



**ECAC POLICY STATEMENT IN THE FIELD OF CIVIL  
AVIATION FACILITATION**

**ECAC.CEAC Doc No. 30 (PART I)**

**12<sup>th</sup> edition/May 2018 – Amendment No.5**

**ECAC/31- Res.1      ECAC Policy Statement in the Field of Civil Aviation Facilitation**

(2009)

- WHEREAS      the provisions of the Chicago Convention, in particular its Article 22, provide that each State should agree to adopt all practicable measures to facilitate and expedite navigation by aircraft between the territories of Contracting States, and to prevent unnecessary delays to aircraft, crews, passengers and cargo;
- RECOGNIZING      that improving facilitation is in the interest of all air travellers, with particular awareness of the requirements of disabled passengers and passengers with reduced mobility;
- RECOGNIZING      that the development of passenger and cargo traffic could present mounting problems in airport ground handling due to inadequate facilitation;
- RECOGNIZING      the need to reconcile facilitation and security objectives and to reach a balance between them;
- INVITING      Member States to improve facilitation by co-operating with each other in order to seek solutions to common facilitation problems;
- RECOGNIZING      the value of co-operating between governments, airlines and airports in efforts to solve facilitation problems;
- INVITING      Member States to promote efficient processing of passengers, baggage, cargo and mail traffic carried by air, and in this regard to make optimal use of new technologies;
- WHEREAS      all Member States should continue to apply the provisions of ICAO Annex 9 to the Chicago Convention relating to facilitation as well as those of the relevant resolutions of the ICAO Assembly;
- DESIRING      that all Member States, when determining the scope of measures and methods for improving facilitation, should be guided by the provisions, specifications and guidance material contained in the recommendations reproduced hereinafter;
- DESIRING      that each Member State should critically examine any differences that exist in its territory between its national regulations and practices and the following recommendations as well as the provisions of the current edition of ICAO Annex 9 and make special efforts to

eliminate such differences at the earliest practicable moment,

**THE CONFERENCE RESOLVES TO ADOPT** the provisions, specifications and guidance material in the field of aviation facilitation, as reproduced in the first part of ECAC.CEAC Doc No. 30, representing a consolidated statement of ECAC policies and associated practices in the field of facilitation.

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**TABLE OF AMENDMENTS**

Keep this original of ECAC Doc 30, Part I (12<sup>th</sup> edition/May 2018) up to date by immediately inserting all amendments and checking that all documents mentioned on the amendment sheets have been received.

Amendments are numbered consecutively. Upon receipt of amendments, the number should be crossed out on this list. A break in the sequence of amendment numbers indicates that a particular amendment has not been received. The appropriate authority should immediately request this missing amendment from the ECAC Secretariat.

Amendment number	Date	Applicable	Entered by (name) on (date)
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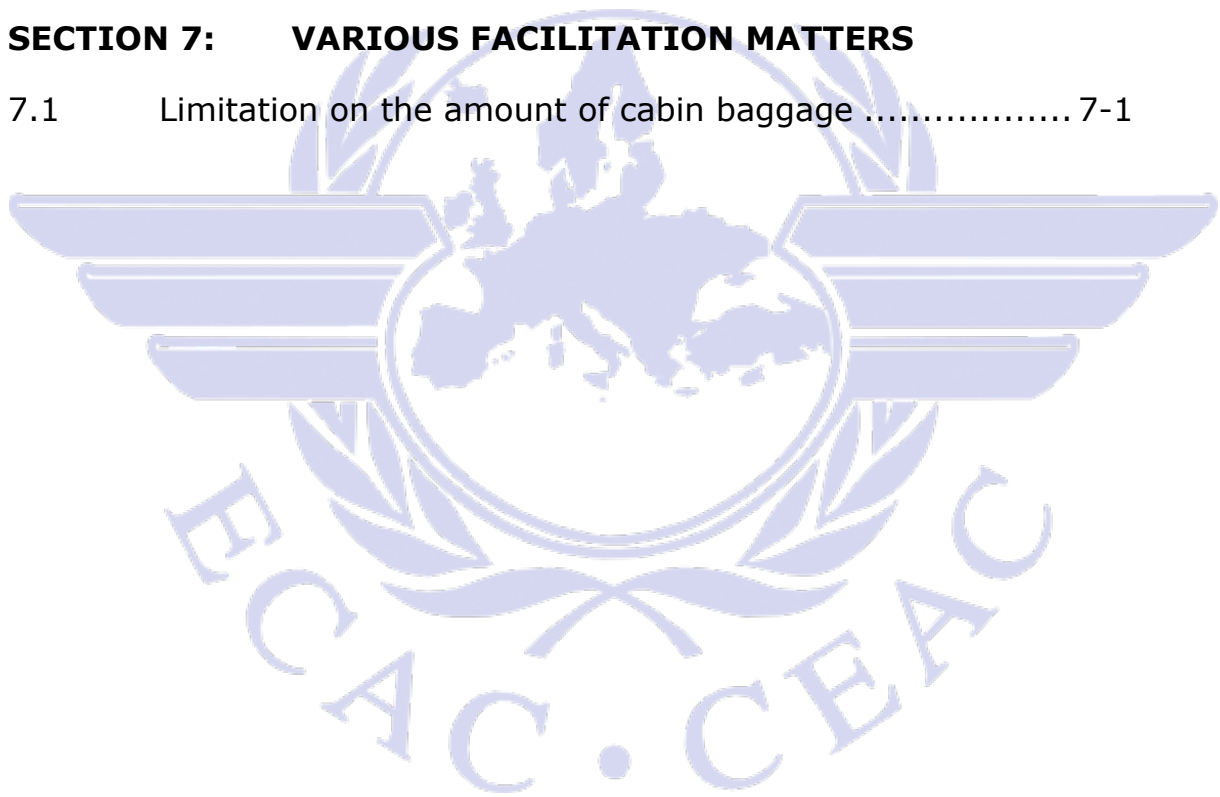
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## SECTION 0: DEFINITIONS

### A

- **Accompanying person** (in the context of Section 2 and its related annexes) means an adult who is travelling with a minor. This person will not necessarily be the parent or legal guardian of the minor. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 1, Definitions]*
- **Accompanying person** (in the context of Section 5 and its related annexes) means a person who is capable of providing the required safety assistance to persons with disabilities and persons with reduced mobility (PRMs).
- **Air carrier** means an air transport undertaking with a valid operating licence. *[Ref. Regulation (EC) No 1107/2006 Article 2]*
- **Airport** means any area of land specially adapted for the landing, taking-off and manoeuvres of aircraft, including ancillary installations which, these operations may involve for the requirements of aircraft traffic and services including installations needed to assist commercial air services. *[Ref. Regulation (EC) No 1107/2006 Article 2]*
- **Airport car park** means a car park, within the airport boundaries or under the direct control of the managing body of an airport, which directly serves the passengers using that airport. *[Ref. Regulation (EC) No 1107/2006 Article 2]*
- **Airport user** means any natural or legal person responsible for the carriage of passengers by air from or to the airport in question. *[Ref. Regulation (EC) No 1107/2006 Article 2]*
- **Airport Users Committee** means a committee of representatives of airport users or organisations representing them. *[Ref. Regulation (EC) No 1107/2006 Article 2]*
- **Automated Border Control (ABC)** means an automated system which authenticates the electronic machine readable travel document or token, establishes that the passenger is the rightful holder of the document or token, queries border control records, then determines eligibility for border crossing according to pre-defined rules. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 1, Definitions]*

### C

- **Commercial passenger air service** means a passenger air transport service operated by an air carrier through a scheduled or non-scheduled flight offered to the general public for valuable consideration, whether on its own or as part of a package. *[Ref. Regulation (EC) No 1107/2006 Article 2]*

- **Community air carrier** means an air transport undertaking with a valid operating licence. *[Ref. Regulation (EC) No 1107/2006 Article 2]*

## M

- **Managing body of the airport** or **managing body** means a body which notably has as its objective under national legislation the administration and management of airport infrastructures, and the coordination and control of the activities of the various operators present in an airport or airport system. *[Ref. Regulation (EC) No 1107/2006 Article 2]*
- **Minor.** A minor means a person who has not attained the age of majority as determined under the law applicable to the person. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 1, Definitions]*

## N

- **Necessary precautions** means verifications carried out by adequately trained staff members of the aircraft operator or the company operating on behalf of the aircraft operator, at the point of embarkation, in order to ensure that every person holds a valid travel document and, where applicable, the visa or residence permit required to enter the State of transit and/or receiving State. These verifications must ensure that any obvious irregularity (such as impersonation, counterfeit or forgery), i.e. irregularities through a normally careful examination, is detected. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 1, Definitions]*

## O

- **Operating air carrier** means an air carrier that performs or intends to perform a flight under a contract with a passenger or on behalf of another person, legal or natural, having a contract with that passenger. *[Ref. Regulation (EC) No 1107/2006 Article 2]*

## P

- **Person with disabilities** or **person with reduced mobility** means any person whose mobility when using transport is reduced due to any physical disability (sensory or locomotor, permanent or temporary), intellectual disability or impairment, or any other cause of disability, or age, and whose situation needs appropriate attention and the adaptation to his or her particular needs of the service made available to all passengers. *[Ref. Regulation (EC) No 1107/2006 Article 2]*
- **Passenger Data Single Window.** A facility that allows parties involved in passenger transport by air to lodge standardised passenger information (i.e. API, iAPI and/or PNR) through a single data entry point

to fulfil all regulatory requirements relating to the entry and exit of passengers that may be imposed by various agencies of the Contracting State. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 1, Definitions]*

## R

- **Reservation** means the fact that the passenger has a ticket, or other proof, which indicates that the reservation has been accepted and registered by the air carrier or tour operator. *[Ref. Regulation (EC) No 1107/2006 Article 2]*

## S

- **Service animal** means **recognised assistance dog** in the ECAC/EU context, which is a narrower definition than the one which appears in ICAO Doc 9984.

## T

- **Tour operator** means, with the exception of an air carrier, an organiser or retailer of package tours and tourism services for sale either directly to travellers or through intermediaries.

## U

- **Unaccompanied minor.** A minor travelling alone or travelling only in the company of another minor<sup>1</sup>. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 1, Definitions]*

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<sup>1</sup> This definition shall not affect any obligation which may result from the application of Schengen or national border checks regulations.

## **SECTION 1: GENERAL**

### **1.1 Implementation of ICAO Annex 9, Fifteenth edition**

1.1.1 In pursuance of Standard 2.9 and Standard 4.13 of ICAO Annex 9, Fifteenth edition, ECAC Member States should encourage the electronic transmission of information required by public authorities for the entry and departure of an aircraft, and work in co-operation with all parties concerned towards procedures where electronic communication, based on internationally agreed standards, has preference above communication based on paper declarations and documents.

1.1.2 ECAC Member States should:

- a) Intensify their efforts towards fully complying with the Standards and Recommended Practices of ICAO Annex 9, Fifteenth edition;
- b) If they have not yet notified ICAO of the status of implementation of ICAO Annex 9, Fifteenth edition, in their territories, and of any differences from their national regulations and practices, do so without delay; these notified differences should also apply to the provisions of this document; and
- c) If they have continued so far to implement certain ICAO Annex 9, Fifteenth edition, provisions solely on the basis of reciprocity, make greater efforts aimed at removing such restrictions and implementing them multilaterally instead.

### **1.2 Improvement of facilitation through co-operation between ECAC Member States**

1.2.1 Each ECAC Member State should:

- a) Improve facilitation by co-operating with States, particularly other ECAC Member States, through their civil aviation administrations, with which it has air services in order to seek uniform solutions to common facilitation problems;
- b) Make available for inclusion on a list to be circulated and updated periodically, details of the office in their administration to which all enquiries concerning facilitation problems, including immigration problems, should be addressed; and
- c) Establish close co-ordination, adapted to the circumstances, between facilitation and security programmes.

Model National Civil Aviation Facilitation Programme is contained in Annex 1-A.



## **SECTION 2: FACILITATION OF TRANSPORT OF PERSONS AND THEIR BAGGAGE**

### **2.1 Entry and departure of persons and their baggage**

#### **2.1.1 Issuance and use of machine-readable travel documents and visas**

2.1.1.1 ECAC Member States should, in compliance with ICAO Standard 3.11 and 3.12 of Annex 9, Fifteenth edition:

- a) Issue only machine-readable travel documents in accordance with the specifications of ICAO Doc 9303, Part 4; and
- b) When issuing identity documents, travel documents for refugees and stateless persons ("Convention Travel Documents") or visas accepted for travel purposes, issue these in machine-readable form as specified in ICAO Doc 9303.

2.1.1.2 In respect of Crew Member Certificates, Member States should seek guidance from the "Key Principles for Crew Member Certificates", which are provided in **Annex 2-D**.

#### **2.1.1.3 ICAO Public Key Directory**

2.1.1.3.1 ECAC Member States should, as set out in ICAO Recommended Practices 3.9.1 and Standard 3.9.2, consider joining the ICAO Public Key Directory:

- a) If presently issuing or intending to issue eMachine Readable Travel Documents (eMRTDs), upload their information to the PKD in a diligent and timely manner; and/or
- b) If implementing checks on eMRTDs at border controls, use the information available from the PKD to validate eMRTDs at border controls.

*Note.—The provision of the Contracting State's Country-Signing Public Key Certificate Authority Certificates (CCSCA) at the time of first use is considered the minimum level of data provision sufficient to fulfil this standard. Upload of certificate revocation lists (CRLs) is highly recommended.*

#### **2.1.2 Elimination of embarkation/disembarkation cards**

2.1.2.1 ECAC Member States, in compliance with long-standing facilitation policies as set forth in relevant ECAC FAL Recommendations of the past and of ICAO as contained in Recommended Practice 3.27 of ICAO Annex 9, Fifteenth edition, should make special and

continuing efforts to dispense with the requirement for embarkation/disembarkation cards where they are still in use.

### **2.1.3 Checking of travel documents**

- a) Whereas the checking of travel documents at the point of entry is primarily the responsibility of the competent authorities of each ECAC Member State;
- b) Recalling the provisions in Chapter 3 of ICAO Annex 9, Fifteenth edition, in particular those under 3.34, which address the obligations of operators to check travel documents of persons to ensure that they are in the possession of documents prescribed by the States of transit and destination for control purposes;
- c) Recognizing that certain countries of origin or transit are known to be principal sources of inadmissible persons seeking admission to ECAC Member States, creating serious problems for them; and
- d) Considering that the most appropriate moment for preventing the phenomenon of inadmissible persons is at the time of embarkation,

Each ECAC Member State should:

- i) Request its operators<sup>2</sup> and encourage other operators serving the countries in question to carry out, with the agreement of the authorities concerned, a supplementary individual check of passengers' travel documents, for entry or transit, immediately prior to embarkation;
- ii) In cases where such a final check is required, draw the attention of the operators to the need to ensure that intending passengers are made fully aware of the requirement;
- iii) Co-operate with and assist operators in the establishment of the validity and authenticity of travel documents;
- iv) The public authorities of each ECAC Member State should seize fraudulent, falsified or counterfeit travel documents. The public authorities should also seize all travel documents used to impersonate the documents' original holder. Such documents should be removed from circulation immediately and returned to the appropriate authorities of the State named as issuer or to the resident Diplomatic Mission of that State, except in cases where

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<sup>2</sup> As defined in Chapter I of ICAO Annex 9 to the Chicago Convention.



public authorities retain documents for law enforcement purposes.

Note - *Nothing in this provision is to be construed so as to prevent or deprioritise the return of inadmissible passengers whose travel document(s) are fraudulent, falsified or counterfeit or held by an imposter, and have been seized by an ECAC Member State.*

- v) ECAC Member States should not require aircraft operators to seize documents referred to in paragraph 2.1.3.iv.
- vi) ECAC Member States should not require an aircraft operator to carry a passenger from a point of departure or transit when the travel document presented by that passenger is determined by the State to be fraudulent, falsified, or counterfeit, or is held by a person other than to whom the document was legitimately issued.

Note – *Nothing in this provision is to be construed so as to prevent the return of inadmissible passengers whose travel document(s) are fraudulent, falsified or counterfeit or held by an imposter, and have been seized by an ECAC Member States, in accordance with paragraph 2.1.3.iv and who are travelling under a covering letter issued in accordance with provisions described in Annex 9, Fifteenth edition, Chapter 5, Standard 5.7.*

- vii) In the event that a passenger's travel documents are found to be irregular, provide assistance to operators in accordance with particular provisions for dealing with inadmissible persons described in ICAO Annex 9, Fifteenth edition, Chapter 5;
- viii) Not make operators liable to charges or administrative fines in the event that they disembark persons who are found inadmissible unless there is evidence of negligence, or failure by the operator in taking necessary precautions to the end that a person has been in possession of required travel documents at the time of embarkation; and
- ix) In the case where arrival of an inadequately documented passenger is subject to charges or administrative fines, ensure that such charges or fines take account of the degree of negligence or of the quality of the precautionary checks undertaken by the operator.

Note - *The mere absence of travel documents at the time of disembarkation of a passenger should not automatically entail an operator's liability*



### 2.1.3.1 **Airport alert on preventing illegal migration**

- a) Each ECAC Member State should adopt an active information sharing policy in order to protect national borders and Civil Aviation against the negative consequences of illegal migration.
- b) Each ECAC Member State should promptly report accurate information about stolen, lost and revoked travel documents, issued by their State, to INTERPOL for inclusion in the INTERPOL's Stolen and Lost Travel Documents (SLTD) database and as far as practicable, query at entry and departure border control points the travel documents of individuals travelling internationally against the SLTD database.
- c) Each ECAC Member State possessing information or strong indications on illegal migration movements which are liable to cause trouble or endanger law and order, public safety or the interests of ECAC Member States should, within the national and international legal framework, inform ECAC Member States and the ECAC Secretariat, without delay by making use of the contact address lists referred to in ECAC Doc 30, Part I, paragraphs 1.2 and 2.3.5.
- d) Each ECAC Member State should ensure regular updates of the lists referred to above.
- e) The information to be transmitted should be limited to methods indicating any abuse of national immigration rules as well as of the principles of Civil Aviation Facilitation as set out in ICAO Annex 9 and ECAC Doc 30, Part I. It may include:
  - Information on false, falsified and fraudulently used travel documents, including nationality;
  - Travel route information;
  - Passenger risk assessment information; and
  - Information on modus operandi of smugglers and traffickers of human beings.

### 2.1.3.2 **Passenger Data Transfer Systems**

- 2.1.3.2.1 ECAC Member States intending to introduce passenger data transfer systems (APIS/PNRS), are encouraged to seek guidance from the Key Principles for Passenger Data Transfer Systems in **Annex 2-C**.

## **2.1.4 Accident investigation experts**

- 2.1.4.1 In case of aviation accidents, ECAC Member States should accept without delay the entry on to their territory, on a temporary basis, of experts required for search, rescue, accident investigation and repair or salvage of damaged aircraft, in conformity with Annexes 12 and 13 to the Chicago Convention, without having to produce any other travel document, when necessary, other than a passport.
- 2.1.4.2 When a visa is required, ECAC Member States should accept, in cases of necessity, to deliver it on an exceptional basis to investigation experts carrying an order of mission delivered by their competent authority when they present themselves at the entry point of the territory.
- 2.1.4.3 ECAC Member States should, if needed, provide investigation teams with the necessary means of transport to enable them to reach the site of the accident without delay.

## **2.2 Persons in transit in the territory of an ECAC Member State**

### **2.2.1 In-transit visas**

- 2.2.1.1 Taking into account:
- a) That Standard 3.55 of ICAO Annex 9, Fifteenth edition, stipulates that Contracting States shall keep to a minimum the number of States whose nationals are required to have direct transit visas when arriving on an international flight and continuing their journey to a third State on the same flight or another flight from the same airport on the same day;
  - b) That there exists a trend among certain ECAC Member States towards requiring in-transit visas in an attempt to combat one aspect of the problem of inadmissible persons;
  - c) That the establishment of a common, consistent approach to the requirement for in-transit visas is in the interest of all;
  - d) The need to take all measures practicable to contain the threat perceived to emanate from certain countries,
- 2.2.1.2 Each ECAC Member State should:
- i) Limit the introduction of requirements for in-transit visas, in the overall interests of facilitation of air travel, to those countries known to be the principal sources of inadmissible persons;

- ii) Communicate the introduction of in-transit visa requirements to all other ECAC Member States and make every effort possible to harmonise with other ECAC Member States' national requirements for such visas; and
- iii) Inform the ECAC Secretariat, when it so requests and/or whenever necessary, of any policy changes concerning transit visas.

## **2.3 Inadmissible persons or deportees**

### **2.3.1 Inadmissible persons**

2.3.1.1 ECAC Member States should adopt adequate measures in order to:

- a) Facilitate the return of inadmissible persons;
- b) Advise the aircraft operator as soon as practicable following arrival that a passenger that it transported has been found, or may yet be found inadmissible and subject to possible removal proceedings;
- c) Consult the aircraft operator on the time frame for removal;
- d) Inform the aircraft operator or their agent as far in advance as possible of the scheduled departure, that an inadmissible person might offer resistance to his removal, so that the aircraft operator or their agent can take precautions to ensure the security of the flight; and
- e) Implement the relevant provisions of ICAO Annex 9.

### **2.3.2 Deportees**

2.3.2.1 Authorities of ECAC Member States who carry out a deportation order should so inform the authorities in transit, destination countries and the aircraft operator or their agent whenever practicable and permitted under national and international law, in cases where that person is liable to cause trouble or endanger law and order or public safety.

The written notification (facsimile, telex, e-mail) should contain the following information:

- a) Identity of the person;
- b) Reason for transporting that person;
- c) Copy of the deportation order, if legislation of the Contracting State allows for it;

- d) Risk assessment by the State and/or any other pertinent information that would help assess the risk to the security of the flight;
  - e) Names and nationalities of any escorts;
  - f) Nature of available travel document(s); and
  - g) Implement the relevant provisions of ICAO Annex 9.
- 2.3.2.2 ECAC Member States which have to admit on to their territory transit passengers who have been turned back or deported by other States, and for whom a transit visa is mandatory, are invited to provide aid and assistance to these States in order to facilitate the transport of these passengers to their final destination.
- 2.3.2.3 As regards deportees, direct non-stop flights to the destination country should be used whenever practicable.
- 2.3.2.4 ECAC Member States should indicate which authorities should be informed in accordance with paragraph 2.3.2 above.
- 2.3.2.5 Taking into account the fact that persons deemed to be inadmissible or deportees by an ECAC Member State often require special measures in order to maintain public order or safety, ECAC Member States and operators should co-operate. In respect of deportees, ECAC Member States should seek guidance from the "Guidelines for the removal of deportees", which are provided in **Annex 2-A**. In respect of inadmissible persons, ECAC Member States are invited to seek guidance from the "Guidelines for the removal of inadmissible persons", developed by the IATA/CAWG, which are provided in **Annex 2-B**.

## **2.4 Recommendations on Minors**

- 2.4.1 ECAC Member States should ensure that their relevant public authorities are trained to consider the welfare of minors both accompanied and unaccompanied. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.78]*
- 2.4.2 ECAC Member States should ensure that aircraft operators provide adequate training to their ground and cabin staff on the handling of minors. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.79]*
- 2.4.3 ECAC Member States and aircraft operators should, where practicable, exchange information as to the appropriate 24 hour point(s) of contact(s) to whom issues concerning the welfare of a minor could be addressed. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.80]*

- 2.4.4 Where data privacy and protection restrictions permit, ECAC Member States should ensure that aircraft operators raise any concerns regarding the welfare of a minor with the relevant public authorities. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.81]*
- 2.4.5 ECAC Member States should consider placing an unaccompanied minor into the care of the relevant public authority at the first available opportunity if there are significant concerns regarding the welfare of the unaccompanied minor during a journey which cannot be resolved quickly. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.82]*
- 2.4.6 ECAC Member States should use appropriate measures to ensure that aircraft operators do not allow minors under the age of five (5) to travel without an accompanying person. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.83]*
- 2.4.7 ECAC Member States should use appropriate measures to ensure that aircraft operators establish a programme for the handling of unaccompanied minors travelling under their supervision. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.84]*
- 2.4.8 ECAC Member States should ensure that aircraft operators transporting unaccompanied minors in an air carrier programme collect the following information on the accompanying form:
- Surname and first names(s) of the minor;
  - Number of the minor's passport or identification document;
  - The contact details (country of residence, home address, telephone number) of the minor, the person sending off and the person collecting the minor at the destination; and
  - Surname and first name(s) and the contact details (country of residence, home address, telephone number) of the parent or guardian of the minor).
- [Ref. ICAO Annex 9, Fifteenth edition, Chapter 3, 3.85]*
- 2.4.9 Where a minor is permitted to travel unaccompanied, aircraft operators should conduct identity checks on the persons escorting the minor prior to departure and collecting them on arrival. The minor should not be permitted to depart or be released to the person collecting them on arrival if there are any doubts as to the authenticity of the identification produced.
- 2.4.10 Where an aircraft operator has any concerns regarding the welfare of a minor, they should retain copies of the documentation provided by the minor as evidence of permission to travel.

- 2.4.11 As far as practicable, where a minor is permitted to travel unaccompanied, ECAC Member States should check INTERPOL Yellow Notices<sup>3</sup> through the INTERPOL's Stolen and Lost Travel Documents (SLTD) database.
- 2.4.12 An unaccompanied minor should only be allowed to proceed on a multi-sector journey if carriage has been previously agreed by all the aircraft operators involved.
- 2.4.13 Aircraft operator's staff should ensure that an unaccompanied minor's declaration form is completed<sup>4</sup> before an unaccompanied minor is permitted to proceed on their journey.
- 2.4.14 Where an unaccompanied minor utilised a multi-sector journey, the unaccompanied minor's declaration form should be signed by a representative of the connecting air carrier before the unaccompanied minor is released into their care.
- 2.4.15 Where a removal of an inadmissible person relates to an unaccompanied minor, the removing State should take appropriate measures to ensure that suitable arrangements are in place for the minor at point of departure, transit and point of destination, taking into particular consideration his/her best interests. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 5, 5.11.2]*
- 2.4.16 Where a removal of a deportee relates to an unaccompanied minor, the deporting State should take appropriate measures to ensure that suitable arrangements are in place for the minor at point of departure, transit and point of destination, taking into particular consideration his/her best interests. *[Ref. ICAO Annex 9, Fifteenth edition, Chapter 5, 5.18.2]*
- 2.4.17 Aircraft operators should carefully consider the safety and comfort of the unaccompanied minor and the passengers around them before assigning seating.

Guidelines for the removal of deportees are contained in Annex 2-A.

Guidelines for the removal of inadmissible persons are contained in Annex 2-B.

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<sup>3</sup> INTERPOL Yellow Notices help locate missing persons, often minors, or help identify persons who are unable to identify themselves.

<sup>4</sup> There is currently no standardised format for an unaccompanied minors declaration.



Key principles for Passenger Data Transfer Systems are contained in Annex 2-C.

Key principles for Crew Member Certificates are contained in Annex 2-D.

Best practice for Automated Border Control (ABC) systems is contained in Annex 2-E.

## **SECTION 3 – FACILITATION OF AIR CARGO**

### **3.1 Customs treatment of air cargo and automation**

3.1.1 In pursuance of Standard 2.9 and Standard 4.13 of ICAO Annex 9, Fifteenth edition, ECAC Member States should encourage the electronic transmission of information required by public authorities for the entry and departure of an aircraft, and work in co-operation with all parties concerned towards procedures where electronic communication, based on internationally agreed standards, has preference above communication based on paper declarations and documents.

3.1.2 In pursuance of Recommended Practice 4.17.1 of ICAO Annex 9, Fifteenth edition, ECAC Member States should consider the introduction of arrangements to enable all parties involved in air cargo operations to submit all the information required by public authorities, in connection with arrival, stay and departure of an air cargo to a single entry point (Single Window).

For the consideration and implementation concerning this Single Window concept, ECAC Member States should use the recommendations and guidelines of the Single Window concept developed by the United Nations Centre for Trade Facilitation and Electronic Business, which have been published as UN/CEFACT Recommendation 33.

3.1.3 In pursuance of Recommended Practice 4.17.2 of ICAO Annex 9, Fifteenth edition, ECAC Member States should encourage all participants in the transport, handling and clearance of air cargo to simplify relevant procedures and documents and to co-operate or participate directly in the development of electronic air cargo community systems using internationally agreed standards with a view to enhance the exchange of information relating to such traffic and assuring inter-operability between the systems of all participants.

3.1.4 In pursuance of Recommended Practice 4.20 of ICAO Annex 9, Fifteenth edition, ECAC Member States should support and participate to the extent possible in initiatives to allow the presentation of supporting document by electronic means.

### **3.2 Pre-arrival and pre-departure formalities**

3.2.1 ECAC Member States should, for the purposes of pre-arrival and pre-departure formalities:

- Refrain from requiring lodgement of a separate pre-arrival declaration for short haul prior to take off and for long haul

flights earlier than 4 hours prior to arrival at the first airport in the country of destination;

- Refrain from requiring the lodgement of a separate pre-departure declaration earlier than 30 minutes prior to departure from an airport;
- Limit the data requirements to those necessary to perform a proper risk analysis for security and safety purposes and include at least the identification of the aircraft, the identification and quantity of the goods at arrival and transport information, accepting that this information may be ascertained from commercial documents. These data requirements should be specified in national legislation and determined in co-operation with all participants involved in the transport and handling of air cargo;
- Waive the requirement for a separate general declaration and cargo manifest when at least the data elements contained in these documents are included in the pre-arrival or pre-departure information. ECAC Member States may at entry ask for a separate statement that the goods have arrived or at exit ask for a separate statement before their departure that the goods have arrived at the final point of exit.
- Take into account, where appropriate, the available international standards on the secure supply chain and the pre-arrival and pre-departure information relating to entry and departure of air cargo.
- Consider the development of automatic data processing systems for the lodgement and processing of pre-arrival information and pre-departure information, including systems for automated risk analysis;

### **3.3 Authorised Economic Operators**

- 3.3.1 In pursuance of Recommended Practice 4.9.1 of ICAO Annex 9, Fifteenth edition, ECAC Member States should consider the introduction of programmes for Authorised Economic Operators that enhance security, thus creating an environment for facilitative Customs control measures. Facilitative control measures may include a reduced level of physical inspections and examinations, the submission of a limited set of data elements, a notification of an intended inspection before arrival of the goods and other facilitative measures. The control measures should be based on the required information provided in advance to Customs and by using risk assessment procedures.

Further information on Authorised Economic Operators is presented at **Annex 3-A Appendix 1**.

3.3.2 Public Authorities should, where appropriate, for the granting of the status of an Authorised Economic Operator, take into account the already fulfilled conditions and criteria for comparable programmes of authorised operators under the supervision of other public authorities to avoid duplication of similar requirements by public authorities.

3.3.3 In pursuance of Recommended Practice 4.30.1 of ICAO Annex 9, Fifteenth edition, special simplified procedures for Authorised Economic Operators and other authorised persons may include, but not be limited to:

- a) Release of the goods for import or export on the provision of the minimum information necessary to identify the goods and permit the subsequent completion of the final goods declaration;
- b) Clearance of the import or export goods at the authorised person's premises, or another place authorised by Customs;
- c) Lodgement of a goods declaration for import or export based on the entry into the records of the authorised person;
- d) Lodgement of a single goods declaration for all imports or exports in a given period where goods are imported or exported frequently by the same person;

Further to that, ECAC Member States may consider other simplified measures such as transit procedures based on the use of cargo manifest or Master Air Waybill.

3.3.4 ECAC Member States should – for the notion of authorised person – pay attention to Transitional Standard 3.32 of World Customs Organization's (WCO) International Convention on the Simplification and Harmonisation of Customs procedures as revised in 1999, which entered into force in 2006 ("the revised Kyoto Convention").

3.3.5 In pursuance of Recommended Practice 4.9.2 of ICAO Annex 9, Fifteenth edition, ECAC Member States should encourage the establishment of agreements or arrangements for the mutual recognition of their respective Authorised Economic Operator programmes or equivalent programmes with other countries.

### **3.4 Cooperation between the relevant competent authorities in the area of air cargo security**

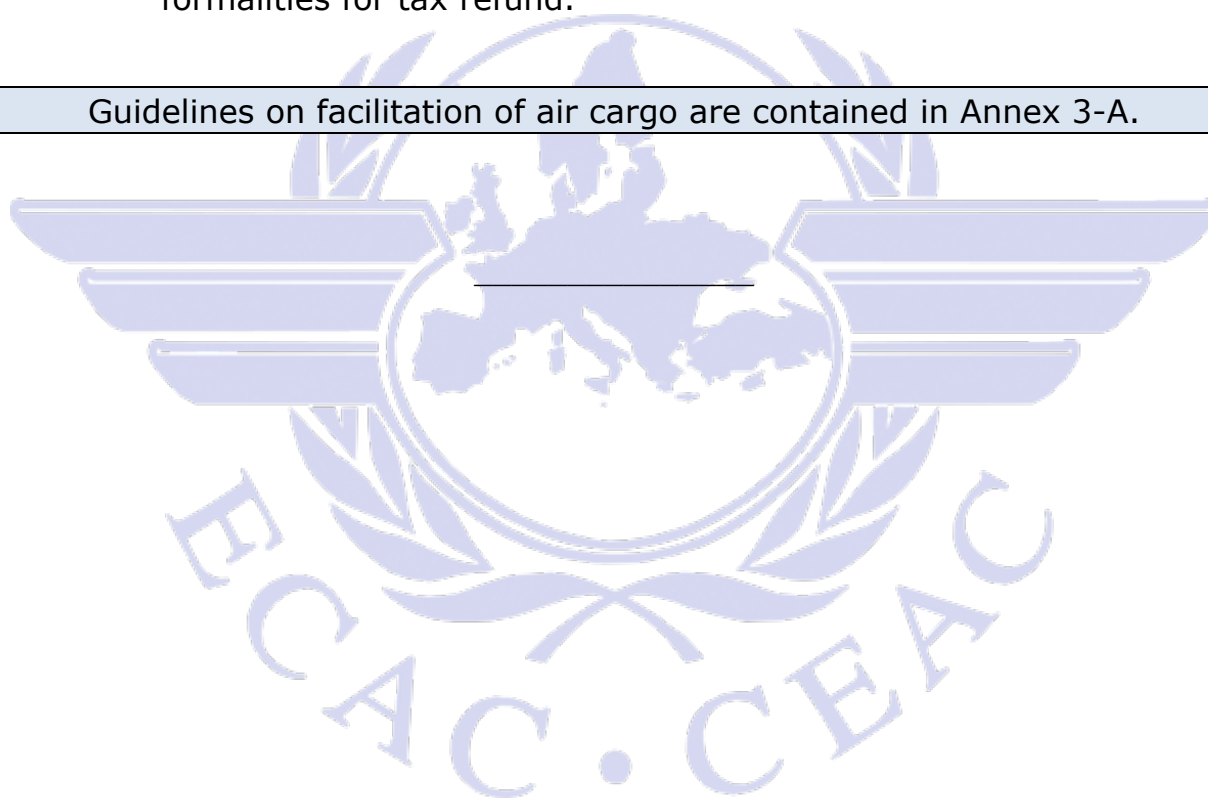
- 3.4.1 ECAC Member States should encourage cooperation between air cargo security authorities and Customs authorities, related to the respective security certification programmes, being the Regulated Agent/Known Consignor/Account Consignor and the Authorised Economic Operator. Cooperation may encompass:
- a) the application and initial assessment procedure;
  - b) the exchange of available information on the applicant, including information contained in their respective databases of approved/certified entities;
  - c) combined compliance controls;
  - d) follow-up activities after the status/authorisation has been granted, including sharing of information with regard to the withdrawal or revocation of the status; and
  - e) other activities.

