



简化手续专家组 (FALP)

第八次会议

2014 年 11 月 24 日至 28 日，蒙特利尔

议程项目 3：简化手续专家组指导材料工作组的报告

简化手续专家组指导材料工作组的报告

(由新加坡提交)

摘要

简化手续专家组指导材料工作组 (FALP WGGM) 是在第七次简化手续专家组会议 (FALP/7, 2012) 上成立的，并按下列优先顺序负责执行三项特定目标的任务：

- a) 制定一个国家简化手续方案的范例，随后纳入《简化手续手册》(Doc 9957 文件)，包括范例使用的指导材料；
- b) 负责对《简化手续手册》(Doc 9957 文件) 做进一步深入审查；和
- c) 负责对《为身处机场和码头的人员提供指导的国际标志》(Doc 9636 文件) 做进一步深入审查，以便对其更新，并鉴于自其发布以来航空及海上运输的发展，确定是否需要新的标志。

本报告对于简化手续专家组指导材料工作组的工作进展做了更新。在会议闭会期间，国家简化手续方案范例的制定工作已经完成，《简化手续手册》(Doc 9957 文件) 和《为身处机场和码头的人员提供指导的国际标志》(Doc 9636 文件) 两份文件的审议也有进展。

简化手续专家组的行动：

请简化手续专家组：

- a) 审议本份报告所附的国家简化手续方案的范例，并提出任何建议；
- b) 通过国家简化手续方案范例的最后版本，以便将其纳入《简化手续手册》(Doc 9957 号文件)。
- c) 审议在审查《简化手续手册》(Doc 9957 号文件) 和《为身处机场和码头的人员提供指导的国际标志》(Doc 9636 文件) 两份文件方面所取得的进展。

1. 引言

1.1 2012年10月22日至26日，在简化手续专家组第七次会议上(FALP/7)，提交了三份工作文件，建议成立简化手续指导材料工作组。欧洲民航会议(ECAC)在WP/12号文件当中，建议成立一个工作组，以修订《为身处机场和码头的人员提供指导的国际标志》(Doc 9636文件)。欧洲民航会议(ECAC)在W/P15号文件当中，建议设立一个工作组以便对《简化手续手册》(Doc 9957号文件)进行深入审查。新加坡在W/P20号文件当中，建议设立一个工作组以便对国家简化手续方案范例的内容制定指导材料。考虑到这些建议具有一个共同主题，即为制定与加强指导材料之目的成立一个新的工作组，专家组认为，为解决提出的各种问题，建立一个单独的指导材料工作组既合乎情理也更有效率。这个工作组随后成立，并按照下列优先顺序负责执行三项特定目标的任务：

- a) 制定一个国家简化手续方案的范例，随后纳入《简化手续手册》(Doc 9957文件)，包括范例使用的指导材料；
- b) 负责对《简化手续手册》(Doc 9957文件)做进一步深入审查；和
- c) 负责对《为身处机场和码头的人员提供指导的国际标志》(Doc 9636文件)做进一步深入审查，以便对其更新，并鉴于自其发布以来航空及海上运输的发展，确定是否需要新的标志。

1.2 2013年2月19日至21日，在新加坡召开了简化手续专家组指导材料工作组(FALP WGGM)会议。在这次会议上建立了三项工作流程，每个工作流程负责简化手续专家组指导材料工作组(FALP WGGM)三项任务其中之一。三项工作流程的负责人分别是：

- a) 荷兰的Diantha Raadgers女士和新加坡的Sherman Koh先生，担任制定国家简化手续方案范例的共同负责人；
- b) 瑞士的Frederic Rocheray先生，担任审查《简化手续手册》(Doc 9957文件)工作流程的负责人；和
- c) 意大利的Cinzia Mariani女士，担任审查为《为身处机场和码头的人员提供指导的国际标志》(Doc 9636文件)工作流程的负责人。

2. 工作进展的最新报告

制定国家简化手续方案的范例

2.1 通过电子邮件进行两轮协商之后，已经制定出一个国家简化手续方案范例。它包含了指导各国如何遵守《国际民用航空公约》附件9—《简化手续》标准8.17、8.18和8.19(解释性说明作为指导附加到国家简化手续方案范例的相关部分)。同时还认识到，国家简化手续方案范例不是遵守标准8.17、8.18和8.19的唯一手段。还有必要对国家简化手续方案范例文件的基本要素和内容进行修改，以满足各个国家内部不同的法律和行政结构。

2.2 国家简化手续方案范例见附录。

对《简化手续手册》(Doc 9957 文件)进行深入审查

2.3 《简化手续手册》(Doc 9957 文件)的审议工作已经取得进展。第一阶段,已经向由欧洲民航会议(ECAC)成员国组成的一个研究小组散发《简化手续手册》以征求意见。由于段落与附件 9 的标准和建议措施编号不一致,使两份文件之间直接相互参照困难,因此对《简化手续手册》的各个段落重新编号。前言和引言部分也被重新改写和重新调整,并加入了一个目录。同时编入的还有一个与内容相符的结构,以便指导《简化手续手册》未来的起草工作。第二阶段,已向简化手续专家组指导材料工作组散发《简化手续手册》。所收到的意见目前正在分析并被编入《简化手续手册》。

