

CAAC Slot Management

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CAAC Slot Management

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Concepts and Objectives Related to Slot Management



Concepts of Slot Management

- Slot management refers to the plan operation rights assigned by Slot Management Department to air carriers to enter or depart from port within 1 hour or 15 minutes or to use relevant facilities and services in the specific airports. The slot time is based on planned block and off-block time .

Concepts and Objectives Related to Slot Management



Objectives and Tasks of Slot Management

- (I) To enhance justice, openness and fairness of slot resource allocation; to facilitate orderly flow of slots; and to ensure that air carriers use slots in a legal and equal manner and participates in competition at aviation market fairly.
- (II) To accelerate construction of airport clusters based on functionality, construction of air routes network based on convenience and accessibility to desired destinations and construction of national basic air service based on sharing of development achievements.
- (III) To maximize the utilization of slot resources.
- (IV) To enhance orderly and smooth air traffic; and to increase flight punctuality rate/OTP.
- (V) To build long-term mechanism for prevention and control of clean governance risk.



General Rules of Slot Management

Slot Management Method

- The primary coordinating airports adopt the 24-hour full-time-frame slot coordination allocation and management method. The auxiliary coordinating airports adopt the slot coordination allocation and management method in specific months or specific time frames. The non-coordinating airports adopt the slot management method of “first apply, first granted”. The sequence of priority to match the entry slot and departure slot of the airports is primary coordinating airport, auxiliary coordinating airports and non-coordinating airports.

General Rules of Slot Management

Basic Rules of Slot Management

- (I) Air carriers should have priority to obtain slots from primary coordinating airports and auxiliary coordinating airports in specific months or specific time frames.
- (II) Slot can only be allocated to air carriers.
- (III) Slot should be allocated according to specific operation days in a week.
- (IV) Coordination and allocation of slots is independent of allocation of traffic rights and flights.
- (V) Air carriers have right to reserve the slots according to historic priority.

General Rules of Slot Management

Rules of Historic Priority

- Historic priority of slot may be obtained when the following requirements are met:
 - (I) The slot performance rate in the last flight season during the same period is at least 80%. performance rate of national slots for basic service is at least 65%.
 - (II) Execution time frame should not be less than 2/3 of the entire flight season.
 - (III) Slot is not cancelled or withdrawn.
 - (IV) Historic priority of slot is only applicable to primary coordinating airports and specific months or specific time frames of auxiliary coordinating airports, and not applicable to non-coordinating airports.



General Rules of Slot Management

Calculation Rules of Slot Execution Rate

- Calculation of execution rate of slot should conform to the following rules:
- (I) Execution rate should be calculated according to operation days in a week.
- (II) If a certain flight reserves 2 or more slots at the same time, execution rate of each slot should be calculated separately.
- (III) If joint operation involves 2 or more lots, usage rate of each slot should be calculated separately.

General Rules of Slot Management

Exemption Rules of Statistics of Slot Execution Rate

- Under any of the following circumstances, the slot held by air carriers should be deemed to be used with an execution rate of 80%:
 - (I) The period from the 23rd day of the twelfth month of the lunar year to the 15th day of the first month according to the lunar calendar.
 - (II) The period from December 24 to the first Saturday in January of the next year according to Gregorian calendar.
 - (III) Slots are cut off during important national events
 - (IV) Business of air carriers is interrupted as airports or airspace are closed due to Force Majeure.
 - (V) Slots are cut off during construction period without suspension of air service of the airports.



General Rules of Slot Management

Policies of Cargo Slot

- Coordination and allocation of cargo should conform to the following basic rules:
- (I) Slot is generally from 0 a.m. to 6 a.m.
- (II) Departure should not be arranged from 6 a.m. to 10 a.m. but entry may be arranged from 6 a.m. to 8 a.m.
- (III) Entry should not be arranged from 8 p.m. to 12 p.m., but departure may be arranged from 10 p.m. to 12 p.m.
- (IV) Cargo gathering and distributing airports and those airports dominated by cargo function are gradually opening the counters for slot arrangement in rush hours.
- (V) Management methods of cargo slot in rush hours are the same as those of passenger slot.

Slot Coordination and Allocation Rule

Slot Management by Category

- The primary coordinating airports implement the slot management by categories of international slots and domestic slots and establish international slot pool and domestic slot pool respectively. The international slot pool is used for international flight activities and the domestic slot pool is used for domestic flight activities. The proportion of the two slot pools will remain basically stable subject to the function positioning of the airports and national development strategy.
- The CAAC holds the view that the slots can be categorized further into international slots, slots for Hong Kong, Macau and Taiwan Region, domestic branch slots and national slots for basic service, if necessary.

