

**GUIDELINES**  
**ON**  
**ADVANCE PASSENGER INFORMATION**  
**(API)**

**WCO/IATA/ICAO**

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# **GUIDELINES ON ADVANCE PASSENGER INFORMATION**

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## 1. INTRODUCTION

- 1.1. In recent years there has been a dramatic growth in passenger numbers on scheduled and charter flights in all regions of the world. In spite of recent events there is every indication that this strong growth in passenger traffic will be sustained for the foreseeable future.
- 1.2. Customs and other Border Control Agencies (Immigration, Police, Quarantine, Health and Safety, Agriculture, etc.) are therefore being faced with a greatly increased workload. In normal conditions shouldering this increased burden would not pose insurmountable problems. However two additional factors have combined with the increase in passenger numbers to make the task of the Border Control Agencies very difficult indeed. These factors are the increased compliance risk posed by the growth in, for example, trans-national organized crime and the manpower situation within the Border Control Agencies themselves.
- 1.3. While the demands on the Border Control Agencies continue to grow and the manpower resources within which they must operate tighten, a number of very valuable opportunities have arisen which, if taken advantage of, could allow these Agencies to maintain or even enhance their effectiveness. These opportunities are mainly in the following fields:
  - Information Technology,
  - Greater co-operation between Border Control Agencies domestically
  - Greater international co-operation between Customs and with other border control agencies
  - Greater co-operation between Border Control Agencies and carriers
- 1.4. Co-operation, particularly in relation to intelligence exchange, is extremely important especially as it is now well recognized that success in the enforcement of Customs and other laws relies much more on carefully targeted efforts based on high quality intelligence than it does on random or systematic action. It is simply not an efficient use of manpower to systematically stop every passenger and carry out a thorough inspection of his or her baggage, etc. Border Control Agencies have been aware of this for some time and have been making significant efforts to ensure that their resources are directed toward those areas where they are most likely to produce significant results.
- 1.5. Having underlined the role of intelligence as a key ingredient in effective enforcement, it is also important to stress the benefits that can be gained from the efficient use of Information Technology (i.e. computerized passenger screening/clearance systems). The deployment of such systems, incorporating passenger selection criteria developed on the basis of high quality intelligence, can and do have a very positive effect on enforcement activities. Information Technology can be further harnessed to ensure that details of arriving passengers are received in advance of the arrival of the flight - thus allowing the Border Control Agencies adequate time to determine their response. This advance notification to the Border Control Agencies by carriers (or other parties) using electronic data interchange (EDI), is the topic of this Guideline. Advance Passenger Information (API) is already in use at a number of locations around the world and has brought benefits to all concerned (Border Control Agencies, Passengers, Airport Authorities, Carriers). These benefits are discussed in greater depth in Section 6 of this Guideline.

- 1.6. Although much of the content of this Guideline is concerned with discussion of the many issues which surround API, there is one part of the Guideline that is more in the nature of a joint recommendation of the World Customs Organization (WCO), International Air Transport Association (IATA) and the International Civil Aviation Organization (ICAO). That part concerns the data to be transmitted from the carrier in the airport of departure to the Border Control Agency(ies) in the country of destination. The data requirements shown in that part of the Guideline should be the maximum required by a Border Control Agency in respect of an inbound flight. Further details may be found in Section 8.
- 1.7. From a Border Control Agency aspect, while advance information of a passenger's biographic data is useful, the added value of advance passenger information in its broadest context comes from the ability to access carrier's information for analysis and research on arriving passengers.
- 1.8. It is hoped that this Guideline will prove to be a useful starting point for all parties considering the implementation of API. At least initially, it should be recognized that API will not cover all passengers. However, complete coverage of all passengers should be the ultimate goal.
- 1.9. If the Guideline gives rise to any questions on the part of implementers please do not hesitate to contact either the Secretariat of the WCO, IATA or the ICAO. Although this paper focuses on the use of API for air passengers, it is clear that the technique can also be used for passengers using other modes, particularly cruise liner traffic. The material in this Guideline also applies mutatis mutandis to the other modes of transport.

## **2. PROBLEM DEFINITION**

### Growth in passenger numbers

- 2.1. As mentioned in the introduction, there are a number of factors influencing the manner in which passengers are processed by Border Control Agencies at international airports around the world. Perhaps the principal factor is the sheer volume of passengers travelling on international flights. The rate of growth varies in the different regions of the world, between 5% and 7%. In a region with a 5% growth rate, passenger numbers will double in 14 years, while in regions with a 7% growth rate numbers will double in 10 years.

### Expanded airport facilities

- 2.2. This increase in passenger numbers is having a substantial effect on airport facilities. In order to cater for the growth in traffic, Airport Authorities in many parts of the world are being required to dramatically expand their facilities and supporting infrastructures. New runways and new terminals are being built, and in some cases, complete new airports are being constructed to cope with the growth in numbers. Apart from the enormous expense involved in these projects, there are frequently many environmental problems associated with such large-scale developments.

## Drug threat

- 2.3. Over the past decade or more, Border Control Agencies have been faced with a number of threats which, if not entirely new, have certainly been increasing in their intensity. The phenomenal growth in drug trafficking is one that is most in the public eye. Drug smuggling by passengers is a substantial part of the problem. Customs at international airports are a country's first line of defence against this type of activity and their responsibilities have increased as the drug problem has worsened. The increased compliance risk posed by passengers has meant that Border Control Agencies have had to be more vigilant and more intensive in their processing of this traffic. The result has been that some additional delays have been caused in passenger clearance.

## International terrorism and security

- 2.4. The threat posed by international terrorism is also one which must be faced not only by the Border Control Agencies, but also by the carriers. Additional security checks on passengers prior to departure have added considerably to the time required for the check-in process. Customs and immigration checks prior to departure have also had to be increased. Because of the threat from terrorism, the arrival processing of passengers by the Border Control Agencies has had to be intensified, with additional delays being the unwelcome result.

## Penalties

- 2.5. Furthermore, carriers are also responsible for ensuring that the passengers they are carrying are properly documented. Heavy financial penalties are frequently imposed on carriers who transport a passenger whose official travel documents are not valid for the country of destination. In addition, the carrier is usually required to repatriate any illegal passengers at carrier's expense, and may also incur costs for any period during which the passenger is held in detention.

## Manpower resources

- 2.6. In terms of the manpower resources available to Border Control Agencies and carriers to deal with these additional responsibilities and threats, it is clear that the availability of such resources has not kept pace with the demand. In most countries, the recruitment of additional manpower to cope with the increased workload has simply not been an option. Indeed, in some countries the numbers of public servants and carrier's staff have been declining.

## Inter-agency co-operation

- 2.7. There are a variety of Border Control Agencies in place at most international airports. These include Customs, Immigration, Police, Quarantine, Health and Safety, Agriculture etc. The level of co-operation between these Border Control Agencies varies from place to place. Different agencies frequently operate their own automated systems for passenger processing without any sharing of information. The strict division of responsibilities between the agencies means that passenger processing is often unnecessarily prolonged.

### **3. CURRENT PASSENGER PROCESSING TECHNIQUES**

#### Selective approach to passenger clearance

- 3.1. The responses of the Border Control Agencies to the challenges explained in the previous section have been many and varied. In terms of Customs response, it became clear many years ago that the routine examination of all passengers and their baggage was not a viable option. The emphasis for Customs has turned from such saturation treatment of passengers towards a selective approach based on risk assessment, intelligence, behavioural patterns, etc., as well as a random factor. It is now well recognized that such an approach yields significantly better results, proportionate to the manpower employed, than purely random or intensive examination. So based on purely pragmatic considerations, Customs has already gone some considerable way towards greater facilitation of passengers.

#### Red/Green Channels

- 3.2. Another element in this change of approach by Customs has been the advent of the Red/Green channel system. This technique of passenger streaming, which is now in use at a large number of airports around the world, is recommended in the Convention on the Simplification and Harmonization of Customs Procedures (as amended) (otherwise known as the revised Kyoto Convention), adopted by the WCO in 1999. Choice of the Red or Green channel is deemed to be the equivalent to making a formal declaration to Customs as to the goods being brought into the country. In spite of the existence of this provision in the Kyoto Convention, it still remains the practice in some countries to require a written Customs Declaration from each individual passenger upon entering the country.

#### Pre-departure passenger clearance

- 3.3. Another approach to passenger facilitation on arrival is the transfer of the Border Control Agencies activities to the airport of departure. Flights arriving from that international point can then be treated as domestic, requiring no further processing. This process (pre-clearance of flights) alleviates some of the pressure at the arrival airport, and can conceivably eliminate the need for staff at small airports with little traffic. Although this approach has had some success, it is not in widespread use and presents some practical, financial and political issues.

#### Inter-Agency co-operation

- 3.4. Although the level of co-operation between the various Border Control Agencies has been variable in a number of countries, there are nonetheless several examples of co-operative efforts taking place in order to rationalize procedures, save on manpower and other resources, and facilitate passengers. Such co-operation can result in the clearance process for passengers being reduced in complexity to the level where a single Border Control Agent will be able to process the vast majority of arriving passengers. This agent, representing the various interested agencies, is tasked with conducting a primary inspection of each arriving passenger, and referring those requiring additional examination to the appropriate service. In addition, with increased inter-agency co-operation the case for the development of single inter-agency automated systems, serving the needs of two or perhaps more agencies, becomes more compelling. The advent of the concept of a single Border

Agent for all initial and simple controls has been a major passenger facilitation improvement, since it avoids the situation of passengers queuing separately to pass multiple border inspections.

#### Passenger streaming

- 3.5. A number of other initiatives have been undertaken by the Border Control Agencies in order to facilitate arriving passengers. These mainly involve variations on the passenger-streaming concept. For instance, citizens of the country of arrival may be separated from non-nationals, and streamed through a simplified immigration process. Citizens who travel frequently may be accorded a facilitated service if they agree to comply with certain conditions, and passengers on designated flights may be subject to either intensive or cursory examination depending on flight risk assessments developed by the Border Control Agencies.

#### Other facilitation initiatives

- 3.6. In addition to the use of automated systems, which usually involve a database search for a match of personal details with stored alerts, etc., the Border Control Agencies generally, and Customs in particular, have instituted new techniques to help them identify potential or likely offenders. Training for Customs officials who process arriving passengers now routinely includes behavioural analysis. This enables the official to spot specific behavioural characteristics which can indicate that the passenger in question is a likely offender. Customs are also now regularly using the concept of "Rover" teams, which usually operate in the baggage claim area. These Rover teams, sometimes accompanied by detector dogs specifically trained to detect drugs and to identify the carrier in a passive manner, observe behavioural situations and pinpoint passengers for intensive search by Customs on leaving the baggage claim area. Again, the objective of these techniques is to facilitate the legitimate passenger by focusing enforcement attention on the high-risk passenger.

#### Electronic Data Interchange (EDI)

- 3.7. While the use of all the above procedures and techniques have brought about considerable advances in the passenger clearance process, it is clear that there is always room for improvement - both from the facilitation point of view and from the compliance perspective. The recent upsurge of interest in EDI, and the capabilities it offers for transmission of passenger details to the point of destination well in advance of the passengers' arrival, is seen as a very positive step towards achieving both of these goals.

#### Advance Passenger Information (API)

- 3.8. Advance Passenger Information (API) involves the capture of a passenger's biographic data and other flight details by the carrier prior to departure and the transmission of the details by electronic means to the Border Control Agencies in the destination country. API can also act as a decision making tool that Border Control Agencies can employ before a passenger is permitted to board an aircraft. Once passengers are cleared for boarding, details are then sent to the Border Control Agencies for screening against their enforcement database(s) and can identify high risk passengers requiring for example more intensive questioning upon

arrival. While this technique is beginning to be used by more and more Border Control Agencies it has been used by a number of countries for some time. API has the potential to considerably reduce inconvenience and delay experienced by some passengers as a result of necessary border processing. It also provides a system which carriers can use to comply with relevant legislation of the countries they fly into.

#### **4. ORGANIZATIONAL POLICY**

##### 4.1. WCO policy

- 4.1.1. As an International Organization responsible for Customs matters, the WCO has, as its goals, the simplification/ harmonization of Customs formalities and the promotion of efficient means of Customs control. This mandate covers passenger movements as well as movements of commercial cargo across international boundaries.
- 4.1.2. Due to the increased risk, such as trans-national organized crime and international terrorism, Customs have had to enhance their controls on passengers in order to apprehend offenders and to minimize the risk posed on global security.
- 4.1.3. The combined effect of the need to enhance controls together with the growth in passenger traffic has placed a severe strain on the resources of Customs and other Border Control Agencies. The result has been delays (quite severe in some instances) and increased pressure on airport facilities, many of which were designed to cater for much lower passenger volumes.
- 4.1.4. The interest of the WCO in API stems mainly from its mandate to help its Members target their scarce resources, and at the same time, improve their service to the travelling public. The WCO sees its role as:
  - (a) providing its Members with information concerning API programme development, and the benefits it can bring;
  - (b) providing a forum in which the constraints on API can be discussed and hopefully resolved; and,
  - (c) seeking to jointly agree standards with the Airline industry so that API does not develop and proliferate in an inconsistent or unstructured way.
- 4.1.5. The WCO sees API as a very useful technique to enhance controls over passenger, while maintaining facilitation for low risk passengers, which benefit Customs and other Border Control Agencies, Carriers, Airport Authorities (and other passenger facility operators) and Passengers themselves. The revised Kyoto Convention took this into account and API is now included in the Specific Annex J1(Travellers) of the Convention as "Recommended Practice". The technique has already been used with great successes and is likely to expand in the future. The WCO would like to see API develop in an orderly and disciplined manner, and to that end, would like to see standards and jointly agreed principles put in place so as to facilitate the development and spread of API.