2.4 负责《简化手续手册》审查的工作流程将继续其工作,包括与简化手续专家组成员协商,并在简化手续专家组第九次会议之前完成审查。

对《为身处机场和码头的人员提供指导的国际标志》(Doc 9636 文件)进行深入审查

2.5 负责审查《为身处机场和码头的人员提供指导的国际标志》(Doc 9636 文件)的工作流程将同国际海事组织(IMO)和其他标准化组织,例如国际标准化组织(ISO)合作执行其任务。已同国际海事组织(IMO)取得联系,该组织已表示有兴趣参加这项审查工作。已要求于 2016 年 3 月对文件进行讨论。

2.6 因此,工作流程将致力于在 2016 年 3 月完成《为身处机场和码头的人员提供指导的国际标志》(Doc 9636 号文件)的审查,以期向简化手续专家组第九次会议汇报结果。

3. 建议

3.1 请简化手续专家组:

- a) 审议本文件所附的国家简化手续方案范例,并提出任何建议;
- b) 通过国家简化手续方案范例的最后版本,以便将其纳入《简化手续手册》(Doc 9957 文件);
和
- c) 审议在审查《简化手续手册》(Doc 9957 文件)和《为身处机场和码头的人员提供指导的国际标志》(Doc 9636 号文件)两份文件方面所取得的进展。

DRAFT

13 November 2014

[DRAFT]

**MODEL NATIONAL
AIR TRANSPORT
FACILITATION PROGRAMME**

[insert date of issue]

DRAFT

Record of Amendments

This document will be subject to amendment from time to time. Such amendments are to be controlled through the Record of Amendments included in this document. The coordinating body for amendments is the [\[insert relevant body\]](#).

Amendment No.	Effective Date	Date Entered	Entered by

Table of Contents

Foreword	5
Introduction	6
Facilitation	6
Purpose of the National FAL Committee and the NATFP	6
Benefits of a NATFP	6
Signature and version number	7
Definitions	8
Objectives of the National Air Transport Facilitation Programme	9
Legislation	10
International Regulations	10
Regional Legislation and Recommendations	11
National Legislation	11
Organisation and Management of the National Air Transport Facilitation Programme ...	12
National Air Transport Facilitation Committee	12
Terms of Reference	12
Membership	13
Tasks and Work Programme	14
Airport Facilitation Committees	15
Coordination of the National Air Transport Facilitation Programme	17
Roles, Functions and Responsibilities of Agencies in Air Transport Facilitation	18
Designated Authority Responsible for the NATFP	18
Appropriate Authority for Security	19
Customs Authority	20
Immigration Authority	20
Health Authority	22
Agriculture Authority	23
Aircraft Operators	24
Airport Operators	24
Ground Handling Agents	25
Agencies Responsible for Implementation of the Security-Related Provisions of Annex 9	28
Entry and Departure of Aircraft	28
Entry and Departure of Persons and their Baggage	28

Identification and Entry of Crew and Other Aircraft Operators' Personnel	30
Inadmissible Persons and Deportees	30
Attachment 1 National Facilitation Committee Rules of Procedure	32

Foreword

The model National Air Transport Facilitation Programme (NATFP) contains guidance on how States may comply with Standards 8.17, 8.18 and 8.19 of Annex 9 to the Convention on International Civil Aviation, Facilitation. In this regard, explanatory notes are appended to relevant portions of the model NATFP as guidance. It is important to note that the model NATFP is not the only means of compliance. Other methods of meeting Standards 8.17, 8.18 and 8.19 in Annex 9 may be equally appropriate. Modification to the elements and content proposed in this model NATFP may be necessary to meet the varied legal and administrative structures within individual States.

The NATFP should define the roles, functions and responsibilities of all entities involved in air transport facilitation activities. A good practice could be also to include the security-related standards of Annex 9 in the NATFP.

Introduction

Explanatory note: A template for the introduction of the NATFP is provided below. States may wish to develop their own introduction section of their NATFP. States should ensure that the NATFP is signed by the person/entity responsible for implementing the programme.

Facilitation

Facilitation may be defined as a combination of measures and human and material resources intended to improve and optimize aircraft, crew, passenger, cargo and mail and stores flows through airports while ensuring compliance with relevant international and national legislation.

Purpose of the National FAL Committee and the NATFP

The establishment of the National Air Transport Facilitation Committee (hereafter the National FAL Committee) and of the NATFP is an ICAO Standard, see Standard 8.19 and 8.17 respectively in Annex 9 (Thirteenth edition, July 2011) to the Convention on International Civil Aviation.

The objective of both the Committee and the NATFP is to maintain a safe, secure civil aviation environment in which services are delivered in a reliable and efficient manner.

The purpose of the NATFP is to provide a framework to guide the improvement and optimization of aircraft, crew, passenger and cargo flows through airports and to improve customer service, while maintaining appropriate security requirements. The Committee provides a forum for consultation and information sharing about facilitation matters amongst Government stakeholders, Government representatives of other air transport related communities and the private sector.

While committed to facilitating efficient clearance for arriving and departing aircraft, [NAME STATE] shall maintain high-quality security, effective law enforcement and proficient customer service.

Activities aimed at accomplishing these and related tasks are described in the NATFP.

