



**INFORMATION PAPER**

**FACILITATION PANEL (FALP)**

**TENTH MEETING**

**Montréal, 10-13 September 2018**

**Agenda Item 5: Implementation of Annex 9**

**ICAO'S IMPLEMENTATION SUPPORT TO MEMBER STATES ON  
ADVANCE PASSENGER INFORMATION (API)**

(Presented by Secretariat)

**1. INTRODUCTION**

1.1 The 15th Edition of Annex 9 (October 2017) contains Standards and Recommended Practices (SARPs) on Advance Passenger Information (API). These include, inter alia, the following:

**B. Advance Passenger Information (API)**

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 in order to detect the departure from their territories, or attempted entry into or transit through their territories, by means of civil aircraft, of individuals designated by the Committee established pursuant to resolutions 1267 (1999) and 1989 (2011) (“the Committee”), and further calls upon Member States to report any such departure from their territories, or such attempted entry into or transit through their territories, of such individuals to the Committee, as well as sharing this information with the State of residence or nationality, as appropriate and in accordance with domestic law and international obligations”.*

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.— API involves the capture of a passenger's or crew member's biographic data and flight details by the aircraft operator prior to departure. This information is electronically transmitted to the border control agencies in the destination or departure country. Thus, passenger and/or crew details are received in advance of the departure or arrival of the flight.*

*Note 2.— The UN/EDIFACT PAXLST message is a standard electronic message developed specifically, as a subset of UN/EDIFACT, to handle passenger manifest (electronic) transmissions. UN/EDIFACT stands for “United Nations rules for Electronic Data Interchange For Administration, Commerce and Transport.” The rules comprise a set of internationally agreed standards, directories and guidelines for the electronic interchange of structured data, and in particular that related to trade in goods and services between independent, computerized information systems. The WCO, IATA and ICAO have jointly agreed on the maximum set of API data that should be incorporated in the PAXLST message to be used for the transmission of such data by aircraft operators to the border control agencies in the destination or departure country. It is to be expected that the UN/EDIFACT standard may be supplemented by modern message techniques, such as international XML standards or web-based applications.*

*Note 3.— Under its current format structure the UN/EDIFACT PAXLST message will not accommodate general aviation usage.*

*Note 4.— The UN/EDIFACT PAXLST message is currently defined by the internationally recognized WCO/IATA/ICAO guidelines.*

1.2 The mandatory standard for API applies to “Batch API”, which is implemented by following the technical specifications contained in the WCO/IATA/ICAO Guidelines on API, as well as Appendix IIA PAXLST Message Implementation Guide.

1.3 A Batch API PAXLST (Passenger List) message contains the passport data and potentially other data of all passengers on board, as well as some details about the service itself, such as arrival and departure points, flight number and dates. Some States also require API for crew members. API data can be provided by airlines to government authorities for both arriving and departing passengers prior to departure. The transmission of the details is done by electronic means using the PAXLST message to the recipient State.

1.4 Also contained in Annex 9 is a new Recommended Practice 9.1 concerning the creation of a Passenger Data Single Window facility:

**9.1 Recommended Practice.**— *Contracting States requiring the exchange of Advance Passenger Information (API), interactive API (iAPI) and/or Passenger Name Record (PNR) data from aircraft operators should create a Passenger Data Single Window facility for each data category that allows parties involved to lodge standardized information with a common data transmission entry point for each category to fulfil all related passenger and crew data requirements for that jurisdiction.*

1.5 A Passenger Data Single Window is a facility that allows airlines to submit standardized passenger data through a single data entry point within a State. When governments require the transfer from airlines of passenger data it serves the interest of a number of border security agencies within one State. Thus, passenger data should be received by one government portal and not by multiple security agencies within one jurisdiction. The advantage is that this single-entry point facilitates border integrity because it allows various Government agencies with legal remit to access passenger data to make use of the data in an efficient manner resulting in enhanced facilitation, security screening and border entry processes for low-risk travelers.

## 2. DISCUSSION

2.1 Since 2016, ICAO has been actively providing support to Member States regarding implementation of API Batch systems and other API matters *vis-à-vis* the API-related provisions of

Annex 9, including the WCO/IATA/ICAO Guidelines on API and Appendix IIB PAXLST Message Implementation Guide.

2.2 To this end, ICAO has enhanced co-operation with other international organizations, for example, the UN Office of Counter-Terrorism, the UN Counter-Terrorism Centre (UNCCT), the UN Office on Drugs and Crime (UNDOC), the Organization for Security and Co-operation in Europe (OSCE), the International Organization for Migration (IOM), International Air Transport Association (IATA) and the World Customs Organization (WCO).

2.3 A list of capacity building events that ICAO has either organized or has participated in — and in which API was either the focus or was addressed generally — is in the Appendix. The list includes some events that are planned for 2018. In addition to assisting States with API implementation, these events have served to raise awareness of the global regulatory framework for API contained in Annex 9 and the WCO/IATA/ICAO Guidelines on API.

2.4 Increasingly, ICAO also includes the Passenger Data Single Window concept in its awareness-raising to promote enhanced efficiency in data processing and effective law enforcement use of API data.

2.5 ICAO also participates in API-related guidance material development meetings hosted by the World Customs Organization and IATA, as well as other ad hoc API-related meetings, such as the “Expert Consultation on Ensuring Human Rights Compliance of Advance Passenger Information (API) Legislation,” that was organized by the UNCCT and the Office of the High Commissioner for Human Rights (OHCHR), and held in Geneva on 28 July 2017.

