

Heathrow Procedures for Temporarily Reduced Capacity

(October 2011)

LOCAL RULE 4

Heathrow Procedures for Temporarily Reduced Capacity

1. The procedures for constraining demand during periods of reduced capacity are set out in Appendix 1 of this Local Rule.
2. The overriding objectives are to balance available capacity with demand as equitably as possible, act in the interests of disrupted passengers and resume a normal operation as soon as is practically possible. The aim of demand reduction is to restrict traffic flow to ensure a deliverable schedule for all airlines that falls within the normal operating constraints of the airfield, for example, normal night jet restrictions will apply unless expressly alleviated by the DfT.
3. In the event of a capacity reduction of greater than 10% and normally lasting for more than 24 hours, the HADACAB will be convened to discuss a second level of planned capacity reduction across all airlines. This second level of capacity reduction covering agreed levels of schedule cancellation by airlines will be enacted under Local Rule 4.
4. The schedule that remains after the agreed level of cancellations has taken place constitutes an additional permission to operate under Heathrow Airport Ltd.'s Conditions of Use 2011 (5.1(h)) during the period of reduced capacity. (Note: Additional permissions to operate will not be granted to General Aviation and Freighters during the period of operation of the reduced schedule).
5. The Heathrow Coordination Committee is accountable for the on going development of these procedures and Heathrow Airport Limited is responsible for updating and communicating the content working with all of the key stakeholders being NATS Services Limited, the Heathrow Scheduling Committee and Airport Coordination Limited.
6. This Local Rule shall be formally reviewed at each seasonal series of runway scheduling limits meetings.
7. Heathrow Airport Limited, working with a representative body consisting of the Heathrow AOC, the Chair of the Heathrow Scheduling Committee, NATS, ACL and representative airlines, may agree amendments to the Appendix 1 procedures from time to time to take immediate effect. This body is known as the Heathrow ATM Demand and Capacity Balancing group (HADACAB). Any such amendments will be presented to the Heathrow Coordination Committee for endorsement at its next full meeting.
8. This document recognises the emerging role of the Network Manager and will be developed in alignment with current and future versions of the Network Manager Implementing Rule.
9. If the procedures for Temporarily Reduced Capacity are initiated, the coordinator will take into account these circumstances when applying the use-it-or-lose-it rule.

10. This local rule is designed to give all airline operators the greatest opportunity to collaborate to make sure that the impact on the Heathrow Schedule is mitigated as far as is reasonably practicable. Where evidence is presented to the HADACAB of intentional abuse of HADACAB's decisions on revised capacity then the carrier concerned may become subject to the extent of any available remedies which may include or be contained within OSI/26/10 or any subsequent revisions of the document, Heathrow Airport Limited's Conditions of Use 2011 refer, Section, 5.4 and 5.5 (Annex 8) or any subsequent legislation.

APPENDIX 1: HEATHROW PROCEDURES FOR TEMPORARILY REDUCED CAPACITY

1. Introduction

- 1.1. This document sets out the procedures for controlling air traffic demand at Heathrow Airport during periods of temporarily reduced capacity.
- 1.2. Heathrow very occasionally suffers events which restrict capacity and these events may be forecast or may occur without notice.
- 1.3. In response to an unforeseen event and before HADACAB convenes, major airlines may invoke a series of cancellations. Where a prolonged event is considered to reduce capacity then HADACAB may be convened to discuss a balanced capacity reduction across all airlines. The revised level of the planned operation shall be scoped prior to demand being constrained: as the planned cancellations may be sufficient to reduce pressure on capacity, hence negating the need for a forced constraint policy. The success of this will be wholly dependant upon airlines cancelling slots and their associated flight plans, in order that ACL can produce an accurate schedule and NATS can accurately predict the demand and apply the necessary flow rate.
- 1.4. In the event that expected demand still exceeds available capacity, then HADACAB's response to such an event under this local rule is detailed at high level in the flow chart at Annex 1.
- 1.5. An event of significant magnitude would result in Crisis Management Team (CMT) being activated: the process by which this occurs and the Command & Control structure is detailed in Annex 2.
- 1.6. This document describes a process by which demand constraint could be implemented, should all other measures have been insufficient in achieving a balance between demand and capacity relating to either aircraft movements or numbers of passengers that are allowed to travel. The application of the process will vary depending on the scale of the incident, the duration of its impact and any advance notice.
- 1.7. The following tables are illustrative of capacity reductions and mitigating actions

