

**Department of Transportation
Federal Aviation Administration**

**SUPPORTING STATEMENT
High Density Traffic Airports; Slot Allocation and Transfer Methods
OMB Control No. 2120-0524**

Introduction

This information collection is submitted to the Office of Management and Budget (OMB) to request a three-year approval clearance for the renewal and revision to information collection entitled High Density Traffic Airports; Slot Allocation and Transfer Methods.

The Federal Aviation Administration (FAA) also requests to revise the title of the collection to Air Traffic Slots Management to more accurately reflect the collection of information related to multiple airports.

Summary of Changes

This would renew the information collection at Ronald Reagan Washington National Airport (DCA) with a reduction in estimated burdens and hours from the current collection. This reduction is due primarily to updated estimates of time associated with information from scheduled carriers and a revision to information from unscheduled operators based on actual recent operations.

The FAA has adopted scheduling limits at John F. Kennedy International Airport (JFK) and LaGuardia Airport (LGA) that requires the allocation of a slot prior to operating during controlled hours. Information collection requirements are similar to those currently in place for DCA. Additionally, the FAA has established a process to review planned airline schedules on a seasonal basis at Chicago O'Hare International Airport (ORD), Los Angeles International Airport (LAX), Newark Liberty International Airport (EWR), and San Francisco International Airport (SFO). Advance information on schedules would be provided to the FAA although information on slot transfers and usage similar to JFK, LGA, and DCA is not required.

A. Justification

1. Circumstances that make collection of information necessary.

The FAA has broad authority to regulate the use of navigable airspace of the United States. Under 49 U.S.C. § 40103(b)(1), the agency is authorized to develop plans for and to formulate policy with respect to the use of navigable airspace and to assign by rule, regulation, or order the use of navigable airspace under such terms, conditions, and limitations as may be deemed necessary in order to ensure the safety of aircraft and the efficient utilization of such airspace. Also, under 49 U.S.C. 40103(b)(2), the agency is further authorized and directed to prescribe air traffic rules and regulations governing the efficient utilization of the navigable airspace.

In 1968, the High Density Traffic Airports Rule (HDR) was issued to address airport congestion at ORD, JFK, LGA, EWR, and DCA, by limiting takeoffs and landings through the use of runway slot controls. The FAA suspended the limits at EWR under the HDR in 1970.¹ On April 5, 2000, Congress enacted the Wendell H. Ford Aviation and Investment Reform Act for the 21st Century (AIR-21).² AIR-21 phased out the HDR at JFK, LGA, and ORD, with only DCA remaining subject to the rule. In addition to phasing out the HDR, AIR-21 also preserved the FAA's authority to impose flight restrictions by stating that “[n]othing in this section . . . shall be construed . . . as affecting the Federal Aviation Administration's authority for safety and the movement of air traffic.”

Since the phase-out of the HDR, the FAA has implemented several initiatives to address congestion and delay issues within the National Airspace System. The FAA has issued Orders limiting operations at JFK, EWR, and LGA.³

The Orders resulted in part from increasing congestion and delays at the airports requiring the FAA to allocate arrival and departure slots at JFK, EWR, and LGA. In April 2016, the FAA announced the decision to reduce slot controls and designate EWR as a Level 2, schedule-facilitated airport under the International Air Transport Association (IATA) Worldwide Slot Guidelines (WSG) based on an updated demand and capacity analysis of the airport.⁴ This change took effect beginning with the winter 2016 scheduling season.

Subpart S of 14 CFR part 93, which remains applicable to DCA only, permits air carrier and commuter operator slots for takeoffs and landings to be transferred for any consideration. This subpart also prescribes procedures for the allocation and use of slots, including a use-or-lose provision. Special procedures apply for flights which fulfill obligations under the Essential Air Service Program, to ensure that a sufficient number of slots will be available for these operations. Sections 93.125 and 93.129 require an operator of an Other (unscheduled) operation at DCA to obtain a reservation from the FAA for that operation.

The Orders in effect at JFK and LGA permit operational authorizations (commonly known as slots) to be transferred for any consideration on a temporary basis not exceeding the effective date of the applicable Order. The Orders include procedures for the allocation and use of slots, including a use-or-lose provision, at the airports. The LGA Order also adopted procedures for obtaining a reservation prior to conducting an unscheduled operation at the airport.

In addition to the recent change at EWR, the FAA has also designated Los Angeles International Airport (LAX), ORD and San Francisco International Airport (SFO) as Level 2 airports (schedule-facilitated) under the IATA WSG.⁵ These Designations

¹ 35 FR 16591 (Oct. 24, 1970).

² Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (AIR-21), Pub. L. 106-181, Sec. 231 (Apr. 5, 2000).

³ Operating Limitations at John F. Kennedy International Airport, 73 FR 3510 (Jan. 18, 2008), as most recently amended 81 FR 40167 (Jun. 21, 2016); Operating Limitations at Newark Liberty International Airport, 73 FR 29550 (May 21, 2008), as amended 79 FR 16857 (Mar. 26, 2014), and expired on October 29, 2016; Operating Limitations at New York LaGuardia Airport, 71 FR 77854 (Dec. 27, 2006) as most recently amended 81 FR 33126 (May 25, 2016). The FAA expects to extend the JFK and LGA Orders beyond the October 27, 2018, expiration.

⁴ Change of Newark Liberty International Airport Designation, 81 FR 19861 (Apr. 6, 2016).

⁵ Notice of Submission Deadline for Schedule Information for O'Hare International, John F. Kennedy International, and Newark Liberty International Airports for the Summer 2009 Scheduling Season, 73 FR 54659 (Sept. 22, 2008); Submission Deadline for Schedule Information for San Francisco International Airport for the Summer 2012

resulted in part from increasing congestion and delays at the airports requiring the FAA to implement a voluntary process to manage operational growth at ORD and SFO. The Level 2 designation was made at LAX due to a long-term construction project expected to reduce runway capacity; therefore, the designation will be reviewed to determine if it should continue beyond the completion of the planned construction at LAX.

At DCA, the air carriers or commuter operators must notify the FAA of: (1) written consent and requests for confirmation of slot transfers; (2) slots required to be returned and slots voluntarily returned; (3) requests to be included in a lottery for the permanent allocation of available slots; (4) reports on usage of slots on a bi-monthly basis; and (5) requests for slots in low-demand hours or other temporary allocations. Other operators must obtain a reservation from the FAA prior to operating an unscheduled operation.

Generally, the information collection requirements of the Orders involve carriers, as well as other operators at LGA, notifying the FAA of their current and planned activities regarding use of the arrival and departure slots at the airport. This is similar to the current collection for DCA. At JFK, carriers must notify the FAA of: (1) written consent and requests for confirmation of slot transfers; (2) requests for seasonal allocation of historic and additional available slots; and (3) reports on usage of slots on a seasonal basis; (4) the return of slots; and (5) changes to allocated slots.⁶ At LGA, carriers must notify the FAA of: (1) written consent and requests for confirmation of slot transfers; (2) slots required to be returned and slots voluntarily returned; (3) requests to be included in a lottery for the permanent allocation of available slots; and (4) reports usage of slots on a bi-monthly basis. At LGA, other operators must request and obtain a reservation from the FAA prior to conducting an unscheduled operation.

At EWR, LAX, ORD and SFO, carriers must notify the FAA of their intended operating schedules during peak hours on a semiannual basis (for each winter and summer scheduling season) based on the IATA WSG Calendar of Coordination Activities and provide updates throughout the year when there are significant schedule changes.

2. How, by whom, and for what purpose is the information used.

This mandated information collection is reported to the FAA by carriers holding a slot at DCA, JFK or LGA; by carriers operating at EWR, LAX, ORD or SFO; and, by operators conducting unscheduled operations at DCA or LGA. The FAA logs, verifies, and processes the requests made by carriers. Reservations for unscheduled operations are recorded by an automated system to provide a confirmation to the operator of a reservation for an unscheduled flight and to maintain the FAA records of approvals and changes to reservations.

Scheduling Season, 76 FR 64163 (Oct. 17, 2011); and Notice of Submission Deadline for Schedule Information for Los Angeles International Airport for the Summer 2015 Scheduling Season, 80 FR 12253 (Mar. 6, 2015). The Level 2 airport designations have been reaffirmed semi-annually and were recently reaffirmed by Notice of Submission Deadline for Schedule Information for Chicago O'Hare International Airport, John. F. Kennedy International Airport, Los Angeles International Airport, Newark Liberty International Airport, and San Francisco International Airport for the Winter 2018/2019 Scheduling Season, 83 FR 21335 (May 9, 2018).

⁶ Seasonal reporting at JFK refers to semi-annual reporting for each winter and summer scheduling season based on the IATA WSG Calendar of Coordination Activities.

The FAA uses the information to allocate and withdraw slots at the three slot-controlled airports, confirm transfers of slots made among carriers, and determine operational demand at the airports. The FAA uses this information on a daily basis in order to maintain an accurate slot base. The FAA also uses this information in order to maintain an accurate accounting of operations to ensure compliance with the Rules and Orders in effect. Information at Level 2 schedule-facilitated airports is used to determine potential periods of congestion and delay before flight schedules are finalized. The FAA uses this information to provide recommendations for schedule adjustments that could reduce potential delays. The FAA also uses this information to help provide access to unscheduled operators seeking access to these airports.

