



FACILITATION REGIONAL IMPLEMENTATION SEMINAR
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ANNEX 9:
MANDATE, DESCRIPTION & LATEST DEVELOPMENTS:
THE ANNEX: STRUCTURE & LATEST DEVELOPMENTS

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ICAO SECURITY & FACILITATION

Annex	Title	Annex	Title
1	Personnel Licensing	11	Air Traffic Services
2	Rules of the Air	12	Search and Rescue
3	Meteorological Service for International Air Navigation	13	Aircraft Accident and Incident Investigations
4	Aeronautical Charts	14	Aerodromes
5	Units of Measurement to be Used in Air and Ground Operations	15	Aeronautical Information Services
6	Operation of Aircraft	16	Environmental Protection
7	Aircraft Nationality and Registration Marks	17	Security—Safeguarding International Civil Aviation Against Acts of Unlawful Interference
8	Airworthiness of Aircraft	18	The Safe Transport of Dangerous Goods by Air
9	Facilitation	19	Safety Management
10	Aeronautical Telecommunications		



Annex 9: Structure & Latest Developments

Part I: Structure

- ▶ Annex 9: A Brief History
- ▶ SARPs: Meaning
- ▶ Annex 9: An Overview
 - Guidance Material

Part II: Latest Developments

- ▶ Latest Developments & Key Current Issues



MANDATE — FACILITATION PROGRAMME

Article 10: Landing at customs airport

Article 11: Applicability of air regulations

Article 13: Entry and clearance regulations

Article 14: Prevention of spread of disease

Article 22: Facilitation of formalities

Article 23: Customs and immigration procedures

Article 24: Customs duty

Article 29: Documents carried in aircraft

Article 35: Cargo restrictions

Article 37: Adoption of international standards and procedures

[→ FOCUS ON BORDER CONTROLS AT INTERNATIONAL AIRPORTS]



ANNEX 9: BRIEF HISTORY

Annex 9 developed:

→ elaborate States' obligations under Articles 22, 23, 24

→ standardize procedures for meeting legal requirements under Articles 10, 13, 14, 29, 35



- FAL/1 (1946) & FAL/2 (1948) → Annex 9, 1st Ed.: 25 March 1949
- FAL/3 to FAL/11 (1995) → Annex 9, 2nd Ed. to 10th Ed.
- FAL Panels 1 – 3 → Annex 9, 11th Ed. (2002)
- [FALP/4]&FAL/12 (2004): CAIRO → Annex 9, 12th Ed. (2005)
- FAL Panels 5 and 6 → Annex 9, 13th Ed. (2011)
- FALP/7 (2012) → Amendment 24
- FALP/8 (2014) → Annex 9, 14th Ed. (2015)
- FALP/9 (2016) → Annex 9, 15th Ed. (October, 2017)
-
- FALP/10 (10-13 September 2018)



ANNEX 9: SARPs MEANING

Standard: The uniform observance of which is necessary and in respect of which non-compliance must be notified in accordance with Article 38.

STANDARD → “SHALL” in provision

Recommended Practice: The observance of which is highly desirable and to which Contracting States will endeavour to conform.

RP → “SHOULD” in provision



ANNEX 9: OVERVIEW

1. Material comprising the Annex proper:

- ▶ SARPs
- ▶ Appendices
- ▶ Definitions

2. Other material

[Foreword; Action by States; Notes]



1. Definitions and General Principles
2. Entry and departure of aircraft
3. Entry and departure of persons and their baggage
4. Entry and departure of cargo and other articles
5. Inadmissible persons and deportees
6. International airports – facilities and services for traffic
7. Landing elsewhere than at international airports
8. Facilitation provisions covering specific subjects
9. Passenger data exchange systems

+ 13 Appendices



1. DEFINITIONS AND GENERAL PRINCIPLES

1. Definitions: Meanings of terms used in the Annex
 - ▶ e.g., Accompanying person, Admission, Authorized Economic Operator, Automated Border Control (ABC), Commencement of journey, Deportee, Direct Transit Area, Improperly documented person, Minor, Passenger Data Single Window, Single Window, etc.
2. General Principles:
 - ▶ Apply throughout the Annex (e.g. 1.1: SARPs shall apply to all categories of aircraft operation unless specifically mentioned; 1.4: Use of IT)
 - ▶ Apply specifically to cargo (e.g. 1.3: Use of risk management for release/clearance of goods).