Incident Recovery Matrix - Arrivals

	Expedient	Communicable Effective/Predictable	Equitable	
Capacity Reduction ↑	High >10%	Impose arrivals flow rate Extend operating hours NATS improve flow	HADACAB convene % demand constraint applied Airlines optimise schedules	Operate to reduced schedule Performance reviewed by HADACAB
	Medium 5-10%	Extend operating hours NATS improve flow	Target frequency reductions Airlines agree consolidation	AOC/HAL/ACL reduction + based airlines strategy
	Low <5% Eg weather	Maximise all resources NATS improve flow	NATS improve flow	Change aircraft size where possible
	Short Term <24 hours	Medium Term 1-3 days	Long Term >3 days	
	Event Duration →			

Incident Recovery Matrix - Departures

	Expedient	Communicable Effective/Predictable	Equitable	
Capacity Reduction ↑	High >10%	Impose MDI Extend operating hours NATS improve departure rate	HADACAB convene % demand constraint applied Airlines optimise schedules	Operate to reduced schedule Performance reviewed by HADACAB
	Medium 5-10%	Extend operating hours NATS improve departure rate	Target frequency reductions Airlines agree consolidation	AOC/HAL/ACL reduction + based airlines strategy
	Low <5% Eg weather	Maximise all resources NATS improve departure rate	Extend operating hours NATS improve departure rate	Change aircraft size + consolidate where possible
	Short Term <24 hours	Medium Term 1-3 days	Long Term >3 days	
	Event Duration →			

2. Demand Constraint Triggers

- 2.1. In all cases the initial response to a crisis event would be to recover capacity through the effective deployment of mitigating measures and inbuilt business resilience. The level of mitigation will vary accordingly and a two level approach is proposed.
- 2.2. The first level of mitigation will involve tactical aircraft flow management by NATS to align demand with available capacity on the airfield and where necessary a fixed response from the airline community in line with their existing internal processes. It is envisaged that this mitigation would normally be in place from the start of the operational day during which the event takes place up to a maximum of 24 hours.
- 2.3. The second level of mitigation will only be implemented where a tactical response by NATS and the airlines would not achieve the balance between capacity and demand required because of the scale and duration of the capacity loss. This mitigation will be decided by the HADACAB. The Group will declare whatever runway scheduling limit or flow is required to align demand on a planned basis to match available capacity. In this case it is envisaged that the second level of mitigation would normally be applied on the operational day following the event that has reduced capacity or usually a minimum of 24 hours and beyond, whichever is the greater. (Amongst other factors, this is to allow for aircraft departures to Heathrow using the longest planned sectors.)
- 2.4. An example of an event (accident or snow closure) causing significant departure delays would be the loss of a runway. This can result in the number of arriving aircraft exceeding the number of departing aircraft to such an extent that Heathrow has insufficient parking to accommodate any further arriving aircraft.
- 2.5. If this or any other similar situation is predicted to occur NATS will impose flow restrictions on the rate of arriving aircraft. NATS will then monitor actual flow rate against the published flow rate restrictions and keep Heathrow Airside Operations informed of any deviation from plan. This measure has no impact on out of area traffic (ECAC Area). A sudden and extended period of departure constraint could result in Heathrow declaring 'Full House' with the diversion of residual traffic.

3. HADACAB Group : Activation

- 3.1. In anticipation of or following an event occurring which may result in reduced capacity, any airline, the Heathrow AOC, NATS, ACL or Heathrow Airport Limited may initiate the establishment of the HADACAB Group whose purpose is to examine the likelihood and consequence of the event and the scale of disruption that might be caused. Having agreed this, the group can then discuss and agree an appropriate level of demand constraint where the objective is to maintain a reduced level of activity on an equitable basis without unduly exacerbating operational delay and minimising passenger disruption.