Benefits of a NATFP

The NATFP aims to address and harmonise the interests of all entities involved in facilitation, e.g., Public Authorities, aircraft operators, commercial air transport users and

airports etc. to promote the growth of a safe, reliable and viable air transport industry. The benefits it hopes to achieve are:

- a) to maintain or increase the quality of aircraft, crew, passenger and cargo flow;
- b) to maintain or increase the level of passenger service and the cost-effectiveness and efficiency of processes and procedures;
- c) to facilitate, accommodate and encourage the growth of air transport; and
- d) to contribute to a positive experience meeting the needs of the travelling public.

The NATFP of [NAME STATE] is implemented through the activities of the National FAL Committee. [NAME ENTITY] is the authority designated by [NAME STATE] within its administration to be responsible for the development, implementation and maintenance of the NATFP and for the establishment of a National FAL Committee.

The National FAL Committee is chaired by [NAME ENTITY].

Signature and version number

This document is regularly updated, for example when national or international regulations (e.g., ICAO Annex 9 Standards and Recommended Practices) make this necessary. The coordinating body for amendments is [NAME ENTITY]. Amendments will be recognisable in version numbers.

Signed on:

Director General or other title

Civil Aviation Authority/Ministry/Department

Explanatory note — Status and publication of the NATFP - Depending in part on the legal status of the NATFP (e.g., law, decree, ministerial decision, administrative arrangements), the State concerned may decide to make it public or to limit its circulation, for example only to entities concerned. However, attention is drawn to the probable benefits of ensuring a large circulation of the NATFP as this would foster its implementation.

Definitions

Explanatory note – States may wish to define key terms to establish their meaning, for the purpose of the NATFP.

Objectives of the National Air Transport Facilitation Programme (NATFP)

Explanatory note – States should clearly define the objectives of their NATFP.

The objectives of the NATFP are to coordinate between relevant Ministries, agencies and industry to:

- Ensure the implementation of the Standards and Recommended Practices (SARPs) contained in Annex 9 to the Convention on International Civil Aviation, Facilitation;
- Enhance processes and procedures to facilitate the movement of aircraft, crews, passengers, cargo, mail and stores by removing unnecessary obstacles and delays, in addition to enhancing efficiency, productivity and service quality of civilian air transport services; and
- Proactively support the development of innovative strategies to address facilitation issues in the air transport industry and civil aviation environment.

Explanatory note — This does not mean that the NATFP provides for, or that the National FAL Committee is responsible for, the implementation of regulations. Neither does it imply a change in the responsibilities of the participating Ministries or Agencies and in their designated areas of competence. The purpose of the NATFP is primarily to organize the distribution of information and the coordination of the abovementioned tasks.

Legislation

Explanatory note – States may wish to list the various international conventions; regional and national legislation and regulation, where applicable, which provides the basis for implementation of the NATFP.

The NATFP is based on International, *[regional, if applicable]* and National laws, regulations and recommendations. The establishment of the NATFP and the National FAL Committee is required by, and based on Standards 8.17, 8.18 and 8.19 of Annex 9 to the Convention on International Civil Aviation, Facilitation, and is implemented in application of *[insert reference to National Legislation, regulation or decision as appropriate]*.

The following legislation, at the international, *[regional, if applicable]* and national levels are taken into account by the NATFP.

International Regulations *[examples listed below]*

- Chicago Convention on Civil Aviation in particular Articles 10, 13, 14, 22, 23, 37 and 38
- Annex 9 to the Chicago Convention – Facilitation (13th edition, July 2011)
- Convention for the Unification of Certain Rules for International Carriage by Air (the Montreal Convention)
- International Convention on the simplification and harmonization of Customs procedures (Kyoto Convention)
- SAFE Framework of measures
- World Health Organisation - International Health Regulations (IHR)

[insert other international instruments, as relevant]

Regional Legislation and Recommendations *[if applicable]*

[list relevant legislation, per sector or subjects addressed. Alternatively, the legislation can be provided as an Annex that can be periodically updated as needed]:

- ...
- ...
- ...

National Legislation

[list relevant national legislation, per sector or subjects addressed]:

- ...
- ...
- ...

The NATFP is given legal force by virtue of *[Mention National Legislation, regulation or decision]* ; **OR** Legal force is held by individual members of the NATFP.

[Depending on the actual arrangements of the State, either of the two suggested sentences, or a different formulation may be used.]

The National FAL Committee and its terms of reference are established by *[provide reference of national legislation, regulation, or decision]*. If appropriate

Organisation and Management of the National Air Transport Facilitation Programme

Explanatory note – This section addresses Annex 9 Standard 8.19 on establishing a National Air Transport Facilitation Committee, and Airport Facilitation Committees, or similar coordinating bodies, for the purpose of coordinating facilitation activities. It addresses the responsibilities of the National Air Transport Facilitation Committee and how it can interact with Airport Facilitation Committees.

National Air Transport Facilitation Committee

The National FAL Committee is established to implement and manage the provisions of the NATFP in *[NAME STATE (or STATES in case of National FAL Committee common to several States)]*.

Note — There are security bodies /committees which may address tasks also dealt within the NATFP. As the aim is to prevent duplication, regular coordination should take place the National FAL Committee and counterparts in the Security Committees, and through members participating in both groups. The security committees concerned should either form part of the National FAL Committee or be updated on the work of the National FAL Committee, which in turn may refer issues of common interest to Security Committees for further consideration.

