

**DEPARTMENT OF TRANSPORTATION
Federal Aviation Administration**

**Supporting Statement A
High Density Traffic Airports; Slot Allocation and Transfer Methods
OMB Control No. 2120-0524**

- Adjustments were made to reflect best estimates for a standard year using more recent data.¹ See Q.15 for Covid-19 impact analysis.
- Request to revise the title of the collection to “FAA Runway Slot Administration and Schedule Analysis” to more accurately reflect the scope of the program and collection of information related to multiple airports.

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection.

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, FAA issued the High Density Traffic Airports Rule (HDR), 14 CFR part 93 subpart K, to address airport congestion by limiting takeoffs and landings through the use of runway slot controls at five airports: John F. Kennedy International Airport (JFK), LaGuardia Airport (LGA), O'Hare International Airport (ORD), Ronald Reagan Washington National Airport (DCA), and Newark Liberty International Airport (EWR). The FAA suspended the limits at EWR under the HDR in 1970.² On April 5, 2000, Congress enacted the Wendell H. Ford Aviation and Investment Reform Act for the 21st Century (AIR-21).³ AIR-21 phased out the HDR at JFK, LGA, and ORD, and only DCA remained subject to 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.”

¹ Slot Administration utilized CY 2019 data as a basis for all estimates, except the estimate of unscheduled operations at DCA, which used a three-year range ending Dec. 31, 2019, excluding weekends. The methodology of using CY 2019 as a baseline is discussed further in response to Question 15.

² 35 FR 16591 (Oct. 24, 1970).

³ Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (AIR-21), Pub. L. 106-181, Sec. 231 (Apr. 5, 2000).

Since the phase-out of the HDR at all airports except DCA, 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.⁴

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 Airport Slot Guidelines (WASG) based on an updated demand and capacity analysis of the airport.⁵ 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 2016 Level 3 to Level 2 designation 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 WASG.⁶ At Level 2 airports, the FAA seeks to maintain close communications with carriers and terminal schedule facilitators on potential runway schedule issues or terminal and gate issues that may affect the runway times. These Designations resulted

⁴ Operating Limitations at John F. Kennedy International Airport, 73 FR 3510 (Jan. 18, 2008), as most recently amended 85 FR 58258 (Sep. 18, 2020); 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 85 FR 58255 (Sep. 18, 2020).

⁵ Change of Newark Liberty International Airport Designation, 81 FR 19861 (Apr. 6, 2016). The WASG replaced the Worldwide Slot Guidelines (WSG) beginning on June 1, 2020.

⁶ 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 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 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 Northern Winter 2021/2022 Scheduling Season, 86 FR 24428 (May 6, 2021).

in part from increasing congestion and delays at the airports requiring the FAA to implement to 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.

At DCA, the air carrier 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 flying an unscheduled operation.

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. Other operators must obtain a reservation from the FAA prior to operating an unscheduled operation.

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; (3) reports on usage of slots on a seasonal basis; (4) the return of slots; and (5) changes to allocated slots.⁷

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

2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.

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. Reporting is received by FAA bi-monthly, semi-annually, or as needed.

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 to maintain an accurate slot base. The FAA also uses this information to maintain an accurate accounting of operations to ensure compliance with the Rules and Orders in

⁷ Seasonal reporting at JFK refers to semi-annual reporting for each winter and summer scheduling season based on the IATA WASG Calendar of Coordination Activities.

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. In addition, the FAA uses this information to help provide access to unscheduled operators seeking access to these airports.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.

A significant amount of the reporting requirements involves scheduling information that carriers maintain in their internal 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.⁸ The FAA utilizes slot and schedule management software to reduce the reporting burden for carriers by receiving, processing, and responding to schedule requests electronically in industry standard format.

Slot holders are mandated to report usage at DCA and LGA on a bi-monthly basis and at JFK for each summer and winter scheduling season; all carriers submit the necessary information electronically.⁹ In addition, the FAA has established an electronic mailbox for the submission of slot usage reports, requests for confirmation of transferred slots, slot returns, and slot allocation requests. Carriers 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 are obtained electronically through the internet.

