

## Definition of series and determination of historic rights.

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The initial slot request is the key milestone for the allocation of (series of) slots for a new IATA season. The Historic Baseline Date (HBD) is the milestone to create the baseline that is used to evaluate the compliance to use-it-or-lose-it rules. It is therefore crucial that on both sides of the routes operated by the airlines, the series that will be eligible to obtain historic rights at the end of the season are determined on the same basis. But the European Slot Regulation and the WASG leave room for interpretation. In the past decades a practice has arisen with differences between coordinated airports. This may create distortion of competition between airports or airlines.

Therefore, several European coordinators have developed this guidance with the objective to promote that the determination of historic rights is done in a harmonised manner, guided by the prime objective of airport slot coordination to ensure the most efficient declaration, allocation, and use of available airport capacity. It will optimise benefits to consumers, considering the interests of airports and airlines.

This guideline harmonises processes as much as necessary and provides leeway where this serves the primary objective of airport slot coordination.

Historic rights can only be assigned to series of slots (not to individual slots). It's therefore crucial to first define a series of slots and second determine the calculation method of the historic rights, based on which the SHL can be drawn up. The structure of this document consists of these 2 parts. Both parts are inextricably linked.

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### Part 1: Definition of "series of slots".

#### Definitions of the WASG and the European Slot Regulation.

##### WASG

*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.*

##### European Slot Regulation

**Art.2.(a)** 'slot' shall mean the permission given by a coordinator in accordance with this Regulation to use the full range of airport infrastructure necessary to operate an air service at a coordinated airport on a specific date and time for the purpose of landing or take-off as allocated by a coordinator in accordance with this Regulation

**Art.2.(k)**: 'series of slots' shall mean at least five slots having been requested for the same time on the same day of the week regularly in the same scheduling period and allocated in that way or, if that is not possible, allocated at approximately the same time

The definitions of slots and series are important at HBD and for series created or extended after HBD, because this milestone is the reference point for the evaluation of the compliance of the usage of slots for the determination of historic rights and the creation of the historic lists (SHL) for the next equivalent season.

**Interpretation (based on primary objective of slot coordination: efficient use of capacity):**

- “5 slots” means minimum 5 consecutive weeks or fortnight weeks (other patterns may be accepted by coordinators when can be demonstrated as being regular).
- A valid series of slots can be composed of several periods each of minimum 5 consecutive weeks at the same time on the same day-of-week provided the series of slots are for the same service.
- The same time must be seen within the context of the coordination parameter for the airport. Coordinator should publish the coordination parameter used as reference for its definition of “same time” on the coordinator’s website.
- The definition of a slot for the purposes of determining a series held at HBD means “operating an air service (...) on a specific date and time (...)”. A series of slots is recognized by being the same flight number, direction (Dep/Arr), origin/destination, day-of-week, and same time as defined.
- Post HBD changes are permitted with the tolerances described in this document.
- For the calculation of compliance with use-it-or-lose-it rules, series that are potentially eligible for historic rights are identified and confirmed at HBD.
- Historic rights of the series (UIOLI rules) are evaluated on the sum of the slots contained in the series across all periods of minimum 5+ weeks recognised as being part of that series/air service.