- 4.1.6. Where countries identify the need for additional API elements, and these are agreed, these Guidelines should be updated accordingly. Additionally, any necessary changes to the UN/EDIFACT passenger list message (PAXLST) structure should be developed jointly and any amendments be submitted by the WCO to the appropriate UN body.
- 4.2. IATA policy
  - 4.2.1. As the representative of more than 270 scheduled carriers worldwide, IATA's interest in API essentially relates to enhanced facilitation - the improved processing of arriving international passengers through Customs, Immigration and other border controls.
  - 4.2.2. Like the WCO and ICAO, IATA has constantly sought to eliminate unnecessary forms and procedures in international air transport, and the abolition of the passenger manifest has been an important policy objective for the Association. Recent opportunities to automate government control processes have, however, led to a close look at the concept of API and its potential for facilitation improvements.
  - 4.2.3. Collection of passenger details at departure presents a problem of additional workload for carriers at a point in the system where staff and facilities are frequently already stretched to maximum capacity and beyond. Consequently, carrier support for API depends heavily on there being truly realizable benefits for passengers on arrival at destination.
  - 4.2.4. Furthermore, given the practical constraints and financial ramifications associated with data capture and transmission, required information should be limited to that which can be captured by automated means from an official travel document, and where required under national legislation, from the transporting carrier's own reservation and departure control systems. This passenger-specific information can then be augmented by basic flight details, also retrieved from the carrier's systems by automated means. With this in mind, IATA sees particular benefit in co-operating with the WCO and ICAO to define the data and message sets for API systems under UN/EDIFACT PAXLST message standards that have been internationally agreed and widely adopted by participating countries. IATA, through its Simplifying Passenger Travel (SPT) initiative, is also committed to establishing mutually agreed principles which can expand the benefits of automating and integrating all elements of the passenger process from origin to destination.
  - 4.2.5. It should be noted that not all official travel documents will be machine readable. In those cases, countries should limit the data elements that they would require to those normally found in the travel document's machine-readable zone in order to facilitate manual collection except when additional data collection is required by national legislation.
- 4.3. ICAO Policy
  - 4.3.1. The International Civil Aviation Organization (ICAO) is an intergovernmental organization established by the Convention on International Civil Aviation (Chicago Convention) in 1944. A specialized agency of the United Nations, ICAO serves as the medium for establishment of standards and recommended practices by its 188 Contracting States, in the fields of safety, security and facilitation.

- 4.3.2. ICAO's interest in API systems stems from the Chicago Convention's mandates for Contracting States to prevent unnecessary delays by facilitating border clearance formalities and to adopt internationally standard Customs and immigration procedures. Moreover, recent events have demonstrated that national programmes of travel document issuance and security, and the efficacy of inspection systems in controlling smuggling and illegal migration, can have a significant effect on the security of civil aviation.
- 4.3.3. Conversely, the application of technology and modern management science to control systems, in order to facilitate international traffic flow, is increasingly important in the present climate of intensified security controls. Increased congestion and lengthened processing times caused by the sudden imposition of unfamiliar procedures can be counterproductive to security, as the confusion and disorder that result can be exploited by those seeking to evade inspection.
- 4.3.4. Current projects in the facilitation programme aim at a strengthened and more efficient system of border controls at airports, which would raise the level of general security and at the same time yield measurable improvements in facilitation for the vast majority of travellers. API is potentially a valuable tool which States may use to achieve these objectives. An API programme's success can be measured by the increase in operational efficiency and reduction in airport congestion which are achieved.
- 4.3.5. The following specific recommendations are proposed:
- (a) Opportunities for using API in applications to enhance inspection by immigration, quarantine and aviation security (AVSEC) as well as Customs should be explored in future iterations of the Guidelines.
  - (b) Although UN/EDIFACT syntax is acknowledged as a practical means of exchanging API data among participating carriers and States at the present time, the use of XML-based data formatting and modern communications technologies such as the Internet, PC-based systems and wireless devices should be investigated as an alternative strategy for global interchange.
  - (c) Adoption of API should be considered by States in the context of a total system approach to border management, encompassing the issuance of machine readable passports and visas including electronic visas, migration to automated entry/exit records to replace embarkation/disembarkation cards, and interoperability among the API systems of other participating States.
  - (d) Future configurations of API-based border control systems should include the deployment of biometric technology to assist with the identification and identity confirmation of passengers upon arrival.

## **5. EXISTING API SYSTEMS**

- 5.1. API has already been introduced for passenger clearance in the USA, Australia, New Zealand, Korea (Rep. of) and Canada. The USA receives API data for

passengers travelling from Australia either from Australian immigration or directly from the carriers. This arrangement currently does not operate in reverse.

- 5.2. In addition to receiving data on passengers inbound from Australia and New Zealand from the border agencies or carriers from those countries, the USA receives API data directly from carriers for flights originating in a number of countries. Australia's Advance Passenger Processing System expands the use of API to include passenger pre-clearance prior to boarding an aircraft. Further details of these systems can be found in Appendix I.

## **6. COSTS AND BENEFITS OF API**

- 6.1. In deciding whether to adopt API, potential providers of the passenger data (the carriers) and potential users of the data (the Border Control Agencies), will need to examine if the benefits which this technique can provide can justify the costs involved both from a start-up viewpoint and for on-going operation.
- 6.2. The costs, which will be incurred by both carriers and Border Control Agencies, can be measured with some confidence. The benefits, which API can bring, are less easy to quantify. This section of the Guideline seeks to identify those areas where costs will likely be incurred, so that potential API users are aware of the cost implications of API and can measure these in their own company or administration.
- 6.3. The Guideline also identifies the potential benefits of API. Some of these benefits are tangible in nature; e.g. staff savings. However other benefits, such as "greater convenience for the travelling public", are more difficult to quantify in purely monetary terms but may be competitively very valuable.

### **COSTS**

- 6.4. Border Control Agencies :
  - 6.4.1. Where no offender/suspect database currently exists, there will clearly be a substantial cost involved in establishing such a system. Ideally, in such a situation it would be desirable to establish a single inter-agency database for passenger clearance. This is not only a more efficient means of processing passenger list data received by API, it is also more economic since the development cost would be spread over a number of agencies which could contribute in accordance with their projected use of the system.
  - 6.4.2. Where such databases already exist but are currently only available to one single agency, there will be a cost incurred in merging these systems. It is feasible to have API data feeding one or more Border Control Agency systems. However, it seems prudent and cost efficient to adopt a co-ordinated approach to API amongst the Border Control Agencies, having the API data processed by one single system rather than simultaneously by several different systems.
  - 6.4.3. Apart from the system related costs involving the development of new systems or the merging of existing systems, there will be costs incurred on the system development side associated with the electronic receipt of passenger data. Incoming data will need to be converted to a format that is compatible with and can

be processed by the receiving system. There will be a cost involved in enhancing existing systems to perform this function. The system may also need to produce certain additional outputs associated with the processing of API passengers; e.g. lists of passengers for closer investigation, statistical reports, performance evaluations, etc.

- 6.4.4. Depending on the arrangements made in individual cases, there may be some data transmission costs payable by the Border Control Agencies. At a minimum, they will incur some cost in connecting their system to one or more selected data networks to enable them to receive passenger data electronically. If the Border Control Agency is responsible for the capture of data on outgoing passengers then the cost of that data capture will fall to them and also the data transmission costs to the destination country.
- 6.4.5. In some instances, the Border Control Agencies in the country of arrival have provided Machine Readable Passport readers to the carriers in the airport of departure. Where this is done, there will clearly be a cost involved that can be quite substantial.
- 6.4.6. As with all systems, costs will be incurred in respect of on-going maintenance and upgrading.
- 6.5. Carriers :
  - 6.5.1. The principal costs for carriers are associated with system development/integration and capture of passenger details for transmission to the destination country of a flight. Costs will likely be incurred in other areas as well; e.g. additional check-in staff to cope with the extended period of time required to complete check-in formalities, additional check-in desks, hardware acquisition, etc. Various techniques can be used to offset these costs to some degree; e.g. agreements with governments, as is the case in Australia, machine-readable passports, "up-stream" capture of passenger data at the time of booking, etc. These issues are examined further in Section 8.2.
  - 6.5.2. The adaptation of carriers automated reservation systems to collect, convert, and transmit API data, and to respond to expanding data requirements will also give rise to significant cost.
  - 6.5.3. On-going maintenance costs will also likely be incurred in respect of the above-mentioned systems.
  - 6.5.4. Finally, there will be the recurring cost of data transmission in respect of the passenger data for each API flight.
- 6.6. Airport Authorities :
  - 6.6.1. Depending on the current layout of the arrival and passenger processing area, there may be a requirement to re-structure this area to cater for API passengers; i.e. a special stream for API passengers with designated baggage carousels, etc.

## **BENEFITS**

### 6.7. Passengers :

- 6.7.1. One of the main benefits of API, and one of the principal reasons for undertaking the advance transmission of passenger data, is the potential benefit to the travelling public. The time saved by the legitimate (non-targeted) passenger while undergoing normal arrival formalities will, of course, vary from airport to airport. However total clearance times should be significantly reduced, and in normal circumstances, should not exceed the ICAO goal of 45 minutes.

### 6.8. Carriers :

- 6.8.1. API gives the carriers the opportunity to provide an improved service to their customers, and could therefore give a competitive advantage, except where the program is declared mandatory, to those carriers which choose to provide API data to the Border Control Agencies in the country of destination.
- 6.8.2. The additional passenger data captured at the time reservation is made or during check-in could, in some instances, enhance carrier security and help to ensure that all passengers carry valid official travel documents required for admission to the destination country. This has the potential of reducing carrier exposure to penalties for transporting passengers that are not properly documented.
- 6.8.3. Ultimately API should lead to a stabilisation of airport fees assessed to carriers, since its implementation may enable more efficient utilisation of existing facilities.

### 6.9. Border Control Agencies :

- 6.9.1. One of the major benefits of API for the Border Control Agencies is the enhanced enforcement capability realised through advance notification of the arrival of potential offenders. API permits a thorough and rigorous screening of inbound passengers to be accomplished, targeting those passengers that present the highest risk, and allowing for the faster throughput of low risk passengers.
- 6.9.2. Since passenger data will be provided in an electronic, readily processed format, there should be a data capture saving, as the Customs/Immigration official will not be required to perform a normal data entry operation when the passenger arrives at the entry point.
- 6.9.3. API provides for more effective allocation of border control and law enforcement resources. In addition, the increased automation of passenger processing can result in reduced staff costs.
- 6.9.4. API has the potential to be a catalyst for greater interagency co-operation at both the national and international level.

### 6.10. Airport Authorities :

- 6.10.1. API also assists the growth in passenger traffic being accommodated through improved use of technology rather than additional infrastructure.

- 6.10.2. Consequently, there should be a reduced need to expand or upgrade current facilities in response to increased traffic.
- 6.10.3. Greater passenger satisfaction with facilities, fewer complaints, etc.
- 6.10.4. Better public image nationally/internationally. Good for tourism etc.

## **7. NATIONAL PASSENGER PROCESSING STRATEGY**

- 7.1. In most countries, the responsibility for the implementation of national law regarding persons and goods entering or leaving a country rests with a number of different agencies. These agencies; include Customs, Immigration, Police, Quarantine, Health and Safety, Agriculture, Food and Drug and various combinations of these. Although Customs and Immigration are usually in the front line in respect of processing an arriving passenger into the country, representatives of the other agencies are sometimes present and may be available on a referral basis. In other cases, the functions of some of the other agencies may, in fact, be carried out by Customs.
- 7.2. Regardless of the arrangements that are in place, it is clear that there must be a high degree of co-ordination among all agencies involved in passenger clearance in order to eliminate unnecessary delays to the travelling public. The degree of co-ordination that already exists varies from country to country, and there are some excellent examples of inter-agency co-operation which result in a speedy service to passengers and savings for the taxpayer.
- 7.3. Inter-agency co-ordination and co-operation are sometimes difficult to achieve in the airport environment. Attempts to streamline the process may not be welcomed by individuals and agencies whose vested interests may not be served by a rationalization of current procedures. It will be necessary however, if there is to be progress in this area, to ensure that all agencies work together to bring about the type of passenger processing system which both serves the passenger and ensures compliance with national and international law.
- 7.4. One approach to successful co-operation among all the Border Control Agencies is the development of a Joint Passenger Processing Strategy Plan. Such a plan would be developed jointly, and all the agencies concerned would be jointly committed to it. This plan should be the blueprint for future activities and initiatives aimed at facilitating passengers and ensuring a higher degree of compliance.
- 7.5. Some considerable thought and effort should be devoted to the development of a plan and it should have the support of the senior management of all the agencies concerned during its development and implementation.
- 7.6. The following is a checklist of topics which should be covered in the Strategy Plan:
  - 7.6.1. A description of the current passenger processing environment must be agreed. This should contain a narrative and diagrammatic description of the current flow of passengers through the airport. It should identify any areas of difficulty and any actual or potential bottlenecks. Current times taken for passenger processing (Minimum, maximum and average) should be indicated.

