



简化手续专家组（FALP）

第十四次会议

2026年4月20日至24日，蒙特利尔

议程项目 3：关于附件 9 —《简化手续》的修订

旅行证件的协调统一护照“破损”的统一标准

（由俄罗斯联邦提交）

摘要

本工作文件重点论述实施护照“破损”统一标准明显的简化手续益处，以及没有该项标准对航空承运人的财务风险。

简化手续专家组的行动：

请简化手续专家组审议本文件所述提案，修订附件 9 并同意将这一事项纳入附件 9 工作组的工作议程。

1. 引言

1.1 2026 年，航空承运人仍对运输持“不当”证件的旅客承担全部法律和经济责任 — 这些证件因破损或损坏被入境国移民当局宣布无效。每个国家根据其管辖范围内的准则和标准，自行设定证件状态要求。航空承运人无法确定每个国家对于证件破损程度和损坏严重性的认定，因而陷入主观决断：拒绝运输旅客常常导致法律费用，反之，接受运输可能导致移民罚款。

1.2 出发地国和目的地国移民当局对护照实体（技术）状况的评估存在差异，导致航空公司面临财务风险和法律不确定性。目前情况的主要矛盾是缺乏评估护照状况的全球统一标准（护照“破损”的统一标准）以让航空承运人在工作中有据可依。

¹ 俄文版本由俄罗斯联邦提供。

1.3 评价标准中的主要问题领域：

1.3.1 证件磨损度的主观性。虽然有些国家允许轻微划痕，但其他国家的移民当局可能会以纸张上的细小撕裂或封面上的污渍为由拒绝入境。

1.3.2 技术损伤。航空承运人常常面临这样的困境：

- a) 射频识别（RFID）芯片的完好性在视觉上没有受到破坏，但在通过技术手段读取个人数据时，芯片提供的护照持有人信息不完整；或
- b) RFID 芯片部分或完全与证件分离，但从芯片读取的信息是完整的，并对应证件中的生物识别数据。航空公司不得不在值机柜台检查 RFID 芯片的性能，因为生物识别护照中无法读取的芯片往往等同于无效证件。

1.3.3 处罚。如果在抵达时护照被宣布无效，航空公司有义务自费将旅客送回最初的出发地，并支付罚金（平均每人 2 000 至 5 000 欧元，视管辖区而定）。

1.3.4 诉讼费。停运旅客可能会导致法律诉讼和航空公司的额外费用。由于缺乏统一的全球标准，法院将适用本国的管辖权。

1.4 附件 9 中没有关于评估旅行证件状况的标准和建议措施（SARPs）。

2. 讨论

2.1 实施统一的护照“破损”标准突出了明显的简化手续益处。这将有助于：

- 制定统一的客观规定，以便移民当局和航空承运人对护照状况进行评估，从而加快护照管控程序；
- 免除航空公司在值机柜台对 RFID 芯片性能的检查，从而缩短旅客完成飞行前程序所需的时间；
- 批准 RFID 芯片和层压状况的统一技术要求；
- 消除在决定是否准许旅客入境时的主观性。

2.2 俄罗斯联邦法律制定了评估护照实体状况的明确标准。根据俄罗斯的标准，对护照状况的评估以其是否适合（以视觉或技术方式）识别和读取数据为基础。如果护照有以下迹象，则视为不合格（损坏）护照：

2.2.1 技术损伤

- a) 完好性破坏：缺页，或页面、封面和安全夹层严重损坏；
- b) 接缝损伤：连接页面的安全线程破坏了固件的完好性；
- c) 磨损：严重的刮痕或污染，导致无法目视识别所有者的数据或证件的安全特征。

2.2.2 数据篡改与未经授权的标记

- a) 多余铭文：未正式修改的绘画、标记或印章；
- b) 不可辨认：记录、封印和印章因接触水或化学品而模糊或褪色；
- c) 照片修改：照片受损，难以辨认，或有自行更换图像的迹象。

2.2.3 技术状况（针对生物识别护照）

2.2.3.1 芯片故障：电子存储介质损坏，导致无法通过技术手段读取个人数据；

2.2.4 附加标准

2.2.4.1 填满所有页面：没有空闲的页面用于加盖必要的印章和标记。

3. 建议

3.1 请专家组：

- a) 审查文件所载信息；
 - b) 建议制定全球统一的护照“破损”标准；
 - c) 审议附录 A 所载对附件 9 的拟议修订，并视情修订附件 9；
 - d) 审议附录 B 所载本文件提出的护照状况评估标准清单，以便就全球统一标准开展进一步工作；
 - e) 将护照“破损”全球统一标准的总体问题交由附件 9 工作组进一步审议。
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附录 A

