

Responsibilities Document for the application of Air Traffic Flow Management (ATFM)

Edition Number	:	1.0
Edition Date	:	25/10/2012
Status	:	Released Version
Intended for	:	
Category	:	ATFM IR Responsibilities Document

DOCUMENT CHANGE RECORD

The following table records the complete history of the successive editions of the present document.

Edition Number	Edition Date	Reason for Change	Pages Affected
0.1	10/09/11	Originated	All
0.2	22/11/11	Editorial and restructure	All
0.3	28/11/11	Editorial	All
0.41	21/02/12	Editorial	All
0.42	27/02/12	Editorial	All
0.43	28/02/12	Editorial	All
0.5	24/05/12	Comments from ODSG	All
0.6	12/06/12	Editorial	Page vii, page 2, 16,17
0.7	17/09/12	Editorial	All
0.8	24/10/12	Comments from NETOPS	Chapter 1.6; REQ-07-
1.0	25/10/12	Released Version	All

TABLE OF CONTENTS

DOCUMENT CHANGE RECORD III

1. INTRODUCTION 1

1.1. Foreword..... 1

1.1.1. *Responsible Body*..... 1

1.1.2. *Approval of the Responsibilities Document* 1

1.1.3. *Technical Corrigenda and Amendments* 1

1.2. Support and Training 1

1.3. Purpose 1

1.4. Scope 1

1.5. Applicability..... 1

1.6. Conventions..... 2

1.7. Definitions 2

1.8. Abbreviations 3

1.9. Reference Material 4

1.10. Document Structure..... 4

1.10.1. *Description*..... 4

1.10.2. *Appendix 1*..... 5

2. ATFCM RESPONSIBILITIES DOCUMENT 7

2.1. ATFM principles – [-PRPL-]..... 7

3. REQUIREMENTS 13

3.1. ATFM Requirements – [-REQ-] 13

3.2. Flight Planning – [-FPL-]..... 18

3.3. CRITICAL EVENTS – [-CRIT-] 20

3.4. Safety – [-SAFE-]..... 21

3.5. Compliance – [-COM-]..... 22

3.6. Archive – [-ARC-]..... 25

3.7. ATFM Personnel – [-PERS-]..... 26

APPENDIX 1 - TRACEABILITY TO REGULATORY PROVISIONS..... 27

INTENTIONALLY LEFT BLANK

EXECUTIVE SUMMARY

This Responsibilities Document provides details of responsibilities and requirements for the implementation and application of air traffic flow management

The document identifies the key responsibilities contained in, or resulting from, the EUROPEAN COMMISSION REGULATION (EC) No 255/2010 of 25 March 2010 laying down common rules for air traffic flow management, in order to provide guidance (therefore not mandatory) to stakeholders as to how they might comply with the Regulation.

It is further intended to provide traceability between the Regulation and ATFCM operating procedures and processes by identifying their authority or requirement.

INTENTIONALLY LEFT BLANK

1. INTRODUCTION

1.1. FOREWORD

1.1.1. Responsible Body

This Responsibilities Document has been developed in effective coordination at managerial and technical level between EUROCONTROL DNM/NOM/OPL and EUROCONTROL DNM/NOM/NOS.

1.1.2. Approval of the Responsibilities Document

This Responsibilities Document is adopted in accordance with the Network Manager Cooperative Decision-Making Process approved by the Network Management Board. The provisions of this Responsibilities Document become effective after the approval by the Network Management Board (NMB).

1.1.3. Technical Corrigenda and Amendments

This Responsibilities Document is kept under review to ascertain required amendments or technical corrigenda.

Amendments or additions to this Responsibilities Document shall be proposed in writing to: DNM/NOM/OPL Secretariat, EUROCONTROL Agency.

1.2. SUPPORT AND TRAINING

Network Manager participating States are supported by EUROCONTROL Directorate Network Management with respect to any training requirements related to ATFM.

1.3. PURPOSE

This Responsibilities Document provides details and traceability of responsibilities and requirements for the implementation and application of Air Traffic Flow Management and closely follows the requirements of the ATFM Regulation (EC) No 255/2010. This document complements the Handbook for Air Traffic Flow and Capacity Management.

For ease of cross reference, the ATFM Regulation Article associated with each responsibility statement is highlighted in the document. A matrix showing the relationship between each responsibility statement and the associated Article/sub-Article is found at Appendix 1.

1.4. SCOPE

The scope of this document is to provide responsibility statements applicable to entities responsible for the provision of, or participation in, the Network Management Air Traffic Flow Management function and, where appropriate, the ATFM Regulation (EC) No 255/2010.

The ATFM Responsibilities Document draws heavily on existing material primarily contained in the amended edition of the Handbook for Air Traffic Flow and Capacity Management.

1.5. APPLICABILITY

The following ATFM responsibilities shall be applicable to those civil and military entities responsible for air traffic management that operate in the Network Manager area of responsibility.

1.6. CONVENTIONS

This section describes the minimum conventions used in the Responsibilities Document, which are:

- a) **'Shall'** – indicates a statement of responsibility, the compliance with which is mandatory according to the ATFM IR.
- b) **'Should'** – indicates a recommendation or best practice, which may or may not be satisfied by all systems claiming conformity to the Responsibilities Document.
- c) **'May'** – indicates an optional element.

1.7. DEFINITIONS

The following definitions do not include those contained in other SES Regulations.

	Term	Explanation
1	Monitoring value	Default value at which the traffic load is monitored and is the action point for ATFCM activity.
2	Critical event	“an unusual situation or crisis involving a major loss of EATMN capacity, or a major imbalance between EATMN capacity and demand, or a major failure in the information flow in one or several parts of the EATMN” (Commission Regulation No 255/2010 laying down common rules on air traffic flow management, Article 2 Definitions, page 2)
3	Traffic Volume	Used within ATFM to identify the number of flights over an airspace, point, aerodrome or set of aerodromes in order that they can be monitored or regulated.
4	CTOT	A time calculated and issued by the appropriate central management unit, as a result of tactical slot allocation, at which a flight is expected to become airborne. (ICAO Doc 7030/4 - EUR, Table 7)
5		
6		
7		
8		
9		
10		

1.8. ABBREVIATIONS

Abbreviations used in the Responsibilities Document:

AIP	Aeronautical Information Publication
AMC	Airspace Management Cell
ANSP	Air Navigation Services Provider
AO	Aircraft Operator
ASM	Airspace Management
ATC	Air Traffic Control
ATFM	Air Traffic Flow Management
ATFCM	Air Traffic Flow and Capacity Management
ATM	Air Traffic Management (ATS+ASM+ATFM)*
ATS	Air Traffic Services
CDM	Collaborative Decision Making
EATMN	European Air Traffic Management Network
ECAC	European Civil Aviation Conference
ESARRs	EUROCONTROL Safety Regulatory Requirements
ENV	ATFM Environment Database
FIR	Flight Information Region
FMP	Flow Management Position
FPL	Flight Plan
ICAO	International Civil Aviation Organisation
IFPS	Integrated Initial Flight Plan Processing System
IFR	Instrument Flight Rules
IR	(European Commission) Implementing Rule
KPI	Key Performance Indicator
LoA	Letter of Agreement
MoC	Means of Compliance
RAD	Route Availability Document
RPL	Repetitive Flight Plan
TOS	Tactical Orientation Scheme
VFR	Visual Flight Rules

1.9. REFERENCE MATERIAL

In the elaboration of the Responsibilities Document, any relevant reference material was used, and in particular:

- COMMISSION REGULATION (EC) No 255/2010 of 25 March 2010 laying down common rules for air traffic flow management;
- ICAO EUR ANP FASID - Doc 7754;
- ICAO Annex 11;
- ICAO PANS-ATM - Doc. 4444;
- ICAO Doc 6426
- ICAO Regional Supplementary Procedures - Doc 7030
- ICAO Air Traffic Services Planning Manual – Doc 9426
- ATFM Handbook including:
 - CFMU Supplement – ATFCM Operating Procedures for FMPIFPS;
 - IFPS Users Manual;
- European Route Network Improvement Plan – Part 3 - ASM Handbook
- Handbook for Air Traffic Flow and Capacity Management, edition 14.3

1.10. DOCUMENT STRUCTURE

The Table of Contents may be used as a structure reference for the Responsibilities Document.

1.10.1. Description

Principles

This section consists of high level responsibility statements of air traffic flow management principles and criteria, and in respect of the formation and responsibilities of the central unit for ATFM, including those relevant to personnel and technical issues, system interoperability and dissemination of ATFCM data.