- 7.6.2. The Plan should describe the demands being placed on the Border Control Agencies and on carriers as well. These demands include the legislation that must currently be administered or observed and any future changes anticipated in such legislation. The demands should also include trends in the growth of such things as drug smuggling or illegal immigration and other similar threats. The Plan should give statistics on passenger numbers - including peaks and troughs - and projections for future growth/decline in these numbers.
- 7.6.3. The constraints under which the Border Control Agencies and carriers operate should be fully identified. Constraints can exist in the area of manpower or material resources. Many Governments around the world are experiencing severe constraints, particularly in the area of manpower resources. There may also be constraints on the operation of Border Control Agencies due to inadequacies in the facilities provided at certain airports. Such inadequacies can often have an adverse effect on passenger clearance times. Lack of certain material resources can also have an impact. Border Control Agencies may not have available to them certain equipment or facilities which could make their task easier (X-ray equipment, detector dogs, passenger monitoring equipment etc.).
- 7.6.4. Numerous opportunities exist which can help the Border Control Agencies to carry out their obligations in a more effective and efficient manner. The possibilities afforded by computer systems, which can be used to help identify suspect passengers by checking passport details against data stored on enforcement databases, can be a major benefit to Customs and Immigration. EDI, which is the technology underlying the entire concept of Advance Passenger Information systems, also provides exciting opportunities. A variety of technical aids are now available which can also prove to be very effective tools for enforcement agencies. Improved training methods offer the possibility of enhancing the performance of existing staff. All of these should be considered and included in the Plan.
- 7.6.5. Having described the overall situation, the Plan should go on to analyze current practices. Are the Border Control Agencies properly fulfilling their obligations insofar as the application of the law is concerned? If not, what are the factors which prevent or inhibit the Border Control Agencies? Are passengers being facilitated to the greatest extent possible? If not, why is this so? The analysis should thoroughly explore all measures of performance, identify any shortcomings and pinpoint any deficiencies. This part of the Plan should be an impartial assessment of the actual level of service provided by the Agencies concerned.
- 7.6.6. The Inter-Agency Plan should then seek to establish certain targets in respect of their activities. Obviously it is very difficult to set enforcement targets which specify numbers of seizures or quantities of illegal products/substances seized. Increases or decreases in seizures do not necessarily reflect success or failure of the enforcement effort. Increases in seizures could be an indication of increased illegal traffic and not a higher real success rate while decreases in seizures could simply mean a reduction in traffic and not a lower real success rate. One area where it is possible to set targets is in the time taken for passenger processing. ICAO has set a target of 45 minutes from disembarkation to final clearance. The Plan should aim to at least conform to this norm, or if possible, to better it. Obviously, not all of the time spent between disembarkation and final clearance is attributable to the Border Control Agencies. Inefficient baggage handling systems can be the cause of

considerable delay. There can be substantial delays also prior to disembarkation due to such factors as unavailability of jet-ways and ground transport. All of these factors should be considered when setting targets. It is prudent to set relatively ambitious targets. When some experience has been gained with the new procedures then the targets can be revised if appropriate.

- 7.7. Having described the current position, analyzed the existing practices, identified problems and opportunities and then set realistic targets, the Plan should then outline the means necessary to attain those goals. This part of the Plan should address the following areas :
  - 7.7.1. Re-organization of passenger processing procedures. Where the analysis of current practices has identified delays in the process which could be rectified by a change of procedures, such changes should be described.
  - 7.7.2. The introduction of API points to very close collaboration among all the Border Control Agencies, including sharing of responsibilities and information. A description of how a joint passenger clearance process would operate should be provided. The role and responsibility of each agency should be clearly identified.
  - 7.7.3. Co-operation with carriers is clearly a key to API. In preparing the Plan, the Border Control Agencies will need to have close contact with the carriers. The Plan should describe the part to be played by the carriers in the revised clearance process.
  - 7.7.4. The Airport Authorities also have a pivotal role. There is a clear need to involve these authorities in all planning for revision of the passenger processing procedures.
  - 7.7.5. The opportunities afforded by international co-operation with Border Control Agencies in other countries should be explored. Advance Passenger Information can originate from these agencies as well as from carriers. In addition, supplementary information to the basic passport details which are foreseen to be transmitted by API will also often come from overseas counterparts. The mechanism for obtaining this information will need to be examined in the Plan.
  - 7.7.6. Finally, but by no means the least important aspect of the Plan, there should be a description of the use of Information Technology in the processing of passengers. Here, it will be necessary to explore such matters as automated systems for passenger screening (e.g. computerized alert lists/suspect databases). The potential joint use of such systems is another area to be explored. The role of Machine Readable Passports (MRP) will also need to be examined carefully and, of course, the possibility of using API will need to be taken into account.

## **8. API DATA CAPTURE AND TRANSMISSION**

- 8.1. Data to be captured and transmitted
  - 8.1.1. For API to function successfully and on a widespread basis, it is essential that there be a strict limitation and a very high-degree of uniformity in relation to the data required by the Border Control Agencies which will receive and process that data. From the perspective of the Border Control Agencies, the limitation and harmonization of this data may be somewhat restrictive to their operations.

However it is clear that for carriers to capture and transmit passenger data on a large scale to a large number of Border Control Agencies, this limitation and harmonization is essential.

8.1.2. With the above in mind, the WCO, IATA and ICAO have jointly agreed on the maximum set of API data that should be incorporated in the PAXLST message to be used for the transmission of such data by the carriers to the Border Control Agencies in the destination country. However, it is important to note that countries should limit their data requirements to the minimum necessary and according to the national legislation. This data can be divided into two distinct categories :

(a) Data relating to the Flight (Header Data)

(b) Data relating to each individual passenger (Item Data).

8.1.3. Details of the individual data items for each of these two categories are given below. It should be noted that the Flight data should already be available to carriers from their own automated systems. The passenger data corresponds to those items of data that currently appear on machine-readable passports, other official travel documents or those which may be available in the transporting carrier's reservation system. From the point of view of promulgating the use of API, extending the required data element set beyond that limit would hinder carrier's and airport operation. The WCO, IATA and ICAO recommend to their members that the API data must not exceed that given in this guideline.

8.1.4. Data relating to the flight (Header data):

**Flight Identification**

(IATA Airline code and flight number)

**Scheduled Departure Date**

(Date of scheduled departure of aircraft (based on local time of departure location)

**Scheduled Departure Time**

(Time of scheduled departure of aircraft (based on local time of departure location)

**Scheduled Arrival Date**

(Date of scheduled arrival of aircraft (based on local time of arrival location)

**Scheduled Arrival Time**

(Time of scheduled arrival of aircraft (based on local time of arrival location)

**Last Place/Port of Call of Aircraft**

(Aircraft departed from this last foreign place/port of call to go to "place/port of aircraft initial arrival" )

**Place/Port of Aircraft Initial Arrival**

(Place/port in the country of destination where the aircraft arrives from the "last place/port of call of aircraft" )

**Subsequent Place/Port of Call within the country**

(Subsequent place/port of call within the country)

**Number of Passengers**

(Total number of passengers on the flight)

8.1.5. Data relating to each individual passenger :

(a) Core Data Elements as may be found in the Machine Readable Zone of the Official Travel Document

▪ **Official Travel Document Number**

(Passport or other official travel document number)

▪ **Issuing State or Organization of the Official Travel Document**

(Name of the State or Organization responsible for the issuance of the official travel document)

▪ **Official Travel Document Type**

(Indicator to identify type of official travel document)

▪ **Expiration Date of Official Travel Document**

(Expiration date of the official travel document)

▪ **Surname/Given Name(s)**

(Family name and given name(s) of the holder as it appears on the official travel document.)

▪ **Nationality**

(Nationality of the holder)

▪ **Date of Birth**

(Date of birth of the holder)

▪ **Gender**

(Gender of the holder)

(b) Additional Data elements

- **Visa Number**

(Number of the Visa issued)

- **Issue Date of the Visa**

(Date of the Visa issuance)

- **Place of Issuance of the Visa**

(Name of the place where the Visa was issued)

- **Other Document Number Used for Travel**

(The other document number used for travel when the official travel document is not required)

- **Type of Other Document used for Travel**

(Indicator to identify type of document used for travel)

- **Primary Residence**

- **Country of Primary Residence**

(Country where the traveller resides for the most of the year)

- **Address**

(Location identification such as street name and number.)

- **City**

(City)

- **State/Province/County**

(Name of the State, Province, County, as appropriate)

- **Postal code**

(Postal code)

- **Destination Address**

- **Address**

(Location identification such as street name and number.)

- **City**  
(City)
- **State/Province/County**  
(Name of the State, Province, County, as appropriate)
- **Postal code**  
(Postal code)
- **Place of Birth**  
(Place of birth such as city and country)
- **Traveller's Status**  
(Passenger, Crew, In-transit)
- **Place/Port of Original Embarkation**  
(Place/port where traveller originates foreign travel, refer to 8.1.6)
- **Place/Port of Clearance**  
(Place/port where the traveller is cleared by the border control agencies)
- **Place/Port of Onward Foreign Destination**  
(Foreign place/port where traveller is transiting to, refer to 8.1.7)
- **Passenger Name Record Locator Number (or unique identifier)**  
(As available in the traveller's Passenger Name Record in the carrier's airline reservation system)

- 8.1.6. It should be noted that API transmissions will contain data for passengers carried into a country (initial place/port of arrival) from the last place/port of call of that aircraft abroad. API transmissions may provide information of passengers originating foreign port of embarkation based on the information contained in the transporting carrier's passenger reservation system. Where countries identify the need for additional API elements, please refer to paragraph 4.1.6.
- 8.1.7. The onward foreign destination port may be required for those passengers not intending to enter the territory of the country of transit.
- 8.1.8. Some countries may prefer to receive identifying passenger data elements from a machine-readable visa they have issued. In these situations that information should be collected in addition to the passport information.

- 8.1.9. Complete specifications of the above data items are contained in ICAO Doc 9303, Machine Readable Travel Documents. Parts 1, 2 and 3 of Doc 9303 set forth specifications for machine-readable passports, visas and official travel documents, respectively. Diagrams of the machine-readable zones of such documents are found in Appendix II to this Guideline.
- 8.1.10 With respect to the message format for data transmission, it is recommended that the UN/EDIFACT standard should be used to ensure that global interoperability is achieved and avoid difficulties caused by the use of local national standards. A standard electronic message has been developed specifically to handle passenger manifest transmissions. This message is known as the PAXLST message. An implementation guide to the UN/EDIFACT PAXLST message is included in Appendix III to this Guidelines. This Appendix can be amended regularly to reflect latest development. Accordingly, administrations and airlines should contact the WCO, IATA or ICAO to ensure that they obtain most up-to-date version.
- 8.2. Data capture methods :
- 8.2.1. Perhaps the most critical aspect of API is the means by which the data to be transmitted to the Border Control Agencies in the destination country is captured. Data capture can be costly, time consuming, labour intensive and error prone. The capture of data concerning departing passengers at the airport of departure introduces a delay in the check in process that could, if not managed properly, offset the potential advantage to passengers provided by efficient API applications. If the check-in process is unduly prolonged, then API will simply shift much of the delays and congestion away from the arrival area to the departure area. It is vital therefore that the effect of API on the check-in process is kept to the absolute minimum.
- 8.2.2. Machine Readable Travel Documents
- Machine Readable Travel Documents (MRTD) and Document Readers are an important component in API. The use of this technology for data capture at the airport of departure can greatly reduce delays. It is estimated that manual keying of API data from an official travel document takes about 45 seconds per passenger. On a flight of 200 people the total additional time for check-in formalities is therefore 150 minutes. Assuming that there are 5 check-in counters dedicated to that flight, it would take approximately 30 minutes longer overall to check-in all passengers. This means passengers reporting at the airport 30 minutes earlier than normal or the flight being delayed by 30 minutes.
- 8.2.3 Accordingly, in addition to the normal flight data provided in paragraph 8.1.4, it is essential, where practicable, that States limit their API programme requirements to traveller data elements that can be captured by automated means from the machine-readable zone of the MRTD. Where additional data elements not present in the machine-readable zone of the MRTD are required, they should be limited to those recorded by the issuing State in the document's visible zone. Except where specified by the national legislation, States should avoid mandatory data elements that require airline personnel to manually record a traveller's verbal statements.
- 8.2.4 Using an MRTD and reader, integrated with the check-in process, minimizes disruption and the time required for data capture. Machine reading is both quick and avoids manual input errors. The MRTD specifications have been agreed within the

ICAO. Travel Documents which do not conform to the ICAO specifications cannot be read by the document reading devices which are programmed to read MRTDs.

8.2.5 Although the more widespread use of MRTD's is highly desirable for the efficient capture of API data, the fact that not all or indeed the majority of passengers on a particular flight do not hold MRTD's, should not exclude the use of API for that flight. While it is obviously much more efficient to capture passenger data from an MRTD, it is possible that a mixed flight of MRTD holders and conventional travel document holders could be checked-in within an acceptable timeframe if additional check-in facilities are provided.

#### 8.2.6 "Up-stream" data capture

Another mechanism which might be useful in reducing time spent on data capture at check-in and thus further facilitate the passengers, would be to consider what use might be made of data captured when the reservation is made. Such data is still speculative and must be manually verified or even re-captured at check-in to prevent manipulation and avoid substitution and/or input error.

8.2.7 For non-MRTD travellers, the objective should be to capture the travel document data at the earliest point of contact with the traveller.

#### 8.3. Data transmission :

8.3.1. Since API uses Electronic Data Interchange (EDI) techniques, there will clearly be a need for participating carriers and Border Control Agencies to have their automated systems connected to one or more data transmission networks so that the passenger details can be transmitted and received electronically.

8.3.2. From a user perspective, the network provider used to transport the API data should not be an issue. A number of organizations are capable of providing a reliable and secure data transmission service to those wishing to use API. The choice of data network will ultimately be determined by cost and by other considerations, such as existing business relationships with a data network provider.