### **3.5 Miscellaneous provisions**

- 3.5.1 ECAC Member States should facilitate the transfer of air cargo from one aircraft to another within the same airport by the use of electronic means for the lodgement of the cargo declaration.
- 3.5.2 In pursuance of Recommended Practice 4.11.1 of ICAO Annex 9, Fifteenth edition, ECAC Member States should consider, for facilitation purposes, where feasible, the use of the available advance cargo information in subsequent import, export and/or transit customs procedures for the release/clearance of the goods.
- 3.5.3 ECAC Member States should dispense with documentary controls over air cargo transferred from one flight to another at the same airport and rely, instead, on electronic tracing techniques, where available, and adequate and efficient customs supervision of apron and warehousing areas.
- 3.5.4 ECAC Member States should review warehousing charges at airports with spare space resources and, if necessary, amend them to induce cargo owners and agents to remove their goods as quickly as possible.

- 3.5.5 In the context of Standards 2.21 and 2.22 of ICAO Annex 9, Fifteenth edition, and the reference to penalties, ECAC Member States should allow adequate time for the correction of inadvertent errors in the cargo manifest. These corrections cannot be made after the public authorities already dealt with the information in the cargo manifest, unless the reason for correction is deemed to be valid for the public authorities.
- 3.5.6 ECAC Member States should take into account the Guidelines included in **Annex 3-A** relating to the tax refund for travellers to facilitate the handling of passengers who have to fulfil the formalities for tax refund.

Guidelines on facilitation of air cargo are contained in Annex 3-A.



## **SECTION 4: FACILITATION AND SERVICES FOR TRAFFIC ON AIRPORTS**

### **4.1 Airport signs**

ECAC Member States should draw the attention of their airport administrations to the need to be guided by the signs as published in ICAO Doc 9636 when introducing new or modifying existing signs at airports in their respective territories.

### **4.2 Provision of baggage carts and trolleys**

ECAC Member States should draw the attention of their airport administrations to the need for making available a sufficient number of baggage carts/trolleys to users in designated locations of the airports.





## **SECTION 5: FACILITATION OF THE TRANSPORT OF PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

*Note: Persons with disabilities and persons with reduced mobility (PRMs) make up a significant and growing percentage of the world's population and constitute the world's largest minority. [Manual on Access to Air Transport by Persons with Disabilities, foreword]*

*Persons with disabilities and PRMs have the same rights as other citizens to free movement, freedom of choice and non-discrimination. This applies to air travel as to other areas of life. [Ref. Regulation (EC) 1107/2006, introductory paragraph 1]*

*Discrimination towards persons with disabilities and PRMs in air travel is prohibited. Persons with disabilities and PRMs should therefore be accepted for carriage and not refused transport on the grounds of their disability or lack of mobility, except for reasons which are justified on the grounds of safety and prescribed by law. [Ref. Regulation (EC) 1107/2006, introductory paragraph 2]*

*In order to give persons with disabilities and PRMs opportunities for air travel comparable to those of other citizens, assistance to meet their particular needs should be provided at the airport as well as on-board aircraft by employing the necessary staff and equipment. In the interests of social inclusion, the persons concerned should receive this assistance without additional charge. [Ref. Regulation (EC) 1107/2006, introductory paragraph 4]*

### **5.1 Legal background**

*Note: International Standards and Recommended Practices regarding the facilitation of air transport of persons with disabilities and PRMs are set out in ICAO Annex 9<sup>5</sup>, Chapter 8. The "Manual on Access to Air Transport by Persons with Disabilities" (ICAO Doc 9984)<sup>6</sup> consolidates general principles regarding the facilitation of the transport of persons with disabilities and PRMs.*

*Note: In the European Union (EU), disabled passengers and PRMs rights are protected under Regulation (EC) No 1107/2006 (EC 1107/2006), and the same provisions are set out in ECAC Doc 30, Part I in order to harmonise the implementation of measures in non-EU ECAC Member States. Guidance on the application of EC 1107/2006 is provided in the Interpretative Guidelines issued in June 2012.*

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<sup>5</sup> ICAO Annex 9, 15<sup>th</sup> Edition, Amendment 26<sup>th</sup>, October 2017

<sup>6</sup> Manual on Access to Air Transport by Persons with Disabilities, 1<sup>st</sup> Edition - 2013



## 5.2 Objective and scope

*Note: The objective of Section 5 is to define and recommend common rules for the protection of, and provision of assistance to persons with disabilities and PRMs travelling by air, so they can be implemented on a harmonised basis in ECAC Member States.*

- 5.2.1 ECAC Member States should establish common rules for the protection of, and provision of assistance to disabled persons and PRMs travelling by air, both to protect them against discrimination and to ensure they receive assistance. [Ref. Regulation (EC) 1107/2006 article 1.1]
- 5.2.2 The provisions in this Section should apply to disabled persons and PRMs, using or intending to use commercial passenger air services on departure from, in transit through, or on arrival at an airport, when the airport is situated in the territory of an ECAC Member State.
- 5.2.3 The provisions in Sub-sections [5.4.1](#) (prevention of refusal of carriage), [5.4](#) (derogations, special conditions and information) and [5.3](#) (assistance by air carriers) should also apply to passengers departing from an airport situated outside ECAC Member States to an airport situated in the territory of an ECAC Member State, if the operating carrier is an air carrier licensed by an ECAC Member State.
- 5.2.4 Airport managing bodies and air carriers should work in partnership to review and develop the way that special assistance services for persons with disabilities and PRMs are organised in order to support the principle of a professional and seamless service for this collective.
- 5.2.5 Disability-equality and disability-awareness training for air carriers and airport personnel is crucial in order to ensure persons with disabilities and PRMs receive the assistance they may need and they are treated with respect.

*Note: **Annexes 5-A – 5-L** provide additional guidance, advice and details for air carriers, airports and ECAC Member States on the recommendations in the following Sections.*

### **5.3 Assistance by air carriers**

PRMs and passengers with disabilities should enjoy the same seamless service as able bodied passengers. The concept of seamless means PRMs and passengers with disabilities should be provided a comfortable, safe and uninterrupted journey, with the provision of assistance adapted to the needs of each individual. *[Annex 5E, paragraph 3.1]*

#### **5.3.1 Assistance without additional charge to the passenger**

An air carrier should provide the necessary assistance without additional charge to a person with disabilities or PRM departing from, arriving at or transiting through an airport in an ECAC Member State provided that the person in question fulfils the conditions set out in paragraphs [5.8.1](#), [5.8.2](#) and [5.8.4](#). *[Ref. Regulation (EC) 1107/2006 article 10]*

#### **5.3.2 Assistance by air carriers**

5.3.2.1 Air carriers should provide the following assistance to PRMs and passengers with disabilities:

- Carriage of service animals in the cabin, subject to national regulations.
- In addition to medical equipment, carriage of up to two pieces of mobility equipment per person with disabilities or PRM, including electric wheelchairs (subject to advance warning of 48 hours and to possible limitations of space on board the aircraft, and subject to the application of relevant legislation concerning dangerous goods).
- Communication of essential information concerning a flight in accessible formats.
- The making of all reasonable efforts to arrange seating to meet the needs of individuals with disability or reduced mobility on request and subject to safety requirements and availability.
- Assistance in moving to toilet facilities if required.
- Where a person with disabilities or PRM is assisted by an accompanying person, the air carrier should make all reasonable efforts to give such a person a seat next to the person with disabilities or PRM.

*[Ref. Regulation (EC) 1107/2006 Annex II]*

5.3.2.2 ECAC Member States should ensure persons with disabilities and PRMs be given the necessary assistance on-board by air carrier cabin staff.

### 5.3.3 Accessibility features on-board aircraft

5.3.3.1 ECAC Member States should introduce provisions by which aircraft coming newly into service or after major refurbishment should be equipped as follows:

- a) In aircraft with 30 or more seats at least 50% of all aisle seats should have moveable armrests.
- a) Aircraft with more than one aisle should be equipped with at least one spacious lavatory for PRMs catering for all kinds of disabilities.
- b) Any other aircraft equipped with at least two lavatories should have at least one catering for the special needs of PRMs (door wide enough to assist the PRM passenger, doors should open outwards or sliding doors should be used, fitting of handles, privacy curtains on both sides across the aisle, disappearing threshold if necessary).
- c) Aircraft of 100 or more seats should have at least one on-board wheelchair.
- d) Aircraft of 60 or more seats which are equipped with a lavatory for PRMs, should have at least one on-board wheelchair available on any flight.
- e) Aircraft of 60 or more seats not yet equipped with a lavatory for PRMs should carry an on-board wheelchair when this is requested by a PRM at least 48 hours prior to departure.
- f) Aircraft of 100 or more seats should have a priority space in the cabin, designated for storage of at least one vertically folding personal wheelchair not exceeding ISO dimensions.
- g) Particular attention should be paid to colour and tone contrast and also to having an even level of lighting.
- h) If an on-board wheelchair is available, this should be easily accessible for any passenger in need of it during the flight.

5.3.3.2 ECAC Member States should also draw to the attention of their air carriers the provisions of **Annex 5-E** "Guidelines on awareness and disability equality for all airport and air carrier personnel dealing with the travelling public" and **Annex 5-F** "Advisory note on procedures for carrying persons with disabilities and persons with reduced mobility (PRMs)".

## **5.4 Derogations, special conditions and information**

### **5.4.1 Prevention of refusal of carriage**

An air carrier, their agents or a tour operator should not refuse, on the grounds of disability or of reduced mobility:

- a) To accept a reservation for a flight departing from or arriving at an airport in the territory of an ECAC Member State;
- b) To embark a person with disabilities or a PRM at such an airport provided the person concerned has a valid ticket and reservation.

*[Ref. Regulation (EC) 1107/2006 article 3]*

### **5.4.2 Limited circumstances when air carrier, agents or tour operators may have the possibility to refuse**

Notwithstanding the provisions of paragraph [5.5.1](#), an air carrier, its agent or a tour operator should have the possibility to refuse, to accept a reservation from, or to embark, a person with disabilities or a PRM in the following circumstances only:

- a) In order to meet applicable safety requirements established by international or national law, or in order to meet safety requirements established by the authority that issued the air operator's certificate to the air carrier concerned;
- b) If the size of the aircraft or its doors makes the embarkation or carriage of that disabled person or PRM physically impossible.

*[Ref. Regulation (EC) 1107/2006 article 4.1]*

### **5.4.3 If a PRM or disabled passenger is denied a reservation or embarkation**

5.4.3.1 In the event of refusal to accept a reservation on the grounds referred to under points (a) or (b) of paragraph [5.4.2.1](#), the air carrier, its agent or the tour operator should make reasonable efforts to propose an acceptable alternative to the person in question. *[Ref. Regulation (EC) 1107/2006 article 4.1]*

5.4.3.2 A person with disabilities or PRM who has been denied embarkation on the grounds of his or her disability or reduced mobility and any person accompanying this person pursuant to paragraph [5.4.4](#) should be offered the right to reimbursement or re-routing. The right to the option of a return flight or re-routing should be conditional upon all safety requirements being met. *[Ref. Regulation (EC) 1107/2006 article 4.1]*

5.4.3.3 Air carriers are obliged under EC 1107/2006 to make all reasonable efforts to accommodate PRMs and passengers with reduced mobility, even if there is no advance notification of their travel. [*Annex 5-F, paragraph 7.1*]

5.4.3.4 Air carriers should provide information on their websites to ensure passengers with disabilities and PRMs understand the notification process and any restrictions the air carrier may impose e.g. space restrictions and safety restrictions. [*Annex 5-J, Section 2*]

5.4.4 **PRMs and disabled passenger required to travel with an accompanying person**

5.4.4.1 Under the conditions referred to in paragraph [5.4.2\(a\)](#), an air carrier or its agent or a tour operator may require that a person with disabilities or PRM be accompanied by another person who is capable of providing the assistance required by that person. [*Ref. Regulation (EC) 1107/2006 article 4.2*]

5.4.4.2 Air carriers should be encouraged by ECAC Member States to offer discounts for the carriage of an accompanying person for persons with disabilities and PRMs in particular when the air carrier considers the presence of such a person necessary for safety reasons.

*Note: Regarding the conditions referred to in [5.4.2\(a\)](#), guidance is provided to air carriers at **Annex 5-F** "Advisory note on procedures for carrying persons with disabilities and persons with reduced mobility (PRMs)".*

5.4.5 **Information requirements for air carriers, their agents and tour operators**

5.4.5.1 An air carrier or its agent should make publicly available, in accessible formats and in at least the same languages as the information made available to other passengers, the safety rules that it applies to the carriage of persons with disabilities and PRMs, as well as any restrictions on their carriage or on that of mobility equipment due to the size of aircraft. A tour operator should make such safety rules and restrictions available for flights included in package travel, package holidays and package tours which it organises, sells or offers for sale. [*Ref. Regulation (EC) 1107/2006 article 4.3*]

5.4.5.2 When an air carrier or its agent or a tour operator exercises a derogation under paragraphs [5.4.2](#) or [5.4.4](#), it should immediately inform the person with disabilities or PRM of the reasons therefore. On request, an air carrier, its agent or a tour operator should



communicate these reasons in writing to the person with disabilities or PRM, within five working days of the request. [Ref. Regulation (EC) 1107/2006 article 4.4]

- 5.4.5.3 Air carriers and airports should follow the general and specific guidelines provided in **Annex 5-J** "Guidance on websites' information for persons with disabilities and persons with reduced mobility (PRMs)" regarding accessibility of its website, and information which should be provided.

## **5.5 Categories of passengers needing special assistance**

- 5.5.1 In order to adapt services supplied to the needs of persons with disabilities or PRMs, ECAC Member States should encourage air carriers, airport managing bodies and travel agents to use a common definition of the different categories of persons needing special assistance and to inform the air carrier or the airport concerned of the type of assistance which is needed.

### **5.5.2 Classification codes for PRMs and passengers with disabilities**

- 5.5.2.1 ECAC Member States should refer to the following classification and codification within air carrier messages:

- **WCHR** - Passenger who can walk up and down steps and move about in an aircraft cabin, but who requires a wheelchair or other means for movements between the aircraft and the terminal, in the terminal and between arrival and departure points on the city side of the terminal. It is recommended to include in this category passengers who only need little assistance at the airport and no assistance on-board (e.g. elderly passengers and others who do not need a wheelchair but rather a helping hand or assistance with luggage).

**WCHS** - Passenger who cannot walk up or down steps, but who can move about in an aircraft cabin and requires a wheelchair to move between the aircraft and the terminal, in the terminal and between arrival and departure points on the city side of the terminal and must be assisted up or down steps.

- **WCHC** - This category covers a wide range of passengers. It includes those who are completely immobile, who can move about only with the help of a wheelchair or any other means and who requires assistance at all times from arrival at the airport to seating in the aircraft or, if necessary, in a special seat fitted to their specific needs, the process being inverted at arrival. This category also includes passengers with a disability only affecting the lower limbs who require assistance to embark

and disembark and to move inside the aircraft cabin but who are otherwise self-sufficient and can move about independently in their own wheelchair at the airport. Specifying the level of autonomy at the time of booking will avoid the provision of inappropriate assistance.

- **WCLB** – This category covers passengers who use a wheelchair with lithium ion batteries. Wheelchair –lithium ion batteries to be transported by a passenger, which will require advance notification/preparation. Weight and dimensions may be specified.
- **BLND** - Blind or visually impaired passenger.
- **DEAF** - Passenger who is deaf or hard of hearing or a passenger who is deaf without speech.
- **DPNA** - – “Disabled Passenger Needing Assistance” is the code for passengers with cognitive, neurological or (hidden) disabilities, as well as mental ailment. . This covers for example persons with learning difficulties, dementia, Alzheimer’s’ or Down’s syndrome, as well as persons with (hidden) disabilities resulting from Crohn’s disease, ulcerative colitis, also known as Inflammatory bowel disease (IBD) or people with stoma bags due to Ileostomy, Colostomy or Urostomy - who travel alone and will need assistance.

### 5.5.3 **Free text information**

- 5.5.3.1 In order to provide the appropriate assistance, the air carrier should inform the assistance provider with the actual needs of the passenger using the “free text” box, visible in the messaging system between air carriers and airports (PAL/CAL messaging). This is particularly useful in the case of passengers with invisible disabilities or passengers who need only specific assistance.

*Note: Annex 5-H “Guidance on pre-notification of persons with disabilities and persons with reduced mobility (PRMs)” provides guidance for air carriers and airports for the transmission of information and notifications.*

- 5.5.3.2 Air carriers should publish enough information on their websites to ensure passengers with disabilities and PRMs can make an informed choice on whether to travel on that particular flight.  
[Annex 5-H, paragraph 4.2.1.4]

## **5.6 Transmission of information**

### **5.6.1 Pre-notification by air carriers, agents and tour operators**

5.6.1.1 Air carriers, their agents and tour operators should take all measures necessary for the receipt, at all their points of sale in the territory of ECAC Member States, including sale by telephone and via the internet, of notifications of the need for assistance made by persons with (hidden) disabilities or PRMs. [Ref. Regulation (EC) 1107/2006 article 6.1]

5.6.1.2 Information on (hidden) disabilities should be assimilated to all the parties involved for the passenger's comfort and the crew's safety.

5.6.1.3 Air carriers, their agents and tour operators should observe these requirements and persons with disabilities and PRMs should be able to understand them.

5.6.1.3 Air carriers, their agents and tour operators should use the coding for special categories of passengers as defined in subsection 5.4.2 when transmitting information to airports on the categories of PRMs and passengers with disabilities.

### **5.6.2 Time limits for pre-notification**

5.6.2.1 When an air carrier, its agent or a tour operator receives a notification for the need for assistance at least 48 hours before the published departure time for the flight, it should transmit the information concerned at least 36 hours before the published departure time for the flight:

- a) To the managing bodies of the airports of departure, arrival and transit; and
- b) To the operating air carrier, if a reservation was not made with that carrier, unless the identity of the operating air carrier is not known at the time of notification, in which case the information should be transmitted as soon as practicable.

[Ref. Regulation (EC) 1107/2006 article 6.2]

5.6.2.2 In all cases other than those mentioned in paragraph [5.6.2](#), the air carrier or its agent or tour operator should transmit the information as soon as possible. [Ref. Regulation (EC) 1107/2006 article 6.3]



### **5.6.3 Passenger services message (PSM)**

- 5.6.3.1 As soon as possible after the departure of the flight, an operating air carrier should inform the managing body of the airport of destination, if situated in the territory of an ECAC Member State, of the number of persons with disabilities and PRMs on that flight requiring assistance and of the nature of that assistance. This usually takes place via a passenger service message (PSM). [Ref. Regulation (EC) 1107/2006 article 6.4]

*Note: **Annex 5-H** "Guidance on pre-notification of persons with disabilities and persons with reduced mobility (PRMs)" provides guidance for air carriers and airports to help adopt practices which will encourage higher levels of pre-notification.*

*Note: **Annex 5-A** "Guidance leaflet for persons with reduced mobility who may be infrequent or first time flyers" provides guidance in the form of a leaflet for persons with disabilities and PRMs who may be infrequent or first time flyers. ECAC Member States should draw this information to the attention of organisations representing disabled persons and PRMs as well as air carriers and tour operators.*

*Note: **Annex 5-D** "Guidelines for delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs)" sets out the standards of service airports should provide for departing and arriving persons with disabilities and PRMs with and without the required notice. ECAC Member States should draw this guidance to the attention of airport managing bodies and to air carriers and their agents.*

## **5.7 Right to assistance at airports**

### **5.7.1 Responsibility of managing body**

- 5.7.1.1 When a person with disabilities or PRM arrives at an airport for travel by air, the managing body of the airport should be responsible for ensuring the provision of the assistance set out in paragraph [5.8.5](#) in such a way the person is able to take the flight for which he or she holds a reservation, provided the notification of the person's particular needs for such assistance has been made to the air carrier or its agent or the tour operator concerned at least 48 hours before the published time of departure of the flight. This notification should also cover a return flight, if the outward flight and the return flight have been contracted with the same air carrier. [Ref. Regulation (EC) 1107/2006 article 7.1]

## **5.7.2 Carriage of service animals**

5.7.2.1 Where use of a service animal is required, this should be accommodated provided that the same notification is made to the air carrier, its agent or the tour operator in accordance with applicable national rules covering the carriage of service animals' on-board aircraft, where such rules exist. [Ref. Regulation (EC) 1107/2006 article 7.2]

*Note: The role of service animals is explained in Section 5 of **Annex 5-E** "Guidelines on awareness and disability equality for all airport and air carrier personnel dealing with the travelling public".*

## **5.7.3 Non-pre-notified passengers**

5.7.3.1 If no notification is made in accordance with paragraph [5.7.1](#), the managing body should make all reasonable efforts to provide the assistance in such a way that the person concerned is able to take the flight for which he or she holds a reservation. [Ref. Regulation (EC) 1107/2006 article 7.3]

## **5.7.4 Conditions for assistance for departing PRMs and passengers with disabilities**

5.7.4.1 The provisions of paragraph [5.7.1](#) should apply on condition that:

- a) The person presents himself or herself for check-in:
  - At the time stipulated in advance and in writing (including by electronic means) by the air carrier or its agent or the tour operator, or
  - If no time is stipulated, not later than one hour before the published departure time, or
- b) The person arrives at a point within the airport boundary designated in accordance with paragraph [5.11](#):
  - At the time stipulated in advance and in writing (including by electronic means) by the air carrier or its agent or the tour operator, or
  - If no time is stipulated, not later than two hours before the published departure time.

[Ref. Regulation (EC) 1107/2006 article 7.4]

## **5.7.5 Transiting PRMs and passengers with disabilities**

5.7.5.1 When a person with disabilities or PRM transits through an airport of an ECAC Member State, or is transferred by an air carrier or a tour operator from the flight for which he or she holds a reservation to another flight, the managing body should be responsible for ensuring the provision of the assistance set out in paragraph [5.8.5](#) in such a way that the person is able to take the flight for which he or she holds a reservation. [Ref. Regulation (EC) 1107/2006 article 7.5]

## **5.7.6 Arriving PRMs and passengers with disabilities**

5.7.6.1 On the arrival by air of a person with disabilities or PRM at an airport in an ECAC Member State, the managing body of the airport should be responsible for ensuring the provision of the assistance set out in paragraph [5.8.5](#) in such a way that the person is able to reach his or her point of departure from the airport as referred to in paragraph [5.11](#). [Ref. Regulation (EC) 1107/2006 article 7.6]

5.7.6.2 The assistance provided should, as far as possible, be appropriate to the particular needs of the individual passenger. [Ref. Regulation (EC) 1107/2006 article 7.7]

## **5.8 Responsibility for assistance at airports**

### **5.8.1 Assistance to be provided without additional charge to passengers**

5.8.1.1 The managing body of an airport should be responsible for ensuring the provision of the assistance set out in paragraph [5.8.5](#) without additional charge to persons with disabilities and PRMs. [Ref. Regulation (EC) 1107/2006 article 8.1]

### **5.8.2 Assistance providers in ECAC Member States**

5.8.2.1 The airport managing body may provide such assistance itself. Alternatively, in keeping with its responsibility, and in accordance with recommended quality standards referred to in paragraph [5.9.1](#), the managing body may contract with one or more other parties for the supply of the assistance. In cooperation with airport users, through the Airport Users Committee, where one exists, the managing body may enter into such a contract or contracts on its own initiative or on request, including from an air carrier, and taking into account the existing services at the airport concerned. In the event it refuses such a request, the managing body should provide written justification. [Ref. Regulation (EC) 1107/2006 article 8.2]

### **5.8.3 Specific charges on airport users for providing the assistance**

5.8.3.1 The managing body of an airport may, on a non-discriminatory basis, levy a specific charge on airport users for the purpose of funding this assistance. [Ref. Regulation (EC) 1107/2006 article 8.3]

5.8.3.2 This specific charge should be reasonable, cost-related, transparent and established by the managing body of the airport in cooperation with airport users, through the Airport Users Committee, where one exists, or any other appropriate entity. It should be shared among airport users in proportion to the total number of all passengers carried to and from that airport. [Ref. Regulation (EC) 1107/2006 article 8.4]

### **5.8.4 Audited accounts of assistance activities**

5.8.4.1 The managing body of an airport should separate the accounts of its activities relating to the assistance provided to persons with disabilities and PRMs from the accounts of its other activities, in accordance with current commercial practice. [Ref. Regulation (EC) 1107/2006 article 8.5]

5.8.4.2 The managing body of an airport should make available to airport users, through the Airport Users Committee, where one exists, or any other appropriate entity, as well as to the enforcement body or bodies referred to in paragraph 5.16, an audited annual overview of charges received and expenses made in respect of the assistance provided to persons with disabilities and PRMs. [Ref. Regulation (EC) 1107/2006 article 8.6]

### **5.8.5 Types of assistance which should be arranged by the airport managing body**

5.8.5.1 Assistance and arrangements necessary to enable persons with disabilities and PRMs to use the airport should include means to:

- Communicate their arrival at an airport and their request for assistance at the designated points inside and outside terminal buildings mentioned in paragraph 5.11;
- Move from a designated point to the check-in counter;
- Check-in and register baggage;
- Proceed from the check-in counter to the aircraft, with completion of emigration, customs and security procedures;
- Board the aircraft, with the provision of lifts, wheelchairs or other assistance needed, as appropriate;

- Proceed from the aircraft door to their seats;
- Store and retrieve baggage on the aircraft;
- Proceed from their seats to the aircraft door;
- Disembark from the aircraft, with the provision of lifts, wheelchairs or other assistance needed, as appropriate;
- Proceed from the aircraft to the baggage hall and retrieve baggage, with completion of immigration and customs procedures;
- Proceed from the baggage hall to a designated point;
- Reach connecting flights when in transit, with assistance on the air and land sides and within and between terminals as needed; and
- Move to the toilet facilities if required.

*[Ref. Regulation (EC) 1107/2006 Annex I]*

## **5.8.6 Additional arrangements to be made by the airport managing body**

### **5.8.6.1 Arrangements should also be in place by the airport managing body to ensure:**

- Where a person with disabilities or PRM is assisted by an accompanying person, this person should, if requested, be allowed to provide the necessary assistance in the airport and with embarking and disembarking.
- Assistance on the ground for all necessary mobility equipment, including equipment such as electric wheelchairs is provided subject to an advance warning of 48 hours and to possible limitations of space on board the aircraft, and subject to the application of relevant legislation concerning dangerous goods.
- Temporary replacement of damaged or lost mobility equipment is made available, albeit not necessarily on a like-for-like basis.
- Assistance on the ground for service animals is provided, when relevant.
- Information needed to take flights is communicated in accessible formats.

*[Ref. Regulation (EC) 1107/2006 Annex I]*



## **5.8.7 National enforcement body responsibilities**

- 5.8.7.1 ECAC Members States should ensure information for persons with disabilities and PRMs is harmonised and integrated as soon as practicable into the system used to inform all travellers. This information should be made accessible to all by supplying it in at least two languages, with necessary adaptations to meet the need of people with vision or hearing impairments, and easy to read versions for people with learning disabilities.
- 5.8.7.2 ECAC Member States should draw to the attention of airport managing bodies the quality standards set out in **Annex 5-C** "Code of good conduct in delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs)" and **Annex 5-D** "Guidelines for delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs)". These standards should form the basis of the assistance mentioned in paragraph 5.8.

## **5.9 Quality standards for assistance**

- 5.9.1** With the exception of airports whose annual traffic is less than 150 000 commercial passenger movements, the managing body should set quality standards for assistance and determine resource requirements for meeting them, in cooperation with airport users, through the Airport Users Committee, where one exists, and organisations representing persons with disabilities and PRMs. [Ref. Regulation (EC) 1107/2006 article 9.1]
- 5.9.2** In the setting of such standards, full account should be taken of internationally recognised policies and codes of conduct concerning facilitation of the transport of persons with disabilities or PRMs.

*Note: The present recommendations and its Annexes should be taken into account, in particular, **Annex 5-C** "Code of good conduct in delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs)" and **Annex 5-J** "Guidance on websites' information for persons with disabilities and persons with reduced mobility (PRMs)". [Ref. Regulation (EC) 1107/2006 article 9.2]*

### **5.9.3 Publication of quality standards**

- 5.9.3.1 The managing body of an airport should publish its quality standards. [Ref. Regulation (EC) 1107/2006 article 9.3]

#### **5.9.4 Possible higher standards**

5.9.4.1 An air carrier and the managing body of an airport may agree, for the passengers whom the air carrier transports to and from the airport, the managing body should provide assistance of a higher standard than the standards referred to in paragraph [5.9.1](#) or provide services additional to those recommended. [Ref. Regulation (EC) 1107/2006 article 9.4]

#### **5.9.5 Charge**

5.9.5.1 For the purpose of funding either of these, the managing body may levy a charge on the air carrier, additional to that referred to in paragraph 5.8.3, which should be transparent, cost related and established after consultation of the air carrier concerned. [Ref. Regulation (EC) 1107/2006 article 9.5]

### **5.10 Airport Design**

*Note: The layout and design of airport terminals have a major impact on the level and nature of assistance needed by persons with disabilities and PRMs. A well-designed airport enables a far higher level of independent mobility to many persons with disabilities. The assistance that is needed may also depend on distances through the airport, for example from check in to departure gate.*

**5.10.1** ECAC Member States should ensure from the first phase of planning, new plans for building or renovating airport installations open to the public meet the national or international accessibility standards for persons with disabilities and PRMs. Before final plans are submitted for approval, the advice of experts including experts from disability organisations, should be sought to consider, at least, the following matters.

#### **5.10.2 Transport and parking**

5.10.2.1 Means of transport to or from the airport, inside the airport area and between airports, should be organised so as to enable persons with disabilities and PRMs to be transported in the same conditions of comfort and safety as those available to other passengers.

#### **5.10.3 Parking spaces**

5.10.3.1 Parking spaces should be reserved for persons with disabilities' and PRMs' cars. Those spaces should be located as close as possible to the terminal and the way to the entrance should be made as easy as possible. Intercoms should be installed near those reserved parking spaces in order to make it easier to communicate with the organisation responsible for providing help to PRMs.

#### **5.10.4 Pedestrian crossings**

5.10.4.1 Pedestrian crossings should be accessible to persons with disabilities and PRMs.

#### **5.10.5 Changes in level**

5.10.5.1 Changes in level should be compensated by installations in conformity with accessibility parameters adapted to persons with disabilities and PRMs.

#### **5.10.6 Access points**

5.10.6.1 All points of access to each building open to the public should be accessible to persons with disabilities and PRMs and connected to points served by public transport.

#### **5.10.7 Inside terminal buildings**

5.10.7.1 All areas in the terminal building that are open to the public, including all facilities, should be designed in such a way that persons with disabilities and PRMs can reach and use them without difficulty, in particular:

- Toilets;
- Restaurants;
- Shops;
- Communication equipment;
- Check-in desks and check-in kiosks, and;
- Counters.

#### **5.10.8 Service animals**

5.10.8.1 Relief areas for service animals should be available near the terminal building. Airport staff should be able to easily direct passengers to this area or escort them at all points in their journey through the airport.

#### **5.10.9 Signage**

5.10.9.1 Installations that are reserved or designed for persons with disabilities and PRMs should be appropriately signed using internationally agreed standards.



## 5.11 Designation of points of arrival and departure

**5.11.1** In cooperation with airport users, through the Airport Users Committee, where one exists, and relevant organisations representing persons with disabilities and PRMs, the managing body of an airport should, taking account of local conditions, designate points of arrival and departure within the airport boundary or at a point under the direct control of the managing body, both inside and outside terminal buildings at which persons with disabilities and PRMs can, with ease, announce their arrival at the airport and request assistance. [Ref. Regulation (EC) 1107/2006 article 5.1]

**5.11.2** It is essential that persons with disabilities and PRMs who use that airport are involved in the process of deciding where the points should be designated and how they should be signed.

### 5.11.3 Signage

5.11.3.1 The points of arrival and departure referred to in paragraph [5.11.1](#), should be clearly signed and should offer basic information about the airport, in accessible formats. Guidance is provided for airports in **Annex 5-K** "Harmonisation of call point signage" on the features, location, appearance and basic criteria for designated points of arrival and departure. [Ref. Regulation (EC) 1107/2006 article 5.2]

5.11.3.2 The number and location of such points will vary according to the size and layout of individual airports but is likely to include airport short and long term car parks, drop off and pick up points and train, light rail, metro and bus station arrivals and departures.

*Note: ECAC Member States should encourage airports to take full account of this guidance found in:*

- **Annex 5-C** "Code of good conduct in delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs)"; and
- **Annex 5-D** "Guidelines for delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs)" include guidance on best practice in these and other areas of airport design and management. ECAC Member States should encourage airports to take full account of this guidance.

