



International
Civil Aviation
Organization

Organisation
de l'aviation civile
internationale

Organización
de Aviación Civil
Internacional

Международная
организация
гражданской
авиации

منظمة الطيران
المدني الدولي

国际民用
航空组织

Tel.: +1 (514) 954-8219 ext. 6300

Ref.: EC 6/3-17/88

14 July 2017

Subject: Adoption of Amendment 26 to Annex 9

Action Required: a) Notify any disapproval before 23 October 2017; b) Notify any differences and compliance before 23 January 2018; c) Consider the use of the Electronic Filing of Differences (EFOD) System for notification of differences and compliance

Sir/Madam,

1. I have the honour to inform you that Amendment 26 to the *International Standards and Recommended Practices Facilitation* (Annex 9 to the *Convention on International Civil Aviation*) was adopted by the Council at the seventh meeting of its 211th Session on 16 June 2017. Copies of the Amendment and the Resolution of Adoption are available as attachments to the electronic version of this State letter on the ICAO-NET (<http://portal.icao.int>) where you can access all other relevant documentation.

2. When adopting the amendment, the Council prescribed 23 October 2017 as the date on which it will become effective, except for any part concerning which a majority of Member States may have registered their disapproval before that date. In addition, the Council resolved that Amendment 26, to the extent it becomes effective, will be applicable on 23 February 2018.

3. Amendment 26 relates to, inter alia, issues such as Machine Readable Travel Documents (MRTDs), the transport of minors by air, the passenger manifest, Automated Border Control (ABC) systems, and passenger data exchange systems.

4. At the fifth meeting of its 204th Session, the Council requested that States, when being advised of the adoption of an Annex amendment, be provided with information on implementation and available guidance material, as well as an impact assessment. This is presented for your information in Attachments A and B, respectively.

5. In conformity with the Resolution of Adoption, I request that:

- a) before 23 October 2017 you inform me if there is any part of Amendment 26 concerning which your State wishes to register disapproval, using the form at Attachment C for this purpose. Please note that only statements of disapproval need to be registered and that if no response is submitted, it will be assumed that your State does not disapprove of the amendment; and
- b) before 23 January 2018 you inform me of the following, using the form at Attachment D for this purpose:

- 1) any differences that will exist on 23 February 2018 between the national regulations or practices of your State and the provisions of the whole of Annex 9, as amended by all amendments up to and including Amendment 26 and thereafter of any further differences that may arise; and
- 2) the date or dates by which your State will have complied with the provisions of the whole of Annex 9, as amended by all amendments up to and including Amendment 26.

6. With reference to the request in paragraph 5 a) above, it should be noted that a registration of disapproval of Amendment 26 or any part thereof in accordance with Article 90 of the Convention does not constitute a notification of differences under Article 38 of the Convention. To comply with the latter provision, a separate statement is necessary if any differences do exist, as requested in paragraph 5 b)1). It is recalled in this respect that international Standards in Annexes have a conditional binding force, to the extent that the State or States concerned have not notified any differences thereto under Article 38 of the Convention.

7. With reference to the request in paragraph 5 b) above, it also should be noted that the ICAO Assembly, at its 39th Session (27 September – 7 October 2016) resolved that Member States should be encouraged to use the Electronic Filing of Differences (EFOD) System when notifying differences (Resolution A39-22, refers). EFOD is currently available on the Universal Safety Oversight Audit Programme (USOAP) restricted website (<http://www.icao.int/usoap>) which is accessible by all Member States. You are invited to consider using this for notification of compliance and differences.

8. Guidance on the determination and reporting of differences is given in the note on the notification of differences (Attachment E). Please note that a detailed repetition of previously notified differences, if they continue to apply, may be avoided by stating the current validity of such differences.

9. I would appreciate it if you would also send a copy of your notifications, referred to in paragraph 5 b) above, to the ICAO Regional Office accredited to your State.

10. As soon as practicable after the amendment becomes effective, on 23 October 2017, replacement pages incorporating Amendment 26 will be forwarded to you.

Accept, Sir/Madam, the assurances of my highest consideration.



Fang Liu
Secretary General

Enclosures:

- A — Implementation task list and outline of guidance material in relation to Amendment 26 to Annex 9
- B — Impact assessment in relation to Amendment 26 to Annex 9
- C — Notification of disapproval of all or part of Amendment 26 to Annex 9
- D — Notification of compliance with or differences from Annex 9
- E — Note on the notification of differences

**IMPLEMENTATION TASK LIST AND OUTLINE OF GUIDANCE
MATERIAL IN RELATION TO AMENDMENT 26 TO ANNEX 9**

1. IMPLEMENTATION TASK LIST

1.1 Essential steps to be followed by a State in order to implement proposed amendments

(a) Machine Readable Travel Documents

1.1.1 (Recommended Practice 3.15) States that have already established publicly accessible facilities for the receipt of travel document applications and/or for the issuance of travel documents need not take any action. States that have not established such facilities, and wish to comply with the Recommended Practice should, for example:

- a) review the different types of travel documents issued by the State; examine where applications are available for each, where applications can be submitted and where documents issued;
- b) determine whether there are gaps in accessibility to applications and opportunities to submit applications and acquire documents, if and when entitled to by the prospective holder;
- c) update policy and procedures, if necessary;
- d) consider making applications available online for download, in public offices such as post offices and town halls, and using the same issuance locations for passports; and
- e) inform the public of changes to availability of applications and services, and apply changes to websites, if necessary.

1.1.2 (Standard 3.16) States that have already established transparent application procedures for the issuance, renewal, or replacement of travel documents and make information describing their requirements available to prospective applicants need not take any action. For States that have not done so, the essential steps are the following:

- a) review the different types of travel documents issued by the State;
- b) examine whether application procedures and requirements are clear and available to potential applicants. Application procedures may differ by travel document type but must be standard for all applicants; and
- c) ensure good communication with the public so that all applicants know what the requirements are for each type of document or that applicants know where information describing requirements can be obtained.

1.1.3 (Recommended Practice 3.18, Note 3) States that already issue children's passports with a validity period of less than five years do not need to take action. States who issue children's passports with validity exceeding five years should:

- a) review their legislation and/or policies pertaining to validity of children's passports;
- b) consider costs and potential amendments to fees, ensuring that the cost of the passport does not exceed its production costs;
- c) amend legislation, policy, etc. if and as required;
- d) examine whether technical modifications are required;
- e) train staff accordingly; and
- f) advise the public of the new requirement.