3. Extent of automated information collection.

A significant amount of the reporting requirements involves scheduling information that carriers maintain in computer databases. The FAA has not established a particular format for the submission of such information; therefore, the carriers do not have to alter their databases to meet this reporting requirement. The FAA receives most of the required information from carriers using common industry standard formats for exchanging schedule information, such as those in the IATA Standard Schedules Information Manual.⁷ The FAA has implemented a coordination system that has minimized the reporting burden for carriers by receiving, processing, and responding to schedule requests in industry standard format. Moreover, the airline industry is one of the leaders in the use of improved information technology.

Of the approximately 100 existing slot holders mandated to report usage at DCA and LGA on a bi-monthly basis and at JFK for each summer and winter scheduling season, all submit the necessary information electronically.⁸ In addition, the FAA has established an electronic mailbox for the submission of slot usage reports, requests for confirmation of transferred slots, slot returns, or slot allocation requests. Carriers may also electronically submit all flight schedule requests and changes at Level 2 and Level 3 airports. The FAA replies electronically to slot and schedule requests. Finally, reservations for unscheduled operations may be obtained through an internet or touch-tone system interface, and nearly 100% of reservations are obtained in these manners.

These collection techniques are consistent with the requirements of the Government Paperwork Elimination Act (GPEA).

4. Efforts to identify duplication.

There is no duplication associated with the reporting requirements for slot management.

There are no other data sources that would assign carrier operations to specific slots as these determinations are made by the carriers in most cases, to obtain the other information on the allocation, transfer, or usage of slots, or to assign reservations to unscheduled operations at U.S. slot-controlled, or to obtain accurate, advance carrier schedule plans at schedule-facilitated airports. Accordingly, there is no duplication of reporting requirements.

⁷ <http://www.iata.org/publications/store/Pages/standard-schedules-information.aspx>

⁸ Some carriers operate at more than one slot controlled airport and are counted as a single carrier for reporting purposes.

For carriers submitting schedule information for operations at EWR, LAX, ORD and SFO, there is some schedule information available through other sources (most airlines publish schedules). However, this information source is not accurate (and subject to multiple changes) for advance planning purposes and does not include all planned operations at the airports (e.g., cargo operations). Carriers may also provide proposed schedule information to the FAA for evaluation purposes before it is released for sale to the public. Therefore, this information collection is necessary to obtain accurate data in a timely manner.

5. Efforts to minimize the burden on small businesses.

Most carriers operating at the airports are not small businesses, but some smaller carriers may be classified by DOT as small businesses. The FAA permits reporting in a variety of formats, and small business may choose the least burdensome means.

The requirement that unscheduled operators obtain a reservation through the FAA's Airport Reservation Office ahead of a planned arrival or departure at DCA and LGA will have a nominal impact on small businesses, including general aviation, cargo, charter operators and other unscheduled operators. Unscheduled operators, however, are able to obtain these slots through an automated process on an FAA-maintained website.

6. Impact of less frequent collection of information.

Most reporting of slot transactions occurs on an as-needed basis and is initiated by the carriers. Reporting requirements for unscheduled operators also occurs on an as-needed basis and is initiated by the operators.

For planning purposes, at JFK, EWR, LAX, ORD, and SFO, the FAA requires proposed schedule information to be submitted semi-annually in October for the upcoming summer scheduling season and in May for the upcoming winter scheduling season. The dates correspond with the deadlines for each scheduling season established under the WSG. If this information is collected less frequently, the FAA would be unable to allocate slots or confirm schedules in accordance with the WSG and applicable FAA Orders and Designations. Carriers might also not be able to confirm schedules at airports outside the U.S. if the collection and response periods are not harmonized with standard industry practices.

To ensure compliance with the usage requirements at JFK, the FAA requires carriers to submit an interim and final usage report to the FAA. The interim report is due by September 1 for the summer scheduling season and February 1 for the winter scheduling season. The final report is due no later than 30 days after the end of the respective scheduling season. These dates correspond with slot seasons established under the WSG. This level of reporting frequency ensures that corrective measures can be taken in a timely fashion if slots at an airport are not being used according to minimum usage requirements. If this information is collected less frequently, the FAA would be unable to confirm carrier compliance or maintain an accurate inventory of slots and enforce operational limits.

