>W19/20 SC/144</b>	<b>S20 SC/145</b>	<b>W20/21 SC/146</b>
<b>SHL Deadline</b>	<b>22-Apr-19</b>	<b>09-Sep-19</b>	<b>20-Apr-20</b>
<b>Agreed Historics Deadline</b>	<b>09-May-19</b>	<b>26-Sep-19</b>	<b>07-May-20</b>
Confirmation of final coordination parameters and details of available capacity	No later than 09-May-19	No later than 26-Sep-19	No later than 07-May-20
<b>Initial Submission Deadline</b>	<b>16-May-19</b>	<b>03-Oct-19</b>	<b>14-May-20</b>
Appointments calendar opened to coordinators to make appointments with airlines	04-Jun-19	29-Oct-19	02-Jun-20
<b>SAL Deadline</b>	<b>No later than 06-Jun-19</b>	<b>No later than 31-Oct-19</b>	<b>No later than 04-Jun-20</b>
Appointments calendar opened to airlines to make appointments with coordinators	10-Jun-19	04-Nov-19	08-Jun-20
<b>IATA Slot Conference</b>	<b>18-20 Jun 19</b>	<b>12-15 Nov 19</b>	<b>16-18 Jun 20</b>
<b>Series Return Deadline</b>	<b>15-Jul-19</b>	<b>15-Dec-19</b>	<b>15-Jul-20</b>
<b>Historics Baseline Date</b>	<b>31-Aug-19</b>	<b>31-Jan-20</b>	<b>31-Aug-20</b>
<b>Start Of Season</b>	<b>27-Oct-19</b>	<b>29-Mar-20</b>	<b>25-Oct-20</b>

**AMENDMENTS TO WSG EDITION 9**

SECTION	TYPE OF CHANGE	AMENDMENT	EFFECTIVE
1.3	WSG Strategic Review	Who are the <u>relevant</u> stakeholders of airport coordination?	1 August 2019
1.5.1	WSG Strategic Review	Airports are designated following a thorough demand and capacity analysis, using commonly recognized best practice methods by the airport managing body or other competent body. The analysis should be completed in a timely manner to enable an official capacity declaration (the maximum capacity available for allocation considering the functional limitations at the airport such as runway, apron, terminal, airspace, and environmental restrictions) for each IATA season. At a minimum, the analysis should be conducted whenever there are significant changes in airport infrastructure, operational practices, or patterns of demand. This analysis should use quantitative and transparent criteria for determining which level of coordination is appropriate for that airport.	1 August 2019
1.5.2	WSG Strategic Review	<del>An airport should not be designated or remain as Level 3 for reasons other than a genuine shortage of airport infrastructure, as demonstrated in a thorough demand and capacity analysis.</del>	1 August 2019
1.5.2	WSG Strategic Review	An airport is designated Level 2 when this analysis demonstrates that there is potential for congestion during some periods of the day, week, or season that could be resolved by Level 2 facilitation. An airport is designated Level 3 when this analysis demonstrates a risk that demand may significantly exceed the capacity of the airport and that Level 3 slot coordination is required.	1 August 2019

1.5.3	WSG Strategic Review	The responsible authority must ensure that an airport is only designated as Level 3 <u>or remains as Level 3</u> following a <del>thorough demand and capacity</del> <u>the analysis</u> , and <del>full consultation with all stakeholders and interested parties.</del> The airport should be designated as Level 3 only if this analysis and consultation concludes that the demand for airport infrastructure significantly exceeds the declared capacity and there is no practical way to alleviate the problem in the short term. <u>process described above.</u>	1 August 2019
1.7.1 g	WSG Strategic Review	Planned times of operation are based on the planned on-block (arrival) and off-block (departure) times. <del>Actual times of arrival and departure may vary due to operational factors.</del>	1 August 2019
1.7.2 c	WSG Strategic Review	An airline or other aircraft operator must have a slot allocated to it before operating at a Level 3 airport. Certain types of <del>flight</del> <u>flights</u> (for example, humanitarian or state flights) may be exempt or subject to special local procedures.	1 August 2019
1.7.2 l	WSG Strategic Review	Slot times are based on the planned on-block (arrival) and off-block (departure) times. <del>Actual times of arrival and departure may vary due to operational factors.</del>	1 August 2019
1.7.2 n	WSG Strategic Review	<u>Monitoring of the use of allocated slots should be performed in a timely manner by the coordinator at a Level 3 airport.</u>	1 August 2019
2.1.1	Editorial	The Worldwide Slot Guidelines (WSG) is a set of standards and best practices developed by IATA Member airlines along with the airport coordinator and facilitator communities. These guidelines are a comprehensive set of procedures for the allocation and management of airport capacity. The principal users of these guidelines are airlines, airport coordinators, and airport facilitators.	1 August 2019
2.3.1	Editorial	The IATA Standard Schedules Information Manual ( <u>the</u> SSIM) contains the industry standard message formats to be used by airlines, coordinators, and facilitators when communicating airport coordination information such as SALs, SHLs, <u>or</u> SCRs, <del>etc.</del> The preferred method of data exchange is email, but the same message formats can be exchanged by other agreed means.	1 August 2019

2.3.2	Editorial	The <u>SSIM</u> is developed by the Schedules Information Standards Committee (SISC) and is governed under the authority of the IATA Passenger Standards Conference through Recommended Practice 1761b, "FORM OF EXCHANGE FOR SCHEDULE INFORMATION."	1 August 2019
2.3.3	Editorial	IATA strongly encourages all participants in the airport coordination process to follow the standards published in the <u>SSIM</u> .	1 August 2019
4.2.1	Editorial	The responsible authority must ensure the appointment of a facilitator following consultations with the airport managing body, the airlines using the airport, and their representative organizations – for example, IATA. Previous airline scheduling knowledge <del>and/</del> or coordination experience is a prerequisite for appointment.	1 August 2019
4.2.2	Editorial	The airport managing body must keep the facilitator and all <del>interested parties</del> <u>relevant stakeholders</u> 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.	1 August 2019
4.3.3	Editorial	After consultation with stakeholders, the airport managing body or other competent body 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 <del>for each SC</del> .	1 August 2019
4.5.1	WSG Strategic Review	The facilitator will: <ul style="list-style-type: none"> <li>a) Ensure the feasibility of the plans submitted by an airline so the coordination parameters of the airport are not exceeded; <del>and</del></li> <li>b) Make available to <del>interested parties</del> <u>relevant stakeholders</u> details of the coordination parameters and utilization of the declared capacity; <del>and</del></li> </ul>	1 August 2019
5.2.1	Editorial	The responsible authority must ensure the appointment of a facilitator following consultations with the airport managing body, the airlines using the airport, and their representative organizations – for example, IATA. Previous airline scheduling knowledge <del>and/</del> or coordination experience is a prerequisite for appointment.	1 August 2019

5.3.5	WSG Strategic Review	<u>Airlines should fulfil their role in the slot monitoring process, as described in section 9 of these guidelines.</u>	1 August 2019
5.4.1	WSG Strategic Review	The airport managing body or other competent body should <del>ensure that</del> <u>attempt to reach agreement on the</u> appropriate coordination parameters <del>are agreed with</del> <u>members of the Coordination Committee and relevant stakeholders and</u> . <u>The coordination parameters should be updated twice each year – in conjunction with the IATA seasons.</u> Where airport constraints persist, the airport managing body should examine <del>its</del> <u>the</u> capacity and implement the necessary capacity enhancements to allow for a re-designation to Level 2 or Level 1 at the earliest opportunity.	1 August 2019
5.4.2	WSG Strategic Review	After consultation with the <a href="#">Coordination Committee</a> , the airport managing body or other competent body must <del>inform the coordinator of any capacity changes</del> <u>decide</u> and <del>of</del> <u>provide</u> the coordination parameters. <del>to the coordinator not later than 7 days before the Initial Submission Deadline.</del> <u>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.</u>	1 August 2019
5.4.3	WSG Strategic Review	The airport managing body or other competent body should provide relevant information to the coordinator in order to assist in applying the additional criteria for slot allocation given in 8.4.1 <del>b), c) d), e), and e f)</del> , relating to the type of service and market, competition, and requirements of the travelling public and other users.	1 August 2019
5.4.4	WSG Strategic Review	<u>The airport managing body should fulfil its role in the slot monitoring process, as described in section 9 of these guidelines.</u>	1 August 2019
5.5.1 b	WSG Strategic Review	Make available to <del>interested parties</del> <u>relevant stakeholders</u> 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.	1 August 2019

5.5.1 f	WSG Strategic Review	<p><del>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.</del></p> <p><u>Perform slot monitoring, as described in section 9 of these guidelines.</u></p>	1 August 2019
5.6.1	WSG Strategic Review	<p>The <u>Coordination Committee</u> 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. <u>Sub-groups of the Coordination Committee, such as a Slot Performance Committee, can be used to focus on specific functions of the Coordination Committee, or topics of topical relevance.</u></p>	1 August 2019

<p>5.6.2</p>	<p><b>WSG Strategic Review</b></p>	<p><u>The principal tasks of the Coordination Committee are to:</u></p> <ul style="list-style-type: none"> <li>a) <u>Advise on the possibilities of adjusting the capacity of the airport;</u></li> <li>b) <u>Provide a body to which airport capacity providers (such as ANSPs or airport managing bodies) should communicate the methods used for determining coordination parameters;</u></li> <li>c) <u>Consult on capacity and coordination parameters, on which slot allocation are based;</u></li> <li>d) <u>Advise on ways of achieving a better utilization of the capacity available;</u></li> <li>e) <u>Mediate in case of complaints from airlines or other aircraft operators related to slot allocation or slot monitoring which cannot be resolved between the airline or other aircraft operator and the coordinator in a mutually agreeable way;</u></li> <li>f) <u>Consider any problems related to transparency or sharing of data;</u></li> <li>g) <u>Consider any serious problems for new entrants at the airport concerned;</u></li> <li>h) <u>Oversee the activities of the sub-groups of the Coordination Committee, such as a Slot Performance Committee, where these exist;</u></li> <li>i) <u>Advise the coordinator on methods and parameters of slot monitoring, where a Slot Performance Committee does not exist;</u></li> <li>j) <u>Advise on local guidelines for coordination and communicate matters related to local guidelines to its members;</u></li> <li>k) <u>Review development projects that are being undertaken at the airport that may impact coordination parameters and communicate (alongside other channels such as Airport Operator Committees) on such projects; and</u></li> <li>l) <u>Liaise and consult with other entities, such as Civil Aviation Authorities, governments, or regulators, to the extent that such entities are involved in the setting of coordination parameters.</u></li> </ul>	<p><b>1 August 2019</b></p>
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<b>5.6.3</b>	<b>WSG Strategic Review</b>	<p>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, <u>and representatives of general/business aviation (where relevant). Airlines and other aircraft operators willing to operate, but not yet operating, at the airport can attend the meetings of the Coordination Committee as observers. The representatives shall have the adequate knowledge, expertise, and mandates to serve on the Coordination Committee. Preferably, the composition is tailored to the specific items to be discussed, and in most cases a registered delegate who attends the IATA Slot Conference is the preferred representative from their organization.</u> The coordinator attends all meetings as an observer</p>	<b>1 August 2019</b>
<b>5.6.4</b>	<b>WSG Strategic Review</b>	<p><u>The board of the Coordination Committee shall be selected periodically, for a fixed period. The chairperson (and vice-chairperson, if one exists) shall have no specific interest in any of the possible results of the functions of the Coordination Committee.</u></p>	<b>1 August 2019</b>
<b>5.6.5</b>	<b>WSG Strategic Review</b>	<p><u>It is recommended that the airport managing body appoints a secretary of the Coordination Committee who shall be responsible for the planning and minuting of meetings.</u></p>	<b>1 August 2019</b>
<b>5.6.5</b>	<b>Moved to 5.6.6</b>	<p><del>Ideally, meetings of the Coordination Committee should be conducted in English.</del></p>	<b>1 August 2019</b>
<b>5.6.6</b>	<b>WSG Strategic Review</b>	<p>Meetings of the Coordination Committee should be held <u>at least once per year, as well as when required to review the coordination parameters on a seasonal basis or when to review planned changes in policy or capacity are planned</u> which could significantly affect coordination. <u>Ideally, meetings of the Coordination Committee should be conducted in English.</u></p>	<b>1 August 2019</b>

5.6.8	WSG Strategic Review	<p><u>The Coordination Committee should establish terms of reference governing its operations. A regular review of the terms of reference is recommended to ensure they are still compliant and updated as required. Ideally, the terms of reference should address:</u></p> <ul style="list-style-type: none"> <li>a) <u>The objectives of the Coordination Committee;</u></li> <li>b) <u>Membership;</u></li> <li>c) <u>Responsibilities of the members;</u></li> <li>d) <u>Frequency of meetings;</u></li> <li>e) <u>The process for hearing complaints and addressing problems for new entrants;</u></li> <li>f) <u>Sub-groups;</u></li> <li>g) <u>The process for changing the terms of reference;</u></li> <li>h) <u>The process for dissolution of the Coordination Committee;</u></li> <li>i) <u>Whether a quorum will be required for meetings of the Coordination Committee, and if so, the process to follow if quorum is not met;</u></li> <li>j) <u>Costs and expenses; and</u></li> <li>k) <u>The language of operation of the Coordination Committee.</u></li> </ul>	1 August 2019
5.6.9	WSG Strategic Review	<p><u>The Coordination Committee will fulfil its role in the slot monitoring process, as described in section 9 of these guidelines.</u></p>	1 August 2019
6.1.1	WSG Strategic Review	<p>The airport managing body or other competent body shall ensure that a thorough demand and capacity analysis, using commonly recognized best practice methods, is regularly conducted. The analysis should be completed in a timely manner to enable an official capacity declaration for <u>coordination</u> for each IATA season. At a minimum the <del>capacity</del> analysis should be conducted whenever there are significant changes in airport infrastructure, operational practices, or patterns of demand.</p>	1 August 2019
6.1.2	WSG Strategic Review	<p>The <del>capacity</del> analysis should objectively consider the ability of the airport infrastructure to accommodate demand at applicable service levels, such as queue times, levels of congestion, and delay, while taking into account relevant airspace limitations set by local ATC authorities. This analysis should provide all relevant capacity limits of the runway(s), apron, terminal(s), and other airport facilities as deemed necessary.</p>	1 August 2019

6.2.1	<b>WSG Strategic Review</b>	<u>The airport managing body or other competent body should consult the Coordination Committee and other relevant stakeholders on the results of the capacity analysis after which the coordination parameters are declared. This should be done well in advance of each IATA season and be made available to all relevant stakeholders.</u>	<b>1 August 2019</b>
6.2.2	<b>WSG Strategic Review</b>	<u>The coordination parameters represent the maximum capacity available for allocation considering the functional limitations at the airport such as runway, apron, terminal, airspace, and environmental restrictions.</u>	<b>1 August 2019</b>
6.2.3	<b>WSG Strategic Review</b>	<u>Coordination parameters establish the scheduling limits that can be coordinated or facilitated in a specified period of time.</u>	<b>1 August 2019</b>
6.2.4	<b>WSG Strategic Review</b>	<u>Coordination parameters should be reviewed by the Coordination Committee and other relevant stakeholders prior to making any changes.</u>	<b>1 August 2019</b>
6.2.5	<b>WSG Strategic Review</b>	<u>Coordination parameters should be provided to the coordinator or facilitator as soon as they are declared but not later than 7 days before the Initial Submission Deadline.</u>	<b>1 August 2019</b>
6.3.3 b	<b>WSG Strategic Review</b>	All interested <del>parties</del> <u>relevant stakeholders</u> have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.	<b>1 August 2019</b>
6.4.1 a	<b>WSG Strategic Review</b>	<del>Demand</del> <u>There is a risk that demand</u> for airport infrastructure <u>may</u> significantly exceed the airport's capacity during the relevant period;	<b>1 August 2019</b>
6.4.3	<b>WSG Strategic Review</b>	A change in level should only occur after the responsible authority has ensured that: <ul style="list-style-type: none"> <li>a) A full and thorough demand and capacity analysis has been undertaken, assessing the factors specified in 6.3 4.1; and</li> <li>b) All interested <del>parties</del> <u>relevant stakeholders</u> have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.</li> </ul>	<b>1 August 2019</b>
6.6.1 b	<b>WSG Strategic Review</b>	All interested <del>parties</del> <u>relevant stakeholders</u> have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.	<b>1 August 2019</b>