8.3.3. Border Control Agencies should consider establishing systems capable of receiving secure (encrypted) e-mail or internet transmissions of API data as a means of reducing data transmission cost for participating carriers.

### **9. LEGAL ASPECTS OF API**

9.1. Border control agencies can access passenger personal data on the arrival of the passenger at the border. API provides those agencies with data they could otherwise access upon that arrival. It is simply providing data at an earlier time and through different means with the aim of expediting the passengers clearance through border controls.

9.2. Data privacy and data protection legislation has been enacted in many countries in recent years in order to protect the individual's right to privacy and to allow individuals to have access to their own personal data held on computer in order to verify its accuracy.

- 9.3. This legislation can vary from country to country. However, there is a large degree of commonality of provisions of such legislation. Data privacy and data protection legislation typically requires that personal data undergoing automated (computer) processing :
- Should be obtained and processed fairly and lawfully;
  - should be stored for legitimate purposes and not used in any way incompatible with those purposes;
  - should be adequate, relevant and not excessive in relation to the purposes for which they are stored;
  - should be accurate and, where necessary, kept up to date;
  - should be preserved in a form which permits identification of the data subjects for no longer than is required for the purposes for which that data is stored.
- 9.4. Such legislation also usually incorporates provisions concerning the right of access by data subjects to their own personal data. There may also be provisions regarding disclosure of personal data to other parties, and about transmission of such data across national borders and beyond the jurisdiction of the country in which it was collected.
- 9.5. It is clear from the above that the existence of such legislation may well have an impact on a carriers ability to capture personal details of passengers and to transmit this data to a foreign government. However, it is also clear that the nature of API data (basic personal information that appears in an official document) and the use to which it is put, should conform to the national law of most countries. The long-term archiving of passenger manifests on computer media and the use of such data for purposes other than national security or passenger clearance may pose problems in certain countries.
- 9.6. Because of the differences in the provisions and interpretation of data privacy law from country to country, carriers wishing to participate in API should enquire on a case-by-case basis whether the capture, storage and transmission overseas of the passenger details mentioned in this Guideline is in contravention of national law.

## **10. CONCLUSIONS**

- 10.1. API is a technique that has the capability of bringing substantial advantages to all involved in the movement of passengers. The WCO, IATA and ICAO are convinced of its effectiveness.
- 10.2. The widespread use of API depends to a large degree on a common approach by all concerned (Carriers and Border Control Agencies) to the question of data standards. In effect this means that the Border Control Agencies worldwide must standardize their data requirements for API, and must also adopt a standard format for the electronic transmission of such data. This paper contains the jointly agreed data and UN/EDIFACT messaging standards which are recommended by the WCO, IATA and ICAO.
- 10.3. From the point of view of the Border Control Agencies, it is clear that the efficient use of API data received from carriers can only be achieved if there is close co-operation

between all the agencies concerned. In this context, API can be the catalyst for increased contact between these agencies and the development of common programs which can be of benefit from both the compliance and the facilitation point of view. Agreement on a joint national passenger processing strategy, in which API plays a central role, is of critical importance.

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## DESCRIPTION OF EXISTING API SYSTEMS

### UNITED STATES

1. The Advance Passenger Information System (APIS), developed by the Bureau of Customs and Border Protection (CBP) processes biographical information electronically provided, in advance of arrival, to the Interagency Border Inspection System (IBIS). The primary Immigration Inspector no longer needs to perform a full computer query as this has already been electronically performed at the CBP Data Centre. By eliminating the computer query the primary inspection is shortened accordingly.
2. APIS is a system by which airlines, cruise lines and foreign governments may provide pre-arrival passenger information to the CBP Data Centre. The data is provided electronically using EDI techniques. On receipt, the data is processed through the Interagency Border Inspection System (IBIS) which includes the combined databases of CBP and Department of State. The passenger data is screened against the enforcement selectivity criteria contained in that system. The APIS passenger manifest and the results of these queries are then made available to the U.S. port of arrival. This process provides the Federal agencies with important information on passengers destined for the U.S. and provides a time advantage in the interception of terrorists, narcotic traffickers and other violators.
3. The system operates as follows :
  - Prior to or at the time of passenger check-in, the carrier captures the necessary data (first and last name, date of birth, official travel document No., document issuing country and gender). This can be done at upstream stations for connecting passengers or with the assistance of the Travel and Tourism industry.
  - The APIS data is transmitted to the CBP Data Centre where the data is processed against the various databases. The results and the complete manifest are made available to the arrival airport through the Customs mainframe system (TECS).
  - The inspection agencies review the passenger manifest for identified suspects and with access to other information, identify additional potential suspects prior to arrival.

## **AUSTRALIA** (Customs operates primary line)

### *1. Outline of the APP System*

- 1) Australia's Advanced Passenger Processing (APP) System incorporates passenger pre-clearance prior to boarding an aircraft, accelerated immigration and Customs passenger processing and enhanced border control for all Border Control Agencies.
- 2) The APP System has been, for a number of years, a key component of Australia's border management strategy. It offers the ability to electronically record entry and exit data using carrier's communications systems and automatic and speedy checks against alerts, whilst at the same time being convenient for passengers and avoiding undue imposts on tourism and carriers.
- 3) The APP System consists of more than just the computer system: it also encompasses arrangements at the airport and agreements between the carriers and the Border Control Agencies.
- 4) The immediate result of the APP System check-in transaction is a directive on the passenger's eligibility to board the aircraft. For inbound passengers, this is based on the existence of a valid visa or other authority to travel to Australia, as well as checking the passport status of the passenger. It is also possible to configure APP to consult an alert list as part of the check-in transaction, so that a passenger may be prevented from boarding on other grounds, even if in possession of valid official travel documents.
- 5) For outbound passengers, the intention is to be able to identify persons of interest before their baggage is loaded.
- 6) Information about a passenger is collected at check-in to allow the APP system to access data from its database in Australia. This is made possible because of Australia's universal visa requirement. In recognition of passengers' privacy rights, the APP System is designed with a minimum requirement for data retention.
- 7) The APP System is designed to have a common interface to the carriers, so that more carriers will be able to participate in the project with minimal incremental training and implementation cost.
- 8) In addition, the APP System is designed to apply to all countries, not just to Australia. This is possible since the data elements involved (passport data and flight details) are the same for all passengers, irrespective of their destination or nationality.

### *2. Outline of the inward clearance process*

- 1) The Australian Customs Service uses a modified version of the "dual channel" or red/green" system because of the current requirement for a written Customs, Quarantine and Wildlife declaration.
- 2) The system currently operates as follows :

- Passenger arrives at the Entry Control Point (ECP) where s/he presents her/his passport and incoming Passenger Card (which combines the Immigration and Customs/Quarantine declaration.)
  - Passengers are processed for immigration purposes and their entry to the country recorded. Simultaneously they are checked against a computerized consolidated Customs/Police/ Immigration alert list.
  - While completing these formalities, there is an initial assessment of risk based on profiles, official travel documents and/or travel movements. Should further examination be indicated, the declaration is coded for further action.
  - The timing of this process depends on whether the passenger has flown on a carrier that uses the APP System; if so, s/he is processed about 13% faster than a non-APP passenger. On average, the process takes less than 45 seconds per passenger.
  - A national target of processing at least 95 % of arriving passengers through the ECP in under 30 minutes has been set by the Government.
  - After primary processing, the passenger moves to the baggage reclaim area, gathers his/her bags and proceeds to the exit channels. During this phase, the passenger may be observed or questioned by a member of a roving team of Customs officers (Enforcement Team - the primary function of Enforcement Team is the detection of illicit drugs).
  - At the exit the passenger is faced with a choice of two gates :
    - a red gate for those that have declared goods
    - a green gate for those that have not declared goods
  - Incoming Passenger Cards are briefly examined by a Customs Officer (Marshal) at this point. Those passengers whose declarations are coded for examination or about whom the Marshal may have suspicions are directed to the baggage examination area. The rest leave the Hall. Due to Australia's strict quarantine requirements, the majority of passengers can expect their baggage to be X-rayed even if they have gone through the green channel. The Incoming Passenger Cards are collected by the Marshal at this point or after baggage inspection. They are examined later for performance analysis purposes.
- 3) The overall time taken to complete the clearance process, from the time the aircraft parks until the passenger exits from the Customs Hall, is measured against a target.

#### Additional Note (**Australia**)

Air charter operators seeking first port arrival or last port clearance at non-standard gateways (i.e. airports not normally utilised for international clearances) may be given approval, subject to their agreement to provide advance passenger information four (4) days prior to their scheduled arrival or departure date. That data enables Customs to risk assess those flights in sufficient time to arrange deployment of resources necessary to manage the pre-determined level of threat or risk to those (usually remote) locations. Full cost recovery, including salaries and transport costs is

applicable to these flights. If the operator is not prepared to agree to these conditions, the flight must arrive or depart from an established international airport.

**NEW ZEALAND** (Customs operates primary line)

1. NZ Customs Service operates an API system using a proprietary message format that was developed in conjunction with the national carrier Air NZ. Passenger biographic details are transmitted from the airline to NZ Customs Service at check in time. Biographic details include first and last name, date of birth, official travel document No., document issuing country and gender. The airline is authorised to grant Express clearance via an Express primary line lane to passengers that are of no interest to Customs. There is no data capture at the Express lane as the movement record and alert checking have already been completed when the passenger checked in.
2. NZ Customs Service supports the transmission of API data via a cut down version of the UN-EDIFACT PAXLST message. Using PAXLST, Customs is able to electronically receive and transmit information on passengers, as they are en route to New Zealand, from overseas counterparts in Customs or Immigration or other agencies. The system automatically creates a passport file record and feeds details to an 'alert file'. As a result, it then generates a list of suspect persons or passports, as well as a listing of passengers on the flight.
3. Initiatives currently under development include API from Travel Agents, API from Airlines, access to Airport Check-in Systems (ACS) and Departure Control Systems (DCS), and front end search engine access by NZ Customs Service to air carrier Systems
4. The electronic receipt of passenger data means less physical recording of data by the Border Control Agencies on arrival and departure leading to faster clearance. It is estimated that passengers notified by advanced means can be cleared up to 20 % faster than those using the normal procedures.

**KOREA (REP.OF)** (Immigration operates primary line)

1. With the grand opening of the Incheon International Airport at 29 March 2001, Korea Customs Service decided to adopt API system. It was the appropriate decisions to enhance its effectiveness due to the increased compliance risk posed by the growth in passenger traffic and limited manpower resources.

2. Not all the carriers are participating to the API system in Korea, but to encourage carriers to capture and transmit passenger data, KCS provided Machine Readable Passport readers to the carriers in the airport of departure and its planning to continue to provide it to the intending carriers.
3. The system currently operate as follows:
  - Prior to or at the time of passenger check-in, the carriers capture the necessary data (First and Last Name, Date of Birth, Passport Number, and Nationality) through MRP/R.
  - The API data is transmitted to Korea Customs Intelligence System where the data is processed against various database. The system produces list of identified suspects before the arrival of the passengers.
  - During the Immigration Service procedures, processed personal data are automatically transmitted to Customs Intelligence System to alert the arrival of the identified suspect.
  - A roving team of Customs officers with PDA (Personal Digital Assistant) could get this information simultaneously and traces the identified suspect to the Inspection Counter.
  - Other passengers who have nothing to declare can proceed with oral declaration without Customs inspection.
4. With the introduction of the API system and other measures to facilitate passenger process, the overall time taken to complete the clearance process, from the time of disembarkation to the exit from the customs has been reduced to less than 30 minutes to more than legitimate (non-selected ) 95% of passenger.

## **CANADA** (Customs operates primary line)

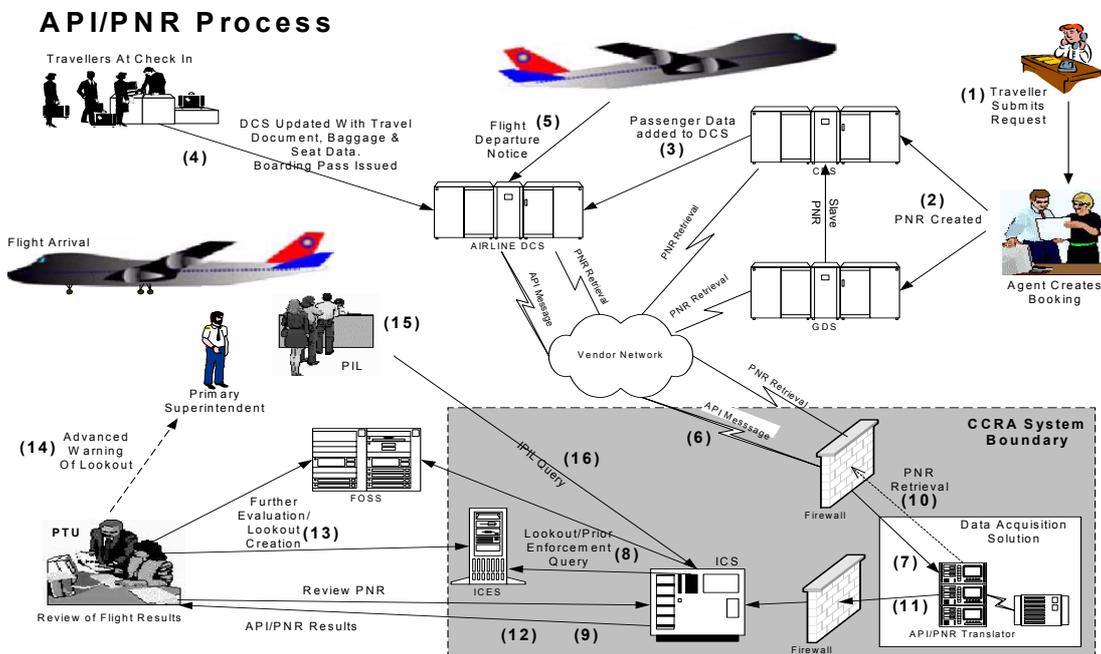
### 1. Overview

The API-PNR project results from the need to provide both Citizenship and Immigration Canada (CIC) and Canada Customs and Revenue Agency (CCRA) officials with advance information regarding travellers destined for Canada prior to their arrival. The initial phase of the project will focus on the analysis of air travellers on commercial international flights originating outside North America. However, subsequent phases of the project may include travellers arriving by marine, rail, or highway.

