



Interregional Aviation Security and Facilitation Seminar  
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# **Advance Passenger Information (API): ICAO's Regulatory Role**

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## API: OVERVIEW

### API: What is it?

. . . the collection of passenger's and/or crew member's biographic data and flight details by the aircraft operator;

. . . the **electronic transmission** of the data to **border control agencies** prior to flight departure or arrival

**Collection of data in DCS:** flight “open” for check-in (24 – 48 hours before the flight)



## 1. WHY DO STATES WANT API?

- ▶ 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**





- ▶ improve/enhance security (generally) & aviation security
- ▶ threat assessment value from analysis of data
- ▶ fight against terrorism: e.g., UN SC Res 2178 (2014) 2309 (2016) & 2396 (2017)





## 2. Global Mandate: Chicago Convention

**Article 10:** Landing at customs airport

**Article 11:** Applicability of air regulations

**Article 13:** Entry and clearance regulations

**Article 14:** Prevention of spread of disease

**Article 22:** Facilitation of formalities

**Article 23:** Customs and immigration procedures

**Article 24:** Customs duty

**Article 29:** Documents carried in aircraft

**Article 35:** Cargo restrictions

**Article 37:** Adoption of international standards and procedures

<http://www.icao.int/publications/Pages/doc7300.aspx>



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## **3. API Regulatory Framework: Annex 9**

**(15<sup>th</sup> Edition, October 2017)**

**(new) Chapter 9: Passenger Data Exchange Systems**

**Advance Passenger Information (API)**

**Electronic Travel Systems (ETS)**

**Passenger Name Record (PNR) data**



## Advance Passenger Information

9.5 Each Contracting State shall establish an Advance Passenger Information (API) system.

***Note.**— The UN Security Council, in Resolution 2178 (2014), at paragraph 9, “[c]alls upon Member States to require that airlines operating in their territories provide advance passenger information to the appropriate national authorities . . .”.*

[+ UNSCR 2309 (2016)]



9.6 The API system of each Contracting State shall be supported by appropriate legal authority (such as, inter alia, legislation, regulation or decree) and be consistent with internationally recognized standards for API.

- ▶ Note 1: Brief description of API
- ▶ Note 2: UN/EDIFACT PAXLST message: electronic passenger manifest transmissions
- ▶ Note 3: Non-applicability of PAXLST to general aviation
- ▶ Note 4: PAXLST defined by internationally recognized WCO/IATA/ICAO guidelines.

[\*RP 9.7: legislation]





## PAXLST Message: API Biographic Data Elements in MRZ

- 1. Travel Document Number
- 2. Issuing State or Organization
- 3. Travel Document Type
- 4. Expiration Date of Document
- 5. Surname/Given names(s) of holder
- 6. Nationality
- 7. Date of Birth
- 8. Sex of holder





## Elements of MRTD Data in API

### + 3 if Machine Readable Visa Used

- 9. Visa number
- 10. Date of issuance of visa
- 11. Place of issuance of visa

### + 2 if other secondary travel document used

- 12. Type of travel document (e.g. Resident card)
- 13. Number of other travel document





## Elements re. Flight Details in API

- Airline Code and Flight Number
- Last Place/Port of Call for Aircraft
- Place/Port of Initial Arrival for Aircraft
- Scheduled Local Departure Dates/Times
- Scheduled Local Arrival Dates/Time
- Subsequent Place(s)/Port(s) of Call within the Country (for Progressive Flights)
- Place/Port of Final Destination within the Country (for Progressive Flights)
- Number of Passengers and Number of Crew Members





## Additional Data Elements in API (egs.)

- Seat Assignment
- Bag Tag Identification
- Checked Bag Quantity and weight
- Place/Port of Original Embarkation
- Place/Port of Clearance
- Place/Port of Onward Foreign Destination
- Passenger Name Record Locator Number (or unique identifier)