At DCA and LGA, slots are allocated on a continuing basis subject primarily to minimum usage requirements. Carriers are not required to regularly apply for slots based on a seasonal

basis as is the case at JFK. Carriers are therefore required to provide slot usage reports to the FAA every other month. This level of frequency is necessary to ensure that corrective measures can be taken in a timely fashion if the limited slots at these airports are not being utilized at least 80 percent of the time over a 2-month period. If this information is collected less frequently, the FAA would not be able to maintain an accurate inventory of slots used.

7. Special circumstances.

There are no special circumstances.

8. Compliance with 5 CFR 1320.8: The FAA published a 60-day notice in the Federal Register on March 30, 2018 (83 FR 13809) summarizing the collection effort and burden. No comments were received.

Representatives from FAA's Slot Administration Office meet at least semi-annually for the winter and summer IATA slot conferences. These ongoing meetings provide an opportunity for scheduled carriers to consult with respondents on the information obtained by FAA. Representatives of the business and general aviation operators are located at the FAA's Air Traffic Control System Command Center, which includes the Airport Reservation Office, and provide input as needed on the reservation system for unscheduled operations.

9. Payments or gifts to respondents.

There are no monetary considerations for this collection of information.

10. Assurance of confidentiality:

No assurances are given.

11. Justification for collection of sensitive information:

There are no questions of a sensitive nature.

12. Estimate of burden hours for information requested:

The reporting burden for each required element is presented below.

Unscheduled operations reservation system: The FAA requires operators at DCA to request a reservation prior to operating an unscheduled flight and limits these reservations to 12 per hour. See 14 CFR § 93.123 for the operational limits and §§ 93.125 and 93.129 for the reservation requirement. Accordingly, there are 216 reservations available per day during the eighteen slot-controlled hours. The FAA records indicate the current, average utilization of reservations for unscheduled operations to be 32.4 per day including general aviation, charter, military, and public aircraft.

The FAA requires operators at LGA to request a reservation prior to operating an unscheduled flight and limits these reservations to three per slot-controlled hour. Accordingly, there are 48 reservations available each day from Monday to Friday and 30 available on Sunday. The FAA

does not limit operations on Saturdays or before noon on Sundays. The FAA records indicate unscheduled reservations at LGA are fully allocated on most days with 48 reservations on weekdays and 30 reservations on Sundays.

From historical experience with the unscheduled operation reservation system, the reporting time per reservation is two minutes. The pilots of these unscheduled flights perform many non-flight duties, which include recordkeeping and scheduling. The FAA selected a fully-burdened labor rate of \$68.62 per hour. This labor rate was derived based on the mean earnings of airline dispatchers, pilots, copilots, and flight engineers nationally in nonscheduled air transportation of \$52.62 hourly⁹ plus an applied rate for private industry total employee benefits at 30.4¹⁰ percent estimated as a percentage of the payroll.

DCA:

Daily: 32.4 reservations * (2 minutes per reservation) * (365 days per year) = Total Annual Hourly Burden = 394.2 hours

LGA:

Monday – Friday: (48 reservations per weekday) * (2 minutes per reservation) * (5 days per week) * (52 weeks per year) = Total Annual Hourly Burden = 416 hours

Sunday: (27 reservations per day) * (2 minutes per reservation) * (1 day per week) * (52 weeks per year) = Total Annual Hourly Burden = 46.8 hours

Total annual burden = 857 hours

Total annual cost = (857 hours) * (\$68.62 per hour) = \$58,807

Schedule submissions for upcoming season: The FAA requires carriers at JFK, EWR, LAX, ORD, and SFO to submit their planned schedules or slot requests for the summer and winter scheduling seasons according to a published schedule that corresponds to the IATA timeline.

The FAA estimates a reporting time by carriers per schedule submission of 1.5 hours. A scheduler or an administrative service manager would prepare and submit the schedule requests for the carrier. The FAA selected a fully-burdened labor rate of \$64.81 per hour. This labor rate was derived based on the mean annual hourly rate for Administrative Service Managers nationally of \$49.70 plus an applied rate for private industry total employee benefits at 30.4 percent estimated as a percentage of the payroll.¹¹

JFK:

(85 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) = Total Annual Hourly Burden = 255 hours

⁹ Pilots, Copilots, and Flight Engineers Wage Statistics.” U.S. Bureau of Labor Statistics, United States Department of Labor, 30 Mar. 2018, [www.bls.gov/oes/current/oes532011.htm#\(2\)](http://www.bls.gov/oes/current/oes532011.htm#(2)). DoL Chart 53-2011

¹⁰ “Private Industry, by Major Occupational Group and Bargaining Unit Status.” U.S. Bureau of Labor Statistics, United States Department of Labor, 30 Mar. 2018, www.bls.gov/news.release/ecec.t05.htm. DoL Table 5.