- 3.2. On notification by any of the stakeholders above, the ADM will inform the Duty Director and the chair of the HADACAB of the need for the group to be formed. The Duty Director shall then action through the ADM the formation of the group using contact details shown in Annex 4.
- 3.3. Within normal office hours, it is likely this group will form in approximately 2 hours. Outside of normal office hours it is likely to take 4 hours to convene the relevant organisations. Membership of the core *sub-group is detailed below:

BAA Heathrow (Chair)	British Airways
NATS	BMI
AOC	Virgin Atlantic
ACL	Chair of the Heathrow Scheduling Committee

(* other airlines may be included at the discretion of the Heathrow AOC)

- 3.4. The group will meet in the HAL Compass Centre, and will discuss and agree any revised capacity declaration for the airfield made necessary by the circumstances of the event and will provide frequent progress reports when the constraints have been enacted to the Duty Director for onward dissemination to others involved in business recovery. Group members may join the meeting using the conference call numbers in Annex 4. The Airside IRT (Incident Response Team) shall be responsible for the construction and dissemination of any aeronautical communications, such as NOTAMs and/or ATIS messages that are required following a meeting of the HADACAB. The group will use tools including the CDM (Collaborative Decision Making) system as the basis on which to make decisions

4. HADACAB Group : Roles & Responsibilities

- 4.1. The **HAL Accountable Manager or delegated representative** shall brief the HADACAB Group so that they may understand all relevant data on planned and actual flows, process times, actual and predicted delays and any other information relevant to the incident on which to base decisions on declared or revised capacity. **Heathrow Airside Operations** shall support the HADACAB in the review of airline proposed cancellations to ensure that the required mitigation is achieved and passenger service optimised. An example of the application of a percentage reduction calculated by ACL is shown at Annex 3.
- 4.2. **The Chair of the HADACAB Group (HAL Representative)** shall act as the coordinator of the group and will consult the HADACAB members on the appropriate response to the imbalance between capacity and demand caused by the event in question. The chair shall decide on the measures necessary to restore balance and progress towards a managed resumption of normal operations. In addition, the chair shall ensure that the HAL Communications Team are updated immediately after every meeting of HADACAB with instructions as to whether communication is required as per clause 6.2 and if so the contents of such communication.

- 4.3. **Airport Coordination Limited (ACL)** shall advise the group on any measures to be taken with allocated slots that can be offered as mitigation for the demand capacity imbalance. The ACL representative shall be accountable for the communication of such decisions directly with the airport's airline membership. ACL will also take direction from the group to fulfil any actions required whilst remaining within the EC Regulation no. 95/93 on common rules for the allocation of slots at Community airports.
- 4.4. **NATS Services Limited** shall advise the group on the status of inbound flow to Heathrow, feedback from NERL and Eurocontrol operations and any feedback from ATS led conference calls. NATS shall provide an interpretation of all available weather information to the group where this could have a material impact on the quality of the group's decisions. NATS will also take direction from the group on any alternate action required, promulgation of information via NOTAM and/or ATIS messages.
- 4.5. **The airline members of the HADACAB Group and the Heathrow AOC** shall decide on the courses of action necessary collectively and individually on the degree to which the schedules should be altered to make the maximum use of the available capacity. These stakeholders shall be accountable for communicating decisions made to their Airlines and shall ensure that whatever decisions are made, that their airline use best endeavours to comply without exception including the cancellation of both flight plans and slots for operations that will no longer take place. Where flights remain in the schedule, operators are required to fly to schedule without consideration of load factor. All aircraft operators will take account of UK AIP EGLL AD2.13 Declared Distances in Company Standard Operating Procedures to ensure that intersection departures can be used to maximise the flow of traffic where appropriate .i.e. dependent on aircraft type and Maximum Take Off Weight (MTOW).
- 4.6. Where the actual or predicted level of congestion/delay exceeds the criteria noted at 2.0, the HADACAB will, with the assistance of various information feeds, predict the demand constraint required to achieve a safe, secure and managed end to the day's operations and beyond.
- 4.7. Where this reduction relates to a flow control on arriving aircraft, this will be implemented through NATS who will be responsible for communicating this restriction through their normal channels. Where this restriction relates to arriving/departing passengers or aircraft, the HADACAB shall consider the data available for the airfield and/or each terminal and take into account the type of flights being operated. The objective will be for a proportionate reduction in passenger or aircraft movements to be applied evenly to all carriers across the affected period.