6.6.2	Editorial	IATA—Management monitors all coordinated airports to identify opportunities to reduce the number of coordinated airports	1 August 2019
6.6.3	Editorial	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.	1 August 2019
6.7.1	Editorial	The responsible authority may, in exceptional circumstances, provide for an airport to be designated 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, <u>the Olympics, or the World Cup, etc.</u> ) or a temporary reduction in capacity, resulting in a significant imbalance between demand and capacity at the airport.	1 August 2019
6.8.1	WSG Strategic Review	When a change in level is decided, the responsible authority must ensure that all <del>interested parties (airlines, airport managing body, governments</del> <u>relevant stakeholders and IATA</u> are notified of the decision to change the level of the airport. <del>In any event, notification</del> <u>Notification</u> 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.	1 August 2019
6.9.1	WSG Strategic Review	The coordination parameters are reviewed twice each year by <u>relevant</u> stakeholders, normally at meetings of the <u>Coordination Committee</u> or an equivalent representative body. This review must occur in <del>good time so that</del> <u>a timely manner to allow the declaration of coordination parameters can be made at least well in advance of each IATA season but no later than 7 days</u> before the Initial Submission Deadline <del>for each SC</del> .	1 August 2019

6.10.1	WSG Strategic Review	<p><del>A</del> <u>If a planned capacity reduction in capacity from is unavoidable the previous equivalent season should be avoided wherever possible. The Coordination Committee and airlines operating at must be consulted during the airport must be consulted decision process and</u> as soon as possible before any reduction of capacity occurs. In <del>any case</del> <u>all cases</u>, airlines' historic slots must be honored. The coordinator, or other competent body, must communicate the capacity change to all <del>interested parties at least</del> <u>relevant stakeholders well in advance of each IATA season but not later than 7 days before the Initial Submission Deadline for the SC.</u></p>	1 August 2019
6.10.2	WSG Strategic Review	<p><u>Unplanned capacity reductions may occur which are impossible to discuss in advance with the Coordination Committee. If the reduction is ongoing, however, the Coordination Committee must be consulted as soon as possible regarding the impact of the ongoing reduction on future operations. In all cases, airlines' historic slots must be honored.</u></p>	1 August 2019
6.10.3	WSG Strategic Review	<p>A capacity reduction after the Initial Submission Deadline, or a <u>capacity</u> reduction <del>to a level that cannot accommodate established</del> historic slots must be avoided <u>except</u> in <del>all but the most</del> exceptional circumstances.</p>	1 August 2019
7.1.1 g	WSG Strategic Review	<p>Planned operating times are based on the planned on-block (arrival) and off-block (departure) times. <del>Actual times of arrival and departure may vary due to operational factors.</del></p>	1 August 2019
7.3.5	Editorial	<p>Airlines may ask the facilitator to keep their required timings on the waitlist rather than immediately refuse a schedule adjustment. The facilitator must maintain a waitlist of all outstanding requirements and should try to satisfy outstanding requests as soon as possible using the priorities <del>outline</del> <u>outlined</u> in 7.2.1.</p>	1 August 2019
7.5.2	WSG Strategic Review	<p>In particular, flights that an airline does not intend to operate should be returned in accordance with the <u>Calendar of Coordination Activities</u>, by the <del>deadline of 15 January (summer) and 15 August (winter).</del> <u>Series Return Deadline.</u></p>	1 August 2019
8.1.1 I	WSG Strategic Review	<p>Slot times are based on the planned on-block (arrival) and off-block (departure) times. <del>Actual times of arrival and departure may vary due to operational factors.</del></p>	1 August 2019

8.1.1 n	WSG Strategic Review	<u>Monitoring of the use of allocated slots should be performed in a timely manner by the coordinator at a Level 3 airport.</u>	1 August 2019
8.2.1	Editorial	Coordinators should allocate the declared capacity based on the following broad priority order: 1) A series of scheduled services; 2) Ad hoc services; <u>and</u> 3) Other operations.	1 August 2019
8.3.1	WSG Strategic Review	When developing a slot allocation plan for the SC based on initial submissions by airlines, coordinators should, <u>in accordance with the coordination parameters</u> , apply the following priorities	Effective starting with the coordination of the Winter 2020/2021 season
8.3.2.1	WSG Strategic Review	<del>The first priority of slot allocation is historic slots.</del>	Effective starting with the coordination of the Winter 2020/2021 season
8.3.3	WSG Strategic Review	<del>Changes to Historic Slots</del>	Effective starting with the coordination of the Winter 2020/2021 season
8.3.3.1	WSG Strategic Review	<del>Changes to a historic slot should have priority over new requests for the same slot within the capacity available.</del>	Effective starting with the coordination of the Winter 2020/2021 season

8.3.2.1	WSG Strategic Review	<p><u>The first priority of slot allocation is historic slots requested as unchanged or with changes that do not impact the coordination parameters (for example, a change in flight number). These slot requests are referred to herein as unchanged historic slots. For changes to historic slots that impact the coordination parameters (for example, a change in timing), airlines and other aircraft operators should clearly indicate the range of flexibility they are prepared to accept (if any) using the appropriate industry codes and format in their submission. For any requested changes that cannot be allocated within the applicable flexibility range, the coordinator should reallocate the unchanged historic slots to the airline or other aircraft operator concerned.</u></p>	<p style="text-align: center;">Effective starting with the coordination of the Winter 2020/2021 season</p>
8.3.3.1	WSG Strategic Review	<p>Once historic slots and changes to <u>unchanged</u> historic slots have been allocated, the coordinator will establish a slot pool, including any newly created slots.</p>	<p style="text-align: center;">Effective starting with the coordination of the Winter 2020/2021 season</p>
8.3.3.2	WSG Strategic Review	<p><u>The coordinator will treat new entrant requests, non-new-entrant requests, and requests for changes to historic slots holistically and fairly across the day, using primary and, if necessary, additional criteria for initial slot allocation set forth in these guidelines.</u></p>	<p style="text-align: center;">Effective starting with the coordination of the Winter 2020/2021 season</p>
8.3.3.3	WSG Strategic Review	<p><del>50% of the slots contained in the pool at initial slot allocation must be allocated to new entrants, unless entrant requests by in accordance with 8.3.4 below, unless new entrants entrant requests are less than 50%. The coordinator will treat requests Similarly, 50% of new entrants and other airlines fairly, in accordance with the coordination parameters across slots contained in the day. pool at initial slot allocation must be allocated to non-new-entrant requests, unless such requests are less than 50%.</del></p>	<p style="text-align: center;">Effective starting with the coordination of the Winter 2020/2021 season</p>
8.3.3.4	WSG Strategic Review	<p><u>Where this 50/50 balance is not achievable in a single season (for example, where there is a very limited number of slots available in the pool), the coordinator should correct this imbalance over the next equivalent season (or seasons, if that is not possible) to ensure that the pool is allocated equitably to both new entrants and non-new-entrants.</u></p>	<p style="text-align: center;">Effective starting with the coordination of the Winter 2020/2021 season</p>

8.3.4.1	WSG Strategic Review	<u>Only airlines are eligible for new entrant status.</u>	Effective starting with the coordination of the Winter 2020/2021 season
8.3.4.2	WSG Strategic Review	<del>Slots available in the pool are allocated to airlines requesting a slot, using the criteria set out in 8.3.5, 8.3.6 and 8.4 below.</del>	Effective starting with the coordination of the Winter 2020/2021 season
8.3.5.1	WSG Strategic Review	Within each category ( <u>new entrant requests, non-new-entrant requests, and requests for changes to historic slots, allocations to new entrants and other allocations from the slot pool</u> ), a request to extend an existing operation to operate on a year-round basis should have priority over a new slot request.	Effective starting with the coordination of the Winter 2020/2021 season
8.3.5.3	WSG Strategic Review	<del>In allocating slots among new entrants, the priority for Year Round Operations (8.3.6) and the Additional Criteria for Slot Allocation (8.4) will apply.</del>	Effective starting with the coordination of the Winter 2020/2021 season

<p><b>8.4.1</b></p>	<p><b>WSG Strategic Review</b></p>	<p>When slots cannot be allocated using the primary criteria as set out in 8.3 above, consideration should be given to the following factors <u>(in no particular order)</u>:</p> <ul style="list-style-type: none"> <li>a) <b>Effective Period of Operation:</b> The schedule that will be effective for a longer period of operation in the same season should have priority.</li> <li><del>b) <b>Type of Service and Market:</b> 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.</del></li> <li><del>c) <b>Competition:</b> Coordinators should try to ensure that due account is taken of competitive factors in the allocation of available slots.</del></li> <li>b) <b>Curfews:</b> <u>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.</u></li> <li>c) <b>Time Spent on Waitlist:</b> <u>Requests that have been pending on the waitlist should have priority over more recent requests.</u></li> <li>d) <b>Type of Service and Market:</b> <u>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.</u></li> <li>e) <b>Competition:</b> <u>Coordinators should try to ensure that due account is taken of competitive factors in the allocation of available slots.</u></li> <li>f) <b>Requirements of the Travelling Public and Other Users:</b> Coordinators should try to ensure that the needs of the travelling public and shippers are met as far as possible.</li> <li>g) <b>Frequency of Operation:</b> Higher frequency such as more flights per week should not in itself imply higher priority for slot allocation.</li> <li>h) <b>Local Guidelines:</b> The coordinator must take local guidelines into account should they exist. Such guidelines should be approved by the</li> </ul>	<p><b>1 August 2019</b></p>
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		Coordination Committee or its equivalent.	
8.5.3	WSG Strategic Review	In particular, flights that an airline does not intend to operate should be returned in accordance with the <a href="#">Calendar of Coordination Activities</a> , by the <del>deadline of 15 January (summer) and 15 August (winter).</del> <u>Series Return Deadline.</u>	1 August 2019
8.5.4	WSG Strategic Review	Airlines that intentionally return series of slots after the <del>Slot Series</del> Return Deadline will receive a lower priority by the coordinator during the Initial Coordination of the next equivalent season.	1 August 2019
8.5.5	WSG Strategic Review	A list of airlines that return series of slots after the <del>Slot Series</del> Return Deadline will be maintained and published by the coordinator.	1 August 2019
8.7.1 i	WSG Strategic Review	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 <u>but must be submitted to the coordinator for confirmation as per 8.10.</u> 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.	1 August 2019
8.9	WSG Strategic Review	<del><b>INTENTIONAL MISUSE OF SLOTS</b></del>	1 August 2019
8.10.2	WSG Strategic Review	<del><b>Operational Factors:</b> 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.</del>	1 August 2019
8.11.3	WSG Strategic Review	Airlines engaging in slot swaps must notify the coordinator of every swap. The coordinator will confirm the feasibility of each swap and amend its database. If the swap involves compensation or consideration, the following details will be made available to <del>interested parties</del> <u>relevant stakeholders</u> if requested and published on the <del>coordinators</del> <u>coordinator's</u> website for transparency purposes only:	1 August 2019
8.12.1	WSG Strategic Review	Slot transfers between airlines, whether <u>or not</u> for compensation or consideration, <del>or not,</del> 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.	1 August 2019

8.12.3	<b>WSG Strategic Review</b>	<p>Airlines engaging in a slot 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 relevant stakeholders, if requested and published on the coordinators coordinator's website for transparency purposes only:</p> <ul style="list-style-type: none"> <li>a) The names of the airlines involved;</li> <li>b) The slot times transferred; and</li> <li>c) The period of the transfer (for example, period of operation, seasons, permanent/temporary, etc.).</li> </ul>	<b>1 August 2019</b>
8.13.3	<b>WSG Strategic Review</b>	<p>Under a shared operation, the original slot holder retains historic precedence, not the operator of the slots. The slot holder is responsible for <del>Initial Submissions</del> <u>initial submissions</u> and typically retains control of the slots until the <del>Slot Series</del> <u>Slot Series</u> Return Deadline.</p>	<b>1 August 2019</b>
8.13.4	<b>WSG Strategic Review</b>	<p>Day-to-day management of the slots (the authority to amend and cancel slots on an ad hoc basis) after the <del>Slot Series</del> <u>Slot Series</u> Return Deadline should be agreed between the airlines concerned and the coordinator but will typically transfer to the operating airline.</p>	<b>1 August 2019</b>
8.16.3	<b>WSG Strategic Review</b>	<p>The status of the airline's operating license and/or traffic rights should be reviewed with the coordinator by the <del>Slot Series</del> <u>Slot Series</u> Return Deadline <del>of 15 January (summer) or 15 August (winter),</del>, or at a later date agreed with the coordinator.</p>	<b>1 August 2019</b>