Requirements

This section deals with general ATFM requirements and responsibilities including instigation and application of ATFM measures, exemptions and provision of data.

Flight Plans

This section addresses ATFM specific flight planning requirements additional to the FPL IR, including adherence to suspensions of flight plans.

Critical Events

This section addresses the requirement for establishing and publication of contingency procedures for the handling of critical events.

Safety Requirements

This section addresses compliance with relevant EUROCONTROL ESARRs or equivalent EC IRs.

Compliance

This section addresses the monitoring and reporting of non-compliance to ATFM measures, including incidences of missing flight plans, excessive granting of exemptions and adherence to airport slots.

Archive

This section addresses the requirements for an archive of ATFM data, including flight plans, operational logs and relevant contextual data to be created and maintained by the central unit for ATFM.

ATFM Personnel

This section addresses the requirement for appropriate and adequate training of staff involved in ATFM, together with the necessary manuals and other documentation

Note: The framed text in this document is extracted from the European Commission Air Traffic Flow Management Regulation No 255/2010 of 25 March 2010. Its purpose is to ease transparency and traceability of the document.

Every requirement in this Responsibilities Document is preceded by a cryptic identifier to allow easy reference material. The requirement can be supplemented by numbered paragraphs or by a free text. **EXAMPLE:**

Main Title	Paragraph x.	PRINCIPLES – [-PRPL-]
Requirement	PRPL-08-	The central unit for ATFM shall be responsible for the management of critical events, within the EATMN, together with local ATFM units within their area of responsibility and in cooperation with operators, ATS units, airport managing bodies and entities involved in airspace management.
Supplements to the requirement	PRPL-08-01-	When planning for or reacting to critical events, the central unit for ATFM shall ensure that:
		<ul style="list-style-type: none"> a) Procedures are established and agreed during the strategic phase; b) The application of these procedures shall be decided upon and performed during the pre-tactical and tactical phase; c) The procedures relevance shall be assessed during the post-operational phase based on performance analyses.

1.10.2. Appendix 1

Provides traceability between the provisions of the COMMISSION REGULATION (EC) No 255/2010 of 25 March 2010 laying down common rules for Air Traffic Flow Management and the Responsibilities Document.

INTENTIONALLY LEFT BLANK

2. ATFCM RESPONSIBILITIES DOCUMENT

2.1. ATFM PRINCIPLES – [-PRPL-]

Article 5 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Member States shall ensure that the central unit for ATFM:

(a) optimises the overall performance effects on the EATMN through planning, coordination and implementation of ATFM measures;

PRPL-01- Member States shall ensure that strategic planning is carried out in conjunction with the parties referred to in Article 1.3 from the ATFM IR.

PRPL-01-01 It shall consist of examining the demand for the forthcoming season, assessing where and when demand is likely to exceed the available ATC capacity or monitoring values and taking steps to resolve the imbalance by:

- a) arranging with the ANSPs to provide adequate capacity at the required place and time;
- b) re-routing certain traffic flows (traffic scenarios);
- c) publication of policies, procedures and description of traffic orientation schemes via the RAD
- d) identifying the need for tactical ATFM measures.

Article 4 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. Member States shall ensure that the ATFM function is available to parties referred to in Article 1(3) on a 24 hour basis.

PRPL-02- Member States shall ensure that the central unit for ATFM and local ATFM units are adequately organised and resourced in order that the ATFCM service is available on a 24 hour basis.

PRPL-02-01- In the event that a local ATFM unit is unable to provide an ATFM function for a particular period, the single central unit for flow management shall be advised and alternative arrangements agreed (e.g. In an LoA).

Article 3 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. ATFM shall be governed by the following principles:

(b) local ATFM units and the central unit for ATFM shall be considered as part of the ATFM function.

PRPL-03- Member States shall ensure that a local ATFM unit is established and equipped to a common minimum level and established in each **designated area** within the single central unit for flow management area of responsibility.

PRPL-03-01- Member States shall ensure that each designated area in the central unit for ATFM area of responsibility shall designate a local ATFM unit manager.

PRPL-03-02- The local ATFM unit manager shall be responsible for all ATFCM activities in the designated area and within its area of responsibility.

PRPL-03-03- The local ATFM unit manager shall act as the focal point for administrative and organisational matters in dealings with the central unit for ATFM either directly or through any future regional FMP manager (e.g. FAB FMP).

PRPL-03-04- The local ATFM unit manager shall be required to meet the following criteria:

- a) have extensive knowledge of the overall ATC/ATFCM operation in the area of responsibility of the designated area;
- b) have an extensive understanding of the ATC/ATFCM operations in adjacent designated areas;
- c) have a comprehensive knowledge of the central unit for ATFM organisation and its systems;

d) have an extensive understanding of the factors influencing Aircraft Operations in so far as they may affect ATFCM.

Note: This task may be in addition to other tasks carried out by the individual depending on local arrangements.

PRPL-04- Local ATFM units shall:

- a) act as the interface between the central unit for flow management and:
 - designated areas and their associated aerodromes and ATS units (military and civil) within their area of responsibility
 - aircraft operators in respect of local queries that the central unit for ATFM is unable to resolve
- b) inform local AOs of their role in providing advice and information by arranging for the relevant FMP telephone numbers to be published in the National AIP with a short description of the service provided.
- c) establish local ATFM unit procedures and practices to ensure that local ATFM unit staff are fully conversant with the latest central unit for ATFM operational procedures and any ATFM local instructions or Temporary Instructions applicable to their local ATFM unit.
- d) monitor the effectiveness of such procedures and, where necessary, recommend changes.
- e) act as the point of contact within an designated area for coordination on ATFM matters
- f) ensure that the central unit for flow management has all the data and information required in each of the ATFM phases to make the most effective use of available capacity in order to implement the most effective ATFM plan and for checking the accuracy of that data
- g) ensure the local promulgation, by the appropriate means (national NOTAM, AIP, ATC operational instruction, etc.), of procedures which affect ATC Units or aircraft operators within the local ATFM unit's area of responsibility.
- h) include the provision of all the relevant updated information and documentation so that information and advice passed to AOs by the local ATFM unit is relevant, up-to-date and fully conforms to current ATFCM manual operating procedures.
- i) act as the local ATFCM partner for the designated area, other ATS units (military and civil) within the local ATFM area of responsibility and local AOs.

PRPL-04-01- Each local ATFM unit area of responsibility shall be limited to the area for which the parent designated area is responsible including the area(s) of responsibility of associated Air Traffic Services (ATS) units as defined in a Letter of Agreement (LoA).

PRPL-04-02- In addition to the local ATFM unit(s) some ATFCM activities may be carried out by other national units such as a Headquarters (HQ) Section.

PRPL-04-02-01- Where tasks are carried out by such other units, coordination procedures shall be established between the units concerned and the local ATFM unit(s) to ensure that full account is taken of the situation in the local ATFM unit(s)'s area of responsibility before decisions are made or agreements reached.

Article 8 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Airport managing bodies shall notify to the central unit for ATFM, directly or through the local ATFM unit or ATS units or both, all events that may impact air traffic control capacity or air traffic demand. They shall inform the local ATFM unit and ATS units where the notification is done directly.

PRPL-05- Airport managing bodies shall establish processes to assess the impact on air traffic control capacity or air traffic demand of any changes or events that are planned to affect the capacity of the airport. Such processes shall be applied to strategic, pre-tactical and tactical phases as appropriate.

PRPL-05-01- Airport managing bodies shall ensure that the central unit for ATFM, local ATS units and the local ATFM unit are informed of all events, including all relevant information, in a timely manner.

Article 3 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. *The planning, coordination and execution of the ATFM measures by the parties referred to in Article 1(3) shall comply with the ICAO provisions specified in the Annex.*

PRPL-06- The central unit for ATFM shall ensure that detailed procedures governing the provision of the ATFM measures and services within the area of responsibility of the central unit for ATFM are prescribed in a consolidated ATFM Handbook.

PRPL-07- The central unit for ATFM shall ensure that ATFCM is carried out in four phases:

- a) Strategic Flow Management which takes place seven days or more prior to the day of operation and includes research, planning and coordination activities.
- b) Pre-Tactical Flow Management which is applied during six days prior to the day of operation and consists of planning and coordination activities.
- c) Tactical Flow Management which is applied on the day of operation. This phase updates the daily plan according to the actual traffic and capacity. The management of the traffic is made through slot allocation and/or ad-hoc routings.
- d) Post Operations Management which is applied following the day of operation. This phase analyses the day of operation, and feeds back into the previous three phases.