The FAA.gov website has links to slot holder and operator reports, as well as uneven transfer reports for JFK, LGA, and DCA, and other information related to the FAA's policies and procedures for this program. The website is available at https://www.faa.gov/about/office_org/headquarters_offices/ato/service_units/systemops/perf_analysis/slot_administration/data/.

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

4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.

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

⁸ <http://www.iata.org/publications/store/Pages/standard-schedules-information.aspx>

⁹ Some carriers operate at more than one slot controlled airport and are counted as a single carrier for reporting purposes.

There are no other data sources that would assign carrier operations to specific slots as these determinations are made by the FAA, to obtain information on the allocation, transfer, or usage of slots, or to assign reservations to unscheduled operations at U.S. slot-controlled airports, or to obtain accurate advance carrier schedule plans at Level 2 schedule facilitated airports. Accordingly, there is no duplication of reporting requirements.

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.*, certain cargo, charter, or non-passenger 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. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

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. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.

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 WASG and are consistent with global industry practices. If this information is collected less frequently, the FAA would be unable to allocate slots or confirm schedules in accordance with the WASG 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 WASG. 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. The FAA may consider whether less frequent reporting or other changes could provide sufficient information to maintain an accurate inventory of slots used.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:

- *requiring respondents to report information to the agency more often than quarterly;*
- *requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;*
- *requiring respondents to submit more than an original and two copies of any document; requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;*
- *in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;*
- *requiring the use of a statistical data classification that has not been reviewed and approved by OMB;*
- *that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or*
- *requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has*

instituted procedures to protect the information's confidentiality to the extent permitted by law.

There are no special circumstances.

8. Provide information on the PRA Federal Register Notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

A Federal Register Notice published on March 16, 2021 (86 FR 14515) solicited public comment.

On April 5, 2021, the FAA received an e-mail from Airlines for America (A4A) requesting further supporting information for the FAA's March 16, 2021, 60-day notice. Specifically A4A requested the estimates used to derive the total annual burden of 5602.6 hours expressed in the March 16, 2021, notice. In response, the FAA placed a summary of communication and draft detailed annual hourly burden tables to the docket.¹⁰

The FAA received three comments during the 60-day comment period from Exhaustless Inc., Eastern Airlines, LLC (Eastern), and A4A. Exhaustless, Inc. objects to this information collection and questions the FAA's legal authority to manage slots and schedules at constrained airports in the United States. Comments submitted by Exhaustless, Inc. are outside the scope of this Paperwork Reduction Act proceeding. The purpose of this proceeding is to update the Agency's estimates of the information collection burden associated with established FAA rules, regulations, orders, policy and processes associated with the FAA's administration of runway slots and schedule review at affected airports in the United States. However, the FAA nevertheless reiterates that the FAA Administrator is required to "develop plans and policy for the use of the navigable airspace and assign by regulation or order the use of the airspace necessary to ensure the safety of aircraft and the efficient use of airspace," and to issue regulations for "using the navigable airspace efficiently." 49 U.S.C. 40103(b). The FAA's administration of the runway slot program, including the establishment of runway schedule limits and facilitation of schedules at Level 2 airports, is adopted under the Administrator's mandate to efficiently manage the NAS.

Eastern supports the information collection and "provides its recommendations to maximize the public benefit including: (1) collecting information about the size of aircraft used in each slot; (2) collecting additional information on slot trades and transfers including consideration provided; (3) publishing slot administration reports in a machine-

¹⁰ See FAA-2021-0067-0002.

readable format; and (4) harmonizing slot administration data collection and reporting on a bi-monthly basis.”