The API-PNR system utilizes two primary sets of data to analyze individuals scheduled to arrive in Canada via an international flight: the Advanced Passenger Information (API) record (data elements from the machine readable zone of the passport) and the Passenger Name Record (PNR). Any flight that departs for Canada must provide an API record identifying every individual listed on board an aircraft immediately upon departure of the aircraft. The Passenger Name Record is the collection of reservation data associated with the trip the individual is embarking on, including all flight segments, seating arrangements, accompanying passengers, etc.

The manifest (API) and PNR data for a flight is to be delivered to the API-PNR System by a third party product provided by Société Internationale de Télécommunications Aéronautic (SITA). The product is responsible for receiving from the airline the API data for each flight departed for Canada, retrieving all of the related PNR data for every individual on the flight, and delivering that information to the API-PNR System for storage and analysis.

The main goal of the API-PNR system is to provide the capability for CCRA and CIC officers to be forewarned of individuals inbound to Canada that may require review. Officers are to be provided with a mechanism to schedule automated analysis of passenger data upon the notification the flight has departed for Canada and to be informed of any possible hits on the individual within the existing enforcement data sources. The officer may then view the results of the analysis prior to the aircraft arrival. Every query and review of passenger data will be audited.



The diagram represents the various entities of the API-PNR System. Of major interest is the vendor provided suite of products which:

- 1) Receive manifest data from the airline Departure Control Systems upon the departure of an aircraft destined to arrive in Canada.
- 2) Query the Airline Reservation Systems and the Global Delivery Systems for detailed passenger reservation data contained within a Passenger Name Record for every passenger listed on the manifest received.
- 3) Normalize the reservation data into a single PNR representation (from the various representations of the ARS and GDS systems).
- 4) Format both the flight manifest API data and PNR records as XML documents and queue the message for delivery to the API-PNR System.
- 5) Provide the ability to receive flight schedule information via the queue and ad-hoc retrieval of Passenger Name Record data via an HTTP connection.

The API PNR System has two major components:

- 1) An online component to handle user interaction with the API-PNR System. This component resides within the existing WebSphere Application Server and utilises much of the existing CCRA ICS Framework components.
- 2) A flight analysis component that receives API/PNR data for an inbound flight from the vendor provided system and invokes an automated API analysis of the manifest. It will also invoke any automated analysis of the Passenger Name Record data (if required).

The flight analysis component utilises the services provided by the Risk Assessment Component, which will perform a query of the various enforcement data sources for every individual listed on flight manifest.

The ability to perform passenger analysis on the reservation data is dependent upon the nature of the Passenger Name Record provided to CCRA from the provider system. Certain fields or attributes may not be available for inclusion in search criteria.

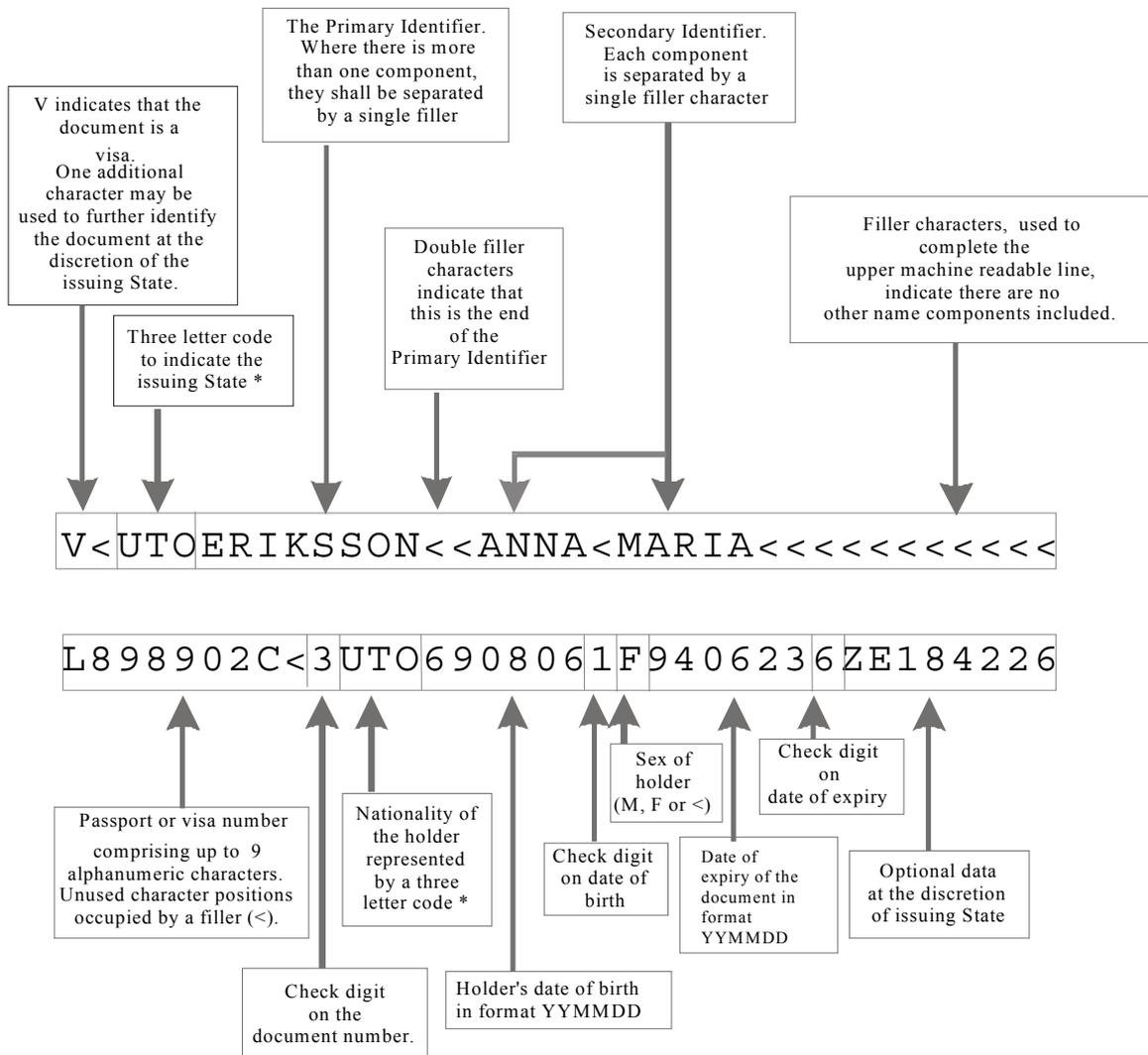
The ability to retrieve airport tombstone data and receive flight schedules is entirely dependent upon the system/mechanism procured to acquire the data.

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## 2. CONSTRUCTION OF THE MACHINE READABLE ZONE OF FORMAT B VISA



### Notes

1. \* Three letter codes are given in Appendix I of Section III. (*This note is in reference to the ICAO document*)
2. Dotted lines indicate data fields; these, together with arrows and comment boxes, are shown for the reader's understanding only and are not printed on the document.
3. Data is inserted into a field beginning at the first character position starting from the left. Any unused character positions shall be occupied by filler characters (<).





**WCO/IATA  
PASSENGER LIST MESSAGE  
(PAXLST)  
IMPLEMENTATION GUIDE**

**19 March 2003**

*As this Guide is considered to be a living document, potential developers and users of the PAXLST message are recommended to confirm with the WCO or IATA that they are in possession of the latest version.*

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# WCO/IATA PAXLST IMPLEMENTATION GUIDE

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## PASSENGER LIST MESSAGE (PAXLST) IMPLEMENTATION GUIDE

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# PASSENGER LIST MESSAGE (PAXLST) IMPLEMENTATION GUIDE

***This Document includes all the data requirements agreed by the WCO, IATA and ICAO and should be used as a basis for development of the air mode PAXLST message.***

***The WCO Permanent Technical Committee formally adopted the Advanced Passenger Information Guidelines and this Implementation Guide in March 2003.***

***IATA formally adopted the revised PAXLST message in January 2003.***

## 1. 1.0 INTRODUCTION

The first edition of the Advanced Passenger Information Guidelines was published in 1993 and included the data requirements that airlines were required to provide when reporting Advanced Passenger Information (API) to Border Control Authorities.

The Guideline also contained the specifications for the WCO/IATA subset of the UN/EDIFACT PAXLST message that had been designed as multi-modal, multi-functional message.

In October 2002, the WCO and IATA jointly updated the API Guidelines and reached agreement on a revised set of API data requirements.

This finalised set represents the maximum number of requirements that the airlines may be required to provide when reporting Advanced Passenger Information (API) to Border Control Authorities.

Airlines need to be aware that some Border Control Authorities may not require all elements of the set.

The set of requirements have been mapped into the WCO/IATA subset of the UN/EDIFACT PAXLST message and a detailed PAXLST Message Implementation Guide has been developed by the WCO and IATA.

The purpose of this Guide is to aid border control authorities and airlines in the understanding of the UN/EDIFACT PAXLST message before beginning detailed development and implementation.

This Guide contains the PAXLST message branching diagram and describes the function and use of each segment within its relative position within the message. Examples on a segment basis and on a message basis are also included.

## 2. 2.0 MESSAGE RELATIONSHIPS

The PAXLST is a standalone batch message for which there is no direct response message.

The agreed data requirements for the WCO/IATA PAXLST message are defined in Section 8 of the Advanced Passenger Information Guidelines and for the purpose of message design are reproduced as follows:

### **Flight Information (Header Data)**

- Airline Code and Flight Number
- Last Place/Port of Call for Aircraft
- Place/Port of Initial Arrival for Aircraft
- Scheduled Local Departure Dates/Times
- Scheduled Local Arrival Dates/Time
- Subsequent Place(s)/Port(s) of Call within the Country (for Progressive Flights)
- Place/Port of Final Destination within the Country (for Progressive Flights)
- Number of Passengers and Number of Crew Members

### **Data relating to each individual passenger or crew member :**

- Core Data Elements as may be found in the Machine Readable Zone of the Official Travel Document
  - Official Travel Document Number
  - Issuing State or Organization of the Official Travel Document
  - Official Travel Document Type
  - Expiration Date of Official Travel Document
  - Surname/Given Name(s)
  - Nationality
  - Date of Birth
  - Gender
- Additional Data elements
  - Visa Number
  - Issue Date of the Visa
  - Place of Issuance of the Visa
  - Other Document Number Used for Travel
  - Type of Other Document Used for Travel
  - Primary Residence
    - Address
    - City
    - State/Province/County
    - Postal Code
    - Country

Destination Address

Address

City

State/Province/County

Postal Code

Place of Birth

Country of Primary Residence

Traveller's Status

Place/Port of Original Embarkation

Place/Port of Clearance

Place/Port of Onward Foreign Destination

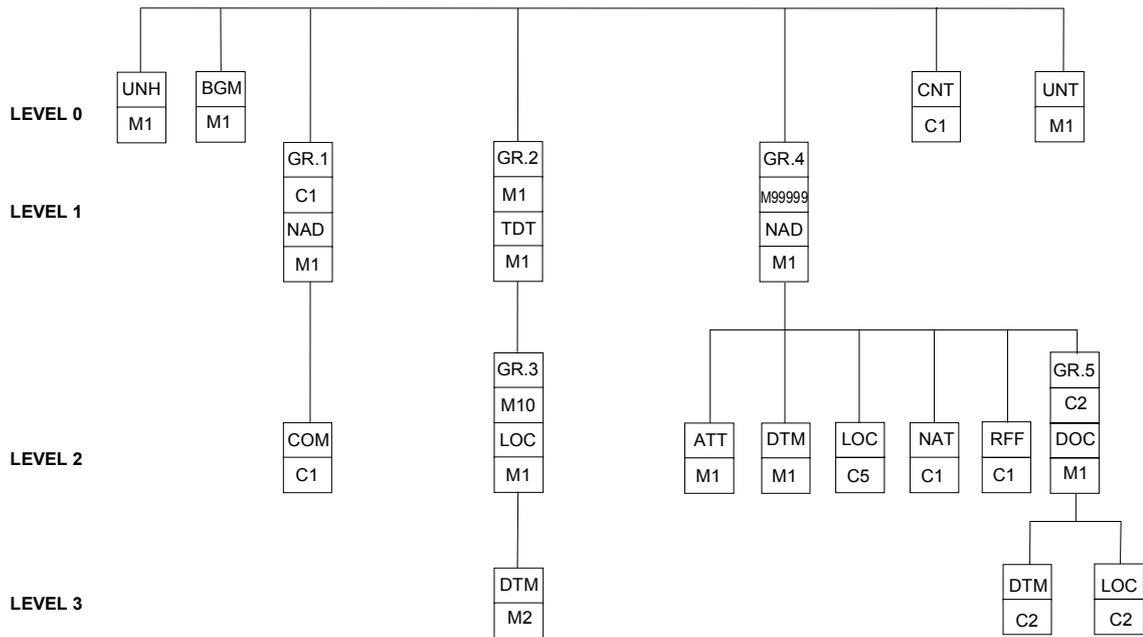
Passenger Name Record Locator Number (or unique identifier)

In addition, there may a requirement to include 'Contact Information' of the person or entity responsible for the message content.