Terms of Reference

The National FAL Committee meets *[frequency to be determined]*, or as often as the Chairperson may determine to be necessary.

The responsibilities of the National FAL Committee are to:

1. Ensure coordination between relevant Ministries, agencies and industry to remove unnecessary obstacles and delays and improve efficiency and service levels of civilian air transport services;
2. Develop and implement the provisions of the NATFP in accordance with the provisions of Annex 9 to the International Convention on Civil Aviation, Facilitation;

3. Consider recommendations to enhance facilitation of civil air transport made by relevant entities;

Explanatory note – Recommendations to enhance facilitation of civil air transport may be made to the National FAL Committee by entities which need not be members of the Committee.

4. Encourage the development of best practices in all areas of facilitation of civil air transport (e.g. immigration, customs, handling of persons with disabilities);
5. Discuss proposed changes to regulations concerning facilitation of civil air transport (e.g. amendments to ICAO Annex 9);
6. Inform departments, competent agencies and other organisations concerned of significant relevant facilitation developments in the field of civil aviation (e.g. outcome of ICAO Facilitation Panel) and seek their consideration of and make recommendations to them regarding issues related to the NATFP; and
7. Coordinate with the National Civil Aviation Security Committee (NCASC) on security related elements of facilitation matters.

Note —as a good practice the Chairperson of the National FAL Committee could be a member of the National Civil Aviation Security Committee, coordinate closely with the Chairperson of the National Civil Aviation Security Committee or the National Civil Aviation Security Committee representative/member could be a regular member of the National FAL Committee.

There are various groups and forums which address several aspects of facilitation. Examples (not limited) are: Airport User Committee (Airport or Aircraft Operators Committee), Airport Facilitation Committee, Airport Security Committee etc. There should be interaction or information dissemination between these committees and members of the National FAL Committee.

Membership

The National FAL Committee is composed of government officials representing the main interests involved in the various domains of facilitation, representatives of the aviation

industry and other representatives¹, permanent or temporary, that can assist the work of the Committee. Alternates may be designated by their respective organisations. Such persons should be given sufficient authority to speak on behalf of their organisations and to initiate necessary action in support of the National FAL Committee’s work. Experts may be invited by the Chairperson of the National FAL Committee to advise or contribute on specific subjects. To ensure the most effective communication between the government and the civil aviation industry (including foreign airlines), representation by the industry on the National FAL Committee is to be encouraged.

The following Government Departments or Agencies may be members of the National FAL Committee: *[choose/add relevant members; alternatively States may wish to list the designated members in an Annex]*

- Designated Authority Responsible for the NATFP
- Appropriate Authority for Security;
- Immigration Authority;
- Health Authority;
- Agriculture Authority;

The following organisations may also be members of the National FAL Committee, represented either at an individual level or through a trade organisation:

- Airline operators;
- Ground handlers;
- Forwarders and express carriers; and
- Airport operators;

The National FAL Committee has detailed work procedures (**Attachment 1**).

¹ “Other representatives” refer to other entities which may play an advisory role including governmental agencies or non-governmental organisations which promote international tourism and trade.

Tasks and Work Programme

Explanatory note – States may wish to exercise flexibility on the work programme and tasks of the National FAL Committee to adapt to the changing civil aviation environment. Therefore, States may wish not to include the work programme within the NATFP. Alternatively, States may wish to refer to the work programme in a separate document. Nonetheless, an example of a work programme is included here to serve as guidance for States.

The National FAL Committee shall:

- Regularly review the level of civil aviation facilitation at international airports in the country;
- Consider and recommend solutions to civil aviation facilitation issues;
- Stay informed about the operations of the Airport Facilitation Committees to ensure that practices and/or procedures employed at the airports are in accordance with applicable legislation and ICAO SARPs;
- Consider proposed changes in international legislation or in the recommended practices issued by international fora and to give input to formulate the national policy position;
- Review ICAO Annex 9 provisions and their implementation by way of practices and procedures at the national level, in order to establish compliance and/or file differences with ICAO Annex 9 SARPs by the designated authority [\[Note: Please refer to Page x of Annex 9 on the actions taken by Contracting States in relation to Notification of Differences, Promulgation of Information, and Use of the text of the Annex in national regulations\]](#);
- Systematically review the differences filed in ICAO as regards ICAO Annex 9 as well as any legislation or regulations mandating the practices or procedures giving rise to such differences with a view to working to eliminate them, either by proposing changes in the practices and procedures concerned; or where necessary, by proposing changes in the relevant legislation or regulations;
- Identify and share information from each participating entity on developments in their respective work field which may affect facilitation;

- Ensure Airport Facilitation Committees meet regularly to monitor and evaluate progress.

The National FAL Committee lays down its priorities and work agenda in a [*frequency to be determined*] work programme. The National FAL Committee defines and implements its work programme on a regular basis.

The National FAL Committee may organise its work in dedicated subgroup meetings, for efficiency and effectiveness purposes. Results of subgroups are reported to the National FAL Committee.

Airport Facilitation Committees [*or insert name of similar set-ups*]

Explanatory note – Airport Facilitation Committees, or similar set-ups, should be established to implement the National Air Transport Facilitation Programme at the airport level.