Eastern’s recommendations for collecting the size of the aircraft used in each slot, collecting additional information on slot trades and transfers including consideration provided, and harmonizing slot administration data collection and reporting among all the FAA slot controlled airports on a bi-monthly basis are suggestions that are also outside the scope of this Paperwork Reduction Act proceeding. These recommendations do not relate to the burden associated with existing rules and policy in effect and instead, would require changes to the existing rules, orders and policies currently in effect. Eastern’s recommendation that FAA should publish slot administration reports in a machine-readable format is valuable feedback, though unrelated to the collection of information. The FAA currently publishes slot holder and operator reports, and uneven transfer reports in a PDF file format at https://www.faa.gov/about/office_org/headquarters_offices/ato/service_units/systemops/perf_analysis/slot_administration/data/ and intends to review options for publishing additional data in a more accessible format for data analysis by interested stakeholders.

A4A’s comment “requests a different and simplified information collection process for managing the slot holdings of carriers with combined inventory and marketing control to drastically reduce information collection burdens.” Essentially, A4A proposes programmatic changes to allow mainline and regional carriers to transfer slots among one another without requiring notification of each individual transfer to the FAA. A4A also asserts that FAA has underestimated the burden associated with transfers and provided data that they believe more accurately reflects the volume of transfers and associated burden. A4A indicates it “conducted a survey of members to determine the actual number of slot transfers between operating and marketing carriers at DCA, LGA, and JFK for the month of July 2019, and found there were 36,180 such slot transfers. There were 14,125 slot transfers at DCA, 14,897 slot transfers at LGA, and 7,158 slot transfers at JFK, this is aggregated data, not estimates.” Using the FAA’s estimate of 6 minutes per slot transfer, A4A comments “this results in 3,618 hours for the month of July 2019 or an annual burden of 43,416 hours or more than 770% of FAA’s burden estimate.” A4A asserts that this data further supports a change in the process for how transfers are managed because both FAA and carriers could benefit from reduced burden.

The FAA has reviewed the data presented by A4A as aggregated from information on actual transfers provided by its members. For July 2019, the data is generally consistent with the number of FAA slot transfers in effect during that month between carriers with combined inventory and marketing control. The A4A data is also generally consistent with published flight schedules when looking at the breakdown between the marketing and operating carriers. The large disparity between the FAA and A4A estimates appears to be a result of A4A using a different methodology for determining the volume of transfer requests submitted to the FAA.

The A4A calculations appear to consider each day that a slot transfer is in effect as a unique transfer that creates a unique burden-producing event with associated costs.

Under the methodology used by A4A, the transfer of a daily slot for the entire month of July 2019 at a single airport would create 31 unique burdens. The transfer of the daily slot extrapolated on an annual basis would have created 365 unique burdens in 2019. The FAA does not agree with the methodology or burden estimates as proposed by A4A as it does not reflect how slot transfers between carriers under combined inventory and marketing control or those between other carriers are typically submitted to the FAA. Most slot transfers are not submitted by carriers to the FAA for single effective dates but rather for longer periods. The most common effective dates are for several weeks, months, or for all or most of a scheduling season. The FAA considers each slot transfer request from carriers, as well as the FAA reply, as a burden-producing event rather than the number of days in which a transfer is effective.

A4A's requested change for a different and simplified information collection process for managing the slot holdings of carriers with combined inventory and marketing control is outside the scope of this Paperwork Reduction Act proceeding. Rather, as the FAA has previously stated, implementing such a change would require rulemaking at DCA and a substantive change to the Orders Limiting Operations, in effect at JFK and LGA.¹¹

9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.

There are no monetary considerations for this collection of information.

10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.

Carriers that submit confidential information are instructed that they should clearly mark the information, or any relevant portions thereof, as proprietary information ("PROPIN"). The FAA takes the necessary steps to protect properly designated information to the extent allowable by law.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

There are no questions of a sensitive nature.

12. Provide estimates of the hour burden of the collection of information. The statement should:

- ***Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a***

¹¹ See FAA's January 29, 2018 Response to Delta Air Lines Request for Transfer Process Change, a copy has been included in the docket for this proceeding.

sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices. * If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens.