### 3. 3.0 MESSAGE STRUCTURE FOR THE PAXLST MESSAGE

This message specification is based on the UN/EDIFACT Passenger List (PAXLST) Message and is specific to the air mode. It permits the transfer of passenger and crew member data from an airline to a Border Control Authority or other designated authority in the country of arrival of the means of transport.

The basic concept of the PAXLST message is that there is one message for all passengers on the specified flight and there is another message for the crew members on that flight. The messages may be transmitted separately or combined into one transmission.



A. 3.1 APPLICATION SEGMENTS USED IN THE WCO/IATA PAXLST MESSAGE

The segments included in the air mode implementation of PAXLST are:

ATT	Attribute
BGM	Beginning of Message
CNT	Control Total
COM	Communication Contact
DOC	Document/Message Details
DTM	Date/Time/Period
LOC	Place/Location Identification
NAD	Name and Address
NAT	Nationality
RFF	Reference
TDT	Details of Transport
UNH	Message Header
UNT	Message Trailer

It should be noted that the UN/EDIFACT PAXLST message includes other segments not included above.

B. 3.2 UNITED NATIONS SERVICE SEGMENTS

The UN Service Segments UNA, UNB and UNZ should be implemented as they are described in ISO 9735 Application Level Syntax Rules - Version 4.

Data requirements for these segments are determined on a bilateral basis between individual airlines and respective border control authorities.

#### 4. 4.0 SEGMENT DETAILS FOR USE IN THE PAXLST MESSAGE

This Section provides a detailed table of each segment, in their relative position within the message, that may be required for the air mode PAXLST message.

Each table contains the UN/EDIFACT composite element and data element names, numbers and formats.

The table also contains the PAXLST format and status (Mandatory, Conditional or Not Applicable) of the elements within the segment, the number of repetitions, and the indication of a code set.

The elements that may be used in each segment is indicated by **bolding** the element name.

**M** or **C** in the Status column indicate a Mandatory or Conditional element.

**N/A** in the Status column indicates that there is no requirement to populate this field.

Additional comments on the use of the elements are also provided.

Code set values that may be used in each segment are provided in **BOLD** text. Examples of other values are provided in ***BOLD ITALICISED*** text.

A. 4.1 UNH: MESSAGE HEADER

Function: To identify and specify the PAXLST message.

The conditional Status (C) of elements within this segment is used to indicate that Border Control Authorities may establish bilateral requirements for these data elements.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep	Code Set	Comp.	Values / Comments
<b>MESSAGE REFERENCE NUMBER</b>	0062	an..14	an..14	M	1	-	-	'MSG001' Will be repeated in UNT data element 0062
<b>MESSAGE IDENTIFIER</b>	S009	-	-	M	1	-	-	
Message type	0065	an..6	a6	M	1	-	S009	<b>PAXLST</b>
Message version number	0052	an..3	a1	M	1	-	S009	<b>D</b>
Message release number	0054	an..3	an2	M	1	-	S009	<b>02B</b>
Controlling agency, coded	0051	an..2	a2	M	1	-	S009	<b>UN</b>
Association assigned code	0057	an..6	a4	M	1	-	S009	<b>IATA</b> See Note
Code list directory version number	0110	an..6		C			S009	
Message type sub-function identification	0113	an..6		C			S009	
<b>COMMON ACCESS REFERENCE</b>	0068	an..35		C	1			
<b>STATUS OF THE TRANSFER</b>	S010			C	1			
Sequence of transfers	0070	n..2		M			S010	
First and last transfer	0073	a1		C			S010	
<b>MESSAGE SUBSET IDENTIFICATION</b>	S016			C	1			
Message subset identification	0115	an..14		M			S016	
Message subset version number	0116	an..3		C			S016	

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep	Code Set	Comp.	Values / Comments
Message subset release number	0118	an..3		C			S016	
Controlling agency, coded	0051	an..3		C			S016	
MESSAGE IMPLEMENTATION GUIDELINE IDENTIFICATION	S017			C	1			
Message implementation guideline identification	0121	an..14		M	1		S017	
Message implementation guideline version number	0122	an..3		C			S017	
Message implementation guideline release number	0124	an..3		C			S017	
Controlling agency, coded	0051	an..3		C			S017	
SCENARIO IDENTIFICATION	S018			C	1			
Scenario identification	0127	an..14		M			S018	
Scenario version number	0128	an..3		C			S018	
Scenario release number	0130	an..3		C			S018	
Controlling agency, coded	0051	an..3		C			S018	

**Example**

**UNH+MSG001+PAXLST:D:02B:UN:IATA'**

**Note**

The use of code value 'IATA' in data element 0057 is used to indicate that airport and airline codes are IATA assigned codes.

B. 4.2 BGM: BEGINNING OF MESSAGE

Function: To indicate whether the PAXLST message is a passenger or crew list message.

Passenger and crew details **must** be reported in separate PAXLST messages but they may be included in one transmission.

Composite/Data Element	No.	Field Type	Comm. Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>DOCUMENT/ MESSAGE NAME</b>	C002	-	-	M	1	-	-	
<b>Document name code</b>	1001	an..3	n3	M	1	Yes	C002	<b>250, 745</b>
Code list identification code	1131	an..17	-	N/A	-	-	-	
Code list responsible agency code	3055	an..3	-	N/A	-	-	-	
Document name	1000	an..35	-	N/A	-	-	-	
<b>DOCUMENT/MESSAGE IDENTIFICATION</b>	C106							
Document identifier	1004	an..35		N/A				
Version identifier	1056	an..9		N/A				
Revision identifier	1060	an..6		N/A				
<b>MESSAGE FUNCTION CODE</b>	1225	an..3		N/A				
<b>RESPONSE TYPE CODE</b>	4343	an..3		N/A				

**Example**

- BGM+745'** Indicates passenger list
- BGM+250'** Indicates crew list declaration

C. 4.3 NAD: NAME AND ADDRESS - GR. 1

Function: To specify a contact responsible for the message content.  
This may either be an assigned profile or the name of the contact person.

If the 'name' (data elements 3036) is used, then contact details must be provided in the following COM (Communication Contact) segment.

Composite/Data Element	No.	Field Type	Comm. Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>PARTY FUNCTION CODE QUALIFIER</b>	3035	an..3	a2	M	1	Yes	--	<b>MS</b>
<b>PARTY IDENTIFICATION DETAILS</b>	C082	-	-	C	1	-	-	Used if a Profile has been assigned
<b>Party identifier</b>	3039	an..35	an..35	M	1	-	C082	<b>'ABC9876'</b>
Code list identification code	1131	an..17	-	N/A	-	-	-	
Code list responsible agency code	3055	an..3	-	N/A	-	-	-	
<b>NAME AND ADDRESS</b>	C058			N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
<b>PARTY NAME</b>	C080	-	-	C	1	-	-	Used if profile has not been established.
<b>Party Name</b>	3036	an..35	an..35	M	1	--	C080	<b>'WILLIAMS'</b> Contact Surname
<b>Party Name</b>	3036	an..35	an..35	M	1	-	C080	<b>'JANE'</b> Contact First Name
Party Name	3036	an..35	-	N/A	-	-	-	
Party Name	3036	an..35	-	N/A	-	-	-	
Party Name	3036	an..35	-	N/A	-	-	-	
Party name format code	3045	an..3		N/A	-	-	-	

Composite/Data Element	No.	Field Type	Comm. Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
STREET	C059			N/A				
Street and number or post office box identifier	3042	an..35		N/A				
Street and number or post office box identifier	3042	an..35		N/A				
Street and number or post office box identifier	3042	an..35		N/A				
Street and number or post office box identifier	3042	an..35		N/A				
CITY NAME	3164	an..35		N/A				
COUNTRY SUB-ENTITY DETAILS	C819			N/A				
Country sub-entity name code	3229	an..9		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
Country sub-entity name	3228	an..70		N/A				
POSTAL IDENTIFICATION CODE	3251	an..17		N/A				
COUNTRY NAME CODE	3207	an..3		N/A				

**Examples**

1. NAD+MS+ABC9876' Indicates that a profile has been established for this contact with this assigned identification
  
2. NAD+MS+++WILLIAMS:JANE' Indicates the name of the contact person

D. 4.4 COM: COMMUNICATION CONTACT - GR. 1

Function: To specify the communication number(s) of the person responsible for the message content. Up to 3 communication numbers can be provided.

Data must be provided if no contact profile has been established.

Composite/Data Element	No.	Field Type	Comm Usage	Status	MaxRep.	Code Set	Comp.	Values / Comments
<b>COMMUNICATION CONTACT</b>	C076	-	-	M	3	-	-	
<b>Communication address identifier</b>	3148	an..512	an..35	M	1	-	C076	'514 874 0202'
<b>Communication address code qualifier</b>	3155	an..3	a2	M	1	Yes	C076	<b>EM, FX, TE</b>

**Notes**

1. The contact details for the 'physical transmitter' of the message may be supplied in data element 0004 in the UNB segment.

**Example**

**COM+514 874 0202:TE+514 874 1779:FX'**

Indicates telephone number and fax number of the message sender/contact

E. 4.5 TDT: DETAILS OF TRANSPORT- GR. 2

Function: To identify the flight by IATA airline designator and flight number.

Composite/Data Element	No.	Field Type	Comm. Usage	Status	Max Rep	Code Set	Comp	Values / Comments
<b>TRANSPORT STAGE CODE QUALIFIER</b>	8051	an..3	n2	M	1	Yes	-	<b>20</b>
<b>MEANS OF TRANSPORT JOURNEY IDENTIFIER</b>	8028	an..17	an..8	M	1	-	-	<b>'DL123'</b>
<b>MODE OF TRANSPORT</b>	C220			N/A				
Transport mode name code	8067	an..3		N/A				
Transport mode name	8066	an..17		N/A				
<b>TRANSPORT MEANS</b>	C228			N/A				
Transport means description code	8179	an..8		N/A				
Transport means description	8178	an..17		N/A				
<b>CARRIER</b>	C040			N/A				
Carrier identifier	3127	an..17		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
Carrier name	3128	an..35		N/A				
<b>TRANSIT DIRECTION INDICATOR CODE</b>	8101	an..3		N/A				

Composite/Data Element	No.	Field Type	Comm. Usage	Status	Max Rep	Code Set	Comp	Values / Comments
EXCESS TRANSPORTATION INFORMATION	C401			N/A				
Excess transportation reason code	8457	an..3		N/A				
Excess transportation responsibility code	8459	an..3		N/A				
Customer shipment authorisation identifier	7130	an..17		N/A				
TRANSPORT IDENTIFICATION	C222			N/A				
Transport means identification name identifier	8213	an..9		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
Transport means identification name	8212	an..35		N/A				
Transport means nationality code	8453	an..3		N/A				
TRANSPORT MEANS OWNERSHIP INDICATOR CODE	8281	an..3		N/A				

**Example**

**TDT+20+DL123'** Indicates flight identification DL123

F. 4.6 LOC: PLACE/LOCATION IDENTIFICATION - GR.3

Function: To identify the arrival and departure airports relating to the specified flight.

Airport codes are published in the IATA Airline Coding Directory.

Composite/Data Element	No.	Field Type	Comm Usage	Status	MaxRep	Code Set	Comp.	Values / Comments
<b>LOCATION FUNCTION CODE QUALIFIER</b>	3227	an..3	n..3	M	1	Yes	-	<b>87, 92, 125, 130</b>
<b>LOCATION IDENTIFICATION</b>	C517	-	-	M	1	-	-	IATA Locaton Identifiers (Airport Codes)
<b>Location name code</b>	3225	an..35	a3	M	1	-	C517	'YUL'
Code list identification code	1131	an..17	-	N/A	-	-	-	
Code list responsible agency code	3055	an..3	-	N/A		-	-	
Location name	3224	an..256	-	N/A		-	-	
<b>RELATED LOCATION ONE IDENTIFICATION</b>	C519			N/A				
First related location name code	3223	an..25		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
First related location name	3222	an..70		N/A				
<b>RELATED LOCATION TWO IDENTIFICATION</b>	C553			N/A				
Second related location name code	3233	an..25		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
Second related location name	3232	an..70		N/A				
<b>RELATION CODE</b>	5479	an..3		N/A				

## Examples

1. For a single sector progressive flight departing Brussels to New York, the following data would be provided.

**LOC+125+BRU'** Indicates the last airport of departure from a foreign country, i.e. Brussels National

**LOC+87+JFK'** Indicates the first airport of arrival in the country of destination, i.e. John F Kennedy International, New York

2. For a multi-sector progressive flight departing Heathrow to Vancouver via Montreal and Ottawa, the following data would be provided.

**LOC+125+LHR'** Indicates the last airport of departure from a foreign country, i.e. London Heathrow

**LOC+87+YUL'** Indicates the first airport of arrival in the country of destination, i.e. Montreal Dorval

**LOC+92+YOW'** Indicates the next airport in the country of destination, i.e. Ottawa International

**LOC+130+YVR'** Indicates the final destination airport in the country of destination, i.e. Vancouver International

G. 4.7 DTM: DATE/TIME/PERIOD - GR. 3

Function: To specify the departure and arrival dates for a flight.  
If required, departure and arrival times may also be specified.