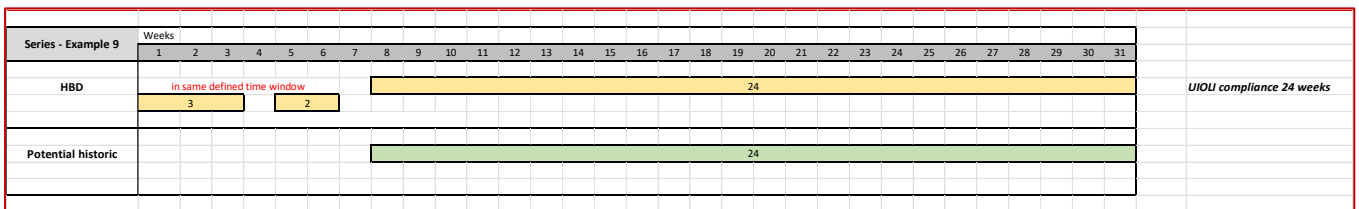
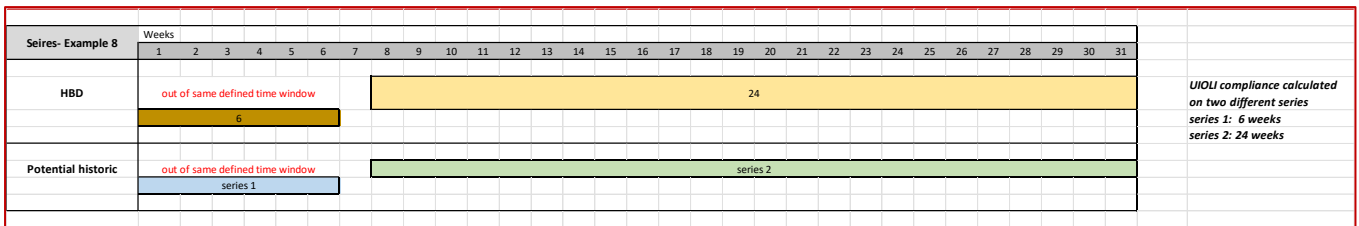
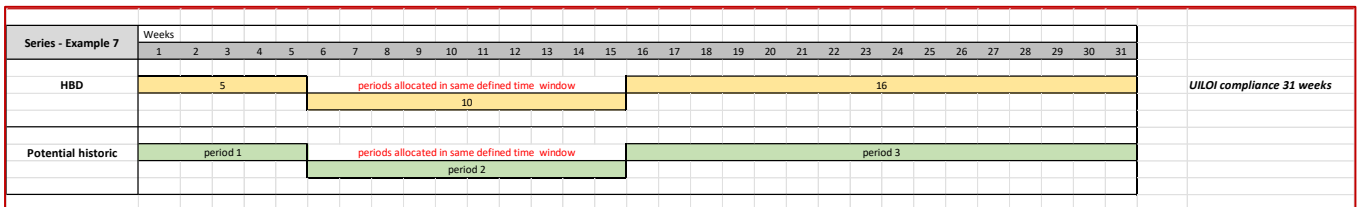
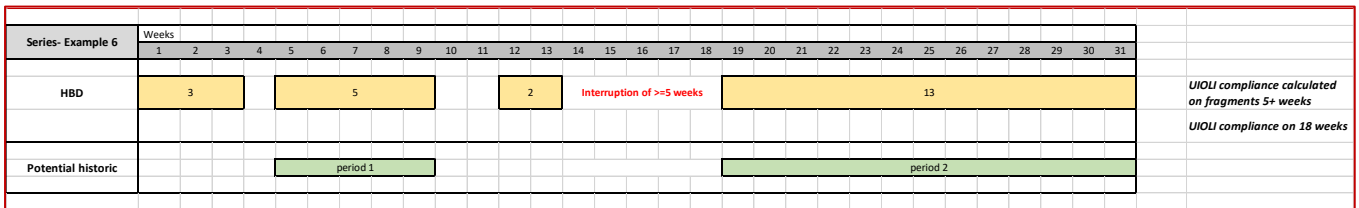
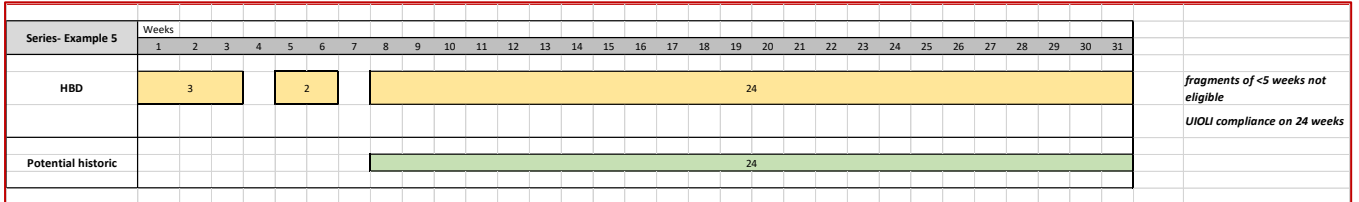
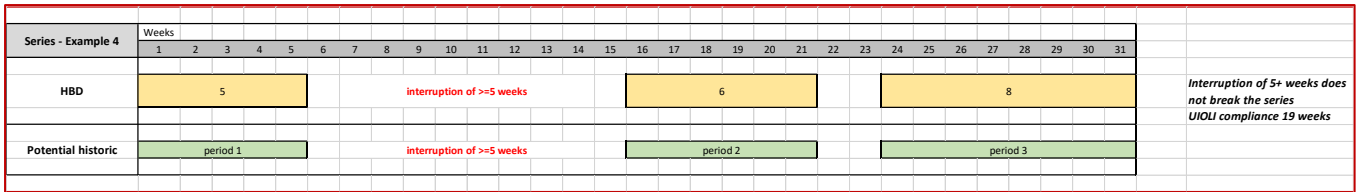
**Examples:**