5. HADACAB Group : Assurance

- 5.1. Assurance with regard to compliance with this requirement will be achieved through a review of actual operations by carriers against the slots allocated by ACL in compliance with the revised capacity declaration. This function will be performed by Airside Local Business Recovery team (LBRT) working with Airport Coordination Limited.

6. Communication

- 6.1. Level 1 mitigation will use “business as usual” communication channels with direct access available between NATS and the airlines on the level of flow control being put in place.
- 6.2. Level 2 mitigation actions agreed by the HADACAB shall be notified to the Heathrow community, including airline media and public affairs teams by the HAL Communications team. These communications will be disseminated via HAL Terminal Operations Directors, to AOC Chairs to Airline Station / Operations Managers. Airport Coordination Limited shall be responsible for communicating constraint decisions to airline planning and scheduling departments wherever they are located. All members shall be responsible for ensuring that their individual websites and those of airlines they represent are aligned to the new schedule without delay and these shall include but not be limited to www.acl-uk.org, www.baa.com, CFMU Portal and A-CDM. Where appropriate, NOTAMS and/or ATIS messages will be issued by HAL Airside Operations and promulgated by NATS Services Limited.

7. Managed resumption of normal operations

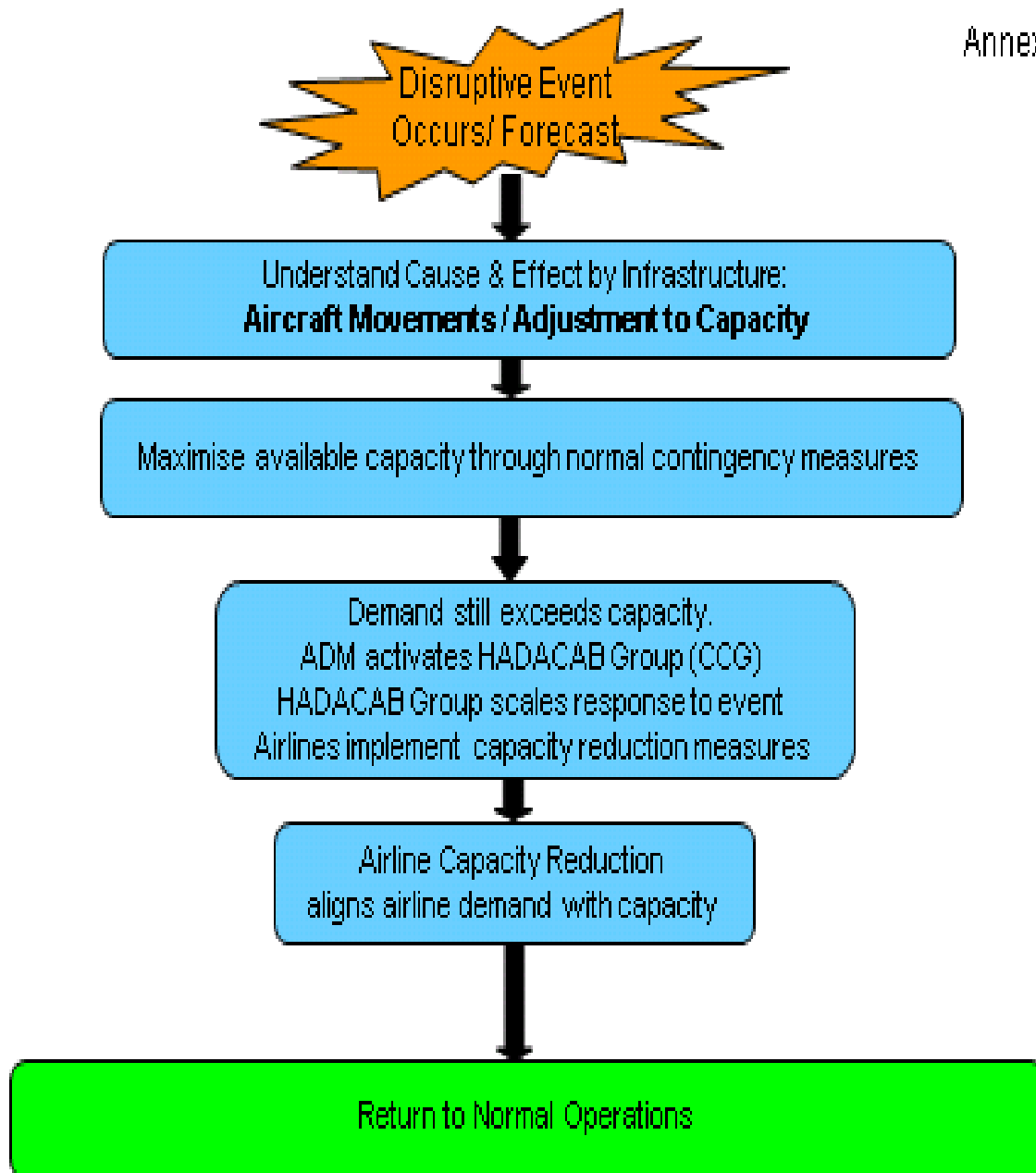
- 7.1. When the level of business recovery achieved is sufficient to allow a return to normal aircraft flow rates the HADACAB group will formally return the management of the flow rate back to NATS. It is anticipated that this will require a managed return to normal operating practice will be communicated at the earliest opportunity, to the community via the channels noted in Annex 4 of this document