¹¹ “Administrative Services Managers Occupational Wages.” U.S. Bureau of Labor Statistics, United States Department of Labor, 30 Mar. 2018, www.bls.gov/oes/current/oes113011.htm. DoL Table 11-3011.

EWR:

(44 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) = Total Annual Hourly Burden = 132 hours

LAX:

(70 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) = Total Annual Hourly Burden = 210 hours

ORD:

(57 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) = Total Annual Hourly Burden = 171 hours

SFO:

(46 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) = Total Annual Hourly Burden = 138 hours

Total annual burden = 906 hours

Total annual cost = (906 hours) * (\$64.81 per hour) = \$58,718

Schedule updates: In addition to the initial seasonal schedule submissions, at JFK, carriers are required to submit schedule updates to request changes to scheduled operations and slots. At EWR, LAX, ORD, and SFO, the FAA requests that carriers send schedule updates when making major schedule adjustments or changes from the initial submission. These schedule updates and JFK slot requests occur independently of the seasonal schedule submissions and are provided to FAA on a periodic basis as carriers change flight schedules.

The FAA estimates that schedule update notices take approximately 0.1 hours to generate. The FAA estimates approximately 2,200 updates per year for JFK, 960 updates per year for EWR, 1,572 updates per year for LAX, 1,260 updates per year for ORD, and 1,008 updates per year for SFO, based on 2017 data. Most schedule updates and slot requests are generated directly from a carrier's computer scheduling system. A scheduler or an administrative service manager would prepare and submit the schedule updates and slot requests at a fully-burdened rate of \$64.81 per hour.

JFK: (2,200 updates per year) * (.1 hours) = Total Annual Hourly Burden = 220 hours

EWR: (960 updates per year) * (.1 hours) = Total Annual Hourly Burden = 96 hours

LAX: (1,572 updates per year) * (.1 hours) = Total Annual Hourly Burden = 157.2 hours

ORD: (1,260 updates per year) * (.1 hours) = Total Annual Hourly Burden = 126 hours

SFO: (1,008 updates per year) * (.1 hours) = Total Annual Hourly Burden = 100.8 hours

Total annual burden = 700 hours

Total annual cost = (700 hours) * (\$64.81 per hour) = \$45,367

Slot transfers and written evidence of consent for transaction: The FAA permits carriers to trade and lease slots with other carriers. The DCA rules under 14 CFR § 93.221 permit temporary or permanent transfers. The JFK and LGA Orders allow temporary transfers and leases provided the terms of the transaction do not extend past the expiration date of the Orders. Both carriers involved in a transaction must notify the FAA of any slot transaction and must receive FAA confirmation prior to operating the slot.

The FAA estimates a reporting time per slot transaction of 0.1 hours per respondent. The FAA estimates approximately 3,200 transactions per year for DCA based on 2017 data, 4,217 transactions per year for JFK, and 4,624 for LGA. There are two respondents to this information collection because the slot holder (transferor) must first generate a transaction with its consent. Then, the second carrier seeking to operate the slot (transferee) involved in the transaction must provide written consent to proceed. A scheduler or an administrative service manager would prepare and submit the slot transactions at a fully-burdened rate of \$64.81 per hour.

DCA:

(3,200 transfers) * (.1 hour per submission) * (2 respondents) = Total Annual Hourly Burden = 640 hours

JFK:

(4,217 transfers) * (.1 hour per submission) * (2 respondents) = Total Annual Hourly Burden = 843.4

LGA:

(4,624 transfers) * (.1 hour per submission) * (2 respondents) = Total Annual Hourly Burden = 924.8 hours

Total annual burden = 2,408 hours

Total annual cost = (2,408 hours) * (\$64.81 per hour) = \$156,062

Slot withdrawals and returns: At DCA and LGA, slots are required to be used at least 80 percent of the time over a two-month reporting period. At JFK, slots are required to be used at least 80 percent of the time over the course of a winter or summer scheduling season. The FAA may withdraw slots for failure to meet the usage requirement or for other operational needs. Additionally, carriers may voluntarily return a slot to the FAA.

At DCA, 14 CFR § 93.224 sets forth the requirements for notifying the FAA, in writing, of any slot returns, whether required by another provision of subpart S or returned on a voluntary basis. The LGA Order provides for returns in a process similar to DCA. The JFK Order includes a

provision for required slot returns like DCA and LGA, such as failure to meet the minimum slot usage. Additionally, there is a semi-annual slot return deadline for each JFK scheduling season that is similar to international practices in the WSG. This standardized deadline potentially provides opportunities to consider additional slot allocations to other carriers. Although not required by the FAA, some carriers provide periodic notice of *ad hoc* flight cancellations as this is common practice at airports outside the U.S.