- **Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under item 13.**

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 21 per day¹² 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 2 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 (*i.e.*, wage, fringe, and overhead) of \$127.34 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 \$63.67 hourly (\$132,440 annually)¹³, multiplied by 2. This reflects the assumption that overhead costs, including benefits are equal to 100 percent of pre-tax wages.¹⁴

¹² Based on OPSNET Report counting General Aviation and Military Airport operations at DCA from 1 Jan. 2016 through 31 Dec. 2019, excluding weekends. There were 21842 operations over 1043 days, or 21 per day on average.

¹³ Airline Pilots, Copilots, and Flight Engineers.” *U.S. Bureau of Labor Statistics*, United States Department of Labor, 25 Jan. 2021, [www.bls.gov/oes/current/oes532011.htm#\(2\)](http://www.bls.gov/oes/current/oes532011.htm#(2)). DoL Chart 53-2011

¹⁴ Source: U.S. Department of Health and Human Services, “Guidelines for Regulatory Impact Analysis” (2016), https://aspe.hhs.gov/system/files/pdf/242926/HHS_RIAGuidance.pdf. On page 30, HHS states, “As an interim default, while HHS conducts more research, analysts should assume overhead costs (including benefits) are equal to 100 percent of pretax wages....”

DCA:

Daily: 21 reservations * (2 minutes per reservation) * (365 days per year) = Total Annual Hourly Burden = 255.5 hours

DCA Unscheduled Operations Summary (Annual numbers)	Reporting
# of Respondents	7665
# of Responses per respondent	1
Time per Response	2 min
Total # of responses	7665
Total burden (hours)	255.5 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

LGA Weekday Unscheduled Operations Summary (Annual numbers)	Reporting
# of Respondents	12,480
# of Responses per respondent	1
Time per Response	2 min
Total # of responses	12,480
Total burden (hours)	416 hours

Sunday: (30 reservations per day) * (2 minutes per reservation) * (1 day per week) * (52 weeks per year) = Total Annual Hourly Burden = 52 hours

LGA Weekend Unscheduled Operations Summary (Annual numbers)	Reporting
# of Respondents	1,560
# of Responses per respondent	1
Time per Response	2 min
Total # of responses	1,560
Total burden (hours)	52 hours

Total annual burden = 723.5 hours

Total annual cost = (723.5 hours) * (\$127.34 per hour) = \$92,130

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 \$102.46 per hour. This labor rate was derived based on the mean annual hourly rate for Administrative Service Managers nationally of \$51.23¹⁵ multiplied by 2 (100% of pre-tax wages) to account for total overhead costs.

JFK:

(95 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) =
Total Annual Hourly Burden = 285 hours

EWR:

(50 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) =
Total Annual Hourly Burden = 150 hours

LAX:

(74 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) =
Total Annual Hourly Burden = 222 hours

ORD:

(62 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) =
Total Annual Hourly Burden = 186 hours

SFO:

(53 carriers) * (1.5 hours per submission) * (2 schedule submissions per year) =
Total Annual Hourly Burden = 159 hours

¹⁵ “Administrative Services and Facilities Managers.” *U.S. Bureau of Labor Statistics*, United States Department of Labor, 14 Oct. 2020, www.bls.gov/oes/current/oes113011.htm. DoL Table 11-3010.

Schedule Submissions Summary (Annual numbers)	Reporting
# of Respondents	334
# of Responses per respondent	2
Time per Response	1.5 hours
Total # of responses	668
Total burden (hours)	1002 hours

Total annual burden = 1002 hours

Total annual cost = (1002 hours) * (\$102.46 per hour) = \$102,665

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 6 minutes (0.1 hours) to generate. The FAA estimates approximately 2,600 updates per year for JFK, 1120 updates per year for EWR, 1875 updates per year for LAX, 1570 updates per year for ORD, and 1250 updates per year for SFO. 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 \$102.46 per hour.