<p>9.1</p>	<p>WSG Strategic Review</p>	<p><b><u>WHAT IS SLOT MONITORING?</u></b></p> <p>9.1.1. <u>Slot monitoring is the continuous process of reconciling the operations of airlines and other aircraft operators to the slots allocated by the coordinator at a Level 3 airport. This is one of the methods available to ensure the most efficient use of airport infrastructure.</u></p> <p>9.1.2. <u>There are two phases of slot monitoring: pre-operation and post-operation analysis.</u></p> <p>a) <u>Pre-operation analysis is a recommended process that will help identify and prevent potential slot misuse prior to the day of operation.</u></p> <p>b) <u>Post-operation analysis will help determine whether misuse of slots has occurred and whether airlines achieve historic precedence for the following equivalent season.</u></p> <p>9.1.3. <b><u>Role of the Airline or Other Aircraft Operator:</u></b> <u>Airlines and other aircraft operators must ensure that their operations at a Level 3 airport are in accordance with the slots allocated to them, and that the necessary slot adjustments are requested in a timely manner. They should also review their own performance and identify corrective actions where necessary, prior to intervention from coordinators. When the coordinator notifies the airline or other aircraft operator of potential misuse, the airline or other aircraft operator must respond in a timely manner and, if appropriate, take corrective action as soon as is practicable.</u></p> <p>9.1.4. <b><u>Role of the Airport Managing Body:</u></b> <u>The airport managing body shall provide, in a timely manner, all of the information and data necessary for the coordinator to perform required slot monitoring duties. It should also monitor the overall performance of the airport and should</u></p>	<p>Effective starting with the coordination of the Winter 2019/2020 season</p>
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		<p>9.1.5. <u>highlight any potential misuse of slots to the coordinator.</u></p> <p>9.1.5. <b><u>Role of the Coordinator:</u></b> <u>Coordinators shall perform slot monitoring, warn of discrepancies and request corrective actions, and record misuse of slots. Only coordinators shall communicate apparent misuse of slots to airlines and other aircraft operators. Coordinators shall also share relevant information with the airport managing body, as well as with all other stakeholders (ideally through the Slot Performance Committee).</u></p> <p>9.1.6. <b><u>Role of the Coordination Committee:</u></b> <u>The Coordination Committee may advise the coordinator on matters relating to the monitoring and misuse of slots. A Slot Performance Committee, a possible sub-group of the Coordination Committee, may be established to perform this role. This is discussed in more detail below.</u></p>	<p><b>Effective starting with the coordination of the Winter 2019/2020 season</b></p>
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<p>9.2</p>	<p>WSG Strategic Review</p>	<p><b><u>KEY PRINCIPLES OF SLOT MONITORING</u></b></p> <p><u>9.2.1 The key principles of slot monitoring are as follows:</u></p> <ul style="list-style-type: none"> <li>a) <u>Slot monitoring is intended to:</u> <ul style="list-style-type: none"> <li>i. <u>Ensure that operations at a Level 3 airport are in accordance with the slots as allocated;</u></li> <li>ii. <u>Ensure that slots are used in line with the Use It or Lose It rule;</u></li> <li>iii. <u>Help ensure scarce capacity is not wasted;</u></li> <li>iv. <u>Help ensure the smooth operation of airports for all stakeholders; and</u></li> <li>v. <u>Prevent the misuse of slots.</u></li> </ul> </li> <li>b) <u>Slot monitoring involves both pre-operation and post-operation analysis.</u></li> <li>c) <u>Slot monitoring is applicable to all types of operations that require slots at a Level 3 airport.</u></li> <li>d) <u>Slot monitoring is a continuous process which allows sufficient advance notice for corrective action to take place.</u></li> <li>e) <u>Slot monitoring requires accurate and reliable data provided – in a timely manner and in the agreed format – ideally by the airport managing body or by other relevant stakeholders as needed.</u></li> <li>f) <u>Slot times are based on the coordinated on-block (arrival) and off-block (departure) times. Actual times of arrival and departure may vary due to operational factors.</u></li> <li>g) <u>The investigation of potential misuse of slots should be based on data analysis.</u></li> <li>h) <u>Coordinators should enter into dialogue with airlines and other aircraft operators about correcting apparent misuse of slots at the earliest possible opportunity.</u></li> <li>i) <u>Continued slot misuse after dialogue with the coordinator may result in enforcement actions as described in this section.</u></li> <li>j) <u>Coordinators may consult relevant stakeholders (such as the Coordination Committee, Slot Performance Committee, the</u></li> </ul>	<p>Effective starting with the coordination of the Winter 2019/2020 season</p>
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		<p><u>airport managing body, or air traffic control) to review the findings of slot monitoring.</u></p> <p>k) <u>The Slot Performance Committee may also provide advice to the relevant stakeholder regarding actions which may be taken to improve airport performance where sanctions or other enforcement measures are not applicable.</u></p> <p>l) <u>Certain types of ad hoc flights may be subject to special local slot monitoring procedures.</u></p> <p><b>9.2.2 Misuse of Slots:</b> <u>The following actions are deemed a misuse of slots:</u></p> <p>a) <u>Operating at a Level 3 airport without an allocated slot;</u></p> <p>b) <u>Operating a flight at a significantly different time from the allocated slot.</u></p> <p>c) <u>Operating a flight in a significantly different way to the allocated slot – including a different service type, aircraft subtype, aircraft capacity, or origin/destination – without the prior confirmation of the coordinator as set out in 8.10;</u></p> <p>d) <u>Holding slots that the airline or other aircraft operator does not intend to operate, transfer, swap, or use in a shared operation;</u></p> <p>e) <u>Holding slots for an operation other than that planned for the purpose of denying capacity to another airline or aircraft operator;</u></p> <p>f) <u>Requesting new slots that the airline or other aircraft operator does not intend to operate;</u></p> <p>g) <u>Requesting slots for an operation other than that indicated, with the intention of gaining improved priority; or</u></p> <p>h) <u>Where applicable, operating in curfew or another restricted operations period without holding an allocated slot for that period.</u></p> <p><b>9.2.3</b> <u>In some instances, operational disruption or legitimate changes of plans may appear to be slot misuse. Communication between the coordinator and the airline or other aircraft operator is vital to understand the reasons for potential misuse.</u></p>	<p><b>Effective starting with the coordination of the Winter 2019/2020 season</b></p>
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<p>9.3</p>	<p><b>WSG Strategic Review</b></p>	<p><b><u>PRE-OPERATION ANALYSIS</u></b></p> <p><u>9.3.1. Coordinators may seek to prevent slot misuse by undertaking pre-operation analysis, a recommended process involving conformity checks before the day of operation.</u></p> <p><u>9.3.2. Pre-operation analysis is a continuous process that:</u></p> <ul style="list-style-type: none"> <li><u>a) Uses objective, transparent, and non-discriminatory criteria;</u></li> <li><u>b) Should be adapted to the specific needs of the airport and types of traffic involved;</u></li> <li><u>c) Should be timely and simple to calculate and administer; and</u></li> <li><u>d) Considers advice given by the Coordination Committee or Slot Performance Committee.</u></li> </ul> <p><u>9.3.3. This process requires the coordinator to have the right data in the agreed format available in a timely manner in order to complete its analysis. Airport managing bodies, airlines, and other aircraft operators shall provide the data requested by the coordinator, in the format agreed between the parties, for this purpose.</u></p> <p><u>9.3.4. Coordinators shall also check published data sources such as:</u></p> <ul style="list-style-type: none"> <li><u>a) airline or travel agency websites, global distribution systems, or tickets;</u></li> <li><u>b) airport or ground handling data from airports at each end of the route concerned; or</u></li> <li><u>c) peer comparison (i.e., the performance of other operators using similar equipment and on similar routings, giving adequate consideration for the limitations of comparisons where the equipment and routings are not identical).</u></li> </ul> <p><u>9.3.5. When the coordinator identifies a discrepancy between the published data and the allocated slot, the coordinator should communicate this to the airline or other aircraft operator to allow it to take corrective actions to avoid possible slot misuse.</u></p> <p><u>9.3.6. Despite the pre-operation analysis process, the responsibility to avoid slot misuse remains with the airline or other aircraft operator. The pre-operation analysis process is not a prerequisite for a coordinator to take action for potential slot misuse as part of the post-operation analysis, below.</u></p>	<p><b>Effective starting with the coordination of the Winter 2019/2020 season</b></p>
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<p>9.4</p>	<p><b>WSG Strategic Review</b></p>	<p><b><u>POST-OPERATION ANALYSIS</u></b></p> <p><b><u>9.4.1. Data Comparison</u></b></p> <p><u>9.4.1.1 The airport managing body shall provide to the coordinator a list of flown operations, in a timely manner and in the agreed format. The data supplied should include the scheduled time, the actual on/off block times, the flight number, destination, aircraft type, service type, number of seats, and any other necessary data requested by the coordinator.</u></p> <p><u>9.4.1.2 Where actual on/off block time data is unavailable, landing and take-off times shall be provided by the airport managing body, with a recommended taxi time adjustment as an estimate for the on/off block times. Variations in taxi times may affect the accuracy of the matching process, and caution must be used when not using actual on/off block times.</u></p> <p><u>9.4.1.3 The coordinator shall match the actual operations to the allocated slots, creating a matched data set. This process should be done on a regular basis throughout the season.</u></p> <p><u>9.4.1.4 The coordinator may use similar additional data sources to identify potential slot misuse, such as ATC flight plans.</u></p> <p><u>9.4.1.5 Flights operated in accordance with the allocated slots will be credited towards the granting of historic precedence.</u></p> <p><u>9.4.1.6 Discrepancies detected in the matched data set will then be investigated as part of the slot performance process.</u></p> <p><b><u>9.4.2. Slot Performance Process</u></b></p> <p><u>9.4.2.1 The coordinator should then analyse the discrepancies in the matched data set created under the data comparison process to identify potential slot misuse.</u></p> <p><u>9.4.2.2 Coordinators should rely on data analysis to demonstrate potential slot misuse with the aim of targeting only the most obvious and impactful cases of potential slot misuse for further action. Best practice guidelines on the use of data analysis in the slot performance process may be found in Annex 11.8</u></p> <p><u>9.4.2.3 Where potential slot misuse is identified, the coordinator should then enter into coordinator-airline dialogue.</u></p> <p><u>9.4.2.4 The coordinator should avoid seeking unnecessary explanations regarding minor operational deviations. In analysing whether the deviation represents potential misuse, the coordinator should consider, for example:</u></p>	<p><b>Effective starting with the coordination of the Winter 2019/2020 season</b></p>
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	<p>a) <u>whether the deviation is a result of an obvious operational disruption (for example, known events of extreme weather, or strikes);</u></p> <p>b) <u>whether the deviation is within a reasonable tolerance, indicating normal operational variability rather than potential slot misuse; and</u></p> <p>c) <u>whether the deviation is part of a pattern of repeated off-slot operations, departing from normal operational variability.</u></p> <p><b>9.4.3. Coordinator-Airline Dialogue</b></p> <p>9.4.3.1 <u>Having identified evidence of potential slot misuse, the coordinator should then contact the airline or other aircraft operator concerned, in writing. This message should request an explanation for the discrepancy and any proposed corrective action the airline or other aircraft operator plans to take. A reasonable deadline for response must be given, and all dialogue with the airline must conclude before the Agreed Historics Deadline for the subsequent equivalent season.</u></p> <p>9.4.3.2 <u>Coordinators should try to identify slot performance issues as soon as possible and contact the airline or other aircraft operator concerned in a timely manner, giving it the opportunity to take corrective action during the current season.</u></p> <p>9.4.3.3 <u>If an adequate explanation is provided or appropriate corrective action is taken by the airline or other aircraft operator, the coordinator should continue to monitor the situation. Where appropriate, the coordinator should also notify the airport managing body of the corrective action taken by the airline or other aircraft operator.</u></p> <p>9.4.3.4 <u>If the airline or other aircraft operator does not respond by the deadline provided or provides inadequate explanation, or if the proposed corrective action is insufficient, the coordinator may next consider appropriate enforcement action.</u></p> <p><b>9.4.4. Enforcement Action</b></p> <p>9.4.4.1 <u>If the airline-coordinator dialogue process is unsuccessful, enforcement action shall be considered for intentional or repeated slot misuse. When deciding whether to pursue any enforcement action, in accordance with these guidelines and applicable law, the coordinator should consider whether the slot misuse was:</u></p> <p>a) <u>following a warning issued as part of the pre-operation analysis process;</u></p> <p>b) <u>a first occurrence or part of a pattern of misuse;</u></p> <p>c) <u>part of a series of slots or an ad hoc operation;</u> or</p>	<p style="text-align: center;"><b>Effective starting with the coordination of the Winter 2019/2020 season</b></p>
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	<p><u>d) likely to impact the airport, ATC operations, or other airlines</u></p> <p><u>9.4.4.2 Enforcement actions for intentional or repeated slot misuse may include:</u></p> <p><u>a) Referral of the matter to the airport's Coordination Committee or other competent body;</u></p> <p><u>b) Loss of historic precedence for the series of slots involved in the next equivalent season;</u></p> <p><u>c) A lower priority for that airline for new future slot requests in the next equivalent season;</u></p> <p><u>d) Withdrawal of the series of slots involved for the remaining portion of the current season; or</u></p> <p><u>e) Sanctions (including financial sanctions) under applicable law.</u></p> <p><u>9.4.4.3 There are circumstances where slot misuse is initially not deemed intentional but may become intentional during the season if the airline or other aircraft operator concerned does not take effective corrective actions following correspondence with the coordinator.</u></p> <p><u>9.4.4.4 Coordinators should communicate any actions taken by them against airlines or other aircraft operators to the airport managing body and other stakeholders (ideally through the Slot Performance Committee).</u></p>	<p><b>Effective starting with the coordination of the Winter 2019/2020 season</b></p>
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<p>9.5</p>	<p>WSG Strategic Review</p>	<p><b><u>THE COORDINATION COMMITTEE AND SLOT MONITORING</u></b></p> <p><b><u>9.5.1. The Coordination Committee</u></b></p> <p><u>9.5.1.1 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. Sub-groups of the Coordination Committee, such as a Slot Performance Committee, can be used to focus on specific functions of the Coordination Committee, or specific relevant topics.</u></p> <p><u>9.5.1.2 Certain tasks of the Coordination Committee relate to slot monitoring. These are to:</u></p> <p><u>a) Mediate in case of complaints from airlines or other aircraft operators related to slot allocation or slot monitoring which cannot be resolved between the airline or other aircraft operator and the coordinator in a mutually agreeable way;</u></p> <p><u>b) Oversee the activities of the sub-groups of the Coordination Committee, such as a Slot Performance Committee, where these exist; and</u></p> <p><u>c) Advise the coordinator on methods of slot monitoring, where a Slot Performance Committee does not exist.</u></p> <p><b><u>9.5.2. The Slot Performance Committee</u></b></p> <p><u>9.5.2.1 A Slot Performance Committee should be established as a possible sub-group of the Coordination Committee at Level 3 airports. The role of the Slot Performance Committee shall be performed by the Coordination Committee if a Slot Performance Committee is not established.</u></p> <p><u>9.5.2.2 The Slot Performance Committee's objective is to advise the coordinator on any slot monitoring issues, with the objective of improving punctuality and reducing slot misuse. The Slot Performance Committee shall also guarantee a fair judgment of potential slot misuse.</u></p> <p><u>9.5.2.3 The principal tasks of the Slot Performance Committee are to:</u></p> <p><u>a) Determine trends that could lead to potential slot misuse at the airport, and where appropriate recommend corrective actions;</u></p> <p><u>b) Identify and set goals within the Slot Performance Committee to address these trends, in order to enhance the performance and effective utilization of available airport capacity;</u></p> <p><u>c) Provide guidance and advice to the coordinator on any matters related to slot misuse;</u></p> <p><u>d) Establish, if required, a working group or other dispute resolution mechanism to mediate between the</u></p>	<p>Effective starting with the coordination of the Winter 2019/2020 season</p>
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	<p><u>coordinator and an airline or aircraft operator where differences of interpretation on slot misuse exist; and</u></p> <p><u>e) Subject to applicable law, to make available upon request any information disclosed within the Slot Performance Committee to all airlines and other aircraft operators using the airport, and to permit their representatives as observers to Slot Performance Committee meetings.</u></p> <p><u>The Slot Performance Committee does not replace the function of slot monitoring activities performed by the coordinator.</u></p> <p><u>9.5.2.4 Only matters related to slot performance may be discussed during Slot Performance Committee meetings, and due consideration should be given to applicable competition laws (following consultation with legal counsel, if necessary). Attendees should not divulge any competitively sensitive information at such meetings. By way of non-exhaustive example, attendees should not share information regarding pricing, costs, route schedules, route changes, aircraft capacity, use of a particular aircraft type or a particular aircraft on a route, or any information regarding an airline's commercial strategy. To the extent that an airline or other aircraft operator facing a hearing needs to convey such information to the coordinator, the other attendees should be warned at the beginning of the hearing so that arrangements can be made for any other attendees present to leave the meeting while such matters are discussed.</u></p> <p><u>9.5.2.5 Membership of the Slot Performance Committee should include (but not necessarily be limited to):</u></p> <p><u>a) The airport managing body;</u></p> <p><u>b) Representatives with scheduling expertise from two or three airlines or other aircraft operators that best represent the traffic mix at the airport, to be selected by the airlines or other aircraft operators serving the airport;</u></p> <p><u>c) The coordinator, as an advisor; and</u></p> <p><u>d) An ATC representative.</u></p> <p><u>9.5.2.6 The members of the Slot Performance Committee need not be members of the Coordination Committee. Members of the Slot Performance Committee shall have the necessary knowledge, expertise, and mandates to serve on the Slot Performance Committee and to actively contribute to its discussions.</u></p> <p><u>9.5.2.7 The chairperson (and vice-chairperson, if any) and secretary of the Slot Performance Committee should be appointed by the airport managing body.</u></p> <p><u>9.5.2.8 Meetings of the Slot Performance Committee shall be held as required, typically on a quarterly basis.</u></p>	<p><b>Effective starting with the coordination of the Winter 2019/2020 season</b></p>
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10.3.1	WSG Strategic Review	The coordination parameters <del>should</del> <u>must</u> be provided by the airport managing body or other competent body to the coordinator or facilitator <u>at least well in advance of each IATA season but no later than 7 days before the Initial Submission Deadline for each SC.</u>	1 August 2019
10.3.2	WSG Strategic Review	<p>Coordinators and facilitators must make the following information available <del>to the airport managing body and</del> to all airlines operating or planning to operate at the airports they coordinate:</p> <p>a) The coordination parameters for the next season, <u>for including all constrained components of an airport's infrastructure, functional limitations at the airport such as runways, taxiways, aircraft parking stands, gates runway, terminal capacity (check-in, security, baggage reclaim, etc.), airspace, and environmental constraints (for example, night restrictions and</u></p> <p>b) The actual utilization of declared capacity <u>and how full or close to full the airport is on using a typical busy week of the most recent summer and winter seasons. previous equivalent season.</u> This data should be <del>as detailed as possible to illustrate in graphic form the</del> <u>detailed</u> schedule limitations at the airport for each coordination parameter <u>and indicate which hours may or may not be congested or full. indicating where capacity is full or available.</u></p>	1 August 2019
10.3.4	WSG Strategic Review	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 <del>Initial Submissions</del> <u>initial submissions</u> . Airlines are also encouraged to inform the airport managing body, where appropriate.	1 August 2019
10.4.6	WSG Strategic Review	Facilitators of Level 2 airports may, upon request or by bilateral agreement, provide a list of flights operated on a regular basis during the previous equivalent season to aid airlines in making their <del>Initial Submissions</del> <u>initial submissions</u> . The SHL message format may be used for this purpose.	1 August 2019

