



ICAO | UNITING AVIATION

ICAO Regional FAL Seminar Bangkok, Thailand 23-26 March 2015

**Advance Passenger Information (API) &
Passenger Name Record (PNR):
The ICAO Perspective**

23 March 2015



API & PNR: OVERVIEW

1. API & PNR: Why States want data?
2. ICAO's interest in API and PNR
3. Regulatory Framework
4. Guidelines



1. WHY DO STATES WANT DATA?

- ▶ Improve **clearance** at border controls
- ▶ Combat **illegal migration**
- ▶ Identify passengers who are a **known** immigration or security **threat**
- ▶ More **effective allocation** of border control and law enforcement **resources**



1. WHY DO STATES WANT DATA?

- ▶ improve/enhance security (generally) & aviation security (in particular)
- ▶ threat assessment value from analysis of data
- ▶ fight against terrorism



2. ICAO's INTEREST IN API & PNR

- **Art. 13, Chicago:** Entry & clearance regulations
 - Compliance of entry, clearance, immigration, customs regulations by/behalf of passengers, crews
- **Art. 22, Chicago:** Facilitation of formalities
 - Prevent unnecessary delays: Administration of immigration, customs, clearance laws
- **Art. 23, Chicago:** C & I procedures
 - States to establish C & I procedures recommended pursuant to Convention



2. ICAO's INTEREST IN API & PNR

- **Art. 37, Chicago:** Adoption of standards
 - States to secure uniformity in regulations, standards, procedures
 - **Std. 1.4, Annex 9:** States: use I.T. to increase efficiency & effectiveness of procedures at airports
- ▶ **Uniformity in laws & regulations (Annex 9)**



3. REGULATORY FRAMEWORK

Advance Passenger Information (API)

iAPI (interactive API)

Passenger Name Record (PNR) data

- Annex 9
- High Level Conference on Aviation Security
- Annex 9 (again)
- Assembly Resolutions
- State letters



3. REGULATORY FRAMEWORK: API

Annex 9: States' obligation to standardize API requirements

1. Standard 3.46
2. Standard 3.46.1
3. Standard 3.46.2
4. Standard 3.46.5
5. Standard 3.46.7

All Mandatory (binding)



3. REGULATORY FRAMEWORK: API

Standard 3.46: State to adhere to international Standards

- ▶ Note 1: Brief description of API
- ▶ Note 2: Information on UN/EDIFACT
- ▶ Note 3: Non-applicability to general aviation

● Standard 3.46.1

- ▶ Personal & TD information: Doc 9303
- ▶ All information: conform to Paxlst Message



3. REGULATORY FRAMEWORK: API

- Standard 3.46.2:
 - ▶ More information than 3.46.1 required, restrict to Paxlst Message elements, or
 - ▶ Request DMR process [▶ API/PNR CC]
- Standard 3.46.5: States to limit burden on airlines
- Standard 3.46.7: If electronic API, then no paper passenger manifest [>2.13+Appendix 2]



PASSENGER MANIFEST

Operator

Marks of Nationality and Registration*..... Flight No. Date

Point of embarkation Point of disembarkation
(Place) (Place)

Surname and initials

For use by operator only

For official use only

297mm (or 11 3/4 inches)

Size of document to be 210 mm x 297 mm (or 8 1/4 x 11 3/4 inches).

* To be completed only when required by the State.

210 mm (or 8 1/4 inches)



3. REGULATORY FRAMEWORK: API

Summary of 3.46, 3.46.1, 3.46.2

States obliged to:

1. **adhere** to international recognized API standards;
2. require only data elements available in **MRTDs**, and information to **conform** to the **PAXLST** message structure; and,
3. only data elements found in the **PAXLST** message to be included in API requirements; if additional elements required, then the **DMR process** to be used.



3. REGULATORY FRAMEWORK: API

- Recommended Practice 3.46.3:
 - ▶ If State unable to use Paxlst, consult users on operational and cost impact
- Recommended Practice 3.46.4:
 - ▶ State to minimize number of times API is transmitted for a specific flight
- Recommended Practice 3.46.6:
 - ▶ State to refrain from fines/penalties for errors due to system failures: transmission of data



3. REGULATORY FRAMEWORK

High-Level Conference on Aviation Security (HLCAS, September 2012)

1. **Conclusions on API/iAPI & PNR:**

- international standardization would contribute to the viability of the air transport industry;
- a lack of harmonization can reduce the effectiveness of the use of such data;
- essential that States standardize their data requirements and adopt a standard format for the electronic transmission of passenger data;
- ICAO+States should promote and enhance global harmonization of PNR systems;
- States should ensure the protection of passengers' privacy.