## 5.12 Training

### 5.12.1 Requirements for air carriers and airport managing bodies

5.12.1.1 Air carriers and airport managing bodies should:

- Ensure all their personnel, including those employed by any sub-contractor, providing direct assistance to persons with disabilities and PRMs have knowledge of how to meet the needs of persons with various disabilities or mobility impairments;
- Provide disability-equality and disability-awareness training to all their personnel working at the airport who deal directly with the travelling public and;
- Ensure upon recruitment, all new employees attend disability related training and personnel receive refresher-training courses when appropriate.

*[Ref. Regulation (EC) 1107/2006 article 11]*

### 5.12.2 Requirements for travel agencies

5.12.2.1 Travel agencies should ensure that their personnel in contact with persons with disabilities and PRMs also receive appropriate training on how to give practical assistance to persons with disabilities and PRMs and how to ask persons with disabilities and PRMs what assistance they need and how best to provide it.

### 5.12.3 Scope and context of training for air carrier, airport and travel agency staff

5.12.3.1 The scope and content of the disability-equality and disability-awareness training and the competencies which should be acquired are described in Annex 5-G "Training" and Annex 5-F "Advisory note on procedures for carrying persons with disabilities and persons with reduced mobility" details the procedures for carrying passengers with disabilities and PRMs.

5.12.3.2 The scope and content of the training for persons providing direct assistance to persons with disabilities and PRMs and the competencies which should be acquired are described in **Annex 5-G** "Training" and procedures for carrying persons with disabilities and PRMs are described in **Annex 5-F** "Advisory note on procedures for carrying persons with disabilities and person with reduced mobility".

#### **5.12.4 Cooperation with disability organisations**

5.12.4.1 Training should be delivered in cooperation with disability organisations.

#### **5.12.5 Refresher training**

5.12.5.1 Recurrent training should be conducted:

- a) For competencies acquired during the disability-equality and disability-awareness training, at least once every 2 years or, in cases where the competencies have not been exercised for more than 6 months, before return to directly dealing with the travelling public;
- b) For competencies acquired during the training on direct assistance to persons with disabilities and PRMs, at least once per year or, in cases where the competencies have not been exercised for more than 6 months, before return to directly providing assistance to persons with disabilities and PRMs; and
- c) For new or extended competencies, as required to ensure persons who deal with travelling public or provide direct assistance to persons with disabilities and PRMs are promptly made aware of new developments and/or legal requirements by the time they have to be applied.

#### **5.12.6 Training records**

5.12.6.1 Records of recurrent training should be kept for all persons trained for at least the duration of their contract.

#### **5.12.7 Training for security staff at airports**

5.12.7.1 ECAC Member States should draw the attention of airport managing bodies and air carriers to the guidance in **Annex 5-B** "Guidance Material for Security Staff – Key points for checks of PRMs", **Annex 5-E** "Guidelines on awareness and disability equality for all airport and air carrier personnel dealing with the travelling public", **Annex 5-F** "Advisory note on procedures for carrying persons with disabilities and person with reduced mobility (PRMs)" and **Annex 5-G** "Training".

### **5.13 Compensation for lost or damaged wheelchairs, other mobility equipment and assistive devices**

5.13.1 Where wheelchairs or other mobility equipment or assistive devices are lost or damaged whilst being handled at the airport or transported on board aircraft, the passenger to whom the equipment belongs should be compensated, in accordance with rules of international, Community and national law. [Ref. Regulation (EC) 1107/2006 article 12]

### **5.14 Information to organisations**

5.14.1 ECAC Member States should publicise to organisations representing persons with disabilities and PRMs the information contained in **Annex 5-A** "Guidance leaflet for persons with reduced mobility who may be infrequent or first time flyers". Persons with disabilities and PRMs need to have a clear understanding of their responsibilities for mobility equipment as well as their rights if problems arise.

### **5.15 Complaints procedure**

5.15.1 A person with disabilities or PRM who considers that they have not received the level or quality of service to which they should be entitled, should have the possibility to bring the matter to the attention of the managing body of the airport or to the attention of the air carrier concerned, as the case may be. [Ref. Regulation (EC) 1107/2006 article 15.1]

5.15.2 If the person with disabilities or PRM cannot obtain satisfaction in such way, it should be possible to make complaints to any body or bodies designated by the ECAC Member State in accordance with paragraph [5.16](#), or to any other competent body designated by an ECAC Member State, about an alleged infringement of the regulations in force in that Member State which are relevant to the provisions in this Section. [Ref. Regulation (EC) 1107/2006 article 15.2]

5.15.3 A body in one ECAC Member State which receives a complaint concerning a matter that comes under the responsibility of a designated body of another ECAC Member State should forward the complaint to the body of that other ECAC Member State. [Ref. Regulation (EC) 1107/2006 article 15.3]

**Note: ECAC Member States should take measures to inform persons with disabilities and PRMs of their rights and of the possibility of complaint to a designated body or bodies.** [Ref. Regulation (EC) 1107/2006 article 15.4]

5.15.4 ECAC Member States should ensure information about rights and means of redress are widely publicised to organisations representing persons with disabilities and PRMs.

*Note: Guidance contained in **Annex 5-A** "Guidance leaflet for persons with reduced mobility (PRMs) who may be infrequent or first time flyers" may be useful.*

## **5.15 Enforcement body and their tasks**

**5.16.1** Each ECAC Member State should designate an enforcement body or bodies responsible for the implementation of these provisions as regards flights departing from or arriving at airports situated in its territory. Where appropriate, this body or bodies should take the measures necessary to ensure the rights of persons with disabilities and PRMs are respected, including taking account of the quality standards referred to in paragraph [5.9](#) and **Annexes 5-C and 5-D**. [Ref. Regulation (EC) 1107/2006 article 14.1]

**5.16.2** ECAC Member States should, where appropriate, confirm the enforcement body or bodies they have designated also ensure the satisfactory implementation of recommendations set out in paragraphs [5.8.1 to 5.8.9](#), including as regards the provisions on charges with a view to avoiding unfair competition. They may also designate a specific body to that effect. [Ref. Regulation (EC) 1107/2006 article 14.2]

*Note: **Annex 5-L** "Guidance material for PRM assessments" provides guidance and checklists for enforcement bodies to be used when checking the recommendations in this Section have been implemented satisfactorily by airports and air carriers.*



### **5.16.3 Penalties**

5.16.3.1 ECAC Member States should take all necessary measures to ensure the provisions in this Section are implemented, including by providing for penalties in case of infringements to the regulations applying these provisions in the national framework. In cases where penalties are applied, they should be effective, proportionate and dissuasive. [Ref. Regulation (EC) 1107/2006 article 16]

### **5.17 List of Annexes**

Guidance leaflet for persons with reduced mobility who may be infrequent, or first time, flyers is contained in Annex 5-A.

Guidance material for security staff – Key points for checks of persons with disabilities and persons with reduced mobility (PRMs) are contained in Annex 5-B.

Code of Good Conduct in delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs) is contained in Annex 5-C.

Guidelines on delivering special assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs) are contained in Annex 5-D.

Guidelines on awareness and disability equality for all airport and air carrier personnel dealing with the travelling public are contained in Annex 5-E.

Advisory note on procedures for carrying persons with disabilities and persons with reduced mobility (PRMs) is contained in Annex 5-F.

Guidelines on Training are contained in Annex 5-G.

Guidance on pre-notification of persons with disabilities and persons with reduced mobility (PRMs) is contained in Annex 5-H.

US Air Carrier Access Act Regulation (14 CFR Part 382) and EU Regulation (EC) 1107/2006: Compatibility And Potential Conflict is contained in Annex 5-I.

Guidance on websites' information for persons with disabilities and persons with reduced mobility (PRMs) is contained in Annex 5-J.

Guidelines on harmonisation of call point signage are contained in Annex 5-K.

Guidance material for PRM assessments is contained in Annex 5-L.



## **SECTION 6 – HEALTH MATTERS**

### **RECOMMENDATIONS**

#### **6.1 Aviation health policy**

Each Member State should define its aviation health policy in the context of public health policy applicable at the time. The policy should clearly define that public health policy will take precedence in the case of a pandemic or other health scenarios impacting public health.

#### **6.2 Risk-based approach to aviation health policy**

Each Member State should adopt a risk-based approach to aviation health policy and adopt an evidence-based approach to identifying effective mitigation.

#### **6.3 Scientific public health and aviation data**

Each Member State should ensure that pertinent scientific public health and aviation data is gathered, reviewed and used in reviewing risk assessments and decision making.

#### **6.4 Data protection**

Where public health requirements establish a need for personal information from passengers or personnel working in the aviation sector, each Member State should ensure that adequate data protection measures are in place to protect the personal and medical data being shared with the relevant public health authorities. Protection measures should be established for the collection and transmission of the relevant data.

#### **6.5 Means of collecting information**

Each Member State should ensure that the means used for collecting public health information is not itself a means of virus transmission. Each Member State should ensure that contactless and/or other digital means are used for collecting public health information and data from a passenger to the extent practicable.



## **6.6 Communications plan**

Each Member State should develop a communications plan for communicating with the travelling public and with airport operators, air carriers and other entities operating in the State. The communications plan should take into account information requirements needed to reassure the travelling public and provide timely industry updates. Specific communication measures should be established for facilitating essential aviation operations including but not limited to repatriation operations, medical emergencies and arrangements required for expediting public health medicines and equipment to and from Member States.

## **6.7 Focal point for facilitation matters**

Each Member State should appoint a focal point for facilitation matters that public health and officials from the Member State or other States can liaise with during the course of a public health pandemic.

## **6.8 International coordination**

Each Member State, in the interest of achieving a harmonised approach with other Member States, should coordinate and seek to align aviation health measures applied to the travelling public and crews. This coordinated approach should include reliance on scientific inputs from regional and international organisations, information sharing at regional level as well as supporting regional objectives at a global level.

## **SECTION 7: VARIOUS FACILITATION MATTERS**

### **7.1 Limitation on the amount of cabin baggage**

7.1.1 Air carriers and airport managing bodies should:

- ensure that all their personnel, including those employed by any sub-contractor, providing direct assistance to persons with disabilities and PRMs have knowledge of how to meet the needs of persons with various disabilities or mobility impairments;
- provide disability-equality and disability-awareness training to all their personnel working at the airport who deal directly with the travelling public;
- ensure that, upon recruitment, all new employees attend disability related training and that personnel receive refresher training courses when appropriate.

7.1.2 In order to:

- meet safety requirements in respect of baggage storage in aircraft cabins;
- ease the processing of cabin baggage at security check points and ensure passenger flow;
- avoid last-minute refusals of cabin baggage at the gate of the aircraft with a subsequent reloading of such baggage into the aircraft hold due to storage capacity restrictions in the aircraft cabin; and
- avoid last-minute refusals of cabin baggage at commuter aircraft due to storage restrictions in the aircraft hold/cabin.

Each ECAC Member State should request air carriers to ensure that, in normal circumstances and subject to security measures being applied at airports, the amount of cabin baggage per passenger permitted on-board be limited to one item in accordance with applicable industry standards in cases where:

- either the available storage capacity for cabin baggage on-board;
- or the number of embarking passengers in relationship with total seat capacity,

prevent acceptance of additional cabin baggage on-board.

*Note: Cabin baggage comprises all articles, including those which may be carried in addition to the free baggage allowance, as published by each air carrier via any of the following ways:*

- *Timetables;*
- *Tickets;*
- *Ticket envelopes;*
- *Ticket/check-in counter signs;*
- *In-flight literature; and*
- *Any other appropriate means.*



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**ANNEX 1-A: MODEL NATIONAL CIVIL AVIATION FACILITATION  
PROGRAMME**

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**ECAC MODEL**

**NATIONAL CIVIL AVIATION FACILITATION PROGRAMME**

**[insert name of Member State]**

**[insert date]**

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## **NOTE FOR STATES IMPLEMENTING A NATIONAL CIVIL AVIATION FACILITATION PROGRAMME (NCAFP)**

*This template provides guidance to states to support their efforts in drafting and establishing their own National Civil Aviation Facilitation Programme (NCAFP). It sets out the different topics that may be included in the scope of a NCAFP and offers a blueprint for states that wish to establish a Programme and National Facilitation Committee.*

*States' own constitutional and legal frameworks are fundamental to how their own Programmes will ultimately develop. Therefore, States should adapt this template to their own circumstances. States should choose those elements of the template that best fit their own constitutional and legal frameworks.*

*Annex 9 of the Chicago Convention identifies a number of stakeholders with an interest in facilitation and States should aim to ensure those stakeholder interests are represented in their Programme. It may also be appropriate to consider including representatives from foreign governments or international bodies where they would add value. The facilitation stakeholders identified in Annex 9 are:*

- *Passengers*
- *Airlines (domestic and foreign)*
- *Airport operators*
- *Immigration control authorities*
- *Customs control authorities*
- *Public health authorities*
- *Travel document issuing authorities*
- *Animal and plant control authorities*

*(Noting that some processes may be sub-contracted to ground handlers and other agents)*

## **1. INTRODUCTION**

### **1.1. Facilitation**

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

### **1.2. Purpose of the National FAL Committee and the NCAFP**

The establishment of the National Facilitation Committee (hereafter the National FAL Committee) and of the NCAFP is required by Standard 8.17 in Annex 9 (Fifteenth edition, October 2017) to the Chicago Convention.

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

The purpose of the NCAFP is to provide a framework to guide the improvement and optimization of aircraft, crew, passenger and cargo flows at airports and to improve customer service, while maintaining appropriate security requirements. The Committee provides a forum for consultation about facilitation matters amongst interested stakeholders in Government and the private sector.

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

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

### **1.3. Benefits of a NCAFP**

The NCAFP aims to address and harmonise the interests of all entities involved in facilitation, e.g., State services, aircraft operators, commercial air transport users and airports etc. to promote the growth of a safe, reliable and viable air transport industry. The benefits it hopes to achieve are:

- a) to maintain or increase the quality of aircraft, crew, passenger and cargo flow;
- b) to maintain or increase the level of passenger service and the cost-effectiveness and efficiency of processes and procedures;
- c) to facilitate, accommodate and encourage the growth of air transport; and

d) to contribute to a positive experience meeting the needs of the travelling public.

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

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

#### **1.4.** Signature and version number

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

Signed on:

Director General or other title  
Civil Aviation Authority/Ministry/Department

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



## **PART I – OBJECTIVES OF THE NATIONAL FACILITATION PROGRAMME**

### **2. OBJECTIVES OF THE NATIONAL FACILITATION PROGRAMME**

The main objectives of NCAFP are to facilitate the coordination between relevant Ministries, agencies and industry to:

- ensure the implementation of all relevant legislation as laid out in Part II;
- enhance processes and procedures; and
- proactively support the development of innovative strategies to address facilitation issues in the air transport industry and civil aviation environment.

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

## **PART II – LEGISLATION**

### **3. LEGISLATION**

The NCAFP is based on International, European and National laws, regulations and recommendations. The establishment of the NCAFP and the National FAL Committee is required by, and based on the Chicago Convention, Annex 9 and is implemented in application of *[insert reference to National Legislation, regulation or decision as appropriate]*.

The following legislation, at the international, European and national levels are taken into account by the NCAFP.

#### **3.1 International Regulations**

- Chicago Convention on Civil Aviation in particular Articles 10, 13, 14, 22, 23, 37 and 38
- Annex 9 to the Chicago Convention, – Facilitation (15th edition, October 2017)

- Convention for the Unification of Certain Rules for International Carriage by Air (the Montreal Convention)
- International Convention on the simplification and harmonization of Customs procedures (Kyoto Convention)
- SAFE Framework of measures
- World Health Organisation - International Health Regulations (IHR)

*[insert other international instruments, as relevant]*

### **3.2 European Legislation and Recommendations**

- Regulation (EC) No 300/2008 (...) on common rules in the field of civil aviation security
- Commission Regulation (EU) No 185/2010 (...) laying down detailed measures for the implementation of the common basic standards on aviation security
- Regulation (EC) No 889/2002 (...) on air carrier liability in the event of accidents (the Montreal Convention)
- Regulation (EC) No 261/2004 (...) establishing common rules on compensation and assistance to passengers in the event of denied boarding and of cancellation or long delay of flights
- Regulation (EC) No 2111/2005 (...) on the establishment of a Community list of air carriers subject to an operating ban within the Community and on informing air transport passengers of the identity of the operating air carrier
- Regulation (EC) No 1107/2006 (...) concerning the rights of disabled persons and persons with reduced mobility when travelling by air
- Regulation (EC) No 562/2006 (...) establishing a Community Code on the rules governing the movement of persons across borders (Schengen Borders Code)
- Regulation (EC) No 810/2009 (...) establishing a Community Code on Visas (Visa Code) (consolidated version of February 2012)
- Council Regulation (EU) No 952/2013 (...) establishing the Union Customs Code

- Commission Delegated Regulation (EU) No 2015/2446 (...) supplementing detailed rules concerning certain provisions of the Union Customs Code
- Commission Implementing Regulation (EU) No 2015/2447 (...) laying down detailed rules for implementing certain provisions of the Union Customs Code

*[insert other EU legislation, as relevant]*

- European Civil Aviation Conference (ECAC) - Policy Statement in the field of Civil Aviation Facilitation: ECAC Doc 30, Part I (12<sup>th</sup> edition, May 2018)

### 3.3 National Legislation

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

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

The NCAFP is given legal force by virtue of *[Mention National Legislation, regulation or decision]*. If appropriate

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

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## **PART III – ORGANISATION AND MANAGEMENT OF THE NATIONAL FACILITATION PROGRAMME**

### **4. NATIONAL FACILITATION COMMITTEE**

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

*Note — There are security bodies /committees which may address tasks also dealt within the NCAFP. As the aim is to prevent duplication, regular coordination should take place between the Chair/Secretary of the National FAL Committee and their counterparts in the Security Committees, and*

*through members participating in both groups. The security committees concerned should be updated on the work of the National FAL Committee, which in turn may refer issues of common interest to Security Committees for further consideration.*

#### **4.1 Terms of Reference**

The National FAL Committee enhances processes and procedures and proactively supports development of innovative strategies to address facilitation issues in the air transport industry and civil aviation environment.

The National FAL Committee meets [*frequency to be determined*].

The objectives of the National FAL Committee are to:

1. Ensure coordination between relevant Ministries, agencies and industry;
2. Develop and implement the provisions of the NCAFP;
3. Consider recommendations made by entities (for example, the Airport User Committees, Security Committees or Airport Facilitation Committees) which are not members of the National FAL Committee;
4. Encourage the development of best practices in all areas of facilitation (e.g. immigration, customs, handling of persons with disabilities);
5. Be a forum for discussing proposed changes to the (international) regulations concerning facilitation (e.g. amendments to ICAO Annex 9, to ECAC Doc 30, Part I);
6. Inform departments, competent agencies and other organisations concerned of significant relevant developments in the field of civil aviation (e.g. outcome of ICAO Facilitation Panel) and make recommendations to them regarding issues related to the NCAFP; and
7. Coordinate with the National Security Committee.

*Note — for best practice the Chairman of the National FAL Committee should be a member of the National Civil Aviation Security Committee.*

There are various groups and forums which address several aspects of facilitation. Examples (not limited) are: Airport User Committee (Airport or

Aircraft Operators Committee), Airport Facilitation Committee, Airport Security Committee etc. There should be interaction or information dissemination between these committees and members of the National FAL Committee.

## 4.2 Membership

The National FAL Committee is composed of Senior Officials representing the main interests involved in the various domains of facilitation. Alternates may be designated in their respective organisations. Such persons should be given sufficient authority to speak on behalf of their organisations and to initiate necessary action in support of the National FAL Committee's work. Experts may be invited by the Chair of the National FAL Committee to advise or contribute on specific subjects.

The following Government Departments or Agencies may be members of the National FAL Committee: [*choose/add relevant members*]

- Civil aviation authority/Transport Ministry;
- Immigration authorities;
- Identification card/passport/visa issuing authorities;
- Customs authority;
- Security authorities;
- Public health authorities;
- Foreign affairs;
- Internal/Home/Justice affairs;
- Tourism and trade authorities;
- Agriculture, environment and quarantine services;
- Other relevant authorities.
- Etc

In addition, the following organisations may also be members of the National FAL Committee:

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

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

## 4.3 Tasks and Work Programme

The National FAL Committee shall:

- Regularly review the level of facilitation at international airports in the country;
- Consider and recommend solutions to facilitation issues;
- Stay informed about the operations of the Airport Facilitation Committees to ensure that practices and/or procedures employed at the airports are in accordance with applicable legislation and ICAO SARPs;
- Consider proposed changes in international legislation or in the recommended practices issued by international fora and to give input to formulate the national policy position;
- Review ICAO Annex 9 provisions and their implementation by way of practices and procedures at the national level, in order to establish compliance and/or file differences with ICAO Annex 9 Standards by the designated authority;
- Systematically review the differences filed in ICAO as regards ICAO Annex 9 as well as any legislation or regulations mandating the practices or procedures giving rise to such differences with a view to working to eliminate them, either by proposing changes in the practices and procedures concerned; or where necessary, by proposing changes in the relevant legislation or regulations;
- Identify and share information from each participating entity on developments in their respective work field which may affect facilitation;
- Ensure Airport Facilitation Committees meet regularly to monitor and evaluate progress.

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

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

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## PART IV – ALLOCATION OF RESPONSIBILITIES

### 5. RESPONSIBILITIES

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

*Note 1 – The organisation of State services at the national level is a matter for the State concerned. Consequently, a State may decide to allocate responsibilities in facilitation matters in accordance with the organisation of its services.*

*Note 2 - This section is not meant as a mandatory allocation of responsibilities for countries to adopt, or a prescriptive guideline. States may feel a more informal model is appropriate to their State and take another approach to how the tasks are managed.*

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

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

The Facilitation responsibilities of the Designated Authority are therefore:

- a) To ensure consistency between the NCAFP and the National Civil Aviation Security Programme (NCASP);
- b) To provide Secretariat support to the National FAL Committee;
- c) To ensure full compliance with the SARPs of Annex 9 to the Chicago Convention and if necessary file differences and notify ICAO;
- d) To ensure full compliance with European requirements related to facilitation; and



- e) To ensure operations are carried out in such a manner as to accomplish effective compliance with the laws of States and productivity for the operators, airports and government (inspection) agencies involved.

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

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

- a) To establish and ensure the implementation of a National Civil Aviation Security Programme to safeguard civil aviation against acts of unlawful interference;
- b) To define and allocate tasks and coordinate activities between the departments, agencies and other organizations of the State, airport and aircraft operators, air traffic service providers and other entities concerned with, or responsible for, the implementation of various aspects of the National Civil Aviation Security Programme;
- c) To arrange for the supporting resources and facilities required by the aviation security services to be available at each airport serving civil aviation.
- d) To participate in the National FAL Committee meetings.

**5.3** Customs Authority [*Insert exact name of authority*]

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

- a) Surveillance of arriving/departing passengers, cargo and mail in order to ensure adherence to national legislation;
- b) In pursuance of Annex 9 Standards, the Customs Authority should put in place facilities that will encourage electronic transmission of information required for entry and departure of aircraft;
- c) Introducing simplified procedures for release of goods to exit or enter the country;
- d) Seizure of all prohibited goods and detention of restricted goods (pending provision of relevant certificates where applicable);
- e) Participation in the National FAL Committee and - if required - in other Facilitation related meetings; and
- f) Provision of sufficient services without charge to operators.

**5.4** Immigration Authority [*Insert exact name of authority*]

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

- a) Issuance of travel documents and confirming that machine readable travel documents strictly adhere to the ICAO specifications in ICAO Doc. 9303 in order to ensure readability world-wide in machine readers of different manufactures;
- b) Checking the validity and acceptability of travel documents at border control points;
- c) [*where embarkation/disembarkation cards are required*] Ensuring that the embarkation/disembarkation card conforms to the Standards of the ICAO format set out in Annex 9 to the Chicago Convention;
- d) Detection and prevention of travel by terrorists or other criminals (international or otherwise) who may pose a threat to civil aviation and the State;
- e) Development and adoption of an active information sharing policy with relevant stakeholders and regional States to protect national borders against negative consequences of illegal immigration;
- f) If in possession of information or a strong suspicion of illegal migration movements which are liable to endanger law and order and compromise public safety, the Immigration Department, should within the national and international legal framework, inform the other States without delay;
- g) Co-operate with and assist aircraft operators in the establishment of the validity and authenticity of travel documents;
- h) Inform the operators of the requirements by the Authority regarding the entry / transit and departure of passengers;
- i) In case of aviation accidents, accept without delay the entry, on a temporary basis, of the experts required for search, rescue, accident investigation and repair or salvage of aircraft in conformity with Annexes 12 and 13 to the Chicago Convention, without having to produce any other travel document, when necessary, other than a passport;
- j) Where a visa is required for investigation experts on a mission related to an accident, agree to deliver it on an exceptional basis;
- k) Adopt measures in order to facilitate and return the inadmissible persons or deportees;

- l) Adopt measures to prevent persons deemed inadmissible or deported from causing trouble or endangering law and order and public safety in the transit or destination country;
- m) Ensure that the provisions of ICAO Annex 9 are applied with regard to inadmissible persons and deportees;
- n) Participate in the National FAL Committee and - if required - in other facilitation related meetings; and
- o) Provide sufficient services to operators without charge.

#### **5.5 Health Authority** [*Insert exact name of authority*]

According to Article 14 of the Chicago Convention effective measures are taken to prevent the spread of communicable diseases by air. In relation to facilitation, the Ministry of Health is responsible for, but not limited to:

- a) Collaborating actively with the World Health Organisation (WHO) and other Countries to ensure that the International Health Regulations (IHR) are effectively implemented;
- b) Detecting events involving disease or death above expected levels for the particular time in all areas of the State;
- c) Reporting all available and essential information immediately to the appropriate level of health care response;
- d) Implementing preliminary control measures (against the spread of the disease) immediately;
- e) Responding promptly and effectively to public health risks and public health emergencies of international concern;
- f) Ensuring dis-insection, disinfection and decontamination of aircraft is done in accordance with the recommendation of WHO and in compliance with IHRs;
- g) Providing adequate facilities for vaccination, quarantine (where necessary) and issuing the necessary certificates;
- h) In collaboration with airport and aircraft operators, ensuring that food preparation, storage, service of food, and water supplies and other items intended for consumption at the airport or aboard aircraft are hygienic and meet the standards set by WHO and the Food and Agriculture Organisation (FAO);

- i) Notifying WHO immediately and in accordance with IHR requirements all essential information related to any health risk of an international nature;
- j) Ensuring accessibility to appropriate medical service including diagnostic facilities so as to allow the prompt assessment and care of ill travellers and airport workers;
- k) Establishing and maintaining a public health emergency contingency plan in order to ensure a prompt response to a public health emergency of international concern;
- l) Ensuring provision of appropriate space, separate from other passengers, to interview suspect or affected persons;
- m) Assessing the health condition, and if necessary, organising quarantine of suspect travellers;
- n) Applying entry and exit controls for arriving and departing travellers; and
- o) Participating in the National FAL Committee meetings.

**5.6 Agriculture Authority** [*Insert exact name of authority*]

In terms of Facilitation, the Department of Agriculture should ensure:

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

## 5.7 Aircraft Operators

Aircraft operators should:

- a) Efficiently handle passengers and cargo;
- b) Inform the intending passengers of the specific requirements of the countries passengers intend to visit or transit through;
- c) Take adequate precautions to ensure that passengers are in possession of the required travel documents at the time of embarkation;
- d) Provide adequate assistance for passengers with special needs including passengers with reduced mobility or disabilities; and
- e) Participate in the National FAL Committee and - if required - in other Facilitation related meetings.

## 5.8 Airport Operators

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

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

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

to the airport operators or users requiring space and facilities on a comparable scale;

- g) Provision, maintenance and optimization of facilities and services for passengers with special needs including passengers with reduced mobility or disabilities; and
- h) Organisation of Airport Facilitation Committees and/or Airport User Committees.
- i) Participation in the National FAL Committee and - if required - in other facilitation related meetings

### **5.9 Ground Handling Agents**

Ground Handling Agencies should:

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

### **5.10 Dedicated body for passenger rights/National Enforcement Body** *[Insert exact name of authority – if separate entity]*

Where a dedicated body is established to ensure that passenger rights are protected, including:

- (i) the right of passengers with reduced mobility to an equal access to air transport; and
- (ii) the right of passengers to assistance and, where required, compensation in case of e.g., denied boarding, flight cancellations or long flight delays.

This body should:

- a) Oversee the implementation by airport and aircraft operators in respect of the said rights;
  - b) Report its conclusions and recommendations to the competent Government Agencies (e.g., Consumer Protection Agency, Equality and Non-Discrimination Agency); and
  - c) Participate, as need be, in the National FAL Committee.
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## ATTACHMENT 1

### NATIONAL FACILITATION COMMITTEE

#### RULES OF PROCEDURE

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



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## ANNEX 2-A: GUIDELINES FOR THE REMOVAL OF DEPORTEES

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### 1. INTRODUCTION

- 1.1 This document provides a guide to best practice for the removal of deportees on commercial air services. Voluntary departures of deportees are not covered by these guidelines. Due regard has been given to the International Standards and Recommended Practices set forth in Annex 9, Fifteenth edition, to the Convention on International Civil Aviation, Chapter 5, Section C. However, nothing in this document is to be construed as to contradict national regulations, international agreements, or court decisions.
- 1.2 These guidelines seeks to address the legitimate needs of both the departing State and the aircraft operator as they normally apply to deportees whose removal is organised by the departing State with the agreement of the aircraft operator. At the same time, the guidelines specifically recognise the right of the pilot-in-command to determine, for reasons of safety, which deportees will be accepted for transportation.

### 2. TERMS AND DEFINITIONS

- 2.1 For the purpose of this document, the following definitions are applied unless otherwise indicated:
- **Admission** refers to the permission granted to a person to enter a State by the public authorities of that State in accordance with its national laws.
  - **Aircraft Operator** means a person, organisation or enterprise engaged in or offering to engage in an aircraft operation.
  - **Deportee** means a person who had legally been admitted to a State by its authorities or who had entered a State illegally, and who at some later time is formally ordered by the competent authorities to leave that State.<sup>7</sup>
  - **DEPA** refers to the industry-approved code for a deportee who is escorted by authorised personnel during the removal.
  - **Deportation order:** A written order, issued by the competent authorities of a State and served upon a deportee, directing that person to leave that State.

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<sup>7</sup> Annex 9 to the ICAO Convention on International Civil Aviation, Chapter 1, 15th Edition

- **DEPU** refers to the industry-approved code for a deportee who is not escorted during the removal.
- **Deporting State** means the State that has organised a deportee's removal from its territory.
- **Escort** means a person authorised by the deporting State to accompany a deportee (DEPA) during the removal.
- **MEDA** is the industry-approved code for a person who requires medical assistance, and which is reflected in that person's airline reservation as a Special Service Request (SSR) data element.
- **Pilot-in-command** means the pilot responsible for the operation and safety of the aircraft during flight time.
- **Risk Assessment** is an assessment by a deporting State of a deportee's suitability for escorted or unescorted removal via commercial air services. The assessment should take into account all pertinent factors, including medical, mental and physical fitness for carriage on a commercial flight, willingness or unwillingness to travel, behavioural patterns, and any history of violence.

### **3. NOTIFICATION REQUIREMENTS AND TRAVEL DOCUMENTS**

- 3.1 Aircraft operators should establish and provide contact numbers for arrangements and policy questions relating to the removal of deportees, both at headquarters and local or regional offices. Deporting States agree to direct any matters regarding deportation arrangements to these contact numbers wherever possible.
- 3.2 The deporting State should provide a 24-hour contact concerning deportee situations. Deporting States should also provide contact information for an official or office to which questions of policy interpretation can be addressed.
- 3.3 The deporting State should identify and publish, or otherwise share with other governments, the contact details for the desk or department to which notification of inbound removals should be directed.
- 3.4 States should adopt as best practice the following ICAO Annex 9 standard<sup>8</sup>, which reads:
- "Contracting States, when making arrangements with an aircraft operator for the removal of a deportee, shall make available the following information as soon as possible, but in any case not later*

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<sup>8</sup> Standard 5.19 Annex 9, 15th Edition

*than 24-hours before the scheduled time of the departure of the flight.*

*A copy of the deportation order, if legislation of the Contracting State allows for it;*

*A risk assessment by the State and/or any other pertinent information that would help the aircraft operator assess the risk to the security of the flight; and,*

*The names and nationalities of any escorts.”*

3.5 This does not preclude States from making agreements with individual aircraft operators that allow for a shorter notification period.

3.6 States should adopt as best practice the following ICAO Annex 9 standard<sup>9</sup>, which reads:

*“A Contracting State deporting a person from its territory shall serve him a deportation order. Contracting States shall indicate to the deportee the name of the destination State”.*

3.7 The deporting State should inform authorities in transit and destination States of the deportee’s movement and of the details surrounding that movement whenever practicable and permitted under national and/or international laws.<sup>10</sup>

3.8 The originating agent should ensure that any other aircraft operator involved in the itinerary is informed of the deportee’s movement via the aircraft operator’s Reservation system. Similar remarks (i.e. Other Service Information remarks) contained within the deportee’s Passenger Name Record should be utilised to identify the escort(s) as well.<sup>11</sup>

3.9 The deporting State should ensure that travel documents required by the transit and/or destination State for transit/entry clearance have been obtained or otherwise arranged.

3.10 States should adopt as best practice the following ICAO Annex 9 standard<sup>12</sup>, which reads:

*“A Contracting State, when presenting a deportee for removal, shall ensure that all official travel documentation required by any transit and/or destination State is provided to the aircraft operator.”*

#### **4. REQUIREMENTS FOR ESCORTS**

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<sup>9</sup> Standard 5.17, Annex 9, 15th Edition

<sup>10</sup> See ECAC Doc 30, Section 2.3 B. Deportees, 2

<sup>11</sup> IATA PSC Resolution 701, 3.5

<sup>12</sup> Standard 5.21, Annex 9, 15th Edition

- 4.1 When removal of a deportee is under consideration, the departing State should conduct a risk assessment of that deportee to determine whether the use of escort is required, and if so, the number of escorts to be assigned to the removal.
- 4.2 When official en-route supervision of a deportee is warranted based on the results of risk assessment, the departing State should ensure that escorts travelling with the deportee possess all travel documents required by destination and transit States, or that alternative arrangements have been approved by those States.
- 4.3 The departing State should inform the aircraft operator, to the extent legally allowed, of the results of its risk assessment to facilitate the aircraft operator's own evaluation and notification process.
- 4.4 Any limitation on the number of deportees that can be carried on a specific aircraft will be subject to the aircraft operator's policy, and to consultation between the departing State and the aircraft operator involved in the transportation.
- 4.5 The departing State should use only authorised escort personnel for its removals.
- 4.6 Departing States should adopt as best practice the following ICAO Annex 9 standard<sup>13</sup>, which reads:  
*"Contracting States, when determining that a deportee must be escorted and the itinerary involves a transit stop in an intermediate State, shall ensure that the escort(s) remain(s) with the deportee to his final destination, unless suitable alternative arrangements are agreed, in advance of arrival, by the authorities and the aircraft operator involved at the transit location."*
- 4.7 When an escort is based solely on legal requirements imposed by a State at a transit/transfer point, and not on any finding of risk, that escort requirement may be waived on the connecting flight, subject to applicable local regulations and where agreed by all operators involved.
- 4.8 Escorts are not allowed to drink alcohol during the removal of deportees. Deportees are not to be served alcohol during the removal.