1.1.4 (Standard 3.35.1) The usual practice among Contracting States is to retain fraudulent, falsified or counterfeit travel documents as evidence for law enforcement purposes. The proposed change in Standard 3.35.1 reflects common law enforcement and judicial procedures and therefore no particular steps need to be followed by States in order to implement the amendment.

1.1.5 (Recommended Practice 3.53) States that already accept valid visas in expired travel documents when presented with a new valid travel document need not take any action. States who do not, but wish to comply with the Recommended Practice, should:

- a) review which documents require a visa for travel to their State;
- b) amend legislation, policy and procedures as required;
- c) ensure training of border control officers; and
- d) amend entries in IATA's Timatic, as required.

1.1.6 (Appendix 12, paragraph 3.1) States that already include Travel Document Issuing Authorities in their National Facilitation (FAL) Programme need not take any action. Those who do not should:

- a) determine which authorities in their State issue travel documents;
- b) invite each of the identified authorities to participate actively in the National FAL Committee, the recommended vehicle for carrying out a National FAL Programme; and
- c) ensure all authorities are aware of Annex 9 and their responsibilities in relation to facilitation and security related to international civil aviation.

(c) Minors

1.1.7 For States that have established legislation, regulations and/or policies on the transport of minors by air, no action may be required apart from aligning them with the minimum age established (five years) for minors travelling without an accompanying person.

1.1.8 States that do not have such framework should:

- a) review related legislation, regulations and/or policies;
- b) develop a general policy and detailed procedures, together with air carriers, for the transport of minors by air;
- c) prepare an implementation plan to assure the compliance with the SARPs;
- d) ensure training of public authorities' staff in charge of assuring the welfare of minors; and
- e) ensure supervision by the State of the proposed provisions, as appropriate.

1.1.9 For aircraft operators that have already a programme for the handling of minors, no action may be required apart from aligning procedures with proposed SARPs.

1.1.10 For those air carriers that do not have a programme or procedures regarding the transport of minors:

- a) develop a programme and detailed procedures, together with relevant public authorities, for the transport of minors by air, especially for unaccompanied minors;
- b) prepare an implementation plan to assure the compliance with the SARPs; and
- c) train the staff that deals with the transport of minors (ground and cabin staff).

Advanced Passenger Information (API/iAPI)

1.1.11 States and airlines should base their planned API/iAPI systems with reference to the WCO/IATA/ICAO Guidelines on Advance Passenger Information, with additional reference to documentation referred to under part 3 of this Appendix.

1.1.12 States should develop appropriate national regulations taking into account the privacy aspects of the used data.

1.1.13 States should contact the airlines (or IATA) at the earliest possible time to ensure implementation of the system and for airlines to adjust to the requirements.

Passenger Name Record (PNR) Data

1.1.14 States and airlines should base their planned PNR systems with reference to ICAO Doc 9944, *Guidelines on Passenger Name Record (PNR) Data*, with additional reference to documentation referred to under part 3 of this Appendix.

1.1.15 States should develop appropriate national regulations taking into account the privacy aspects of the used data, with specific regard to Doc 9944.

1.1.16 States should contact the airlines (or IATA) at the earliest possible time to ensure implementation of the system and for airlines to adjust to the requirements.

Electronic Travel Systems (ETS)

1.1.17 States seeking to establish an ETS system should refer to the recommendations and suggested procedure(s) found in the IATA Control Authorities Working Group “Best Practice for Electronic Travel Systems,” with additional background reference documentation referred to under part 3 of this Appendix.

Automated Border Control (ABC) Systems

1.1.18 States seeking to set up ABC systems at their international airports are referred to the Third Edition of the “*Automated Border Control Implementation Guide*”, authored by the International Air Transport Association (IATA) in cooperation with the Airports Council International (ACI) and the European Agency for the Management of Operational Cooperation at the External Borders of the Member States of the European Union (FRONTEX). The Guide is intended for project managers in charge of implementing ABC solutions at airports.

1.1.19 States should also consult FRONTEX “*Best Practice Technical Guidelines for Automated Border Control (ABC) Systems*”. The Guidelines set out the basic “blueprint” of an ABC system.

Passenger manifest

1.1.20 The contents of documents like the Passenger Manifest are generally not described in detail in national regulation. Normally, regulation will refer to the “Passenger Manifest” without the details of its content. This means that national regulation need not be changed, since it does not contain specifications of the Passenger Manifest. The existing regulation suffices. However, States need to inform airlines of the new detail/addition to the Passenger Manifest (“Nationality”) as it would be included in Appendix 2 of Annex 9, for example through their Aeronautical Information Publications (AIPs).

2. STANDARDIZATION PROCESS

2.1 Effective date: 23 October 2017.

2.2 Applicability date: 23 February 2018.

3. SUPPORTING DOCUMENTATION

3.1 ICAO documentation

| Title | Type | Publication date |
|--|-------------------|------------------|
| Machine Readable Travel Documents | | |
| Facilitation Manual (Doc 9957) | Manual | 2011 |
| Machine Readable Travel Documents (Doc 9303) | Manual | 2015 |
| Passenger Data Exchange Systems (API, iAPI, PNR, ETS) | | |
| WCO/IATA/ICAO Guidelines on Advance Passenger Information | Guidelines | 2014 |
| IATA/WCO/ICAO Passenger Data Toolkit | Guidance material | 2014 |
| Guidelines on Passenger Name Record (PNR) Data (Doc 9944) | Guidelines | 2010 |