<p>10.6</p>	<p>WSG Strategic Review</p>	<p><b><u>COMMUNICATION OF BUSINESS PLANS BETWEEN AIRLINES, AIRPORT MANAGING BODY, AND COORDINATOR</u></b></p> <p>10.6.1 In addition to formally applying for slots at a Level 3 airport, each airline should also have the opportunity to explain to the coordinator its operational constraints, business priorities, and plan for that airport, to assist the coordinator in obtaining a holistic view of the airline’s slot requests. In return, the coordinator may give the airline advice with respect to how the available capacity and potential allocation of slots may impact its plans. This opportunity should occur before the Initial Submission Deadline. The information provided to the coordinator by the airline might include confidential information and therefore the coordinator shall not share that information to any other party, unless specifically authorized by the airline.</p> <p>10.6.2 Likewise, the airport managing body of any Level 3 airport should also have the opportunity to explain to the coordinator the business and expansion plans of its airport, to assist the coordinator in obtaining a holistic view of how the available capacity may be allocated and impact these plans. This opportunity should occur before the Initial Submission Deadline. The details of the business plan conveyed to the coordinator by the airport managing body might include confidential information and therefore the coordinator shall not share that information with any other party, unless specifically authorized by the airport managing body.</p> <p>10.6.3 This exchange of information is solely to assist the coordinator in understanding the impact of allocation on the various business plans of airlines and the airport managing body and must be done without compromising the independence of the coordinator. All discussions should in principle take place prior to initial coordination, to allow the coordinator to complete this task without distraction or influence. The coordinator must continue to apply the primary and secondary criteria of 8.3 and 8.4 in a neutral, transparent, and non-discriminatory manner. The coordinator shall not disclose the competitively sensitive information it receives from airlines or airport managing bodies with other airlines or airport managing bodies. No</p>	<p><b>1 August 2019</b></p>
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		party shall act in any way contrary to applicable competition or other laws.	
10.7.1	Editorial	Initial <del>Submissions</del> <u>submissions</u> for all Level 2 and Level 3 airports must be made by 23:59 UTC on the Initial Submission Deadline date set in the <a href="#">Calendar of Coordination Activities</a> . Airlines should submit their initial submissions as early as possible to assist the coordinators.	1 August 2019
10.7.2	Editorial	Initial <del>Submissions</del> <u>submissions</u> 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.	1 August 2019
10.7.8	Editorial	Initial <del>Submissions</del> <u>submissions</u> 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.	1 August 2019
10.8.1	Editorial	Airlines should use the appropriate SSIM Chapter 6 action codes in their <del>Initial Submissions</del> <u>initial submissions</u> to clearly communicate their intentions to coordinators and facilitators.	1 August 2019
10.8.2	Editorial	<p>10.1.1 For Level 3 airports, airlines should:</p> <ul style="list-style-type: none"> <li>a) Identify slots by type of request, (historic slots, changes to historic slots, requests for new slots, etc.);</li> <li>b) Advise the coordinator when requesting new slots as a new entrant (if applicable); <u>and</u></li> <li>c) Advise the coordinator when requesting new slots or time changes for a year-round operation.</li> </ul> <p>10.1.2 For Level 2 and Level 3 airports, airlines should:</p> <ul style="list-style-type: none"> <li>a) Indicate whether or not they can accept offers if the requested times are not available;</li> <li>b) Indicate flexibility of times by using the Timing Flexibility Identifier;</li> <li>c) Indicate minimum and maximum turnaround times and any other such constraints; and</li> <li>d) Advise whether they are constrained by a curfew or other operational constraint.</li> </ul>	1 August 2019

<b>10.9.1</b>	<b>Editorial</b>	It is the responsibility of each airline to ensure that its <del>Initial Submissions</del> <u>initial submissions</u> has been received by the coordinator or facilitator. Coordinators and facilitators must immediately acknowledge receipt of <del>Initial Submissions</del> <u>initial submissions</u> . Airlines must check that they have received an acknowledgement to ensure that their submission was received. If no acknowledgement is received, the airline must immediately contact the coordinator or facilitator concerned. Failure to do so may result in the airline's submission not being considered during Initial Coordination and any historic slots being allocated to other airlines.	<b>1 August 2019</b>
<b>10.9.2</b>	<b>Editorial</b>	If an airline with historic slots fails to make an <del>Initial Submissions</del> <u>initial submissions</u> or has failed to apply for some of its historic slots, 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.	<b>1 August 2019</b>
<b>10.10.2</b>	<b>Editorial</b>	The SAL should indicate any changes from the airline's <del>Initial Submissions</del> <u>initial submissions</u> necessary to keep within the airport's coordination parameters, and the reasons for any changes.	<b>1 August 2019</b>
<b>10.10.3 d</b>	<b>Editorial</b>	Coordinators and facilitators should take into account the Timing Flexibility range indicated by an airline but should not place the airline at a disadvantage for having <del>including</del> <u>included</u> this information	<b>1 August 2019</b>
<b>10.10.5</b>	<b>Editorial</b>	Airlines that do not receive a SAL message must request it from the coordinator or facilitator. Airlines should consult <a href="http://www.wvacg.org">www.wvacg.org</a> 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 <del>Management</del> .	<b>1 August 2019</b>
<b>10.10.7</b>	<b>Editorial</b>	Coordinators and facilitators must not disclose details of <del>Initial Submissions</del> <u>initial submissions</u> to any other party before the SALs are distributed for the airport.	<b>1 August 2019</b>

10.11.2	<b>WSG Strategic Review</b>	<p>10.1.3 During the post SAL period, coordinators and facilitators may enter into dialogue with any airline regarding its requirements provided the coordinator or facilitator ensures that:</p> <ul style="list-style-type: none"> <li>a) SALs have been distributed to all airlines serving the airport;</li> <li>b) data is available to all airlines as specified in 9.9 10.10.6;</li> <li>c) fair and equal treatment is provided to all airlines serving the airport; and</li> <li>d) slots are allocated in accordance with the priorities outlined in 8.3 and 8.4 and in accordance with the waitlist described in 9.14 10.15 at all times.</li> </ul>	<b>1 August 2019</b>
10.12.5	<b>Editorial</b>	<p>All airline, coordinator and facilitator delegates attending the SC must be accredited and registered in advance with the IATA Secretariat. Heads of each delegation are responsible for the timely registration and proper accreditation of their airline's delegation. The SC accreditation process can be found at <a href="http://www.iata.org/wsg">www.iata.org/wsg</a>.</p>	<b>1 August 2019</b>
10.12.6	<b>Editorial</b>	<p>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.</p>	<b>1 August 2019</b>
10.15.1	<b>WSG Strategic Review</b>	<p>Coordinators and facilitators must maintain a record of all outstanding requests and review it regularly, during and after the SC, and especially at the <del>Slot</del> <u>Series</u> Return Deadline. Coordinators and facilitators should try to satisfy outstanding requests as soon as possible using the priorities outlined in 8.3 and 8.4.</p>	<b>1 August 2019</b>
10.15.2	<b>WSG Strategic Review</b>	<p>Coordinators and facilitators should ask airlines to confirm that they wish to keep their outstanding requests on the waitlist, particularly around the <del>Slot</del> <u>Series</u> Return Deadline and before the start of each season. The coordinator or facilitator 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.</p>	<b>1 August 2019</b>

10.15.3	<b>WSG Strategic Review</b>	Requests with no slot allocated should be deleted by the coordinator after the <del>Slot Series</del> <u>Slot Series</u> Return Deadline, unless the airline asks the coordinator to retain the outstanding requests on the waitlist	<b>1 August 2019</b>
10.16.1	<b>WSG Strategic Review</b>	Airlines must return all series of slots that they do not intend to operate at a Level 3 airport no later than the <del>Slot Series</del> <u>Slot Series</u> Return Deadline <del>dates of 15 January (summer) and 15 August (winter)</del> . Airlines must also cancel any flights that they do not intend to operate at a Level 2 airport by <del>these</del> <u>this</u> deadline <del>dates</del> .	<b>1 August 2019</b>
10.16.3	<b>WSG Strategic Review</b>	Coordinators should maintain a list of airlines that return series of slots after the <del>Slot Series</del> <u>Slot Series</u> Return Deadline. This list will indicate the total number of slots held by each airline on the <del>Slot Series</del> <u>Slot Series</u> 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.	<b>1 August 2019</b>
10.17.1	<b>WSG Strategic Review</b>	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 <del>Slot Series</del> <u>Slot Series</u> Return Deadline.	<b>1 August 2019</b>
10.17.3	<b>WSG Strategic Review</b>	In some cases, the coordinator may need to consider ad hoc requests before the <del>Slot Series</del> <u>Slot Series</u> Return Deadline in order to give operators sufficient notice – for example, when a major holiday occurs at the start of a season	<b>1 August 2019</b>
10.18.3	<b>Editorial</b>	Airlines should not notify coordinators and facilitators of on-the-day equipment changes, or operational variations (for example, delayed flights <u>or</u> weather disruptions, <del>etc.</del> ) to their allocated slots.	<b>1 August 2019</b>
11	<b>WSG Strategic Review</b>	<p><u>TERMS AND ABBREVIATIONS</u></p> <p><u>Coordination Committee</u>: 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. <u>Any references to a Coordination Committee in these guidelines also apply to any sub-group that the Coordination Committee may have created to address the relevant matters.</u></p>	<b>Effective starting with the coordination of the Winter 2019/2020 season</b>

11	WSG Strategic Review	<b>Coordination Parameters:</b> <del>the operational limits of all technical, operational</del> <u>maximum capacity available for allocation at an airport considering the functional limitations at the airport such as runway, apron, terminal, airspace, and environmental factors at restrictions declared by the airport or other competent body.</u>	1 August 2019
11	WSG Strategic Review	<b>New Entrant:</b> 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 7 slots at that airport on that day. <u>In other words, an airline could schedule 3 rotations per day (3 arrivals and 3 departures, requiring 6 slots) as a new entrant.</u>	Effective starting with the coordination of the Winter 2020/2021 season
11	WSG Strategic Review	<b>Series Return Deadline:</b> <u>the date by which airlines must return series of slot that they do not intend to operate, as set out in the Calendar of Coordination Activities.</u>	1 August 2019
11	WSG Strategic Review	<b>Slot Performance Committee:</b> a <u>possible sub-committee group</u> of the Coordination Committee formed to advise the coordinator on <u>methods of slot monitoring issues</u> , with the objective of improving punctuality and combating slot misuse. <u>If a Slot Performance Committee has not been created, the references in these guidelines to a Slot Performance Committee shall instead apply to the relevant Coordination Committee.</u>	Effective starting with the coordination of the Winter 2019/2020 season
11	WSG Strategic Review	<b>Slot Pool (or Pool):</b> the slots available at a Level 3 airport <u>at initial allocation</u> after <del>historic slots and changes to</del> <u>unchanged</u> historic slots are allocated, including any newly created slots.	Effective starting with the coordination of the Winter 2020/2021 season
11	WSG Strategic Review	<del><b>Slot Return Deadline:</b> 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).</del>	1 August 2019

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## **PART 1: POLICY**

### **1 INTRODUCTION TO AIRPORT COORDINATION**

#### **1.1 WHAT IS AIRPORT COORDINATION?**

1.1.2 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.

1.1.3 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 RELEVANT 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 schedule adjustments mutually agreed between the airlines and facilitator. 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 the declared capacity.

## **1.5 HOW ARE AIRPORTS DESIGNATED?**

- 1.5.1 Airports are designated following a thorough demand and capacity analysis, using commonly recognized best practice methods by the airport managing body or other competent body. The analysis should be completed in a timely manner to enable an official capacity declaration (the maximum capacity available for allocation considering the functional limitations at the airport such as runway, apron, terminal, airspace, and environmental restrictions) for each IATA season. At a minimum, the analysis should be conducted whenever there are significant changes in airport infrastructure, operational practices, or patterns of demand. This analysis should use quantitative and transparent criteria for determining which level of coordination is appropriate for that airport.
- 1.5.2 An airport is designated Level 2 when this analysis demonstrates that there is potential for congestion during some periods of the day, week, or season that could be resolved by Level 2 facilitation. An airport is designated Level 3 when this analysis demonstrates a risk that demand may significantly exceed the capacity of the airport and that Level 3 slot coordination is required.
- 1.5.3 The responsible authority must ensure that an airport is only designated as Level 3 or remains as Level 3 following the analysis and consultation process described above.

## **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 AIRPORT COORDINATION?**

- 1.7.1 The key principles of schedule facilitation at a Level 2 airport are:<sup>1</sup>
  - a) Schedule facilitation is based on a process of schedule adjustments mutually agreed between the airlines and facilitator to avoid exceeding the airport's coordination parameters.
  - b) No slots are allocated at a Level 2 airport. The concepts of historic precedence and series of slots do not apply at Level 2 airports.

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<sup>1</sup> These Key Principles also appear in 7.1.1.