## **5. RESERVATIONS AND TICKETING**

- 5.1 States should adopt as best practice the following ICAO Annex 9 standard<sup>14</sup>, which reads:

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<sup>13</sup> Standard 5.24, Annex 9, 15th Edition

<sup>14</sup> Standard 5.20, Annex 9, 15th Edition

*"Contracting States, in making arrangements for the removal of a deportee to a destination State, shall use direct non-stop flights whenever practicable."*

- 5.2 In general, flight reservations are the responsibility of the departing State, and should be agreed with the involved aircraft operator(s).
- 5.3 When making a flight reservation, the departing State should always indicate that it concerns a deportee who will be escorted (DEPA) or unescorted (DEPU) and who may require medical assistance (MEDA).
- 5.4 The reservation made for the escort(s) should clearly indicate their status and the name of the deportee being escorted. Where possible, and subject to local agreement, ticketing for deportees and/or escorts should be accomplished well in advance of departure.
- 5.5 Ticket refunds should only take place at the request of the purchasing departing State.

## **6. CHECK-IN, BOARDING AND SECURITY PROCESSES**

- 6.1 Check-in and boarding processes should be adapted to fit the specific removal situation and airport infrastructure.
- 6.2 Check-in and boarding of deportees should be as unobtrusive as possible and kept separate from the normal passenger process to the extent allowed by the existing airport facility.
- 6.3 Additional check-in and boarding process criteria should be agreed between the departing State and the aircraft operator at the local level.
- 6.4 The baggage of deportees and escorts should be handled in such a manner as to avoid delaying the flight's departure in the event that the deportee does not travel.
- 6.5 In general, and consistent with the aircraft operators' procedures and requirements, pre-boarding of deportees, especially those who are escorted en-route, is strongly encouraged. Alternative arrangements may be necessary depending on the situation at hand.
- 6.6 Deportees requiring physical restraints should be boarded with their escort(s) in such a manner as to reduce the possibility of drawing undue attention.
- 6.7 The Pilot-in-command should be advised by the aircraft operator (or its agent) of the presence and status of the deportee using information provided by the departing State.

- 6.8 The Pilot-in-command may request clarification of information provided by the State concerning the deportee, and should be given as much additional information as is permitted under applicable laws or regulations.
- 6.9 The seating of deportees and their escorts on the aircraft is guided by applicable policies established in accordance with International Regulations<sup>15</sup>.
- 6.10 Where deportees are delivered to the aircraft via direct ramp-side transfer, State and airport screening personnel should cooperate with the aircraft operator to ensure that alternative arrangements are made which allow all applicable government-mandated security-screening requirements to be observed prior to embarking the deportee.
- 6.11 The use of restraining devices, including sedatives or other drugs, with regard to deportees on aircraft must conform to the laws and/or regulations of the States involved (including States of transit) and applicable aircraft operator policy.
- 6.12 Where their use is anticipated based upon a risk assessment, escorts should be trained in the safe use of restraint devices, including sedatives or other drugs and, subject to government regulation and the transporting aircraft operator's policy, have access to such appropriate devices when accompanying a deportee.
- 6.13 States that administer sedatives or other drugs to deportees should ensure that the deportee is accompanied to the final destination by a medical attendant, or by an escort authorised to administer the medication during travel.

## **7. RESPONSIBILITIES OF STATES AND OPERATORS**

- 7.1 States should adopt as best practice the following ICAO Annex 9 Standard 5.18 which reads:
- "Contracting States removing deportees from their territories shall assume all obligations, responsibilities and costs associated with the removal."*
- 7.2 Contracting States and aircraft operators should, where applicable, exchange information as to the appropriate 24-hour point(s) of contact(s) to whom deportee inquiries should be directed.
- 7.3 Where the removal of a deportee relates to an unaccompanied minor, the departing State should take appropriate measures to

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<sup>15</sup> ICAO Security Manual (Doc 8973) and EU Regulation (EC) No 800/2008



ensure that suitable arrangements are in place for the minor at point of departure, transit and point of destination.

- 7.4 The (delivering) aircraft operator should not be held liable for refusal by a (receiving) connecting aircraft operator; or the transit and/or destination State's authorities.
- 7.5 If entry into the destination (or transit) State is refused for any reason, the operator should not be penalised or face other obligations or liabilities associated with the return of the deportee.

States should adopt the following ICAO Annex 9 standard<sup>17</sup>, which reads:

*"Contracting States shall not prevent the departure of an operator's aircraft pending a determination of admissibility of any of its arriving passengers."*

- 7.6 Pilot-in-command's authority:
- a) At the point of the deportee's boarding, and in accordance with national law and international conventions, the Pilot-in-command of the aircraft assumes full authority with respect to the deportee.<sup>16</sup>
  - b) That authority may extend to refusing to accept an escorted or unescorted deportee for transportation when the Pilot-in-command considers that action to be in the best interest of flight safety. Such refusal should be based on objective reasons related to the passenger and his or her action or behaviour being exhibited at the time of boarding or at a subsequent time.
- 7.7 The aircraft operator should, when so requested by the departing State, provide reasons in writing for any instance in which transportation for a deportee is denied. Where necessary for the purpose of clarification, the response should explain what additional requirements are to be met to enable transportation to occur.
- 7.8 During transit, the departing State must conform to the laws and regulations of the State(s) of transit. The departing State should ensure that the onward carriage of a deportee beyond a transit point should be within the shortest possible time scale. Any costs incurred as a result of a longer than necessary transit period between flights would be borne solely by the departing State
- 7.9 States should adopt as best practice the following ICAO Annex 9 Standard<sup>17</sup>, which reads:

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<sup>17</sup> Standard 5.16, Annex 9, 15th Edition

<sup>16</sup> Tokyo Convention, 1972

<sup>17</sup> Standard 5.22, Annex 9, 15th Edition



*"A Contracting State shall admit into its territory its nationals who have been deported from another State."*

- 7.10 States should adopt as best practice the following ICAO Annex 9 Standard<sup>18</sup>, which reads:

*"A Contracting State shall give special consideration to the admission of a person, deported from another State, who holds evidence of valid and authorised residence within its territory."*



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<sup>18</sup> Standard 5.23, Annex 9, 15th Edition

## **ANNEX 2-B: GUIDELINES ON THE REMOVAL OF INADMISSIBLE PERSONS**

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### **1. INTRODUCTION**

- 1.1 The goal of this document is to present best practice guidelines for the safe and orderly removal of inadmissible persons. However, nothing in this document is to be construed as to contradict national legislation, regulations or court decisions.
- 1.2 These guidelines seek to recognise the concerns of the air transport industry with respect to inadmissible persons, while addressing States' need to protect their respective national interests.
- 1.3 In seeking to interdict the travel of inadmissible persons, and to facilitate their removal and return, States and aircraft operators are encouraged to jointly develop and implement initiatives which seek to ensure that all international passengers and crew hold the required travel documents at the time of embarkation.
- 1.4 States and aircraft operators are urged to develop greater levels of cooperation that enhance security, flexibility and, ultimately, border integrity.

### **2. DEFINITIONS**

- 2.1 For the purposes of this document, the following definitions should be applied unless otherwise indicated.
  - **Admission** means the permission granted to a person to enter a State by the public authorities of that State in accordance with its national laws.
  - **Aircraft Operator** is a person, organization or enterprise engaged in or offering to engage in an aircraft operation.
  - **Commencement of journey** means the point at which the person began his journey, without taking into account any airport at which he stopped in direct transit, either on a through-flight or a connecting flight, if he did not leave the direct transit area of the airport in question.
  - **Escort** (for the purposes of these guidelines only) means a person or persons authorised to accompany an inadmissible person under

removal order during a flight.

- **Inadmissible person** means a person who is refused admission to, or transit through the territory of a State by the authorities of that State.
- **Removal order** means a removal order, a written order served by a State on the operator on whose flight an inadmissible person travelled into the State, directing the operator to remove that person from its territory.

### **3. NOTIFICATION CONCERNING FINDINGS OF INADMISSIBILITY**

- 3.1 The State should not prevent the departure of an aircraft operator's aircraft pending a determination of admissibility of any person who arrived on the aircraft operator's inbound flight.
- 3.2 When a person is found inadmissible, the State should notify the aircraft operator or its local representative without delay confirming this as soon as possible in writing.
- 3.3 To assist in the notification process, the aircraft operator should provide primary contact names at the port level to whom notices should be delivered.
- 3.4 When requiring the responsible aircraft operator to effect the removal of an inadmissible person, the State should provide a written Removal Order to the inbound aircraft operator prior to removal, which should include, if known, name, age, gender, citizenship, and information concerning the inadmissible person's inbound (arriving) flight.
- 3.5 States that believe an inadmissible person might offer resistance to his removal should inform the aircraft operator of this concern as far in advance of departure as possible, so that the aircraft operator can take necessary precautions to ensure the security of the flight.

### **4. ARRANGEMENTS FOR REMOVAL AFTER DETERMINATION OF INADMISSIBILITY**

- 4.1 States ordering the removal of a person may give directions concerning the place to where an inadmissible person may be removed.
- 4.2 Where appropriate, the aircraft operator may consult with the State ordering the removal regarding the most practicable place to which the inadmissible person should be removed.
- 4.3 When a person is found inadmissible, the aircraft operator may

consult with the authorities of the State ordering the removal on the timeframe for removal of that person. The State should allow the aircraft operator a reasonable amount of time (in most cases within 24 hours) during which to effect the removal via its own services or to make alternative removal arrangements.

- 4.4 States ordering the removal of an inadmissible person without a valid travel document should issue the applicable ICAO covering letter in order to provide information regarding the inadmissible person to the authorities at any transit point(s) and at final destination.
- 4.5 The State should deliver the ICAO covering letter and any other relevant information to the aircraft operator (or, where applicable, via an escort), who will be responsible for delivering these documents to the authorities at any transit point(s) and/or the inadmissible person's final destination.
- 4.6 In the event that removal with an ICAO-recommended covering letter is not feasible, the State should not normally require removal of an undocumented inadmissible person from its territory until a replacement travel document has been obtained, or suitable alternate arrangements with the States of destination and/or transit have been agreed.
- 4.7 The decision to use escorts in supporting an inadmissible person's removal is the responsibility of the aircraft operator, and should be based primarily upon its own threat assessment and risk analysis.

## **5. ASSISTANCE AND COOPERATION IN THE REMOVAL PROCESS**

- 5.1 States should cooperate with other States and with the aircraft operator in order to facilitate the removal of inadmissible persons.
  - 5.2 States should accept for examination a person removed from a State where he was found inadmissible, if that person commenced his journey from its territory.
  - 5.3 A Member State should not return such a person to the country where he was earlier found inadmissible.
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## **ANNEX 2-C: KEY PRINCIPLES FOR PASSENGER DATA TRANSFER SYSTEMS**

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### **1. INTRODUCTION**

- 1.1 Advance Passenger Information (API) involves the capture and transmission of certain elements of a passenger's biographic data contained in the travel document and flight details by the aircraft operator to the border control authorities. API has a number of applications. It can facilitate passenger travel and border control processes. It can also, where appropriate, be a useful tool for law enforcement and anti-terrorism purposes.
- 1.2 Passenger Name Record (PNR) data is a record of each passenger's travel requirements which contains information collected to enable reservations to be processed and controlled by the air carriers from the reservation systems, departure control systems used to check passengers onto flights, or equivalent systems providing the same functionalities. PNR data is, where appropriate, a necessary tool for law enforcement and anti-terrorism purposes.

### **2. DEFINITIONS**

- 2.1 For the purposes of this document, the following definitions should be applied unless otherwise indicated.
- 2.2. Advance passenger information system (APIS) is an electronic communications system whereby required data elements for passengers and crew are collected and transmitted to border control agencies prior to a flight's departure or arrival and made available to a national passenger information unit or on the primary line at the airport of entry.
- 2.3. Passenger Name Record data system (PNRS) is an electronic communications system whereby required data elements are collected and transferred to appropriate agencies prior to a flight's departure or arrival and made available to a national passenger information unit or on the primary line at the airport of entry.
- 2.4 A passenger data transfer system is any electronic communications system, which is used for the purpose of APIS and/or Passenger Name Record System (PNRS).

### **3. KEY PRINCIPLES**

- 3.1 ECAC Member States should establish an advance passenger information system and when seeking to introduce it should take account of these ECAC Guidelines.
- 3.2 Member States requiring the transfer of API, interactive API (iAPI) and/or Passenger Name Record (PNR) data from aircraft operators, should create a Passenger Data Single Window (data originating from a single representative of the requesting authority) facility for each data category that allows parties involved to lodge standardised information with a common data transmission entry point for each category to fulfil all related passenger and crew data requirements for that jurisdiction.
- 3.3 ECAC Member States should consider international Standards and Recommended Practices relating to API, iAPI and PNR contained in Chapter 9 of ICAO Annex 9 on Facilitation.
- 3.4 For PNR data, ECAC Member States should consider the Standards contained in Section D, Chapter 9, Annex 9 to “develop a capability to collect, use, process and protect Passenger Name Record (PNR) data for flights to and from its territory supported by appropriate legal and administrative framework (such as, inter alia, legislation, regulation or decree), and be consistent with all Standards [...]”, namely Standards 9.23 through 9.38.
- 3.5 API data consists of data found in the machine-readable zone of the travel document. In cases where no machine-readable data is held, the same data required from machine-readable travel documents will be required from the travel documents.
- 3.6 ECAC Member States should consider WCO/IATA/ICAO Guidelines on API of 2014 and IATA/CAWG API Statement of Principles for APIS of 17 May 2007. These guidelines refer to data relating to the flight (header data) that are not included in ICAO Annex 9.
- 3.7 ECAC Member States should carefully consider the cost to operators arising from the various options for obtaining API data and for transferring API and PNR data.
- 3.8 ECAC Member States, when requiring API and PNR data transfer, should take into account the issues affecting other States and the aircraft operators in their territories, especially with respect to costs and the potential impact on existing infrastructure and operational processes.
- 3.9 API data should be transmitted in the UN/EDIFACT PAXLST format and PNR in the PNRGOV format. However, this should not be seen

as constraining the ability to adopt other internationally agreed standards in the longer term.

- 3.10 Before operational implementation of an APIS, Member States should allow reasonable time for operators to establish efficient infrastructure and procedures in order to carry out the requirements effectively. Stakeholders should be consulted before development and implementation of an APIS as early as possible.
  - 3.11 Sanctions should only be considered when carriers, as a result of a fault, have failed to transmit data or have transmitted incomplete or false data. Sanctions should not be considered when carriers have collected and provided accurate API data based on a valid travel document and the passenger presents a second travel document which is valid for the journey on arrival. Should sanctions be used, operators must have effective means of defence.
  - 3.12 Where appropriate all opportunities for the improvement of service quality and cost efficiency should be realised.
  - 3.13 With regard to API requirements, and taking into account all relevant differences, consideration should be given to non-discriminatory treatment of air transport and other modes of transport.
  - 3.14 An APIS should be user-friendly and seamless. Where appropriate, it should facilitate the travel of passengers.
  - 3.15 An APIS should be capable of a 24/7 operation. In order to minimise disruption to aircraft operations in the event of system failure, contingency procedures should be in place.
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## **ANNEX 2-D: KEY PRINCIPLES FOR CREW MEMBER CERTIFICATES**

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In as far as national legislation allows, Member States are encouraged to consider offering Crew Member Certificates (CMCs) and attention is drawn to ICAO Standards and Recommended Practices contained in Annex 9, Fifteenth edition, Chapter 3 Section N *Identification and entry of crew and other aircraft operators' personnel*.

The adoption of Crew Member Certificates (CMCs) is not a mandatory requirement for ECAC Member States, but in case a Member State decides to implement CMCs, it is recommended to have in mind the guidelines contained in this annex.

### **1. REQUIREMENTS FOR CREW MEMBER CERTIFICATES**

1.1 Where Member States offer state-issued CMCs, these should only be issued in the form of machine readable cards with a TD1 size (credit card format) and in accordance with the specifications of ICAO Doc 9303, Part 5.

1.2 A state-issued crew member certificate of a crew member employed by an air carrier should display:

– All the elements required for a crew member card:

- a) the name and photograph of the holder; and
- b) the name of the air carrier; and
- c) the word 'crew' in English; and
- d) the expiry date.

*[Ref Commission Implementing Regulation (EU) 2015/1998 Annex 1.2.4.1]*

– The following additional elements in the front side:

- a) occupation (in accordance with ICAO Annex 9, Fifteenth edition, Appendix 7); and
- b) number of security clearance; and
- c) sex; and
- d) nationality.

– The following additional elements in the back side:

- e) place of issuance; and
- f) issuing authority; and
- g) signature.

1.3 A crew member certificate should display the name and flag of the issuing country and the EU logo (only applicable for EU Member States).

- 1.4 CMCs is strongly advised to be issued by the same agency that produce the e-passport or equivalent identification document in order to incorporate similar protection measures.

## **2. VALIDITY OF CREW MEMBER CERTIFICATES**

- 2.1 Crew member certificates should be issued for a period not exceeding five years.

*[Ref Commission Implementing Regulation (EU) No 2015/1998 Annex 1.2.3.2]*

## **3. BACKGROUND CHECKS**

- 3.1 Flight crew and cabin crew members should have successfully completed a background check before a crew member certificate is issued to them.

*[Ref Commission Implementing Regulation (EU) No 300/2008 Annex 1.2.4]*

- 3.2 The background check required should cover at least the last five years. It should be repeated at regular intervals not exceeding five years.

*[Ref Commission Implementing Regulation (EU) No 2015/1998 Annex 1.2.2]*

- 3.3 In accordance with international and national rules, a background check of cabin crew and flight crew members should at least:

- a) establish the person's identity on the basis of documentary evidence;
- b) cover criminal records in all states of residence during at least the preceding 5 years; and
- c) cover employment, education and any gaps during at least the preceding 5 years.

*[Ref Commission Implementing Regulation (EU) No 2015/1998 Annex 11.1.3]*

## **4. OTHER CONSIDERATIONS**

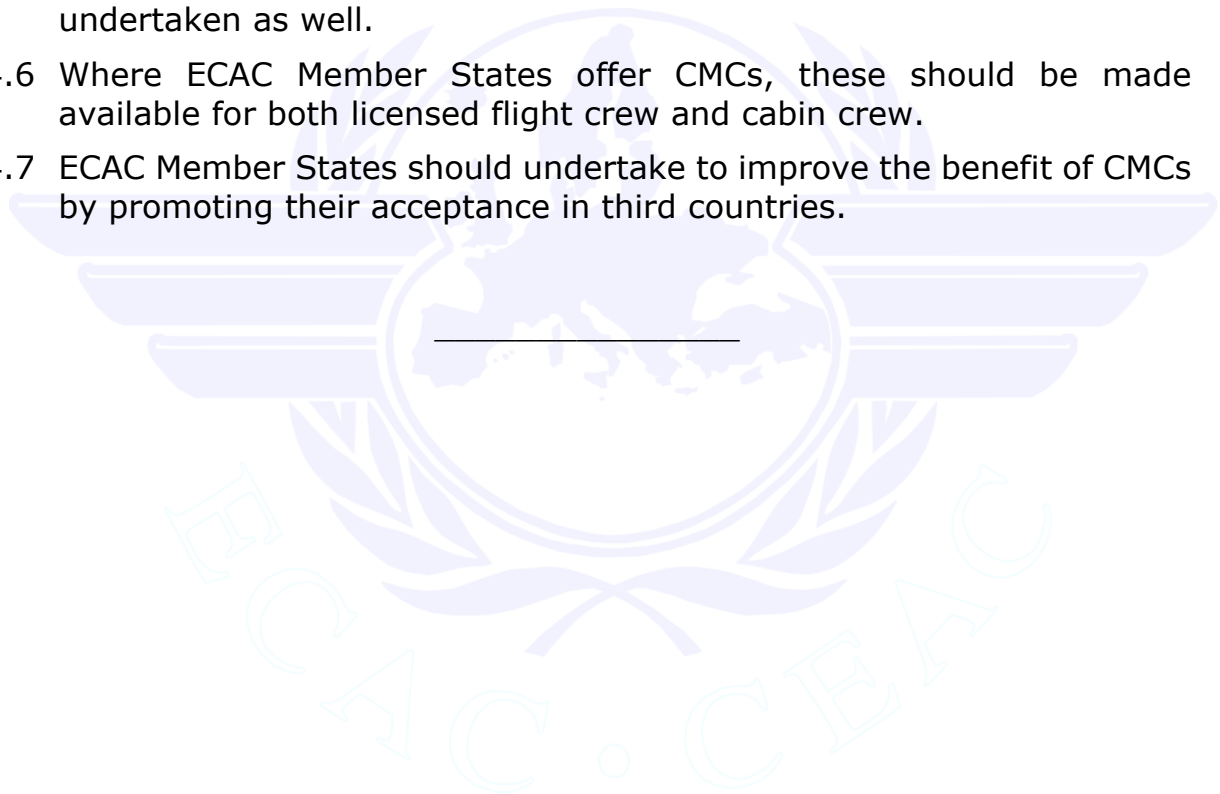
- 4.1 Where Member States offer CMCs, consideration should be given to incorporating biometrics into the card. Interoperability of CMCs is a key goal and Member States should conform to the standards set out in ICAO Doc 9303.<sup>(19)</sup>
- 4.2 Member States should accept CMCs, issued in accordance with the specifications in ICAO Doc 9303,<sup>(20)</sup> for visa-free entrance of crew members when arriving in a duty status on an international flight and seeking temporary entry for the period allowed by the receiving Member State.

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(19) If a Member State already produces an identity card meeting ICAO Doc 9303, Part 3, which includes biometrics any CMC issued by this State should also contain biometrics

(20) In order to be acceptable to Member States a CMC should bear the name of the issuing State in the form internationally recognised by the United Nations.

- 4.3 Where ECAC Member States offer CMCs, a secure database to maintain CMC records and a mechanism for recording the issue, suspension and withdrawal of CMCs should be established.
- 4.4 CMCs should be issued by a government department of the Member State.
- 4.5 Where ECAC Member States offer CMCs, regular background checks of applicants should be undertaken. In addition, adequate controls such as certification of employment status of an applicant prior to issuance and accountability requirements for issuing personal should be placed on the issuance of CMC. Controls on blank card stock should be undertaken as well.
- 4.6 Where ECAC Member States offer CMCs, these should be made available for both licensed flight crew and cabin crew.
- 4.7 ECAC Member States should undertake to improve the benefit of CMCs by promoting their acceptance in third countries.



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## **ANNEX 2-E: BEST PRACTICE FOR AUTOMATED BORDER CONTROL (ABC) SYSTEMS**

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### **Preamble**

It has long been regarded that the passengers' journey begins when they book their trip and ends when they exit the airport at their final destination. The border control crossing is just one aspect of this journey.

While much has been done to simplify the passenger journey, work continues by States to balance the integrity of their borders with the identification and facilitation of passengers against a backdrop of anticipated growth in international aviation passenger traffic.

With the rapid increase in the number of electronic machine readable travel documents (e-MRTDs) containing biometric data, States have been quick to utilise the data relating to both the e-MRTDs and its holder. Many States currently deploy automated border controls (ABC), which identify and facilitate the movement of low risk passengers across their borders.

### **1. INTRODUCTION**

National legislation and regulations set out the framework of different measures utilised at many border control points throughout the world. The detailed operations model followed at each border crossing point is carefully designed according to specific demands, border checks in practice, cooperation schemes with neighbouring States, and risk analysis. Therefore, there are differences found between one border and another.

This document seeks to provide best practice guidelines on the deployment and operation of ABC systems in an effort to achieve at the different border crossing points:

- Harmonisation of practice
- Similar passenger experience
- Consistent security levels.

Technical requirements are not covered by these guidelines.

### **2. THE BORDER CONTROL PROCESS**

A border check process can be split into several sub-processes or tasks, but for the purposes of these guidelines, the division of checks is specified as follows:

- Pre-check

This may include the API and/or PNR schemes but may also include a gate check, surveillance and monitoring.

- First-line check

This is the minimum level of checks undertaken by States and will include a document check and verification. It may also include checks against national watchlists and/or databases. Interaction at this stage will result in a decision to allow entry to the passenger or to direct the passenger in order for secondary checks to be undertaken.

- Secondary checks

Checks at this level are more thorough and detailed. The passenger may be subject to an interview and/or further enquiries may be made before a decision is made.

- Post-check

Baggage, if it is not previously collected, may be subject to a check at this stage. The passenger may also be subject to surveillance and monitoring at this stage.

A number of tasks mentioned above can be automated by means of an ABC system. This paper will specifically focus on first line checks.

## 2.1 The Main functions of an ABC System

In short, an ABC system performs the following tasks with a high degree of automation:

- Check that the passenger is in possession of a genuine and valid travel document. This is more formally referred to as the 'Document authentication process'.
- Verify using biometrics that the travel document presented belongs to the passenger. This is referred to as the 'biometric identity verification process'.
- Check that the passenger is entitled to entry. As specified above, this is normally carried out by cross-checking against watchlists and other databases.
- Grant or deny entry according to pre-established specification. This may require manual intervention by the supervising officer.
- Guarantees security by ensuring that only those passengers permitted to obtain entry are allowed to cross the border and that those that are rejected by the system are dealt with appropriately by an attending officer.

## 2.2 Operational requirements for an ABC system

The following general operational requirements should be observed by any ABC system in order to achieve basic harmonisation across installations:

- The deployment of an operator should ensure that cold lines (i.e. unattended ABC gates) do not occur. For more information on Operators, see below.

- The number of gates attended by each officer should vary depending on the passenger flow, whether the ABC is deployed at entry or exit controls, the specific route and the environment.
- An ABC system should be easy for the passenger to use, requiring as little guidance as possible. If this is not achieved then passengers will remain dependent upon manual controls.
- A function should exist to fully close ABC gates. There will be situations when some ABC gates are out of service or the passenger flow does not demand the whole line of gates to be open, therefore flexible configuration is vital to ensure a smooth operation of the ABC gates.
- The system should alert the operator if a minor (*note: for the purposes of this Annex, a passenger under 18 years of age*) is utilising an ABC. If minors are allowed to use ABC gates, they and accompanying adults should be interviewed if it is not obvious that they are members of the same family.

### **3. DEPLOYMENT OF AN ABC SYSTEM**

A border check process can be split into several sub-processes or tasks, but for the purposes of these guidelines, the division of checks is specified as follows:

#### **3.1 Physical arrangement of ABC gates and monitoring station**

Queuing lines for ABC gates should be placed adjacent or close to queuing lines for manual checks allowing inexperienced passengers to reach the intended line without complication.

It is suggested that the monitoring station be built to allow for two lines of manual border checks to be conducted in event of system failure of the ABC. This arrangement will also afford the operator and, where applicable, the assistant to undertake their normal duties.

#### **3.2 The quantity of gates**

States currently deploying ABC have found operational research helpful for ascertaining how many gates should be deployed. By analysing passenger queues, States were able to ascertain the relationship between the following three variables: flow rate, service quality and lifecycle costs.

An example of this provided in the Best Practice Guidelines produced by Frontex was:

- i. A service quality figure was defined (e.g. the passenger queuing time)
- ii. The Member State defines a figure of merit (e.g. less than 5 minutes queuing time for 95% of passengers)
- iii. The passenger flow is characterised (e.g. the passenger arrival rate)

An operational model was developed by observing different arrangements and the potential number of gates.

The figure of merit and lifecycle cost are calculated for all possible combinations or arrangements and number of gates (discrete event simulations have proven to be helpful here). Combinations failing to meet the security threshold or other criteria are identified at this stage.

Viable configurations providing the best figure of merit for any given lifecycle cost are drawn in a graph with the figure of merit and lifecycle cost utilised on each axis. A specific arrangement and the number of gates are chosen on the basis of available budget and comparison with manual checks.

This method can also be used (with minor modification) to forecast the point when an already operational implementation might need to be upgraded, or even simulate the effect on service quality of possible modifications.

#### **4. ROLES AND TASKS OF PERSONNEL**

There are a number of tasks that will need to be completed in order to operate a successful ABC, not least monitoring the gates and providing support to passengers. States have established that these tasks are commonly assigned to an operator and assistant.

##### **4.1 Operator**

An operator is responsible for the monitoring and control of the ABC. Supervision of ABCs is necessary to prevent fraud, abuse and to ensure that an acceptable level of facilitation is reached.

Some of the tasks that can be undertaken by an operator are:

- Monitoring and profiling passengers queuing in the ABC line looking for suspicious passengers;
- Monitoring user interface with the system;
- Reacting upon any notification given by the system;
- Managing exceptions and makes decisions about them; and
- Advising the assistant on handling exceptions at the gate.

Operators perform their role at a designated monitoring station. This should be stationed on a lifted position allowing the operator to monitor passengers at the ABC lines. When monitoring queuing passengers an operator should evaluate passenger flow in order to select suspicious targets to be more closely checked.

The evaluation or assessment method is typically based on a passenger's actions and body language, i.e. non-verbal communication. When a passenger is pointed out, the operator can ask the assistant to interview the applicant or redirect the passenger to a manual first-line check.

An operator should not leave his post when the ABCs are active. If a situation occurs which requires that an operator should leave their post then all the ABC gates should be locked first.



In normal circumstances, when a passenger flow is continuous without pause, the recommended maximum surveillance time suggested for an operator is 30 minutes. An operator and an assistant may change their tasks at intervals of 20-30 minutes. If there are natural pauses in the passenger flow (e.g. because of flight schedules) or the frequency of passenger flow is moderate then an operator may work for periods longer than 30 minutes. Where an assistant is deployed, it is recommended that both are linked via a communication system.

#### 4.2 Assistant

An assistant is a border officer whose task is to help, interview and redirect passengers. An assistant works in close co-operation with an operator, by:

- Retrieving passengers from mantraps pointed out by the operator;
- Undertaking short interviews in order to find out if there is a need to redirect the passenger to a second line check;
- Making manual first line border checks if the infrastructure of ABC lines fails;
- Informing and providing on-the-spot support to passengers (e.g. families, minors etc); and
- Assisting the operator.

Every assistant should have at least one operator assigned.

#### 4.3 Number of ABC gates supervised by operators

During field tests<sup>21</sup> it was observed that a single border officer can typically supervise from between three to ten gates. Many factors contribute to the number of gates that a border officer can supervise, in addition to human factors such as concentration. These include:

- The quality of the facial recognition provided by the ABC system which will dictate how much human intervention is required;
- The frequency of the passenger flow and how crowded the ABC system is;
- Whether the gates perform entry or exit checks;
- The profile of the passenger flow at the border control point; the ratio of own or other nationalities;
- How often the operator has to react and channel passengers for subsequent checks;
- User interface with the operation desk;
- Whether minors are permitted to use the ABC; and
- The proficiency of the border officer.

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<sup>21</sup> These tests were carried out on inbound passengers.

These factors should be considered and analysed before deciding the number of ABC gates to be supervised by an operator.

In practice, it was found that there were no reasonable benefits to having less than three gates per operator. It was also found that having more than seven gates per operator on entry and more than ten gates on exit was unworkable.

It is recommended, where space permits, that the operators monitoring station should be designed in a way that it can be easily split into two supervision stations in order to quickly accommodate new operators into the task.

## **5. HANDLING OF EXCEPTIONS**

States agree that officers at airports and seaports need detailed instructions on how to proceed when exceptional situations occur at the ABC. A handbook, detailing what measure to take in each situation, was found to be invaluable by ABC staff. The measures will need to be decided in advance, to ensure that instructions exist prior to the implementation of the ABC.

The following is a compilation of commonly encountered situations, along with a suggested solution. The measure ultimately taken by States may be different, however, given the infrastructure, number of gates, frequency and profile of the passenger flow etc. Specific instructions should be tailored according to the specifics of each border control.

### **5.1 System Malfunction**

If a system fails to perform normally (e.g. power shutdown, communications outage or component failure) ABCs gates should be closed to preserve the security of the border. Alternatively, should the configuration and resources allow, one or two ABC gates should remain open with manual checks undertaken at the supervisor monitoring station. It is suggested that when establishing contractual agreements with technical providers or developing a bespoke service that service-quality agreements are clearly defined.

### **5.2 ABC gates out of service**

If one or more ABC gates are out of service while the rest continue to operate normally, there should be an option to physically close them to avoid passengers inadvertently trying to use them.

### **5.3 Tailgating**

Tailgating occurs when more than one passenger tries to utilise an ABC gate on a single occasion. States should ensure that tailgating does not occur. Several methods exist to ensure that only one passenger actually goes through the exit gate. Most of them have delivered similar results, but research is still active in this topic and improvements are expected in the short-term.

#### 5.4 Minors and children

If a minor is allowed to use an ABC gate, their family should be aware of the minimum height restrictions associated with the ABC and that gates should be only pass one person at a time in all circumstances. Manual checks are recommended for families with small or several children. If a passenger enters an ABC gate with a child in his/her arms, they should be stopped from proceeding further and redirected for a manual check.

#### 5.5 Persons with disabilities and persons with reduced mobility (PRMs)

Any ABC system takes into account local regulations pertaining to persons with disabilities and PRMs as each country has its own laws and recommended practices/standards around users with disabilities or reduced mobility, which need to be addressed for such self-service systems. These requirements may impact placement, interface, design and symbols of the ABC gates.