3.2 External documentation

| Title | External Organization | Publication date |
|--|---|-----------------------|
| Minors | | |
| Definitions and Recommendations on Unaccompanied Minors (found in ECAC DOC 30) | European Civil Aviation Conference (ECAC) | 2014 |
| European Parliament 'Report on the situation of unaccompanied minors in the EU' | European Union | 2013 |
| Recommended Best Practice for Minors | IATA/Control Authorities Working Group | 2007 |
| Resolution 1753 | IATA | 24th Edition, 2004 |
| Automated Border Controls (ABCs) | | |
| Automated Border Control Implementation Guide | IATA, ACI and FRONTEX | 2015 |
| Best Practice Operational Guidelines for Automated Border Control (ABC) Systems | FRONTEX | 2012 |
| Passenger Data Exchange Systems (API, iAPI, PNR, ETS) | | |
| IATA Control Authorities Working Group API Statement of Principles | IATA | 2007 |
| IATA Control Authorities Working Group iAPI Statement of Principles | IATA | 2015 |
| IATA Passenger and Airport Data Interchange Standards (PADIS) EDIFACT Implementation Guide (Version 13.1) | IATA | 2016 |
| IATA Air Transport & Travel Industry: Principles, Functional and Business Requirements PNRGOV (Version 13.1) | IATA | 2016 |
| IATA Air Transport & Travel Industry: Message Modifications: Approved Revision Process PNRGOV (Version 12.1) | IATA | 2016 |
| IATA Control Authorities Working Group Best Practice for Electronic Travel Systems | IATA | 2015 |

4. **IMPLEMENTATION ASSISTANCE TASKS**

| Type | Global | Regional |
|-----------------------------|--|--|
| Symposium and Seminar | TRIP Symposia and Exhibitions at ICAO Headquarters, Montréal | TRIP Regional Seminars |
| FAL Implementation Seminars | — | FAL Implementation Seminars (planned for the 2017-2019 triennium) |
| API Seminars | — | UN CTC Regional API Seminars and Country-Specific Capacity Building Events |
| API/PNR Seminars | — | IATA's API/PNR Days |

5. **UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)**

5.1 Protocol questions will need to be drafted/revised under USAP with regard to paragraphs 3.35.1, 9.5 and 9.6.

ATTACHMENT B to State letter EC 6/3-2017/88

IMPACT ASSESSMENT IN RELATION TO AMENDMENT 26 TO ANNEX 9

1. INTRODUCTION

1.1 Amendment 26 to Annex 9 is intended, inter alia, to: a) ensure that procedures regarding the issuance and acceptance of all travel documents are consistent, to enhance security and facilitation; b) harmonize policies and procedures followed by States and aircraft operators *vis-à-vis* the transport of unaccompanied minors, in particular; c) mandate the establishment of Advance Passenger Information (API) Systems, and promote the use of interactive API (iAPI), to enhance security and facilitation; d) support adherence to content, format and transmission standards to mitigate non-compliant PNR data requests, in response to the growth in PNR programmes; e) standardize Electronic Travel Systems (ETS)-related terminology and describe its functions in a policy and regulatory framework within Annex 9; f) further promote the use of Automated Border Control (ABC) Systems in order to optimize border clearance processes; and, g) add the nationality of passengers in the Passenger Manifest in order to improve the accuracy and speed of information that can be provided to families of aircraft accident victims.

2. IMPACT ASSESSMENT

2.1 The Annex 9 amendments resulting from Amendment 26 indicate a positive impact on the enhancement of aviation facilitation and security, as well as on the sustainable development of air transport.

2.2 *Impact on Aviation Facilitation and Security:*

a) With regard to the issuance and acceptance of travel documents, implementing the provisions will assist document-issuance authorities, and border control and law enforcement entities to optimize and streamline their issuance/control processes;

b) With regard to the transport of minors by air, applying the provisions will ensure that States and aircraft operators have appropriate training and other procedures in place, in case of significant concerns regarding the welfare of minors, especially unaccompanied minors, travelling by air.

c) Implementing API will assist compliance with UN Security Council Resolutions 2178 (2014) and 2309 (2016). API/iAPI implementation address several issues, including reduction of bottlenecks in border processing, enhancing aviation security, enabling States to use border security resources more effectively and efficiently, etc. iAPI, in particular, assists in further enhancing aviation security and border control processes;

d) Implementation of the PNR provisions will allow States to support pre-arrival/departure risk assessment activities, thus improving efficiency of border controls. Effective analysis of PNR data can often identify potential threats to aviation security and/or national security and lead to pre-travel interdictions.

e) With regard to ETS, implementing the provisions will expedite the pre-vetting and acceptance of low risk passengers into a State, while providing a secure method for applications, governments, and aircraft operators to verify their acceptance for travel. This provides States with an added layer of border security in the form of electronic registration and personal data submission;

f) With regard to ABC Systems, implementing the provisions will process increased numbers of low-risk passengers quickly, conveniently, and cost-effectively while maintaining the security and integrity of borders; and,

g) With regard to the passenger manifest: adding nationality to the (paper-based) manifest will facilitate the process in identifying passengers in case of aircraft accidents or serious health emergencies.

2.3 *Impact on Aviation Efficiency and Economy:*

Standardized travel documents issued securely improve efficiencies in the document-issuance and border control processes. Implementing a Passenger Data Single Window facility would render API systems more efficient, effective and economical for both aircraft operators and States. Passenger Data systems, as a whole, contribute to a better use of scarce financial and other resources. With regard to ABC Systems, implementing the provisions will relieve stress on overcrowded and over-utilized airport facilities and reduce human resource related costs driven by increasing passenger traffic.

2.4 *Impact on Aviation Safety and the Environment:*

Amendment 26 will have little or no impact on aviation safety or the environment.

2.5 *Expected Implementation Times:*

a) With regard to integrated issuance and acceptance of all travel documents, some States already have procedures in place. Others would need approximately one year to properly implement the provisions;

b) With regard to the transport of minors by air, States would need two to five years to properly implement the provisions. In addition, some major air carriers already have procedures in place, while other carriers would need some time to properly implement the provisions and train their staff;

c) With regard to API/iAPI Systems, States would need three to five years to properly implement the provisions, while industry would need approximately one to two years to do so;

d) With regard to PNR, States would need one to two years to properly implement the provisions;

e) With regard to ETS, States would need one to two years to properly implement the provisions. In some cases, these provisions have already been incorporated into existing national ETS applications.

f) With regard to ABC Systems, States would need one to two years to properly implement the provisions; and,

g) With regard to passenger manifest: States would need approximately one year to properly implement the amendment to the manifest.