Article 3 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. *ATFM shall be governed by the following principles:*

(a) ATFM measures shall:

(iv) support the management of critical events;

PRPL-08- The central unit for ATFM shall ensure that procedures for the management of critical events within the EATMN are agreed and published in coordination with local ATFM units within their area of responsibility and in cooperation with operators, ATS units, airport managing bodies and entities involved in airspace management.

PRPL-08-01- When planning for or reacting to critical events the central unit for ATFM shall ensure that:

- a) Procedures are established and agreed during the strategic phase;
- b) The application of these procedures shall be decided upon and performed during the pre-tactical and tactical phases as appropriate;
- c) The procedures relevance shall be assessed during the post-operational phase based on performance analyses.

Article 3 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. *ATFM shall be governed by the following principles:*

(a) ATFM measures shall:

(i) prevent excessive air traffic demand compared with declared air traffic control (ATC) capacity of sectors and airports;

(ii) use EATMN capacity to the maximum extent possible in order to optimise the efficiency of the EATMN and minimise adverse effects on operators;

(iii) optimise the EATMN capacity made available through the development and application of capacity enhancing measures by ATS units;

PRPL-09- The central unit for ATFM shall ensure that ATFM and capacity management measures are provided to ensure an optimum flow of air traffic to, from, through or within defined areas during times when demand exceeds, or is expected to exceed, the available capacity or monitoring value of the ATS system, including relevant aerodromes. (However this should not preclude the need for planning airspace to adequately meet demand.)

PRPL-10- The central unit for ATFM shall balance demand and capacity by coordinating the optimum use of available resources, utilising ATC capacity to the maximum extent possible and coordinating adequate measures in order to enhance the quality of service and the performance of the ATM system.

PRPL-10-01- The central unit for ATFM, together with local ATFM units, shall ensure:

- a) timely collection and collation of data on the air navigation infrastructure and on the capacities of the ATC system and of aerodromes with their area of responsibility;
- b) determination of a coherent picture of expected traffic demand, comparison with available capacity and identification of areas and time periods of expected critical loadings;
- c) coordination with the appropriate authorities in order to make every possible attempt to increase available ATC capacity where this is required, and;
- d) in agreement with ATS units concerned, where ATC capacity shortfalls cannot be eliminated, determination, coordination (including local ATFM units and operators) and timely implementation of appropriate measures to be applied throughout relevant portions of their area of responsibility.

PRPL-10-02- The central unit for ATFM, together with local ATFM units, shall use continuously updated data reflecting expected and current traffic demand and capacity within their areas of responsibility.

PRPL-11- (Recommendation) ATS units should periodically review ATC capacities or monitoring value in relation to traffic demand; and

PRPL-12- (Recommendation) In the event that traffic demand regularly exceeds ATC capacity or monitoring value, resulting in continuing and frequent traffic delays, or it becomes apparent that forecast traffic demand will exceed capacity values or monitoring value, ATC units should, as far as practicable:

- a) Implement steps aimed at maximizing the use of the existing system capacity or monitoring value; and
- b) Develop and implement plans to increase capacity of the existing system to meet the actual or forecast demand.

PRPL-12-01- (Recommendation) When strategically developing capacity enhancing measures, ATS units should take into account the following elements:

- a) safety aspects, human and technical resources;
- b) airspace design and organisation (including sectorisation), airspace management (including the flexible use of airspace);
- c) ATC procedures applicable within the airspace concerned.

Article 3 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

3. The allocation of ATFM departure slots shall give priority to flights according to the order of their planned entry into the location at which the ATFM measure will apply, unless specific circumstances require application of a different priority rule which is formally agreed and is of benefit to the EATMN.

The first subparagraph may be applied to flights which are unable to accept the re-routing option to avoid or alleviate congested areas, taking into consideration the location and extent of the congested area.

PRPL-13- Unless specific circumstances require application of a different priority rule, the central unit for ATFM shall allocate ATFM departure slots in accordance with the first-planned, first-served principle (all the flights entering the regulated airspace are sequenced in the order they would have arrived in the absence of any restriction). The circumstances that require different priority rules include:

- a) exclusion of certain traffic flows that enter but do not reduce the capacity of the location of the measure;

- b) exemption of certain traffic flows where there is a benefit to the network;
- c) exclusion or forcing of specific flights in order to reduce excessive individual delays and optimise the use of capacity.
- d) exclusion and prioritization of specific flights that are not able to benefit from rerouting measures due to overflight permissions or similar constraints.

PRPL-13- 01- Flights departing from areas beyond adjacent FIRs as set out in the ATFCM Handbook shall be exempted from central unit for ATFM slot allocation.

PRPL-13-02- Flights departing from areas beyond adjacent FIRs as set out in the ATFCM Handbook shall however be subject to route and traffic orientation schemes.

Article 4 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. The definition and implementation of ATFM measures shall be compatible with Member States security and defence requirements, in order to ensure efficiency in airspace planning, allocation and use for the benefit of parties referred in Article 1(3).

PRPL-14- Member States shall ensure that entities involved in airspace management, ATS units, local ATFM units and the central unit for ATFM comply with Regulation (EC) 2150/2005 (FUA Regulation).

PRPL-14-01- The **central unit for ATFM** shall establish a function for the coordination of EATMN military activity.

Article 9 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. Member States shall ensure that, where requested by an airport slot coordinator or a managing body of a coordinated airport, the central unit for ATFM or the local ATFM unit shall provide them with the accepted flight plan of a flight operating at that airport, before that flight takes place. The airport slot coordinators or the managing bodies of coordinated airports shall arrange access to the accepted flight plans provided by the central unit for ATFM or the local ATFM unit.

PRPL-15- The central unit for ATFM shall ensure that procedures and systems are established and maintained, (including relevant addresses and acceptable communication medium), to facilitate the timely provision, upon request, of an accepted flight plan to the airport slot coordinator or airport managing body of the departure and/or arrival airport.

PRPL-15-01- The airport slot coordinator or airport managing body of the departure and/or arrival airport receiving that flight plan shall ensure arrangements are in place to facilitate the other party's timely access to the flight plan.

PRPL-16- Airport slot coordinators and airport managing bodies wishing to receive accepted flight plans shall provide the central unit for ATFM with correct addresses as well as any other necessary information.

Article 5 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

(c) ensures the effective implementation of ATFM measures, together with local ATFM units;

PRPL-17- Member States shall ensure that the central unit for ATFM, together with local ATFM units, has procedures in place to ensure the effective application and operation of ATFM measures.

INTENTIONALLY LEFT BLANK

3. REQUIREMENTS

3.1. ATFM REQUIREMENTS – [-REQ-]

Article 4 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

4. A common reference document containing the policies, procedures and description for route and traffic orientation shall be created. Where applicable, publication of route availability in national aeronautical information publications shall be fully consistent with this common reference document.

REQ-01- Member States shall ensure that:

- a) a traffic orientation scheme is introduced in which routes, as far as practicable, minimize the time and distance penalties for the flights concerned, and allow some degree of flexibility in the choices of routes, particularly for long-range flights;
- b) once agreed by all States concerned, details of the traffic orientation scheme are promulgated and published in a common format.

REQ-02- The central unit for ATFM, in cooperation with the Member States and operators, shall finalise the traffic orientation scheme during the strategic phase and update it each AIRAC cycle, following a structured standard process of requirement, validation and publication.

REQ-03- The central unit for ATFM shall coordinate all permanent amendments to the RAD, or the period of validity, with the States and AO organisations concerned.

REQ-04- The central unit for ATFM shall ensure that the RAD is periodically reviewed.

REQ-05- Member States shall ensure the accuracy of RAD data provided to the central unit for ATFM.

Article 4 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

5. Common procedures for requesting exemption from an ATFM departure slot shall be drawn up in accordance with the ICAO provisions specified in the Annex. Those procedures shall be coordinated with the central unit for ATFM and published in national aeronautical information publications.

REQ-06- Member States shall establish and publish common procedures for aircraft operators to request ATFM slot allocation exemptions.

REQ-07- Member States shall ensure that the following flights are exempted from ATFCM measures:

- a) flights carrying Heads of State (or equivalent status);
- b) flights engaging in fire fighting
- c) flights conducting search and rescue operations;
- d) flights for life critical medical emergencies evacuations
- e) flights approved for exemption from ATFM measures by the appropriate ATS authority STS/ATFMX

Article 4 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

3. Consistent procedures shall be established for the cooperation between the parties involved in ATFM function, ATS units and entities involved in airspace management, in order to optimise the use of the airspace.