In general, where the standard system cannot be used by some passengers, a reasonable alternative should be provided. This could be a modified ABC channel or a manned alternative.

#### 5.6 Trespassing

ABCs should be installed in a secure position which allows Member States to monitor all interactions (e.g. attempts to cross the gates without being subjected to border control).

#### 5.7 Passport is placed the wrong way into a reader

Passengers should be advised by the system screen, voice command or by the operator how to correctly place their passport into a reader.

#### 5.8 Non-cooperative behaviour in a mantrap

Non-cooperative behaviour at the ABC gate may occur when a passenger moves too much when, for example, facial recognition is taking place, or stands in the wrong place. Passengers should be advised by the system screen, voice command or by the operator of the correct behaviour. If this has no influence, the passenger should be directed for manual checks.

#### 5.9 Secondary checks

There are a number of situations where a greater level of checks will be necessary to satisfy the border officer that a passenger is entitled to enter. These include:

- When the passport chip is broken or cannot be read;
- A database hit;
- A failed biometric verification match; or
- Incorrect or absence of security features on the passport biographical data page.

In all these instances a more thorough or secondary level of checks will be required.

## **6. PASSENGER EXPERIENCE**

The main goal of an ABC should be to facilitate low risk passengers through the border. Education and information is essential to ensure that the passenger's experience when using ABC gates is as simple and effective as possible.

ABC systems provide a similar service to passengers although there are a number of differences between implementations. This lack of harmonisation has made the task of harmonising the passenger experience a significant one. Many eligible passengers are unfamiliar with the concept of the ABC and parts of the process, particularly since implementation tends to differ not only in looks but also in functionality and usage.

In order to provide a successful passenger experience, care should be taken in:

- Creating awareness and education before arriving at the gate; and
- Making the ABC a user-friendly as possible.

The following sections, whilst not exhaustive, do offer a number of recommendations on how to achieve this.

It is recommended that any information given to the passenger in advance of using the ABC are oriented towards creating awareness of the system and developing their willingness to use it. The information needs to convey the benefits that the system brings to users, where ABC gates are located, who is eligible to use the gates and how to do so. This needs to be communicated as simply as possible, so the passenger retains the information.

### **6.1 Message Delivery Methods**

The following methods have been used at different ABC implementations in Europe to deliver these messages to the passengers:

- Signage
- Videos
- Human assistance, either ahead of the gates or at the point of interaction
- Leaflets
- Posters/banners
- Literature in in-flight magazines
- Audio announcements

These delivery methods could also be supplemented by:

- In flight videos

- Live demonstrations by staff
- Literature provided at issuance of biometric passports

### 6.1.1 Signage

Signage and other forms of graphical display are very important. They are often the first contact that the passenger has with the system and in many instances cross language barriers.

States currently using or piloting ABC systems have tried several different types of signage but none has proven to be more effective than others, probably because the concept of biometric passports and ABC gates are not widely known even amongst frequent travellers. One of the most important challenges is developing a set of signs and standard terminology that can be understood by the majority of passengers. These have to be intuitive for passengers to assimilate, uniform across States and easily deployable in order to facilitate and harmonise the passenger's experience.

## 7. A USER-FRIENDLY SERVICE AT ABC

Service excellence at ABC gates means encouraging passengers to use the system, to help them understand whether they are eligible and to facilitate a successful transaction. The following section describes how to make the service at ABC gates as user friendly as possible:

### 7.1 Instructions at the ABC gate

Passengers' cooperation at the ABC gate is essential in order to ensure good performance of the system, a positive experience for all the users and continuous use of the gates. Clear instructions are thus paramount, and human behavioural factors should be taken into consideration when designing the control process and assessing the overall performance of the system.

It has been consistently observed that the most challenging part of the process to educate the passenger is the correct placing of the passport. This can be easily misunderstood and if the document is incorrectly placed then it invariably leads to a failed transaction. It is therefore suggested that a practical solution is found and incorporated into the design of the gates. Clear instructions with an animated display on the screen have proven to be helpful.

Another issue, which occurs during the facial image capture process, is that the user does not know when to stop looking at the camera. If feedback is given to the passenger at this stage then it is suggested that this be by visual means; audible feedback may create confusion in adjacent gates and increase transaction times.

Whilst 'footprints' on the floor in front of the camera may help that passenger position themselves in the appropriate location for facial image capture, these can be counterproductive in some cases, as some users

concentrate on the footprints and look down instead of looking straight into the camera.

## 7.2 Effectiveness of delivery methods

There is a variety of delivery methods that can be used to show passengers how to use the gates. These range from signage and DVDs to graphics displayed on the gates themselves. There is a consensus amongst States that no one form of media is more effective than another.

Where signage is utilised, it should use as few words as possible. Whilst simple graphics work best with few words it was noted that some icons mean different things to different cultures. Complex sentences are not easily understood and are therefore best avoided.

For instructions on how to use the system, still images and animations have proved to work better than using a video. Whilst a viewer may obtain more information from watching a DVD, a ten second film adds additional time to the transaction process. With queuing times to utilise ABC gates at a minimal level, DVDs playing in the gate area often go unnoticed. It is possible, however, that with an increase in passenger usage, and the queues that this may bring, passengers may benefit from observing an information DVD whilst in a queue. Audio announcements in the arrivals hall were also considered to be no better than average in raising passenger awareness.

Leaflets have been used to raise awareness with some success. The challenge when using leaflets has been in identifying a good area to distribute them where passengers are receptive to reading them.

## 7.3 Managing Passenger Flow

Passenger flow can greatly benefit if it can be assisted by trained personnel.

Some sites have clearly segregated areas for queuing for the ABC. Any queuing lines should be designed according to the specific layout and available space at each installation. At some locations in Europe, ABC queues have been allowed to cross each other. Whilst this allows for better usage of floor space, conflicts between queuing passengers may occur during peak periods. Processes where the passenger simply moves forward rather than having to turn or alter course were considered to be most effective.

The use of 'wait for your turn here' lines for passengers to stand behind whilst queuing was not found to be effective.

## 7.4 Learning by observation

Queuing contributes to the learning process of non-experienced users by observing how other users interact with the system. This is an important aspect that needs to be considered when designing the queuing space before the ABC gate.

It is suggested that, during the initial stages of running the system, the system may be configured for the complete process to be slower than strictly necessary in order to facilitate learning while queuing. The effectiveness of this measure will depend on many other factors like visibility, usability and previous understanding of the system.

It is recommended that the size of the screen should be large enough for the user to interact easily and for the queuing passengers to observe the whole process.

An observation made by States is that non-experienced users tend to use the gates closer to their queuing line and have a higher error rate than experienced users. Consequently, the gates at the edges may exhibit more throughput and less errors than the ones closer to the queuing lines, despite being exactly the same in construction and configuration.

### 7.5 Passenger interaction at the gate

The screens used to display the graphics varied in size, but generally larger screen proved to work more effectively. States found that their screens were not easily read in all lighting conditions so due consideration needs to be given to this when configuring ABC gates.

A camera mounted straight ahead has been observed by States to be more effective than one where a passenger has to turn their head 45 degrees or more. Some States have used audio cues, such as soft 'pings' to encourage the passenger to move to the next stage of the process. In absence of other indications, some mechanical noise is recommended to alert the passenger to exit the gate area. Whenever audio feedback is given, the ABC would benefit from acoustic isolation between gates to prevent confusion or false feedback.

In instances where all the transaction takes place inside the mantrap (i.e. passport reading is not required to enter the gates) it is suggested that a 'Have your passport ready' message be given to passengers prior to entry, to avoid them looking for their passport inside the mantrap. This avoids unwanted timeouts during transactions and frustration for passengers.

The design and size of the e-gates (width and length) should consider the usage of trolleys and luggage; trailing bags can easily obstruct gates, which slows down transaction times.

### 7.6 Human support at the gate

States felt that using staff to educate passengers and reducing the 'fear factor' for first time users was vital. It is recommended that officers provide on the spot support for queuing users and help in distributing the load on different gates. Officers can assist by directing passengers holding travel documents not recognised by the ABC to the manual control. It was observed that passengers tend to be more receptive when officers in this role do not wear uniforms.



Once the system had been used and was understood by the passenger then its use did not need to be shown again. This means that over time the need for this level of assistance will lessen.

## **8. ICAO STANDARDS AND RECOMMENDED PRACTICES (SARPS)**

ICAO Annex 9, Fifteenth edition acknowledges that States may utilise automated systems for immigration and customs inspection using applicable technology, but although the use of automated processes to undertake checks on passengers and their documentation is contemplated, only one Recommended Practice is referred to the use of ABC systems:

**3.4.1 Recommended Practice.**— *Contracting States utilizing Automated Border Control (ABC) systems should ensure that gates are adequately staffed while operational to ensure a smooth passenger flow and respond rapidly to safety and integrity concerns in the event of a system malfunction.*

The development of additional SARPs for ABC systems would go some way to harmonising the approach that Contracting States take when implementing ABC and, therefore, Europe continues working in the draft of potential SARPs that may address this oversight.

## **9. Further guidance**

This section lists documentation that may assist those Contracting States that are considering installing ABC systems.

- Best Practice Operational Guidelines for Automated Border Control (ABC) Systems (Frontex, August 2012);
  - Best Practice Technical Guidelines for Automated Border Control (ABC) Systems (Frontex, August 2012);
  - Automated Border Control Implementation Guide, 3<sup>rd</sup> edition (IATA, November 2015); and
  - ICAO Doc 9303, Machine Readable Travel Documents (Seventh edition, 2015).
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**ANNEX 3-A: GUIDELINES ON FACILITATION OF AIR CARGO**

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**1. INTRODUCTION**

- 1.1 It is essential for air cargo facilitation that the provisions in ECAC Doc 30 are interpreted with consistent clarity. These Guidelines, which are designed to help achieve this objective, cast no obligation on ECAC Member States. They are merely explanations and examples of best practices to assist in implementing Doc 30 Recommendations.
- 1.2 Even though Customs can be seen as the main public authority involved in cross border transportation, this term, when used in the Guidelines, includes other relevant official agencies such as veterinary and phytosanitary inspectors.

**2. CUSTOMS TREATMENT OF AIR CARGO AND AUTOMATION**

- 2.1 *In pursuance of Standard 2.9 and Standard 4.13 of Annex 9, Fifteenth edition, ECAC Member States should encourage the electronic transmission of information required by public authorities for the entry and departure of an aircraft, and work in co-operation with all parties concerned towards procedures where electronic communication, based on internationally agreed standards, has preference above communication based on paper declarations and documents.*
- 2.2 It is common practice for an increasing number of public authorities, including Customs, to exchange such information electronically. Paper declarations will become exceptional in future. Electronic transmission enables Customs to respond to the use of modern concepts of information and communication techniques by the international airline industry. It affords Customs the possibility to receive, send and process information most effectively so as to improve their level of control while, at the same time, facilitating legitimate commercial operations.
- 2.3 As speed of movement is the most important asset of the aviation industry, trade also benefits if the information required by public authorities can be sent electronically. There are special advantages when agents or traders are allowed to supply information directly from their own automated system, normally situated in their own premises, and to receive responses directly from the relevant public authorities.
- 2.4 It is of course necessary that such electronic transmissions are based

on the use of internationally recognised standards, including conformity with those in UN Electronic Data Interchange for Administration, Commerce and Transport (UN/EDIFACT). For example, messages sending manifest information are usually based on the UN/EDIFACT CUSCAR Customs cargo report message.

- 2.5 In addition, the World Customs Organization (WCO) developed the WCO Data Model. The WCO Data Model<sup>22</sup> is a set of carefully combined data requirements that are mutually supportive and which will be updated on a regular basis to meet the procedural and legal needs of cross-border regulatory agencies such as Customs, controlling export, import and transit transactions. It is consistent with other international standards such as the United Nations Trade Data Elementary Directory (UNTDDED).
- 2.6 WCO Data Model not only includes data sets for different Customs procedures but also information needed by other cross-border regulatory agencies for the cross-border release and clearance at the border. The WCO Data Model supports the implementation of a Single Window as it allows the reporting of information to all government agencies through the unique way it organises regulatory information.
- 2.7 The IATA e-Freight<sup>23</sup> programme is an example of a programme whose aim is to take the paper out of air cargo and to replace it with the exchange of electronic data and messages. Information on that initiative is given at **Appendix 1**.
- 2.8 *In pursuance of Recommended Practice 4.17.1 of ICAO Annex 9, Fifteenth edition, ECAC Member States should consider the introduction of arrangements to enable all parties involved in air cargo operations to submit all the information required by public authorities in connection with arrival, stay and departure of an aircraft and air cargo to a single- entry point (Single Window).*
- 2.9 For the consideration and implementation concerning this Single Window concept, ECAC Member States should use the recommendations and guidelines developed by the United Nations Centre for Trade Facilitation and Electronic Business, which have been published as UN/CEFACT Recommendation 33<sup>24</sup>.

## 2.10 Furthermore, attention is drawn to the Single Window Guidelines

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<sup>22</sup> More information on the WCO Data Model can be found at:  
[http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/~/\\_link.aspx?\\_id=3BD324CD868948748147E210059706BC&\\_z=z](http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/~/_link.aspx?_id=3BD324CD868948748147E210059706BC&_z=z)

<sup>23</sup> More information on the IATA e-Freight programme can be found at:  
<http://www.iata.org/whatwedo/cargo/e/efreight/Pages/index.aspx>

<sup>24</sup> [http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec33/rec33\\_trd352e.pdf](http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec33/rec33_trd352e.pdf)

developed by WCO<sup>25</sup>.

- 2.11 Single Window is a philosophy of governance in which traditional structures of government are transformed into new arrangements that best serve the needs of citizens and businesses. Under the 'Single Window' approach, citizens and businesses would receive government services through a single interface to government. The complex, multi-agency organisational arrangements that go into service delivery will be transparent to the consumers of the services, leading to increased efficiencies and reduction in the transaction costs of regulation.
- 2.12 The obligation on trade to provide various authorities with information on cargo and passengers at varying stages of movement may present obstacles to business efficiency. Although this information may be required for different purposes, many data elements required by public authorities including identification of the aircraft, date and time of arrival, airport of departure and cargo information, are identical. If the total requirements of such common elements can be combined into a single message according to international agreed standard data and standardised messages, and sent electronically to a single official destination instead of being sent to individual agencies separately, costs are cut and rapid reliable deliveries are facilitated. This concept is often referred to as a Single Window.
- 2.13 A Single Window can expedite and improve the flow of information between public authorities and trade. The central principle is that the single public or official agency nominated to receive the overall information would redistribute data, as appropriate, to other relevant public authorities.
- 2.14 Further facilitation can be achieved by arrangements between public authorities that any necessary physical checks will be coordinated and, if possible, take place at the same time and place. This concept is often called One Stop Shop.
- 2.15 These arrangements can be embodied and introduced by suitable Memoranda of Understanding (MoU). It is important that public authorities make maximum efforts to combine, harmonise and minimise the necessary information. This will be much facilitated by the use of advanced inter-communication methods, such as community systems mentioned in recommendation 3.1.2.
- 2.16 *In pursuance of Recommended Practice 4.17.2 of ICAO Annex 9,*

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<sup>25</sup> <http://www.wcoomd.org/en/topics/facilitation/activities-and-programmes/single-window/single-window-guidelines.aspx>

*Fifteenth edition, ECAC Member States should encourage all participants in the transport, handling and clearance of air cargo to simplify relevant procedures and documents and to co-operate or participate directly in the development of air cargo community systems using internationally agreed standards with a view to enhance the exchange of information relating to such traffic and assuring inter-operability between the systems of all participants.*

- 2.17 This provision refers to community systems already in use at many airports, which enable public authorities and the trade to exchange information for commercial logistical and official control operations through a single central automated system.
- 2.18 Such community systems use standardised procedures and techniques to exchange information between public authorities, such as Customs, Immigration, Health authorities etc, and the commercial operators such as airline handlers, freight forwarders, shippers, consignees, transporters etc. The same system can be used to exchange information on inbound or outbound air movements, airport authorities, air-traffic control, security authorities etc. A community system can also handle data in respect of Air Waybills, cargo manifests, transport orders, arrival notifications, status information and Customs declarations. In some countries airlines are connected to a community system through the SITA network.
- 2.19 The main purpose of this provision is to encourage public authorities and the trade to develop and use community systems as a proven means of exchanging information between all relevant parties in order to simplify and accelerate all related procedures. Community systems can be established by private initiative, by local, regional or national governments or by co-operative public-private partnerships.
- 2.20 A growing proliferation of individual systems could face global and regional operators and regulatory authorities with the need to devise and maintain an unmanageable variety of different access and communication resources. Essential inter-operability, to avoid these problems, can be achieved by the use of suitable interfaces (transfer points) between the systems in use by the trade and systems in use by public authorities, whereby information can be exchanged electronically.
- 2.21 *In pursuance of Recommended Practice 4.20 of Annex 9, Fifteenth edition, ECAC Member States should support and participate to the extent possible in initiatives to allow the presentation of supporting document by electronic means.*

- 2.22 Each air cargo shipment is accompanied by a number of supporting documents; sometimes up to 30 documents per shipment. It is clear that in the age of electronic data exchange, this paper burden has to end and be replaced by electronic information. Many global and regional initiatives are paper-free driven projects.
- 2.23 The International Air Transport Association (IATA) launched a project, IATA e-freight, designed to develop an aviation-wide, electronic, paper-free environment to eliminate the need to produce and transport paper documents for air cargo shipments. IATA e-freight impacts the entire cargo supply chain, including airlines, freight forwarders and public authorities. The IATA e-freight initiative benefits from integration and alignment with other broader e-commerce initiatives. IATA e-freight will reduce costs by an increased use of electronic messages and improved data quality. Improved data quality and reduced reliance on paper documents will also reduce transport, clearance and delivery times. High quality electronic data exchange will facilitate all stakeholders' compliance with customs and other regulatory requirements.

### **3. PRE-ARRIVAL AND PRE-DEPARTURE FORMALITIES**

- 3.1 *ECAC Member States should, for the purposes of pre-arrival and pre-departure formalities:*
- a) *refrain from requiring the lodgement of a separate pre-arrival declaration for short haul prior to take off and for long haul flights earlier than 4 hours prior to arrival at the first airport in the country of destination;*
  - b) *refrain from requiring the lodgement of a separate pre-departure declaration earlier than 30 minutes prior to departure from an airport.*
  - c) *limit the requirements to those necessary to perform a proper risk analysis for security and safety purposes and include data such as the identification of the aircraft, the identification and quantity of the goods at arrival and transport information, accepting that this information may be ascertained from commercial documents. These data requirements should be specified in national legislation and determined in co-operation with all participants involved in the transport and handling of air cargo;*
  - d) *waive the requirement for a separate general declaration and cargo manifest when at least the data elements contained in these documents are included in the pre-arrival information. ECAC Member States may at entry ask for a separate statement that the goods have arrived or at exit ask for a separate*

*statement before their departure that the goods have arrived at the final point of exit.*

- e) take into account, where appropriate, the available international standards on the secure supply chain and the pre-arrival and pre-departure information relating to entry and departure of air cargo.*

*Consider:*

- i) the development of automatic data processing systems for the lodgement and processing of pre-arrival information and pre-departure information, including systems for automated risk analysis;*

- 3.2 As a result of the need for more security in the cross-border movement of goods, many countries have introduced requirements for the lodgement of information on shipments before the arrival or departure of the goods. Although Standard 4.4 of ICAO Annex 9, Fifteenth edition, currently relates only to pre-arrival formalities, the new security rules of several ECAC Member States also require pre-departure formalities. At first these new rules could be seen as an additional burden for the trade and industry. As a principle of trade facilitation, public authorities should not burden the international trade with different requirements to secure the international supply chain. This could be avoided to a great extent by using international agreed procedures and standards.
- 3.3 Already from a facilitation point of view, the receipt of pre-arrival and pre-departure information enables public authorities to:
- a) Use rapid processing in risk analysis systems;
  - b) Give early permission to load and unload;
  - c) Select consignments for examination or grant immediate release or clearance.
- 3.4 This enables public authorities to focus available resources on high-risk areas and reduce constraints on fully compliant traders by minimising interventions in the flow of goods presenting minimal risks.
- a) This practice will facilitate the processing of information by Customs at the earliest possible stage after receipt. To avoid wide variations in the period fixed for advance notification by individual Customs administrations, it is important to note that the WCO SAFE Framework of standards has set down time limits for the different modes of transport. For cargo transported by air, in general the time limit should not start before the moment the aircraft has left the country of departure. With internationally agreed time limits, the requirements of public



authorities in different ECAC Member States can be matched as much as possible to provide a level playing field for commercial operations. The security legislation of the European Union included in the Union Customs code is to a great extent based on the rules of the WCO SAFE Framework of standards. To respond to new threats, the WCO has – in 2015 – adopted a new time limit regarding cargo transported by air as well as a limited data set. A limited dataset should be provided as soon as the information becomes available but no later than prior to loading onto the aircraft.

- b) For outbound flights, the European Union's Customs legislation includes a time limit of 30 minutes prior to departure from the EU airport.
- c) ICAO Annex 9, Fifteenth edition, states that data requirements shall be limited to a practicable minimum. The same principle should apply to pre-arrival and pre-departure information. To facilitate the flow of goods through airports as much as possible, public authorities should coordinate their requirement with trade as much as possible. The WCO SAFE Framework of standards has introduced a maximum list of data elements for pre-arrival and pre-departure information and includes information relating to both the goods and the mode of transport (General declaration information), and information on the parties involved. This information could already be available in commercial and/or transport documents or commercial electronic records. It is important that all these requirements should be specified in national legislation. These data elements are included in the Customs legislation of the European Union.
- d) When pre-arrival or pre-departure information is received electronically, and the data necessary for control purposes at arrival is correct, an additional request for a formal general declaration or cargo manifest would simply result in unnecessary duplication of information. Public authorities may be prepared to accept a notification of arrival or departure, supplementing the prescribed pre-arrival and pre-departure information as a sufficient formal statement to fulfil the function of the general declaration and the cargo declaration.
- e) The use of international standards is key to an efficient worldwide communication of information. The required information for the pre-arrival and pre-departure formalities should also be based on international standards. The WCO has introduced a "SAFE Framework of Standards to Secure and Facilitate Global Trade", referred to as the "WCO Framework", by which a set of Standards is developed to secure the international movement of goods in the supply chain and, at the same time, satisfy the need to facilitate the legitimate trade. It

also contains a set of data elements to be used for the pre-arrival and pre-departure declarations.

- f) There is a constantly growing need for efficient communication. Electronic submissions eliminate the need for paper declarations and, where possible, supporting documents. Electronic systems used by public authorities may include systems where declarations and other information can be lodged by the trade, preferably from the premises of the declarant, and systems that are able to process the received information, including risk-analysis. The traders can work independently from the actual place where the public authorities are established and receive the results of the processing of the information by the public authorities on short notice.

#### **4. AUTHORISED ECONOMIC OPERATORS**

- 4.1 *In pursuance of Recommended Practice 4.9.1 of ICAO Annex 9, Fifteenth edition, ECAC Member States should consider the introduction of programmes for Authorised Economic Operators, that enhance security, thus creating an environment for facilitative Customs control measures. Facilitative control may include reduced level of physical inspections and examinations, the submission of a limited set of data elements, a notification of an intended inspection before arrival of the goods and other facilitative measures. The control measures should be based on the required information provided in advance to Customs and by using risk assessment procedures.*
- 4.2 The Authorised Economic Operator (AEO) is firstly developed to secure the supply chain of goods. The AEO has to incorporate in their existing business practices pre-determined security measures to provide that their internal business policies and procedures will provide for adequate safeguards against the infiltration of their shipments by unauthorised persons until their final destination. These measures include, among others, access control to facilities where the goods are stored, the use of reliable transporters, security trained staff and approved administrative procedures and records. As a result of their effort to secure the supply chain, AEO could benefit from fewer physical interventions and controls. The ultimate secure supply chain is possible when all parties involved in the supply chain are granted the status of AEO. The concept of the AEO is also included in the WCO Framework. The European Union and a number of Customs administrations from ECAC Member States are involved in programmes with non-EU countries to develop international secure supply chains, with the aims of the mutual recognition of other programmes similar to the AEO concept.

- 4.3 As well as the AEO for safety and security, the Customs legislation of the European Union also provides for an AEO for Customs simplification purposes only.
- 4.4 The simplified procedures proposed in this recommendation relates mainly to the (Customs) procedures subsequent to (pre-arrival) formalities connected with arrival of consignments at the airport, which can be considered as a first phase. The documents, or their electronic equivalent used in that phase are usually limited to the General declaration or equivalent document and the Cargo manifest or the Air Waybill, as prescribed in Chapter 2 of ICAO Annex 9, Fifteenth edition, or the pre-arrival information. Release or clearance is not normally granted on the basis of these summary documents/information. The subsequent procedures, dealing with the onward movement of goods to their (final) destination, for example import or transit, can be regarded as the second phase. In many cases, responsibility for the goods for such subsequent procedures shifts to another person, e.g. a forwarding agent. The simplified procedures, suggested in this Provision, are based on the revised Kyoto Convention on the harmonisation and simplification of Customs procedures and are intended to facilitate rapid release or clearance. They are only offered to authorised persons with a high-quality record of compliance with Customs rules and obligations and relevant requirements of other public authorities. (Customs) warehousing may be dealt with in either the first or second phase, depending on the type of warehousing.
- 4.5 *Public Authorities should, where appropriate, for the granting of the status of an Authorised Economic Operator, take into account the already fulfilled conditions and criteria for comparable programmes of authorised operators under the supervision of other public authorities to avoid the duplication of similar requirements by public authorities.*
- 4.6 A lot of countries are developing Authorised Economic Operator, Trusted Trader programmes or programmes that are comparable. This is going on in States and is within the hands of various authorities within those States. For reasons of efficiency for both industry and governments, it is beneficial that responsible authorities look at each others programmes so – where feasible – conditions are the same. The different authorities can take into account the assessment of each other's conditions so not duplicate the work already done.
- 4.7 This principle has been adopted in the third pillar of the WCO SAFE Framework of standards especially in the context of air cargo security. Customs authorities are urged to establish mutual cooperation with aviation authorities in relation to their respective

security certification programmes for example the Authorised Economic Operator (AEO) programme and the Regulated Agent / Known Consignor (RA/KC) programme.

4.8 The EU has already followed this recommendation by making it a legal obligation for Customs to recognise conditions met for the RA/KC programme and for the authority responsible for civil aviation security to recognise conditions met for the AEO programme.

4.9 *In pursuance of Recommended Practice 4.30.1 of ICAO Annex 9, Fifteenth edition, special simplified procedures for authorised persons may include, but not be limited to:*

- a) Release of the goods for import or export on the provision of the minimum information necessary to identify the goods and permit the subsequent completion of the final goods declaration;*
- b) Clearance of the import of export goods at the authorised person's premises, or another place authorised by Customs;*
- c) Lodgement of a goods declaration for import or export, based on the entry into the records of the authorised person;*
- d) Lodgement of a single goods declaration for all imports and exports in a given period where goods are imported or exported frequently by the same person.*

*Further to that, ECAC Member States may consider other simplified measures such as transit procedures based on the use of cargo manifest or Master Air Waybill.*

4.10 This simplified procedure allows for the release of the goods when all the relevant information may not be immediately available. While information on description, quantity and value is needed to identify the goods, data may be temporarily lacking on transport arrangements, origin or in sufficient detail to complete valuation. A supplementary declaration is then necessary, and this must be lodged within a prescribed time limit, for example, 24 hours, which should be specified in national legislation.

4.11 Where customs declarations are submitted by the declarant electronically and the processing of the declaration is also based on electronic procedures, including risk analysis, it is not always necessary that the goods are presented physically at the Customs office. It would facilitate the logistical process when the goods can be transported directly to the premises of the economic operator or any other approved place, and the Customs informs the declarant electronically of the clearance of the goods.

4.12 The simplified procedure by which the goods are placed under a certain (Customs) procedure at the premises of the declarant can be

of great benefit for the trade and will also help avoid congestion at airports. Public authorities should be satisfied of the quality of the declarant's compliance and recording systems before granting this procedure. The public authorities are notified immediately of the arrival of the goods at the premises and can then decide, on the basis of risk analysis, whether they need to perform a physical examination at the declarant's premises. This procedure is often combined with periodic declaration, as mentioned under 4.3.4.

- 4.13 When public authorities allow for an incomplete declaration or when local clearance at the premises of the declarant has been allowed, it is often cumbersome to lodge a separate supplementary declaration for each consignment. Suitably compliant declarants can be allowed to lodge a periodic declaration, which summarises all initial declarations or all notifications. Such procedures can be accompanied by the granting of arrangements for payment of duties and taxes on the basis of self-assessment.
- 4.14 A number of countries allow the use of the cargo manifest or the Master Air Waybill as the transit document for movement by air to another airport. This may be conditional on the submission of certain data elements, for example the description of the goods and their status. A guarantee may be required. It is common airline industry practice to move goods by road between airports over short distances (air trucking), and airlines frequently use their own means of transport for this purpose. A transit procedure is often used to cover such movements. It will facilitate this current use of intermodal transport if the Cargo manifest or the Air Waybill can be accepted as meeting the descriptive requirements of the transit document. A precise description of the goods and a statement of destination will normally be required as a pre-condition for such use of the Cargo manifest or Air Waybill. A guarantee is usually needed.

## **5. COOPERATION BETWEEN THE RELEVANT COMPETENT AUTHORITIES IN THE AREA OF AIR CARGO SECURITY**

- 5.1 *ECAC Member States should encourage cooperation between air cargo security authorities and Customs authorities, related to the respective security certification programmes, being the Regulated Agent / Known Consignor / Account Consignor and the Authorised Economic Operator. Cooperation may encompass:*
- a) The application and initial assessment procedure;*
  - b) The exchange of available information on the applicant, including information contained in their respective databases of approved/certified entities;*
  - c) Combined compliance controls;*

*d) Follow-up activities after the status/authorisation has been granted, including sharing of information with regard to the withdrawal or revocation of the status; and*

*e) Other activities.*

- 5.2 For reasons of efficiency for both government and industry it is recommended that different competent authorities in the area of air cargo security work closely together. With reducing budgets, it is important for governments to allocate their resources wisely. On the other hand, it is less burdensome for industry if various competent authorities work together on the supervision of air cargo security.
- 5.3 This cooperation can be done by working together on the development of their respective programmes but also in their day-to-day work on the supervision of these programmes.
- 5.4 Also, other activities outside trusted trader programmes can be done in close cooperation (One-Stop-Shop).
- 5.5 The members of the WCO have laid down standards for cooperation between government authorities (included in the 2015 revision of the SAFE Framework of standards). These standards encompass – beside alignments of security programmes – mutual cooperation, cooperative arrangements/procedures, harmonisation of national or cross-border control measures, and development of continuity and resumptions measures. The cooperation can be organised at regional, national or international level.

## **6. MISCELLANEOUS PROVISIONS**

- 6.1 *ECAC Member States should facilitate the transfer of air cargo from one aircraft to another within the same airport by the use of electronic means for the lodgement of the cargo declaration.*
- 6.2 While public authorities must be able to control all airport cargo movements, they should be able to allow rapid transfer once they have received electronic submission of satisfactory pre-arrival, pre-departure or Cargo manifest information. The need for any physical examination should be based on the results from risk analysis, preferably performed by electronic means.
- 6.3 *In pursuance of Recommended Practice 4.11.1 of ICAO Annex 9, Fifteenth edition, ECAC Member States should consider, for facilitation purposes, where feasible, the use of the available advance cargo information in subsequent import, export and/or transit customs procedures for the release/clearance of the goods.*
- 6.4 Data duplication should be avoided and, once data has been checked

and shown correct, it can be used for other subsequent Customs procedures for release or clearance of the goods, such as import, export or warehousing. Only the additional data related to each such specific procedure should be needed by public authorities as supplements to the information already available in their electronic systems.

- 6.5 *ECAC Member States should dispense with documentary controls over air cargo transferred from one flight to another at the same airport and rely, instead, on electronic tracing techniques, where available, and adequate and efficient customs supervision of apron and warehousing areas.*
- 6.6 Normally goods brought into the territory of a country are subject to controls by public authorities that may include documentary checks. This provision may not cover documentary checks on the Cargo manifest or Master Air Waybill but is mainly intended to minimise the use of accompanying documents issued specifically for the movement of the goods in the airport area. This supervision is also possible with the use of the already available information in the systems of the Public authorities. Although efficient supervision is essential for goods in transfer, minimal delay can be realised by using modern techniques such as those mentioned in Provisions 3.1.1, 3.1.2, 3.1.3 and 3.1.4.
- 6.7 *ECAC Member States should review warehousing charges at airports with spare space resources and, if necessary, amend them to induce cargo owners and agents to remove their goods as quickly as possible.*
- 6.8 Storage accommodation is limited at many airports. Where warehouses are operated by public authorities, charges for storage could be increased, or a certain time limit could be introduced to encourage rapid removal of stored consignments. Based on the Union Customs Code, Article 149, the temporary storage is limited to ninety (90) days after the arrival of the goods by air, by which time they must be allocated to a Customs approved treatment or use.
- 6.9 *In the context of Standards 2.21 and 2.22 of Annex 9, Fifteenth Edition, and the reference to penalties, ECAC Member States should allow adequate time for the correction of inadvertent errors in the cargo manifest. These corrections cannot be made after the public authorities already dealt with the information in the cargo manifest, unless the reason for correction is deemed to be valid for the public authorities.*



- 6.10 The Cargo manifest is generally created at the airport of departure. It is not unusual that certain consignments, although mentioned in the Cargo manifest, may, at the last moment, be withdrawn from or not be available for loading onto the aircraft. Others may be loaded without being included in the manifest. It is important, therefore, that the carrier be allowed to adjust the information in the Cargo manifest, but this facility should be based on certain limits covered in national legislation, to offer maximum transparency. These limits should specify a time limit after arrival or specify a permitted variation in quantity or in weight. When errors go beyond these legal limits, public authorities should still allow correction when the declarant can provide satisfactory explanations for resulting differences with supporting documents or other methods of proof. Such corrections are generally only permitted in respect of documents used at arrival, e.g. the manifest, and not for documents used in subsequent (Customs) procedures, such as transit.
- 6.11 *ECAC Member States should take into account the Guidelines included in Annex 3-A, relating to the tax refund for travellers to facilitate the handling of passengers who have to fulfil the formalities for tax refund.*
- 6.12 One of the benefits for non-EU travellers is that they can apply for the refund of VAT when they return to their country of residence. The procedures for tax-refund may vary in different countries. To give an overview of the procedures and practices in different countries, separate Guidelines have been developed at **Appendix 3**.
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## APPENDIX 1 TO ANNEX 3-A: INFORMATION ON THE AUTHORISED ECONOMIC OPERATOR

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### 1. INTRODUCTION

- 1.1 The international focus on security tightened considerably since the terrorist attacks in 2001 which have changed to world in which we live. That is why the concept of security (security and safety) is now included in the European Customs legislation. Companies involved in the European Union external borders movements of goods and their suppliers, are particularly exposed to this legislation. With the introduction of this legislation, the European Union simultaneously wants to provide trade with better facilities. One of these facilities is the status of an Authorised Economic Operator (AEO), which would lead to a number of benefits such as fewer logistical delays, reduced administrative burdens and priority treatment for customs controls for AEOs in return for meeting a strict security and safety criteria.
- 1.2 Within the SAFE Framework of Standards to secure and facilitate global trade of the World Customs Organization (WCO), the AEO is defined as a party involved in the international movement of goods in whatever function that has been approved by or on behalf of a national Customs administration as complying with WCO or equivalent supply chain security standards. Authorised Economic Operators include inter alia manufacturers, importers, exporters, brokers, carriers, consolidators, intermediaries, ports, airports, terminal operators, integrated operators, warehouses, distributors.
- 1.3 The AEO is a concept that aims at balancing increased security requirements with facilitation for compliant traders. It constitutes a main element of the Customs security Program of the European Union.
- 1.4 The European Customs legislation is in compliance with the WCO SAFE Framework which is in fact the global standard for customs supply chain security. In addition, the EU AEO program is similar to other European Union programs aimed at improving security, such as Regulated agent, the Known consignor and the Account consignor as defined<sup>26</sup> in article 3 of the EU regulation 300/2008 on common

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<sup>26</sup> **'regulated agent'** means an air carrier, agent, freight forwarder or any other entity who ensures security controls in respect of cargo or mail;  
**'known consignor'** means a consignor who originates cargo or mail for its own account and whose procedures meet common security rules and standards sufficient to allow carriage of cargo or mail on any aircraft;

rules in the field of civil aviation security.