JFK: (2600 updates per year) * (0.1 hours) = Total Annual Hourly Burden = 260 hours

EWR: (1120 updates per year) * (0.1 hours) = Total Annual Hourly Burden = 112 hours

LAX: (1875 updates per year) * (0.1 hours) = Total Annual Hourly Burden = 187.5 hours

ORD: (1570 updates per year) * (0.1 hours) = Total Annual Hourly Burden = 157 hours

SFO: (1250 updates per year) * (0.1 hours) = Total Annual Hourly Burden = 125 hours

Schedule Updates Summary (Annual numbers)	Reporting
# of Respondents	8,415
# of Responses per respondent	1
Time per Response	6 minutes (0.1 hours)
Total # of responses	8,415
Total burden (hours)	841.5 hours

Total annual burden = 841.5 hours

Total annual cost = (841.5 hours) * (\$102.46 per hour) = \$86,220

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 considers each slot transfer request from carriers, as well as the FAA reply, as a burden-producing event rather than the number of days in which a transfer is effective.

The FAA estimates a reporting time per slot transaction of 6 minutes (0.1 hours) per respondent. The FAA estimates approximately 3524 transactions per year for DCA, 4648 transactions per year for JFK, and 4325 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 submits the slot transactions at a fully-burdened rate of \$102.46 per hour.

DCA:

(3524 transfers) * (0.1 hour per submission) * (2 respondents) = Total Annual Hourly Burden = 704.8 hours

JFK:

(4648 transfers) * (0.1 hour per submission) * (2 respondents) = Total Annual Hourly Burden = 929.6 hours

LGA:

(4325 transfers) * (0.1 hour per submission) * (2 respondents) = Total Annual Hourly Burden = 865 hours

Slot Transfers Summary (Annual numbers)	Reporting
# of Respondents	24,994
# of Responses per respondent	1
Time per Response	6 minutes (0.1 hours)
Total # of responses	24,994
Total burden (hours)	2499.4 hours

Total annual burden = 2499.4 hours

Total annual cost = (2499.4 hours) * (\$102.46 per hour) = \$256,089

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. In addition, 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. In addition, there is a semi-annual slot return deadline for each JFK scheduling season that is similar to international practices in the WASG. This standardized deadline 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 6 minutes (0.1 hours). A scheduler or an administrative service manager would prepare and submit the slot returns at a fully-burdened rate of \$102.46 per hour.

DCA:

(10 returns per year) * (0.1 hours per return) = Total Annual Hourly Burden = 1 hour

JFK:

(250 returns per year) * (0.1 hours per return) = Total Annual Hourly Burden = 25 hours

LGA:

(2 returns per year) * (0.1 hours per return) = Total Annual Hourly Burden = .2 hours

Slot Withdrawals and Returns Summary (Annual numbers)	Reporting
# of Respondents	262
# of Responses per respondent	1
Time per Response	6 minutes (0.1 hours)
Total # of responses	262
Total burden (hours)	26.2 hours

Total annual burden = 26.2 hours

Total annual cost = (26.2 hours) * (\$102.46 per hour) = \$2,684

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 6 minutes (0.1 hours) to generate. A scheduler or an administrative service manager submits the request for inclusion in a slot lottery at a fully-burdened rate of \$102.46 per hour.

DCA: (20 requests) * (1 lottery) * (0.1 hour per request) = Total Annual Hourly Burden = 2 hours

LGA: (20 requests) * (1 lottery) * (0.1 hour per request) = Total Annual Hourly Burden = 2 hours

Slot Lottery Summary (Annual numbers)	Reporting
# of Respondents	40
# of Responses per respondent	1
Time per Response	6 minutes (0.1 hours)
Total # of responses	40

Total burden (hours)	4 hours
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Total annual burden = 4 hours

Total annual cost = (4 hours) * (\$102.46 per hour) = \$410

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 submits the usage reports at a fully-burdened rate of \$102.46 per hour.