8. Post-Implementation Review

- 8.1. Following the crisis event, a review will be held to investigate both the cause and the ability to manage using the contingency plans in place. The same principle applies to each activation of the HADACAB group; each activation will be reviewed against this policy with all members of the Group invited to participate in the session. The Policy and/or associated Appendix will then be reissued as necessary.

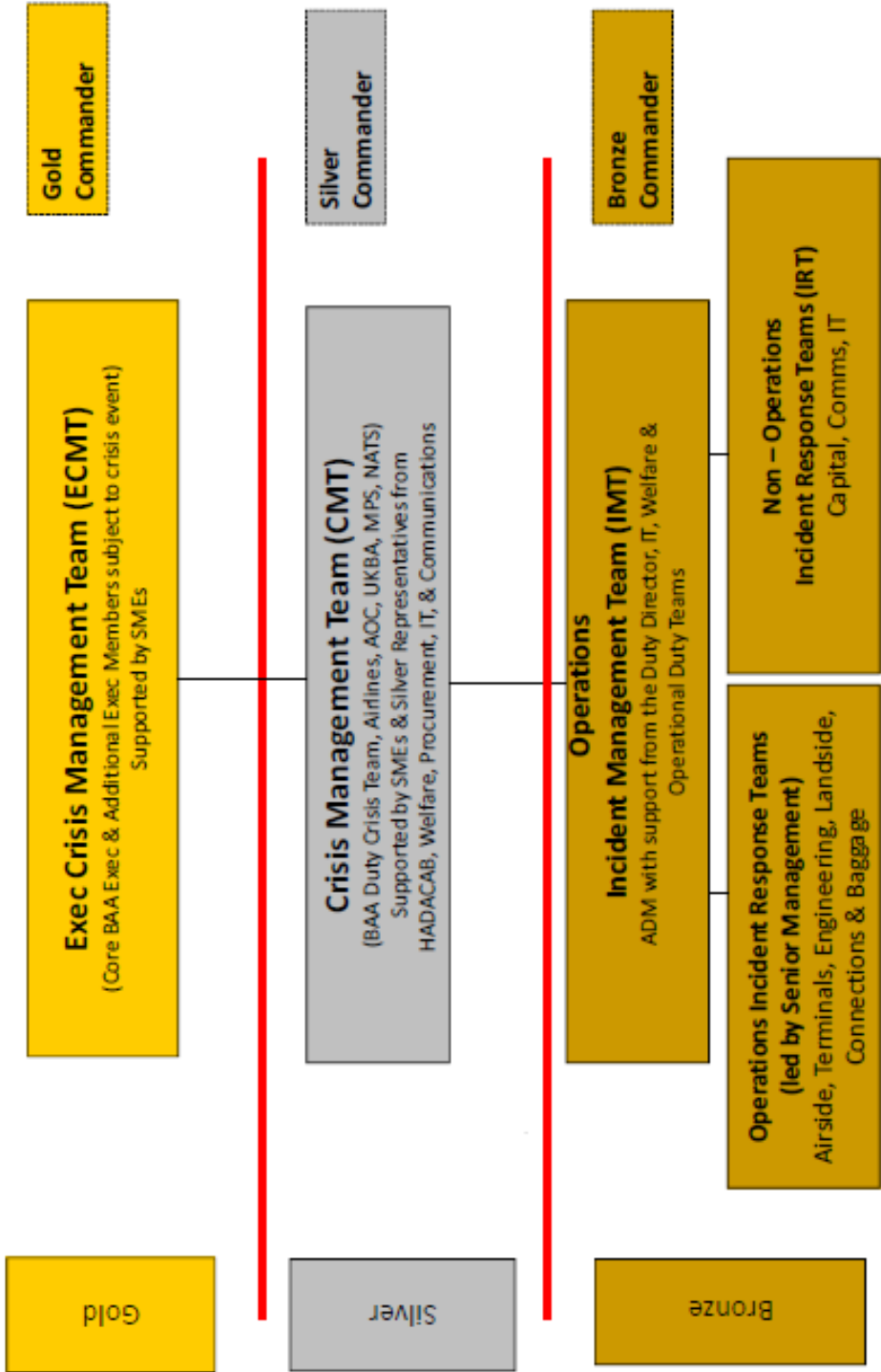
9. Exempt Flight Types

- 9.1. A limited set of flight types are Exempt Flights and will be permitted to operate when slots are not available. Details of Exempt Flight types are provided in **Annex 7: Exempt Flight Types**.
- 9.2. With the exception of Emergency Operations , operators must notify ACL in advance of any Exempt Flights and provide the information necessary to verify the their status. Emergency Operations must be notified to ACL as soon as possible for monitoring purposes.
- 9.3. ACL will allocate an available slot for Exempt Flights where possible. Operators should accept an available slot time when they have the flexibility to do so.
- 9.4. When an Exempt Flight is planned at a time when no slots are available, ACL may block an adjacent available slot to minimise any adverse impact on airport operations.



Annex 2

BAA Heathrow Crisis Management Structure



Annex 3

This schedule is *indicative only* and will vary seasonally.