The FAA estimates a reporting time per slot return notice of 0.1 hours. A scheduler or an administrative service manager would prepare and submit the slot returns at a fully-burdened rate of \$64.81 per hour.

DCA:

(10 returns per year) * (.1 hours per return) = Total Annual Hourly Burden = 1.0 hours

JFK:

(200 returns per year) * (.1 hours per return) = Total Annual Hourly Burden = 20 hours

LGA:

(2 returns per year) * (.1 hours per return) = Total Annual Hourly Burden = .2 hours

Total annual burden = 21.2 hours

Total annual cost = (21.2 hours) * (\$64.81 per hour) = \$1,374

Request for inclusion in a slot lottery: Carriers are required to notify the FAA if they would like to be included in a slot lottery for the permanent allocation of available slots at DCA under 14 CFR § 93.225 and at LGA under the Order. Lotteries are held on an occasional basis when the FAA determines that sufficient slots are available.

The FAA estimates that requests for inclusion in a slot lottery take approximately 0.1 hours to generate. A scheduler or an administrative service manager would prepare and submit the request for inclusion in a slot lottery at a fully-burdened rate of \$64.81 per hour.

DCA: (15 requests) * (1 lottery) * (.1 hour per request) = Total Annual Hourly Burden = 1.5 hours

LGA: (15 requests) * (1 lottery) * (.1 hour per request) = Total Annual Hourly Burden = 1.5 hours

Total annual burden = 3 hours

Total annual cost = (3 hours) * (\$64.81 per hour) = \$194

Usage reporting: To confirm compliance with the usage requirement at DCA, JFK, and LGA, the FAA requires carriers to submit usage reports to the FAA. At DCA, carriers submit a final report for each two-month reporting period in accordance with 14 CFR § 93.227. At JFK, carriers submit an interim and final report for each scheduling season as provided in the Order.

The interim report is due by September 1 for the summer scheduling season and February 1 for the winter scheduling season. The final report is due no later than 30 days after the end of the respective scheduling season. At LGA, carriers submit a final report for each two-month reporting period as provided in the Order. Usage reports for all airports must detail slot usage for each day of the respective reporting period and include the following information for each slot held: the slot number, airport code, time, and arrival or departure designation; the operating carrier; the date and scheduled time of the actual operation, the flight number, origin and destination, and aircraft type identifier; and whether the flight was conducted.

The FAA estimates a reporting time per usage report of one hour. A scheduler or an administrative service manager would prepare and submit the usage reports at a fully-burdened rate of \$64.81 per hour

DCA:

(10 carriers) * (1 hour per report) * (6 reports per year) = Total Annual Hourly Burden = 60 hours

JFK:

(85 carriers) * (1 hour per report) * (4 reports per year) = Total Annual Hourly Burden = 340 hours

LGA:

(12 carriers) * (1 hour per report) * (6 reports per year) = Total Annual Hourly Burden = 72 hours

Total annual burden = 472 hours

Total annual cost = (472 hours) * (\$64.81 per hour) = \$30,590

Summary totals:

Total annual burden = 5,367 hours

Total annual cost = \$351,112

13. Estimate of total annual costs to respondents.

There are no estimated annual costs to respondents other than those details in Question 12.

14. Estimate of cost to the Federal government.

Unscheduled operations reservation system: The FAA requires operators at DCA and LGA to request a reservation prior to operating an unscheduled flight. The FAA's Airport Reservation Office (ARO) receives and processes all reservation requests. Based on historical experience, the FAA expects most reservations would be made through the automated system. Staffing needed to handle any manual requests and maintain the system is incorporated into the analysis.

The FAA does not expect the unscheduled reservations to require new capital or equipment by the FAA because a reservation system currently exists.

The FAA estimates ARO personnel spend 1 hour per day handling phone calls or web requests regarding reservations at DCA and LGA. All transactions would be processed by a GS-13 step 5 equivalent at a fully-burdened hourly rate of \$72.13 (52.66 * 1.37).¹² The FAA estimates fixed costs of \$10,000 for maintaining the unscheduled reservation system.