Below examples are provided as guidance for the determination of historic rights and the composition of the Slot Historic List (SHL).

Series - Example 1	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	31 weeks																															UIOLI compliance 31 weeks
Potential historic	1 series																															

Series - Example 2	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	14														16																	UIOLI compliance 30 weeks
Potential historic	period 1														Period 2																	

Series - Example 3	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	5					interruption of >5 weeks										16																Interruption of 5+ weeks does not break the series UIOLI compliance 21 weeks
Potential historic	period 1					interruption of >5 weeks										period 2																



## Part 2: Usage of series of slots (use-it-or-lose-it rule).

Air carriers must operate 80% of the slots allocated to a series of slots it holds at HBD to be granted historic rights of the series as allocated at HBD for the next equivalent season. But, for various reasons, the carrier may decide to adjust its program to changing conditions, as well as changing consumer demand.

### 1) use-it-or-lose-it (UIOLI) calculation: examples.

UIOLI - Example 1	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	14														16																UIOLI compliance 30 weeks	
Operated	14														16																30 Ops > 80%	
SHL	period 1														Period 2																	

UIOLI - Example 2	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	5					24																								UIOLI compliance on 29 weeks		
Operated	X	1	X	X	1	24																								26 Ops > 80%		
SHL	5					24																										

UIOLI - Example 3	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	5					24																								UIOLI compliance on 29 weeks		
Operated	X	X	X	X	X	24																								24 Ops > 80%		
SHL	5					24																										

UIOLI - Example 4	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	5					periods allocated in same defined time window 10										16																UIOLI compliance 31 weeks
Operated	5					periods allocated in same defined time window 10										16																31 Ops > 80%
SHL	period 1					periods allocated in same defined time window period 2										period 3																

UIOLI - Example 5	Weeks																															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
HBD	5					periods allocated in same defined time window 10										16																UIOLI compliance 31 weeks
Operated	X	X	X	X	X	periods allocated in same defined time window 10										16																26 Ops > 80%
SHL	period 1					periods allocated in same defined time window period 2										period 3																

### 2) New series allocated after HBD:

Ad-hoc slots allocated after HBD are allocated on a non-historic basis. 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. 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 use-it-or-lose-it calculation.

### 3) Structural changes (5 or more consecutive slots):

Changes of slots for five or more consecutive weeks. Changes like time, number of seats, aircraft type, origin/destination, service type, flight number will not affect historic eligibility of the slot series but may impact the attributes of historic flights as distributed at SHL.

#### a) Calculation of compliance to use-it-or-lose-it:

The change does not affect the calculation of use-it-or-lose-it. The calculation is made on the number of slots of the original series as held at HBD.