2. ENTRY AND DEPARTURE OF AIRCRAFT

- ▶ Prevention of entry of aircraft: public health reasons & other health-related SARPs
- ▶ Acceptance of electronic documents; Gen Dec, Passenger & Cargo Manifests
- ▶ Use chemical/non-chemical methods and insecticides: WHO
- ▶ Prior authorization & Advance notification (general aviation) → AIPs

3. ENTRY AND DEPARTURE OF PERSONS AND THEIR BAGGAGE

- ▶ SARPs on machine readable travel documents, including security of TDs
- ▶ Extension of the validity of MRTDs
- ▶ Public Key Directory
- ▶ INTERPOL's Stolen and Lost Travel Document (SLTD) database
- ▶ Machine Readable Convention Travel Documents [refugees, stateless persons]



3. ENTRY AND DEPARTURE OF PERSONS AND THEIR BAGGAGE

- ▶ SARPs on inspection of travel documents, e.g. Assistance in evaluation of TDs
- ▶ Departure procedures, e.g. income tax clearance certificates
- ▶ Entry procedures and responsibilities, e.g. responsibility of aircraft operator for custody & care; Automated Border Control (ABC) systems (→)
- ▶ Transit procedures
- ▶ SARPs on disposition of baggage separated from its owner (unidentified, unclaimed or mishandled baggage)
- ▶ SARPs on crew and other aircraft operators' personnel, e.g. Crew Member Certificates
- ▶ Emergency assistance/entry visas in cases of *force majeure*
- ▶ Minors



4. ENTRY AND DEPARTURE OF CARGO & OTHER ARTICLES

- ▶ Provisions aligned with the WCO's Kyoto Convention
- ▶ Use of risk management for examination of cargo
- ▶ Use of modern screening or examination techniques for examination of cargo
- ▶ RP: States to consider introduction of Authorized Economic Operator programmes (entity involved in the international movement of goods – approved by customs authority – complying with WCO or equivalent supply chain security standards.)
- ▶ SARPs on information required by the public authorities, e.g. RP: Advance Cargo Information; RP: Single Window (submission of information to a single entry point)
- ▶ SARPs on the release and clearance of export and import cargo, e.g. urgent consignments
- ▶ SARPs on spare parts, equipment and stores, e.g. prompt release of security equipment
- ▶ Containers and pallets; mail
- ▶ Radioactive material, e.g. prompt release of material used in medical applications



5. INADMISSIBLE PERSONS & DEPORTEES

- ▶ Obligation of States to cooperate with one another to resolve differences in implementation
- ▶ Inadmissible Persons: step-by-step procedures for addressing their removal – notification; consultation; issuance of removal order; covering letter for lost, destroyed or seized travel documents; security of flight; responsibility for custody and care (aircraft operator/State); place of removal of inadmissible person; obligation of State to accept for examination; **inadmissible unaccompanied minor (suitable arrangements in place . . . best interests)**; etc.
- ▶ Deportees: Obligation to issue deportation order; Obligation of deporting State for responsibilities and costs; **unaccompanied minor being deported**; risk assessment by State; option of aircraft operator/pilot-in-command to refuse carriage on a specific flight; use of direct, non-stop flights; issuance of travel documents; obligation of State to accept deported national; etc.
- ▶ Procurement of a replacement travel document, e.g. State not to refuse to issue a TD to a national



6. INTERNATIONAL AIRPORTS — FACILITIES AND SERVICES FOR TRAFFIC

- ▶ States to ensure implementation of Annex 9 to privatized airports
- ▶ Obligation to provide customs, immigration, quarantine and health border clearance services at international airports
- ▶ SARPs on airport traffic flow arrangements, e.g. adequate facilities for embarkation and disembarkation of passengers without delay; Aircraft parking and servicing arrangements; Cargo and mail handling and clearance facilities
- ▶ Facilities required for implementation of public health, emergency medical relief, and animal and plant quarantine measures, e.g. obligation to maintain first-aid attendance at international airports
- ▶ Facilities required for clearance controls and operation of control services, without charge
- ▶ Unruly passengers
- ▶ Passenger amenities, e.g. childcare facilities