## **2. MAIN AEO FEATURES AND BENEFITS**

2.1 AEO programme provides for two categories of AEO authorisations:

- Customs simplifications;
- Security and safety;
- combination of Customs simplifications /security and safety.

2.2 An AEO Authorisation Customs Simplifications is issued to any economic operator who is established in the Union who fulfils the criteria of Customs compliance, appropriate record-keeping standards, financial solvency and practical standards of competence or professional qualifications.

2.3 The holder of this authorisation is entitled to:

- easier admittance to Customs simplifications;
- fewer physical and document-based controls;
- possibility of prior notification of control;
- priority treatment if selected for control;
- possibility to request a specific place for control.

2.4 An AEO Authorisation Security and Safety is issued to any economic operator who is established in the Union and who fulfils the criteria of Customs compliance, appropriate record-keeping standards, financial solvency, and maintains appropriate security and safety standards.

2.5 The holder of this authorisation is entitled to:

- reduced data set for pre-departure or re-export declarations;
- possibility of prior notification of control;
- fewer physical and document-based controls;
- priority treatment if selected for control;
- possibility to request a specific place for such control.

2.6 An AEO Authorisation Customs Simplifications and Authorisation Security and Safety may be held at the same time. In this case the economic operator has to fulfil the criteria for AEOC and AEOS and receives the benefits relating to both.

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'**account consignor**' means a consignor who originates cargo or mail for its own account and whose procedures meet common security rules and standards sufficient to allow carriage of that cargo on all-cargo aircraft or mail on all-mail aircraft;

### **3. EUROPEAN LEGAL BACKGROUND**

- 3.1 With the security amendments to the Community Customs Code, Regulation (EEC) No. 2913/92, and its Implementation provisions by the Regulations 648/2005 and 1875/2006 the European Union introduced a number of measures to tighten security on goods crossing the borders of the European Union. The measures mean enhanced security risk analysis prior to export/exit from and entry into the Community. The measures cover three major areas:
1. Requirement for traders to provide information on goods prior to entry to or export/exit from the European Union;
  2. Introduction of the concept of Authorised Economic Operator to provide reliable traders with trade facilitation benefits;
  3. Introduction of a risk management framework for setting uniform Community risk-selection criteria for controls, supported by computerised systems.
- 3.2 The above measures have been developed in close co-operation and consultation with the trade.
- 3.3 The legal provisions on the AEO provide for a process of exchange of information with other EU Member States before granting the status of an AEO. Legislation and accompanying guidelines provide for the implementation with a uniform application process and a level playing field for economic operators within the European Union.
- 3.4 The EU Customs Security Programme (CSP) covers activities supporting the development and implementation of the above-mentioned security and facilitation measures. CSP supports the balanced approach, it introduces proper security controls to ensure the protection of the internal market and, in close cooperation with major trading partners in the world, secure the international supply chains and furthermore it provides facilitation to those traders that demonstrate compliant efforts to secure their part of the international supply chains.

### **4. GRANTING THE STATUS OF AUTHORISED ECONOMIC OPERATOR**

- 4.1 EU Member States are entitled to grant the AEO status to any economic operator involved in Customs activities that meets common criteria relating to the operator's control systems, financial solvency and compliance record. The AEO status granted by one Member State will be recognized by the other EU Member States.
- 4.2 The criteria for the status of an AEO includes inter alia:

- For the AEO Customs simplifications:
    - Appropriate compliance record with Customs requirements;
    - Satisfactory system of managing commercial/transport records;
    - Proven financial solvency;
    - Practical standards of competence or professional qualifications.
  
  - For the AEO security and safety:
    - Appropriate compliance record with Customs requirements;
    - Satisfactory system of managing commercial/transport records;
    - Proven financial solvency; and
    - Appropriate security and safety standards such as:
      - Buildings constructed of materials that resist unlawful entry;
      - Access control measures to premises;
      - Measures to prevent tampering with goods;
      - Measures to comply with prohibitions and restrictions;
      - Clear identification of business partners;
      - Security screening of employees (as permitted by law); and
      - Security awareness programme
- 4.3 The security requirements are deemed to be met with internationally recognised security and safety certificates such as the ISPS code (International Ship and Port facility Security code, the International Organization for Standardization (ISO) and the Regulated agent, if they cover the same standards.
- 4.4 In preparation of the pre-audit by Customs, the operator can make a self-assessment to enable him to analyse if he is able to meet the security requirements. Most Customs administrations in the Community have developed such a tool and even if it is not mandatory it is strongly recommended as it is beneficial both for traders and for Customs. The self-assessment is an attempt to identify the risks and threats which might occur in that part of the supply chain in which the applicant is operating, and to look into the measures in place by the applicant to minimise the risks and threats. The applicant should demonstrate in its policy a high-level of awareness on security and safety measures, internally and in its business activities with clients, suppliers and external service

providers. The purpose of the AEO Self-assessment is to help to appreciate the requirements and take the necessary steps associated with obtaining the AEO status and provide Customs with additional information about the applicant and its business. To apply for AEO status the applicant has to send to Customs the AEO application, preferably together with the result of the self-assessment tool (if available in the EU Member State of application), which will facilitate Customs evaluation of the application.

- 4.5 The conditions and criteria for AEO authorisation relevant to each category of business will apply to all businesses regardless of their size. However, it is accepted that the standard of compliance will vary and be in proportion to the size and complexity of the business, type of goods handled etc. For example, all applicants seeking Security and Safety authorisation will have to demonstrate the adequacy of the physical security of their premises. If the applicant is a holder of an internationally recognised security accreditation, this will be taken into account where the AEO requirements are identical or comparable.
- 4.6 To facilitate the process of granting the AEO status, the European Commission (DG Taxud) has developed an e-learning tool<sup>27</sup> that is online and designed to help trade to learn about the new AEO legislation and the process for becoming an AEO. Also available on the EU Customs website is a database of economic operators who have an AEO authorisation and a list of competent Customs authorities for applying for AEO authorisations.

## **5. RELATION WITH OTHER EU SECURITY INITIATIVES**

- 5.1 Not only European Customs legislation contains measures taken to tighten security on the cross-border movement of goods in and out of the European Union. Several Regulations have been introduced in the area of Air transport security. This legislation falls under the responsibility of the Directorate General Transport and Energy of the European Commission (DG Tren). The legislation on the basic principles is embodied in Regulation 2320/2002. The main objective of this Regulation is to prevent acts of unlawful interference with civil aviation. The Regulation is based on the security provisions of ECAC's Document 30 and ICAO's Annex 17 on security. The implementing provisions on the details are specified in Regulation 820/2008 and Decision 4333/2008.
- 5.2 The aviation security Regulations and Decision require cargo (export) to be screened unless the appropriate controls have been applied by a Regulated Agent, Known Consignor or, for cargo only

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<sup>27</sup> [http://ec.europa.eu/taxation\\_customs/common/elearning/aeo/index\\_en.htm](http://ec.europa.eu/taxation_customs/common/elearning/aeo/index_en.htm)

flights, an Account Consignor. Measures should be also taken to protect the consignments until they are loaded on to an aircraft. The qualification, criteria and tasks for Regulated Agents, Known Consignors and Account Consignors are stated in the Regulations and the Decision.

- 5.3 There are similarities between the Customs AEO security and safety and the air transport security Regulated agent/Known consignor/Account consignor. Often the same companies may apply for both AEO and Regulated agent/Known consignor status. The disadvantages of separate, complete assessments means that trade is faced with double checks with the result of higher administrative burden. While one system cannot replace the other, as the systems and their objectives are not identical, it would facilitate trade if the different certification processes were more attuned to one another. Some differences that are due to the inherent purpose of the legislation will however always remain but shouldn't lead to an increase of burden for economic operators.
- 5.4 The first step would be an assessment of the criteria for each entity. This could be followed by the identification of common criteria. Already the Customs legislation for AEO provides for recognition of the status of Regulated Agents. In that case the security requirements for the AEO security and safety are deemed to be met, which expedites the AEO authorisation process and thus facilitates obtaining the AEO status. Based on the new air transport Regulation 300/2008, its implementing provisions will provide for a partially recognition of the AEO security requirements. These would require national appropriate authorities to 'take into account' whether or not an entity held an AEO (security) authorisation when assessing suitability for Regulated Agent or Known Consignor status and removes the requirement for prospective Account Consignor already accepted as (security) AEOs to complete a Declaration of Commitments. A European Union database contains details of all approved Regulated agents and Known consignors.
- 5.5 Close cooperation between national Customs authorities and Security authorities is recommended to facilitate the application procedures for both security programs. Currently, the EU has a legal obligation in the Union Customs Code and its implementing provisions to recognise conditions met for the RA/KC programmes in relation to the sites and the operations for which the entity obtained the relevant status, to the extent that the criteria for issuing those status are identical or equivalent to the granting of the AEO status criteria. Similarly, the appropriate authorities responsible for civil aviation security in each EU Member State have to recognise the conditions met within the AEO programme (regarding security standards) on approval, re-validation and compliance monitoring of



their RA/KC.

## **6. RELATION WITH WCO INSTRUMENTS**

- 6.1 The demand for more stringent security procedures made it necessary to develop harmonised security procedures to avoid the situation that trade is faced with different procedures in every country. For that purpose, the World Customs Organisation (WCO) developed the WCO SAFE Framework of Standards to secure and facilitate global trade<sup>28</sup>. The WCO SAFE Framework represents uniform, minimum international standards required to enhance supply chain security and facilitation and its implementation. At present, more than 150 countries have expressed their intention to implement the WCO SAFE Framework.
- 6.2 The WCO SAFE Framework standardises and promotes a variety of security concepts, such as pre-arrival/departure information, risk management, outbound inspection of cargo, single window, end to end supply chain security and provides for capacity building. It includes also as a main part a basic set of standards on the AEO, moving towards mutual recognition. These international standards may be supplemented by additional Customs or Economic Union and national requirements.
- 6.3 In the development of the WCO AEO Security and Safety requirements, existing security standards for maritime and air transport have been studied and where possible integrated. Integration is very important as mutual recognition of secure AEO status could not be ensured without a globally recognised common base. Furthermore, in order to avoid unnecessary duplication of legal requirements on international and European recognised security and/or safety certificates in maritime, air cargo and surface freight transport, the WCO worked closely together with the relevant European Commission services. In this way requirements can be compatible enabling the authorities to recognise each others' security certifications, where possible.
- 6.4 The WCO SAFE Framework incorporates the AEO Guidelines that form an integral part of the WCO SAFE Framework.

## **7. MUTUAL RECOGNITION**

- 7.1 An important benefit for international trade is the mutual recognition

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[http://www.wcoomd.org/home\\_wco\\_topics\\_epoverviewboxes\\_tools\\_and\\_instruments\\_epsafeframework](http://www.wcoomd.org/home_wco_topics_epoverviewboxes_tools_and_instruments_epsafeframework).

of security programs between countries<sup>29</sup> based on mutual recognition agreements.

## **8. EXAMPLES OF OTHER INTERNATIONAL SECURITY PROGRAMMES**

### **8.1 UNITED STATES**

8.1.1 In response to potential terrorist threats, the U.S. Customs authorities have taken initiatives to improve security in the international supply chain. One of these initiatives is the Container Security Initiative (CSI), which pre-selects, according to risk assessment criteria, containers destined for the USA prior to loading on the ship in a foreign port. CSI is currently operational in a large number of ports worldwide. The U.S. has also published a regulation on advanced cargo manifest information, the so-called '24-hour rule'. This regulation obliges carriers to provide electronic manifest data to US Customs, at least 24 hours before loading sea containers bound for the USA. For air cargo, information should be made available immediately after take-off for short-haul flights and at least 4 hours prior to arrival for long-haul flights. This enables US Customs to select high-risk shipments via their automated target system.

8.1.2 US Customs have also introduced the Customs and Trade Partnership against Terrorism (C-TPAT) programme comparable with the EU and WCO AEO programmes.

### **8.2 CANADA**

8.2.1 The Free and Secure Trade (FAST) programme is a joint Canada-U.S. initiative. FAST supports moving pre-approved eligible goods across the land border quickly and verifying trade compliance away from the border. It is a harmonized commercial process offered to pre-approved importers, carriers, and registered drivers. Shipments for approved companies, transported by approved carriers using registered drivers, will be cleared into either country with greater speed and certainty, and at a reduced cost of compliance. Canada has developed the "PIP" (Partners in Protection Program) that is comparable to C-TPAT and AEO. The US and Canada have on 28 June 2008 signed an arrangement on mutual recognition of C-TPAT and PIP.

8.2.2 The EU and Canada are currently working towards the mutual recognition of both programmes.

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<sup>29</sup> In case of a Customs Union such as the EU mutual recognition shall be between the Customs Union and the third country.

### **8.3 AUSTRALIA**

8.3.1 In Australia Customs and trade are working together to protect Australia. Frontline is a cooperative programme between Customs and trade groups involved in international trade and transport. The programme draws on the knowledge and expertise of people in trade to help prevent illegal activities.

### **8.4 NEW ZEALAND**

8.4.1 The Customs Service is working with trade on improving export security. One of their programmes is Secure Export Partnership (SEP) to secure New Zealand's exports. New Zealand is cooperating with the US on mutual recognition of their SEP and the US Customs C-TPAT.

### **8.5 EU-US COOPERATION**

8.5.1 The EU and US have signed an agreement on the implementation of their equivalent security programmes. Facilitative mutual benefits granted to Authorised Economic Operators established in the Union and holders of a C-TPAT certificate established in the US have been implemented in the Customs processes concerned.

### **8.6 EU-CHINA COOPERATION**

8.6.1 The EU and China have signed an agreement on the implementation of their equivalent security programmes. Facilitative mutual benefits to Authorised Economic Operators established in the Union and holders of an Advanced Certified Enterprises certificate in China, have been implemented in the Customs processes concerned. The WCO Framework of Standards is used as a global principle on which to develop programs and cooperate with other countries.

### **8.7 EU-JAPAN COOPERATION**

8.7.1 The EU and Japan have signed an agreement on the implementation of their equivalent security programmes. Facilitative mutual benefits to Authorised Economic Operators established in the Union and Japan have been implemented in the Customs processes concerned.

### **8.8 EU-SWITZERLAND AND NORWAY COOPERATION**

8.8.1 The EU and Switzerland and the EU and Norway have signed an agreement on the implementation of their equivalent security programmes. Facilitative mutual benefits to Authorised Economic Operators established in the Union, Switzerland and Norway, have been implemented and in the Customs processes concerned.

**8.9 US-JORDAN COOPERATION**

8.9.1 Jordan and the US signed in June 2007 an arrangement on mutual recognition of their Golden Client Program with the US C-TPAT.

**8.10 US-JAPAN AND US-SOUTH KOREA COOPERATION**

8.10.1 Recently the US and Japan as well as the US and South Korea reached mutual recognition agreements of their respective security programs.

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## APPENDIX 2 TO ANNEX 3-A: INFORMATION ON THE IATA e-FREIGHT PROGRAMME

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### IATA E-FREIGHT

#### 1. INTRODUCTION

- 1.1 IATA e-freight is one of the initiatives of the IATA Simplifying the Business Programme (StB).
- 1.2 Sponsored by the IATA Board of Governors, Simplifying the Business (StB) is an industry-wide programme that began in 2006. Its mission is to change the way the air transport industry operates, resulting in better service for passengers and lower costs for the industry.
- 1.3 That mission is now more relevant than ever. The airline industry finds itself in the midst of yet another crisis. By working together, the airline industry will be able to produce long-lasting change that will allow the industry to succeed in today's environment. The current programme can save the industry up to US\$14 billion every year.
- 1.4 StB concentrates its efforts on four core projects:
1. IATA e-freight
  2. Bar Coded Boarding Passes (BCBP)
  3. Fast Travel
  4. Baggage Improvement Programme (BIP)
- 1.5 IATA e-freight is an industry-wide programme that aims to build an end-to-end paperless transportation process for air cargo made possible with regulatory framework, modern electronic messages and high quality of data.

#### 2. BENEFITS

- 2.1 The benefits for the air cargo supply chain are:
- a) **Cost effectiveness:** e-freight bring cost effectiveness through the reduction of document processing and archiving costs. The average annual net savings of between US\$3.1 and US\$4.9 billion for the industry, depending on the level of adoption. This includes:
    - up to US\$ 1.7 billion in reduced documents processing costs;
    - up to US\$ 1.7 billion in inventory savings for shippers;

- up to US\$ 1.8 billion in savings due to the increased market share from sea-freight.
- b) **Operational efficiency:** e-freight brings operational efficiency through the reduction of the end to end processing time (up to 24h).
- c) **Data quality:** e-freight improves data quality and accuracy (e.g. auto-checks, mandatory fields, etc.). Greater accuracy by using electronic documents, which allow for one time electronic data entry at the point of origin. Electronic documents also reduce delays to shipments due to inaccurate or inconsistent data entry. Electronic documents also cannot be misplaced; shipments will no longer be delayed because of missing documentation.
- d) **Innovation:** Standardisation and digitisation are key enablers for the development of new innovative services and solutions, thus increasing the value of the air freight to shippers (e.g. real-time status update).
- e) **Regulatory compliance:** e-freight implementation facilitates compliance to international and local regulations (e.g. facilitate electronic Advance Cargo Information (ACI) requirements for security purpose).
- f) **Sustainability:** the e-freight project will eliminate more than 7,800 tonnes of paper documents, the equivalent of 80 Boeing 747 freighters.

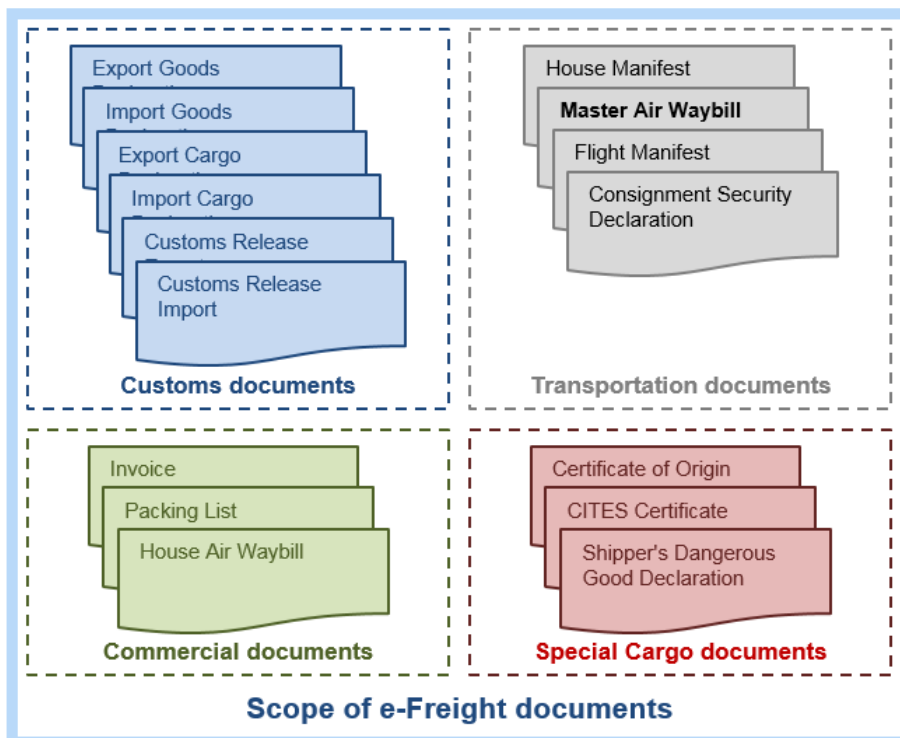
### 3. STAKEHOLDERS

- 3.1 All the key stakeholders of the air supply chain are in scope for the IATA e-freight project.
- Shippers/Consignors
  - Origin & destination freight forwarders
  - Export & Import customs
  - Ground handling agents
  - Origin & destination airlines
  - Customs agents/brokers
  - Consignees
  - Freight Forwarders Associations
  - Customs Brokers Associations
  - Shippers Associations
  - IT Solutions Providers

**4. PAPER FREE DOCUMENTS**

4.1 The current list of documents in scope for IATA e-freight are:

1. Invoice
2. Packing List
3. Certificate of Origin (where legally feasible)
4. Letter of instructions
5. Dangerous Goods Declaration
6. Export Goods Declaration
7. Customs Release Export
8. House Manifest
9. Master Air Waybill
10. House Waybill
11. Export Cargo Declaration
12. Flight Manifest
13. Transfer Manifest
14. Import Cargo Declaration
15. Import Goods Declaration
16. Customs Release Import





XML Waybill	XFWB	XML Invoice	XINV
XML House Waybill	XFZB	XML Packing List	XPCL
XML House Manifest	XFHL	XML Certificate of Origin	XCOO
XML Flight Manifest	XFFM	XML Shippers Letter of Instruction	XSLI
XML Freight Booked List	XFBL		
XML Status Message	XFSU		
XML Custom Status Notification	XCSN		
XML Shippers Declaration for DG	XSDG		
Transport messages		Commercial messages	
<b>Cargo XML Messages supporting the e-Freight program</b>			

- 4.2 The three additional electronic messages standards are: Shipper's Letter of Instructions, Shipper's Declaration for Dangerous Goods and the Transfer Manifest.
- 4.3 Each of the sixteen paper documents in the scope of IATA e-freight is replaced by one or more standard electronic messages with an "agreed international standard" as defined by IATA, the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) or the World Customs Organisation (WCO).
- 4.4 The sixteen documents are grouped into three categories;
- (i) trade documents,
  - (ii) transportation documents, and
  - (iii) customs documents.

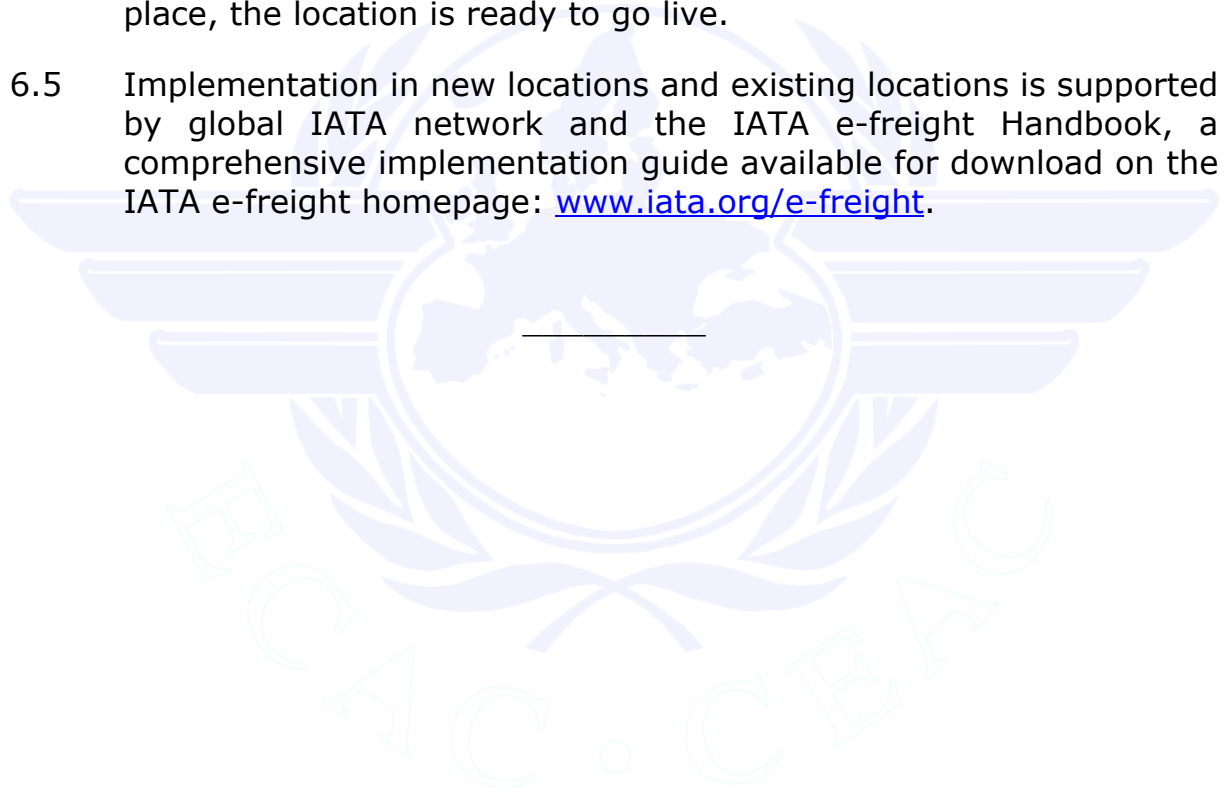
## 5. EXCHANGE OF INFORMATION IN IATA E-FREIGHT

- 5.1 The diagram below describes the relations between the main documents currently in scope.



volumes. To ensure the supply chain maximises the benefit of e-freight and increases e-freight shipments, a global campaign is planned to drive industry adoption and implementation.

- 6.3 To participate in IATA e-freight, a location, a country or a territory must first pass two assessments (a High-Level Assessment and a Detailed Level Assessment).
- 6.4 Once these assessments are passed, the location is certified as ready for IATA e-freight, and moves to the implementation phase. In this phase, local stakeholders including ground handlers, airlines, freight forwarders, shippers and customs officials, define an e-freight operational procedure for that location based on the generic one provided by IATA. Once an e-freight operational procedure is in place, the location is ready to go live.
- 6.5 Implementation in new locations and existing locations is supported by global IATA network and the IATA e-freight Handbook, a comprehensive implementation guide available for download on the IATA e-freight homepage: [www.iata.org/e-freight](http://www.iata.org/e-freight).



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**APPENDIX 3 TO ANNEX 3-A: GUIDELINES ON TAX REFUND FOR TRAVELLERS**

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**1. INTRODUCTION**

1.1 In many countries travellers that are resident outside the customs/fiscal territory can buy goods for personal use with VAT exemption. Nowadays tourism is an important part of the national revenues and therefore the issue of tax refund is a very important for customs administrations that have particular interest in implementing efficient procedures for travellers getting tax-refund.

**2. LEGAL BASE**

2.1 European level (only for Member States of EU):

- VAT exemption based on articles 146.1 and 147 of the VAT Directive 2006/112/EC (OJ L 347/1, dated 28 November 2006).

2.2 National level:

- Provisions based on VAT code. For EU Member States, national legislation based on the EU Directive.
- Operational instructions issued by customs and tax administrations.

**3. GENERAL CONDITIONS**

3.1 The conditions for granting the exemption are in general the following:

- a) The goods must be part of the personal baggage of the travellers and bought for personal use (not for commercial purposes) or as gifts for relatives;
- b) The traveller is not a resident of the country where the goods are bought. When the purchase took place in the EU, the buyer must be a third country resident;
- c) The minimum value of the goods, including VAT, varies from country to country. In some countries, there is no minimum limit of value while in others it ranges from 135 euros to 250 euros. For the EU Member States the minimum limit of value is currently set at 175 euros, but Member States may apply a value of less than that amount. In most ECAC countries, a maximum value does not apply;

- d) Proof of export must be supplied by an invoice or another document stamped by the customs office of exit. In some countries, an additional export declaration is required;
  - e) The relevant goods must be exported in general within 30 days after the purchase date; in the EU Member States the goods are transported to a destination outside the Community before the end of the third month following that in which the supply is effected.
- 3.2 The proof of export is in general retained by the seller who directly applies for tax-refund. Specialised companies offer the travellers an immediate repayment of VAT charging a fee and carrying out all the necessary formalities.
- 3.3 Problems arise by the practical implementation of tax-refund procedure at the Customs office of exit and it is essential to solve them in order to offer a better service to travellers. An electronic data exchange between the seller and the customs office is recommended, if the seller and the customs office are both on the traveller's airport of exit.
- 3.4 ECAC Member States, in giving effect to tax-refund should implement clear and harmonized procedures in order to avoid any difficulty for the travellers. The following Guidelines are designed to help achieve the foresaid purposes and cast no obligations on ECAC Member States. They are merely examples of best practices that could be implemented by competent authorities of countries where tax-refund is applied.

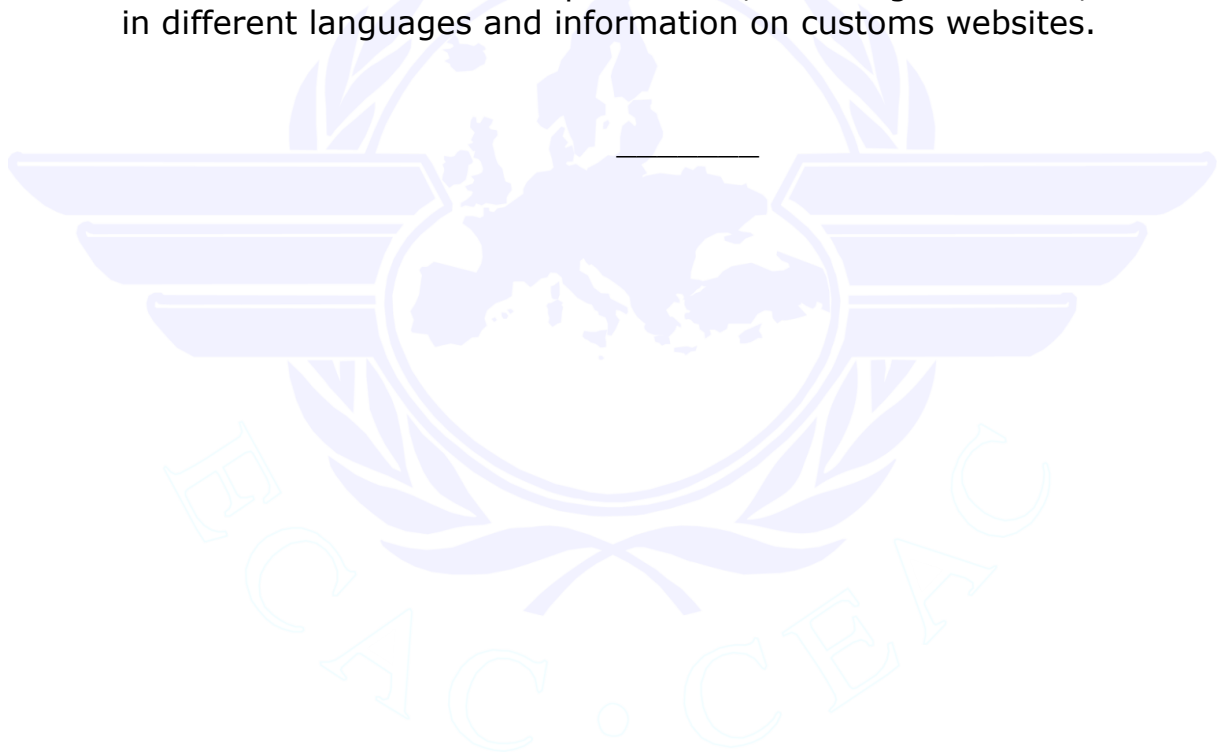
#### **4. CUSTOMS/FISCAL CONTROL OF PERSONAL BAGGAGE OF TRAVELLERS**

- 4.1 In order to facilitate the control of baggage, the competent authorities of ECAC Member States should take proper measures such as:
- Affixing the customs stamps on the invoice, other document or the export declaration, and
  - Restricting the further delivery of hold baggage to the check-in counters after the customs control, insuring that goods will leave the customs/fiscal territory.
- 4.2 It has been realised that queues can be formed by travellers waiting for customs visa and stamps. The competent authorities of ECAC Member States should take proper measures to enable the customs offices to refrain from carrying out control when the value (VAT included) of the goods does not exceed the sum of 500 Euros or equivalent value in national currency or carry out random checks. In

implementing controls for goods whose value exceeds the said sum the customs offices should avoid- as far as possible –making systematic controls but use risk management. In addition, ECAC Member States could also seek for cooperation with the specialised companies who offer immediate repayment in order to inform Customs about any irregularities noticed when they deal with the relevant documents and the goods concerned, presented by the traveller. Cooperation with the companies concerned could be concluded with a Memorandum of Understanding (MOU).