- c) The facilitator should adjust the smallest number of operations by the least amount of time necessary to avoid exceeding the airport's coordination parameters.
- d) Facilitators must be independent and act in a neutral, transparent, and non-discriminatory way.
- e) An airline or other aircraft operator must advise the facilitator of all planned operations prior to operating at a Level 2 airport and of all changes to planned operations. Certain types of flights (for example, humanitarian or state flights, and in some cases general and business aviation) may be exempt or subject to special local procedures.
- f) Airlines and other aircraft operators must not intentionally operate services at a significantly different time or in a significantly different way than agreed with the facilitator.
- g) Planned times of operation are based on the planned on-block (arrival) and off-block (departure) times.
- h) Airlines and facilitators must use the [IATA Standard Schedules Information Manual \(SSIM\)](#) message formats for communications at Level 2 airports.
- i) The [Calendar of Coordination Activities](#) specifies the deadline dates of the facilitation process to be followed by airlines and facilitators.
- j) All activities involving facilitated operations are in UTC, unless otherwise agreed.

### 1.7.2 The key principles of slot allocation at a Level 3 airport are:<sup>2</sup>

- a) Slots are allocated to airlines by a duly appointed coordinator only for planning purposes at a Level 3 airport.
- b) Slots can only be allocated to airlines or 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 intentionally use slots in a significantly different way than allocated by the coordinator.
- e) A series of slots is at least 5 slots allocated for the same or approximately same time on the same day-of-the-week, distributed regularly in the same season.

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<sup>2</sup> These Key Principles also appear in 8.1.1.

## **POLICY – Introduction to Airport Coordination**

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- f) An airline is entitled to retain a series of slots for the next equivalent season if they were operated at least 80% of the time during the period for which they were allocated. This is referred to as historic precedence.
- g) 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.
- h) Slots may be transferred or swapped between airlines, or used as part of a shared operation, subject to the provisions of these guidelines and applicable regulations.
- i) Coordinators must be functionally and financially independent of any single interested party and act in a neutral, transparent, and non-discriminatory way.
- j) The allocation of slots is independent from the assignment of traffic rights under bilateral air service agreements.
- k) Airlines and coordinators must use the [IATA Standard Schedules Information Manual \(SSIM\)](#) message formats for communications at Level 3 airports.
- l) Slot times are based on the planned on-block (arrival) and off-block (departure) times.
- m) All activities involving slots, including the determination of historic slots, are in UTC, unless otherwise agreed.
- n) Monitoring of the use of allocated slots should be performed in a timely manner by the coordinator at a Level 3 airport.

*Intentionally left blank.*

## **2 ROLE OF IATA IN AIRPORT COORDINATION**

### **2.1 WORLDWIDE SLOT GUIDELINES**

- 2.1.2 The Worldwide Slot Guidelines (WSG) is a set of standards and best practices developed by airlines along with the coordinator and facilitator communities. These guidelines are a comprehensive set of procedures for the allocation and management of airport capacity. The principal users of these guidelines are airlines, coordinators, and facilitators.
- 2.1.3 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 standards or best practice cannot be changed, or new items introduced into the WSG unilaterally by any airline, coordinator, or IATA.
- 2.1.4 The WSG is recognized by the global air transport community as the industry standard methodology for the allocation of slots at Level 3 airports and management of planned operations at Level 2 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.
- 2.1.5 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**

- 2.2.2 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.
- 2.2.3 The SC is convened solely for the purpose of allocating and managing slots at Level 3 airports and discussing schedule adjustments at Level 2 airports. Discussions about pooling of flights, pricing, market entry, or any other competitively-sensitive activities beyond the scope of the SC are not permitted.
- 2.2.4 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](http://www.iata.org/wsg). Other key dates in the coordination process can also be found in the Calendar.
- 2.2.5 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 coordinators and facilitators. IATA undertakes to ensure that the information necessary to participate in the twice-yearly SC is available to all airlines, coordinators, and facilitators.

2.2.6 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 transfer, swap, change, and delete or request new slots on behalf of a SC participant airline.

### **2.3 STANDARD SCHEDULES INFORMATION MANUAL (SSIM)**

2.3.2 The IATA SSIM contains the industry standard message formats to be used by airlines, coordinators, and facilitators when communicating airport coordination information such as SALs, SHLs, or SCRs. The preferred method of data exchange is email, but the same message formats can be exchanged by other agreed means.

2.3.3 The SSIM is developed by the Schedules Publication Group (SPG) in collaboration with the Slot Messaging Group (SMG) and the Minimum Connect Time Group (MCTG) and is governed under the authority of the IATA Passenger Standards Conference through Recommended Practice 1761b, "FORM OF EXCHANGE FOR SCHEDULE INFORMATION."

2.3.4 IATA strongly encourages all participants in the airport coordination process to follow the standards published in the 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, coordinators, and facilitators.

### **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 agencies 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.

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## **4 LEVEL 2 AIRPORTS**

### **4.1 DEFINITION OF A LEVEL 2 AIRPORT**

- 4.1.2 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 schedule adjustments mutually agreed between the airlines and facilitator.

### **4.2 APPOINTMENT OF A FACILITATOR**

- 4.2.1 The responsible authority must ensure the appointment of a facilitator following consultations with the airport managing body, the airlines using the airport, and their representative organizations – for example, IATA. Previous airline scheduling knowledge 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 at a Level 2 airport must submit details of their planned operations to the facilitator before operating at that airport. For this purpose, details of the format to be used are shown in SSIM Chapter 6.
- 4.3.2 Airlines should be prepared to accept an alternative time if offered by the facilitator to avoid exceeding the coordination parameters, otherwise the airport may need to consider changing to Level 3.
- 4.3.3 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](http://www.iata.org/wsg).

### **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 relevant stakeholders 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 competent body 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.

### 4.5 ROLE OF THE FACILITATOR

#### 4.5.1 The facilitator will:

- a) Ensure the feasibility of the plans submitted by an airline so the coordination parameters of the airport are not exceeded;
- b) Make available to relevant stakeholders details of the coordination parameters and utilization of the declared capacity;
- c) Advise airlines if planned operations will exceed coordination parameters and facilitate a process of mutually agreed schedule adjustments to avoid exceeding these parameters; and
- d) Attend and participate in all SCs.

## **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 The responsible authority must ensure the appointment of a coordinator following consultations with the airport managing body, the airlines using the airport, and their representative organizations – for example, IATA. Previous airline scheduling knowledge 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](http://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 If 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](http://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.
- 5.3.5 Airlines should fulfil their role in the slot monitoring process, as described in section 9 of these guidelines.

## **5.4 ROLE OF AIRPORTS**

- 5.4.1 The airport managing body or other competent body should attempt to reach agreement on the appropriate coordination parameters with members of the Coordination Committee and relevant stakeholders. The coordination parameters should be updated twice each year – in conjunction with the IATA seasons. Where airport constraints persist, the airport managing body should examine the 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 competent body must decide and provide the coordination parameters to the coordinator not later than 7 days before the Initial Submission Deadline. The coordinator will in turn inform the airlines.
- 5.4.3 The airport managing body or other competent body should provide relevant information to the coordinator in order to assist in applying the additional criteria for slot allocation given in 8.4.1 d), e), and f), relating to the type of service and market, competition, and requirements of the travelling public and other users.
- 5.4.4 The airport managing body should fulfil its role in the slot monitoring process, as described in section 9 of these guidelines.

## **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 relevant stakeholders 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 and to the airport managing body, as soon as all SALs are distributed, a list of slots allocated, remaining slots available and the reasons why slots were not allocated as requested. This information should ideally be in SSIM Chapter 6 format and accessible by online means.

- d) Attend and participate in all 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) Perform slot monitoring, as described in section 9 of these guidelines.
- 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. Sub-groups of the Coordination Committee, such as a Slot Performance Committee, can be used to focus on specific functions of the Coordination Committee, or topics of relevance.

5.6.2 The principal tasks of the Coordination Committee are to:

- a) Advise on the possibilities of adjusting the capacity of the airport;
- b) Provide a body to which airport capacity providers (such as ANSPs or airport managing bodies) should communicate the methods used for determining coordination parameters;
- c) Consult on capacity and coordination parameters, on which slot allocation are based;
- d) Advise on ways of achieving a better utilization of the capacity available;
- e) Mediate in case of complaints from airlines or other aircraft operators related to slot allocation or slot monitoring which cannot be resolved between the airline or other aircraft operator and the coordinator in a mutually agreeable way;
- f) Consider any problems related to transparency or sharing of data;
- g) Consider any serious problems for new entrants at the airport concerned;
- h) Oversee the activities of the sub-groups of the Coordination Committee, such as a Slot Performance Committee, where these exist;
- i) Advise the coordinator on methods and parameters of slot monitoring, where a Slot Performance Committee does not exist;
- j) Advise on local guidelines for coordination and communicate matters related to local guidelines to its members;

- k) Review development projects that are being undertaken at the airport that may impact coordination parameters and communicate (alongside other channels such as Airport Operator Committees) on such projects; and
  - l) Liaise and consult with other entities, such as Civil Aviation Authorities, governments, or regulators, to the extent that such entities are involved in the setting of coordination parameters.
- 5.6.3 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). Airlines and other aircraft operators willing to operate, but not yet operating, at the airport can attend the meetings of the Coordination Committee as observers. The representatives shall have the adequate knowledge, expertise, and mandates to serve on the Coordination Committee. Preferably, the composition is tailored to the specific items to be discussed, and in most cases a registered delegate who attends the IATA Slot Conference is the preferred representative from their organization. The coordinator attends all meetings as an observer.
- 5.6.4 The board of the Coordination Committee shall be selected periodically, for a fixed period. The chairperson (and vice-chairperson, if one exists) shall have no specific interest in any of the possible results of the functions of the Coordination Committee.
- 5.6.5 It is recommended that the airport managing body appoints a secretary of the Coordination Committee who shall be responsible for the planning and minuting of meetings.
- 5.6.6 Meetings of the Coordination Committee should be held at least once per year, as well as when required to review the coordination parameters on a seasonal basis or to review planned changes in policy or capacity which could significantly affect coordination. Ideally, meetings of the Coordination Committee should be conducted in English.
- 5.6.7 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 and distributed to Coordination Committee members via email or made available by other means. The dates of Coordination Committee meetings should be published on the IATA and Worldwide Airport Coordinators Group (WWACG) websites.
- 5.6.8 The Coordination Committee should establish terms of reference governing its operations. A regular review of the terms of reference is recommended to ensure they are still compliant and updated as required. Ideally, the terms of reference should address:
- a) The objectives of the Coordination Committee;
  - b) Membership;
  - c) Responsibilities of the members;

- d) Frequency of meetings;
  - e) The process for hearing complaints and addressing problems for new entrants;
  - f) Sub-groups;
  - g) The process for changing the terms of reference;
  - h) The process for dissolution of the Coordination Committee;
  - i) Whether a quorum will be required for meetings of the Coordination Committee, and if so, the process to follow if quorum is not met;
  - j) Costs and expenses; and
  - k) The language of operation of the Coordination Committee.
- 5.6.9 The Coordination Committee will fulfil its role in the slot monitoring process, as described in section 9 of these guidelines.

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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 body shall ensure that a thorough demand and capacity analysis, using commonly recognized best practice methods, is regularly conducted. The analysis should be completed in a timely manner to enable an official capacity declaration for coordination for each IATA season. At a minimum the analysis should be conducted 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 applicable service levels, such as queue times, levels of congestion, and delay, while taking into account relevant airspace limitations set by local ATC authorities. This analysis should provide all relevant capacity limits of the runway(s), apron, terminal(s), and other airport facilities as deemed necessary.
- 6.1.3 The analysis should determine any infrastructure, operational, or environmental constraints that prevent demand being satisfied. The airport managing body should evaluate options in consultation with responsible parties for overcoming such shortages through infrastructure, operational, or policy changes and improvements, in accordance with the respective legal framework, where applicable.
- 6.1.4 The results of the analysis should be made available to all relevant stakeholders, including where applicable the members of the Coordination Committee, well in advance of seasonal meetings.
- 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.
- 6.1.6 Another objective of this analysis should be to identify ways to reduce or remove the need for coordination which would result in changing the airport from Level 3 to Level 2 or Level 1 or from Level 2 to Level 1.

### **6.2 CAPACITY DECLARATION PROCESS**

- 6.2.1 The airport managing body or other competent body should consult the Coordination Committee and other relevant stakeholders on the results of the capacity analysis after which the coordination parameters are declared. This should be done well in advance of each IATA season and be made available to all relevant stakeholders.
- 6.2.2 The coordination parameters represent the maximum capacity available for allocation considering the functional limitations at the airport such as runway, apron, terminal, airspace, and environmental restrictions.

- 6.2.3 Coordination parameters establish the scheduling limits that can be coordinated or facilitated in a specified period of time.
- 6.2.4 Coordination parameters should be reviewed by the Coordination Committee and other relevant stakeholders prior to making any changes.
- 6.2.5 Coordination parameters should be provided to the coordinator or facilitator as soon as they are declared but not later than 7 days before the Initial Submission Deadline.

### **6.3 CHANGE FROM LEVEL 1 TO LEVEL 2**

- 6.3.1 When an airport's infrastructure is no longer able to accommodate all of the demand, a process of mutually agreed schedule adjustments may assist in smoothing demand to fit within these limitations.
- 6.3.2 The responsible authority may provide for an airport to change to Level 2 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 demand and capacity analysis has been undertaken; and
  - b) All relevant stakeholders have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.

### **6.4 CHANGE FROM LEVEL 2 TO LEVEL 3**

- 6.4.1 A change to Level 3 may be necessary, when:
  - a) There is a risk that demand for airport infrastructure may significantly exceed 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 a process of mutually agreed schedule adjustments have failed or are ineffective.
- 6.4.2 The responsible authority may provide for an airport to change to Level 3 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.
- 6.4.3 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 6.4.1; and
  - b) All relevant stakeholders have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.

6.4.4 The same process should be followed in the event of an airport changing directly from Level 1 to Level 3.

## **6.5 ESTABLISHING HISTORIC SLOTS FOR THE FIRST TIME**

6.5.1 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.

6.5.2 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 airline's planned schedules with the services actually operated to determine what operations should receive historic precedence. This procedure would also apply in the event that an airport changes directly from Level 1 to Level 3.

## **6.6 REMOVAL OF COORDINATION**

6.6.1 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 ensure that the airport changes to Level 2 or Level 1 when:

- a) A full demand and capacity analysis has been undertaken; and
- b) All relevant stakeholders have been fully consulted on the analysis and the proposed change of level, and their views have been taken into account.

6.6.2 IATA monitors all coordinated airports to identify opportunities to reduce the number of coordinated airports.

6.6.3 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.

## **6.7 TEMPORARY CHANGE OF LEVEL**

6.7.1 The responsible authority may, in exceptional circumstances, provide for an airport to be designated 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, the Olympics or the World Cup) or a temporary reduction in capacity, resulting in a significant imbalance between demand and capacity at the airport.

6.7.2 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.

## **6.8 NOTIFICATION**

6.8.1 When a change in level is decided, the responsible authority must ensure that all relevant stakeholders and IATA are notified of the decision to change the level of

the airport. 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.

- 6.8.2 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](http://www.iata.org/wsg).

### **6.9 SEASONAL REVIEW OF AIRPORT CAPACITY**

- 6.9.1 The coordination parameters are reviewed twice each year by relevant stakeholders, normally at meetings of the Coordination Committee or an equivalent representative body. This review must occur in a timely manner to allow the declaration of coordination parameters well in advance of each IATA season but no later than 7 days before the Initial Submission Deadline.
- 6.9.2 Late declarations or changes to coordination parameters after the Initial Submission Deadline should be avoided.