7. LANDING ELSEWHERE THAN AT INTERNATIONAL AIRPORTS

- ▶ Assistance to aircraft that lands elsewhere than at an international airport: control formalities and procedures to be kept to a minimum
- ▶ Short stop-over; No resumption of flight

8. FACILITATION PROVISIONS COVERING SPECIFIC SUBJECTS

- ▶ Relief flights following natural and man-made disasters
- ▶ Implementation of international health regulations and related provisions, e.g. pilot-in-command to report a suspected communicable disease to ATC
- ▶ Communicable disease outbreak national aviation plan
- ▶ Establishment of national facilitation programmes
- ▶ Facilitation of the transport of persons with disabilities, e.g. airport facilities and services to be adapted to the needs of persons with disabilities.
- ▶ Assistance to aircraft accident victims and their families

[Chapter 9 . . . →→]



APPENDICES

1. General Declaration
2. Passenger manifest
3. Certificate of aircraft registration
4. Certificate of residual disinsection
5. Certificate of aircraft maintenance
6. Certificate of aircraft airworthiness
7. Certificate of aircraft fitness to fly
8. Certificate of aircraft performance
9. Suggested formats for documents relating to the return of inadmissible persons
10. Certificate of aircraft registration
11. Model airport FAL programme
12. Model national FAL programme
13. Public health passenger locator card



1. The FAL Manual (Doc 9957)
2. Guidelines on Passenger Name Record (PNR) data (Doc 9944)
3. Persons with Disabilities Manual (Doc 9984)
4. WCO/IATA/ICAO API & PNRGOV Guidelines:

<https://www.icao.int/Security/FAL/SitePages/API%20Guidelines%20and%20PNR%20Reporting%20Standards.aspx>

5. Model National Air Transport Facilitation Programme (Doc 10042)
6. Doc 9303, Machine Readable Travel Documents:

<https://www.icao.int/publications/pages/publication.aspx?docnum=9303>



RESOURCES

https://www.icao.int/Documents/annexes_booklet.pdf

[brief overview of 18 Annexes] (old)

<https://www.icao.int/publications/Pages/doc-series.aspx>

[selected documents, including the Convention]

<https://www.icao.int/safety/AirNavigation/Pages/standard.aspx>

[making an ICAO Standard]

<https://www.icao.int/Security/FAL/ANNEX9/Pages/Publications.aspx>

<https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>

<https://www.icao.int/Security/FAL/PKD/Pages/default.aspx>



PART II: LATEST DEVELOPMENTS & KEY CURRENT ISSUES

Latest Developments

→ Amendment 26 [15th Edition, Annex 9]

Key Current Issues (e.g.)