## **5. INFORMATION FOR TRAVELLERS**

- 5.1 The competent authorities of ECAC Member States should take proper measures to provide clear and complete information for travellers about tax-refund procedures, including brochures, leaflets in different languages and information on customs websites.



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**ANNEX 5-A: GUIDANCE LEAFLET FOR PERSONS WITH  
DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)  
WHO MAY BE INFREQUENT, OR FIRST TIME, FLYERS**

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**1. INTRODUCTION**

- 1.1 As a person with disabilities or a person with reduced mobility (PRM) you should be able to enjoy the same opportunities to travel by air as everyone else.
- 1.2 In EU Member States your rights are protected under Regulation (EC) No 1107/2006. This Regulation sets out the assistance that both the airport and the air carrier must provide and specifies that this assistance must be free of charge.
- 1.3 Most services you will need will be provided free of charge, e.g. assistance with boarding the aircraft. But it is worth making sure, when booking, that there will be no charges made.
- 1.4 Non-EU ECAC Member States should apply similar provisions as recommended by the European Civil Aviation Conference (ECAC).
- 1.5 To ensure all goes smoothly and your journey is as stress free and comfortable as possible there are some simple "points to follow":
  - a) Make sure you have all the information you need before finalising your travel plans
  - b) Be realistic about your own needs, particularly if you cannot walk long distances without help. The distances between the check in desks and the departure gates can be very long.
  - c) Check that the air carrier or tour operator is able to meet those needs.
  - d) Contact them to make sure they know, understand and can meet your particular needs.
  - e) Don't assume that help will be available "on demand". Pre-booking assistance with your air carrier at least 48 hours in advance is the best approach.
  - f) Don't assume that staff know the best way to lift or transfer you - if they don't ask, tell them! Even though, in all European states they should all have been trained in safe lifting, etc, it is always best to tell them what your particular needs and preferences are.

- 1.6 The airport managing body is responsible for assisting you through the airport and on and off the aircraft including, if needed, into your aircraft seat. The air carrier also has responsibilities to you as a passenger. Everyone must play their part to make the journey as comfortable and stress free as possible.
- 1.7 Under international agreements and EU law, compensation for lost or damaged personal baggage (which includes mobility equipment) is subject to limits that may not cover the true costs of replacement or repair. It is recommended that before you travel you should check the limit of your travel insurance and make sure your travel insurance provides cover for your mobility equipment. You may need to extend your insurance policy in this area.

## **2. GETTING THE INFORMATION YOU NEED**

### **2.1 ASSISTANCE**

- 2.1.1 There may be specialist organisations in your country who can advise you on the services offered by various airports and air carriers. They will generally be well experienced in dealing with persons with disabilities and PRMs and can offer informed advice on the services available. Some may also be able to make your travel arrangements direct.
- 2.1.2 Alternatively, you may want to use a particular travel agency, booking agent or air carrier special assistance staff. It is vital when you make your booking that you tell the agent or the air carrier about your particular travel needs so that they can be recorded as part of your booking. It is recommended that you should request written confirmation to ensure that they have recorded your requirements accurately.
- 2.1.3 However you choose to book your flight, you should inform your air carrier or tour operator of your needs 48 hours or more before you fly. This allows for notifications to be sent from the tour operator to the air carrier, and/or the air carrier to the airport managing body in advance of your arrival at the airport.

### **2.2 Your Needs**

- 2.2.1 Air carriers use an internationally recognised coding system to identify the level of assistance they will need to provide to particular persons with disabilities and PRMs. A copy of that list is attached.
- 2.2.2 The questions the agent (or through them, the air carrier) asks may seem intrusive, but they are necessary to ensure that you receive the type of service you need. The following are some examples of the questions you might be asked:



- What are your needs?
- Are you able to walk through the airport terminal to the aircraft, or will you require a wheelchair/buggy?
- If you require a wheelchair will you be using your own chair?
- Is the chair:
  - collapsible?
  - power operated?<sup>1</sup>
- How heavy is your chair and how big is it (width and length)?
- Do you need someone to push you in your wheelchair?
- Are you able to walk up and down aircraft steps, or will you require assistance boarding and disembarking?
- Can you transfer from a wheelchair unaided?
- Are you able to walk about inside the aircraft, or will you need to use an on-board wheelchair, if there is one?
- Do you need to know if there will be a toilet on the plane that is accessible to the on-board wheelchair?
- What assistance will you need, if any, during the flight? Please specify. The air carrier cannot assist with feeding, communicating, medicating and providing assistance inside the toilets. If you need help with those you will need to be accompanied.
- Some air carriers have cabin crew trained to lift you on an on-board wheelchair to go to the toilet. Other air carriers will not assist in lifting. Get the needed information before you book the flight.
- What type of seat suits you best?
- Are you taking any medical equipment with you?
- Are you asthmatic or do you have other breathing difficulties?

2.2.3 If you also have a serious medical condition, you must contact the air carrier and it may be necessary to provide a "Fitness to fly" certificate. You may be asked at the airport to confirm your fitness to fly.

## **2.3 Booking**

2.3.1 You will be able to have access to all types of ticket, e.g. economy, business, etc., but not all of those types of ticket may be able to

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<sup>1</sup> Not all aircraft can accommodate wheelchairs with batteries in the aircraft hold for safety reasons. It is very important to check before you travel.

offer the facilities you require. For example, if you need extra legroom an economy class seat may be unsuitable. You are strongly advised to make your reservation in advance where possible 7 days in advance, but at least 48 hours before you intend to travel. This should ensure that the assistance you need is made available. It may also save disappointment. Some air carriers limit the number of disabled passengers who can travel on any flight; limits are related to the size of the aircraft and the level of service required by the passenger. By booking early you can increase your chances of travelling when you want. Of course, if you need to cancel a reservation you should let the air carrier know as soon as practicable so that your seat is available for other PRMs.

- 2.3.2 Especially if you travel with an electric-powered wheelchair or with a service animal<sup>30</sup>, or you require medical oxygen equipment during travel, you should pre-notify at least 48 hours prior to departure, as opposed to informing on your arrival at the airport or at the check-in desk.

## **2.4 At the airport**

- 2.4.1 If your pre-planning has worked then all your needs should be met in accordance to your booking.
- 2.4.2 If you use a wheelchair, you need to be aware of what will happen to it during the flight.
- 2.4.3 It may be possible to store a manual, folding wheelchair in the passenger compartment if suitable accommodation is available.
- 2.4.4 It is more likely, however, that your wheelchair will be stowed in the luggage hold; this would certainly be the case for all powered wheelchairs.
- 2.4.5 In either case, airports and air carriers should allow you to remain in your own wheelchair until the door of the aircraft. They should also deliver your wheelchair at the aircraft door upon arrival at your destination, when practicable and possible. Air carriers and their ground handling companies should do their utmost to provide proper equipment to load and offload your heavy electric-powered wheelchair. Please ensure that you have pre-notified your electric-powered wheelchair.
- 2.4.6 You also need to be aware of security arrangements which apply to all passengers but may be particularly significant if you need to use mobility equipment or carry medication with you on the flight. All

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<sup>30</sup> In the ECAC/EU context, "service animals" refers exclusively to "recognised assistance dogs".

mobility equipment, including wheelchairs is subject to rigorous security checks. However, these checks should be done in a way that minimises inconvenience or stress.

- 2.4.7 You may also be subjected to a body search. If you would prefer to have this done in private because of the nature of your disability, you can ask to be taken to a separate screening area.
- 2.4.8 In some airports, you will be required to transfer to an airport wheelchair to pass through the scanning equipment so that your chair can be thoroughly checked. Searches may also be made of the content of your hand luggage. This should always be done with discretion and items should always be replaced in the same order.
- 2.4.9 There is currently a restriction on the carriage of liquids on-board aircraft to a maximum of 100 ml per container. However, you are allowed to carry essential medicines of more than 100ml in your hand baggage, but you will need prior approval from the air carrier and departure airport and supporting documentation (e.g. a letter from your doctor or a prescription).
- 2.4.10 Make sure you have any necessary medication in your hand baggage and check that you have packed enough to cover any delays to your flight or in case of a lost or delayed baggage.

## **2.5 On-board**

- 2.5.1 If you require the use of an on-board wheelchair then this should have been confirmed when you made your booking. You will not be able to use your own wheelchair on-board any flight because the aisles are too narrow to be able to move up and down. If you have a sensory impairment (e.g. Blind or Deaf), the air carrier staff should make themselves known to you and should offer the appropriate level of assistance during the flight. For example, they should explain the emergency procedures and they can assist with unpacking food<sup>31</sup>.
- 2.5.2 If you have breathing difficulties and require supplementary oxygen for the duration of the flight, the air carrier may provide supplementary oxygen. Some air carriers will make a charge for this service. Some air carriers will allow you to carry your own oxygen – you should always check with your air carrier beforehand. Air carriers are not required to carry oxygen for first aid purposes although many do. They are only required to carry oxygen for

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<sup>31</sup> Cabin crew are not obliged to provide assistance with eating, drinking or taking medication. Nor are they obliged to give assistance in the toilet or any other form of personal care, although cabin crew can help you get to the toilet if you need help with any of these activities, you should travel accompanied.

passenger use after a cabin depressurisation and in medical emergencies.

## **2.6 At the end of your Journey**

- 2.6.1 If the airport managing body and air carrier meets all your needs - in accordance with your booking - then your journey should be as comfortable as anyone else's. But if things do go wrong, it is worth notifying the problems promptly to the relevant bodies.
- 2.6.2 For flights within the European Union or provided by an EU airline, you should complain in the first instance to the managing body of the airport concerned or to the air carrier concerned, or to the tour operator if you do not know the air carrier. Remember the airport managing body is responsible for your journey through the airport including to and from your aircraft seat. Your air carrier is responsible to pass your assistance request to the airport managing bodies, transport your mobility equipment safely and carefully and your experience in-flight.
- 2.6.3 If you are not satisfied with the way your complaint is handled through these channels, you can complain to the National Enforcement Body for the country concerned. A list of contacts for such bodies in the European Union is published on the European Commission website<sup>32</sup>.
- 2.6.4 For airports and air carriers outside the EU you should follow the same procedure but you may not have the same level of legal redress. If you are not satisfied with the response you receive then you may want to consider taking it up with the aviation authority or the ministry of transport in your country.

## **2.7 Air carriers Codes**

- 2.7.1 Air carriers have defined codes to specify the condition and special needs of the passengers they carry. These codes, which are standardised, are essential for each operator (air carriers, airports) in the travel chain to organise the service needed. They are explained hereunder, for information purposes only. Selecting the appropriate code remains the sole responsibility of the air carrier.

**WCHR** Passenger who can walk up and down steps and move about in an aircraft cabin, but who requires a wheelchair or other means for movements between the aircraft and the terminal, in the terminal and between

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<sup>32</sup> [http://ec.europa.eu/transport/passengers/air/doc/prm/2006\\_1107\\_national\\_enforcement\\_bodies.pdf](http://ec.europa.eu/transport/passengers/air/doc/prm/2006_1107_national_enforcement_bodies.pdf)

arrival and departure points on the city side of the terminal.

- WCHS** Passenger who cannot walk up or down steps, but who can move about in an aircraft cabin and requires a wheelchair to move between the aircraft and the terminal, in the terminal and between arrival and departure points on the city side of the terminal.
- WCHC** This category covers a wide range of passengers. It includes those who are completely immobile, who can move about only with the help of a wheelchair or any other means and who requires assistance at all times from arrival at the airport to seating in the aircraft or, if necessary, in a special seat fitted to their specific needs, the process being inverted at arrival. This category also includes passengers with a disability only affecting the lower limbs who require assistance to embark and disembark and to move inside the aircraft cabin but who are otherwise self-sufficient and can move about independently in their own wheelchair at the airport. Specifying the level of autonomy at the time of booking will avoid the provision of inappropriate assistance.
- WCLB** This category covers passengers who use a wheelchair with a lithium ion battery. Wheelchairs with lithium ion battery will require advance notification and preparation. Weight and dimensions may be specified.
- DEAF** Passenger who is deaf or hard of hearing or a passenger who is deaf without speech.
- BLND** Blind or visually impaired passenger.
- DPNA** – “Disabled Passenger Needing Assistance” is the code for passengers with cognitive, neurological or (hidden) disabilities, as well as mental ailment. . This covers for example persons with learning difficulties, dementia, Alzheimer’s’ or Down’s syndrome, as well as persons with (hidden) disabilities resulting from Crohn’s disease, ulcerative colitis, also known as Inflammatory bowel disease (IBD) or people with stoma bags due to Ileostomy, Colostomy or Urostomy - who travel alone and will need assistance.
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**ANNEX 5-B: GUIDANCE MATERIAL FOR SECURITY STAFF – KEY POINTS FOR CHECKS OF PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

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**1. INTRODUCTION**

Disabled persons and persons with reduced mobility (PRMs) are not exempt from security checks, but it is important that such checks are carried out carefully and sensitively.

**2. GENERAL**

- Always be discreet
- Use plain clear speech, not jargon words
- Address the person directly and naturally
- Think carefully about the implications of any action you may take
- In all situations security clearance should be performed in a dignified manner
- Explain why a different screening method is necessary
- Always explain the procedures you are following
- Verify that all special needs are correctly identified
- Do not impose help

**3. SCREENING OF PERSONS**

- Be aware of the possibility of passengers with hidden disabilities, as these are not directly obvious.
- Check if a person wears a token, such as a lanyard or bracelet which indicates the person has a hidden disability.
- Are you able to recognise common medical aids and understand suitable methods to search them? Be aware that medical aids might also be hidden aids such as a stoma or a flash glucose monitor. Use firm but gentle movements. Be discreet, especially with (hidden) aids like a stoma or a flash glucose monitor on the body.

- Always offer a private search out of the view of other people. A sign of deviant behaviour might indicate discomfort, check if there is a hidden disability by asking the passenger about possible discomfort.
- Ask the person with disabilities or PRM how to best help them and listen carefully to their needs.
- Invite the PRM to voice any discomfort and be prepared to use another technique if necessary.
- When searching someone in a wheelchair, crouch down to talk to them at their height.
- Make sure that the person can stand on their own before you take away a stick, walking frame or crutches to search them.
- Arrange guidance for a blind person before taking away a white stick or the service animal.

#### **4. WHEELCHAIR SEARCH/ SERVICE ANIMALS<sup>33</sup>**

- Airport wheelchairs should be checked regularly
- Special search procedures should be applied to personal wheelchairs
- The harnesses worn by service animals may set off the alarm of the walk-through metal detector

#### **5. SCREENING OF BAGGAGE**

- The person may not be able to lift the bag on, or off, the conveyor of the x-ray machine
- The person may not be able to hear your cry of "Whose bag?" nor see their bag in order to identify it following security screening or search
- Always call for a witness when searching the bag of a blind person
- Re-pack bags carefully. It is important that the contents of a blind person's bag are replaced exactly as you found them
- Ensure all medication is carefully repacked
- Be discreet especially when handling medical aids and when you require additional information. Maintain the confidentiality of the information communicated by the

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<sup>33</sup> In the ECAC/EU context, "service animals" refers exclusively to "recognised assistance dogs".

person. Passengers may not even want those with whom they are travelling to be aware of medication or other personal matters.

- Be aware that medical aids could also be general aids, such as wipes, gloves or an extra set of (under) clothing
- Always remember the option of a private search
- Always remember that the security clearance should be performed in a dignified manner

## **6. NOTE**

6.1 Remember, it is important to be thorough but applying the procedure does not prevent you from acting with care and sensitivity as long as the job gets done to the necessary standard.

## **7. GENERAL PRINCIPLES**

### **○ DIGNITY**

Remember to focus on the person, not the disability. All passengers should be treated with respect.

### **○ AWARENESS**

Beware of hidden disabilities, not all of them are obvious. For example, some passengers may be deaf or hard of hearing, and others may have learning hidden physical disabilities.

Always speak clearly and look directly at the passenger. Keep the language simple and direct - this will help people with learning disabilities and others who may not have a good command of your language.

Ask how you can assist and LISTEN to the advice which is offered. Persons with disabilities and PRMs are best placed to advice on how to deal with their particular needs.

### **○ SENSITIVITY**

Some people will find it impossible to lift their arms or move in a particular way. Once you have established what they can do be prepared to listen to their comments during the procedure and act upon them. A badly handled search can lead to pain for hours or maybe days afterwards.

After baggage searches remember to replace the contents of blind people's bags in the order you found them.

### **○ DISCRETION**



Remember that there are private rooms available for searches.

When handling personal possessions, particularly those relating to hygiene or other disability needs, be discrete.

***Reverse side of leaflet:***

*Persons with disabilities and PRMs should be subject to security screening in the same way as other passengers. But while it is important to be thorough when searching PRMs, applying the procedure does not prevent you from acting with care and sensitivity, as long as the search is carried out to the necessary standard.*

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**ANNEX 5-C: CODE OF GOOD CONDUCT IN DELIVERING ASSISTANCE ON THE GROUND FOR PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

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**1. DEFINITIONS**

- 1.1 For the purposes of this document, the following definitions should be applied unless otherwise indicated.
- **'Person with disabilities' or 'person with reduced mobility'** means any person whose mobility when using transport is reduced due to any physical disability (sensory or locomotor, permanent or temporary), intellectual disability or impairment, or any other cause of disability, or age, and whose situation needs appropriate attention and the adaptation to his or her particular needs of the service made available to all passengers;  
This definition does not include people who are sick and who need, for example, to travel on a stretcher or to receive in flight medical attention.

**2. INTRODUCTION**

- 2.1 Persons with disabilities make up a significant and growing percentage of the world's population and constitute the world's largest minority. The World Health Organisation (WHO) reports that this number is increasing through population growth, medical advances and the ageing process.
- 2.2 The following specification provides guidance on the general nature and scope of the special assistance services to be provided and delivered at an airport in accordance with local, national & European legislation in order to ensure professional and seamless services to persons with disabilities and PRMs.
- 2.3 Airport managing bodies should work in partnership with all other operators, including air carriers and Ground Handling Companies, at a local level to organise special assistance for persons with disabilities and PRMs. Arrangements for the provision of special assistance should be in accordance with the Regulation (EC) No 1107/2006 and persons with disabilities and PRMs should not be charged directly for the assistance they require. This does not apply to commercial medical services.
- 2.4 Persons with disabilities and PRMs have the same rights as other citizens to freedom of movement and freedom of choice. This applies to air travel as to all other areas in life.

- 2.5 Discrimination towards persons with disabilities and PRMs in air travel should be prohibited. Persons with disabilities and PRMs should not be refused booking or carriage due to their disability. Persons with disabilities and PRMs should not be charged directly for the assistance they require.

### **3. STRATEGY FOR SPECIAL ASSISTANCE SERVICES**

- 3.1 Airport Managing Bodies and air carriers should work in partnership to review and develop the way that special assistance services for persons with disabilities and PRMs are organised in order to support the principle of a professional and seamless service set out in the introduction.

- 3.2 Key strategies:

- The service should be delivered in a harmonised, transparent, non-discriminatory way in accordance with the Regulation (EC) No 1107/2006. The same procedures should be adopted in ECAC Member States outside the European Union.
- To improve levels of customer service and safety to persons with disabilities and PRMs, through a seamless service from quality suppliers, implemented with quality staff, equipment and a quality organisational structure, operating to meet and exceed prescribed customer service and safety standards.

### **4. SCOPE**

- 4.1 The services to be provided should include:

- A booking service that enables the person with disabilities or PRM to notify his/her specific needs, and that ensures that these needs are recorded in the reservation system, for notification to all concerned entities in the travel chain.
- A pre-booking service, utilising all aspects of all common and modern media (Web sites, e-mail, telephone text etc., both nationally and locally, for all those persons with disabilities and PRMs requiring assistance on departure and arrival).
- Assistance from a designated point of set down at the airport to check-in.
- Assistance with registration at check-in and with security processes.
- Assistance in proceeding to the gate at the correct time for pre-boarding.
- Assistance in boarding and disembarking, including the provision of a suitable service for passengers who require special access

to/from the aircraft (in accordance with local or national regulatory requirements).

- Assistance in the retrieval of baggage, and with immigration, including Automated Border Control facilities where applicable, and customs processes.
- Assistance from/to connecting flights both for landside and airside, inter and intra terminal connections.
- Assistance up to the designated point of onward travel.
- Enabling the customer to reach the toilets as well as other airport facilities as requested and reasonable, subject to sufficient time being available.
- Providing a wheelchair only service (non-assisted) if requested by passengers.

*Note: The Airport Managing Body or the Assistance Provider may ask for a confirmation of the request.*

- Adequate assistance in case of (long) delays and/or cancellation of flights (covering the momentary needs of the disabled person or PRM).

## **5. OPERATING PRINCIPLES**

5.1 International Standards and Recommended Practices regarding the facilitation of air transport of persons with disabilities and PRMs are set out in ICAO Annex 9<sup>34</sup>, Chapter 8. The "Manual on Access to Air Transport by Persons with Disabilities" (ICAO Doc 9984)<sup>35</sup> consolidates general principles regarding the facilitation of the transport of persons with disabilities and PRMs.

5.2 The following principles should be reflected in the operation:

- Operating in accordance with the provisions lay down within the Regulation (EC) No 1107/2006. Guidance on the application of Regulation (EC) No 1107/2006 is provided in the Interpretative Guidelines issued in June 2012.
- Airports managing bodies are responsible under that Regulation (article 8) for providing assistance to persons with disabilities and PRMs.
- The airport should not charge the PRM directly. In any case, the service delivered should be in accordance, as a minimum, with the standards set out in Annex 1 of the Regulation and those are in accordance with ECAC Doc 30, Part I.

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<sup>34</sup> ICAO Annex 9, 13<sup>th</sup> Edition, Amendment 24<sup>th</sup>, July 2014

<sup>35</sup> Manual on Access to Air Transport by Persons with Disabilities, 1<sup>st</sup> Edition - 2013

- 'Handover' procedures should be avoided where possible. Where they cannot be avoided, procedures must be in place to ensure that there is continuity of service and that the passenger is not forgotten or left for too long.
- Seamless service should be provided where applicable.
- An effective system of prioritising, scheduling and achieving timely assistance should be achieved.
- Clear guidelines for the customer in order that they understand the provisions of the services should be available, including in an easy-to-read version taking into account the needs of persons with different kinds of disabilities.
- Waiting/meeting areas at strategic points within individual airports should be provided in a suitable manner.
- Where buggies are used, they should be organised and managed in a way that maximises their efficient utilisation.
- The efficiency of the operation, ensuring that the most effective processes for redeploying staff and equipment are utilised, should continually be reviewed and improved.
- Training programmes, based on the recommendations laid down within ECAC Doc 30, Part I, appropriate to meet local regulations or national legislation, should be developed in partnership with representative disability organisations (see service level).
- All necessary equipment used to provide assistance to PRMs that should comply with local & national legislation and also local airport requirements including national security regulations should be kept in readiness and provided by the service provider.
- Airports in EU Member States must allow blind and other passengers who use them to be escorted by their recognised assistance dogs inside the terminals throughout their stay. The same policy should be adopted in all ECAC Member States.

## **6. OPERATING HOURS AND LOCATIONS**

- 6.1 The suppliers should operate the required service during operational hours in landside, terminal and airside areas according to local requirements, including extended hours when necessitated by ad hoc or disrupted flights.
- 6.2 Set down and pick up points will include forecourts, public car parks, taxi ranks, coach and rail stations or other interchanges (where these exist within airport boundaries). Under EU Regulation (EC) No 1107/2006 these points must be agreed at each airport in consultation with organisations representing disabled persons.

6.3 Non-EU ECAC Member States should apply similar provisions as recommended by ECAC.

## **7. SERVICE STANDARDS AND PERFORMANCE MONITORING**

7.1 All customers should be satisfied with the assistance provided.

7.2 At airports serving more than 150 000 passengers per year standards should be developed in partnership with recognised national and European forums of persons with disabilities and mutually agreed by the Airport Users Committee where one exists.

7.3 Under Regulation (EC) No 1107/2006, quality standards need to be published. This should also apply in non-EU ECAC Member States.

7.4 Service level targets and standards should be included in the service level agreement.

7.5 The following standards represent the minimum levels of service to be applied to the handling of persons with disabilities and PRMs. They are subject to adjustments agreed on by the local Airport Users Committee where one exists and following consultation with local access/disability groups whose membership would include users of the airport, and all other stakeholders in accordance with the size of airport and the type of traffic concerned. PRMs and disabled persons should always receive assistance as soon as possible.

### **- For Pre-Notified Departing Customers**

Upon arrival at a designated point<sup>36</sup> at the airport, once they have made themselves known:

- 80% of customers should wait no longer than 10 minutes for assistance
- 90% should wait for no longer than 20 minutes
- 100% should wait for no longer than 30 minutes.

### **- For Non Pre-Notified Departing Customers**

Upon arrival at the airport, once they have made themselves known:

- 80% of customers should wait no longer than 25 minutes
- 90% should wait no longer than 35 minutes
- 100% should wait no longer than 45 minutes.

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<sup>36</sup> According to the designation process described in point 5.6 in ECAC Doc 30, Part I and in Article 5.1 in Regulation (EC) 1107/2006.

*Note: Waiting times over 15 minutes are subject to availability of waiting areas as referred to in 5.2.*

*Note: Subject to pre-notification, 100% of departing customers who are at the designated point and/or check-in counter within the stipulated time must reach their aircraft in time to enable timely pre-boarding and departure.*

- **For Pre-Notified Arriving Customers**

Assistance should be available at the gate-room/aircraft side for:

- 80% of customers within 5 minutes of "on chocks"
- 90% within 10 minutes
- 100% within 20 minutes.

- **For Non Pre-Notified Arriving Customers**

Assistance should be available at the gate-room / aircraft side for:

- 80% of customers within 25 minutes of "on chocks"
- 90% within 35 minutes
- 100% within 45 minutes.

## **8. TRAINING**

- 8.1 Regular training for all staff in the chain of the air travel service is vital for providing quality service to persons with disabilities and PRMs in a consistent and respectful manner. It is essential that staff know their responsibilities and is able to perform them. Training should address the attitudinal, environmental/physical and organisational barriers that affect persons with disabilities and PRMs in air transportation.
- 8.2 Training should prepare staff to provide assistance to persons with disabilities and PRMs in a manner that respects their dignity, and as a professional service to which the person is entitled, rather than as a favour or compassionate gesture.
- 8.3 To deliver at least the minimum standards as defined in ECAC Doc 30, Part I, training should be provided to airport and aircraft operator personnel, including contracted personnel, who provide assistance to the travelling public, including persons with disabilities.
- 8.4 Training should respect the principles set out in Annex 5-G and Training Courses should be developed in partnership with recognised national and European forums of people with disabilities.

## **9. PERFORMANCE & QUALITY MONITORING**

- 9.1 There will be regular reviews to monitor the service provider performance against these standards and to continually improve performance-monitoring systems. Performance against some or all of the standards should be used to publicise the services provided and these could also be included within any future passenger charter.
- 9.2 It is recommended that airport managing bodies undertake regular passenger surveys of PRMs. This will give airports a more complete assessment of the quality of the assistance provided to PRMs, particularly in areas such as staff attitudes, behaviours and customer service skills. Suppliers should be expected to introduce their own performance monitoring systems and to provide reasonable data as required by the airport community.

## **10. PROMOTING AWARENESS**

- 10.1 The airport operator will be expected to provide useful information to the public and other airport organisations promoting awareness of the special assistance services or arrangements available.
- 10.2 They should also emphasise the importance of pre-booking and exploit the growing use of the Internet ensuring that information provided is in all accessible formats.
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**ANNEX 5-D: GUIDELINES ON DELIVERING ASSISTANCE ON THE GROUND FOR PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

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**1. INTRODUCTION**

1.1 All ECAC Member States should, and EU Member States must under Regulation (EC) No 1107/2006, ensure that the necessary measures are put into place at airports for "seamless" assistance to be provided to persons with disabilities and persons with reduced mobility (PRMs) by staff trained and qualified to meet their needs.

1.2 Particular attention should be given to raising staff awareness of the specific needs of different groups of persons with disabilities - physical, sensory (hearing and visual), hidden, or cognitive. The utmost consideration should be given to ensuring that persons with disabilities and PRMs are treated with respect and dignity and that they are able to maintain their independence.

1.3 Assistance should be available from the designated points of arrival at the airport to the point at which the person with disabilities or PRM is seated on-board the aircraft and vice versa. Appropriate

equipment to assist the person with disabilities or PRM should be available and provided when necessary. In the EU Member States service providers are required under Regulation (EC) No 1107/2006 to provide such equipment. Non-EU ECAC Member States should apply similar provisions as recommended by the European Civil Aviation Conference (ECAC).

1.4 Organisations representing different groups of people with disabilities should be consulted in the development of training programmes, policies and procedures.

1.5 Detailed guidelines are provided below.

## **2. MINIMUM STANDARDS OF SERVICES**

### **2.1. Scope of services**

2.1.1. The services to which this section applies should include assistance and provisions as outlined in "**Annex 5-C**, section 4 Scope" of this Document. The scope of services should also include:

- a) appropriate assistance in locating facilities, including (but not limited to) toilets, baggage delivery, money exchange, connecting modes of transport, arrival meeting points, telephone or other accessible means of communication;
- b) appropriate assistance with transporting luggage to and from the designated set down points of the airport.

### **2.2. Quality of service**

#### **2.2.2 Minimum Service Requirements**

2.2.2.1 The requirements, to be followed by the provider of assistance to persons with disabilities and PRMs, should be agreed following consultation with stakeholders including organisations of persons with disabilities and PRMs, airlines, and the airport authority.

2.2.2.2 This consultation will also determine the designated arrival and set down points for persons with disabilities and PRMs.

2.2.2.3 These requirements should form the basis of Service Level Agreements (SLA)

#### **2.2.3 Standard Operating Procedures and Protocol**

2.2.3.1 Service providers should have Standard Operating Procedures (SOPs), including normal, contingency and emergency procedures laid down in a Protocol.

## **2.2.4 Conditions**

2.2.4.1 In addition to **Annex 5-C**, special attention should be given to the following:

- a) Staff at the airport have a responsibility to ask each PRM about the most appropriate way to assist them (e.g. how do they like to be guided or escorted, what causes them pain or discomfort etc).
- b) Lifting a passenger with a physical disability from one wheelchair to another and from or into an aircraft seat should always be carried out by two staff members. The transfer should be performed with the greatest consideration for the dignity, safety and comfort of the PRM.
- c) Under normal circumstances staff assisting a person with a physical disability should never manually carry him/her in order to provide boarding or deplaning assistance. The only circumstance in which manual lifting could be considered is in aircraft with 19 seats or fewer where no alternative is available because of lack of space. In this case, health and safety and manual handling issues must have been fully considered.
- d) The service provider should not leave a passenger with a disability unattended for more than 30 minutes, unless otherwise agreed with that passenger.

## **2.2.5 Complaints Handling**

2.2.5.1 Service providers must designate staff, who are specially trained and whose responsibility is to investigate and resolve complaints and disagreements.

## **2.3. Equipment**

2.3.1. For optimal assistance, the following specifications are recommended. However, they are not intended to be exclusive or restrictive or to inhibit the development of new designs:

- a) **Wheelchairs** (preferably of the non-folding type and capable of being self-propelled) with a rigid seat, high backrest, detachable armrests, adjustable leg-rests, movable footrests and an adequate brake.
- b) **Boarding wheelchairs**, which would be used to transport PRMs to and from their seat in the aircraft. These should be provided with folding armrests, a solid seat and back-support, an adequate braking system and safety belts.

- c) **Mini-carts/buggies** (electrically powered carts) to transport PRMs in the airport building where required by the airport layout. Use of these vehicles has to be in accordance with airport authority regulations.
- d) **Accessible vehicle(s)** to transport PRMs between terminals and between a terminal building and remote aircraft stands where other passengers are transported by bus. If the buses provided for other passengers are not accessible to PRMs (wheelchair users), specialised vehicles should be provided which are available on the same basis. Unless they are low floor vehicles on which wheelchair securing is not required, the vehicles must be equipped with a system that securely locks wheelchairs into place and fitted with passenger restraint systems, in accordance with the standards for such a system in the given country. They must also be equipped with a boarding device - ramp or lift - to enable the PRM (wheelchair users) to board and alight from the bus. The vehicles must be designed for the transport of persons.
- e) **Lifting vehicle(s)** capable of taking a PRM/wheelchair user up to the threshold of the aircraft door when the aircraft is on a remote stand. These vehicles should adhere to all existing standards and regulations on safety.

2.3.2. Such equipment should only be used for those persons with disabilities or PRMs who need it.

2.3.3. Equipment used for the assistance of PRM passengers should undergo regular safety inspections and maintenance. Maintenance records should be kept up-to-date at all times.

### **3. STAFF TRAINING**

3.1. The training principles listed below are by no means exhaustive. These lists only the basic essential principles and should, in time, be supplemented by a detailed training manual. The training must be tailored to the employee's functions. Further guidelines on training matters are provided in **Annex 5-G** "Training".

3.2. Organisations representing different groups of people with disabilities should be consulted in the development of training programmes.

#### **3.1 Training of staff who deal directly with the travelling public**

3.1.1 All airport and air carrier personnel who deal directly with the travelling public, including security personnel, guards and porters, should be trained to be made aware of and, where appropriate, be able to meet the needs of PRMs.

3.1.2 All new recruits should be given disability-related training when starting work. Staff should receive refresher training at least every two years and attendance at the training should be recorded.

3.1.3 This training should be focused on disability awareness training, including training on:

- a) awareness and appropriate responses to passengers with physical, sensory (hearing and visual), hidden or learning disabilities, including how to distinguish between the different abilities of individuals whose mobility, orientation, or communication may be reduced;
- b) barriers faced by persons with disabilities and PRMs, covering attitudinal, environmental/physical and organisational barriers;
- c) service animals, including the role and the needs of a service animal;
- d) dealing with unexpected occurrences;
- e) interpersonal skills and methods of communication with deaf and hearing-impaired people, visually impaired people, speech impaired people and people with a learning disability;
- f) general awareness of ECAC recommendations, IATA guidelines and EU legislation on air passenger rights including ECAC Doc 30, Part I, Section 5 and its relevant Annexes including this one;
- g) how to handle wheelchairs and other mobility aids carefully to avoid damage, (for all staff who are responsible for baggage handling).