REQ-08- Member States shall establish and authorise a focal point, or airspace management cells, or joint civil and military AMCs to manage their airspace on a daily basis.

REQ-09- (Recommendation) Whenever possible the AMC and FMP functions should be integrated.

Article 5 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Member States shall ensure that the central unit for ATFM:

(b) consults with operators on the definition of ATFM measures;

(f) provides information on ATFM in a timely manner to operators and ATS units, including:

(i) planned ATFM measures;

(ii) impact of ATFM measures on take-off time and flight profile of individual flights;

REQ-10- The central unit for ATFM shall involve AOs in the definition of ATFCM measures during all ATFCM phases by application of the Collaborative Decision Making (CDM) process.

REQ-10-01- The central unit for ATFM shall ensure that procedures are in place to provide information on all ATFM measures in a timely manner.

REQ-11- To facilitate the integration of the AOs into the operations, the central unit for ATFM shall establish an Aircraft Operator Liaison Cell, to be staffed by representatives of the aircraft operators.

REQ-11-01- The central unit for ATFM shall ensure that the Cell provides the focal point for the AOs for coordination and information about the airspace and ATFCM situation in the area of responsibility of the central unit for ATFM.

REQ-11-02- In the strategic phase the central unit for ATFM shall ensure that the Cell liaises with the central unit for ATFM, AOs and ATM providers in order to:

- a) propose developments to the central unit for ATFM processes and measures for benefit airspace users and ATM providers,
- b) follow up on any repetitive problems affecting the AOs, and monitor the equity of the flow management process.

REQ-11-03- In the pre-tactical phase the central unit for ATFM shall ensure that the Cell contributes to the preparation of the ATFCM Daily Plan by forwarding views of AOs and coordinating ATFCM measures (e.g. re-routeing scenarios) with them.

REQ-11-04- In the tactical phase the central unit for ATFM shall ensure that the Cell acts as the main point of contact with the AOs concerning any ATFCM measures.

REQ-11-05- The central unit for ATFM shall ensure that the Cell leads coordination with AOs in the event of any critical event in the area of responsibility of the central unit for ATFM.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. When an ATFM measure has to be applied, ATS units shall coordinate through the local ATFM unit with the central unit for ATFM in order to ensure that the choice of measure is made with respect to the optimisation of the overall performance effects on the EATMN.

3. ATS units shall ensure that ATFM measures applied to airports are coordinated with the airport managing body concerned, in order to ensure efficiency in airport planning and usage for the benefit of parties referred to in Article 1(3).

REQ-12- When the traffic demand exceeds, or is predicted to exceed, the capacity or monitoring value of a particular traffic volume, the responsible ATS unit or central unit for ATFM, as defined in the LoA, shall advise the responsible local ATFM unit.

REQ-13- The responsible ATS unit shall ensure that a decision to implement and execute ATFCM measures within the Area of Responsibility of a local ATS unit is preceded by coordination between the central unit for ATFM, local ATFM unit and that local ATS unit.

REQ-13-01- This process shall be conducted by the principles established for the concept of Collaborative Decision Making (CDM).

REQ-14- Once the choice of ATFCM measures applied to airports has been coordinated with the central unit for ATFM (through local ATFM units), the ATS unit at the airport concerned shall coordinate the measures with the airport managing body.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

4. *ATS units shall notify to the central unit for ATFM through the local ATFM unit all events that may impact air traffic control capacity or air traffic demand.*

REQ-15- In case of particular events which have a negative impact on the declared capacity or monitoring value of a sector or aerodrome, ATC units shall determine the value of the reduced capacity or monitoring value of the airspace or aerodrome concerned, for the required time period.

REQ-16- ATC units shall advise the local ATFM unit of negative impact and consequential reduction of capacity or monitoring value.

REQ-16-01- The local ATFM unit shall coordinate appropriate ATFM measures with the central unit for ATFM.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

5. *ATS units shall provide the central unit for ATFM with the following data and subsequent updates, in a timely manner and ensuring its quality:*

- (a) availability of airspace and route structures,*
- (b) ATS unit sector configurations and activations,*
- (c) aerodrome taxi times,*
- (d) air traffic control sector and airport capacities,*
- (e) route availability including availability through application of flexible use of airspace in accordance with Regulation (EC) No 2150/2005,*
- (h) airspace availability including availability through application of flexible use of airspace in accordance with Regulation (EC) No 2150/2005,*

The data shall be made available to parties referred to in Article 1(3) and provided free of charge to, and by, the central unit for ATFM.

REQ-17- ATC units shall be responsible for ensuring the central unit for ATFM has all the data and information required in each of the ATFCM phases to make the most effective use of available capacity and to implement the most effective ATFCM plan.

REQ-17-01- ATS units, through local ATFM units, shall provide the central unit for ATFM with 'local knowledge', including any data or information which could be considered as necessary or useful in the effective and efficient execution of the ATFCM task.

REQ-17-02- ATS units, through local ATFM units shall provide the central unit for AFTM with data and changes thereto as follows:

- a) environment data (including availability of airspace and ATS routes, taking into account the application of flexible use of airspace);
- b) traffic volumes;
- c) flows to be associated to a reference location;
- d) ATC capacity (sectors, aerodromes/sets of aerodromes and points) and monitoring values, including temporary values;
- e) sector configurations and activations;
- f) taxi times and runway configurations;

REQ-18- To facilitate the CDM process local ATFM units shall assist the central unit for ATFM with checking the sector configurations, activation time periods, capacity and monitoring values for correctness.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. When necessary, ATS reporting offices shall facilitate the exchange of information between pilots or operators and the local or the central unit for ATFM.

REQ-19- ATS reporting offices (AROs) shall support the exchange of information:

- a) from AOs to the local ATFM unit and/or the central unit for ATFM, for flight planning purposes;
- b) from the local ATFM unit and/or the central unit for ATFM to AOs, for aeronautical information and ATFCM purposes.

Article 5 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Member States shall ensure that the central unit for ATFM:

(d) in coordination with local ATFM units identifies alternative routings to avoid or alleviate congested areas, taking into account the overall performance effects on the EATMN;

(e) offers a re-routing to those flights that would optimise the effect of point (d);

REQ-20- Member States shall ensure that the central unit for ATFM, local ATFM units and AOs identify flows for which rerouting proposals and scenarios are made available to avoid or alleviate congested areas, that are consistent with the TOS but avoid the critical area.

REQ-21- The central unit for ATFM, in coordination with local ATFM units, shall develop reroute solutions to:

- a) help resolve forecast ATC capacity problems;
- b) achieve a global decrease of delays by spreading the traffic;
- c) enable operators to choose between acceptable delays and preferred routings
- d) overcome some of limitations of the traffic orientation scheme and improve capacity management.

Reroute solutions may be for particular flows or for selected individual flights.

REQ-22- The central unit for ATFM shall identify any risk of major imbalance between demand and capacity, and may decide, after agreement with all local ATFM units concerned, to make part (or all) of the alternative routings mandatory for the period expected to be critical.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

6. The ATS unit at the departure airport shall ensure that:

(a) where a flight is subject to an ATFM departure slot, that slot is included as part of the air traffic control clearance;

(b) flights adhere to ATFM departure slots;

REQ-23- ATS Units shall be responsible for ATFM slot compliance at departure aerodromes. Whereas the exact procedures to be followed will depend on the way ATS is organised at each aerodrome, the following requirements shall apply in all cases, unless otherwise coordinated:

- a) a slot tolerance is a window of time around a CTOT available to ATC for which the aircraft must not depart outside
- b) ATS units shall provide all possible assistance to operators to meet ATFM slots or to coordinate a revised ATFM slot.

REQ-24- Local ATFM units shall be responsible for slot compliance monitoring within their area of responsibility.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

6. The ATS unit at the departure airport shall ensure that:

(d) flights whose flight plan has been rejected or suspended are not given take-off clearance.

REQ-25- The ATC unit at the departure airport, when in receipt of a notification of a rejected or suspended flight plan, shall not give take-off clearance to the affected flight.

Article 5 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Member States shall ensure that the central unit for ATFM:

(h) suspends a flight plan when, considering the time tolerance, the ATFM departure slot cannot be met and a new estimated off-block time is not known;

REQ-26- The central unit for ATFM shall ensure that procedures are in place to enable identification of those flights that will not be able to meet their ATFM departure slot and for which a new expected off blocks time is not known.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

6. The ATS unit at the departure airport shall ensure that:

(c) flights not adhering to their estimated off blocks time, taking into account the established time tolerance, are not given take-off clearance;

REQ-27- AOs shall always file an accurate estimated off-block time which, at the time of filing, is known to be the true estimated off-block time.