DCA:

(9 carriers) * (1 hour per report) * (6 reports per year) = Total Annual Hourly Burden = 54 hours

DCA Slot Usage Reporting Summary (Annual numbers)	Reporting
# of Respondents	9
# of Responses per respondent	6
Time per Response	1 hour
Total # of responses	54
Total burden (hours)	54 hours

JFK:

(95 carriers) * (1 hour per report) * (4 reports per year) = Total Annual Hourly Burden = 380 hours

JFK Slot Usage Reporting Summary (Annual numbers)	Reporting
# of Respondents	95
# of Responses per respondent	4
Time per Response	1 hour
Total # of responses	380
Total burden (hours)	380 hours

LGA:

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

LGA Slot Usage Reporting Summary (Annual numbers)	Reporting
# of Respondents	12
# of Responses per respondent	6
Time per Response	1 hour
Total # of responses	72
Total burden (hours)	72 hours

Total annual burden = 506 hours

Total annual cost = (506 hours) * (\$102.46 per hour) = \$51,845

Summary totals for Question 12:

Total annual burden = 5602.6 hours

Total annual cost = \$592,043

13. Provide an estimate for the total annual cost burden to respondents or record keepers resulting from the collection of information.

There are no additional cost burdens that result from the collection of information.

14. Provide estimates of annualized costs to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information.

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 web requests regarding reservations at DCA and LGA. All transactions would be processed by a DC-based GS-13 step 5 equivalent at a fully-burdened hourly rate of \$112.62 (\$56.31 * 2, assuming total overhead including benefits is estimated to be 100% of pre-tax wages).¹⁶ The FAA estimates fixed costs of \$10,000 for maintaining the unscheduled reservation system.

DCA:

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

LGA:

(0.5 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) * (\$112.62 hourly labor) = \$41,106

Total annual fixed cost = \$10,000

¹⁶ U.S. Office of Personnel Management, Salary Table 2021-GS, including locality pay for DC-MD-VA-WV-PA for a GS 13 Step 5 https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/DCB_h.pdf.

Total annual cost = \$41,106 + \$10,000 = \$51,106

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. In addition, 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 \$55,000 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 \$112.62.

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

Total annual labor cost = (736 hours) * (\$112.62 hourly labor) = \$82,888

Total annual fixed cost = \$55,000

Total annual cost = \$82,888 + \$55,000 = \$137,888

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 (0.1 hours) entering slot transaction requests plus another 15 minutes (0.25 hours) processing and sending written confirmations. The FAA estimates approximately 3524 transactions per year for DCA, 4648 transactions per year for JFK, and 4325 for LGA. The salary for this person is estimated at a GS-13 Step 5 for a fully-burdened hourly rate of \$112.62. The FAA estimates no additional annual fixed costs.

DCA:

(3524 transfers) * (0.35 hours per transaction) = Total Annual Hourly Burden = 1233 hours

JFK:

(4648 transfers) * (0.35 hours per transaction) = Total Annual Hourly Burden = 1627 hours

LGA:

(4325 transfers) * (0.35 hours per transaction) = Total Annual Hourly Burden = 1514 hours

Total annual burden = 4374 hours

Total annual cost = (4374 hours) * (\$112.62 hourly labor) = \$492,600

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. In addition, 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 WASG. 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 (0.2 hours) 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 \$112.62. The FAA estimates no additional annual fixed costs.

DCA:

(9 slot returns per year) * (0.2 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:

(240 slot returns per year) * (0.2 hours per return) = Total Annual Hourly Burden = 48 hours

(10 slot withdrawals per year) * (1 hour per return) = Total Annual Hourly Burden = 10 hours

LGA:

(1 slot return per year) * (0.2 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 = 62 hours

Total annual cost = (62 hours) * (\$112.62 hourly labor) = \$6,982

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 6 minutes (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 \$112.62.