Indicative Cancellation Schedule						
Worked Examples - Operating Schedule– Summer 10						
% reduction achieved		10%	20%	30%	40%	50%
No of Cancellations						
		De-scheduling Rate Requested				
Airline	Normal Arr/day	10%	20%	30%	40%	50%
BRITISH AIRWAYS PLC	285	29	57	86	114	143
BRITISH MIDLAND AIRWAYS LTD	54	5	11	16	22	27
LUFTHANSA GERMAN AIRLINES	37	4	7	11	15	19
AER LINGUS PLC	23	2	5	7	9	12
VIRGIN ATLANTIC AIRWAYS LTD	21	2	4	6	8	11
SCANDINAVIAN AIRLINES SYSTEM	20	2	4	6	8	10
AMERICAN AIRLINES INC	18	2	4	5	7	9
SWISS INTERNATIONAL AIRLINES LTD	12	1	2	4	5	6
AIR CANADA	12	1	2	4	5	6
UNITED AIRLINES INC	11	1	2	3	4	6
K L M ROYAL DUTCH AIRLINES	10	1	2	3	4	5
ALITALIA	10	1	2	3	4	5
AIR FRANCE	9	1	2	3	4	5
IBERIA AIRLINES	8	1	2	2	3	4
T A P AIR PORTUGAL	7	1	1	2	3	4
CONTINENTAL AIRLINES INC	6	1	1	2	2	3
DELTA AIR LINES, INC.	5	1	1	2	2	3
EMIRATES	5	1	1	2	2	3
CATHAY PACIFIC AIRWAYS LIMITED	5	1	1	2	2	3
AIR INDIA	4	0	1	1	2	2
FINNAIR	4	0	1	1	2	2
QATAR AIRWAYS	4	0	1	1	2	2
TURKISH AIRLINES	4	0	1	1	2	2
QANTAS AIRWAYS LTD	4	0	1	1	2	2
SN BRUSSELS AIRLINES	4	0	1	1	2	2
AUSTRIAN AIRLINES	3	0	1	1	1	2
ETIHAD AIRWAYS	3	0	1	1	1	2
JET AIRWAYS (INDIA) LTD	3	0	1	1	1	2
OLYMPIC AIR	3	0	1	1	1	2
SINGAPORE AIRLINES LIMITED	3	0	1	1	1	2
VUELING AIRLINES S.A.	3	0	1	1	1	2
AEROFLOT RUSSIAN INTL AIRLINES	3	0	1	1	1	2
LOT POLISH AIRLINES	3	0	1	1	1	2
CYPRUS AIRWAYS	3	0	1	1	1	2
AIR MALTA	3	0	1	1	1	2
EUROPEAN AIR TRANSPORT	3	0	1	1	1	2
SOUTH AFRICAN AIRWAYS	3	0	1	1	1	2
AEGEAN AIRLINES SA	2	0	0	1	1	1
CSA CZECH AIRLINES	2	0	0	1	1	1
GULF AIR	2	0	0	1	1	1
ICELANDAIR	2	0	0	1	1	1
KINGFISHER AIRLINES	2	0	0	1	1	1
MALAYSIAN AIRLINE SYSTEM	2	0	0	1	1	1
THAI INTERNATIONAL AIRWAYS	2	0	0	1	1	1
TRANSAERO AIRLINES	2	0	0	1	1	1
BLUE 1 LTD	2	0	0	1	1	1
SAUDI ARABIAN AIRLINES	2	0	0	1	1	1
AIR NEW ZEALAND LIMITED	2	0	0	1	1	1
ARIK AIR INTERNATIONAL LTD	2	0	0	1	1	1
EL AL ISRAEL AIRLINES	2	0	0	1	1	1

Annex 5

CONTACT DETAILS

Airport Coordination Limited

Capital Place
120 Bath Road
Harlington
Hayes,
UB3 5AN
