



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

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

19 February 2014

API & PNR: OVERVIEW



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

1. WHY DO STATES WANT DATA?



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



1. WHY STATES WANT DATA?

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

2. ICAO's INTEREST IN API & PNR



- **Art. 22, Chicago:** Facilitation of formalities
 - Prevent unnecessary delays: Administration of immigration, customs, clearance laws
- **Art. 13, Chicago:** Entry & clearance regulations
 - Compliance of entry, clearance, immigration, customs regulations by/behalf of passengers, crews
- **Std. 1.4, Annex 9:** States: use I.T. to increase efficiency & effectiveness of procedures at airports

2. ICAO's INTEREST IN API & PNR



- **Art. 23, Chicago:** C & I procedures
 - States to establish C & I procedures recommended pursuant to Convention
 - **Art. 37, Chicago:** Adoption of standards
 - States to secure uniformity in regulations, standards, procedures
- ▶ **Uniformity in laws & regulations (Annex 9)**

API & PNR: OVERVIEW



1. API & PNR: Why?

2. ICAO's interest in API and PNR

3. Regulatory Framework

4. Guidelines

3. REGULATORY FRAMEWORK: API



Annex 9: States' obligation to standardize API requirements

1. Standard 3.47
2. Standard 3.47.1
3. Standard 3.47.2
4. Standard 3.47.5
5. Standard 3.47.7

All Mandatory

3. REGULATORY FRAMEWORK: API



Standard 3.47: State to adhere to int'. Standards

- ▶ Note 1: Brief description of API
 - ▶ Note 2: Information on UN/EDIFACT
 - ▶ Note 3: Non-applicability to general aviation
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- Standard 3.47.1
 - ▶ Personal & TD information: Doc 9303
 - ▶ All information: conform to Paxlst Message

3. REGULATORY FRAMEWORK: API



- Standard 3.47.2:
 - ▶ More information than 3.47.1 required, restrict to Paxlst Message elements, or
 - ▶ Request DMR process [▶ API CC]
- Standard 3.47.5: States to limit burden on airlines
- Standard 3.47.7: If electronic API, then no paper passenger manifest [>2.13+Appendix 2]

3. REGULATORY FRAMEWORK: API



Summary of 3.47, 3.47.1, 3.47.2

States obliged to:

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

3. REGULATORY FRAMEWORK: API



- Recommended Practice 3.47.3:
 - ▶ If State unable to use Paxlst, consult users on operational and cost impact
- Recommended Practice 3.47.4:
 - ▶ State to minimize number of times API is transmitted for a specific flight
- Recommended Practice 3.47.6:
 - ▶ State to refrain from fines/penalties for errors due to system failures: transmission of data

3. REGULATORY FRAMEWORK: API



Amendment 24

- 3 new RPs address operational issues:
 - 24/7 operation
 - procedures for system outage/failure
 - tech support, notification & recovery procedures
- **iAPI:**
 - a) RP: consult & work with aircraft operators & conform to WCO/ICAO/IATA Guidelines
 - b) iAPI defined

3. REGULATORY FRAMEWORK: API



5 December 2011

State Letter EC6/3-11/76

► “Implementation of Standard 3.47”

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

3. REGULATORY FRAMEWORK: PNR



Annex 9: **RP 3.48** on PNR data:

Contracting States requiring Passenger Name Record (PNR) access should conform their data requirements and their handling of such data to guidelines developed by ICAO.

3. REGULATORY FRAMEWORK: PNR



Amendment 24

- **3.48 Amended:** Specific reference to 9944 & PNRGOV message implementation guidance
- (new 3.48.1): States & Operators: provide 24/7 support
- (new 3.48.2): When requiring PNR data, States should consider the adoption and implementation of the PNRGOV message as a method of transferral of PNR data.

3. REGULATORY FRAMEWORK



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

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

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

3. REGULATORY FRAMEWORK



2. Recommendations on API/iAPI & PNR:

- States develop a single API & iAPI reporting requirement based on international standards, and a single agency be identified to receive data and for internal dissemination to other agencies;
- States align the various data exchange systems with the international data transmission standards adopted by relevant United Nations agencies . . .;
- PNR systems, based on the PNRGOV message format, require only those data elements collected and stored in aircraft operator systems, as described in *Guidelines on Passenger Name Record (PNR) Data* (Doc 9944);
- ICAO incorporate new SARPs into Annex 9; [▶]
- ICAO provide States with assistance and training on the implementation of API

3. REGULATORY FRAMEWORK



HLCAS (September 2012)

+ Recommendation:

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

3. REGULATORY FRAMEWORK



38th Assembly (2013) Resolutions

- A38-15 (Avsec Resolution)

- ▶ States urged to use API

- Declaration on Aviation Security

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

- A38-16, Appendix C

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

4. GUIDELINES: DOC 9944

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

3. WCO/IATA/ICAO API GUIDELINES



API Guidelines & PNR Reporting Standards:

▶ ICAO Public Site → Strategic Objectives → Security →
Facilitation → Publications

[http://www2.icao.int/en/AVSEC/FAL/Pages
/Publications.aspx](http://www2.icao.int/en/AVSEC/FAL/Pages/Publications.aspx)

5. PNR: REGULATORY FRAMEWORK



API & PNR: What Next?

→ State Letter (April 2014)

→ FAL Panel (24-28 November 2014)

→ Follow-up: IATA (+ ICAO, WCO)

API & PNR



QUESTIONS?