Airport Facilitation Committee(s) should be established at each civil airport for the purpose of coordinating civil aviation facilitation matters at the airport-level.

Terms of Reference of the Airport Facilitation Committee (AFC) are:

- a) to implement the National Air Transport Facilitation Programme at the airport level;
- b) to examine problems arising in connection with the clearance of aircraft, passengers, baggage, cargo, mail and stores and where possible provide and effect solutions to the problems which may arise at the airport concerned; and
- c) to make recommendations as appropriate to the National FAL Committee or Ministry/agency/entity concerned, for the implementation of proposals which cannot be effected by the Airport Facilitation Committee.

The Airport Facilitation Committees (chaired by the Airport Operator) shall be composed of representatives of the major stakeholders in civil air transport facilitation at airports which may include but not limited to: civil aviation authority, immigration, customs, airlines, security agencies, postal and telecommunication services, ground handling agencies. The Airport Facilitation Committees shall meet at a frequency to be determined.

The Airport Facilitation Committees shall provide updates of airport facilitation matters to the National FAL Committee and/or designate a representative to serve as a member of the National FAL Committee and may raise civil air transport facilitation issues, which cannot be resolved at operational level to the National FAL Committee.

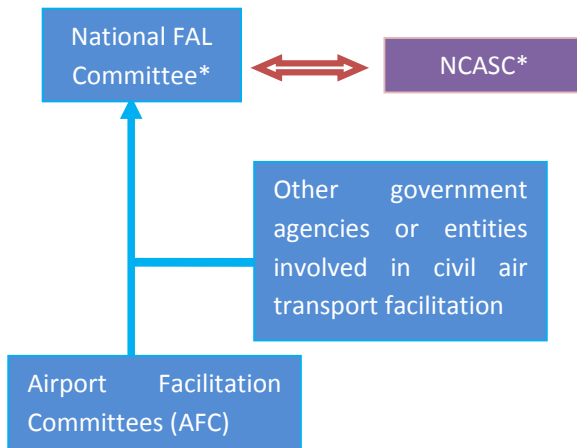
The respective organisations who are members of the National FAL Committee shall also provide updates of the facilitation matters, that they are responsible for at the meetings of the National FAL Committee and raise any civil air transport facilitation issues faced by their organisation(s) in the implementation of the NATFP.

Coordination of the National Air Transport Facilitation Programme (NATFP)

Explanatory note – This section provides an example of how the implementation of the NATFP can be coordinated.

For matters affecting both facilitation and aviation security, the NATFC shall co-ordinate and communicate with the the National Civil Aviation Security Committee (NCASC) and vice versa to ensure prompt resolution of issues.

The following co-ordination framework shall be adopted in the implementation of the NATFP:



*Certain members of the FAL Committee should also be members of the Security Committee.

Roles, Functions and Responsibilities of Agencies involved in Air Transport Facilitation

This section describes the allocation of responsibilities for the implementation of facilitation matters. It sets out the tasks relating to facilitation issues allocated, within their area of competence, to national authorities or agencies.

Explanatory note – The organisation of State services at the national level is a matter for the State concerned. Consequently, a State may decide to allocate responsibilities in facilitation matters in accordance with the organisation of its services.

Explanatory note - This section is not meant as a mandatory allocation of responsibilities for States to adopt, or a prescriptive guideline. States may take another approach to how the tasks are managed and the approach can be reflected in the section accordingly.

Explanatory note –States may wish to include facilitation-related roles/functions of agencies/organisations under the NATFP. These roles/functions may include:

- (i) Participation / Co-ordination with the National FAL Committee;*
- (ii) Communication of National FAL Committee and ICAO-related material;*
- (iii) Implementation of Annex 9 SARPs;*
- (iv) Timely communication of planned differences to the National FAL Committee;*
- (v) Ensuring that every effort is made to ensure compliance with Annex 9 and avoid filing differences with Annex 9 SARPs;*
- (vi) Communication and co-ordination as required with representatives to ICAO.*

Designated Authority Responsible for the NATFP *[Insert exact name of authority]*

[Insert name of authority e.g. CAA, MOT] is the designated authority and is the overall co-ordinator of the NATFP. The Chairperson of the National FAL Committee is responsible for convening both the regular and ad hoc meetings of the National FAL Committee, and for ensuring that policies and/or regulations proposed by the National FAL Committee are considered in national legislation by the authority concerned. The designated authority coordinates with all responsible Ministries, who keep full responsibility for their specific areas of competence.

The Facilitation responsibilities of the Designated Authority are therefore:

- a) To work with the Chairperson/ representative of the National Civil Aviation Security Programme (NCASP) to achieve and maintain consistency between the NATFP and NCASP;
- b) To provide Secretariat support to the National FAL Committee;
- c) To periodically review full compliance with the SARPs within Annex 9 to the Chicago Convention and if necessary file differences and notify ICAO;
- d) To ensure operations are carried out in such a manner as to accomplish effective compliance with the laws of States and productivity for the operators, airports and government (inspection) agencies involved.
- e) To undertake any other matters related to air transport facilitation as directed by the National FAL Committee Chairperson.