2.6 *Financial implications:*

a) With regard to integrated issuance and acceptance of all travel documents, the cost impact would be minimal for States;

b) With regard to the transportation of minors by air, the cost impact on States and industry would include training for the staff;

c) With regard to API/iAPI Systems: Many States have developed — or are in the process of developing — API systems. There are no absolute cost figures that can be applied to development of a new API/iAPI capability at the State level as in each instance differing systems may be incorporated into the project requiring various modifications, hardware installations and internal linkage. Significant costs are involved for software development (or acquisition), hardware (servers, switches, etc.), IT system linkage, testing, and training. Costs will also depend on whether a State decides to set up a simple stand-alone programme, or something more sophisticated. Additionally, if a Passenger Data Single Window is used, when developing API systems, developing costs can be reduced significantly. Aircraft operators, for the most part, already have built API/iAPI capabilities aligned with global standards into their operating systems. Therefore, costs associated with complying with new requirements that align with existing system requirements will be significantly less than those borne by the authority implementing a new API/iAPI programme. The same cost implications for API apply to PNR.

d) With regard to ETS, the cost impact on States would include implementation of an iAPI capability, while specific IT development and programming associated with each States' iAPI application would be required for industry; and,

e) With regard to ABC Systems: the cost impact on States would include adoption of necessary regulations, development of the national ABC program concept, acquisition of necessary software and hardware, IT system linkage, development of program enrolment capability, and training of relevant staffs, while the cost impact on industry would be little beyond standard operating procedures.

**NOTIFICATION OF DISAPPROVAL OF ALL OR PART OF
AMENDMENT 26 TO ANNEX 9**

To: The Secretary General
International Civil Aviation Organization
999 Robert-Bourassa Blvd.
Montréal, Québec
Canada H3C 5H7

(State) _____ hereby wishes to disapprove the following parts
of Amendment 26 to Annex 9 (please use extra sheets as required):

Signature _____ Date _____

- Notes. —
- 1) If you wish to disapprove all or part of Amendment 26 to Annex 9, please dispatch this notification of disapproval to reach ICAO Headquarters by 23 October 2017. If it has not been received by that date it will be assumed that you do not disapprove of the amendment. **If you approve of all parts of Amendment 26, it is not necessary to return this notification of disapproval.**
 - 2) This notification should not be considered a notification of compliance with or differences from Annex 9. Separate notifications on this are necessary. (see Attachment D).
-

ATTACHMENT D to State letter EC 6/3-2017/88

**NOTIFICATION OF COMPLIANCE WITH OR DIFFERENCES FROM
ANNEX 9 (INCLUDING ALL AMENDMENTS UP TO AND INCLUDING
AMENDMENT 26)**

To: The Secretary General
International Civil Aviation Organization
999 Robert-Bourassa Blvd.
Montréal, Québec
Canada H3C 5H7

1. No differences will exist on _____ between the national regulations and/or practices of (State) _____ and the provisions of Annex 9, including all amendments up to and including Amendment 26.

2. The following differences will exist on _____ between the regulations and/or practices of (State) _____ and the provisions of Annex 9, including Amendment 26. (Please see Note 3 below.)

a) Annex Provision

(Please give exact paragraph reference)

b) Details of Difference

(Please describe the difference precisely)

c) Remarks

(Please indicate reasons for the difference)

(Please use extra sheets as required)

(cont'd)

3. By the dates indicated below, (State) _____ will have complied with the provisions of Annex 9, including all amendments up to and including Amendment 26 for which differences have been notified in 2 above.

a) **Annex Provision** b) **Date** c) **Comments**

(Please use extra sheets as required)

Signature _____ Date _____

- Notes. —
- 1) If paragraph 1 above is applicable to you, please complete paragraph 1 and return this form to ICAO Headquarters. If paragraph 2 is applicable to you, please complete paragraphs 2 and 3 and return the form to ICAO Headquarters.
 - 2) Please dispatch the form to reach ICAO Headquarters by 23 January 2018.
 - 3) A detailed repetition of previously notified differences, if they continue to apply, may be avoided by stating the current validity of such differences.
 - 4) Guidance on the notification of differences is provided in the Note on Notification of Differences at Attachment E.
 - 5) Please send a copy of this notification to the ICAO Regional Office accredited to your State.

ATTACHMENT E to State letter EC 6/3-2017/88

NOTE ON THE NOTIFICATION OF DIFFERENCES
(Prepared and issued in accordance with instructions of the Council)

1. *Introduction*

1.1 Article 38 of the *Convention on International Civil Aviation* (“Convention”) requires that a Contracting State notify ICAO any time it does not comply with a Standard in all respects, it does not bring its regulations or practices into full accord with any Standard, or it adopts regulations or practices differing in any particular respect from the Standard.

1.2 The Assembly and the Council, when reviewing the notification of differences by Contracting States in compliance with Article 38 of the Convention, have repeatedly noted that the timeliness and currency of such notifications is not entirely satisfactory. Therefore, this note is issued to reiterate the primary purpose of Article 38 of the Convention and to facilitate the determination and notification of differences.

1.3 The primary purpose of the notification of differences is to promote safety, regularity and efficiency in air navigation by ensuring that governmental and other agencies, including operators and service providers, concerned with international civil aviation are made aware of all national regulations and practices in so far as they differ from those prescribed in the Standards contained in Annexes to the Convention.

1.4 Contracting States are, therefore, requested to give particular attention to the notification of differences with respect to Standards in all Annexes, as described in paragraph 4 b) 1) of the Resolution of Adoption.

1.5 Although differences from Recommended Practices are not notifiable under Article 38 of the Convention, the Assembly has urged Contracting States to extend the above considerations to Recommended Practices contained in Annexes to the Convention, as well.

2. *Notification of differences from Standards and Recommended Practices (SARPs)*

2.1 Guidance to Contracting States in the notification of differences to Standards and Recommended Practices (SARPs) can only be given in very general terms. Contracting States are further reminded that compliance with SARPs generally extends beyond the issuance of national regulations and requires establishment of practical arrangements for implementation, such as the provision of facilities, personnel and equipment and effective enforcement mechanisms. Contracting States should take those elements into account when determining their compliance and differences. The following categories of differences are provided as a guide in determining whether a notifiable difference exists:

- a) ***A Contracting State’s requirement is more exacting or exceeds a SARP (Category A).*** This category applies when the national regulation and practices are more demanding than the corresponding SARP, or impose an obligation within the scope of the Annex which is not covered by the SARP. This is of particular importance where a Contracting State requires a higher standard which affects the operation of aircraft of other Contracting States in and above its territory;

- b) *A Contracting State's requirement is different in character or the Contracting State has established other means of compliance (Category B)**. This category applies, in particular, when the national regulation and practices are different in character from the corresponding SARP, or when the national regulation and practices differ in principle, type or system from the corresponding SARP, without necessarily imposing an additional obligation; and
- c) *A Contracting State's requirement is less protective, partially implemented or not implemented (Category C)*. This category applies when the national regulation and practices are less protective than the corresponding SARP; when no national regulation has been promulgated to address the corresponding SARP, in whole or in part; or when the Contracting State has not brought its practices into full accord with the corresponding SARP.

