OSCE-wide Seminar on Passenger Data Exchange 28-29 September 2017, Hofburg, Vienna
QUESTIONNAIRE

Information note

This questionnaire was prepared by the OSCE Transnational Threats Department (TNTD) as part of the preparation for the OSCE-wide Seminar on Passenger Data Exchange that will take place on 28-29 September 2017 in Vienna. The goal of the seminar is to provide OSCE participating States with a comprehensive understanding on the features, functions and benefits of an Advance Passenger Information (API) system, as well as the financial and technical support available form donor states and/or international organizations for implementing a passenger data exchange programme. For those participating States that already have an API system in place, this event will be an opportunity to their national experiences and to acquire information on more advance data exchange tools, such as interactive API and/or Passenger Name Record.

Objective

With the adoption of Ministerial Council (MC) Decision 6/16, OSCE participating States committed to establishing national API systems in accordance with international standards. This questionnaire aims at collecting information on national passenger data exchange programmes in order to measure the level of implementation of MC Decision 6/16 across the OSCE area.

The information received from countries that already have an API system in place will be useful for identifying good practices and lessons learned to assist those participating States that are currently in process of developing their own national API system. In addition, the inputs from participating States that do not have an API system in place will prove valuable for identifying problems and opportunities in their specific passenger processing environments, to determine their technical and financial needs, and to decide how the OSCE Secretariat can best support these countries.

TNTD intends on circulating an anonymous statistical analysis on API implementation in the OSCE area prior to the OSCE-wide Seminar on Passenger Data Exchange. We thank you in advance for your co-operation!

Target Audience

We recommend that the questionnaire is completed by:
- **Officials who were involved in the establishment of the national API system**, for participating States who have an API system in place.
- **Decision makers (border security, IT development, customs, etc.) who will be involved in the establishment of a national API system**, for participating States who do not have an API system in place.

Requests for clarification

Please send your completed questionnaires in electronic (Microsoft Word) format by 8 September 2017 directly to Mr. Adrián Carbajo Ariza, Project Assistant on Passenger Data Exchange, TNTD (Adrian.CarbajoAriza@osce.org**) and Mr. Simon Deignan, Programme Manager –** Travel Document Security, TNTD (Simon.Deignan@osce.org). In the event that respondents have difficulty in the completion of this questionnaire, require additional details or have questions, they should be directed to Adrián Carbajo Ariza at OSCE TNTD (Adrian.CarbajoAriza@osce.org, Tel: +43 1 514 36 6771).

Questionnaire A – To be completed by participating States who already have an API system in place

Section 1 – Characteristics of the API system

Type of API system	Batch style API ☐	Interactive API (iAPI) ☐

What is the status of implementation of your API system?

  Pilot (i.e. API system is being tested) ☐

  Semi-operational (e.g. only certain air routes/air carriers are currently targeted) ☐

  Fully operational ☐

If 'Pilot' or 'Semi-operational', please indicate the anticipated roll-out date to all air routes/air carriers:

Is your API system in alignment with the following international standards?[*]:

- **Only data elements available in machine readable form in travel documents are required (ICAO standard 3.48.1);**
- **Operational and administrative burdens on aircraft operators related to enhancing passenger facilitation are reduced to the greatest extent possible (ICAO standard 3.48.5);**
- **If transmission of passenger data is done through electronic means, a passenger manifest in paper form is not requested (ICAO standard 3.48.7).**

Yes ☐   Partially ☐   No ☐

If 'Partially' or 'No', **is your country in process of fully aligning your API system with the aforementioned international standards?**

  Yes ☐   No ☐

If 'Partially', please indicate what elements are **not** in alignment with international standards:

Does your country require more data elements than the maximum set of API data agreed by WCO, IATA and ICAO? (ICAO standard 3.48.2)†

  Yes ☐   **No** ☐

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[*] See ICAO's Annex 9 to the Convention on International Civil Aviation (Section 3.48) and the WCO/IATA/ICAO Guidelines on API for reference.
[†] See Section 8.1.4 and 8.1.5 of the WCO/IATA/ICAO Guidelines on API for reference.

If 'Yes', please indicate what further data elements are required by your national authorities:

Has your country established a single window (i.e. one authority to receive, on behalf of all other authorities, all forms of passenger data through one single data entry point and to distribute this data among the rest of the national actors involved in passenger processing)?

Yes ☐   No ☐

If 'No', please indicate to which national entities do airlines transmit API data:

Which national entities currently have access/make use of API data?

Does your country cross-check API data against national and/or international databases?

Yes, and it is done automatically ☐   Yes, and it is done manually ☐   No ☐

If 'Yes', please indicate the main databases against which API data is being cross-checked:

Does your country have existing agreements with other participating States to share watch list information?

Yes ☐   No ☐

If 'Yes', please provide more information:

What are the annual operating costs (e.g. infrastructure, software, staff) of running your API system?

Section 2 – Legal framework

What is the current legal framework in your country for API data capture, transmission and processing?

Are there any specific legal provisions in place for data protection in relation to API data?

Yes ☐ No ☐

If 'Yes', please provide more information (e.g. its content, where to find these legal provisions):

Does the existing legal framework allow for API data exchange between agencies?

Yes ☐ No ☐

If 'Yes', please provide more information (e.g. its content, where to find these legal provisions):

Section 3 – Implementation of the national API system

Was your national API system developed internally by your national authorities?