REQ-28- AOs shall communicate to the central unit for ATFM any changes to the estimated off-block time of more than 15 minutes. Where an AO is unable to comply with a CTOT this time may be less than 15 minutes.

REQ-29- the ATC unit at the departure airport shall ensure that procedures are in place to enable it to be aware of current expected off blocks times for flights operating from that airport and does not give take-off clearance to those flights that have missed its estimated off blocks time, taking into account the established time tolerance.

Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

5. ATS units shall provide the central unit for ATFM with the following data and subsequent updates, in a timely manner and ensuring its quality:

(f) updated flight positions,

(g) deviations from flight plans,

(i) actual flight take-off times.

The data shall be made available to parties referred to in Article 1(3) and provided free of charge to, and by, the central unit for ATFM.

REQ-30- ATS units shall provide the central unit for ATFM with the necessary data concerning the progress of airborne flights including actual take-off time and significant deviations from the flight plan route.

3.2. FLIGHT PLANNING – [-FPL-]

Article 7 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. Each intended flight shall be covered by a single flight plan. The filed flight plan shall correctly reflect the intended flight profile.

FPL-01- For all IFR flights, including the IFR portions of mixed IFR/VFR flights, entering, overflying or departing the area of responsibility of the central unit for ATFM, AOs shall submit a flight plan (and associated message) to the central unit for ATFM either directly or via the ATS Reporting Office (ARO) serving the aerodrome of departure.

FPL-02- AOs shall ensure that only one flight plan exists at any given time for the same flight.

FPL-03- AOs shall ensure that the flight plan accurately reflects their intended flight profile.

FPL-04- (Recommendation) AOs should submit the flight plans at least three hours before the estimated off-block time. This does not apply to flights exempted from ATFCM measures.

Article 7 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. All relevant ATFM measures and changes thereto shall be incorporated into the planned flight operation and communicated to the pilot.

FPL-05- AOs shall inform themselves and inform the flight crews, of flights which are or will be subject to ATFM measures.

FPL-05-01- AOs shall inform themselves of any subsequent changes to ATFM measures to which they are subject.

FPL-06- AOs shall adhere to:

- a) General ATFM procedures including flight plan filing, strategic ATFCM measures and message exchange requirements; and
- b) Current ATFCM measures (e.g. specific measures applicable on the day in question such as ATFM slot or flight suspension).

Article 7 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

4. Where a flight plan has been suspended in accordance with Article 5(h), the operator concerned shall arrange for updating or cancelling the flight plan.

FPL-07- To respond to a flight suspension, AOs shall either update their estimated off-block time or cancel the flight plan.

FPL-08- The central unit for ATFM shall respond to an update of an estimated off-block time following a flight suspension by de-suspending the flight or allocating a new ATFM departure slot.

Article 11 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. The ATS unit at that airport concerned shall provide relevant information on any failure to adhere to flight plan rejections or suspensions at that airport and of the actions taken to ensure adherence. Such actions shall be indicated in a report to be submitted by the Member State concerned to the Commission.

FPL-09- Member States shall ensure that appropriate procedures are in place to monitor the adherence to flight plan rejections or suspensions at airports in their area of responsibility.

FPL-10- Member States shall ensure that ATS units at airports in their area of responsibility, are notified of their failure to adhere to flight plan rejections or suspensions,

FPL-10-01- Member States shall ensure that ATS units at airports in their area of responsibility so notified above provide them with relevant information of the non-compliance.

FPL-11- Member States shall take such actions as are considered appropriate to ensure subsequent adherence to flight plan rejections or suspensions.

Article 7 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

3. Where departing from an airport not subject to an ATFM departure slot, operators are responsible for adhering to their estimated off blocks time, taking into account a time tolerance as laid down in relevant ICAO provisions specified in the Annex.

FPL-12- AOs shall ensure that in the event of a deviation of 15 minutes from the estimated off-blocks time, when departing from an airport not subject to an ATFM departure slot on a flight for which a flight plan has been submitted, the flight plan shall be amended, or a new flight plan submitted and the old flight plan cancelled, whichever is applicable.

3.3. CRITICAL EVENTS – [-CRIT-]

Article 10 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. Member States shall ensure that ATFM procedures for handling critical events are established and published by the central unit for ATFM, in order to minimise disruption to the EATMN.

2. In the preparation for critical events, ATS units and airport managing bodies shall coordinate the relevance and content of the contingency procedures with operators affected by critical events, including any adjustment to priority rules.

The contingency procedures shall include:

(a) Organisational and coordination arrangements,

(b) ATFM measures to manage access to affected areas to prevent excessive air traffic demand compared with declared capacity of the whole or part of the airspace or airports concerned,

(c) Circumstances, conditions and procedures for the application of priority rules for flights, which respect Member States' essential security or defence policy interests,

(d) Recovery arrangements.

CRIT-01- The central unit for ATFM shall develop, maintain and publish contingency plans defining the actions to be taken in the event of a major failure of a component of the ATFM service which would result in significant reductions in capacity and/or major disruption to traffic flows.

CRIT-01-01- The central unit for ATFM shall publish local contingency plans defining the actions to be taken in the event of a failure of a local component of the ATM service which would result in significant reductions in capacity and/or major disruption to traffic flows.

CRIT-02- Local ATFM units shall have in place pre-defined contingency plans detailing the configurations, capacities and strategies in each critical event for their area of responsibility, in order to enable the central unit for ATFM to assist local ATFM units in contingency operation.

CRIT-02-01- Local ATFM units shall coordinate their contingency plans with the central unit for ATFM.

CRIT-02-02- Local ATFM units shall be responsible for ensuring such plans are kept updated and notified to the central unit for ATFM.

3.4. SAFETY – [-SAFE-]**Article 13 of Regulation (EC) 255/2010 (ATFM Implementing Rule)**

Member States shall ensure that a safety assessment, including hazard identification, risk assessment and mitigation, is conducted, before any significant changes to ATFM systems and procedures are introduced, including an assessment of a safety management process addressing the complete lifecycle of the air traffic management system.

SAFE-01- Member States shall ensure that the parties involved in ATFM (or agents acting on their behalf) comply with the EUROCONTROL Safety Regulatory Requirements for use of safety management systems by ATM service providers (ESARR 3 or appropriate IR).

SAFE-02- Member States shall ensure that the parties involved in ATFM (or agents acting on their behalf) comply with the EUROCONTROL Safety Regulatory Requirements for risk assessment and mitigation, including hazard identification, in Air Traffic Management (ATM) when introducing and/or planning changes to the ATM System (ESARR 4 or appropriate IR).

SAFE-03- Member States shall ensure that the parties involved in ATFM (or agents acting on their behalf) comply with the EUROCONTROL Safety Regulatory Requirements for software in ATM systems (ESARR 6 or appropriate IR)

SAFE-04- Member States shall ensure that all relevant staff are adequately qualified and trained before any changes to operations are introduced, in compliance with the EUROCONTROL Safety Regulatory Requirements for ATM service's personnel (ESARR 5 or appropriate IR).

3.5. COMPLIANCE – [-COM-]

Article 5 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Member States shall ensure that the central unit for ATFM:

(g) monitors the occurrences of missing flight plans and multiple flight plans that are filed;

Article 11 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

4. Member States shall ensure that where a non-compliance to ATFM measures resulting from application of Article 5(g) is identified, the central unit for ATFM shall notify the operator of the non-compliance.

5. AOs shall submit a report to the central unit for ATFM on each non-compliance to ATFM measures providing details of the circumstances that resulted in a missing flight plan or multiple flight plans and the actions taken to correct such non-compliance.

6. the central unit for ATFM produces an annual report providing details of missing flight plans, or multiple flight plans that are filed and that the report is submitted to the Commission.

COM-01- The central unit for ATFM shall monitor occurrences when a correlation cannot be established between a flight plan and the execution of that flight, either:

- a) because the flight plan does not exist (case of missing flight plan), or;
- b) because the flight is not executed (case of “ghost” flight plan or multiple flight plans).

COM-01-01- When such occurrences are identified, the central unit for ATFM shall notify the Aircraft Operator concerned

COM-01-02- AOs, when so notified by the central unit for ATFM, shall report for each non-compliance to ATFCM measures, either through individual reports or after consolidation of the data.