3. REGULATORY FRAMEWORK

2. Recommendations on API/iAPI & PNR:

- States develop a single API & iAPI reporting requirement based on international standards, and a single agency be identified to receive data and for internal dissemination to other agencies;
- States align the various data exchange systems with the international data transmission standards adopted by relevant United Nations agencies . . . ;
- PNR systems, based on the PNRGOV message format, require only those data elements collected and stored in aircraft operator systems, as described in *Guidelines on Passenger Name Record (PNR) Data* (Doc 9944);
- ICAO provide States with assistance and training on the implementation of API



3. REGULATORY FRAMEWORK

HLCAS (September 2012)

+ Recommendation:

States seeking to achieve enhanced aviation security, and to prevent illegal migration and the movement of potentially inadmissible persons, consider implementing iAPI systems



3. REGULATORY FRAMEWORK: API

- 3 RPs address operational issues:

- 24/7 operation (RP 3.46.9)

- procedures for system outage/failure (3.46.10)

- tech support, notification & recovery procedures (3.46.11)



3. REGULATORY FRAMEWORK: **iAPI**

Interactive API (**iAPI**)

An electronic system that transmits, **during check-in**, API data elements collected by the aircraft operator to public authorities who, **within existing business processing times** for passenger check-in, return to the operator a **response message** for **each** passenger and/or crew member.



3. REGULATORY FRAMEWORK: iAPI

RP3.46.8: States **seeking** to implement iAPI system:

- a) consult with aircraft operators: impact on systems;
- b) work with operators: integrate systems;
- c) conform to WCO/ICAO/IATA Guidelines



3. REGULATORY FRAMEWORK: PNR

RP 3.47

Contracting States requiring Passenger Name Record (PNR) access should align their data requirements and their handling of such data with:

–the guidelines contained in **ICAO Doc 9944**

and

–in **PNRGOV** message implementation

guidance materials . . . WCO+ICAO+IATA



3. REGULATORY FRAMEWORK: PNR

→ 3.47.1: States & Operators: provide 24/7 support

→ 3.47.2): When requiring PNR data, States should consider the adoption and implementation of the PNRGOV message as a method of transferral of PNR data.

Note: The PNRGOV message is a standard electronic message endorsed jointly by WCO/ICAO/IATA . . .



3. REGULATORY FRAMEWORK

38th Assembly (2013) Resolutions

- A38-15 (Avsec Resolution)

- ▶ States urged to use API

- Declaration on Aviation Security

- ▶ States urged to use API & PNR as an aid to aviation security

- A38-16, Appendix C

- ▶ States to ensure passenger data requirements conform to international standards adopted by UN agencies



3. REGULATORY FRAMEWORK

UN Security Council Resolution: S/RES/2178 (2014)

- 24 September 2014
- Growing threat posed by foreign terrorist fighters
- “Acting under **Chapter VII**” of the UN Charter:
 - (2) Encourages Member States to collect & analyse travel data
 - (9) Calls upon Member States to:
 - Require airlines to provide advance passenger information
 - Report departure, entry, transit of individuals to the 1989 (2011) “Committee”
 - Share information with State of nationality/PR



3. REGULATORY FRAMEWORK: API

5 December 2011

State Letter EC6/3-11/76

▶ “Implementation of Standard 3.47”

States encouraged to ensure adherence to international recognized standards for API transmission



3. REGULATORY FRAMEWORK

15 August 2014

State Letter EC6/3-14/63: “Passenger Data”

- States encouraged to ensure national API and/or PNR exchange mechanisms adhere to Annex 9 SARPs & WCO, ICAO, IATA guidelines
- FAL Seminars
- Attachment



4. GUIDELINES: DOC 9944

- ▶ **Meaning** of PNR; Why States want access
- ▶ **Data elements**; Processing of data
- ▶ **Filtering & storage** of PNR data
- ▶ **Data protection; security and integrity of data**
- ▶ What PNRs should **NOT** contain
- ▶ **Sensitive data**
- ▶ **Laws & regulations**
- ▶ **Methods** of PNR data transfer
- ▶ Frequency, timing of data transfer
- ▶ Transparency & **Passenger Redress**
- ▶ **Conflict of laws** between States
- ▶ **Obligation** of airlines to provide data



4. WCO/IATA/ICAO API GUIDELINES

API Guidelines & PNR Reporting Standards:

<http://www.icao.int/Security/FAL/Pages/Publications.aspx>



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API & PNR: ICAO PERSPECTIVE

QUESTIONS?