DCA: (20 requests) * (1 lottery) * (0.1 hour per request) = Total Annual Hourly Burden = 2 hours

LGA: (20 requests) * (1 lottery) * (0.1 hour per request) = Total Annual Hourly Burden = 2 hours

Total annual burden = 4 hours

Total annual cost = (4 hours) * (\$112.62 per hour) = \$450

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 6 minutes (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 \$112.62. The FAA estimates no additional annual fixed costs.

DCA:

(9 carriers) * (6 reports) * (0.1 hour per report) = Total Annual Hourly Burden = 5.4 hours

JFK:

(95 carriers) * (4 reports) * (0.1 hour per report) = Total Annual Hourly Burden = 38 hours

LGA:

(12 carriers) * (6 reports) * (0.1 hour per report) = Total Annual Hourly Burden = 7.2 hours

Total annual burden = 50.6 hours

Total annual cost = (50.6 hours) * (\$112.62 hourly labor) = \$5,699

Summary totals for Question 14:

Total annual burden = 5591.6 hours

Total annual labor cost = \$629,725

Total annual fixed cost = \$65,000

Total annual cost = \$694,725

15. Explain the reasons for any program changes or adjustments.

Adjustments were made to existing requirements. See table below:

Description	Previous Supporting Statement	Current Supporting Statement	Net Change
DCA Unscheduled Operations per day	32.4	21	-11.4
JFK Carriers	85	95	+10
EWR Carriers	44	50	+6
LAX Carriers	70	74	+4
ORD Carriers	57	62	+5
SFO Carriers	46	53	+7
JFK Schedule Updates	2200	2600	+400
EWR Schedule Updates	960	1120	+160
LAX Schedule Updates	1572	1875	+303
ORD Schedule Updates	1260	1570	+310
SFO Schedule Updates	1008	1250	+242
DCA Slot Transfers	3200	3524	+324
JFK Slot Transfers	4217	4648	+431
LGA Slot Transfers	4624	4325	-299
JFK Slot Withdrawal and	200	250	+50

Returns			
DCA Slot Lottery Request	15	20	+5
LGA Slot Lottery Request	15	20	+5

<u>2021 Estimate of Air Carriers</u>	
Airport	Number of Carriers
DCA	9
JFK	95
LGA	12
EWR	50
LAX	74
ORD	62
SFO	53

- Overlap results in 119 unique carriers

These changes are a result of the dynamics of slot administration. The number of carriers that operate at slot-controlled and schedule facilitated airports is not static. Transactions in the form of schedule updates, slot transfers, lottery requests, slot withdrawals, etc. are executed as needed and are always changing. The FAA Slot Administration Office used best estimates for an annualized, “standard” year.

The COVID-19 pandemic has caused massive industry disruptions, resulting in extreme data points in CY 2020, and into CY 2021. For example, in March 2021, U.S. scheduled passenger flights are down 34 percent, on average, compared to 2019. New York and Washington, DC, home to the three U.S. slot-controlled airports, are down 62% and 67% respectively for U.S. scheduled passenger flights in March 2021 vs. March 2019. The pandemic has resulted in increased communication between airline employees and FAA’s Slot Administration office with respect to schedule updates, slot returns, and requests for ad-hoc operations. However, there have also been fewer slot transfers throughout the pandemic period. Due to the volatility that CY 2020 presents, the Slot Administration Program Office believes CY 2019 provides the best estimate for future burden.

The FAA also requests to revise the title of the collection to “FAA Runway Slot Administration and Schedule Analysis” to more accurately reflect the scope of the program and collection of information related to multiple airports.

16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning

and ending dates of the collection of information, completion of report, publication dates, and other actions.

Slot holder and operator reports, as well as an uneven transfer list are kept on the faa.gov website at

https://www.faa.gov/about/office_org/headquarters_offices/ato/service_units/systemops/perf_analysis/slot_administration/data/.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

Not applicable.

18. Explain each exception to the topics of the certification statement identified in “Certification for Paperwork Reduction Act Submissions.”

No exceptions.