FACILITATION PANEL (FALP)

SEVENTH MEETING

Montréal, 22-26 October 2012

Agenda Item 5: Amendments to Annex 9

CONTINGENCY ADVANCE PASSENGER INFORMATION SYSTEMS

(Presented by Canada on behalf of IATA CAWG)

SUMMARY

Currently, ICAO Annex 9, Chapter 3, Section K – *Entry procedures and responsibilities* refers to Advanced Passenger Information (API) only. However, there are several methods of exchanging passenger data in use between Contracting States and aircraft operators. Not all methods have been described yet, nor has the issue of the appropriate response to system outages been addressed within the Annex. A separate Working Paper will be presented to address interactive API (iAPI) systems and to recommend specific modifications to the Annex.

The focus of this Working Paper is to draw attention to the need to address operational issues that arise during periods where, for technical reasons, passenger data cannot be transmitted, and to support the need for contingency planning as part of any passenger data exchange program. Therefore, IATA's Control Authorities Working Group (IATA/CAWG) seeks to improve contingency plans during system disruptions by adding recommended practices to this section of the Annex.

The purpose of these recommendations is to facilitate the system's return to standard operations as soon as possible.

Action by the FAL Panel:

The FAL Panel is invited to consider the proposals described in this paper and agree that Annex 9 should be amended, as set out in the Appendix.

1.   **INTRODUCTION**

1.1   The IATA/Control Authorities Working Group (IATA/CAWG) was established in 1987, primarily as a forum for on-going dialogue between Airlines and Immigration officials in respect of the control of illegal migration. Whilst the original focus was on inadmissible passengers, IATA/CAWG now

deals with many key areas of passenger facilitation. Twenty-one (21) Contracting States, along with a representative from a national airline from each State are presently represented on the IATA/CAWG.

1.2   The members of IATA/CAWG are of the opinion that the provisions of Annex 9 relating to passenger information exchange should be enhanced for the benefit of both the public authorities and the aviation industry.

2.   DISCUSSION

2.1   ICAO Annex 9, chapter 3 Section K, *Entry procedures and responsibilities*, does not address system outages or contingency procedures relating to passenger data exchange programs. System outage contingency planning is essential for all parties, and when properly designed and implemented, will support faster recovery and return to normal operations. There are many examples where local contingency measures have worked effectively for both Governments and aircraft operators in situations where the API or interactive API system was temporarily unavailable.

2.2   Contracting States have suggested that contingency measures are most effective when all necessary provisions are prepared and communicated in advance to both Contracting States and aircraft operators. Further, adopting such recommendations within Annex 9 will encourage commonality and interoperability in the processes that are adopted by the various States.

3.   RECOMMENDATIONS

3.1   The members of the IATA CAWG recommend that the Panel, after careful review, adopt the proposals for new Recommended Practices as set forth in the Appendix to this paper, and agree to their incorporation in Chapter 3, Section K. The exact location should be determined by the ICAO Editing office.

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APPENDIX

Amend Annex 9 as follows:

3.47.**XX** **Recommended Practice** - *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.*

3.47.**XX** **Recommended Practice** - *Contracting States and Aircraft Operators should, where appropriate and, as applicable, on a 24/7 (continuous) basis, provide operational and technical support to analyze and respond to any the system outage or failure in order to return to standard operations as soon as practicable.*

3.47.**XX** **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.*

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