### **6.10 REDUCTION IN AIRPORT CAPACITY**

- 6.10.1 If a planned capacity reduction is unavoidable the Coordination Committee must be consulted during the decision process and as soon as possible before any reduction of capacity occurs. In all cases, airlines' historic slots must be honored. The coordinator, or other competent body, must communicate the capacity change to all relevant stakeholders well in advance of each IATA season but not later than 7 days before the Initial Submission Deadline for the SC.
- 6.10.2 Unplanned capacity reductions may occur which are impossible to discuss in advance with the Coordination Committee. If the reduction is ongoing, however, the Coordination Committee must be consulted as soon as possible regarding the impact of the ongoing reduction on future operations. In all cases, airlines' historic slots must be honored.
- 6.10.3 A capacity reduction after the Initial Submission Deadline, or a capacity reduction that cannot accommodate historic slots must be avoided except in exceptional circumstances.

## **PART 2: PRINCIPLES**

### **7 PRINCIPLES OF SCHEDULE FACILITATION**

#### **7.1 KEY PRINCIPLES OF SCHEDULE FACILITATION**

7.1.1 The key principles of schedule facilitation at a Level 2 airport are:<sup>3</sup>

- a) Schedule facilitation is based on a process of schedule adjustments mutually agreed between the airlines and facilitator to avoid exceeding the airport's coordination parameters.
- b) No slots are allocated at a Level 2 airport. The concepts of historic precedence and series of slots do not apply at Level 2 airports.
- c) The facilitator should adjust the smallest number of flights by the least amount of time necessary to avoid exceeding the airport's coordination parameters.
- d) Facilitators must be independent and act in a neutral, transparent, and non-discriminatory way.
- e) An airline or other aircraft operator must advise the facilitator of all planned flights prior to operating at a Level 2 airport and of all changes to planned operations. Certain types of flights (for example, humanitarian or state flights, and in some cases general and business aviation) may be exempt or subject to special local procedures.
- f) Airlines and other aircraft operators must not intentionally operate flights at a significantly different time or in a significantly different way than agreed with the facilitator.
- g) Planned operating times are based on the planned on-block (arrival) and off-block (departure) times.
- h) Airlines and facilitators must use the SSIM message formats for communications at Level 2 airports.
- i) The [Calendar of Coordination Activities](#) specifies the deadline dates of the facilitation process to be followed by airlines and facilitators.
- j) All activities involving facilitated operations may be in UTC, unless otherwise agreed by the facilitator and aircraft operators using the airport regularly.

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<sup>3</sup> These Key Principles also appear in 1.7.1.

## 7.2 PRIORITIES FOR SCHEDULE FACILITATION

- 7.2.1 Facilitators should consider and apply the following priorities when identifying the schedule adjustments necessary to avoid exceeding the airport's coordination parameters:
- a) **Services from the Previous Equivalent Season:** Services operated as approved during the previous equivalent season should have priority over new demand for the same timings. Services that plan to operate unchanged from the previous equivalent season should have priority over services that plan to change time or other capacity relevant parameter, for example, operations with a larger aircraft where terminal capacity is a coordination parameter.
  - b) **Introduction of Year-Round Operations:** New operations that extend an existing operation into a year-round operation should have priority over other new operations. In evaluating whether the year-round priority applies, facilitators should allow flexibility on timings to allow for the differing requirements of short- and long-haul services.
  - c) **Effective Period of Operation:** The schedule that will be effective for a longer period of operation in the same season should have priority.
  - d) **Ad Hoc Operations:** Regularly planned operations should have priority over ad hoc operations.
  - e) **Operational Factors:** Operations that are constrained by slots or a curfew period at the other end of the route, or other relevant operational factors, should have priority over other demand where the air carrier may have timing flexibility.

## 7.3 DIALOGUE REGARDING SCHEDULE ADJUSTMENTS

- 7.3.1 Any schedule adjustments should be mutually agreed between the facilitator and airline concerned on the basis of an open dialogue and discussion.
- 7.3.2 Facilitators should discuss the overall demand of all airlines with the airport managing body and any capacity shortages identified. If elements of the airport infrastructure can be modified to meet demand, then schedule adjustments may not be required.
- 7.3.3 Facilitators must provide reasons for any requested schedule adjustments. The SSIM reason codes and supplementary information text should be used for this purpose.
- 7.3.4 Airlines operating at a Level 2 airport must be willing to make schedule adjustments in order to avoid exceeding the coordination parameters, otherwise the airport could be designated as a Level 3 airport, requiring mandatory slot allocation. It is useful for airlines to discuss and review future operating plans with the facilitator and airport managing body (where appropriate).
- 7.3.5 Airlines may ask the facilitator to keep their required timings on the waitlist rather than immediately refuse a schedule adjustment. The facilitator must maintain a

waitlist of all outstanding requirements and should try to satisfy outstanding requests as soon as possible using the priorities outlined in 7.2.1.

### 7.4 REFUSED SCHEDULE ADJUSTMENTS

- 7.4.1 The facilitator must record any instances where airlines have refused a requested schedule adjustment resulting in a breach of the airport's coordination parameters.
- 7.4.2 If an airport changes from Level 2 to Level 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 for those services.

### 7.5 FLIGHTS AN AIRLINE DOES NOT INTEND TO OPERATE

- 7.5.1 To ensure an accurate overview of demand at an airport, airlines must cancel planned flights that they will not operate as soon as possible. Even at short notice, it may be possible to improve the schedules of other operators.
- 7.5.2 In particular, flights that an airline does not intend to operate should be returned in accordance with the [Calendar of Coordination Activities](#), by the Series Return Deadline.

### 7.6 MONITORING OF OPERATIONS

- 7.6.1 The facilitator should monitor operations at the airport to identify any instances of airlines or other aircraft operators intentionally operating services at a significantly different time or in a significantly different way than agreed with the facilitator.
- 7.6.2 If any such instances are identified, the facilitator should contact the airline or other aircraft operator concerned to resolve the identified discrepancy. Continued misuse should result in the airline or other aircraft operator receiving lower priority for future schedule adjustments.
- 7.6.3 The facilitator should seek the advice of the airport managing body or other competent body to assist in resolving any outstanding discrepancies if necessary.

## **8 PRINCIPLES OF SLOT ALLOCATION**

### **8.1 KEY PRINCIPLES OF SLOT ALLOCATION**

8.1.1 The key principles of slot allocation at a Level 3 airport are:<sup>4</sup>

- a) Slots are allocated to airlines by a duly appointed coordinator only for planning purposes at a Level 3 airport.
- b) Slots can only be allocated to airlines or 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 intentionally use slots in a significantly different way than allocated by the coordinator.
- e) A series of slots is at least 5 slots allocated for the same or approximately same time on the same day-of-the-week, distributed regularly in the same season.
- f) An airline is entitled to retain a series of slots for the next equivalent season if they were operated at least 80% of the time during the period for which they were allocated. This is referred to as historic precedence.
- g) 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.
- h) Slots may be transferred or swapped between airlines, or used as part of a shared operation, subject to the provisions of these guidelines and applicable regulations.
- i) Coordinators must be functionally and financially independent of any single interested party and act in a neutral, transparent, and non-discriminatory way.
- j) The allocation of slots is independent from the assignment of traffic rights under bilateral air service agreements.
- k) Airlines and coordinators must use the SSIM message formats for communications at Level 3 airports.
- l) Slot times are based on the planned on-block (arrival) and off-block (departure) times.

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<sup>4</sup> These Key Principles also appear in 1.7.1.

- m) All activities involving slots, including the determination of historic slots, are in UTC, unless otherwise agreed.
- n) Monitoring of the use of allocated slots should be performed in a timely manner by the coordinator at a Level 3 airport.

## **8.2 GENERAL PRIORITIES FOR SLOT ALLOCATION**

8.2.1 Coordinators should allocate the declared capacity based on the following broad priority order:

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

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

## **8.3 PRIMARY CRITERIA FOR INITIAL SLOT ALLOCATION**

8.3.1 When developing a slot allocation plan for the SC based on initial submissions by airlines, coordinators should, in accordance with the coordination parameters, apply the following priorities.

### **8.3.2 Historic Slots**

8.3.2.1 The first priority of slot allocation is historic slots requested as unchanged or with changes that do not impact the coordination parameters (for example, a change in flight number). These slot requests are referred to herein as unchanged historic slots. For changes to historic slots that impact the coordination parameters (for example, a change in timing), airlines and other aircraft operators should clearly indicate the range of flexibility they are prepared to accept (if any) using the appropriate industry codes and format in their submission. For any requested changes that cannot be allocated within the applicable flexibility range, the coordinator should reallocate the unchanged historic slots to the airline or other aircraft operator concerned.

### **8.3.3 Slot Pool**

8.3.3.1 Once unchanged historic slots have been allocated, the coordinator will establish a slot pool, including any newly created slots.

8.3.3.2 The coordinator will treat new entrant requests, non-new-entrant requests, and requests for changes to historic slots holistically and fairly across the day, using primary and, if necessary, additional criteria for initial slot allocation set forth in these guidelines.

8.3.3.3 50% of the slots contained in the pool at initial slot allocation must be allocated to new entrant requests in accordance with 8.3.4 below, unless new entrant requests are less than 50%. Similarly, 50% of the slots contained in the pool at initial slot allocation must be allocated to non-new-entrant requests, unless such requests are less than 50%.

8.3.3.4 Where this 50/50 balance is not achievable in a single season (for example, where there is a very limited number of slots available in the pool), the coordinator should correct this imbalance over the next equivalent season (or seasons, if that is not possible) to ensure that the pool is allocated equitably to both new entrants and non-new-entrants.

#### **8.3.4 New Entrants**

8.3.4.1 Only airlines are eligible for new entrant status.

8.3.4.2 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.

8.3.4.3 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.

#### **8.3.5 Introduction of Year-Round Operations**

8.3.5.1 Within each category (new entrant requests, non-new-entrant requests, and requests for changes to historic slots), a request to extend an existing operation to operate on a year-round basis should have priority over a new slot request.

8.3.5.2 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.

### **8.4 ADDITIONAL CRITERIA FOR INITIAL SLOT ALLOCATION**

8.4.1 When slots cannot be allocated using the primary criteria as set out in 8.3 above, consideration should be given to the following factors (in no particular order):

- 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) **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.
- c) **Time Spent on Waitlist:** Requests that have been pending on the waitlist should have priority over more recent requests.
- d) **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.
- e) **Competition:** Coordinators should try to ensure that due account is taken of competitive factors in the allocation of available slots.
- f) **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.

- g) **Frequency of Operation:** Higher frequency such as more flights per week should not in itself imply higher priority for slot allocation.
- h) **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.

## **8.5 HOLDING AND RETURNING OF SLOTS**

- 8.5.1 Airlines may only hold slots that they intend to operate, transfer, swap, or use in a shared operation.
- 8.5.2 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.
- 8.5.3 In particular, series of slots that an airline does not intend to operate must be returned no later than the Series Return Deadline.
- 8.5.4 Airlines that intentionally return series of slots after the Series Return Deadline will receive a lower priority by the coordinator during the Initial Coordination of the next equivalent season.
- 8.5.5 A list of airlines that return series of slots after the Series Return Deadline will be maintained and published by the coordinator.

## **8.6 USE IT OR LOSE IT RULE**

- 8.6.1 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.
- 8.6.2 Ideally coordinators should have slot series usage information available online, so airlines can check their own slot series usage for all their own flights anytime during a season. It nonetheless remains the sole responsibility of the airline to monitor the usage of their slot series.
- 8.6.3 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.

## **8.7 ELIGIBILITY FOR HISTORIC PRECEDENCE**

- 8.7.1 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 23:59 UTC 31 January (summer) and 23:59 UTC 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 on an ad hoc basis are not eligible for historic precedence. However, slots requested as a series but initially allocated on an ad hoc basis, 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 but must be submitted to the coordinator for confirmation as per 8.10. 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.

### **8.7.2 Cancellations before the Historic Baseline Date**

8.7.2.1 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.

8.7.2.2 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 20% or less of the period between the first and last date of the series of slots.

### **8.7.3 Cancellations after the Historic Baseline Date**

8.7.3.1 All cancellations made after the Historic 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 8.8.

## **8.8 JUSTIFIED NON-UTILIZATION OF SLOTS**

8.8.1 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.

8.8.2 Airlines should contact the coordinator as soon as possible after a flight is cancelled or is not operated due to reasons described in a) or b) above, to confirm that such flights will be treated as operated.

## **8.9 FLEXIBILITY IN SLOT ALLOCATION**

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

8.9.2 **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.

8.9.3 **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 Historic Baseline Date.

**8.9.4 Schedule Disruptions:**

- 8.9.4.1 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.
- 8.9.4.2 Significant operational variations which affect the following day(s) may require an airline to request new slots for the following day(s).
- 8.9.4.3 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.

**8.10 CHANGE OF USE OF SLOTS BY AIRLINES**

- 8.10.1 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.
- 8.10.2 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.

**8.11 SLOT MOBILITY BETWEEN AIRLINES**

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

## **8.12 TRANSFER OF SLOTS BETWEEN AIRLINES**

- 8.12.1 Slot transfers between airlines, whether or not for compensation or consideration, 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.
- 8.12.2 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.
- 8.12.3 Airlines engaging in a slot transfer 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 relevant stakeholders, if requested and published on the coordinator's 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.).
- 8.12.4 Except for the above information it is not necessary to make available any other details of the agreement between the airlines.

## **8.13 SHARED OPERATIONS**

- 8.13.1 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.
- 8.13.2 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 purposes 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.
- 8.13.3 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 Series Return Deadline.
- 8.13.4 Day-to-day management of the slots (the authority to amend and cancel slots on an ad hoc basis) after the Series Return Deadline should be agreed between the airlines concerned and the coordinator but will typically transfer to the operating airline.

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

8.13.6 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.

#### **8.14 SLOTS OF AN AIRLINE WHICH CEASES TO OPERATE AT AN AIRPORT**

8.14.1 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.

8.14.2 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.

#### **8.15 SLOTS OF AN AIRLINE THAT LOSES ITS OPERATING LICENSE**

8.15.1 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.

8.15.2 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.

8.15.3 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.

8.15.4 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.

#### **8.16 SLOTS ALLOCATED BEFORE TRAFFIC RIGHTS OR OPERATING LICENSE**

8.16.1 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.

8.16.2 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.

8.16.3 The status of the airline's operating license and/or traffic rights should be reviewed with the coordinator by the Series Return Deadline, or at a later date agreed with the coordinator.

### **8.17 SLOTS ALLOCATED WITHOUT HISTORIC PRECEDENCE**

- 8.17.1 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.
- 8.17.2 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.

## **9 SLOT MONITORING**

### **9.1. WHAT IS SLOT MONITORING?**

- 9.1.1. Slot monitoring is the continuous process of reconciling the operations of airlines and other aircraft operators to the slots allocated by the coordinator at a Level 3 airport. This is one of the methods available to ensure the most efficient use of airport infrastructure.
- 9.1.2. There are two phases of slot monitoring: pre-operation and post-operation analysis.
- a) Pre-operation analysis is a recommended process that will help identify and prevent potential slot misuse prior to the day of operation.
  - b) Post-operation analysis will help determine whether misuse of slots has occurred and whether airlines achieve historic precedence for the following equivalent season.
- 9.1.3. **Role of the Airline or Other Aircraft Operator:** Airlines and other aircraft operators must ensure that their operations at a Level 3 airport are in accordance with the slots allocated to them, and that the necessary slot adjustments are requested in a timely manner. They should also review their own performance and identify corrective actions where necessary, prior to intervention from coordinators. When the coordinator notifies the airline or other aircraft operator of potential misuse, the airline or other aircraft operator must respond in a timely manner and, if appropriate, take corrective action as soon as is practicable.
- 9.1.4. **Role of the Airport Managing Body:** The airport managing body shall provide, in a timely manner, all of the information and data necessary for the coordinator to perform required slot monitoring duties. It should also monitor the overall performance of the airport and should highlight any potential misuse of slots to the coordinator.
- 9.1.5. **Role of the Coordinator:** Coordinators shall perform slot monitoring, warn of discrepancies and request corrective actions, and record misuse of slots. Only coordinators shall communicate apparent misuse of slots to airlines and other aircraft operators. Coordinators shall also share relevant information with the airport managing body, as well as with all other stakeholders (ideally through the Slot Performance Committee).
- 9.1.6. **Role of the Coordination Committee:** The Coordination Committee may advise the coordinator on matters relating to the monitoring and misuse of slots. A Slot Performance Committee, a possible sub-group of the Coordination Committee, may be established to perform this role. This is discussed in more detail below.