These categories do not apply to Not Applicable SARP. Please see the paragraph below.

2.2 **Not Applicable SARP.** When a Contracting State deems a SARP concerning aircraft, operations, equipment, personnel, or air navigation facilities or services to be not applicable to the existing aviation activities of the State, notification of a difference is not required. For example, a Contracting State that is not a State of Design or Manufacture and that does not have any national regulations on the subject, would not be required to notify differences from Annex 8 provisions related to the design and construction of an aircraft.

2.3 **Differences from appendices, tables and figures.** The material comprising a SARP includes not only the SARP itself, but also the appendices, tables and figures associated with the SARP. Therefore, differences from appendices, tables and figures are notifiable under Article 38. In order to file a difference against an appendix, table or figure, States should file a difference against the SARP that makes reference to the appendix, table or figure.

2.4 **Differences from definitions.** Contracting States should notify differences from definitions. The definition of a term used in a SARP does not have independent status but is an essential part of each SARP in which the term is used. Therefore, a difference from the definition of the term may result in there being a difference from any SARP in which the term is used. To this end, Contracting States should take into consideration differences from definitions when determining compliance or differences to SARPs in which the terms are used.

2.5 The notification of differences should be not only to the latest amendment but to the whole Annex, including the amendment. In other words, Contracting States that have already notified differences are requested to provide regular updates of the differences previously notified until the difference no longer exists.

2.6 Further guidance on the identification and notification of differences, examples of well-defined differences and examples of model processes and procedures for management of the notification of differences can be found in the *Manual on Notification and Publication of Differences* (Doc 10055).

* The expression "different in character or other means of compliance" in b) would be applied to a national regulation and practice which achieve, by other means, the same objective as that of the corresponding SARPs or for other substantive reasons, therefore cannot be classified under a) or c).

3. *Form of notification of differences*

3.1 Differences can be notified:

- a) by sending to ICAO Headquarters a form on notification of compliance or differences; or
- b) through the Electronic Filing of Differences (EFOD) System at www.icao.int/usoap.

3.2 When notifying differences, the following information should be provided:

- a) the number of the paragraph or subparagraph which contains the SARP to which the difference relates¹;
- b) the reasons why the State does not comply with the SARP, or considers it necessary to adopt different regulations or practices;
- c) a clear and concise description of the difference; and
- d) intentions for future compliance and any date by which your Government plans to confirm compliance with and remove its difference from the SARP for which the difference has been notified.

3.3 The differences notified will be made available to other Contracting States, normally in the terms used by the Contracting State when making the notification. In the interest of making the information as useful as possible, Contracting States are requested to ensure that:

- a) statements be as clear and concise as possible and be confined to essential points;
- b) the provision of extracts from national regulations not be considered as sufficient to satisfy the obligation to notify differences; and
- c) general comments, unclear acronyms and references be avoided.

¹ This applies only when the notification is made under 3.1 a).

AMENDMENT No. 26

TO THE

**INTERNATIONAL STANDARDS
AND RECOMMENDED PRACTICES**

FACILITATION

ANNEX 9

TO THE CONVENTION ON INTERNATIONAL CIVIL AVIATION

The amendment to Annex 9 contained in this document was adopted by the Council of ICAO on **16 June 2017**. Such parts of this amendment as have not been disapproved by more than half of the total number of Contracting States on or before **23 October 2017** will become effective on that date and will become applicable on **23 February 2018** as specified in the Resolution of Adoption. (State letter EC 6/3-2017/88 refers.)

June 2017

INTERNATIONAL CIVIL AVIATION ORGANIZATION

**AMENDMENT 26 TO THE INTERNATIONAL STANDARDS
AND RECOMMENDED PRACTICES**

ANNEX 9 – FACILITATION

RESOLUTION OF ADOPTION

The Council

Acting in accordance with the *Convention on International Civil Aviation*, and particularly with the provisions of Articles 37, 54 and 90 thereof,

1. *Hereby adopts* on 16 June 2017 Amendment 26 to the International Standards and Recommended Practices contained in the document entitled *International Standards and Recommended Practices, Facilitation* which for convenience is designated Annex 9 to the Convention;
2. *Prescribes* 23 October 2017 as the date upon which the said Amendment shall become effective, except for any part thereof in respect of which a majority of the Contracting States have registered their disapproval with the Council before that date;
3. *Resolves* that the said Amendment or such parts thereof as have become effective shall become applicable on 23 February 2018;
4. *Requests the Secretary General:*
 - a) to notify each Contracting State immediately of the above action and immediately after 23 October 2017 of those parts of the Amendment which have become effective;
 - b) to request each Contracting State:
 - 1) to notify the Organization (in accordance with the obligation imposed by Article 38 of the Convention) of the differences that will exist on 23 February 2018 between its national regulations or practices and the provisions of the Standards in the Annex as hereby amended, such notification to be made before 23 January 2018, and thereafter to notify the Organization of any further differences that arise;
 - 2) to notify the Organization before 23 January 2018 of the date or dates by which it will have complied with the provisions of the Standards in the Annex as hereby amended;
 - c) to invite each Contracting State to notify additionally any differences between its own practices and those established by the Recommended Practices contained in the Annex as hereby amended, following the procedure specified in sub-paragraph b) above with respect to differences from Standards.