Examples:

Series change after HBD		STRUCTURAL CHANGE (>=5weeks)																																	
Example 1		Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31		
HBD		31 weeks																															UIOUI compliance 31 weeks		
Changes after HBD	change 5 weeks	5					21																					5					change 5 weeks		Calculation does not change
Operated		X	X	Op	Op	Op																						Op	Op	Ops	X	X	UIOUI compliance 31 weeks		
SHL		5					21																					5						historic granted to allocated	
or		31 weeks																															all periods aligned to most allocated		

Series change after HBD		STRUCTURAL CHANGE (>=5weeks)																																	
Example 2		Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31		
HBD		31 weeks																															UIOUI compliance 31 weeks		
Changes after HBD	change 5 weeks	5					21																					5					change 5 weeks		Calculation does not change
Operated		X	X	X	X	X																						X	X	X	X	X	More than 20% cancellations		
SHL		ND HISTORIC																																	

#### b) Determination of historic rights in SHL: the decision is influenced by the availability of the slots in the “historic baseline”.

- At the latest at SHL, the coordinator informs the carrier if the time reported on the SHL is the original time allocated at HBD or the latest approved time. The same applies for other capacity relevant parameters such as aircraft type, terminal capacity, domestic/international origin/destination.
- Between SHL and Agreed SHL the airline can discuss the possibilities with the coordinator to provide consumers with convenient schedules that meet demand and are consistent from one season to the next.

#### 4) Ad hoc changes:

##### Tolerance window:

The guidance is that ad hoc time changes of up to +/- **59 minutes\*** off the HBD time are counted towards the use-it-or-lose-it rule.