COM-02- Based on the review and consolidation of the adherence reports provided by the central unit for ATFM, by ATS units and by operators, Member States shall issue recommendations to improve the level of adherence to ATFCM measures.

Article 5 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Member States shall ensure that the central unit for ATFM:

(i) monitors the number of exemptions granted in accordance with Article 4(5).

Article 11 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

3. Member States shall ensure that:

(a) the central unit for ATFM notifies a Member State which grants exemptions in excess of 0,6 % of that Member State's annual departures;

(b) where a Member State has been notified under point (a), it shall produce a report providing details of the exemptions granted to be submitted to the Commission.

COM-03- The central unit for ATFM shall implement procedures for monitoring the number and category of exemptions granted by member States.

COM-04- The central unit for ATFM shall ensure that a process is implemented to identify and notify a Member State which grants exemptions in excess of 0,6% of that State's annual departures.

COM-04-01- A Member State so notified shall ensure that a report providing details of the exemptions granted is submitted to the Commission.

Article 11 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

7. Member States shall conduct an annual review of adherence to ATFM measures to ensure that parties referred to in Article 1(3) improve the level of adherence to those measures.

Article 12 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. When implementing Article 11, Member States shall ensure that the central unit for ATFM produces annual reports indicating the quality of the ATFM that shall include details of:

- (a) causes of ATFM measures;
- (b) impact of ATFM measures;
- (c) adherence to ATFM measures;
- (d) contributions by parties referred to in Article 1(3) to the optimisation of the overall network effect.

COM-05- The central unit for ATFM shall produce yearly reports providing an assessment of ATFM performance to the level of detail suitable for all parties to identify where improvements to and nature of ATFCM measures are required.

Article 11 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

1. Member States shall ensure that where adherence to ATFM departure slots at an airport of departure is 80 % or less during a year, the ATS unit at that airport shall provide relevant information of non-compliance and the actions taken to ensure adherence to ATFM departure slots. Such actions shall be indicated in a report to be submitted by the Member State concerned to the Commission.

COM-06- Member States shall ensure that appropriate procedures are in place to monitor the adherence to ATFM departure slots at airports in their area of responsibility.

COM-07- Member States shall ensure that ATC units at airports in their area of responsibility, are notified by the central unit for ATFM of their lack of adherence to ATFM departure slots,

COM-07-01- Member States shall ensure that ATS units at airports in their area of responsibility so notified above provide the central unit for ATFM with relevant information of the non-compliance.

COM-08- Measures for improvement of adherence shall be prepared by local ATS units in the event of failure to reach adherence targets and these shall be collated by the national aviation authority and submitted to the European Commission.

Article 9 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. Before flight, operators shall provide airports of departure and arrival with the necessary information to enable a correlation to be made between the flight designator contained in the flight plan and that notified for the corresponding airport slot.

COM-09- AOs shall provide the necessary information allowing the establishment of the correlation between the flight designator contained in the flight plan and that notified for the corresponding airport slot.

Article 9 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

3. Any operator, airport managing body and ATS unit shall be entitled to report to the airport slot coordinator on repeated operation of air services at times that are significantly different from the allocated airport slots or with the use of slots in a significantly different way from that indicated at the time of allocation, where this causes prejudice to airport or air traffic operations.

COM-10- AOs, airport managing bodies and airport slot coordinators shall ensure that appropriate procedures are in place to facilitate the reporting on incidents of repeated operation of air services at times that are significantly different from the allocated airport slots or with the

use of slots in a significantly different way from that indicated at the time of allocation, where this causes prejudice to airport, air traffic operations or the airport slot coordinator.

Article 9 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

4. Member States shall ensure that the central unit for ATFM reports to the airport slot coordinators on repeated operation of air services at significantly different times from the allocated airport slots or with the use of slots in a significantly different way from that indicated at the time of allocation, where this causes prejudice to ATFM.

COM-11- The central unit for ATFM shall ensure that appropriate procedures are in place to identify repeated operation of air services at significantly different times from the allocated airport slots or with the use of slots in a significantly different way from that indicated at the time of allocation.

COM-11-01- The central unit for ATFM shall ensure that appropriate procedures are in place to facilitate the reporting of such incidents to the relevant airport slot coordinator.

Article 15 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

Member States shall lay down the rules on penalties applicable to infringements of the provisions of this Regulation and shall take all measures necessary to ensure that they are implemented. The penalties provided for must be effective, proportionate and dissuasive. The Member States shall notify those provisions to the Commission by 26 September 2011 at the latest and shall notify it without delay of any subsequent amendment affecting them.

COM-12- Member States shall ensure that all parties subject to the penalties under Article 15 of Regulation (EC) 255/2010 (ATFM Implementing Rule) are made aware of these provisions

3.6. ARCHIVE – [-ARC-]**Article 12 of Regulation (EC) 255/2010 (ATFM Implementing Rule)**

2. Member States shall ensure that an archive of ATFM data listed in Article 6(5), flight plans, operational logs and relevant contextual data is created and maintained by the central unit for ATFM.

The data referred to in the first subparagraph shall be retained for 2 years from their submission and made available to the Commission, Member States, ATS units and operators.

That data shall be made available to airport coordinators and airport operators to assist their regular assessment of the declared capacity.

ARC-01- The Member States shall ensure that the central unit for ATFM maintains an archive of all relevant ATFCM data, to be stored for 2 years after submission and made available, in an accessible format, to interested parties.

ARC-01-01- The archive shall provide the following main functions:

- a) Acceptance of data to be archived from ENV, TACT, IFPS and RPL.
- b) Production of statistics.
- c) Consultation of the data.
- d) Preparation of the Pre-Tactical model.
- e) Study of the Pre-Tactical model.
- f) Preparation of measures.
- g) System administration.
- h) Performance monitoring and measurement via aggregate statistical reports and relevant KPIs.

3.7. ATFM PERSONNEL – [-PERS-]**Article 14 of Regulation (EC) 255/2010 (ATFM Implementing Rule)**

1. Member States shall ensure that personnel of the parties referred to in Article 1(3) involved in ATFM activities are:

- (a) Made duly aware of the provisions of this Regulation;
- (b) Adequately trained and competent for their job functions.

PERS-01- Member States shall ensure that the parties involved in ATFM (or agents acting on their behalf) staff their organisations with personnel satisfying competency requirements in accordance with the EUROCONTROL Safety Regulatory Requirements for ATM Service's Personnel (ESARR 5) as appropriate.

PERS-02- Member States shall ensure that all staff engaged in ATFM are adequately trained and qualified.

PERS-03- Member States shall ensure that staff of local ATFM units are adequately trained in the knowledge and operation of ATFM procedures and use of supporting systems.

Article 14 of Regulation (EC) 255/2010 (ATFM Implementing Rule)

2. Member States shall take the necessary measures to ensure that parties referred to in Article 1(3) with responsibilities for ATFM functions:

- (a) Develop and maintain operations manuals containing the necessary instructions and information to enable their operations personnel to apply the provisions of this Regulation;
- (b) Ensure that these manuals are consistent, accessible and kept up-to-date and that their update and distribution are subject to appropriate quality and documentation configuration management;
- (c) Ensure that the working methods and operating procedures comply with this Regulation.

PERS-04- The central unit for ATFM shall develop and maintain ATFCM procedures manuals, the procedures of which shall comply with the appropriate ICAO provisions and Regulation (EC) 255/2010 (ATFM Implementing Rule).

PERS-04-01- Member States shall ensure that detailed procedures governing the provision of the ATFM service within their area of responsibility are prescribed in operations manual(s) or handbook(s).

PERS-04-02- Member States shall ensure that the operations manual(s) or handbook(s) developed by ATC units and local ATFM units are in line with the ATFCM Procedures Manuals, unless specific arrangements are agreed with the central unit for ATFM.

APPENDIX 1 - TRACEABILITY TO REGULATORY PROVISIONS

COMMISSION REGULATION (EC) No 255/2010 of 25 March 2010 laying down common rules for air traffic flow management expands and details the requirements laid down in Art. 9 of REGULATION (EC) No 551/2004 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 10 March 2004 on the organisation and use of the airspace in the Single European Sky (the Airspace Regulation)

The Responsibilities Document supports implementation and application of air traffic flow management (ATFM), and demonstrates how it meets the requirements of the COMMISSION REGULATION (EC) No 255/2010 of 25 March 2010. The Responsibilities Document shows the traceability to the above mentioned regulations.