→ API Standard

→ Non-compliance with SARPs

→ Streamlining of Annex 9

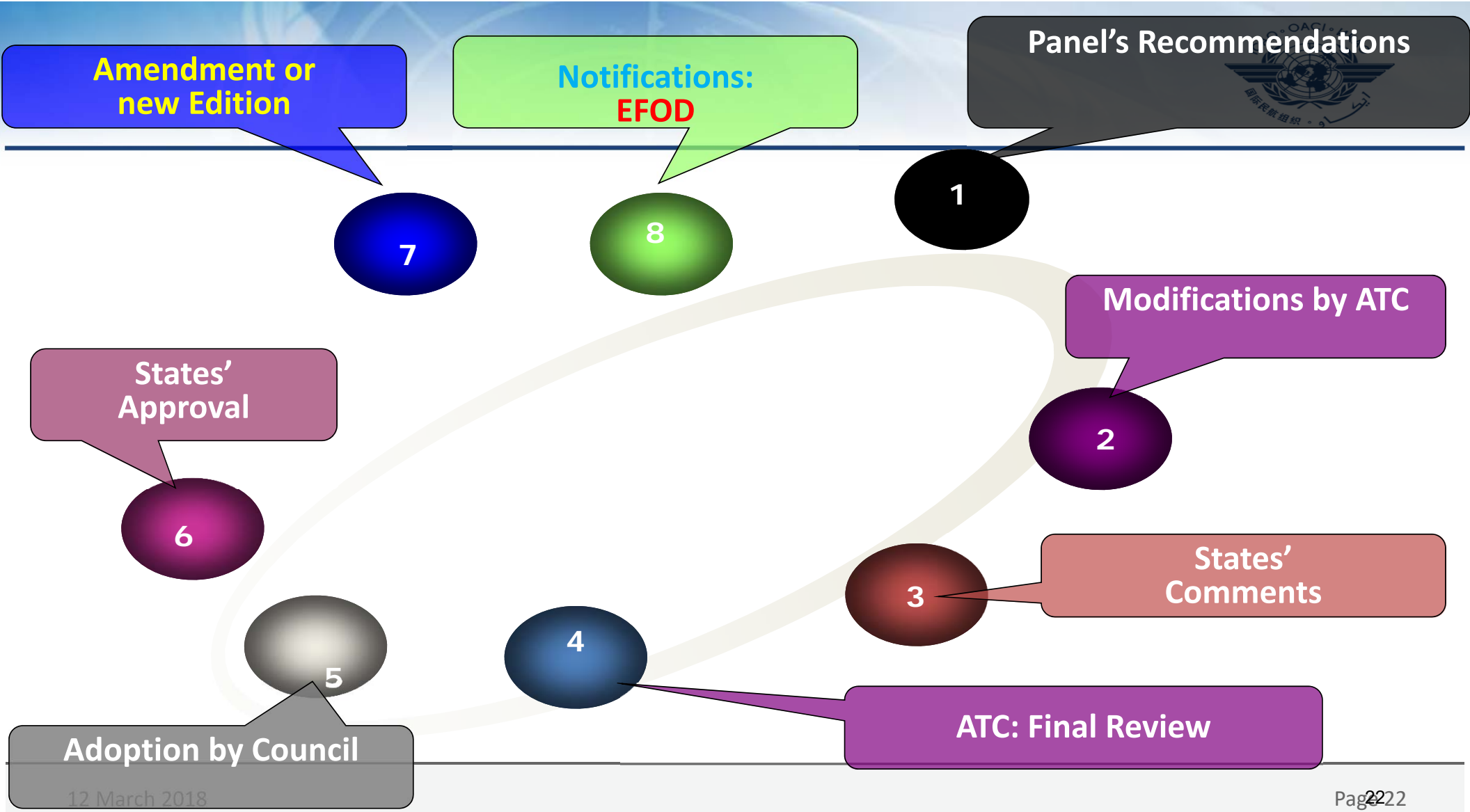
→ Aircraft accident victims & their families

→ Global Aviation Facilitation Plan (GAFP)



Amendment 26

- FALP/9, 4 to 7 April 2016: Proposals to amend Annex 9
 - Machine Readable Travel Documents (MRTDs), the transport of minors by air, passenger data exchange systems and the passenger manifest
- Amendment 26 adopted by Council on 16 June 2017
 - Convention, Article 54 (Mandatory functions of Council)
 - Convention, Article 90 (Adoption & amendment of Annexes)
 - 2/3rds vote; amendment effective 3 months after submission to States unless majority disapprove
- Effective date: 23 October 2017
- Applicable date: 23 February 2018





CHAPTER 3, SECTION Q: MINORS (2 Standards, 5 RPs)

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

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

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

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

3.84 Contracting States shall . . . ensure that aircraft operators establish a programme for the handling of unaccompanied minors travelling under their supervision.

[+ 2 Standards in Chapter 5]



9. PASSENGER DATA EXCHANGE SYSTEMS

- FALP proposed a new Chapter 9: increase in the number of provisions relating to passenger data exchange
- Four Sections:
 - A. General; B. Advance Passenger Information (API) (incl. iAPI)
 - C. Electronic Travel Systems (ETS)
 - D. Passenger Name Record (PNR) Data
- **A. General**
 - 4 Recommended Practices (“operational”)
 - States should create a “Passenger Data Single Window” facility for exchange of API, iAPI & PNR data

[Definition of PDSW; RP 9.7]



B. Advance Passenger Information (API)

9.5 Each Contracting State shall establish an Advance Passenger Information (API) system. [*Note. UNSCR 2178, para. 9*]

→ [UNSCR 2396 \(21 Dec 2017\), paragraph 11](#)

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. [*4 Notes: What is API? UN/EDIFACT PAXLST . . .*]



9.7 Recommended Practice.— Each Contracting State developing legislation . . . to consider developing aligned **regulations** that meet the needs of all involved agencies, define a **common set of API data elements** . . . and appoint **one government agency** to receive API data on behalf of all other agencies.