**9.2. KEY PRINCIPLES OF SLOT MONITORING**

9.2.1. The key principles of slot monitoring are as follows:

- a) Slot monitoring is intended to:
  - i. Ensure that operations at a Level 3 airport are in accordance with the slots as allocated;
  - ii. Ensure that slots are used in line with the Use It or Lose It rule;
  - iii. Help ensure scarce capacity is not wasted;
  - iv. Help ensure the smooth operation of airports for all stakeholders; and
  - v. Prevent the misuse of slots.
- b) Slot monitoring involves both pre-operation and post-operation analysis.
- c) Slot monitoring is applicable to all types of operations that require slots at a Level 3 airport.
- d) Slot monitoring is a continuous process which allows sufficient advance notice for corrective action to take place.
- e) Slot monitoring requires accurate and reliable data provided – in a timely manner and in the agreed format – ideally by the airport managing body or by other relevant stakeholders as needed.
- f) Slot times are based on the coordinated on-block (arrival) and off-block (departure) times. Actual times of arrival and departure may vary due to operational factors.
- g) The investigation of potential misuse of slots should be based on data analysis.
- h) Coordinators should enter into dialogue with airlines and other aircraft operators about correcting apparent misuse of slots at the earliest possible opportunity.
- i) Continued slot misuse after dialogue with the coordinator may result in enforcement actions as described in this section.
- j) Coordinators may consult relevant stakeholders (such as the Coordination Committee, Slot Performance Committee, the airport managing body, or air traffic control) to review the findings of slot monitoring.
- k) The Slot Performance Committee may also provide advice to the relevant stakeholder regarding actions which may be taken to improve airport performance where sanctions or other enforcement measures are not applicable.

- l) Certain types of ad hoc flights may be subject to special local slot monitoring procedures.

9.2.2. **Misuse of Slots:** The following actions are deemed a misuse of slots:

- a) Operating at a Level 3 airport without an allocated slot;
- b) Operating a flight at a significantly different time from the allocated slot.
- c) Operating a flight in a significantly different way to the allocated slot – including a different service type, aircraft subtype, aircraft capacity, or origin/destination – without the prior confirmation of the coordinator as set out in 8.10;
- d) Holding slots that the airline or other aircraft operator does not intend to operate, transfer, swap, or use in a shared operation;
- e) Holding slots for an operation other than that planned for the purpose of denying capacity to another airline or aircraft operator;
- f) Requesting new slots that the airline or other aircraft operator does not intend to operate;
- g) Requesting slots for an operation other than that indicated, with the intention of gaining improved priority; or
- h) Where applicable, operating in curfew or another restricted operations period without holding an allocated slot for that period.

9.2.3. In some instances, operational disruption or legitimate changes of plans may appear to be slot misuse. Communication between the coordinator and the airline or other aircraft operator is vital to understand the reasons for potential misuse.

### **9.3. PRE-OPERATION ANALYSIS**

9.3.1. Coordinators may seek to prevent slot misuse by undertaking pre-operation analysis, a recommended process involving conformity checks before the day of operation.

9.3.2. Pre-operation analysis is a continuous process that:

- a) Uses objective, transparent, and non-discriminatory criteria;
- b) Should be adapted to the specific needs of the airport and types of traffic involved;
- c) Should be timely and simple to calculate and administer; and
- d) Considers advice given by the Coordination Committee or Slot Performance Committee.

- 9.3.3. This process requires the coordinator to have the right data in the agreed format available in a timely manner in order to complete its analysis. Airport managing bodies, airlines, and other aircraft operators shall provide the data requested by the coordinator, in the format agreed between the parties, for this purpose.
- 9.3.4. Coordinators shall also check published data sources such as:
- a) airline or travel agency websites, global distribution systems, or tickets;
  - b) airport or ground handling data from airports at each end of the route concerned; or
  - c) peer comparison (i.e., the performance of other operators using similar equipment and on similar routings, giving adequate consideration for the limitations of comparisons where the equipment and routings are not identical).
- 9.3.5. When the coordinator identifies a discrepancy between the published data and the allocated slot, the coordinator should communicate this to the airline or other aircraft operator to allow it to take corrective actions to avoid possible slot misuse.
- 9.3.6. Despite the pre-operation analysis process, the responsibility to avoid slot misuse remains with the airline or other aircraft operator. The pre-operation analysis process is not a prerequisite for a coordinator to take action for potential slot misuse as part of the post-operation analysis, below.

## **9.4. POST-OPERATION ANALYSIS**

### **9.4.1. Data Comparison**

- 9.4.1.1 The airport managing body shall provide to the coordinator a list of flown operations, in a timely manner and in the agreed format. The data supplied should include the scheduled time, the actual on/off block times, the flight number, destination, aircraft type, service type, number of seats, and any other necessary data requested by the coordinator.
- 9.4.1.2 Where actual on/off block time data is unavailable, landing and take-off times shall be provided by the airport managing body, with a recommended taxi time adjustment as an estimate for the on/off block times. Variations in taxi times may affect the accuracy of the matching process, and caution must be used when not using actual on/off block times.
- 9.4.1.3 The coordinator shall match the actual operations to the allocated slots, creating a matched data set. This process should be done on a regular basis throughout the season.
- 9.4.1.4 The coordinator may use similar additional data sources to identify potential slot misuse, such as ATC flight plans.

9.4.1.5 Flights operated in accordance with the allocated slots will be credited towards the granting of historic precedence.

9.4.1.6 Discrepancies detected in the matched data set will then be investigated as part of the slot performance process.

#### **9.4.2. Slot Performance Process**

9.4.2.1 The coordinator should then analyse the discrepancies in the matched data set created under the data comparison process to identify potential slot misuse.

9.4.2.2 Coordinators should rely on data analysis to demonstrate potential slot misuse with the aim of targeting only the most obvious and impactful cases of potential slot misuse for further action. Best practice guidelines on the use of data analysis in the slot performance process may be found in Annex 11.8.

9.4.2.3 Where potential slot misuse is identified, the coordinator should then enter into coordinator-airline dialogue.

9.4.2.4 The coordinator should avoid seeking unnecessary explanations regarding minor operational deviations. In analysing whether the deviation represents potential misuse, the coordinator should consider, for example:

- a) whether the deviation is a result of an obvious operational disruption (for example, known events of extreme weather, or strikes);
- b) whether the deviation is within a reasonable tolerance, indicating normal operational variability rather than potential slot misuse; and
- c) whether the deviation is part of a pattern of repeated off-slot operations, departing from normal operational variability.

#### **9.4.3. Coordinator-Airline Dialogue**

9.4.3.1 Having identified evidence of potential slot misuse, the coordinator should then contact the airline or other aircraft operator concerned, in writing. This message should request an explanation for the discrepancy and any proposed corrective action the airline or other aircraft operator plans to take. A reasonable deadline for response must be given, and all dialogue with the airline must conclude before the Agreed Historic Deadline for the subsequent equivalent season.

9.4.3.2 Coordinators should try to identify slot performance issues as soon as possible and contact the airline or other aircraft operator concerned in a timely manner, giving it the opportunity to take corrective action during the current season.

9.4.3.3 If an adequate explanation is provided or appropriate corrective action is taken by the airline or other aircraft operator, the coordinator should continue to monitor the situation. Where appropriate, the coordinator should also notify the airport

managing body of the corrective action taken by the airline or other aircraft operator.

- 9.4.3.4 If the airline or other aircraft operator does not respond by the deadline provided or provides inadequate explanation, or if the proposed corrective action is insufficient, the coordinator may next consider appropriate enforcement action.

#### **9.4.4. Enforcement Action**

- 9.4.4.1 If the airline-coordinator dialogue process is unsuccessful, enforcement action shall be considered for intentional or repeated slot misuse. When deciding whether to pursue any enforcement action, in accordance with these guidelines and applicable law, the coordinator should consider whether the slot misuse was:

- a) following a warning issued as part of the pre-operation analysis process;
- b) a first occurrence or part of a pattern of misuse;
- c) part of a series of slots or an ad hoc operation; or
- d) likely to impact the airport, ATC operations, or other airlines

- 9.4.4.2 Enforcement actions for intentional or repeated slot misuse may include:

- a) Referral of the matter to the airport's Coordination Committee or other competent body;
- b) Loss of historic precedence for the series of slots involved in the next equivalent season;
- c) A lower priority for that airline for new future slot requests in the next equivalent season;
- d) Withdrawal of the series of slots involved for the remaining portion of the current season; or
- e) Sanctions (including financial sanctions) under applicable law.

- 9.4.4.3 There are circumstances where slot misuse is initially not deemed intentional but may become intentional during the season if the airline or other aircraft operator concerned does not take effective corrective actions following correspondence with the coordinator.

- 9.4.4.4 Coordinators should communicate any actions taken by them against airlines or other aircraft operators to the airport managing body and other stakeholders (ideally through the Slot Performance Committee).

## **9.5. THE COORDINATION COMMITTEE AND SLOT MONITORING**

### **9.5.1. The Coordination Committee**

9.5.1.1 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. Sub-groups of the Coordination Committee, such as a Slot Performance Committee, can be used to focus on specific functions of the Coordination Committee, or specific relevant topics.

9.5.1.2 Certain tasks of the Coordination Committee relate to slot monitoring. These are to:

- a) Mediate in case of complaints from airlines or other aircraft operators related to slot allocation or slot monitoring which cannot be resolved between the airline or other aircraft operator and the coordinator in a mutually agreeable way;
- b) Oversee the activities of the sub-groups of the Coordination Committee, such as a Slot Performance Committee, where these exist; and
- c) Advise the coordinator on methods of slot monitoring, where a Slot Performance Committee does not exist.

#### **9.5.2. The Slot Performance Committee**

9.5.2.1 A Slot Performance Committee should be established as a possible sub-group of the Coordination Committee at Level 3 airports. The role of the Slot Performance Committee shall be performed by the Coordination Committee if a Slot Performance Committee is not established.

9.5.2.2 The Slot Performance Committee's objective is to advise the coordinator on any slot monitoring issues, with the objective of improving punctuality and reducing slot misuse. The Slot Performance Committee shall also guarantee a fair judgment of potential slot misuse.

9.5.2.3 The principal tasks of the Slot Performance Committee are to:

- a) Determine trends that could lead to potential slot misuse at the airport, and where appropriate recommend corrective actions;
- b) Identify and set goals within the Slot Performance Committee to address these trends, in order to enhance the performance and effective utilization of available airport capacity;
- c) Provide guidance and advice to the coordinator on any matters related to slot misuse;
- d) Establish, if required, a working group or other dispute resolution mechanism to mediate between the coordinator and an airline or aircraft operator where differences of interpretation on slot misuse exist; and
- e) Subject to applicable law, to make available upon request any information disclosed within the Slot Performance Committee to all airlines and other

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aircraft operators using the airport, and to permit their representatives as observers to Slot Performance Committee meetings.

The Slot Performance Committee does not replace the function of slot monitoring activities performed by the coordinator.

9.5.2.4 Only matters related to slot performance may be discussed during Slot Performance Committee meetings, and due consideration should be given to applicable competition laws (following consultation with legal counsel, if necessary). Attendees should not divulge any competitively sensitive information at such meetings. By way of non-exhaustive example, attendees should not share information regarding pricing, costs, route schedules, route changes, aircraft capacity, use of a particular aircraft type or a particular aircraft on a route, or any information regarding an airline's commercial strategy. To the extent that an airline or other aircraft operator facing a hearing needs to convey such information to the coordinator, the other attendees should be warned at the beginning of the hearing so that arrangements can be made for any other attendees present to leave the meeting while such matters are discussed.

9.5.2.5 Membership of the Slot Performance Committee should include (but not necessarily be limited to):

- a) The airport managing body;
- b) Representatives with scheduling expertise from two or three airlines or other aircraft operators that best represent the traffic mix at the airport, to be selected by the airlines or other aircraft operators serving the airport;
- c) The coordinator, as an advisor; and
- d) An ATC representative.

9.5.2.6 The members of the Slot Performance Committee need not be members of the Coordination Committee. Members of the Slot Performance Committee shall have the necessary knowledge, expertise, and mandates to serve on the Slot Performance Committee and to actively contribute to its discussions.

9.5.2.7 The chairperson (and vice-chairperson, if any) and secretary of the Slot Performance Committee should be appointed by the airport managing body.

9.5.2.8 Meetings of the Slot Performance Committee shall be held as required, typically on a quarterly basis.

9.5.2.9 Descriptions of the problems discussed by the Slot Performance Committee should be published following its meetings.

9.5.2.10 Complaints regarding the functioning of or the advice issued by the Slot Performance Committee shall be directed in the first instance to the board of the Coordination Committee.

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## **PART 3: PROCESS**

### **10 WORLDWIDE COORDINATION AND FACILITATION PROCESS**

#### **10.1 AUTHORIZED REPRESENTATIVES AND COMMUNICATION**

10.1.1 Coordinators and facilitators should ensure that all communication about slots, schedules, and other matters are received from and sent to an address approved by the submitting airline, as notified to the coordinator and facilitator.

10.1.2 The contact details for communication with coordinators and facilitators can be found at [www.iata.org/wsg](http://www.iata.org/wsg).

#### **10.2 CALENDAR OF COORDINATION ACTIVITIES**

10.2.1 The coordination and facilitation processes are driven by the [Calendar of Coordination Activities](#), found in these guidelines and at [www.iata.org/wsg](http://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.

#### **10.3 AVAILABILITY OF AIRPORT CAPACITY**

10.3.1 The coordination parameters must be provided by the airport managing body or other competent body to the coordinator or facilitator well in advance of each IATA season but not later than 7 days before the Initial Submission Deadline.

10.3.2 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, including all functional limitations at the airport such as runway, terminal, airspace, and environmental restrictions.
- b) The actual utilization of declared capacity using a typical busy week of the previous equivalent season. This data should illustrate the detailed schedule limitations at the airport for each coordination parameter indicating where capacity is full or available.

10.3.3 Coordinators and facilitators websites should display this information and highlight any recent changes in capacity and demand. Links to these websites are available at [www.iata.org/wsg](http://www.iata.org/wsg) and at [www.wvacg.org](http://www.wvacg.org).

10.3.4 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.

#### **10.4 DETERMINATION OF HISTORIC SLOTS BY COORDINATORS**

10.4.1 Coordinators must provide each airline with the details of their historic slots at Level 3 airports 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.
- 10.4.2 For the summer season, where historic slots are granted prior to the end of the summer season, the historic slots must be regarded as provisional until the season is completed and the 80% usage has been verified.
- 10.4.3 The coordinator must publish the date when SHLs were sent for each airport by the SHL Deadline at [www.wwacg.org](http://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.
- 10.4.4 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 or 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.
- 10.4.5 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.
- 10.4.6 Facilitators of Level 2 airports may, upon request or by bilateral agreement, provide a list of flights operated on a regular basis during the previous equivalent season to aid airlines in making their initial submissions. The SHL message format may be used for this purpose.