Standard 9.8: Identifying information – **only data elements in machine readable form** – conforming Doc 9303; All information to conform to UN/EDIFACT PAXLST – **WCO/IATA/ICAO API Guidelines.**

Standard 9.9: More information required – process established by the WCO, ICAO and IATA



## Summary of 9.5, 9.6, 9.8 and 9.9

States obliged to:

1. **establish** an API system;
2. have in place **legal authority**; API to be **consistent** with internationally recognized standards;
3. require only data elements available in **MRTDs**, and information to **conform** to the **PAXLST** message structure; and,
4. only data elements found in the **PAXLST** message to be included in API requirements; if additional elements required, then the **Data Maintenance Request (DMR) process** to be used.



## Operational issues:

**2 Standards**, 9.11 (limit the operational and administrative burden to aircraft operators to greatest extent possible), and 9.13 (states requiring passenger data electronically shall not require a passenger manifest in paper form) & **Recommended Practices** (RP 9.2, 9.3, 9.4, 9.10, 9.12, 9.16)

**Recommended Practice 9.1**: Passenger Data Single Window facility → **RP 9.7**: “. . . appoint **one government agency** to receive API data on behalf of all other agencies.”



## → Other relevant Standards of Annex 9:

### Implementation of Annex 9:

- Three additional standards **to coordinate the implementation of API**
  - STD 8.17 – State to establish a National AT FAL **Programme**
  - STD 8.18 – [sets out the Objective of a NATFP]
  - STD 8.19 – State to establish a National AT FAL **Committee** to **coordinate** activities: departments/agencies responsible for various FAL aspects of international civil aviation [civil aviation; Customs; immigration; health; quarantine; passport & visa-issuing authorities; tourism; trade; police; etc.] → **Model NATFP (Doc 10042)**





**WCO/IATA/ICAO API Guidelines on website:**

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





## UN SCR 2309, 22 September 2016

- ▶ UNSCR notes that Annex 9 contains standards and recommended practices relevant to the detection and prevention of terrorist threats involving civil aviation
- ▶ UNSCR calls upon States to require that airlines operating in their territories provide advance passenger information

**UNSCR 2396 (2017)** is the latest UN SCR reiterating that states shall step up to implement UNSCR 2178 (2014) and UNSCR 2309 (2016)



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## 4. Developing API Legislation in a State

1. 9.6: legal authority; RP 9.7: a) regulations meeting needs of all agencies; b) data elements; c) one agency
2. First step: to enact legislation/regulations/etc.
3. Areas to be addressed in legislation (examples):
  1. UN/EDIFACT Paxlst for API transmission (9.8, 9.9, 9.6 Notes)
  2. Purposes for which API required (API Guidelines; A39-20)
  3. Data elements required (9.8, 9.7)



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## API Legislation (cont.)

4. “Passenger Data Single Window” to receive API transmissions (RP 9.1; Definition; RP 9.7)
  - Single data entry point (i.e. one agency designated)
  - Internal sharing of information with other agencies
  - Effective, Efficient, Economical
  - Reduces errors in data transmission; better use of IT
  - Strengthen airline ↔ Government information sharing
  - \*Enhance coordination and cooperation among agencies\*
  
5. Internal coordination among Government agencies (8.17-8.19; 9.7; API Guidelines): Customs, immigration, police, aviation security, border security, etc. → NATFP (Doc 10042)