NOTES ON THE PRESENTATION OF THE PROPOSED AMENDMENT

The text of the Amendment is arranged to show deleted text with a line through it and new text highlighted with grey shading. The following illustrates the various amending methods:

~~text to be deleted is shown with a line through it~~
followed by the new text which is highlighted with grey shading

new text to replace existing text

new text to be inserted is highlighted with grey shading

new text to be inserted

~~text to be deleted is shown with a line through it~~

existing text to be deleted

**TEXT OF AMENDMENT 26 TO THE
INTERNATIONAL STANDARDS
AND RECOMMENDED PRACTICES
FACILITATION**

**ANNEX 9
TO THE CONVENTION ON INTERNATIONAL CIVIL AVIATION**

CHAPTER 1. DEFINITIONS AND GENERAL PRINCIPLES

Amend Annex 9, Chapter 1 as follows:

A. Definitions

.....

Accompanying person. An adult who is travelling with a minor. This person will not necessarily be the parent or legal guardian of the minor.

Note.—It is to be noted that this definition might need to be applied in light of any obligation resulting from the application of national regulations on border checks.

.....

Electronic Travel Systems (ETS). The automated process for the lodgement, acceptance and verification of a passenger's authorization to travel to a State, in lieu of the standard counterfoil paper visa.

.....

Minor. A minor means a person who has not attained the age of majority as determined under the law applicable to the person.

.....

Passenger Data Single Window. A facility that allows parties involved in passenger transport by air to lodge standardized passenger information (i.e. API, iAPI and/or PNR) through a single data entry point to fulfil all regulatory requirements relating to the entry and/or exit of passengers that may be imposed by various agencies of the Contracting State.

Note.—The Passenger Data Single Window facility to support API/iAPI transmissions does not necessarily need to be the same facility used to support PNR data exchange.

.....

Unaccompanied Minor. A minor travelling alone or travelling only in the company of another minor.

Note.—It is to be noted that this definition might need to be applied in light of any obligation resulting from the application of national regulations on border checks.

.....

CHAPTER 2. ENTRY AND DEPARTURE OF AIRCRAFT

Amend Annex 9, Chapter 2 as follows:

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2.8 **Recommended Practice.**— *Documents for entry and departure of aircraft should be accepted if furnished in Arabic, Chinese, English, French, Russian or Spanish. Any Contracting State may require an oral or written translation into its own language.*

.....

CHAPTER 3. ENTRY AND DEPARTURE OF PERSONS AND THEIR BAGGAGE

Amend Annex 9, Chapter 3 as follows:

.....

3.9 **Recommended Practice.**— *Contracting States should incorporate biometric data in their machine readable passports, visas and other official travel documents, using one or more optional data storage technologies to supplement the machine readable zone, in a contactless integrated circuit chip as specified in Doc 9303, Machine Readable Travel Documents. The required data stored on the integrated circuit chip is the same as that printed on the data page, that is, the data contained in the machine-readable zone plus the digitized photographic image. Fingerprint image(s) and/or iris image(s) are optional biometrics for Contracting States wishing to supplement the facial image with another biometric in the passport. Contracting States incorporating biometric data in their Machine Readable Passports are to store the data in a contactless integrated circuit chip complying with ISO/IEC 14443 and programmed according to the Logical Data Structure as specified by ICAO.*

Note.— *Doc 9303 does not support the incorporation of biometric data in visas.*

.....

3.14 ~~When issuing passports that are not machine readable, Contracting States shall ensure that the personal identification and document issuance data and the format of the data page conform to the specifications for the “visual zone” set forth in Doc 9303, Part 4. The “machine readable zone” area shall be filled with words such as “this passport is not machine readable” or other data to preclude fraudulent insertion of machine readable characters.~~

3.15 **Recommended Practice.**— *Contracting States should establish publicly accessible facilities for the receipt of ~~passport~~ travel document applications and/or for the issuance of ~~passports~~ travel documents.*

3.16 Contracting States shall establish transparent application procedures for the issuance, renewal or replacement of ~~passports~~ travel documents and shall make information describing their requirements available to prospective applicants upon request.

.....

3.18 **Recommended Practice.**— *When issuing passports for tourism or business travel, Contracting States should normally provide that ~~such~~ passports be valid for a period of at least five years, for an unlimited number of journeys and for travel to all States and territories.*

Note 1.— In consideration of the limited durability of documents and the changing appearance of the passport holder over time, a validity period of not more than ten years is recommended.

Note 2.— Emergency, diplomatic, official and other special purpose passports could have a shorter validity period.

Note 3.— In consideration of the fast changing appearance of children, a validity period of not more than five years is recommended in the case of children's passports.

.....

3.35.1 The public authorities of each Contracting State shall seize fraudulent, falsified or counterfeit travel documents. The public authorities shall also seize the travel documents of a person impersonating the rightful holder of the travel document. Such documents shall be removed from circulation immediately and returned to the appropriate authorities of the State named as issuer or to the resident Diplomatic Mission of that State, except in cases where public authorities retain documents for law enforcement purposes. The appropriate authorities of the State named as issuer or the Diplomatic Mission of that State shall be notified of such retention by the public authorities that seize the travel documents in question.

.....

3.35.4 Recommended Practice.— *Each Contracting State should consider the introduction of Automated Border Control (ABC) systems in order to facilitate and expedite the clearance of persons entering or departing by air.*

3.35.5 Recommended Practice.— *Contracting States utilizing ABC systems should, pursuant to 3.9.2 and 3.10.1, use the information available from the PKD to validate eMRTDs, perform biometric matching to establish that the passenger is the rightful holder of the document, and query INTERPOL Stolen and Lost Travel Documents (SLTD) database, as well as other border control records to determine eligibility for border crossing.*

~~3.4.1~~ **3.35.6 Recommended Practice.**— *Contracting States utilizing Automated Border Control (ABC) systems should ensure that gates are adequately staffed while operational to ensure a smooth passenger flow and respond rapidly to safety and integrity concerns in the event of a system malfunction.*

.....

Secretariat's note:

Please note that it is proposed that paragraphs 3.48 to 3.49.2, both inclusive, be deleted from Chapter 3 and moved to a new Chapter 9, Passenger Data Exchange Systems.

.....

3.53 Recommended Practice.— *In cases in which the passport travel document of a visitor has expired prior to the end of the validity period of a visa, the State that has issued the visa should continue to accept the visa until its expiration date when it is presented with the visitor's new passport travel document.*

.....

3.55 After individual presentation by passengers and crew of their ~~passports or other official~~ travel documents, the public officials concerned shall, except in special individual cases, hand back such documents immediately after examination.

.....