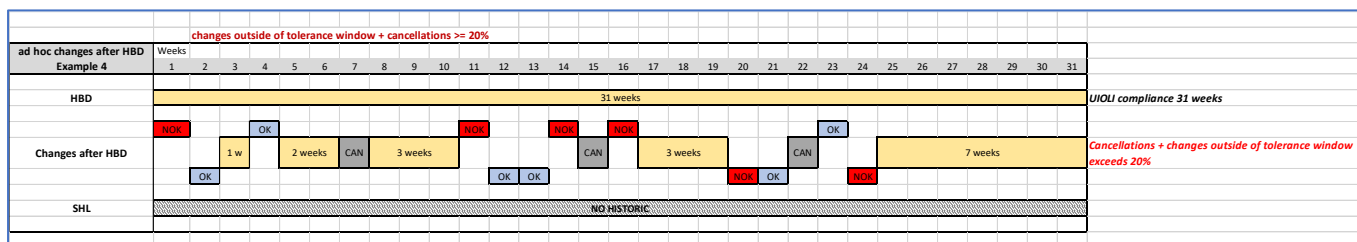
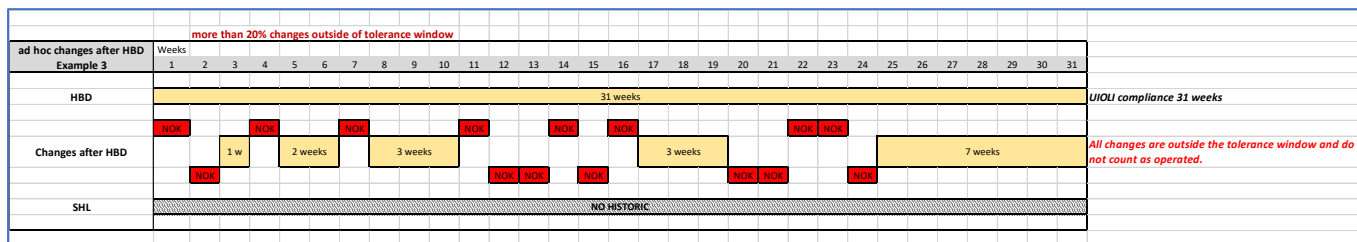
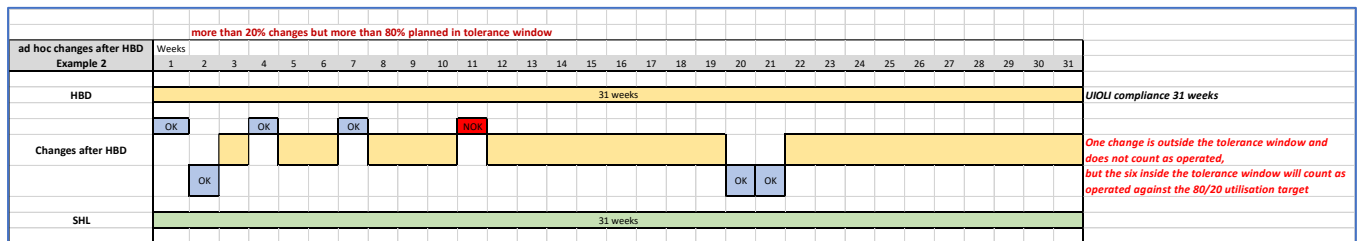
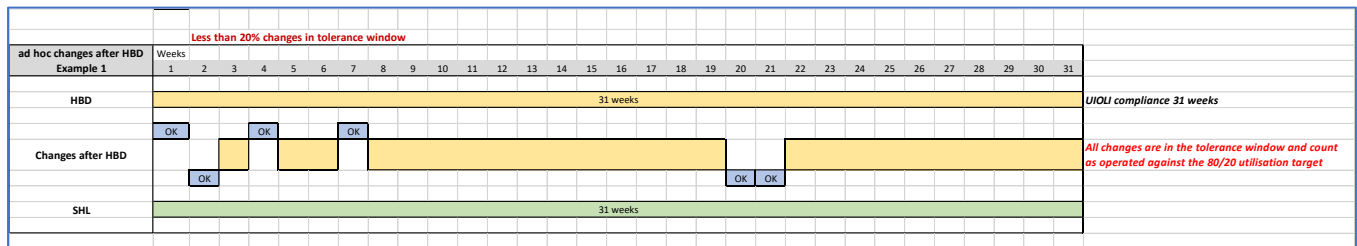
Changes outside of this window are counted like cancellations as “not operated” for the use-it-or-lose-it rule.

*Remark: In this document, the tolerance window applies only for the planning of operations. Deviations in actual operations (punctuality) are part of the slot enforcement.*

*\*Remark: By exception, the coordinator may deviate from the guidance. Coordinator should publish the “tolerance window” on the coordinator’s website.*

##### Examples:

<b>Legend for ad hoc changes:</b>	<b>OK</b>	flight is in tolerance window and counts as operated against 80/20
	<b>NOK</b>	flight is outside tolerance window and does not count as operated against 80/20
	<b>CAN</b>	flight is cancelled and does not count against 80/20



**Remark:**

Airlines cannot use the tolerance window to gain historic rights for series or services that were not operated 80% as allocated at HBD.

**Example:**

Usage of flexibility to gain historic rights for unused series - FORBIDDEN																																		
Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31			
<b>Changes made after HBD</b>	ALL SERIES IN SAME TOLERANCE WINDOW																																	
HBD Series 1	X	X	X																													X	X	X
HBD Series 2				X	X	X	X	X	X	X																								
HBD Series 3										X	X	X	X	X	X																			
HBD Series 4																X	X	X	X	X	X													
HBD Series 5																					X	X	X	X	X	X	X	X						
HBD Series 6																																		X
<b>SHL result</b>	NO HISTORIC RIGHTS																																	
HBD Series 1																																		
HBD Series 2																																		
HBD Series 3																																		
HBD Series 4																																		
HBD Series 5																																		
HBD Series 6																																		

**5) Slots allocated on ad hoc basis after HBD:**

Coordinators will consider the extension of existing series as ad hoc new allocation. 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 and have been operated as a series by the end of the season, may be eligible for historic precedence.