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

+ Definitions for API and iAPI + Other SARPs



C. Electronic Travel Systems (ETS)

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.

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

+ other “operational” RPs.



D. Passenger Name Record (PNR) Data

9.22.1 Contracting States requiring the transfer of PNR data shall adopt and implement the **EDIFACT-based PNRGOV message** as the primary method for airline-to-government PNR data transferal to ensure global interoperability.

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.

[→State letter EC6/3-17/126 (re. 9.22.1, 30 Nov 2017)]



Automated Border Control (ABC) (Chapter 3)

3.34.4 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.

3.34.5 Recommended Practice.— Contracting States utilizing ABC systems should . . . 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's . . . **SLTD database** . . . to determine eligibility for border crossing.



PASSENGER MANIFEST

Operator

Marks of Nationality and Registration* Flight No. Date

Point of embarkation Point of disembarkation

(Place) (Place)

Surname and initials	Nationality	For use by operator only	For official use only
.....	
.....	
.....	
.....	
.....	

Note.— In cases of more than one nationality, only one need be supplied, consistent with the valid travel document



PART II: LATEST DEVELOPMENTS & KEY CURRENT ISSUES

~~Latest Developments~~

~~→ Amendment 26 [15th Edition, Annex 9]~~

Key Current Issues (e.g.)

- API Standard
- Non-compliance with SARPs
- Streamlining of Annex 9
- Aircraft accident victims & their families
- Global Aviation Facilitation Plan (GAFP)



1. API Standard

- First step: to enact legislation/regulations/etc.
- Areas to be addressed in legislation (examples):
 - UN/EDIFACT PAXLST for API transmission (9.8, 9.9, 9.6 Notes)
 - Purposes for which API required (**API Guidelines; A39-20**)
 - ▶ Improve **clearance** at border controls; Combat **illegal migration**; More effective **allocation** of border control **resources**; improve/enhance **aviation security**; fight **against terrorism**: e.g., UN SC Res 2178 (2014), 2309 (2016), *2396 (2017)*
 - Data elements required (9.8, 9.7)
 - “Passenger Data Single Window” to receive API transmissions (**RP 9.1; Definition; RP 9.7**)



- Internal coordination among Government agencies (8.17-8.19; 9.7; API Guidelines): Customs, immigration, police, border security, etc.
- Data privacy issues (A39-18, Appendix C, para. 8; Declaration on Aviation Security; A39-20, Appendix D)
- Operational aspects (Standards 9.11, 9.13 & RP 9.2, 9.3, 9.4, 9.10, 9.12, 9.16)

2. Non-compliance with SARPs

- a) Collect and assess rate of compliance;
- b) Determination of reasons for non-compliance with SARPs; and
- c) Development of strategies to assist State compliance



3. Streamlining of Annex 9

- a) Identification of common outcomes and themes in Annex 9;
- b) Determination of continued usefulness and relevance of SARPs in light of changes in technology and the needs of States; and
- c) Reorganization and simplification of SARPs
 - provide a simplified set of enhanced performance-based SARPs
 - keep existing material useful, relevant and targeted



4. Aircraft accident victims & their families

- A39-27 (2016): “Assistance to **victims of aviation accidents** and their families”
 - States urged to inform ICAO, through CC in EFOD, of level of implementation of Annex 9 [RP 8.46]

5. Global Aviation Facilitation Plan (GAFP)

- FALP WG on GAFP: Provide a report on the **viability** of a GAFP
 - General idea of Plan: examine concepts and principles for a goal-based plan to enhance facilitation worldwide by fostering collaboration among Member States & mobilizing relevant international stakeholders



THANK YOU!

QUESTIONS?