SECOND MEETING OF THE AVIATION SECURITY AND FACILITATION REGIONAL GROUP
(AVSEC/FAL/RG/2)
Antigua and Barbuda, 16 to 18 May 2012

AVSEC/FAL/RG/2 — WP/06
01/05/12

Agenda Item 3   Global and Regional Developments
                   3.3   Annex 9, FAL Panel, Facilitation Manual

FACILITATION PROGRAMME DEVELOPMENTS

(Presented by the ICAO Secretariat)

SUMMARY
This paper summarizes Facilitation (FAL) developments at ICAO since the AVSEC/FAL/RG/1 meeting held in May 2011 in Paraguay. Primary developments relate to Advance Passenger Information (API), passenger name record (PNR) data, the proposal to amend Appendix 13 to Annex 9 and the forthcoming 7th meeting of the FAL Panel (FALP/7).
Action by the Aviation Security and Facilitation Regional Group is proposed in paragraph 5.

References:
• State letter EC 6/3-12/14 dated 17 February 2012 • State letter EC6/3-11/76 dated 5 December 2011 • State Letter EC 6/3-11/26 dated 13 May 2011 • Doc 9944, Guidelines on Passenger Name Record (PNR) Data • WCO/IATA/ICAO Guidelines on API

Strategic Objectives	This working paper is related to ICAO Strategic Objective B.

1.   Developments in Advance Passenger Information

1.1   Advance Passenger Information (API) involves the capture of a passenger's biographic data and other flight details by the air carrier prior to departure. This information is electronically transmitted to the border control agencies in the destination country after the flight departs. Thus, details of arriving passengers are received in advance of the arrival of the flight, and border control agencies can screen passengers' names against their enforcement databases and identify high-risk passengers who may require more intensive questioning upon arrival. Low-risk passengers are thereby afforded rapid clearance.

1.2   A standard electronic message, called the PAXLST message, was developed specifically to handle such passenger manifest transmissions. The World Customs Organization (WCO), the International Air Transport Association (IATA) and ICAO have jointly agreed on the maximum set of API data that should be incorporated in a PAXLST message. The WCO, IATA and ICAO jointly maintain and publish a set of best practice guidelines aimed at assisting States seeking to implement their own national API programmes. The latest, third version was released in late 2010, and is available on the ICAO Public Website at: http://www2.icao.int/en/AVSEC/FAL/Pages/Publications.aspx.

1.3   From the point-of-view of risk management, API permits identification of possible "high-risk" travellers after a flight has departed, as this is the first opportunity the border control agencies in the State of destination have to examine the details of passengers on an incoming flight. As a result, risk mitigation action can be taken after flight departure. Screening of API data prior to departure would provide a more robust security solution.

1.4   Therefore, a more sophisticated form of API - interactive API (iAPI) - is being deployed to address the needs of aviation security, immigration and customs authorities. The distinguishing feature of iAPI (also called Advance Passenger Processing (APP) in Australia and APIS Quick Query (AQQ) in the United States) is that it provides for passenger-by-passenger online interchange of electronic messaging between the aircraft operator and the border control agency in the State of destination (as opposed to one API message for all passengers on a flight). When a passenger checks-in for a flight, his/her information flows from the aircraft operator's departure control system to the destination's border control authorities. They, in turn, send a real time electronic message response to the aircraft operator, permitting or disallowing the passenger to board the flight in question. This type of system is known, for example, as a "Board/No Board" or "Red Light/Green Light" system, or "Authority to Carry." This allows security to be substantially enhanced as destination States can pro-actively prevent potentially high-risk passengers and their belongings from boarding flights at the place of departure. iAPI also serves as an enhanced facilitative process as the use of an iAPI system reduces the exposure of aircraft operators to penalties associated with transporting inadmissible passengers, in addition to permitting efficient border clearance at the destination.

1.5   The WCO, IATA and ICAO have already agreed to, and endorsed, an updated set of guidelines on API that incorporate guidance on iAPI. These are expected to be published by June 2012.

1.6   The Standards and Recommended Practices (SARPs) of Annex 9 require that States standardize their API requirements. For example, Standard 3.47 obliges a State introducing an API system under its national legislation to adhere to international recognized standards for the transmission of such data.

1.7   In December 2011, ICAO urged Contracting States to ensure adherence to international standards for API transmission through State letter EC6/3-11/76, Implementation of Standard 3.47 of Annex 9 ─ Facilitation.