Slot Coordination and Allocation Rule

Quantification Rule of Priority Slots

- At the change of seasons, the coordination and allocation of slots shall be subject to the following quantification rule of priority slots among the new entrants or the carriers enlisted:
 - (I) Determine the configured slot parameters of the carrier based on the weighted average of the regulatory records of the execution rate, OTP, abused slots and contribution of social responsibility.
 - (II) Determine the configured parameters of the slot effectiveness based on the weighted average of the elements relevant to requested slots such as connectivity of the flights, compliance of development strategy, distance of flight segments, fair and orderly competition, balance of air traffic flow and stability of flight routes etc.
 - (III) Allocate the priority sequence in a descending order by the products of the configured slot parameters and the configured parameters of the slot effectiveness.
 - (IV) Carriers will select slots in the slot pool of priority, and the number of slots selected by one same carrier shall not exceed 50% of the total slots available.



Slot Coordination and Allocation Rule

Waiting List

- At the change of seasons, the coordinator shall make a waiting list of slots based on the determined priority of the allocation and such waiting list shall remain valid until the time of the change of seasons.



Information Publication

- Within 2 weeks after the end of the current season, the management department of slots shall publish the list of primary coordination airports, the list of auxiliary airports, the standard of airport capacity and the slot coordination parameters in the season, proportion of international and domestic slot pools and the proportion of allocation of slots to the new entrants and the enlisted carriers, etc. for the next season during the same period.

Slot Coordination and Allocation Procedure

Coordnation Procedure at Change of Seasons

- The coordination and allocation of international slots for foreign airlines, airlines from Hong Kong, Macau and Taiwan Region and domestic airlines shall be universally subject to the IATA procedure and time points. The coordination and allocation of domestic slots shall be universally subject to the procedure and time points stipulated in this measure herein.

Slot Swap

- Carriers can swap slots in equal quantity and shall be subject to the following rules during slot swap:
- (I) Based on the principle of 1 swap per airport, no compensation or reward shall come into play.
- (II) Slots for swap shall at least have fulfilled a full season of operation and have got the historic slot priority.
- (III) The newly allocated slots that are made based on the purpose of matching schedule of departure and landing and are also within 1 hour frame limitations will not be restricted to the rule of having fulfilled a full season of operation and having got the historic slot priority, and are permitted to engage in slot swap directly.
- Carriers hoping to have slot swap shall make applications to coordinators, which shall affirm and revise the schedule library accordingly for those swaps compliant with the conditions.



Slot Secondary Market Management

Transfer of Slot

- Carriers can transfer slots among them and shall be subject to the following rules during slot transfer:
 - (I) No compensation or reward shall come into play when transferring slots.
 - (II) Slots can only be transferred to another carrier that is operating or plans to operate in the same airport.
 - (III) Slots for transfer shall have at least fulfilled 3 seasons of operation during the same period and have got the historic slot priority.
- Carriers hoping to have slot transfer shall make applications to coordinators, and the slot management division of the CAAC local administration shall affirm and revise the schedule library accordingly after reporting to the slot management department at CAAC and approval thereby.



Slot Secondary Market Management

Proactive Return of Slot

- Carriers shall proactively return slots that will not be used in the near future and shall be subject to the following rules for such returns:
 - (I) Returned slots shall have historic slot priority.
 - (II) The proposal of returning the slots shall be made at least 4 weeks in advance to the coordinators.
 - (III) The frequency of returns is limited to once per season and the returned period shall be continuous calendar weeks and shall not exceed 1/3 of the whole season.
 - (IV) The returned periods will be exempt from the evaluation of the operation rate of the slots, and upon the expiry of the returned periods, such slots shall automatically be active for carriers to use again.
- Coordinators shall put the proactively returned slots by carriers into the pool of slots.



Slot Secondary Market Management



Cancellation of Slots

- Under the circumstances where airport capacities are cut off and important events are held by the country, the slot management department can cancel slots, and such cancellation shall be subject to the following rules:
 - (I) Cancellation of slots shall be made in the predefined priority sequence and notifications shall be made to carriers, airport management institutes and ATC divisions at least 4 weeks in advance, except for emergency outbreak.
 - (II) In principle, slots for operation in international regions or national slots for basic services shall not be canceled.
 - (III) In principle, slots for carriers that only hold 14 or fewer slots per week from the airport shall not be cancelled.
 - (IV) In principle, flight routes that only have 14 or fewer slots per week shall not be cancelled.

Punishment for Slot Abuse

- Carriers with one of the following acts shall be defined as intentional or repetitive abuse of slots, and slot management department will withdraw the slots and will not determine such to be historic slots:
 - (I) Organize and implement flight operation without granted slots.
 - (II) Request slots that no intention of operation is given.
 - (III) The schedules of departure and landing published to the social public are inconsistent with the granted slots.
 - (IV) Operate in evidently different time than slots.
 - (V) Use the granted slots for operation other than stated purposes.
 - (VI) Without consent by coordinators, change flight routes or aircraft types at its own discretion.
 - (VII) Less than 65% of execution rate based on the calculation cycle of 8 continuous weeks.
 - (VIII) Other acts that have conclusive evidence to indicate intentional or repetitive abuse of slots.



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Thank You