Column '**SHALL / SHOULD**' shows the convention of the requirement:

'**Shall**' – indicates a statement of Responsibilities Document, the compliance with which is mandatory according to the ATFM IR.

'**Should**' – indicates a recommendation or best practice, which may or may not be satisfied by all systems claiming conformity to the Responsibilities Document.

Column '**PARA / NUMBER**' identifies every numbered paragraph.

Column '**RESPONSIBILITIES DOCUMENT**' identifies main articles with the requirement index.

Column 'COMMISSION REGULATION (EC) No 255/2010 of 25 March 2010 laying down common rules for air traffic flow management' identifies the references of the specific parts of the Responsibilities Document that provide the MoCs for COMMISSION REGULATION (EC) No 2150/2005 of 23 December 2005 laying down common rules for the flexible use of airspace

SHALL/ SHOULD	PARA-/ NUMBER	RESPONSIBILITIES DOCUMENT	COMMISSION REGULATION (EC) No 255/2010 OF 25 MARCH 2010 LAYING DOWN COMMON RULES FOR AIR TRAFFIC FLOW MANAGEMENT
		PRINCIPLES – [-PRPL-]	
SHALL		PRPL-01 PRPL-01-01	Article 5 (a) optimises the overall performance effects on the EATMN through planning, coordination and implementation of ATFM measures;
SHALL		PRPL-02 PRPL-02-01	Article 4 1. Member States shall ensure that the ATFM function is available to parties referred to in Article 1(3) on a 24 hour basis.
SHALL		PRPL-03 PRPL-03-01 PRPL-03-02 PRPL-03-03 PRPL-03-04 PRPL-04 PRPL-04-01 PRPL-04-02 PRPL-04-02-01	Article 3 2. ATFM shall be governed by the following principles: (b) local ATFM units and the central unit for ATFM shall be considered as part of the ATFM function.
SHALL		PRPL-05 PRPL-05-01	Article 8 Airport managing bodies shall notify to the central unit for ATFM, directly or through the local ATFM unit or ATS units or both, all events that may impact air traffic control capacity or air traffic demand. They shall inform the local ATFM unit and ATS units where the notification is done directly.
SHALL		PRPL-06 PRPL-07	Article 3 1. The planning, coordination and execution of the ATFM measures by the parties referred to in Article 1(3) shall comply with the ICAO provisions specified in the Annex.
SHALL		PRPL-08 PRPL-08-01	Article 3 2. ATFM shall be governed by the following principles: (a) ATFM measures shall: (iv) support the management of critical events;

<p>SHALL</p> <p>SHOULD</p> <p>SHOULD</p>		<p>PRPL-09 PRPL-10 PRPL-10-01 PRPL-10-02</p> <p>PRPL-11</p> <p>PRPL-12 PRPL-12-01</p>	<p>Article 3</p> <p>2. ATFM shall be governed by the following principles:</p> <p>(a) ATFM measures shall:</p> <p>(i) prevent excessive air traffic demand compared with declared air traffic control (ATC) capacity of sectors and airports;</p> <p>(ii) use EATMN capacity to the maximum extent possible in order to optimise the efficiency of the EATMN and minimise adverse effects on operators;</p> <p>(iii) optimise the EATMN capacity made available through the development and application of capacity enhancing measures by ATS units;</p>
<p>SHALL</p>		<p>PRPL-13 PRPL-13-01 PRPL-13-02</p>	<p>Article 3</p> <p>3. The allocation of ATFM departure slots shall give priority to flights according to the order of their planned entry into the location at which the ATFM measure will apply, unless specific circumstances require application of a different priority rule which is formally agreed and is of benefit to the EATMN.</p> <p>The first subparagraph may be applied to flights which are unable to accept the re-routing option to avoid or alleviate congested areas, taking into consideration the location and extent of the congested area.</p>
<p>SHALL</p>		<p>PRPL-14 PRPL-14-01</p>	<p>Article 4</p> <p>2. The definition and implementation of ATFM measures shall be compatible with Member States security and defence requirements, in order to ensure efficiency in airspace planning, allocation and use for the benefit of parties referred in Article 1(3).</p>
<p>SHALL</p>		<p>PRPL-15 PRPL-15-01 PRPL-16</p>	<p>Article 9</p> <p>1. Member States shall ensure that, where requested by an airport slot coordinator or a managing body of a coordinated airport, the central unit for ATFM or the local ATFM unit shall provide them with the accepted flight plan of a flight operating at that airport, before that flight takes place. The airport slot coordinators or the managing bodies of coordinated airports shall arrange access to the accepted flight plans provided by the central unit for ATFM or the local ATFM unit.</p>
<p>SHALL</p>		<p>PRPL-17</p>	<p>Article 5</p> <p>Member States shall ensure that the central unit for ATFM:</p> <p>(c) ensures the effective implementation of ATFM measures, together with local ATFM units;</p>

		REQUIREMENTS – [-REQ-]	
SHALL		REQ-01 REQ-02 REQ-03 REQ-04 REQ-05	Article 4 4. A common reference document containing the policies, procedures and description for route and traffic orientation shall be created. Where applicable, publication of route availability in national aeronautical information publications shall be fully consistent with this common reference document.
SHALL		REQ-06 REQ-07	Article 4 5. Common procedures for requesting exemption from an ATFM departure slot shall be drawn up in accordance with the ICAO provisions specified in the Annex. Those procedures shall be coordinated with the central unit for ATFM and published in national aeronautical information publications.
SHALL SHOULD		REQ-08 REQ-09	Article 4 3. Consistent procedures shall be established for the cooperation between the parties involved in ATFM function, ATS units and entities involved in airspace management, in order to optimise the use of the airspace.
SHALL		REQ-10 REQ-10-01 REQ-11 REQ-11-01 REQ-11-02 REQ-11-03 REQ-11-04 REQ-11-05	Article 5 Member States shall ensure that the central unit for ATFM: (b) consults with operators on the definition of ATFM measures; (f) provides information on ATFM in a timely manner to operators and ATS units, including: (i) planned ATFM measures; (ii) impact of ATFM measures on take-off time and flight profile of individual flights;
SHALL		REQ-12 REQ-13-01 REQ-14	Article 6 1. When an ATFM measure has to be applied, ATS units shall coordinate through the local ATFM unit with the central unit for ATFM in order to ensure that the choice of measure is made with respect to the optimisation of the overall performance effects on the EATMN. Article 6 of Regulation (EC) 255/2010 (ATFM Implementing Rule) 3. ATS units shall ensure that ATFM measures applied to airports are coordinated with the airport managing body concerned, in order to ensure efficiency in airport planning and usage for the benefit of

			parties referred to in Article 1(3).
SHALL		REQ-15 REQ-16 REQ-16-01	Article 6 4. ATS units shall notify to the central unit for ATFM through the local ATFM unit all events that may impact air traffic control capacity or air traffic demand.
SHALL		REQ-17 REQ-17-01 REQ-17-02 REQ-18	Article 6 5. ATS units shall provide the central unit for ATFM with the following data and subsequent updates, in a timely manner and ensuring its quality: (a) Availability of airspace and route structures, (b) ATS unit sector configurations and activations, (c) Aerodrome taxi times, (d) Air traffic control sector and airport capacities, (e) Route availability including availability through application of flexible use of airspace in accordance with Regulation (EC) No 2150/2005, (h) Airspace availability including availability through application of flexible use of airspace in accordance with Regulation (EC) No 2150/2005, The data shall be made available to parties referred to in Article 1(3) and provided free of charge to, and by, the central unit for ATFM.
SHALL		REQ-19	Article 6 2. When necessary, ATS reporting offices shall facilitate the exchange of information between pilots or operators and the local or the central unit for ATFM.
SHALL		REQ-20 REQ-21 REQ-22	Article 5 Member States shall ensure that the central unit for ATFM: (d) in coordination with local ATFM units identifies alternative routings to avoid or alleviate congested areas, taking into account the overall performance effects on the EATMN; (e) offers a re-routing to those flights that would optimise the effect of point (d);
SHALL		REQ-23 REQ-24	Article 6 6. The ATS unit at the departure airport shall ensure that: (a) where a flight is subject to an ATFM departure slot, that slot is included as part of the air traffic control clearance;

			(b) flights adhere to ATFM departure slots;
SHALL		REQ-25	Article 6 6. The ATS unit at the departure airport shall ensure that: (d) flights whose flight plan has been rejected or suspended are not given take-off clearance.
SHALL		REQ-26	Article 5 Member States shall ensure that the central unit for ATFM: (h) suspends a flight plan when, considering the time tolerance, the ATFM departure slot cannot be met and a new estimated off-block time is not known;
SHALL		REQ-27 REQ-28 REQ-29	Article 6 6. The ATS unit at the departure airport shall ensure that: (c) flights not adhering to their estimated off blocks time, taking into account the established time tolerance, are not given take-off clearance;
SHALL		REQ-30	Article 6 5. ATS units shall provide the central unit for ATFM with the following data and subsequent updates, in a timely manner and ensuring its quality: (f) updated flight positions, (g) deviations from flight plans, (i) actual flight take-off times. The data shall be made available to parties referred to in Article 1(3) and provided free of charge to, and by, the central unit for ATFM.