DCA:

(.5 hours per day) * (365 days per year) = Total Annual Hourly Burden = 182.5 hours

LGA:

(.5 hours per day) * (365 days per year) = Total Annual Hourly Burden = 182.5 hours

Total annual burden = 365 hours

Total annual labor cost = (365 hours) * (\$72.13 hourly labor) = \$26,327

Total annual fixed cost = \$10,000

Total annual cost = \$26,327 + \$10,000 = \$36,327

Schedule submissions for upcoming season and seasonal schedule updates: The FAA requires carriers at EWR, JFK, LAX, ORD, and SFO to submit their planned schedules or slot requests for the summer and winter scheduling seasons according to a published schedule that corresponds to the IATA calendar of coordination activities. Schedule updates are provided periodically by carriers as their schedules change after the initial, seasonal schedule submission deadline. The FAA's Slot Administration Office receives and processes these requests. Additionally, the FAA's Slot Administration Office sends historic slot allocations in advance of the schedule requests and confirmations/denials/alternative offers of the requests.

The FAA does not expect processing schedule submissions to require new capital or equipment by the FAA because a slot management system currently exists. The FAA estimates annual fixed costs of \$52,000 for maintaining the slot management system required for the various elements of this information collection.

The FAA estimates Slot Administration Office personnel spend 22 days per scheduling season processing the initial schedule submissions for the five airports with semi-annual schedule submissions. The FAA also estimates Slot Administration Office personnel spend an additional 24 days per season processing schedule updates throughout the season. The salary for this person is estimated at a GS-13 Step 5 for a fully-burdened hourly rate of \$72.13.

Total annual burden = (46 days) * (8 hours per day) * (2 seasons) = 736 hours

¹² U.S. Office of Personnel Management, Salary Table 2018-GS, including locality pay for DC-MD-VA-WV-PA for a GS 13 Step 5

“White House Memorandum Updating OMB Circular A-76.” *Executive Office of the President, Office of Management and Budget*, 11 Mar. 2008, www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2008/m08-13.pdf. OMB Circular A-76, as published in 1966 and amended.

Total annual labor cost = (736 hours) * (\$72.13 hourly labor) = \$53,088
Total annual fixed cost = \$52,000
Total annual cost = \$53,088 + \$52,000 = \$105,088

Slot transfers: The FAA permits carriers to trade and lease slots with other carriers. At JFK and LGA, the terms of the transfer may not extend past the expiration date of the Orders. The FAA receives and processes slot transfers and verifies written consent from the carriers.

The FAA estimates Slot Administration Office personnel spend 6 minutes entering slot transaction requests plus another 15 minutes processing and sending written confirmations. The FAA estimates approximately 3,200 transactions per year for DCA based on 2017 data, 4,217 transactions per year for JFK, and 4,624 for LGA. The salary for this person is estimated at a GS-13 Step 5 for a fully-burdened hourly rate of \$72.13. The FAA estimates no additional yearly fixed costs.

DCA:

(3,200 transfers) * (.35 hours per transaction) = Total Annual Hourly Burden = 1,120 hours

JFK:

(4,217 transfers) * (.35 hours per transaction) = Total Annual Hourly Burden 1,476 hours

LGA:

(4,624 transfers) * (.35 hours per transaction) = Total Annual Hourly Burden = 1,618.4 hours

Total annual burden = 4,214.4 hours

Total annual cost = (4,214.4 hours) * (\$72.13 hourly labor) = \$303,985

Slot withdrawals and returns: At DCA and LGA, slots are required to be used at least 80 percent of the time over a two-month reporting period. The JFK Order requires slots to be used at least 80 percent of the time over a scheduling season. The FAA may withdraw slots for failure to meet the usage requirement or for other operational needs. Additionally, carriers may voluntarily return a slot to the FAA. The JFK Order further provides for unneeded slots to be returned by specific deadlines for each scheduling season, similar to industry practices and timelines in the IATA WSG. The FAA receives and processes slot returns and sends notices to carriers when returns are required.

The FAA estimates Slot Administration Office personnel spend 12 minutes processing a slot return. The FAA estimates Slot Administration Office personnel spend 1-hour processing slot withdrawals. The salary for this person is estimated at a GS-13 Step 5 for a fully-burdened hourly rate of \$72.13. The FAA estimates no additional yearly fixed costs.

DCA:

(9 slot returns per year) * (.2 hours per return) = Total Annual Hourly Burden = 1.8 hours
(1 slot withdrawal per year) * (1 hour per return) = Total Annual Hourly Burden = 1 hour

JFK:

(196 slot returns per year) * (.2 hours per return) = Total Annual Hourly Burden = 39.2 hours

(4 slot withdrawals per year) * (1 hour per return) = Total Annual Hourly Burden = 4 hours

LGA:

(1 slot return per year) * (.2 hours per return) = Total Annual Hourly Burden = 0.2 hours

(1 slot withdrawal per year) * (1 hour per return) = Total Annual Hourly Burden = 1 hour

Total annual burden = 47.2 hours

Total annual cost = (47.2 hours) * (\$72.13 hourly labor) = \$3,405

Requests for inclusion in a slot lottery: Carriers are required to notify the FAA if they would like to be included in a slot lottery for the permanent allocation of available slots at DCA and LGA. Lotteries are held on an occasional basis when the FAA determines that sufficient slots are available.