All dates and times will be provided in LOCAL time.

Composite/Data Element	No.	Field Type	Comm Usage	Status	MaxRep.	Code Set	Comp	Values / Comments
<b>DATE/TIME/ PERIOD</b>	C507	-	-	M	1	-	-	
<b>Date or time or period function code qualifier</b>	2005	an..3	n3	M	1	Yes	C507	<b>189, 232</b>
<b>Date or time or period value</b>	2380	an..35	n6 or n10	M	1	-	C507	The default format is 'YYMMDD' (n6) <b>'020819'</b> Other format is 'YYMMDDHHMM' (n10). <b>'0208181315'</b>
<b>Date or time or period format code</b>	2379	an..3	n3	C	1	Yes	C507	<b>'201'</b> If time (HHMM) is included in data element 2380

**Examples**

1. **DTM+189:0208181315:201'** Indicates the scheduled departure date and time of the flight, (i.e. August 18, 2002 at 13:15)  
Code 201 is used to indicate a YYMMDDHHMM format.
2. **DTM+232:020819'** Indicates the scheduled arrival date of flight (i.e. August 19, 2002)

H. 4.8 NAD: NAME AND ADDRESS - GR. 4

Function: To specify the names of passengers and crew aboard a specified flight.

The segment may also be used to specify either the address details of the country of residence or the address details while in a specific country.

Composite/Data Element	No.	Field Type	Comm. Usage	Status	MaxRep.	Code Set	Comp.	Values / Comments
<b>PARTY FUNCTION CODE QUALIFIER</b>	3035	an..3	a2	M	1	Yes	-	DDT, DDU, FL, FM
PARTY IDENTIFICATION DETAILS	C082			N/A				
Party identifier	3039	an..35		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
NAME AND ADDRESS	C058			N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
Name and address description	3124	an..35		N/A				
<b>PARTY NAME</b>	C080	-	-	M	1	-	-	Passenger or Crew Names
<b>Party Name</b>	3036	an..35	an..30	M	1	-	C080	'SMITH' Last name
<b>Party Name</b>	3036	an..35	an..30	C	1	-	C080	'JOAN' First given name (or initial)
<b>Party Name</b>	3036	an..35	an..30	C	1	-	C080	'A' Second given name (or initial)
Party Name	3036	an..35	-	N/A	-	-	-	
Party Name	3036	an..35	-	N/A	-	-	-	
Party name format code	3045	an..3	-	N/A	-	-	-	

Composite/Data Element	No.	Field Type	Comm Usage	Status	MaxRep	Code Set	Comp.	Values / Comments

Composite/Data Element	No.	Field Type	Comm Usage	Status	MaxRep	Code Set	Comp.	Values / Comments
<b>STREET</b>	C059	-	-	C	-	-	-	Street Address
<b>Street and number or post office box identifier</b>	3042	an..35	an...35	M	1	-	C059	' <b>235 WESTERN ROAD SUITE 203</b> '
Street and number or post office box identifier	3042	an..35	-	N/A	-	-	-	
Street and number or post office box identifier	3042	an..35	-	N/A	-	-	-	
Street and number or post office box identifier	3042	an..35	-	N/A	-	-	-	
<b>CITY NAME</b>	3164	an..35	an..35	C	1	-	-	' <b>SLEAFORD</b> '
<b>COUNTRY SUB-ENTITY DETAILS</b>	C819	-	-	C	1	-	-	State/Province/County Either a code in data element 3229 or a name in data element 3228
<b>Country sub-entity name code</b>	3229	an..9	an..9	C	1	-	C819	' <b>FL</b> '
<b>Code list identification code</b>	1131	an..17	-	C	1	-	C819	No value required but element must be accounted for if data element 3228 included
<b>Code list responsible agency code</b>	3055	an..3	-	C	1	-	C819	No value required but element must be accounted for if data element 3228 included
<b>Country sub-entity name</b>	3228	an..70	an..35	C	1	-	C819	' <b>LINCS</b> '
<b>POSTAL IDENTIFICATION CODE</b>	3251	an..17	an..17	C	1	-	-	' <b>PE22 4T5</b> '
<b>COUNTRY NAME CODE</b>	3207	an..3	a3	C	1	-	-	' <b>GBR</b> ' ICAO codes in Doc 9303/ISO 3166

### Examples

1. **NAD+FL+++SMITH:JOAN:A'** Indicates passenger with last name Smith, first name Joan and initial A
2. **NAD+FL+++WILLIAMS:JOHN:DONALD+235 WESTERN ROAD SUITE 203+SLEAFORD+:::LINCS+PE22 4T5+GBR'** Indicates passenger with last name Williams, first name John, and second name Donald and with country of residence address.

I. 4.9 ATT: ATTRIBUTE - GR. 4

Function: To identify the gender of the passenger or crew member.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>ATTRIBUTE FUNCTION CODE QUALIFIER</b>	9017	an..3	a1	M	1	Yes	-	<b>2</b>
ATTRIBUTE TYPE	C955			N/A			-	
Attribute type description	9021	an..17		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
Attribute type description	9020	an..70		N/A				
<b>ATTRIBUTE DETAIL</b>	C956	-	-	M	1	-	C956	
<b>Attribute description code</b>	9019	an..17	a1	M	1	Yes	C956	<b>F, M, U</b>
Code list identification code	1131	an..17	-	N/A	-	-	-	
Code list responsible agency code	3055	an..3	-	N/A	-	-	-	
Attribute description	9018	an256	-	N/A	-	-	-	

**Example**

**ATT+2++F'** Indicates a female passenger or crew member

**ATT+2++M'** Indicates a male passenger or crew member

**ATT+2++U'** Indicates when a passenger or crew member does not wish to divulge gender and the Machine Readable Zone of a document has no value (i.e. <).

J. 4. 10 DTM: DATE/TIME/PERIOD - GR. 4

Function: To specify the date of birth of a passenger or crew member.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>DATE/TIME/ PERIOD</b>	C507	-	-	M	1	-	-	
<b>Date or time or period function code qualifier</b>	2005	an..3	a3	M	1	Yes	C507	<b>329</b>
<b>Date or time or period value</b>	2380	an..35	n6	M	1	-	C507	<b>'640217'</b> Format is always 'YYMMDD'
Date or time or period format code	2379	an..3	-	N/A	-	-	-	

**Examples**

**DTM+329:640217'** Indicates the date of birth of the passenger or crew member  
(i.e. February 17, 1964.)

K. 4.11 LOC: PLACE/LOCATION IDENTIFICATION - GR. 4

Function: To identify the place of birth, the airports related to the journey, and the country of residence of passengers or crew members.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>LOCATION FUNCTION CODE QUALIFIER</b>	3227	an..3	n..3	M	1	Yes	-	<b>22, 174, 178, 179, 180</b>
<b>LOCATION IDENTIFICATION</b>	C517	-	-	M	1	-	-	Either Airports related to the journey, Place of Birth or Country of Residence
<b>Location name code</b>	3225	an..35	a3	C	1	Yes	C517	' <b>LIS</b> ' Airport related to journey Or ' <b>CAN</b> ' Country of residence
<b>Code list identification code</b>	1131	an..17	-	C	1	-	C517	No value required but element must be accounted for if data element 3224 included
<b>Code list responsible agency code</b>	3055	an..3	-	C	1	-	C517	No value required but element must be accounted for if data element 3224 included No value required
<b>Location name</b>	3224	an..256	an..35	C	1	-	C517	' <b>AMBER HILL GBR</b> ' Place of Birth
<b>RELATED LOCATION ONE IDENTIFICATION</b>	C519			N/A				
First related location name code	3223	an..25		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
First related location name	3222	an..70		N/A				

Composite/Data Element	No.	Field Type	Comm Usage	Status	MaxRep	Code Set	Comp.	Values / Comments
RELATED LOCATION TWO IDENTIFICATION	C553			N/A				
Second related location name code	3233	an..25		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
Second related location name	3232	an..70		N/A				
RELATION CODE	5479	an..3		N/A				

### Examples

1. **LOC+178+LIS'** Indicates the airport where a passenger or crew member began their journey, i.e. Lisbon
2. **LOC+179+ORD'** For intransit passengers or crew members or for progressive clearance flights, indicates the airport where a passenger or crew member will end their journey, i.e. Chicago O'Hare.
3. **LOC+22+BOS'** For intransit passengers or crew members or for progressive clearance flights, indicates the airport where a passenger or crew member will complete clearance procedures, i.e. Boston Logan.
4. **LOC+180+:::AMBER HILL GBR'** Indicates the place of birth as per ICAO Document 9303.
5. **LOC+174+CAN'** Indicates the country of residence as per ICAO Document 9303 ISO 3166 (3 alpha).

L. 4.12 NAT: NATIONALITY - GR. 4

Function: To specify the nationality of the passenger or crew member.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep	Code Set	Comp	Values / Comments
<b>NATIONALITY CODE QUALIFIER</b>	3493	an..3	n1	M	1	Yes	1	<b>2</b>
<b>NATIONALITY DETAILS</b>	C042	-	-	M	1	-	-	ICAO 9303/ISO 3166 codes
<b>Nationality name code</b>	3293	an..3	a3	M	1	-	C042	<b>'CAN'</b>
Code list identification code	1131	an..17	-	N/A	-	-	-	
Code list responsible agency code	3055	an..3	-	N/A	-	-	-	
Nationality name	3292	an..35	-	N/A	-	-	-	

**Example**

**NAT+2+CAN'**

Indicates current nationality as a Canadian

M. 4.13 RFF: REFERENCE - GR. 4

Function: To specify the passenger reservation reference number.

Composite/Data Element	No.	Field Type	Comm. Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>REFERENCE</b>	C506			M	1	-	-	
<b>Reference code qualifier</b>	1153	an..3	a3	M	1	Yes	C506	<b>AVF</b>
<b>Reference identifier</b>	1154	an..70	an..35	M	1	-	C506	<b>'WWHPDS'</b>
Document line identifier	1156	an..6	-	N/A	-	-	-	
Reference version identifier	4000	an..35	-	N/A	-	-	-	
Revision identifier	1060	an..6	-	N/A	-	-	-	

**Example**

**RFF+AVF:WWHPDS'**

Indicates passenger reservation reference number

N. 4.14 DOC: DOCUMENT/MESSAGE DETAILS - GR. 5

Function: To identify the official travel document and/or other document used for travel.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>DOCUMENT/ MESSAGE NAME</b>	C002	-	-	M	1	-	-	Document types as per ICAO 9303
<b>Document name code</b>	1001	an..3	a..2	M	1	Yes	C002	<b>P, V</b> <i>See Notes</i>
Code list identification code	1131	an..17	-	N/A	-	-	-	
Code list responsible agency code	3055	an..3	-	N/A	-	-	-	
Document name	1000	an..35	-	N/A	-	-	-	
<b>DOCUMENT/ MESSAGE DETAILS</b>	C503	-	-	M	1	-	-	Document number
<b>Document identifier</b>	1004	an..35	an..9	M	1	-	C503	<b>'98764312'</b>
Document status code	1373	an..3	-	N/A	-	-	-	
Document source description	1366	an..70	-	N/A	-	-	-	
Language name code	3453	an..3	-	N/A	-	-	-	
Version identifier	1056	an..9	-	N/A	-	-	-	
Revision identifier	1060	an..6	-	N/A	-	-	-	
<b>COMMUNICATION MEDIUM TYPE CODE</b>	3153	an..3		N/A				
<b>DOCUMENT COPIES REQUIRED QUANTITY</b>	1220	n..2		N/A				
<b>DOCUMENT ORIGINALS REQUIRED QUANTITY</b>	1218	n..2		N/A				

**Example**

**DOC+P+98764312'** Indicates that the document type is a passport and its number.  
**DOC+V+9891404'** Indicates that the document type is a visa and its number.

## Notes

ICAO 9303 document types also include the characters **A, C, I** and may be used to indicate an Identity Card. The exact use will be defined by the Issuing State.

One additional character may be used after P, V, A, C, I to further identify the document at the discretion of the Issuing State. The exact use will be defined by the Issuing State.

Document Type '**AC**' is reserved for use as 'Crew Member Certificate' and Document Type '**IP**' is reserved for use as 'Passport Card'.

States may approve other documents as identification for travel use. Document type codes will be assigned by the Issuing State.

Certain States have agreed to assign code '**F**' to identify 'approved non-standard identity documents used for travel'.

O. 4.15 DTM: DATE/TIME/PERIOD - GR. 5

Function: To specify the expiry date of the official travel document or the issue date of the other document used to travel.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep	Code Set	Comp.	Values / Comments
<b>DATE/TIME/ PERIOD</b>	C507	-	-	M	1	-	-	
<b>Date or time or period function code qualifier</b>	2005	an..3	n..3	M	1	Yes	C507	<b>36, 182</b>
<b>Date or time or period value</b>	2380	an..35	n6	M	1	-	C507	<b>'050723'</b> Format is always 'YYMMDD'.
Date or time or period format code	2379	an..3	-	N/A	-	-	-	

**Examples**

1. **DTM+36:050723'** Indicates the expiry date of the official travel document (i.e. July 23, 2005).
2. **DTM+182:021006'** Indicates the issue date of the other document used for travel (i.e. October 6, 2002).