Appropriate Authority for Security *[Insert exact name of authority]*

Specific responsibilities in the area of civil air transport facilitation to be considered are:

- a) To establish and ensure the implementation of a National Civil Aviation Security Programme to safeguard civil aviation against acts of unlawful interference;
- b) To define and allocate tasks and coordinate activities between the departments, agencies and other organizations of the State, airport and aircraft operators, air traffic service providers and other entities concerned with, or responsible for, the implementation of various aspects of the National Civil Aviation Security Programme;
- c) To arrange for the supporting resources and facilities required by the aviation security services to be available at each airport serving civil aviation.
- d) coordinate and work closely with other government agencies, aircraft and airport operators in the application of aviation security measures in such a manner as to minimise unnecessary delays and inconvenience to the movement of passengers, baggage, cargo and aircraft;

- e) arrange for security controls and procedures to have minimal interference with or delay to the activities of civil aviation, whenever possible, provided the effectiveness of these security controls and procedures is not compromised;
- f) ensure the use of efficient screening and examination techniques in examination of travellers and their baggage, cargo and aircraft whenever possible to facilitate aircraft departure;
- g) allow the adoption of procedures, facilities and initiatives to facilitate movement of travellers, baggage, cargo and aircraft so long as all necessary security measures and other control requirements are met;
- h) To advise the Chairperson of the NATFC on security processes or implications for consideration as and when required;
- i) To participate in the National FAL Committee meetings.

Customs Authority *[Insert exact name of authority]*

Specific responsibilities in the area of facilitation to be considered are:

- a) Surveillance of arriving/departing travellers, cargo and mail in order to ensure adherence to national legislation;
- b) In pursuance of Annex 9 SARPs, the Customs Authority should provide for the provision of electronic submission of information required for arrival and departure of cargo;
- c) Introducing simplified procedures for release of goods to exit or enter the country;
- d) Seizure of all prohibited goods and detention of restricted goods (pending provision of relevant certificates where applicable);
- e) Participation in the National FAL Committee and - if required - in other Facilitation related meetings; and

- f) Provision of sufficient services without charge to operators during established working hours.

Immigration Authority *[Insert exact name of authority]*

Specific responsibilities in the area of facilitation to be considered are:

- a) *[this sentence is not be applicable for States where the responsibility of passport issuance falls to other Public Authorities, e.g. Ministry of Foreign Affairs, Security, Interior, Home Affairs, etc.]* Issuance of travel documents and ensuring that machine readable travel documents strictly adhere to the ICAO specifications in ICAO Doc. 9303 in order to ensure readability world-wide in machine readers of different manufactures;
- b) Checking the validity and acceptability of travel documents at border control points;
- c) *[where embarkation/diseembarkation cards are required]* Ensuring that the embarkation/diseembarkation card conforms to the Standards of the ICAO format set out in Annex 9 to the Chicago Convention;
- d) Detection and prevention of travel by improperly documented person as they may pose a threat to civil aviation and the State;
- e) Should international or national legislation permit, develop and adoptan active information sharing policy with relevant stakeholders and regional States to protect national borders against negative consequences of illegal immigration;
- f) Assist aircraft operators in the evaluation of travel documents;
- g) Inform the operators of the requirements by the Authority regarding the entry / transit and departure of travellers;
- h) In case of aviation accidents, accept without delay the entry, on a temporary basis, of the experts required for search, rescue, accident investigation and repair or salvage of aircraft in conformity with Annexes 12 and 13 to the Chicago Convention, without having to produce any other travel document, when necessary, other than a passport;

- i) Where a visa is required for investigation experts on a mission related to an accident, it should, when necessary and exceptionally, issue such a visa on arrival or facilitate the expert/s on arrival;
- j) Ensure that the provisions of ICAO Annex 9 are applied with regard to inadmissible persons and deportees;
- k) Participate in the National FAL Committee and - if required - in other facilitation related meetings; and
- l) Provide sufficient services to operators without charge during established working hours.

Health Authority *[Insert exact name of authority]*

According to Article 14 of the Chicago Convention effective measures are taken to prevent the spread of communicable diseases by air. In relation to facilitation, the Health Authority *[Insert exact name of authority]* is responsible for, but not limited to:

- a) Collaborating actively with the World Health Organisation (WHO) and other Countries to ensure that the International Health Regulations (IHR) are effectively implemented;
- b) Detecting events involving disease or death above expected levels for the particular time in all areas of the State;
- c) Reporting all available and essential information immediately to the appropriate level of health care response;
- d) Implementing preliminary control measures (against the spread of the disease) immediately;
- e) Responding promptly and effectively to public health risks and public health emergencies of international concern;

- f) Ensuring dis-insection, disinfection and decontamination of aircraft is done in accordance with the recommendation of WHO and in compliance with IHRs;
- g) Providing adequate facilities for vaccination, quarantine (where necessary) and issuing the necessary certificates;
- h) In collaboration with airport and aircraft operators, ensuring that food preparation, storage, service of food, and water supplies and other items intended for consumption at the airport or aboard aircraft are hygienic and meet the standards set by WHO and the Food and Agriculture Organisation ;
- i) Notifying WHO immediately and in accordance with IHR requirements all essential information related to any health risk of an international nature;
- j) Ensuring accessibility to appropriate medical service including diagnostic facilities so as to allow the prompt assessment and care of ill travellers and airport workers;
- k) Establishing and maintaining a public health emergency contingency plan in order to ensure a prompt response to a public health emergency of international concern;
- l) Ensuring provision of appropriate space, separate from other passengers, to interview suspect or affected persons;
- m) Assessing the health condition, and if necessary, organising quarantine of suspect travellers;
- n) Participating in the National FAL Committee meetings.