**Examples:**

Merging series by adding ad hoc dates																																			
Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31				
<b>ad hoc changes after HBD</b>	Example 5																																		
HBD																																			
Changes after HBD																																			
SHL or SHL (optional) (if capacity available)																																			

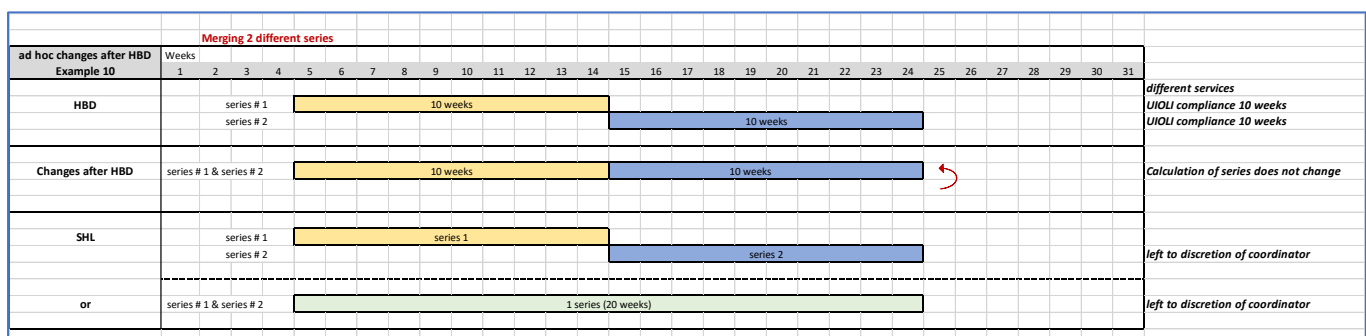
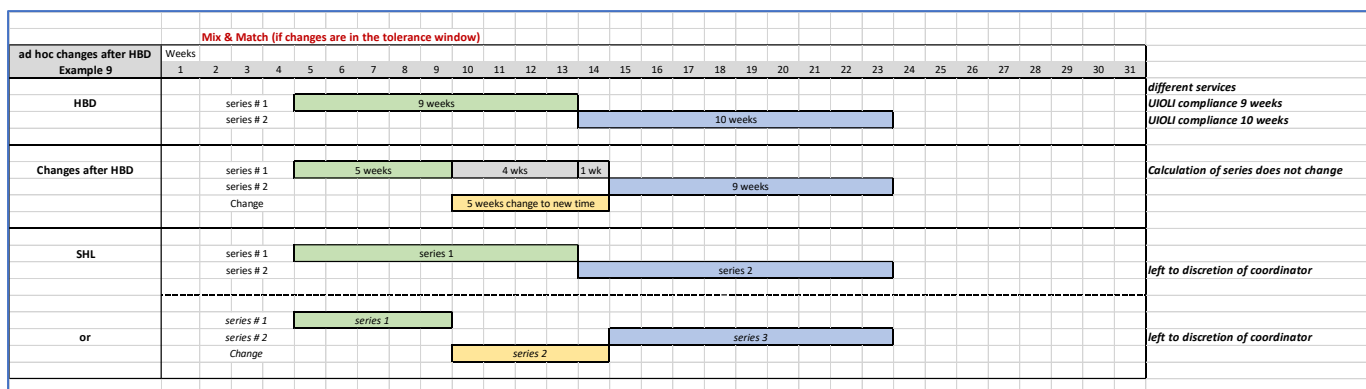
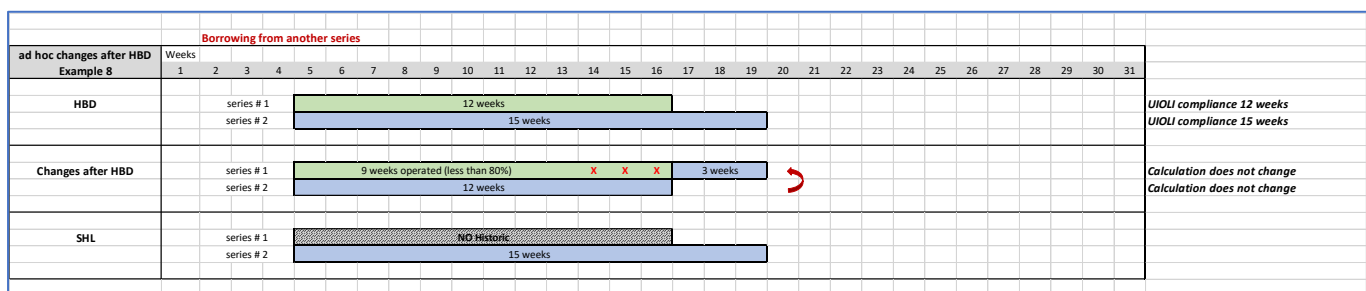
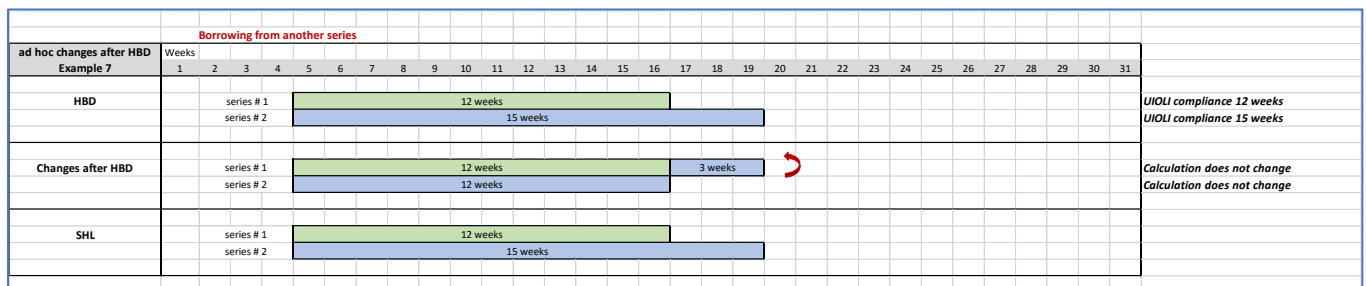
Merging series by adding ad hoc dates																																			
Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31				
<b>ad hoc changes after HBD</b>	Example 6																																		
HBD																																			
Changes after HBD																																			
SHL or SHL (optional) (if capacity available)																																			