United Kingdom

Office Hours: Monday-Friday (excl. Bank Holidays)
0900 – 1700 local time

Note: Between 1645 and 1700, ACL is in the process of handing over to SAU.
Requests should be avoided at this time.

Telephone: +44(0)20 8564 0613
Fax: +44(0)20 8564 0690

Email: LONACXH@acl-uk.org
SITA: LONACXH

Website: www.online-coordination.com (for Slot Availability)

HAL Stand Allocation Unit

For requests outside ACL office hours to operate on the same or next day of the out-of-hours period (e.g., for weekends, including flights on the Monday):

Telephone: +44(0)20 8745 6016 or +44(0)20 8745 6033
Fax: +44(0)20 8745 7229

Senior Operations Controller: Tel: +44(0)20 8745 6149

Annex 6

TRAFFIC TYPE PRIORITIES

The priorities used for the allocation of Slots to revised runway schedule limits are:

Priority	Description
1	Commercial passenger flights*
2	Positioning flights to operate a planned passenger commercial service with passengers
3	Positioning flights to operate a planned passenger commercial service without passengers
4	Commercial all-cargo flights
5	Ambulance flights**
6	Air Taxi or General/Business Aviation flights

Notes:

* Commercial airlines that have met the required cancellation percentage have notified ACL of such cancellations and have withdrawn the flight plans associated with the cancellations

** Urgent ambulance flights may be exempt where no feasible slots are available and use of alternative airfields is not possible.

Annex 7

EXEMPT FLIGHT TYPES

1. Emergency Operations

Diversions/Quick Returns, Police Emergencies, Search and Rescue Operations

Note

- All Emergency Operations must be notified to ACL as soon as possible for monitoring purposes.
- Departures to continue the planned service following a Diversion or Quick Return on the same day do not require the prior approval of ACL; departures delayed to the following day or positioning flights (i.e., after the passengers/freight are offloaded) require prior approval.