Agriculture Authority *[Insert exact name of authority]*

In terms of facilitation, the Agriculture Authority *[Insert exact name of authority]* should ensure:

- a) Plants and animals being exported from or imported into the country meet the regulation for carriage and that they carry the necessary certification from competent agencies;
- b) Close consultations with international Agencies/Institutions regulating food, agriculture and animals are kept in order to be abreast of the latest developments and to update the Airport Facilitation Committee and other stakeholders of developments that make an impact on civil aviation;
- c) When aircraft disinfection is required for animal health reasons, only those methods and disinfectants recommended by the International Office of Epizootics are used;
- d) Declaration of extraordinary measures in case of threat of animal disease; and
- e) Participating in the National FAL Committee.

Aircraft Operators

Aircraft operators should:

- a) Efficiently handle passengers and cargo;
- b) Inform the intending passengers of the specific requirements of the countries passengers intend to visit or transit through;
- c) Take necessary precautions to ensure that passengers are in possession of the required travel documents at the time of embarkation;
- d) Assume responsibility for custody and care of disembarking passengers and crew members from the time they leave the aircraft until they are accepted for examination;
- e) Provide adequate assistance for passengers with special needs including minors, passengers with reduced mobility or disabilities;

- f) Inform airport operators and relevant government agencies, in commercial confidence, of their service, schedule and fleet plans at the airport, to enable rational planning of facilities and services in relation to the traffic anticipated; and
- g) Participate in the National FAL Committee and - if required - in other Facilitation related meetings.

Airport Operators

The airport operators [\[Insert names\]](#) are expected to constantly consult with aircraft operators, control agencies and other appropriate stakeholders in order to ensure that satisfactory facilities and services are provided for rapid handling and clearance, of baggage, passengers, crew, mail and cargo.

The specific facilitation tasks of airport operators include, but are not limited to:

- a) Designing airports in such a manner to enhance airport traffic flow arrangements;
- b) Displaying internationally recommended signs to facilitate passenger's movements within airports;
- c) Provision of flight information displays (FIDs);
- d) Utilisation of specialised security equipment, where necessary, in examining passengers so as to minimise the number of travellers that have to be examined by other means;
- e) Provision of space for facilities required for implementation of public health maintenance, as well as animal and plant quarantine;
- f) Provision of space and facilities for agencies in charge of clearance control on terms not less or more favourable than those which apply to the airport operators or users requiring space and facilities on a comparable scale;
- g) Provision, maintenance and optimization of facilities and services for passengers with special needs including passengers with reduced mobility or disabilities; and

- h) Organisation of Airport Facilitation Committees and/or Airport User Committees.
- i) Participation in the National FAL Committee and - if required - in other facilitation related meetings

Ground Handling Agents

Ground Handling Agencies should:

- a) Co-operate closely with Government Agencies to ensure the smooth flow of passengers, cargo, baggage and mail through the airport facilities; and
- b) Participate in the Airport Facilitation Committee Meetings, as appropriate.

Agencies Responsible for Implementation of the Security-Related Provisions of Annex 9

Explanatory note – As a good practice, States may wish to include a section addressing the security-related Standards of Annex 9. These provisions can be found in the Attachment to Annex 17. Alternatively, States may wish to move this section to an Annex, which would allow for sign off on the specific Annex by the applicable Authority and update of responsibilities over time.

Explanatory note – The organisation of State services at the national level is a matter for the State concerned. Consequently, a State may decide to allocate responsibilities in facilitation matters in accordance with the organisation of its services.

Explanatory note - This section is not meant as a mandatory allocation of responsibilities for States to adopt, or a prescriptive guideline. States may take another approach to how the tasks are managed and the approach can be reflected in the section accordingly.

Entry and Departure of Aircraft

In developing procedures aimed at the efficient clearance of entering or departing aircraft, [insert relevant Authority(s)] shall take into account the application of aviation security and narcotics control measures, where appropriate.

Explanatory note – this addresses Annex 9 Standard 2.2.

Entry and Departure of Persons and Their Baggage

In developing procedures aimed at the efficient application of border controls on passengers and crew, [insert relevant Authority(s)] shall take into account the application of aviation security, border integrity, narcotics control and immigration control measures, where appropriate.

Explanatory note – this addresses Annex 9 Standard 3.2

[insert relevant Authority(s)] shall not extend the validity of their machine readable travel documents.

Explanatory note – this addresses Annex 9 Standard 3.4

[insert relevant Authority(s)] regularly updates security features in travel documents. This would help deter fraudulent use of travel documents including the detection of cases where such documents have been unlawfully altered or replicated.

Explanatory note – this addresses Annex 9 Standard 3.7

[insert relevant Authority(s)] shall establish controls in the creation and issuance of travel documents in order to safeguard against the theft of their stocks and the misappropriation of newly issued travel documents.