## 6) Slots transfers after HBD:

Slots changed to complete another series do not change the compliance target of the series as hold at HBD and do not break the series.

In case of transfer of slot from one airline to another, at SHL the series returns to the airline who was operating the series, unless otherwise agreed between the parties (the two airlines and the coordinator).

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.





## 7) Creation of SHL lists (flexibility):

When creating the SHL, Coordinators may consolidate slots that have passed the utilisation threshold by combining the same series.

- When consolidating fragmented periods of the same service into a longer series, the "same service" means a series of slots operated for the same flight number, direction (Dep/Arr), weekday, origin/destination, and time.
- Provided that the slots periods consolidated in these series are available in the capacity defined for historic rights.
- Where the consolidation of series does not result in a loss of historic entitlement for the airline concerned.

## 8) Additional remarks:

- Potential misuse.
  - Request new slots or hold slots that the airline or other aircraft operator does not intend to operate may be considered as a misuse.
  - Coordinators and schedules facilitators will identify air carriers who are requesting slots in a way that they would benefit from a higher priority in the initial slot allocation. Coordinators or schedule facilitators may decide to give a lower priority level to the initial demand made by this carrier at that airport or for that series of slots in the next season. The coordinator or schedules facilitator will send a list of the cases to the Coordination Committee.
- The present guidance is subject to changes pursuant to change of regulation(s).