P. 4.16 LOC: PLACE/LOCATION IDENTIFICATION - GR. 5

Function: To identify either the country of issue of the official travel document or the place of issue of the other document used for travel.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>LOCATION FUNCTION CODE QUALIFIER</b>	3227	an..3	n2	M	1	Yes	-	<b>91</b>
<b>LOCATION IDENTIFICATION</b>	C517	-	-	M	1	-	-	Either Country of Issue of official travel document (data element 3225) or Place of Issue of other document (data element 3224)
<b>Location name code</b>	3225	an..35	a3	C	1	Yes	C517	<b>'CAN'</b> ICAO 9303/ISO 3166 codes
<b>Code list identification code</b>	1131	an..17	-	C	1	-	-	No value required but element must be accounted for if data element 3224 included
<b>Code list responsible agency code</b>	3055	an..3	-	C	1	-	-	No value required but element must be accounted for if data element 3224 included
<b>Location name</b>	3224	an..25 6	an..35	C	1	-	-	<b>'MONTREAL'</b>
<b>RELATED LOCATION ONE IDENTIFICATION</b>	C519			N/A				
First related location name code	3223	an..25		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
First related location name	3222	an..70		N/A				

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep	Code Set	Comp.	Values / Comments
RELATED LOCATION TWO IDENTIFICATION	C553			N/A				
Second related location name code	3233	an..25		N/A				
Code list identification code	1131	an..17		N/A				
Code list responsible agency code	3055	an..3		N/A				
Second related location name	3232	an..70		N/A				
RELATION CODE	5479	an..3		N/A				

### Examples

1. **LOC+91+CAN'** Indicates the State responsible for issuing the passport; i.e. Canada
2. **LOC+91+:::MONTREAL'** Indicates the city where a travel document was issued

Q. 4.17 CNT: CONTROL TOTAL

Function: To provide message control total.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep.	Code Set	Comp.	Values / Comments
<b>CONTROL</b>	C270	-	-	M	1	-	-	
<b>Control total type code qualifier</b>	6069	an..3	n2	M	1	Yes	C270	<b>41, 42</b>
<b>Control total value</b>	6066	n..18	n..4	M	1	-	C270	<b>'160'</b>
Measurement unit code	6411	an..3	-	N/A	-	-	-	

**Notes**

1. The single occurrence of CNT is used to designate the total number of passengers or the total number of crew on a specified flight.
2. If more than one passenger (or crew) message is to be transmitted, the number reported in CNT in each message is the total number of passengers (or crew) on the flight.

It is **NOT** the number of passengers (or crew) being reported in each message.

**Example**

**CNT+42:160'** Indicates a total of 160 passengers on the flight.

**CNT+41:8'** Indicates a total of 8 crew members on the flight.

R. 4.18 UNT: MESSAGE TRAILER

Function: To end and check the completeness of a message by counting the segments in the message (including UNH and UNT) and validating that the message reference number equates to data element 0062 in the UNH segment.

Composite/Data Element	No.	Field Type	Comm Usage	Status	Max Rep	Code Set	Comp.	Values / Comments
<b>NUMBER OF SEGMENTS IN A MESSAGE</b>	0074	n..10	n..10	M	1	-	-	'2578'
<b>MESSAGE REFERENCE NUMBER</b>	0062	an..14	an..14	M	1	-	-	'MSG001' Must be equal to UNH data element 0062

**Example**

**UNT+2578+MSG001'**

5. 5.0 PAXLST MESSAGE EXAMPLES

The examples below are presented on a segment-by-segment basis for readability.

A. 5.1 Single Sector Flight with a Crew Member Clearing at Destination

UNH+PAX001+PAXLST:D:02B:UN:IATA'

BGM+250'

NAD+MS+USD090746'

TDT+20+QF123'

LOC+125+SYD'

DTM+189:0203191540:201'

LOC+87+HNL'

DTM+232:0203200130:201'

NAD+FM+++CLARK:MICHAEL+375 MARISA BLVD SUITE 210

+WASHINGTON+DC+21159'

ATT+2++M'

DTM+329:720907'

DOC+P+MB140241'

DTM+36:051021'

LOC+91+CAN'

CNT+41:1'

UNT+16+PAX001'

B. 5.2 Progressive Flight with a Passenger Arriving in One Country and continuing to another and requiring a visa

UNH+SWCA749+PAXLST:D:02B:UN:IATA'  
BGM+745'  
NAD+MS+++WILLIAMS:JANE '  
COM+41 22 797 2025:TE+41 22 788 4689:FX'  
TDT+20+SW679'  
LOC+125+GVA'  
DTM+189:020322'  
LOC+87+BOS'  
DTM+232:020322'  
DTM+189:020322'  
LOC+92+ATL'  
DTM+232:020322'  
DTM+189:020323'  
LOC+130+SFO'  
DTM+232:020323'  
NAD+DDU+++WINDSOR:ELIZABETH:R'  
ATT+2++F'  
DTM+329:720623'  
LOC+178+NCE'  
LOC+22+ATL'  
LOC+179+MEX'  
LOC+174+FRA'  
NAT+2+CHE'  
RFF+AVF:RXDWWH'  
DOC+P+564SBB41'  
DTM+36+051215'  
LOC+91+FRA'  
DOC+V+VV258DD7'  
DTM+182+021212'  
DTM+36+0421201'  
LOC+91+:::MARSEILLES'  
CNT+42:1'  
UNT+33+SWCA749'

## 6. APPENDIX A

This Section provides data element codes lists that are used in the air mode PAXLST message.

For a complete data element code list, refer to the UN Code Set Directory.

### **1001 Document name code**

Desc: Code specifying the document name.

Repr: an..3

- |     |  |
|-----|--|
| 250 | Crew list declaration<br>Declaration regarding crew members aboard the conveyance.                               |
| 745 | Passenger list<br>Declaration to Customs regarding passengers aboard the conveyance;<br>equivalent to IMO FAL 6. |

### ***ICAO 9303 Document Types***

- |    |                         |  |
|----|-------------------------|--|
| P  | Passport                |  |
| V  | Visa                    |  |
| A  | Identity Card           | (exact use defined by the Issuing State) |
| C  | Identity Card           | (exact use defined by the Issuing State) |
| I  | Identity Card           | (exact use defined by the Issuing State) |
| AC | Crew Member Certificate |  |
| IP | Passport Card           |  |

### ***Other Document Types***

- |   |   |
|---|---|
| F | Approved non-standard identity documents used for travel<br>(exact use defined by the Issuing State). |
|---|---|

### **1153 Reference code qualifier**

Desc: Code qualifying a reference.

Repr: an..3

- |     |   |
|-----|---|
| AVF | Passenger reservation reference number<br>Number assigned by the travel supplier to identify the passenger<br>reservation |
|-----|---|

**2005 Date or time or period function code qualifier**

Desc: Code qualifying the function of a date, time or period.

Repr: an..3

- 36      Expiry date  
Date of expiry of the validity of a referenced document, price information or any other referenced data element with a limited validity period
- 182     Issue date  
Date when a document/message has been or will be issued.
- 189     Departure date/time, scheduled  
Date (and time) of scheduled departure of means of transport
- 232     Arrival date/time, scheduled  
Date (and time) of scheduled arrival of means of transport
- 329     Birth date/time  
Date/time when a person was born.

**2379 Date or time or period format code**

Desc: Code specifying the representation of a date, time or period.

Repr: an..3

- 201     YYMMDDHHMM  
Calendar date including time without seconds  
Y = Year; M = Month; D = Day; H = Hour; M = Minute.

**3035 Party function code qualifier**

Desc: Code giving specific meaning to a party.

Repr: an..3

- DDT     In transit crew member  
The movement of a crew member from one country to another via the territory of an intermediate country for which no entry is intended.
- DDU     In transit passenger  
The movement of a passenger from one country to another via the territory of an intermediate country for which no entry is intended.
- FL      Passenger  
A person conveyed by a means of transport, other than the crew.
- FM      Crew member  
A person manning a means of transport.
- MS      Document/message issuer/sender  
Issuer of a document and/or sender of a message.

### 3155 Communication address code qualifier

Descr: Code qualifying the communication address.

Repr: an..3

- |    |   |
|----|---|
| EM | Electronic mail<br>Exchange of mail by electronic means.  |
| FX | Telefax<br>Device used for transmitting and reproducing fixed graphic material (as printing) by means of signals over telephone lines or other electronic transmission media. |
| TE | Telephone<br>Voice/data transmission by telephone.  |

### 3225 Place/Location Identification

Refer to ATA/IATA defined three letter airport codes as published in the IATA Airline Coding Directory.

For States responsible for issuing official documents, refer to ICAO Doc 9303/ISO 3166.

### 3227 Location function code qualifier

Descr: Code identifying the function of a location.

Repr: an..3

- |     |  |
|-----|--|
| 22  | Customs office of clearance<br>Place where Customs clearance procedure occur.  |
| 87  | Place/port of conveyance initial arrival<br>Place/port in the country of destination where the conveyance initially arrives from the "Last place/port of call of conveyance" (125).  |
| 91  | Place of document issue<br>The place or location where a document is issued.   |
| 92  | Routing<br>Indication of a routing place.<br><i>[PAXLST: Other places/ports within the same State or Country where the referenced flight is scheduled to land (i.e. a progressive flight)].</i>  |
| 125 | Last place/port of call of conveyance<br>Conveyance departed from this last foreign place/port of call to go to "Place/port of conveyance initial arrival" (87).   |
| 130 | Place of ultimate destination of conveyance<br>Seaport, airport, freight terminal, rail station or other place to which a means of transport is ultimately destined.<br><i>[PAXLST: Place of ultimate destination of conveyance" within the same State/Country for progressive flights.]</i> |

- 174 Place of residence  
A place where a party lives.  
*[PAXLST: Country of Primary Residence]*
- 178 Port of embarkation  
Port where the person embarks onto the conveyance.  
*[PAXLST: Place where passenger began the current journey]*
- 179 Port of disembarkation  
Port where the person disembarks from the conveyance.  
*[PAXLST: Place where passenger will terminate the current journey]*
- 180 Place of birth  
Place where the person was born.

**3493 Nationality code qualifier**

Desc: Code qualifying a nationality.

Repr: an..3

- 2 Current nationality  
Current nationality.

**6069 Control total type code qualifier**

Desc: Code qualifying the type of control of hash total.

Repr: an..3

- 41 Total number of crew  
The total number of crew.
- 42 Total number of passengers  
The total number of passengers aboard the conveyance.

**8051 Transport stage code qualifier**

Desc: Code qualifying a specific stage of transport

Repr: an..3

- 20 Main-carriage transport  
The primary stage in the movement of cargo from the point of origin to the intended destination.  
*[PAXLST: The flight for which API is applicable.]*

**9017 Attribute function code qualifier**

Desc: Code qualifying an attribute function.

Repr: an..3

- 2 Person  
Attribute refers to a person

**9019 Attribute code description**

Desc: Code specifying an attribute.

Repr: an..3

M	Male
F	Female
U	Unknown



**INSTRUMENTS OF THE WCO AND ICAO ON API**

**1. WCO instruments**

**(1) The Revised Kyoto Convention, Specific Annex J1**

8. Recommended Practice

The Customs, in co-operation with other agencies and the trade, should seek to use internationally standardized advance passenger information, where available, in order to facilitate the Customs control of travellers and the clearance of goods carried by them.

**(2) Recommendation**

**RECOMMENDATION OF THE CUSTOMS CO-OPERATION COUNCIL  
CONCERNING ADHERENCE TO STANDARDS IN  
RELATION TO DATA REQUIREMENTS FOR ADVANCE  
PASSENGER INFORMATION (API)**

(6 July 1993)

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THE CUSTOMS CO-OPERATION COUNCIL,

NOTING the compliance risk posed by airline passengers especially with regard to drug trafficking and international terrorism,

NOTING the use of Electronic Data Interchange (EDI) by both carriers and Customs authorities and the potential benefits that use of this technology can bring,

RECOGNISING that the electronic transmission of passenger-related data can result in the more rapid clearance of passengers and can have important control benefits for Customs authorities,

HAVING REGARD to Annex J.1. of the Kyoto Convention which requires, inter alia, computer applications implemented by Customs authorities to use internationally accepted standards,

DESIRING specifically to simplify and harmonise interface arrangements between (air) carriers and Customs authorities particularly as regards the use of standard data elements, codes and message syntax,

RECOMMENDS that Members of the Council and members of the United Nations Organisation or its specialised agencies, and Customs or Economic Unions, should adhere to the standards set out in the Joint CCC/IATA Guideline on Advance Passenger Information, and any future updated or revised versions of these standards, for the electronic exchange of passenger data,

REQUESTS Members of the Council and members of the United Nations Organisation or its specialised agencies, and Customs or Economic Unions which accept this Recommendation to notify the Secretary General of the Council of the date from which they will apply the Recommendation and of the conditions of its application. The Secretary General will transmit this information to the Customs administrations of all Members of the Council. He will also transmit it to the Customs administrations of the members of the United Nations Organisation or its specialised agencies and to Customs or Economic Unions which have accepted this Recommendation.

## **2. ICAO instruments**

### **The Chicago Convention, Annex 9**

#### **3.34 Recommended Practice**

Where appropriate, Contracting States should introduce a system of advance passenger information which involves the capture of certain passport or visa details prior to departure, the transmission of the details by electronic means to their public authorities, and the analysis of such data for risk management purposes prior to arrival in order to expedite clearance. To minimize handling time during check-in, document reading devices should be used to capture the information in machine readable travel documents. When specifying the identifying information on passengers to be transmitted, Contracting States should only require information that is found in the machine readable zones of passports and visas that comply with the specifications contained in Doc.9303 (series), Machine Readable Travel Documents. All information required should conform to specifications for UN/EDIFACT PAXLST message formats.

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