Explanatory note – this addresses Annex 9 Standard 3.8

[insert relevant Authority(s)] should incorporate biometric data in their machine readable passports, using one or more optional data storage technologies to supplement the machine readable zone, as specified in Doc 9303, Machine Readable Travel Documents.

Explanatory note – this addresses Annex 9 Recommended Practice 3.9

All passports issued by [insert relevant Authority(s)] shall be machine readable, in accordance with the specifications of Doc 9303, Part 1.

Explanatory note – this addresses Annex 9 Standard 3.10

[insert relevant Authority(s)] shall ensure that the expiration date of passports issued after 24 November 2005 and which are not machine readable falls before 24 November 2015.

Explanatory note – this addresses Annex 9 Standard 3.10.1

[insert relevant Authority(s)] shall assist aircraft operators in the evaluation of travel documents presented by passengers, in order to deter fraud and abuse.

Explanatory note – this addresses Annex 9 Standard 3.31

Aircraft operators shall take necessary precautions at the point of embarkation to ensure that passengers are in possession of the documents prescribed by the States of transit and destination for control purposes.

Explanatory note – this addresses Annex 9 Standard 3.33

[insert relevant Authority(s)] shall seize fraudulent, falsified or counterfeit travel documents together with documents used to impersonate the rightful owner of a document and return the document to the appropriate authorities of the State named as Issuer or to the resident Diplomatic Mission of that State. *[States which have implemented Advance Passenger Information (API) may wish to make a reference to API.]*

Explanatory note – this addresses Annex 9 Standard 3.33bis

Identification and Entry of Crew and Other Aircraft Operators' Personnel

CMCs shall be issued only after a background check has been carried out by or on behalf of [insert relevant Authority(s)]. In addition, adequate controls such as a certification of employment status of an applicant prior to issuance, controls on blank card stock, and accountability requirements for issuing personnel, shall be placed on the issuance of CMCs.

Explanatory note – this addresses Annex 9 Standard 3.67

Entry and Departure of Cargo and Other Articles

Where practicable, in order to improve efficiency, modern screening or examination techniques shall be used to facilitate the physical examination of goods to be imported or exported.

Explanatory note – this addresses Annex 9 Standard 4.7

Inadmissible Persons and Deportees

If [insert relevant Authority(s)] has reason to believe that an inadmissible person might offer resistance to his removal, [insert relevant Authority(s)] shall inform the aircraft operator concerned as far in advance as possible of scheduled departure so that the aircraft operator can take precautions to ensure the security of the flight.

Explanatory note – this addresses Annex 9 Standard 5.8

The removal of deportees from including all obligations, responsibilities and costs associated with the removal shall be the responsibility of [insert relevant Authority(s)].

Explanatory note – this addresses Annex 9 Standard 5.18

[insert relevant Authority(s)], when making arrangements with an aircraft operator for the removal of a deportee, shall make available the following information as soon as possible, but in any case not later than 24 hours before the scheduled time of departure of the flight:

- a) a copy of the removal order as required under the legislation;
- b) a risk assessment by the State and/or any other pertinent information that would help the aircraft operator assess the risk to the security of the flight; and
- c) the names and nationalities of any escorts.

Note. — In order to ensure coordination of facilitation and security standards, attention is drawn to the applicable provisions of Annex 17, Chapter 4.

Explanatory note – this addresses Annex 9 Standard 5.19

ATTACHMENT 1

NATIONAL AIR TRANSPORT FACILITATION COMMITTEE

RULES OF PROCEDURE

1. The Chairperson of the National Air Transport Facilitation Committee (hereafter National FAL Committee) is the *[Position of the Official from the Designated Authority for the National FAL Programme]*.
2. The *[Designated Authority for the National FAL Programme]* provides Secretariat services to the National FAL Committee.
3. Government ministries or agencies and other entities involved in the implementation of the NATFP designate their respective member to the National FAL Committee.
4. Members of the National FAL Committee shall participate in every meeting of the National FAL Committee. A member may be replaced by an alternate, who shall have the same responsibility and exercise the same rights as the regular member. *[States may wish to list Members of the National FAL Committee in a separate Annex.]*
5. Experts with specific knowledge of potentially significant interest to the Committee may be invited by the Chair to participate in one (or more) of the meetings of the National FAL Committee, or only a part thereof, on an ad hoc basis.
6. Members of the National FAL Committee as well as experts invited to meetings shall ensure the confidentiality of the specific content of meetings and decisions taken, as considered necessary by the Chair of the National FAL Committee.
7. The National FAL Committee will meet *[insert number] times a year*. The National FAL Committee may hold ad hoc meetings whenever necessary for the purpose of reviewing a facilitation situation and attempting to resolve specific operational problems. The outcomes of the ad-hoc meetings are reported to the National FAL Committee.
8. The Secretary of the National FAL Committee is responsible for:
 - Making all administrative arrangements for the preparation of the meetings of the National FAL Committee in liaison with the Chairperson;
 - disseminating the provisional agenda to the members of the National FAL Committee at least *[insert number]* working days in advance.
9. All papers shall be submitted to the Secretary at least *[insert number]* working days in advance of the meeting.
10. The Secretary prepares a Summary of Decisions after each meeting, to be circulated to the National FAL Committee within *[insert number]* working days after the meeting.

— END —