Yes ☐ No ☐

If 'No', please provide more information about the developer (e.g. commercial IT service provider):

Which national agency/department was responsible for driving the programme development (i.e. the 'project leader')?

What national agencies/departments (apart from the project leader) participated in the establishment of your API system?

How did consultations with industry stakeholders – airlines, commercial IT service providers – take place (e.g. creation of a Stakeholder Consultation Group)?

Were physical infrastructure modifications needed to adapt the passenger processing procedures in your country to an API-enabled environment?

Yes ☐   No ☐

If 'Yes', please provide more information:

Were IT software modifications needed to adapt the passenger processing procedures in your country to an API-enabled environment?

Yes ☐   No ☐

If 'Yes', please provide more information:

What were the approximate set-up costs related to the practical implementation of your API system?

Have you had any assistance from participating States or other entities in developing your API programme?

Yes ☐   No ☐

If 'Yes', please provide more information:

Section 4 – Data capture, transmission and retention

What are the main technology methods for API data transmission (e.g. specialized software systems, encrypted e-mail, fax, pdf, non-encrypted e-mail)?

Do you rely on third parties (e.g. commercial IT service providers) for the transmission of the data?

Yes ☐   No ☐

Is the API data transmitted using the UN/EDIFACT PAXLST message format?[‡]

Yes ☐   No ☐

If 'No', please indicate the format used for the transmission of API data:

How does your country ensure airline compliance with API requirements?

Are financial sanctions for airlines foreseen in case of non-compliance?

Yes ☐   No ☐

If 'Yes', please provide more information on the sums (e.g. maximum and minimum penalties):

For how long can API data be retained?

Section 5 – Evaluation of the national API system

To what extent has the establishment of an API system contributed to improving border management and aviation security in your country? Please, rate the impact in the scale of +5 to 0 (5 = very large positive contribution; 0 = no/negative impact) and provide an explanation to the rating:

[‡] See Appendix IIA of the WCO/IATA/ICAO Guidelines on API for reference.

Have there been some unintended benefits and/or drawbacks to the implementation of your API system (e.g. spillover effects)?

Yes ☐   No ☐

If 'Yes', please provide more information:

Have any best practices in the implementation/use of your national API system been identified?

Yes ☐   No ☐

If 'Yes', please provide a list of examples:

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Questionnaire B – To be completed by participating States who do not yet have an API system in place

Section 1 – Current passenger processing environment

Do border control and/or other relevant authorities…	**Have access to the INTERPOL I-24/7 global police communications system?** Yes ☐　　　No ☐
	Systematically screen and match passengers travelling by air against the INTERPOL Stolen and Lost Travel Documents database? Yes ☐　　　No ☐
	Systematically screen and match against any other INTERPOL databases? Yes ☐　　　No ☐ If 'Yes', **which ones?**
	Systematically screen and match against national watchlists? Yes ☐　　　No ☐ If 'Yes', **which ones?**
	Systematically screen and match against regional watchlists? Yes ☐　　　No ☐ If 'Yes', **which ones?**

Do your national law enforcement and/or customs authorities have legal authority to access or receive passenger data?

Yes ☐　　　No ☐

If 'Yes', please provide more information about the legal framework (e.g. its content, where to find these legal provisions):

What is the current legal framework for data protection in your country?

Does your country currently have:	Legal provisions on privacy and data protection (e.g. passenger data should be retained for legitimate purposes; passenger data should be retained for an adequate, relevant, and not excessive period of time) Yes ☐ No ☐
	Legal provisions concerning the rights of individuals regarding their personal data (e.g. transmission of passenger data across national borders) Yes ☐ No ☐
	Legal provisions regarding the airlines' ability to capture personal details of passengers and to transmit this data to a foreign government Yes ☐ No ☐

Does the existing legislation allow for data exchange between agencies?

Yes ☐   No ☐

If 'Yes', please provide more information (e.g. its content, where to find these legal provisions):

Section 2 – Future development of an API system

Does your country expect to implement an API system anytime soon? Yes ☐ No ☐	If 'Yes', **is this included in a National Plan/Strategy?** Yes ☐ No ☐ If 'Yes', please provide more information (e.g. timeframe for implementation, type of API system to be developed):

	If 'No', **are there any specific reasons as to why your country has not yet implemented an API system?** Yes ☐ No ☐ If 'Yes', please provide more information:
What agency/department would be responsible for driving the programme development?	
What agencies/departments would have access to/make use of API data?	
According to OSCE Ministerial Council Decision 6/16, OSCE participating States have committed to consider establishing one national authority to receive API data on behalf of all other authorities. In this context, who could take the lead in the formation of a single window?	
Does your country have enough technical capacity and/or sufficient resources to implement an API system? Yes ☐ No ☐ If 'No', **have you identified funding opportunities to do so?** Yes ☐ No ☐ If 'Yes', please provide more information:	
Is your country intending to develop your API capability itself or do you believe you will need to engage with an outside service provider to assist in that process? Develop it ourselves ☐ Engage with an outside service provider ☐ If you believe you will need to engage with an outside service provider, **has your country already commenced talks with anyone in this regard?** Yes ☐ No ☐	
Would your country be interested in having an OSCE National Workshop on Establishing an API System in order to develop a Roadmap for Implementation? Yes ☐ No ☐	

Remarks from OSCE participating States

Please use this page to include any additional comments you may want to make: