



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

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

25 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



PASSENGER MANIFEST

Operator

Marks of Nationality and Registration* Flight No. Date

Point of embarkation Point of disembarkation

(Place) (Place)

Surname and initials

For use by operator only

For official use only

Size of document to be 210 mm × 297 mm (or 8 1/4 × 11 3/4 inches).

* To be completed only when required by the State.

210 mm (or 8 1/4 inches)

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, should 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>

5. PNR: REGULATORY FRAMEWORK



API & PNR: What Next?

→ State Letter (April 2014)

→ FAL Panel (24-28 November 2014)

→ Follow-up: IATA (+ ICAO, WCO)

QUESTIONS?