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## APPENDIX

### 1. API-specific implementation events (examples)

#### a) UN Counter-Terrorism Centre (CTC), UN Counter-Terrorism Implementation Task Force (CTITF)

1. UN CTC/CTITF Regional Workshop on Raising Awareness and Building Capacity on API, Thailand, 7-9 March 2016
2. UN CTC/CTITF Regional Workshop on Raising Awareness and Building Capacity on API, Jordan, 3-5 May 2016 (States in MID region)
3. UN CTC/CTITF Regional Workshop on Raising Awareness and Building Capacity on API, Austria, 11-13 July 2016
4. UN CTC/CTITF Regional Workshop on Raising Awareness and Building Capacity on API, Malaysia, 12-19 November 2016
5. UN CTC/CTITF Regional Workshop on Raising Awareness and Building Capacity on API, Astana, Kazakhstan, 13-15 December 2016 (States in Central Asia)
6. UN centre for Counter-Terrorism Regional Workshop on Raising Awareness and Building Capacity on API, Nairobi, 31 January-2 February 2017 (for States in the horn of Africa, and attended by Kenya, Uganda, Ethiopia and Djibouti)
7. UN CTC/CTITF Capacity Building Consultation on API, Sarajevo, Bosnia- Herzegovina, 6-10 March 2017 (national specific, Bosnia-Herzegovina)
8. UN CTC/CTITF Capacity Building Consultation on API, Nigeria, 12-16 June 2017

#### b) Organization for Security and Co-operation in Europe (OSCE)

1. Seminar on Passenger Data Exchange, Vienna, 28-29 September 2017 (all OSCE participating States)
2. National Workshop on Establishing an API system in Montenegro, 30 May-1 June 2017 (national specific, Montenegro)
3. National Workshop on Establishing an API system in Kyrgyzstan, 23-24 August 2017 (national specific, Kyrgyzstan)
4. National Workshop on Establishing an API system in Moldova, 10-12 July 2018 (national specific, Moldova)
5. National Workshop on Establishing an API system in Turkmenistan, 16-17 August 2018, co-organized with International Organization for Migration (IOM) (national specific, Turkmenistan)
6. Seminar on Passenger Data Exchange, Vienna, 1-2 November 2018 (all OSCE participating States)
7. National Workshop on Establishing an API system in Ukraine, TBD 2018 (national specific, Ukraine)
8. Post-workshop Consultations on Establishing an API System in Serbia, TBD 2018 (national specific, Serbia)
9. Post-workshop Consultations on Establishing an API System in the former Yugoslav Republic of Macedonia, TBD 2018 (national specific, the former Yugoslav Republic of Macedonia)

#### c) International Air Transport Association (IATA)

1. API/PNR Day, 26-28 July 2016, Johannesburg, South Africa (for South Africa, Lesotho, Namibia, Botswana, Zimbabwe, Zambia, Mozambique, Angola, and Malawi.)
2. IATA European Passenger Data Workshop, Brussels, 30 November 2017 (focus on States in the EUR/NAT Region)

3. Joint ICAO/IATA API Systems Workshop, Singapore, 24-25 September 2018, co-organized by the ICAO Asia-Pacific Regional Office, Singapore Ministry of Transport

**d) ICAO Technical Cooperation Bureau (TCB)**

1. ICAO TCB Assessment Mission for the Implementation of an API System for the Civil Aviation Authority in Bangladesh, January 2018 (national specific, Bangladesh)

**e) World Customs Organization (WCO)**

1. World Customs Organization (WCO) Workshop on Security measures, 16-18 October 2017 (for Customs administrations in the South East Asia region)

**2. Example of events at which API addressed/highlighted**

**a) ICAO TRIP Symposia**

1. Montréal, Canada, 15-17 November 2016
2. Montréal, Canada, 24-26 October 2017
3. Montréal, Canada, 23-25 October 2018

**b) ICAO TRIP Regional Seminars**

1. Kish Island, Iran (Islamic Republic of), 9-11 May 2016
2. St. John's, Antigua and Barbuda, 31 January-2 February 2017
3. China (Hong Kong SAR), 11-13 July 2017
4. Montego Bay, Jamaica, 28-30 November 2017
5. Brasília, Brazil, 5 to 7 June 2018
6. Cotonou, Benin, 27 to 29 November 2018

**c) ICAO Regional FAL Implementation Seminars**

1. Paris, 20-24 November 2017 (States in the EUR/NAT Region)
2. Dakar, 5-8 March 2018 (all African States)
3. Middle East and North Africa, Cairo, 12-15 March 2018 (States in the MID Region)
4. Lima, 16-19 October 2018 (States in the NACC and SAM Regions)
5. Bangkok, 2019 tbd-1st or 2nd Quarter (States in the APAC Region)

**d) Other ICAO Seminars**

1. ICAO AFI 2<sup>nd</sup> Security & Facilitation Symposium, 24 May 2017, Gaborone, Botswana (all African States)

**e) UN Office on Drugs and Crime (UNODC)**

1. High Level Conference on Enhancing Cooperation on ASEAN Region Border Management: Ensuring a More Interconnected, Safe and Secure ASEAN Community, Bangkok, 1-2 May 2017 (ASEAN States)
2. Training on the Investigation and Prosecution of Foreign Terrorist Fighters, Bangkok, 27 February-1 March 2017 (States in the APAC region)

**f) International Organization for Migration (IOM)**

1. 4<sup>th</sup> Border Management and Identity Conference (BMIC) on Technical Cooperation and Capacity Building, Bangkok, 9-11 November 2016
2. 5<sup>th</sup> Border Management and Identity Conference (BMIC) on Technical Cooperation and Capacity Building, Bangkok, 11-13 December 2018

- g) United Nations Counter-Terrorism Committee Executive Directorate (UNCTED)**
1. Comprehensive Visit, Tajikistan, 20-24 February 2017
  2. Comprehensive Visit, Ethiopia, 5-9 June 2017

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