		FLIGHT PLANNING – [-FPL-]	
SHALL SHOULD		FPL-01 FPL-02 FPL-03 FPL-04	Article 7 1. Each intended flight shall be covered by a single flight plan. The filed flight plan shall correctly reflect the intended flight profile.
SHALL		FPL-05 FPL-05-01 FPL-06	Article 7 2. All relevant ATFM measures and changes thereto shall be incorporated into the planned flight operation and communicated to the pilot.
SHALL		FPL-07 FPL-08	Article 7 4. Where a flight plan has been suspended in accordance with Article 5(h), the operator concerned shall arrange for updating or cancelling the flight plan.
SHALL		FPL-09 FPL-10 FPL-10-01 FPL-11	Article 11 2. The ATS unit at that airport concerned shall provide relevant information on any failure to adhere to flight plan rejections or suspensions at that airport and of the actions taken to ensure adherence. Such actions shall be indicated in a report to be submitted by the Member State concerned to the Commission.
SHALL		FPL-12	Article 7 3. Where departing from an airport not subject to an ATFM departure slot, operators are responsible for adhering to their estimated off blocks time, taking into account a time tolerance as laid down in relevant ICAO provisions specified in the Annex.

		CRITICAL EVENTS –[-CRIT-]	
SHALL		CRIT-01 CRIT-01-01 CRIT-02 CRIT-02-01 CRIT-02-02	<p>Article 10</p> <p>1. Member States shall ensure that ATFM procedures for handling critical events are established and published by the central unit for ATFM, in order to minimise disruption to the EATMN.</p> <p>2. In the preparation for critical events, ATS units and airport managing bodies shall coordinate the relevance and content of the contingency procedures with operators affected by critical events, including any adjustment to priority rules.</p> <p>The contingency procedures shall include:</p> <p>(a) Organisational and coordination arrangements,</p> <p>(b) ATFM measures to manage access to affected areas to prevent excessive air traffic demand compared with declared capacity of the whole or part of the airspace or airports concerned,</p> <p>(c) Circumstances, conditions and procedures for the application of priority rules for flights, which respect Member States' essential security or defence policy interests,</p> <p>(d) Recovery arrangements.</p>

		SAFETY –[-SAFE-]	
SHALL		GEN-SAFE-01 SAFE-02 SAFE-03 SAFE-04	<p>Article 13</p> <p>Member States shall ensure that a safety assessment, including hazard identification, risk assessment and mitigation, is conducted, before any significant changes to ATFM systems and procedures are introduced, including an assessment of a safety management process addressing the complete lifecycle of the air traffic management system.</p>

		COMPLIANCE- [-COM-]	
SHALL		GEN-COM-01 COM-01-01 COM-01-02 COM-02	<p>Article 5</p> <p>(g) monitors the occurrences of missing flight plans and multiple flight plans that are filed;</p> <p>Article 11</p> <p>4. Member States shall ensure that where a non-compliance to ATFM measures resulting from application of Article 5(g) is identified, the central unit for ATFM shall notify the operator of the non-compliance.</p> <p>Article 11</p> <p>5. AOs shall submit a report to the central unit for ATFM on each non-compliance to ATFM measures providing details of the circumstances that resulted in a missing flight plan or multiple flight plans and the actions taken to correct such non-compliance.</p> <p>Article 11</p> <p>6. the central unit for ATFM produces an annual report providing details of missing flight plans, or multiple flight plans that are filed and that the report is submitted to the Commission.</p>
SHALL		COM-03 COM-04 COM-04-01	<p>Article 5</p> <p>Member States shall ensure that the central unit for ATFM:</p> <p>(i) monitors the number of exemptions granted in accordance with Article 4(5).</p> <p>Article 11</p> <p>3. Member States shall ensure that:</p> <p>(a) the central unit for ATFM notifies a Member State which grants exemptions in excess of 0,6 % of that Member State's annual departures;</p> <p>(b) where a Member State has been notified under point (a), it shall produce a report providing details of the exemptions granted to be submitted to the Commission.</p>

SHALL		COM-05	<p>Article 11</p> <p>7. Member States shall conduct an annual review of adherence to ATFM measures to ensure that parties referred to in Article 1(3) improve the level of adherence to those measures.</p> <p>Article 12 of Regulation (EC) 255/2010 (ATFM Implementing Rule)</p> <p>1. When implementing Article 11, Member States shall ensure that the central unit for ATFM produces annual reports indicating the quality of the ATFM that shall include details of:</p> <ul style="list-style-type: none"> (a) causes of ATFM measures; (b) impact of ATFM measures; (c) adherence to ATFM measures; (d) contributions by parties referred to in Article 1(3) to the optimisation of the overall network effect.
SHALL		COM-06 COM-07 COM-07-01 COM-08	<p>Article 11</p> <p>1. Member States shall ensure that where adherence to ATFM departure slots at an airport of departure is 80 % or less during a year, the ATS unit at that airport shall provide relevant information of non-compliance and the actions taken to ensure adherence to ATFM departure slots. Such actions shall be indicated in a report to be submitted by the Member State concerned to the Commission.</p>
SHALL		GEN-COM-09	<p>Article 9</p> <p>2. Before flight, operators shall provide airports of departure and arrival with the necessary information to enable a correlation to be made between the flight designator contained in the flight plan and that notified for the corresponding airport slot.</p>
SHALL		COM-10	<p>Article 9</p> <p>3. Any operator, airport managing body and ATS unit shall be entitled to report to the airport slot coordinator on repeated operation of air services at times that are significantly different from the allocated airport slots or with the use of slots in a significantly different way from that indicated at the time of allocation, where this causes prejudice to airport or air traffic operations.</p>
SHALL		COM-11 COM-11-01	<p>Article 9</p> <p>4. Member States shall ensure that the central unit for ATFM reports to the airport slot coordinators on repeated operation of air services at significantly different times from the allocated airport slots or with the use of slots in a significantly different way from that indicated at the time of allocation, where this causes prejudice to ATFM.</p>

SHALL		COM-12	Article 15 Member States shall lay down the rules on penalties applicable to infringements of the provisions of this Regulation and shall take all measures necessary to ensure that they are implemented. The penalties provided for must be effective, proportionate and dissuasive. The Member States shall notify those provisions to the Commission by 26 September 2011 at the latest and shall notify it without delay of any subsequent amendment affecting them.
--------------	--	---------------	--

		ARCHIVE – [-ARC-]	
SHALL		ARC-01 ARC-01-01	<p>Article 12</p> <p>2. Member States shall ensure that an archive of ATFM data listed in Article 6(5), flight plans, operational logs and relevant contextual data is created and maintained by the central unit for ATFM. The data referred to in the first subparagraph shall be retained for 2 years from their submission and made available to the Commission, Member States, ATS units and operators.</p> <p>That data shall be made available to airport coordinators and airport operators to assist their regular assessment of the declared capacity.</p>

		ATFM PERSONNEL –[PERS-]	
SHALL		PERS-01 PERS-02 PERS-03	<p>Article 14</p> <p>1. Member States shall ensure that personnel of the parties referred to in Article 1(3) involved in ATFM activities are:</p> <p>(a) Made duly aware of the provisions of this Regulation;</p> <p>(b) Adequately trained and competent for their job functions.</p>
SHALL		PERS-04 PERS-04-01 PERS-04-02	<p>Article 14</p> <p>2. Member States shall take the necessary measures to ensure that parties referred to in Article 1(3) with responsibilities for ATFM functions:</p> <p>(a) Develop and maintain operations manuals containing the necessary instructions and information to enable their operations personnel to apply the provisions of this Regulation;</p> <p>(b) Ensure that these manuals are consistent, accessible and kept up-to-date and that their update and distribution are subject to appropriate quality and documentation configuration management;</p> <p>(c) Ensure that the working methods and operating procedures comply with this Regulation.</p>