## **10.5 REVIEW OF HISTORIC SLOTS BY AIRLINES**

- 10.5.1 Airlines must review the SHL message and acknowledge its receipt to the coordinator. If an airline disagrees with the determination of historic slots, then it must contact the coordinator as soon as possible but no later than the Agreed Historic Slots Deadline. This will allow differences to be resolved before the Initial Submission Deadline.
- 10.5.2 No new differences related to the SHLs will be considered by the coordinator after the Agreed Historic Slots Deadline.
- 10.5.3 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.
- 10.5.4 Airlines that do not receive an SHL message must request the SHL from the coordinator. Airlines should consult [www.wwacg.org](http://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.

## **10.6 COMMUNICATION OF BUSINESS PLANS BETWEEN AIRLINES, AIRPORT MANAGING BODY, AND COORDINATOR**

- 10.6.1 In addition to formally applying for slots at a Level 3 airport, each airline should also have the opportunity to explain to the coordinator its operational constraints, business priorities, and plan for that airport, to assist the coordinator in obtaining a holistic view of the airline's slot requests. In return, the coordinator may give the airline advice with respect to how the available capacity and potential allocation of slots may impact its plans. This opportunity should occur before the Initial Submission Deadline. The information provided to the coordinator by the airline might include confidential information and therefore the coordinator shall not share that information to any other party, unless specifically authorized by the airline.
- 10.6.2 Likewise, the airport managing body of any Level 3 airport should also have the opportunity to explain to the coordinator the business and expansion plans of its airport, to assist the coordinator in obtaining a holistic view of how the available capacity may be allocated and impact these plans. This opportunity should occur before the Initial Submission Deadline. The details of the business plan conveyed to the coordinator by the airport managing body might include confidential information and therefore the coordinator shall not share that information with any other party, unless specifically authorized by the airport managing body.
- 10.6.3 This exchange of information is solely to assist the coordinator in understanding the impact of allocation on the various business plans of airlines and the airport managing body and must be done without compromising the independence of the coordinator. All discussions should in principle take place prior to initial coordination, to allow the coordinator to complete this task without distraction or influence. The coordinator must continue to apply the primary and secondary criteria of 8.3 and 8.4 in a neutral, transparent, and non-discriminatory manner. The coordinator shall not disclose the competitively sensitive information it receives from airlines or airport managing bodies with other airlines or airport managing bodies. No party shall act in any way contrary to applicable competition or other laws.

## **10.7 INITIAL SUBMISSIONS BY AIRLINES**

- 10.7.1 Initial submissions for all Level 2 and Level 3 airports must be made by 23:59 UTC on the Initial Submission Deadline date set in the [Calendar of Coordination Activities](#). Airlines should submit their initial submissions as early as possible to assist the coordinators.
- 10.7.2 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.
- 10.7.3 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.

- 10.7.4 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.
- 10.7.5 If a change to historic slots is desired for a flight between two or more Level 3 airports, then the airline should discuss the change with the coordinators concerned prior to making its initial submission. This may reduce the risk of the requested change being allocated at one airport but not at the other.
- 10.7.6 Once an airline's request for a change to a historic slot has been accepted by the coordinator, the airline cannot subsequently claim its original historic slot.
- 10.7.7 Airlines should be available to answer questions about their submission from the coordinator or facilitator following the Initial Submission Deadline.
- 10.7.8 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.

## **10.8 USE OF SSIM ACTION CODES AND SUPPLEMENTARY INFORMATION**

- 10.8.1 Airlines should use the appropriate SSIM Chapter 6 action codes in their initial submission to clearly communicate their intentions to coordinators and facilitators.
- 10.8.2 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); and
  - c) Advise the coordinator when requesting new slots or time changes for a year-round operation.
- 10.8.3 For Level 2 and Level 3 airports, airlines should:
- a) Indicate whether 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; and
  - d) Advise whether they are constrained by a curfew or other operational constraint.

## **10.9 ENSURING RECEIPT OF INITIAL SUBMISSIONS**

- 10.9.1 It is the responsibility of each airline to ensure that its initial submission has been received by the coordinator or facilitator. 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. If no acknowledgement is received, the airline must immediately contact the coordinator or facilitator concerned. Failure to do so may result in the airline's submission not being considered during Initial Coordination and any historic slots being allocated to other airlines.
- 10.9.2 If an airline with historic slots fails to make an initial submission or has failed to apply for some of its historic slots, 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.

## **10.10 INITIAL COORDINATION**

- 10.10.1 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.
- 10.10.2 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.

If the airline's requested time is not available, then coordinators and facilitators should follow the principles below when making offers during 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 historic slot time, 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 and facilitators should take into account the Timing Flexibility range indicated by an airline but should not place the airline at a disadvantage for having included 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.

- 10.10.3 Coordinators and facilitators must use the recognized message formats and codes in the SAL message, as described in SSIM Chapter 6.
- 10.10.4 Airlines that do not receive a SAL message must request it from the coordinator or facilitator. Airlines should consult [www.wwacg.org](http://www.wwacg.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.
- 10.10.5 As soon as all SALs are distributed for their airport(s), coordinators and facilitators must make the data for that airport available to all airlines and to the airport managing body. This data must contain full details by airline of all allocated times and outstanding requests and be up to date at the time of the request. The data should be available on the coordinator's or facilitator's website to facilitate access. If website access is not available, the coordinator or facilitator must make the data available to airlines and to the airport managing body upon request. Airlines should use SIR format as described in SSIM Chapter 6 for these requests and the data should be provided to them in SIR format, including waitlist tags, as described in SSIM Chapter 6.
- 10.10.6 Coordinators and facilitators must not disclose details of initial submissions to any other party before the SALs are distributed for the airport.

### **10.11 POST SAL ACTIVITY (ACTIVITY AFTER SAL DISTRIBUTION)**

- 10.11.1 The post SAL period commences once all SALs have been distributed to all airlines serving the airport and continues until at least 3 days before the start of the SC.
- 10.11.2 During the post SAL period, coordinators and facilitators may enter into dialogue with any airline regarding its requirements provided the coordinator or facilitator ensures that:
- a) SALs have been distributed to all airlines serving the airport;
  - b) data is available to all airlines as specified in 10.10.6;
  - c) fair and equal treatment is provided to all airlines serving the airport; and
  - d) slots are allocated in accordance with the priorities outlined in 8.3 and 8.4 and in accordance with the waitlist described in 10.15 at all times.

During the post SAL period face-to-face meetings between coordinators or facilitators and airlines to discuss slot allocation issues are not permitted.

- 10.11.3 Airlines may seek schedule improvements, request new slots, and make changes to allocated slots. Slots may also be swapped or transferred between airlines, subject to the provisions of 8.12 and 8.13. In particular, the acceptance of offers and cancellation of unwanted slots is encouraged in order to improve the efficiency of the SC.

**10.12 ACTIVITY AT THE SLOT CONFERENCE**

- 10.12.1 The twice-yearly SC is the primary forum for 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.
- 10.12.2 All airlines (IATA and non-IATA) with an operating license or that have applied for an operating license may participate in the SC.
- 10.12.3 Coordinators and facilitators are required to participate in the SC.
- 10.12.4 Invited observers from other interested parties may also attend the SC.
- 10.12.5 All airline, coordinator and facilitator delegates attending the SC must be accredited and registered in advance with IATA. Heads of each delegation are responsible for the timely registration and proper accreditation of their airline's delegation. The SC accreditation process can be found at [www.iata.org/wsg](http://www.iata.org/wsg).
- 10.12.6 First-time attendees (airlines, coordinators, facilitators, and observers) should contact IATA at least 30 days in advance so that prior administrative arrangements may be made, and to be briefed about their participation.
- 10.12.7 Appointments during the SC should not be used to deal with current season issues. However, coordinators and facilitators must maintain the capability of handling current season issues during the dates when the SC is convened.

**10.13 MEETINGS AT THE SLOT CONFERENCE**

- 10.13.1 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.
- 10.13.2 The coordinator or facilitator should meet with the accredited airline delegate(s) to discuss any adjustments required and to confirm any agreed changes.
- 10.13.3 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.
- 10.13.4 Appointments for meetings at the SC should be made using the IATA AppCal.
- 10.13.5 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.
- 10.13.6 Heads of Delegation (HODs) should actively participate in the HOD meetings held during the SC.

**10.14 POST SLOT CONFERENCE ACTIVITY**

- 10.14.1 The coordination process continues after the close of the SC. Reallocation is a continuous process. Requests must be processed by coordinators and facilitators as soon as possible, and immediately where requests can be confirmed automatically. All requests must be processed within 3 business days or, if this is not possible, acknowledged with a pending reply. If an airline does not receive a reply within 3 business days, it should contact the coordinator or facilitator for clarification of the status of the request.
- 10.14.2 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.
- 10.14.3 Offers of slots made by a coordinator are valid for 3 business days, unless otherwise stated. Airlines should reply to offers as soon as possible and 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.

**10.15 MANAGING THE WAITLIST**

- 10.15.1 Coordinators and facilitators must maintain a record of all outstanding requests and review it regularly, during and after the SC, and especially at the Series Return Deadline. Coordinators and facilitators should try to satisfy outstanding requests as soon as possible using the priorities outlined in 8.3 and 8.4.
- 10.15.2 Coordinators and facilitators should ask airlines to confirm that they wish to keep their outstanding requests on the waitlist, particularly around the Series Return Deadline and before the start of each season. The coordinator or facilitator 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.
- 10.15.3 Requests with no slot allocated should be deleted by the coordinator after the Series Return Deadline, unless the airline asks the coordinator to retain the outstanding requests on the waitlist.

**10.16 SLOT RETURNS**

- 10.16.1 Airlines must return all series of slots that they do not intend to operate at a Level 3 airport no later than the Series Return Deadline. Airlines must also cancel any flights that they do not intend to operate at a Level 2 airport by this deadline.
- 10.16.2 Airlines should make all public holiday and other ad hoc cancellations on or before the Historic Baseline Date of 23:59 UTC on 31 January (summer) and 23:59 UTC on 31 August (winter) so that such cancellations are not taken into account in the Use it or Lose it calculation.
- 10.16.3 Coordinators should maintain a list of airlines that return series of slots after the Series Return Deadline. This list will indicate the total number of slots held by each airline on the Series 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.

- 10.16.4 Each list should contain separate figures for the three most recent equivalent seasons.
- 10.16.5 Care should be taken in interpreting these figures as they may include the cancellation of slots for operational reasons (for example, closure of airport or airspace) or commercial reasons (for example, public holidays).

### **10.17 SLOT ALLOCATION FOR AD HOC OPERATIONS**

- 10.17.1 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 Series Return Deadline.
- 10.17.2 Requests for ad hoc operations at Level 2 airports and in off-peak periods at level 3 airports should be processed as soon as possible after the SC.
- 10.17.3 In some cases, the coordinator may need to consider ad hoc requests before the Series Return Deadline in order to give operators sufficient notice – for example, when a major holiday occurs at the start of a season.

### **10.18 CHANGES ON THE DAY OF OPERATION**

- 10.18.1 Coordinators should establish procedures for slot allocation outside of normal business hours.
- 10.18.2 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.
- 10.18.3 Airlines should not notify coordinators and facilitators of on-the-day equipment changes, or operational variations (for example, delayed flights or weather disruptions) to their allocated slots.
- 10.18.4 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).
- 10.18.5 Airlines should notify the coordinator of on-the-day cancellations so that the slots can be reallocated to other carriers.

## **11 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 Historics 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.

**ATC:** Air Traffic Control.

**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. Any references to a Coordination Committee in these guidelines also apply to any sub-group that the Coordination Committee may have created to address the relevant matters.

**Coordination Parameters:** the maximum capacity available for allocation at an airport considering the functional limitations at the airport such as runway, apron, terminal, airspace, and environmental restrictions declared by the airport or other competent body.

**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.



## Terms and Abbreviations

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**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).

**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 23:59 UTC on 31 January (summer) and 23:59 UTC on 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 SC.

**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 schedule adjustments mutually agreed between the airlines and facilitator.

**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 7 slots at that airport on that day. In other words, an airline could schedule 3 rotations per day (3 arrivals and 3 departures, requiring 6 slots) as a new entrant.

**Pool:** see Slot Pool.

**Responsible Authority:** the government department, directorate, authority or agency with responsibility for oversight and regulation of the airport concerned.

**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.

**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 allocated for the same or approximately same time on the same day-of-the-week, distributed regularly in the same season.

**Series Return Deadline:** the date by which airlines must return series of slot that they do not intend to operate, as set out in the Calendar of Coordination Activities.

**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).

**Schedules Publication Group (SPG):** An IATA Group formed of Member Airlines, Facilitators and Slot Coordinators as well as Strategic Partnership Members. The SPG is responsible for the development and maintenance of industry standards concerning Airline Schedule information and data standards and associated business requirements. To view and/or participate in the activities under this Group, please access <https://standards.iata.org>

**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 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 possible sub-group of the Coordination Committee formed to advise the coordinator on methods of slot monitoring, with the objective of

improving punctuality and combating slot misuse. If a Slot Performance Committee has not been created, the references in these guidelines to a Slot Performance Committee shall instead apply to the relevant Coordination Committee.

**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 at initial allocation after unchanged historic slots are allocated, including any newly created slots.

**Slot Swap**: a process whereby allocated slots are swapped on a one-for-one basis between airlines at the same airport.

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

**Slot Messaging Group (SMG)**: Slot Messaging Group (SMG): An IATA Group formed of Member Airlines, Facilitators and Slot Coordinators as well as Strategic Partnership Members. The SMG is responsible for the development and maintenance of industry standards dealing with matters concerning information exchange and data requirements to Airport slot/schedule coordination processes. To view and/or participate in the activities under this Group, please access <https://standards.iata.org>

**Standard Schedules Information Manual (SSIM)**: The SSIM provides the industry standards consisting of data processing, messaging formats and procedures to be used for the exchange of airline schedules information and when communicating airport coordination information. SSIM includes references to other associated IATA resolutions and recommended common practices as well as industry code sets such as IATA Aircraft Types, Passenger Terminal Indicators and UTC-Local Time Comparisons pertaining to schedules data standards. The SSIM standards are maintained by the Schedules Publication Group (SPG) in collaboration with the Slot Messaging Group and the Minimum Connect Times Group.

**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.

**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.

### 12 DOCUMENTS AVAILABLE ON THE WEB

The following reference documents can be found on [www.iata.org/slots](http://www.iata.org/slots) or by clicking on the document link:

- [Slot Conference Guide](#)
- [Slot Policy Working Group \(SPWG\) - Terms of Reference](#)
- [Joint Slot Advisory Group \(JSAG\) – Terms of Reference](#)
- [Membership of the Slot Policy Working Group](#)
- [Membership of the Joint Slot Advisory Group](#)

The following WSG Annexes can be found on [www.iata.org/wsg](http://www.iata.org/wsg) or by clicking on the document link:

[11.1 IATA Slot Conference – Standing Working Arrangements](#)

[11.2 IATA Standards for Airport Capacity Analysis](#)

[11.3 Recommended Minimum System Requirements for Airlines and Coordinators](#)

[11.4 Notification of Airport Level Change](#)

[11.5 Independence of the Coordinator](#)

[11.6 Contact list for Level 2 and Level 3 Airports](#)

[11.7 Proposal for Revision of the WSG](#)

[11.8 Best Practice Guidelines for the Use of Data Analysis in the Slot Performance Process](#)