关于附件 9 — 《简化手续》的修订

A. 定义

不当证件 不符合既定要求且无法作为入境合法依据的证件。这些包括无效、损坏/破旧损、错误发放颁发或伪造的旅行证件。

第 3 章 人员及其行李的入境和离境

H. 旅行证件的检查

3.xx 各缔约国在评估旅行证件状况时，必须遵循护照“破损”的统一标准。

3.xx 各缔约国如果认为旅客出示的旅行证件因破损或严重损坏而不当，不得要求航空器运营人将该旅客从出发地或过境地运送到预定的最终目的地。

第 5 章 不能获准入境者和被驱逐者

B. 不能获准入境者

5.5 各缔约国必须保证就不能获准入境者向航空器运营人发布遣返令。遣返令必须包括与载运此位人员的进港（到达）航班相关的信息以及已知的该位人员的姓名、年龄、性别和国籍，以及拒绝入境的原因。

5.xx 各缔约国必须遵循统一的遣返令格式，其中将“证件有技术性缺陷”纳入拒绝入境的可能原因清单。

5.14 当发现到达和过境人员证件不妥，而航空器运营人能表明他们已采取必要的防范措施以保证这些人员符合入境接收国的文件要求时，各缔约国不得对航空器运营人处以罚款。

5.xx 在到达和过境人员所持证件因技术损坏或磨损（破损）而被视为失效的情况下，如果航空器运营人能够表明护照/旅行证件的状况符合关于护照“破损”的全球统一标准，各缔约国不得对航空器运营人处以罚款。

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APPENDIX B**Proposed criteria for assessing of passport condition**

Signs of passport damage/ dilapidation	Data is read incompletely or incorrectly	Security features are violated	Access to MRZ, bio data, photo	Possibility of falsification	The decision – Passport is INVALID
Mechanical Damage					
Violation of Page Integrity					
a) the page tear is less than 2/3	V				V
b) the page is completely torn off/ or tear more than 2/3					V
c) lack of a page/ pages in a passport					V
Seam damage					
a) thread tearing less than 2/3 of a page		V	V	V	V
b) The page is completely torn off at the seam/ or thread tearing more than 2/3 of a page					V
c) the page block is detached from the cover		V		V	V
Wear and tear					
significant scuffing or contamination, which makes it impossible to visually identify the owner's data or the security features of the document	V	V	V	V	V

Data modification and unauthorized marks					
extraneous inscriptions: the presence of unofficially altered drawings, marks or stamps					V
Unreadability					
blurring or fading of records, seals and stamps (for example, due to exposure to water or chemicals)	V	V		V	V
photo modification: damage to the photo, making it difficult to identify, or signs of self-replacement of the image	V	V		V	V
Technical condition (for biometric passports)					
the integrity of the RFID chip visually is not violated, but when reading of personal data by technical means the chip gives out incomplete information about passport bearer	V			V	V
the RFID chip is partially or completely separated from the document, but the information read from the chip is complete and corresponds to the biometric data in the document.		V		V	V

APPENDIX C

NEW or REVISED SARP PROPOSAL: AMENDMENT _, ANNEX 9, CHAPTER _,
[STANDARD/RECOMMENDED PRACTICE _]

IMPACT ASSESSMENT

1. What is the problem that this proposal is designed to address?

Please include specific details

This working paper highlights the evident facilitation benefits of implementing a unified Standard of passport “dilapidation” and the financial risks for air carriers related to the lack of such a Standard.

2. What alternatives to SARPs were considered to solve the problem?

None	Circular	Manual	Policy	<i>Other (please explain)</i>
X				Annex 9 does not contain SARPs related to the criteria for assessing the condition of travel documents.

3a. What is the impact of this proposal on a State?

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Implementing this proposal will enhance civil aviation safety			X		
<i>Rationale:</i>					
Neutral, no change					
Implementing this proposal will increase air navigation capacity and improve efficiency			X		
<i>Rationale:</i>					
Neutral, no change					
Implementing this proposal will enhance global civil aviation security and facilitation (taking into account impact on human rights, health and privacy, if any)	X				
<i>Rationale:</i>					
This proposal will ensure a harmonized objective line for assessing passport conditions by both immigration authorities and airlines, and will speed up the passport control procedure. It will ensure abolition of extra document verification at check-in counters, including checks of RFID chips for operability, and will fasten the time for pre-flight procedures;					
Implementing this proposal will foster the development of a sound and economically-viable civil aviation system	X				
<i>Rationale:</i>					
This proposal will ensure a harmonized system between all States, airlines will not have to adhere to different rules for every State. It will help minimize financial risks for airlines on immigration fines and court costs.					

Implementing this proposal will minimize the adverse environmental effects of civil aviation activities			X		
<i>Rationale:</i> Neutral, no change					

3b. Do the benefits of this proposal justify the cost of its implementation?

Yes	No	Not sure	Not applicable
X			

4a. What is the impact of this proposal on **Industry**?

	<i>Strongly Agree</i>	<i>Agree</i>	<i>Neutral</i>	<i>Disagree</i>	<i>Strongly Disagree</i>
Implementing this proposal will enhance civil aviation safety			X		
<i>Rationale:</i> Neutral, no change					
Implementing this proposal will increase air navigation capacity and improve efficiency			X		
<i>Rationale:</i> Neutral, no change					
Implementing this proposal will enhance global civil aviation security and facilitation (taking into account impact on human rights, health and privacy, if any)	X				
<i>Rationale:</i> Implementing of a uniform standard of passport “dilapidation” has the evident facilitation benefits: it fosters elimination of subjectivity when making a decision on passenger admission, prevents operational disruptions, speeds up the pre-flight procedures.					
Implementing this proposal will foster the development of a sound and economically-viable civil aviation system	X				
<i>Rationale:</i> Implementing of a uniform standard of passport “dilapidation” is crucial for fair economic competition in aviation. It reduces administrative burdens and ensures level playing field among airlines.					
Implementing this proposal will minimize the adverse environmental effects of civil aviation activities			X		
<i>Rationale:</i> Neutral, no change					

4b. Do the benefits of this proposal justify the cost of its implementation?

Yes	No	Not sure	Not applicable
X			

5. How long would it take for States and Industry to implement this proposal?

Already implemented	0-1 years	1-2 years	2-5 years	5-10 years	More than 10 years
		X			
Change of legislation may take 2 years, for States where the criteria for assessment of passport “dilapidation” differ from the uniform global standard.					

6. Financial implications of the proposal

The positive cost impact on States would include: reduction of the administrative burden on the government.
The positive cost impact on the industry would include: significant reduction of costs for immigration fines and legal expenses.

IMPLEMENTATION TASK LIST AND OUTLINE OF GUIDANCE MATERIAL

1. IMPLEMENTATION TASK LIST

1.1 Essential steps to be followed by a State in order to implement proposed amendments¹

1.1.1 For States that have established legislation, regulations and/or policies in implementing standards of passport “dilapidation” that are aligned with ...SARPs, no action may be required. For those that do not, the essential steps are the following:

- a) identify established legislation, regulations and/or policies;
- b) gap analysis between established legislation, regulations, and/policies, and ...SARPs;
- c) decisions on whether to introduce new provision to align with ICAO guidance material;
- d) modification and/or development of provision;
- e) official adoptions of provisions;
- f) implementation of newly adopted provisions by applicable entities;
- g) modification of an oversight framework; and
- h) supervision by the State of provisions, as appropriate.]

2. STANDARDIZATION PROCESS

2.1 Effective date: ■ [Month/Year]: to be completed by Secretariat

2.2 Applicability date: ■ [Month/Year]: to be completed by Secretariat

¹ Amendment of a format or clarification nature are not allowed in this Appendix.

3. SUPPORTING DOCUMENTATION:

3.1 ICAO documentation:

Title	Type	Publication date
	Manual/Other Guidance Material/Web page	

3.2 External documentation:

Title	External Organization	Publication date

4. IMPLEMENTATION ASSISTANCE TASKS

Type	Global	Regional
[Seminar/Symposium/Workshop/etc.]		

**5. UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)
OR UNIVERSAL SAFETY OVERSIGHT PROGRAMME
(USOAP)**

5.1 [No] [additional] protocol questions required under USAP [USOAP].