Q. Minors

3.81 **Recommended Practice.**— *Contracting States should ensure that their relevant public authorities are trained to consider the welfare of minors both accompanied and unaccompanied.*

3.82 **Recommended Practice.**— *Contracting States should ensure that aircraft operators provide adequate training to their ground and cabin staff on the handling of minors.*

3.83 **Recommended Practice.**— *Contracting States and aircraft operators should, where practicable, exchange information as to the appropriate 24 hour point(s) of contact(s) to whom issues concerning the welfare of a minor could be addressed.*

3.84 **Recommended Practice.**— *Where data privacy and protection restrictions permit, Contracting States should ensure that aircraft operators raise any concerns regarding the welfare of a minor with the relevant public authorities.*

3.85 **Recommended Practice.**— *Contracting States should consider placing an unaccompanied minor into the care of the relevant public authority at the first available opportunity if there are significant concerns regarding the welfare of the unaccompanied minor during a journey which cannot be resolved quickly.*

3.86 Contracting States shall use appropriate measures to ensure that aircraft operators do not allow minors under the age of five (5) to travel without an accompanying person.

3.87 Contracting States shall use appropriate measures to ensure that aircraft operators establish a programme for the handling of unaccompanied minors travelling under their supervision.

.....

CHAPTER 5. INADMISSIBLE PERSONS AND DEPORTEES

Amend Annex 9, Chapter 5 as follows:

B. Inadmissible persons

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5.11.2 Where the removal of an inadmissible person relates to an unaccompanied minor, the removing State shall take appropriate measures to ensure that suitable arrangements are in place for the minor at point of departure, transit and point of destination, taking into particular consideration his best interests.

.....

C. Deportees

.....

5.18.2 Where the removal of a deportee relates to an unaccompanied minor, the departing State shall take appropriate measures to ensure that suitable arrangements are in place for the minor at point of departure, transit and point of destination, taking into particular consideration his best interests.

.....

CHAPTER 6. INTERNATIONAL AIRPORTS — FACILITIES AND SERVICES FOR TRAFFIC

Amend Annex 9, Chapter 6 as follows:

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6.47 **Recommended Practice.**— *Contracting States restricting the import or export of funds of other States should provide for the issuance to travellers of certificates showing the amounts of such funds in their possession upon entering the State and should permit such travellers, upon surrender of such certificates prior to leaving the State, to take such funds with them. Inscription on the ~~passport or other official document for travel~~ document may serve the same purpose.*

.....

CHAPTER 8. OTHER FACILITATION PROVISIONS

Amend Annex 9, Chapter 8, title, as follows:

~~Other~~ Facilitation Provisions **Covering Specific Subjects**

.....

Amend Annex 9, Chapter 8, as follows:

.....

8.18.1 **Recommended Practice.**— *In establishing a national air transport facilitation programme, States should use the guidance material outlined in Appendix 12 **and Doc 10042, Model National Air Transport Facilitation Programme.***

.....

Amend Annex 9, as follows:

CHAPTER 9. PASSENGER DATA EXCHANGE SYSTEMS

A. General

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.*

9.2 ~~3.48.10~~ **Recommended Practice.**— *Contracting States and aircraft operators should **provide the,** where appropriate **level** ~~and, as applicable,~~ on a 24/7 (continuous) basis, ~~provide~~ **of** operational and*

technical support to analyse and respond to any system outage or failure in order to return to standard operations as soon as practicable.

9.3 ~~3.48.11~~ Recommended Practice.— *Contracting States and aircraft operators should establish and implement appropriate notification and recovery procedures for both scheduled maintenance of information systems and non-scheduled system outages or failures.*

9.4 ~~3.49.1~~ Recommended Practice.— *Contracting States and aircraft operators should provide the appropriate level (where practicable, a 24/7 arrangement) of contact support.*

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.”

~~3.48—Each Contracting State that introduces an Advance Passenger Information (API) system under its national legislation shall adhere to international recognized standards for the transmission of Advance Passenger Information.~~

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.

9.7 Recommended Practice.—*Each Contracting State developing legislation for the purpose of implementing an API system should consider developing aligned regulations that meet the needs of all involved agencies, define a common set of API data elements required for that jurisdiction in accordance with message construction standards and appoint one government agency to receive API data on behalf of all other agencies.*

9.8 3.48.1 When specifying the identifying information on passengers to be transmitted, Contracting States shall require only data elements that are available in machine readable form in travel documents conforming to the specifications contained in Doc 9303. All information required shall conform to specifications for UN/EDIFACT PAXLST messages found in the WCO/IATA/ICAO API Guidelines.

9.9 3.48.2 When seeking to implement a national Advance Passenger Information (API) programme, Contracting States that are unable to comply fully with the provisions contained in 3.48.1 9.8 with respect to data element requirements shall ensure that only those data elements that have been defined for incorporation into the UN/EDIFACT PAXLST message are included in the national programme's requirement or follow the WCO's Data Maintenance Request (DMR) process for any deviation from the standard.

~~**3.48.3 Recommended Practice.**—*When implementing a new Advance Passenger Information (API) programme, Contracting States that are unable to accept passenger data transmitted in accordance with the UN/EDIFACT PAXLST specifications using the industry standard transmission method as described in 3.48.1 should consult users on the operational and cost impact incurred in modifying the UN/EDIFACT PAXLST message and its contents to the required alternate format.*~~

9.10 3.48.4 Recommended Practice.—*Contracting States should seek to minimize the number of times API data is transmitted for a specific flight.*

9.11 3.48.5 If a Contracting State requires API data interchange, then it shall seek, to the greatest extent possible, to limit the operational and administrative burdens on aircraft operators, while enhancing passenger facilitation.

9.12 3.48.6 Recommended Practice.—*Contracting States should refrain from imposing fines and penalties on aircraft operators for any errors caused by a systems failure which may have resulted in the transmission of no, or corrupted, data to the public authorities in accordance with API systems.*

9.13 3.48.7 Contracting States requiring that passenger data be transmitted electronically through an Advance Passenger Information system shall not also require a passenger manifest in paper form.