The FAA estimates that responding to requests for inclusion in a slot lottery take approximately 0.1 hours to generate. The salary for this person is estimated at a GS-13 Step 5 for a fully-burdened hourly rate of \$72.13.

DCA: (15 requests) * (1 lottery) * (.1 hour per request) = Total Annual Hourly Burden = 1.5 hours

LGA: (15 requests) * (1 lottery) * (.1 hour per request) = Total Annual Hourly Burden = 1.5 hours

Total annual burden = 3 hours

Total annual cost = (3 hours) * (\$72.13 per hour) = \$216

Report on Slot Usage:

The FAA requires carriers to submit reports on slot usage to monitor compliance with minimum slot usage requirements. Slot usage reports are submitted to the FAA bi-monthly for DCA and LGA and four times per year for JFK. The FAA estimates Slot Administration Office personnel spend 0.1 hours per report receiving and acknowledging receipt of the reports. The salary for this person is estimated at a GS-13 Step 5 for a fully-burdened hourly rate of \$72.13. The FAA estimates no additional yearly fixed costs.

DCA:

(10 carriers) * (6 reports) * (.1 hour per report) = Total Annual Hourly Burden = 6 hours

JFK:

(85 carriers) * (4 reports) * (.1 hour per report) = Total Annual Hourly Burden = 34 hours

LGA:

(12 carriers) * (6 reports) * (.1 hour per report) = Total Annual Hourly Burden = 7.2 hours

Total annual burden = 47.2 hours

Total annual cost = (47.2 hours) * (\$72.13 hourly labor) = \$3,405

Summary totals:

Total annual burden = 5,413 hours

Total annual labor cost = \$390,440

Total annual fixed cost = \$62,000

Total annual cost = \$452,440

15. Explanation of program changes or adjustments.

There are not any program changes for DCA that require new information collection. The respondent’s burden for the current collection for DCA has decreased. The FAA updated the slot transfer requests under § 93.221 based on records of recent annual requests, including required consent from both carriers. The estimated time to provide the required information was reduced from .5 hours to .1 hour per transaction, as almost all the requests from slot holders at DCA are generated from the carriers’ slot management and scheduling systems. Also, the time to provide notice of slot returns under § 92.224(a) decreased from 1 hour to .1 hour per transaction

Further adjustments reflect the addition of two airports, JFK and LGA, where the FAA collects information to allocate and manage mandatory runway slots under FAA Orders. Four other airports, EWR, LAX, ORD, and SFO, have also been added to reflect the FAA’s collection of information to enable the seasonal advance review of flight schedules, and provide recommendations to carriers to voluntarily adjust schedules to help reduce congestion and delays.

A summary of the estimated reporting burden is below. There is some variation of the requirements among the airports as described earlier and the information collection is not identical at each airport.

Revision for Annual Reporting Requirement Burden at JFK, LGA, EWR, LAX, ORD, and SFO

| Description | Burden Hours |
|---|--------------|
| LGA Unscheduled operations reservation system (weekday) | 416 |

| | |
|---|----------------|
| LGA Unscheduled operations reservation system (weekend) | 46.8 |
| Schedule submissions for upcoming seasons | 906 |
| Schedule updates | 700 |
| Slot transfers | 1,768.2 |
| Slot withdrawals and returns | 20.2 |
| Request for inclusion in a lottery | 1.5 |
| JFK Usage reporting | 340 |
| LGA Usage reporting | 72 |
| Total | 4,270.7 |

The FAA has separated collection activity into appropriate information collections. In addition to the collections listed above for **JFK, LGA, EWR, LAX, ORD, and SFO**, there are 2 DCA only collections:

| | |
|---|-------|
| DCA Usage reporting | 60 |
| DCA Unscheduled operations reservation system | 394.2 |

The FAA also requests to revise the title of the collection to Air Traffic Slots Management to more accurately reflect the collection of information related to multiple airports.

16. Publication of results of data collection.

The FAA makes publicly available current and historical slot holdings that are consolidated from this information collection.

17. Approval for not displaying the expiration date of OMB approval.

The FAA is not seeking approval for not displaying the expiration date of OMB approval.

18. Exceptions to certification statement.

There are no exceptions to the certification statement.