2. **Developments in Passenger Name Record Data**

2.1 Passenger Name Record (PNR) is the generic name given to records created by aircraft operators or their agents for each journey booked by a (prospective) passenger. A PNR is built up from data that is supplied concerning all the flight segments of a journey. PNR data are collected by operators for their own commercial and operational purposes in providing air transport services.

2.2 In 2006, ICAO published Circular 309 that contained guidelines to establish uniform measures for PNR data transfer and the subsequent handling of that data by the States concerned. In 2010, revised guidelines were published as Guidelines on PNR Data (Doc 9944).

2.3 Just as the PAXLST message is the standardized message for API, the PNRGOV message is the standardized message for the transmission of PNR data. The message is intended to facilitate the exchange of data relevant to government requirements on PNR data and aircraft operators' reservation systems. The PNRGOV document was developed by an IATA Passenger and Airport Data Interchange Standards (PADIS) Reservations Sub-group composed of experts from the airline industry and some interested States.

2.4 PNRGOV is not a United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) approved message, but is based on the IATA PADIS Message Standard Directory and its associated code sets in accordance with ISO 9735 syntax rules and UN/EDIFACT interactive message design rules. However, in October 2011, this industry standard was jointly endorsed by ICAO, the WCO and IATA, as was the PAXLST message. Additionally, it is anticipated that the PNRGOV message will shortly be incorporated into Doc 9944, thereby providing States uniform international specifications for PNR data requirements.

3. **Proposal to Amend Annex 9**

3.1 In January 2012, the Air Transport Committee of the ICAO Council considered a proposal to amend Appendix 13 to Annex 9. An improved Appendix 13 (Public Health Passenger Locator Form) has been developed to replace the existing document, in order to enhance data sharing and efficiency of response by public health authorities in the event of a public health emergency of international concern, such as a pandemic or large-scale epidemic.

3.2 State letter EC 6/3-12/14 dated 17 February 2012 was disseminated to solicit comments on the proposal from Contracting States and interested organizations.

3.3 After a final review of the proposal and comments in May, the Air Transport Committee will forward the draft Amendment 23 to the Council for consideration in June 2012.

4. 7th Meeting of the FAL Panel

4.1 The 7th meeting of the FAL Panel (FALP/7) is scheduled to be held from 22 to 26 October 2012. The Panel is expected to consider proposals from States and the Secretariat for inclusion of new Standards and Recommended Practices (SARPs) in Annex 9, including provisions on iAPI and PNR, to supplement the existing SARPs on API and PNR. In addition, it will be invited to consider the report of its Passengers with Disabilities (PWD) Working Group and take action, as appropriate, and consider any other item of interest, as feasible.

5. ICAO/LACAC Regional Facilitation Seminar/Workshop

5.1 Regarding Conclusion 1/4 of the AVSEC/FAL/RG/1 Meeting:

"Conclusion 1/4 Regional Facilitation Seminar/Workshop
That ICAO and LACAC organize a joint regional facilitation seminar/workshop in Chile during the first trimester of 2012.",

an ICAO/LACAC Regional Facilitation Seminar/Workshop was held in Santiago, Chile, from 20 to 22 March 2012. Conclusions from that Seminar/Workshop are presented in WP/18.

5.2 In addition, Spain in cooperation with ICAO and LACAC, and hosted by the Colombian Civil Aviation Authority, organized an Airport Facilitation Seminar in Spanish which was held in Cartagena, Colombia, from 25 to 29 July 2011.

6. Facilitation Manual (Doc 9957)

6.1 With regard to the Conclusion 1/5 of the AVSEC/FAL/RG/1 Meeting:

"Conclusion 1/5 Facilitation Manual in Spanish
That ICAO expedite the publication of the Spanish version of the new ICAO Facilitation Manual (Doc 9957).",

attending the urgent need for this manual, ICAO published the Spanish version of the Facilitation Manual (Doc 9957) in December 2011.

7. Action by the Regional Group

7.1 The Aviation Security and Facilitation Regional Group is invited to:

    a) note the information on recent facilitation developments at ICAO;

    b) encourage Member States to implement the provisions of Annex 9, in particular those relating to the API and PNR requirements, and to ensure adherence to international standards for API transmission, as encouraged through State letter EC6/3-11/76; and

    c) encourage Member States, whether or not represented, to participate in the FALP/7 meeting.

— END —