2. Medical Emergencies

Donor Flights, Flights where safety of life is involved, Humanitarian Flights

Note – Ambulance flights are not Exempt Type Flights

Ambulance flights may be exempt where the need to move the patient by air transport is urgent, and:

- The use of an alternative airfield (e.g., Northolt) is not possible; and/or
- The patient is connecting to/from a commercial Heathrow service.

A positioning leg associated with an exempt ambulance flight may also be exempt where the medical crew is aboard and are required for other emergency services.

The operator/handling agent is responsible for obtaining as information on the patient's condition, use of alternative airfields, and any connecting commercial flights.

The patient's condition should be indicated using the NACA international scoring system to give an overall description of the patient's condition. This is the same system used by CFMU for ATFM slot exemption. The NACA categories are:

- NACA I - minor health disturbance
- NACA II - out-patient check up needed
- NACA III - hospital treatment needed
- NACA IV - possible health threatening
- NACA V - acute critical condition
- NACA VI - resuscitation
- NACA VII – death

NACA categories V or VI qualify for slot exemption. NACA category IV qualifies where the patient is connecting to/from a commercial Heathrow service.

The NACA category should be included as SI text in the slot request. For organ donor transports, the word DONOR should be included as SI text.

3. Recovery Flights

Operating an aircraft made necessary by an unforeseeable schedule disruption (e.g., severe weather) and resumption of a planned commercial service

Note

The exemption applies only to:

- Resumption of a service to carry passengers originally destined for Heathrow, which has diverted to another airport where a significant proportion of the passengers do not have right of entry at the diversion airport.
- An inbound positioning flight to recover a planned Heathrow departure service.
- An outbound positioning flight of an away-based airline's aircraft, where the aircraft is urgently required to resume planned commercial operations.
- An outbound positioning flight to recover a Heathrow-based airline's own service.
- The return of a Heathrow-based recovery aircraft to resume planned commercial operations.

It does not apply to circumstances such as:

- Outbound positioning to recover another airline's service (e.g., sub-charter).
- Positioning to replace an aircraft undergoing planned maintenance, including instances of a maintenance overrun.
- Any planned positioning of an aircraft to operate a commercial service.

Annex 8

HEATHROW CONDITIONS OF USE

The following are extracts from the Conditions of Use 2011, a BAA Airports Limited document, for Heathrow Airport.

- 5.1 You accept that:
- (a) You must not operate to or from the Airport without first obtaining a slot from ACL for the relevant period of operation;
 - (b) Access to our Facilities and Services is subject to the demands of other users of the Airport and other external events or circumstances such as weather or environmental conditions, industrial action or security threats; and
 - (c) Use of the Airport is constrained by Legislation including that dealing with slot allocation and curfews.
- 5.4 You agree that if in our opinion you regularly or intentionally fail to adhere to an allocated slot (either arrival or departure) for reasons which are not beyond your control, then having first given you an opportunity to make representations, we may adopt such measures as we deem appropriate to ensure that you adhere to your allocated slots. Such measures may include fining by ACL (under the Slot Sanctions Scheme - <http://www.acluk.org/slotSanctions.aspx>). We may prohibit you or certain of your services from the Airport for a fixed period of time and ACL may apply a financial sanction under the Misuse of Slots Enforcement Code (see www.acl-uk.org for details). If your services are prohibited from another airport owned by BAA Limited in accordance with the equivalent provisions of that airport's Conditions of Use you shall not without our express permission be relocated to the Airport.
- 5.5 If you operate General or Business Aviation or whole plane cargo services at the Airport without our prior permission during periods of peak congestion (as have been notified by National Air Traffic Services in the United Kingdom AIP or a subsequent supplement, for the Airport) you may be prohibited by us from operating during such periods of peak congestion for a minimum period of 30 days, unless in our opinion the aircraft was required to land at the Airport because of an emergency or other circumstance beyond your reasonable control.