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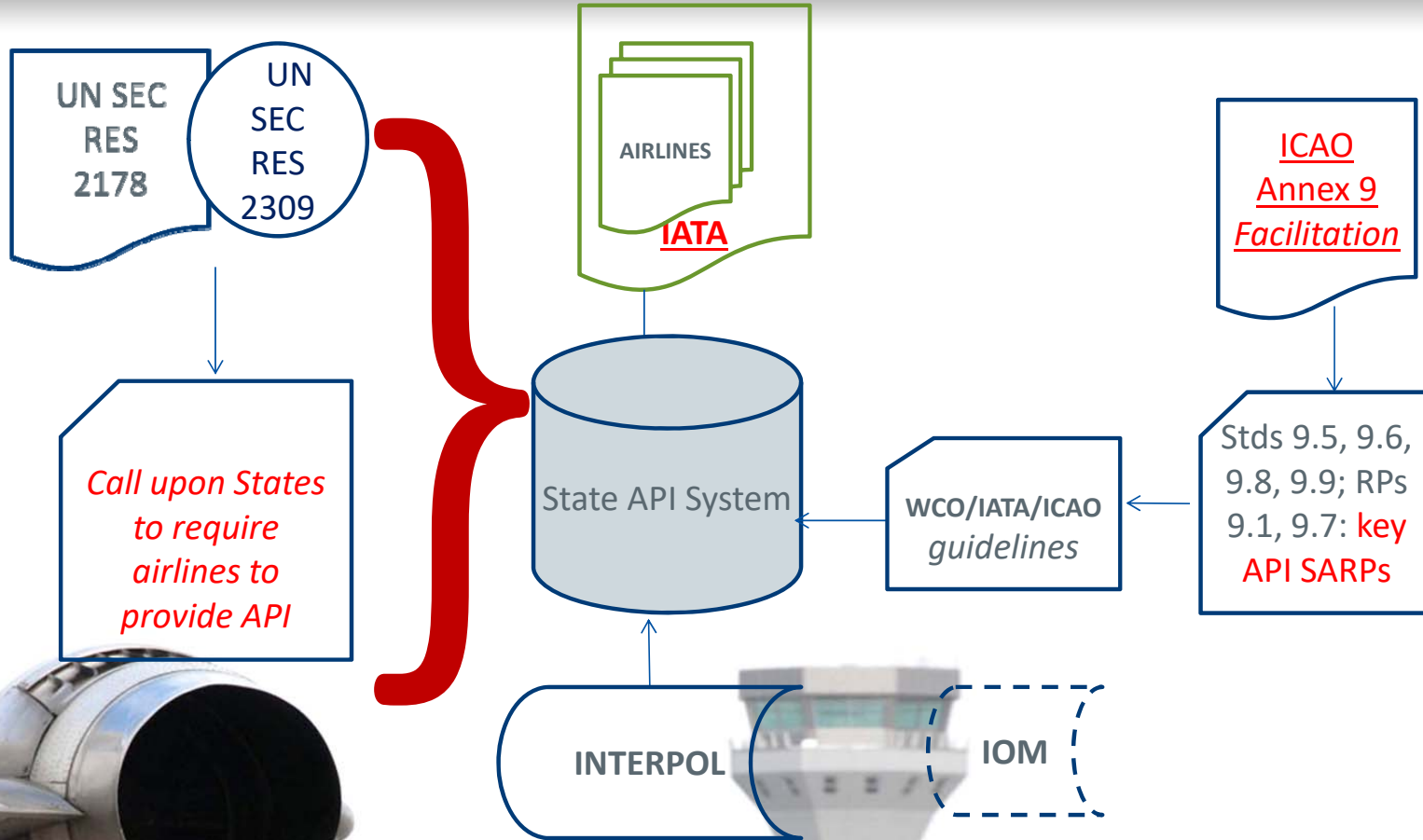
## API Legislation (cont.)

6. Data privacy issues (A39-18, Appendix C, para. 8; Declaration on Aviation Security; A39-20, Appendix D)
7. Financial aspects (RP 9.12)
8. General legal issues, including legal remedies (RP 9.12)
9. Operational aspects (Standards 9.11, 9.13 & RP 9.2, 9.3, 9.4, 9.10, 9.12, 9.16)
10. (Paper) Passenger Manifest requirement not required (Std 9.13)
11. Relationship with supranational entities, e.g. EU
12. Other issues





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