9.14 Recommended Practice.—*Each Contracting State should consider the introduction of an interactive Advance Passenger Information (iAPI) system.*

9.15 3.48.8 Recommended Practice.—*Contracting States seeking to implement an Interactive Advance Passenger Information (iAPI) system should:*

- a) *seek to minimize the impact on existing aircraft operator systems and technical infrastructure by consulting aircraft operators before development and implementation of an iAPI system;*
- b) *work together with aircraft operators to develop iAPI systems that integrate into the aircraft operator's departure control interfaces; and*
- c) *conform to the Guidelines on Advance Passenger Information (API) adopted by WCO/ICAO/IATA when requiring iAPI.*

9.16 3.48.9 Recommended Practice.— Contracting States' and aircraft operators' API systems, including iAPI, should be capable of 24/7 operation, with procedures in place to minimize disruption in the event of a system outage or failure.

C. Electronic Travel Systems (ETS)

9.17 Recommended Practice.— Contracting States seeking to establish an Electronic Travel System should integrate the pre-travel verification system with an interactive Advance Passenger Information system.

Note.— This will allow States to integrate with the airline departure control systems using data messaging standards in accordance with international guidelines in order to provide a real-time response to the airline to verify the authenticity of a passenger's authorization during check-in.

9.18 Recommended Practice.— Contracting States seeking to implement an Electronic Travel System (ETS) should:

a) ensure a robust electronic lodgement platform where an online application for authority to travel can be made. A State should make clear that their platform is the preferred means for applying online in order to reduce the scope of unofficial third party vendors that may charge an additional fee for the purpose of lodging an individual's application.

b) include tools built into the application to assist individuals to avoid errors when completing the application form, including clear instructions as to the applicability of which nationalities require an ETS, and not allow application processing for non-eligible passengers (e.g. nationality and/or document type).

c) institute automated and continuous vetting of relevant alert lists.

d) provide electronic notification to the passenger to replace paper evidence of an individual's approval for travel.

e) ensure that the information required from the passenger is easily understood in accordance with the national laws and regulations of that State.

9.19 Recommended Practice.— Contracting States should allow for an implementation schedule that builds awareness regarding upcoming changes and develops communication strategies in multiple languages in cooperation with other governments, travel industry, airlines and organizations in order to communicate the planned implementation of an ETS.

9.20 Recommended Practice.— Contracting States should include a period of informed compliance after the initial implementation deadline, where passengers are allowed entrance into the country but informed of the new requirements. e.g. handing out a tear sheet with new requirements.

9.21 Recommended Practice.— Each Contracting State that requires an ETS should adopt policies that ensure that passengers are informed of the ETS requirements at the time of booking and should encourage aircraft operators to extend the ETS verification check to the point where travel originates rather than to the point of uplift for the last segment before entry into the country for which the ETS mandate applies.

Note.— This will depend on other aircraft operators' interline through check-in capabilities and the relationship between aircraft operators.

D. Passenger Name Record (PNR) Data

3.49 **9.22 Recommended Practice.** Each Contracting States requiring Passenger Name Record (PNR) data ~~access should~~ shall align their its data requirements and their its handling of such data with the guidelines contained in ICAO Doc 9944, *Guidelines on Passenger Name Record (PNR) Data*, and in PNRGOV message implementation guidance materials published and updated by the WCO and endorsed by ICAO and IATA.

3.49.2 **9.22.1 Recommended Practice.**— Contracting States requiring ~~When specifying requirements for~~ the transfer of PNR data, ~~Contracting States shall~~ ~~should consider the adoption and implementation of~~ the EDIFACT-based PNRGOV message as ~~a~~ the primary method ~~of transferal of~~ for airline-to-government PNR data ~~transferal~~ to ensure global interoperability.

Note 1.— *The PNRGOV message is a standard electronic message endorsed jointly by WCO/ICAO/IATA. Depending on the specific aircraft-operator's airline's Reservation and Departure Control Systems, specific data elements can be provided which have been collected and stored by the airline, can be efficiently transmitted via this standardized message structure.*

Note 2.—*This provision is not intended to replace or supersede any messages exchanged between airlines and customs administrations to support local airport operations.*

Note 3.— *In addition to the mandatory EDIFACT-based PNRGOV message, Contracting States may also, optionally, consider implementation of the XML PNRGOV message format as a supplemental method of PNR data transfer, thereby allowing those airlines with XML capability a choice of format for the transmission of PNR data.*

9.23 Recommended Practice.—*Contracting States requiring PNR data should consider the data privacy impact of PNR data collection and electronic transfer, within their own national systems and also in other States. Where necessary, Contracting States requiring PNR data and those States restricting such data exchange should engage in early cooperation to align legal requirements.*

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Appendix 2. Passenger Manifest

| PASSENGER MANIFEST | | | |
|--|-------------|--|-----------------------|
| Operator..... | | | |
| Marks of Nationality and Registration* | | Flight No. | Date |
| Point of embarkation (Place) | | Point of disembarkation (Place) | |
| Surname and initials | Nationality | For use by operator only | For official use only |
| | | | |
| | | | |
| | | | |
| | | | |

Nationality:

Residence:

This person arrived on (date) at (name of) airport on flight (flight number) from (city and State).

.....

Appendix 12. Model National FAL Programme

3. ORGANIZATION AND MANAGEMENT

3.1 The primary responsibility for the National FAL Programme rests with the Civil Aviation Authority (CAA) and/or the Ministry of Transport. However, success of the programme requires the active participation of other ministries or agencies, such as:

| | |
|--------------------------------|---|
| Customs | Immigration |
| Foreign Affairs | Passport Travel document /visa issuing authorities |
| Agriculture/environment | Public Health |
| Security and narcotics control | Identification card issuing authorities |
| Tourism | Quarantine |

.....

4. ESTABLISHMENT OF A NATIONAL FAL PROGRAMME

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| <i>Chicago Convention mandate</i> | <i>Implementing tasks</i> |
|---|---|
| | |
| <p>Article 23 – Customs and immigration procedures Each Contracting State undertakes, so far as it may find practicable, to establish customs and immigration procedures affecting international air navigation in accordance with the practices which may be established or recommended from time to time, pursuant to this Convention. ...</p> | <p>— Establish and amend as appropriate, customs and immigration procedures carried out at airports, to harmonize them with the Standards and Recommended Practices set forth in Annex 9.</p> <p>— Support and advocate the national issuance of passports and other travel documents in accordance with ICAO specifications in Doc 9303 – <i>Machine Readable Travel Documents</i>.</p> |
| | |