### **3.2 Training of staff assisting persons with disabilities and persons with reduced mobility (PRMs)**

3.2.1 All staff assisting persons with disabilities and PRMs, including new recruits, should be given disability-related training when starting work. The training should be theoretical, as well as practical. With for example role-plays on how to assist all the specific categories of passengers and their situations. On a yearly basis, as an absolute minimum, staff should receive refresher training sessions on assisting persons with disabilities and PRMs. Attendance at the training sessions should be recorded in each staff member's personnel file.

3.2.2 In addition to the areas of training listed in Section 2.1 above, all staff assisting persons with disabilities and PRMs at an airport should also be capable of distinguishing between different types of disabilities (and the corresponding IATA code) and should have knowledge of the most appropriate form of assistance for each,

including:

- a) How to help wheelchair users make transfers into and out of a wheelchair;
- b) Skills for assisting persons with disabilities and PRMs travelling with a service animal<sup>37</sup>, including the role and the needs of those service animals;
- c) Skills and awareness for assisting persons with different types of hidden disabilities;
- d) Techniques for escorting blind and partially-sighted passengers and for the handling and carriage of guide dogs and other service animals;
- e) An understanding of the types of equipment which can assist persons with disabilities and PRMs and knowledge of how to handle such equipment;
- f) The use of the boarding and deplaning assistance equipment used and knowledge of the appropriate boarding and deplaning assistance procedures that safeguard the safety and dignity of persons with disabilities and PRMs;
- g) Sufficient understanding of the need for reliable and professional assistance. Also, awareness of the potential for certain disabled passengers to experience feelings of vulnerability during travel, because of their total dependence on the assistance provided.
- h) First aid.

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<sup>37</sup> In the ECAC/EU context, "service animals" refers exclusively to "recognised assistance dogs".

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**ANNEX 5-E: GUIDELINES ON AWARENESS AND DISABILITY  
EQUALITY FOR ALL AIRPORT AND AIR CARRIER PERSONNEL  
DEALING WITH THE TRAVELLING PUBLIC**

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**1. INTRODUCTION**

- 1.1 Disability-equality and disability-awareness training for air carrier and airport personnel is crucial in order to ensure that passengers with disabilities receive the assistance they may need and that they are treated with respect. This training is required in all EU Member States under Regulation (EC) No 1107/2006 at Article 11.
- 1.2 All ECAC Member States are recommended to apply the same provisions (see paragraph 5.12.1 at Section 5 in ECAC Doc 30, Part I).
- 1.3 Personnel, who understand disability and its diversity, and the types of barriers that persons with disabilities and PRMs experience in society, will be better able to provide a high-quality service that respects the safety, independence and dignity of each passenger.
- 1.4 These guidelines are intended to be a source of information to identify best practice for personnel employed in the air passenger transport industry dealing directly with the travelling public. They focus mainly on the attitudinal barriers that disabled people are facing in air travel, and they offer solutions to some of those.
- 1.5 These guidelines need to be complemented with general information on ECAC recommendations, ICAO Doc 9984, IATA guidance and relevant EU legislation in order to acquire comprehensive knowledge on the rights of disabled air passengers and how to best assist those passengers.
- 1.6 Training must cover the full range of disabilities. These guidelines provide information on how best to interact with and assist people with varying special needs. Training should be provided to all employees dealing with the general public, including refresher training when appropriate. Passenger feedback should be constantly analysed and any necessary improvements fed into training programmes. The most important thing to remember when interacting and assisting persons with disabilities and PRMs is to be respectful - what counts is to provide a high-quality customer service, rather than necessarily to follow these guidelines word for word.

## 2. GENERAL DISABILITY AWARENESS

- 2.1 Persons with disabilities and PRMs make up a significant percentage<sup>38</sup> of the population in Europe. Disabled people have the same right to non-discrimination and equal treatment as all other citizens and have the right to participate fully in all aspects of life, including air travel.
- 2.2 Persons with disabilities and PRMs are just like everybody else. It is important to remember that a person may have a disability, but the person himself or herself is not the disability. Therefore, the first thing to remember when interacting with a disabled person is to *focus on the person instead of the disability*.
- 2.3 Persons with disabilities and PRMs are a diverse group. They include people with reduced mobility, people who are blind or partially sighted, deaf or hard of hearing, people who have a learning difficulty or people with a mental health problem. There are also many people who have an invisible disability or a chronic/long term illness or some impairment (e.g. speech impairment). This covers for example persons with learning difficulties, dementia, Alzheimer's or Down's syndrome, as well as persons with (hidden) physical disabilities resulting from Crohn's disease, ulcerative colitis, also known as Inflammatory bowel disease (IBD) or people with stoma bags due to Ileostomy, Colostomy or Urostomy. Other people have a combination of two or more types of disabilities. It is important to recognize this diversity and that someone's difficulty in using air travel will vary according to how the environment accommodates their disability.
- 2.4 When you are communicating with persons with disabilities, it is important to communicate directly with the person, whenever possible, and not via a personal assistant, a sign language interpreter or any other accompanying person or assistant. It is important to respect a person's privacy when giving assistance.
- 2.5 Remember that the specific needs of an individual passenger with a disability are not always visible and may not be fully covered by a code, such as IATA's classification on disability. When appropriate, you should therefore encourage the person with disabilities to explain about his or her individual needs for assistance when travelling by air as to give appropriate assistance. The majority of disabled people are experts in their own needs and are familiar with this procedure. Do not presume or impose anything the passenger refuses or hesitates to, as this might cause unexpected behaviour with passengers with learning difficulties or mental health disabilities.
- 2.6 When we meet people who are different from what we are used to,

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<sup>38</sup> According to the EC in 2010 some 15% of Europe's population had some form of disability.



we feel unsure about how to react and think. The attitude we have to life, to ourselves and our surroundings, influences our behaviour. If we are able to change our attitude we are able to change our behaviour.

- 2.7 Research studies show that non-verbal communication has a significant impact on how people feel they are being treated. Spoken words are only a part of the experience that the passenger will have when interacting with you.

### **3. PROVIDING ASSISTANCE TO PERSONS WITH DISABILITIES AND PRMs IN AIR TRANSPORT**

- 3.1 In order to allow persons with disabilities and PRMs to enjoy a "seamless" air travel experience in the same way as able-bodied passengers, your assistance may be needed. Seamlessness is a concept that aims at providing a comfortable, safe and uninterrupted journey, with the provision of assistance that is adapted to the needs of each individual.
- 3.2 Most persons with disabilities and PRMs, irrespective of their disability, are capable of acting for themselves and/or travelling on their own. Asking for, or receiving, practical assistance from you means that your action can enable the person to retain his or her independence. Always ask the person if he or she needs the assistance and what kind of assistance he or she actually needs in connection with travelling by air in order to understand their capabilities. Bear in mind that the disabled person might have experienced similar situations before.
- 3.3 Remember that information about a person's disability is personal. Some passengers are also reluctant to explain their needs in detail and this should be respected. Seek feedback from the person with disabilities and PRM to ensure that you are providing appropriate assistance.
- 3.4 Think of your assistance to a person with disabilities and PRM as providing professional service, to which the person is entitled, and avoid giving the impression that you are acting out of compassion or that you are doing them a favour. This could for example be done by avoiding giving the person with a disability special treatment or attention apart from what is needed due to the disability.
- 3.5 Remember that some people might not be familiar with a particular airport and/or language and might therefore have difficulty in knowing what their needs are at that airport. Your support and knowledge or advice is needed and appreciated in such cases.
- 3.6 Remember also that unexpected occurrences – late gate change,

delayed flights, emergency evacuations of an aircraft or of an airport etc – are already stressful for the non-disabled passenger, but are often particularly difficult for persons with disabilities and PRMs. Be prepared to respond to the individual needs of persons with disabilities and PRMs in these situations.

- 3.7 An understanding of the different barriers that persons with disabilities and PRMs face will enable you to provide assistance that better meets the needs of the passenger.
- 3.8 There are different kinds of barriers and these barriers affect people with different types of disabilities in different ways. You will find some examples of barriers for people with specific impairments in the following section. However, this is not an exhaustive list and is given only as a guide to the challenges you may face.
- 3.9 Common for all is the *attitudinal barrier*, which is perhaps the most difficult obstacle for persons with disabilities to overcome. A person is not equal unless you treat him or her as an equal. Negative attitudes towards persons with disabilities exist everywhere, starting at a very early stage in life. Ask the person how he/she wishes to receive the service. Do not assume all persons with disabilities need the same assistance. Avoid presuming the person with a disability needs a special treatment or attention apart from what is needed due to the disability.

#### **4. THE DIVERSITY OF DISABILITY**

- 4.1 As persons with disabilities and PRMs form a heterogeneous group, the specific assistance needs will vary considerably from one individual to the other. In this section, you will however find some basic information about the needs of people with some common types of impairment. Keep in mind that you are dealing with individuals and that these guidelines may not always be appropriate. Also, health and safety requirements may in a limited number of cases oblige you to avoid giving a certain kind of assistance to an individual.

##### **4.2 *Wheelchair users***

- 4.2.1 Wheelchairs can be manual or electric and have various functions and dimensions. Wheelchair users rely on their chairs, which are often adapted to their individual needs. The wheelchair is the most vital part of the independence and dignity of the user. Therefore, it is important to let the person stay in his or her individually adapted chair as long as possible during the journey. As an example, in order to be able to use an accessible toilet before the departure of the flight, many wheelchair users depend on their own chair. Be aware

that the vast majority of wheelchair users are unable to use the small toilets which are provided in aircraft.

#### 4.2.2 Useful hints:

- Look directly at the wheelchair user. For long conversations, kneel down to the height of the wheelchair user or bring a chair in order to allow for a more comfortable conversation.
- Do not lose eye contact when standing up.
- If the height of a check-in or ticket office desk is not adapted to the needs of wheelchair users, think about coming around to their side of the desk.
- Offer to help opening heavy doors or picking up things that might have fallen on the floor. Ask if the person wants help with luggage or to reach anything that is at a non-accessible level.
- Do not lean on or push the wheelchair without asking first.
- Do not position the wheelchair so that the person is facing a wall or other obstruction.

Be aware that the design of the airport infrastructure or the aircraft may prevent wheelchair users from moving around independently. This is the case for example if there are steps in the airport environment or if a ramp is too steep.

### 4.3 ***People with walking difficulties***

4.3.1 Many people with walking difficulties use walking aids, like sticks, crutches or walking frames, but some will not use any aids at all.

4.3.2 Some PRMs prefer to sit down. Others prefer to stand because of pain when sitting or difficulties to get up from the seated position.

#### 4.3.3 Useful hints:

- Whenever possible, offer a seat.
- Offer help with coats, bags or other belongings.
- Offer to open heavy doors, to pick up items that might have fallen on the floor etc.
- People who have walking aids may find it difficult to use their hands when they stand up.
- Many diseases cause pain that can severely limit mobility. They can make holding and grabbing difficult or impossible. Weakness in limbs makes it difficult to move and maintain balance.

- People with amputated limbs, arthritis etc may have an increased sensitivity to touch and also to pain. The pain may increase in hot or cold conditions. Unskilled assistance may also hurt. Therefore, always ask prior to doing anything.
- Be aware that many people with walking difficulty will prefer to use a lift, where available, rather than an escalator or steps. Walking long distances at the airport can also be difficult or impossible.

#### 4.4 ***People who are deaf or hard of hearing***

4.4.1 Some people are deaf. Very many people are hard of hearing. This is an invisible disability.

4.4.2 People who have been deaf since birth or childhood often use sign language as their mother tongue. Those people normally rely on visual communication modes. Sometimes their literacy skills may have been affected – it is difficult to learn to write and read a language which you have never heard spoken, and, in addition, is not your mother tongue. Sign language is completely different from a spoken language and has its own grammar, lexicon and idioms. Spoken language is therefore for many deaf people their second or even third language.

People who have become deafened at a later stage in life more often use lip or speech reading, written messages or basic signs when communicating. Those people have developed and used the spoken language.

4.4.3 People who are hard-of-hearing often use a hearing aid and/or use lip or speech reading. A hearing aid can also be used together with other listening devices such as induction loop and desk loop.

4.4.4 Some people who are deaf or hard of hearing use service animals.

4.4.5 Useful hints:

- The best thing is to ask how an individual prefers to communicate rather than guessing.
- People with a slight hearing loss can often manage without a hearing aid, but they are dependent on certain conditions for communication: good acoustics, no background noise, good lighting and clear speech. However, it may not always be possible to ensure such conditions in an airport environment.
- People who have a severe hearing loss and those who have lost their hearing as adults can benefit from supportive signs and information in written form if such information is available.

Other kinds of visual information might also be useful in some cases.

- You may need to attract the attention of a person who has reduced hearing by lightly touching his or her shoulder or indicating with your hand.
- Do not shout when speaking, but use a normal speaking tone. This is important as it is more difficult to lip-read when a person is shouting, nor does it make the message clearer, just louder. Speak rather slowly, looking at the person, and use other words if the person has difficulties understanding what you mean. Use signs and body movements to make yourself understood.
- Face the light and keep your hands away from your mouth.
- You can also write down shorter messages if this makes the conversation easier.
- Deaf people and people who are hard of hearing need the same range of information as all other passengers.
- Be aware that people who are hard of hearing will have difficulties if important information is only communicated by audible means or if there are no induction loops at the main facilities of the airport. In the same way, a person who is hard-of-hearing will have difficulties following important video information on-board, such as safety information, if there is no subtitling and/or sign language interpretation.

#### 4.5 ***People who are blind or partially sighted***

- 4.5.1 Persons with a visual impairment may be totally blind or partially sighted. They might need guiding and assistance for orientation purposes, including directions to important services. Although people who are partially sighted may have some useful vision, they may still need help to find their way.
- 4.5.2 Many, but not all, people who are blind or partially sighted use a mobility aid, mainly a white cane or service animal. The mobility aid is also a distinctive symbol that a person is blind or partially sighted. Some partially sighted people use special glasses rather than having a mobility aid.
- 4.5.3 Most blind or partially sighted people need to be guided in airports, from the point of arrival in the airport to their seats on-board an aircraft as well as from the aircraft seat to the point of departure from the airport.
- 4.5.4 People who are blind or partially sighted may have problems with orientation, but not with mobility as such. Assistance given to them should be geared to their specific needs, for example a wheelchair would not be appropriate, unless a person specifically asks for one.

#### 4.5.5 Useful hints:

- When addressing a person who is blind or partially sighted, introduce yourself by explaining your position and speak to him or her directly. Say if you are leaving - otherwise he or she could find himself or herself talking to an empty space.
- Always ask a person who is blind or partially sighted if he or she wants help. Some may not need any assistance. Never grab someone and take charge.
- Always ask a person who is blind or partially sighted how he or she would like to be guided. Some people may prefer to take your arm or may feel more comfortable if you take theirs. Some people, in particular those with partial sight, may only need oral guidance.
- A service animal in harness is a working animal and should never be distracted. Do not feed or tend to a service animal without first asking the owner if he or she minds. If a person has a service animal you should approach him or her from the side opposite the animal. Do not take hold of the harness or lead as the person with sight loss needs these to control the animal. Some service animal owners prefer to walk at your side without holding your arm. In some situations you can also walk in front – the animal will follow you.
- Warn about changes in ground surface and gaps, and explain loud noises which may alarm a person who is blind or partially sighted. If there are steps, let the person know if they go up or down. When approaching a door, say which way it is opening and on which side. Also, say if it is a revolving or a sliding door.
- Never back a person who is blind or partially sighted into a seat. Describe the seat to him or her (e.g. dining chair, low sofa) and place their hand on the back, arm or seat of the chair, whichever seems best. Also tell the person which way the chair is facing.
- When leaving a person who is blind or partially sighted, give some indication as to how long you will be away. If you have to be away for a longer period of time, give information about where assistance can be found during your absence. Schedule changes and other unexpected information must be communicated to him/her as soon as possible.
- When handing something over to a person who is blind or partially sighted (e.g. passport, ticket), specify what it is and place it in the hand – do not simply leave it on the counter or desk.

- Be aware that a person who is partially sighted may find it difficult to get around independently when, e.g. signs are not in large, clear and well contrasted print, lighting is not adequate, or transparent doors not clearly marked with contrasting coloured strips.
- Blind people and people who are partially sighted rely on audio information, information in Braille for those who read it, large print, or websites that are accessible for blind people, for example websites designed in accordance with the Web Accessibility Initiative (WAI guidelines<sup>1</sup>). Also, blind people cannot read websites if computers do not have screen reader software installed. Therefore, you should not assume that they are aware of all relevant information if that information was not provided in those formats, and you should be prepared to communicate this information in an accessible way.

## 4.6 ***Deaf-blind people***

4.6.1 If a person has difficulty hearing and seeing he or she can be called deaf-blind or 'dual sensory impaired'. A person is regarded as deaf-blind if his or her combined hearing and vision loss causes difficulties with communication, mobility and access to information'. Some deaf-blind people can be identified by the red and white cane they use to navigate their way around.

4.6.2 The different degrees of hearing and vision loss that deaf-blind people experience mean that their individual needs will vary from person to person. The needs of a deaf-blind person are also affected by when he or she loses his or her hearing and sight. A person who is born deaf and then loses sight will have different experiences and needs to a person who is blind or partially sighted and then loses his or her hearing. A person who is born totally deaf and blind will have limited communication and may often rely on touch to communicate.

4.6.3 Useful hints:

The hints on communication given in the section on people who are deaf or hard of hearing and on communication with and the guiding of people who are blind or partially sighted are also useful when you are assisting a deaf-blind person. However, there are also some specific steps you can take when communicating with a deaf-blind person.

For example:

- Lightly touch the deaf-blind person's shoulder to attract his or her attention.

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<sup>1</sup> For more information, please see [www.w3.org/WAI/](http://www.w3.org/WAI/)

- Ask the person how he or she communicates and take time to make sure he or she understands to help lessen possible anxiety.
- If the person communicates using lip reading, speech or sign language you will need to make sure that you are in a good position for them to see you before you start to communicate and that the lighting is on your face.
- If the person prefers to communicate using written messages make sure that they are written in large print with a thick felt tip pen in a colour that contrasts with the paper.
- Some people use a Braille alphabet card which they will hold out to you so that you can place their fingertip on the Braille version of the letters.
- Some people may travel with a support worker, friend or family member who will be able to help you to communicate.

#### 4.7 ***People with impaired speech***

4.7.1 Many people have speech or language difficulties for various reasons. Do not assume that the person has a learning difficulty, as this is often not the case.

4.7.2 Useful hints:

- Concentrate on the communication and be patient and respectful. If you do not understand completely, tell the person that you do not understand, or repeat what you did understand in order to let the person fill in the gaps.
- Do not fill in the end of the phrases if a person speaks slowly. Let the person take his/her time to speak.
- If the person finds it difficult or tiring to speak, try only to ask questions that need a short answer, preferably just a nod or a shake of the head.
- Be aware that speaking a foreign language can be a barrier for any passenger, but in particular for a person with speech impairment.

#### 4.8 ***People with learning difficulties***

4.8.1 Remember first and foremost that a person with a learning difficulty has a wide range of skills and abilities which should be respected. Many of these people can live very independent lives and will need help only in some very precise areas of life (for example some can read but have difficulties with numbers, some can count and calculate but have difficulties reading the time on a clock, etc). Be patient when speaking to a person with a learning difficulty. Explain



things easily and slowly and encourage the communication without patronising.

#### 4.8.2 Useful hints:

- When you want to explain something:
  - Do not assume any previous knowledge of what you are talking about.
  - Use concrete expressions. Try to avoid metaphors and explain the ones you use.
  - Use familiar and short words, explain difficult words and avoid professional vocabulary or dialect. Avoid using directional terms, like right-left, east-west. Use words that relate to things you both can see.
  - Try always to use the same word for the same idea or concept.
  - Try to avoid negatives, but if you have to use negatives, accompany it with a shaking of your head.
  - One sentence should not contain more than one idea.
  - Do not give too much information at once. Try to present only the most important information.
  - Give instructions in the order a person needs to follow them.
  - Do not assume that the person is not listening just because you do not get oral or visual feedback. Rather ask if the person understands what you mean.
- When you need to get information or answers from a person with a learning disability:
  - Ask one question at a time,
  - Give them time to answer,
  - Be reassuring.
- People with learning difficulties can find it difficult to read notices. So it helps to explain the notice in an accessible way. Important information should also be provided in easy-to-read format, but remember that some people will need an explanation orally.
- Make sure that you have made yourself understood before leaving the passenger. If you are told that you were not understood, it might be because of:
  - A difficult word: try to explain this word or to use another word that is more easily understood;

- Too much information: go through the different parts of the information separately;
- Any other reason: try to find out what created the misunderstanding.
- Remember that most people with learning disabilities speak only one language. It might be reasonable to ask for help from a person who speaks the native language of the passenger.
- Be aware that a person with an intellectual disability may not be aware of important information communicated before the journey, if this information was not provided in easy-to-read format. Therefore, be prepared to communicate this information in one of the ways explained above.

#### 4.9 ***Hidden disabilities***

- 4.9.1 A hidden disability is a disability that is not immediately apparent to others. The term covers mainly physical, cognitive, neurological conditions and /or mental ill – health conditions which may not be obvious to the general public. Common physical hidden disabilities can result from chronic illnesses such as for example Crohn’s disease or ulcerative colitis, also known as Inflammatory bowel disease (IBD), people with stoma bags due to Ileostomy, Colostomy or Urostomy, Multiple Sclerosis (MS) or Diabetes. Persons with Hidden disabilities based on neurological or mental disorders are for example Dementia, Phobias, Autism Spectrum Disorders (ASD), (Social) Anxiety, Bi-Polar and obsessive – compulsive disorder or Schizophrenia also include persons with autism, brain injury or different intellectual disabilities or mental ailment who can experience panic, distress, claustrophobia or anxiety in certain situations and triggers such as crowded environments.
- 4.9.2 A high proportion of disabilities are not visible or observable in other ways. However, an hidden disability can have implications for an air passenger to the same extent as a visible disability. One should, therefore, always be open to the special needs related to disabilities that one cannot observe. An open attitude is an important element in encouraging people with hidden disabilities to tell you about their specific needs. It is important to recognise that the mentioned subjective ‘groups’ are quite heterogeneous themselves and persons with the same condition or disability can have very different assistance and accessibility requirements. It is therefore important not to jump to conclusions but communicate with the passenger about their needs. Attention to the need for special assistance to hidden disability might be advertised by a discreet token.
- 4.9.3 We recommend that airports can also offer passengers, if requested, the opportunity to identify themselves as needing special assistance

through wearing an appropriately designed lanyard, bracelet or other similar item. This way the passenger will be easily recognised by airport and security staff, as they will know to give the passenger more attention. A passenger should only be offered the lanyard, bracelet or other similar item as an optional basis.

- 4.9.4 Bear in mind that it is not always easy for a person to talk about an hidden disability, since people living with such disabilities are often met with doubt or even suspicion. Therefore, a passenger with a hidden disability will in many instances expect you to be very discreet. For example, in relation to other passengers or staff members.
- 4.9.5 The widely varying needs of people with hidden disabilities will demand different kinds of assistance such as a one –to-one guidance through the airport. Airports should offer this service at all stages of the passenger journey, even if the person is already accompanied. Personnel should always stay with the passenger at all times, until service is no longer requested or needed by the passenger. It is important to remember that a passenger with an hidden disability might need to bring specific assistive devices, medication or other material in order to be able to travel.
- 4.9.6 Mental health problems may cause anxiety, restlessness and even panic attacks. Medication for this problem may cause drowsiness and slower reaction. Always ask the persons with disabilities what assistance they need and how best to provide this service. Never do unforeseen things without acknowledging the passenger first as this might cause distress to the passenger.
- 4.9.7 Useful hints:
- People with mental ailment, and other hidden disabilities, as all passengers should be treated with respect, dignity and discretion. Avoid overtly friendly and patronizing attitude, as imposing and overenthusiastic behaviour might actually offend or trigger the passenger..
  - . If a person mentions that they have a psychosocial disability or is experiencing mental ailment, take it seriously and treat the person with respect. It may be difficult for them to open up about it.
  - Here again, offer your help, but do not impose it. It is important that passengers feel like they are treated with respect, dignity and discretion.
  - When assisting passengers, be patient and give the person your full attention, avoid assumptions that they do not understand you.

- If the person seems to have difficulties understanding information or instructions, repeat clearly and slowly what you said, using simple language if necessary. Some persons might prefer simple written instructions, so having writing means at hand be helpful.
- Bear in mind that you cannot expect persons with autism to pick up on non-verbal communication, so be direct, concrete and specific if necessary, avoiding figurative language.
- In case of distress of a passenger try to de-escalate the situation, respond in calm and polite way – try to see the person and not just the problem. Be patient and give the person space to calm down.

#### 4.10 ***Other disabilities***

4.10.1 It is impossible to cover all types of disabilities in a document like this. In this section, some of the most common impairments have been mentioned, but there will of course be many people who experience other kind of disabilities, visible or hidden, that are not mentioned above, but which will also need particular attention in an airport environment. Let the person express their needs if he or she wishes to do so, and do your very best to meet the individual needs.

4.10.2 Remember also that older people, with or without disabilities, might need particular consideration. As older persons might have a combination of reduced mobility and other impairments, for example hearing or language problems.

### **5. THE ROLE OF SERVICE ANIMALS<sup>39</sup>**

5.1 Service animals assist blind and visually impaired people by avoiding obstacles, stopping at kerbs and steps, and negotiating traffic. The harness and U-shaped handle fosters communication between the service animal and the blind partner. In this partnership, the human's role is to provide directional commands, while the service animal's role is to ensure the team's safety even if this requires disobeying a command that the service animal judges to be unsafe.

5.2 Service animals assist deaf and hard of hearing individuals by alerting them to a variety of sounds such as a door knock or doorbell, alarm clock, telephone, baby cry, name call or smoke alarm. Service animals are trained to make physical contact and lead their deaf partners to the source of the sound. Service animals are identified by an orange collar and leash and/or vest.

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<sup>39</sup> In the ECAC/EU context, "service animals" refers exclusively to "recognised assistance dogs".

- 5.3 Other service animals give support to physically disabled people by retrieving objects that are out of their reach, by pulling wheelchairs, opening and closing doors, turning light switches off and on, making specific noises for alert, finding another person, assisting ambulatory people to walk by providing balance and counterbalance and many other individual tasks that may be needed by a person with disabilities and PRM. Service animals can sometimes be identified by a backpack or harness.
- 5.4 Remember that service animals will need particular attention in the case of long delays, cancellations or other exceptional situations. As an example, these service animals might need to drink, eat or be given a run during a delay or at the arrival of a long-haul flight.

## Glossary

### Avoid using

### Use instead

Confined to a wheelchair, wheelchair-bound	Wheelchair user
Crippled	Has a mobility disability, person with tetra/quadruplegia
Lame	Has a mobility disability, person with tetra/quadruplegia
Deaf-dumb	Deaf, hard of hearing
Handicapped, invalid	Person with disabilities or PRM
Insane, crazy, psycho, maniac	Has a mental health problem
Retarded, idiot, "downs"	Has a learning disability or an intellectual disability
Normal, healthy	Non-disabled
Suffers from, afflicted by, victim of...	Has e.g. cerebral palsy/autism/epilepsy...
Dwarf, midget	Person of short stature

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## **ANNEX 5-F: ADVISORY NOTE ON PROCEDURES FOR CARRYING PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

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### **1. INTRODUCTION**

- 1.1 The purpose of this document is to help crews understand the different levels of assistance needed by persons with disabilities and persons with reduced mobility (PRMs) and to help air carriers comply with the requirements of Regulation (EC) No 1107/2006 concerning the rights of persons with disabilities and persons with reduced mobility (PRMs) and Commission Regulation (EU) No 965/2012 with regard to the carriage of special categories of passengers, developed in the Acceptable Means of Compliance (AMC) and Guidance Material (GM), Part-ORO (Organisation Requirements for Air Operations) and Part-CAT (Commercial Air Transport Operations)<sup>40</sup>.
- 1.2 It has no statutory force and should be used only as informal guidance.

### **2 CONTEXT**

- 2.1 The number of persons with disabilities and PRMs is increasing - particularly as a consequence of the ageing population. Improvements in access to airports and air services also mean that many more persons with some degree of disability or reduced mobility are now travelling by air.
- 2.2 The European Regulation on air passenger rights for persons with disabilities and PRMs, Regulation (EC) No 1107/2006, clearly spells out the rights and responsibilities of PRMs. The Regulation gives those persons greater confidence to travel and so will encourage higher levels of travel still as passengers recognise their rights and the prospect of redress if airports or air carriers fail to meet their legal duties. ECAC Doc 30, Part I, also includes a wide range of recommendations to facilitate air travel of PRMs.
- 2.3 Air carriers and airports need to understand and respond to the broad spectrum of different passenger needs across the whole air travel market and the same is true of persons with disabilities and PRMs.
- 2.4 It is necessary for air carriers to impose the safety conditions and

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<sup>40</sup> Specifically, last amendment on the carriage of special categories of passengers was made by EASA ED Decision 2016/004/R of 22 January 2016.

effective risk – mitigating measures for carrying of persons with disabilities and PRMs. In view of this fact the provisions of the EASA ED Decision 2016/004/R regarding the carrying of persons with disabilities and PRMs are incorporated in this document in Sections 5 and 6.

### 3 EU OPS AND PRMs

- 3.1 The EU-OPS Regulation<sup>41</sup> must be applied by EU air carriers from 16<sup>th</sup> July 2008. These requirements will also apply in all non-EU JAA member states from that date in case JAR-OPS 1 is transposed into the respective national legal order.
- 3.2 The EU-OPS Regulation only comprises section 1 of JAR-OPS 1. However, pending the adoption of implementing rules related to operations based on EASA Regulation<sup>42</sup>, Member States are allowed to use guidance material contained in section 2 of JAR-OPS 1 provided that this material do not contradict applicable EU-OPS requirements.
- 3.3 The definition of PRM in Article 2 (a) of Regulation (EC) No 1107/2006, as well as in Section 2 of JAR-OPS - IEM OPS 1.260, is much wider than a person with disabilities. The definition includes older persons, persons who have sustained injuries etc. In other words, it is understood to be a person whose mobility is reduced as a result of physical, sensory or cognitive impairment, age, illness or any other cause and who needs some degree of special accommodation or assistance over and above that provided to other passengers.
- 3.4 The current relevant text of EU OPS is as follows:
- OPS 1.260 Carriage of persons with reduced mobility*
- (a) *An operator shall establish procedures for the carriage of persons with reduced mobility (PRMs).*
- (b) *An operator shall ensure that PRMs are not allocated, nor occupy, seats where their presence could:*
- 1. Impede the crew in their duties;*
  - 2. Obstruct access to emergency equipment; or*
  - 3. Impede the emergency evacuation of the aeroplane.*
- (c) *The Commander must be notified when PRMs are to be carried on-board.*

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<sup>41</sup> Council Regulation (EEC) No 3922/91 of 16 December 1991 on the harmonization of technical requirements and administrative procedures in the field of civil aviation, as last amended by Commission Regulation (EC) No 859/2008 of 20 August 2008 amending Council Regulation (EEC) No 3922/91 as regards common technical requirements and administrative procedures applicable to commercial transportation by aeroplane. See <http://eur-lex.europa.eu/legal-content/EN/NOT/?uri=celex:31991R3922>.

<sup>42</sup> Regulation (EC) No 216/2008 of the European Parliament and of the Council of 20 February 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency, and repealing Council Directive 91/670/EEC, Regulation (EC) No 1592/2002 and Directive 2004/36/EC (Text with EEA relevance). See <http://eur-lex.europa.eu/legal-content/EN/NOT/?uri=CELEX:32008R0216&qid=1440690991690>.



### 3.5 The related JAR-OPS 1 Section 2 guidance material reads:

#### *IEM 1.260*

1. *A PRM is understood to be a person whose mobility is reduced due to physical incapacity (sensory or locomotory), an intellectual deficiency, age, illness or any other cause of disability when using transport and when the situation needs special attention and the adaptation to a person's need of the service made available to all passengers.*
2. *In normal circumstances PRMs should not be seated adjacent to an emergency exit.*
3. *In circumstances in which the number of PRMs forms a significant proportion of the total number of passengers carried on-board:*
  - a) *the number of PRMs should not exceed the number of able-bodied persons<sup>43</sup> capable of assisting with an emergency evacuation; and*
  - b) *the guidance given in paragraph 2 above should be followed to the maximum extent possible.*

## 4 UNDERSTANDING DISABILITY AND REDUCED MOBILITY

4.1 The terms "person with disability" and "person with reduced mobility (PRM)" are often used in a general sense and without distinguishing between the very different needs that people have when they are travelling by air.

4.2 For example, a person who has no use of their legs and therefore needs wheelchair assistance to reach a seat and to leave it may present safety issues for the evacuation of the aircraft in an emergency and for the safe egress of other passengers while somebody who is deaf or blind may present no greater risk than any other passenger under the same circumstances.

4.3 There are three broad categories of passengers whose needs should be considered:

- Those with some kind of **physical disability** (which may range from total dependence on a wheelchair to disability on upper and/or lower limbs, or a slight walking difficulty, or a hidden disability such as for example Crohn's disease); this category would include the IATA "Codes Descriptors Applying To Disabled Passengers Needing Assistance" WCHR, WCHS, and WCHC;
- Those with a **sensory impairment** (which again may range from profound deafness or total blindness to some degree of vision loss or hearing loss); this category would include IATA Codes Descriptors "Blind", "Deaf" and "Deaf/Blind";
- Those with a **cognitive impairment, learning disability or mental health problem** which can range across a wide

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<sup>43</sup> 'Able-bodied passengers' are defined in ICAO Doc 7192, Training manual Part E-1 as "Passengers selected by crew members to assist in managing emergency situations if and as required. Non-able-bodied passengers should be removed from exit rows prior to flight. In a planned emergency, able-bodied passengers will be briefed on their responsibilities if time permits".

spectrum from total independence to high dependency on others. These would be encompassed by IATA Code Descriptor DPNA.

- 4.4 The extent to which people in any one of these categories need to receive special assistance will also vary considerably both according to the individual's particular needs and to the aircraft type and configuration and the passenger load but it is nonetheless possible to suggest some general principles.
- 4.5 The above-mentioned IATA WCHC category includes a wide range of persons with disabilities, from those whose disability affects only the lower limbs and who require assistance to embark, disembark and to move inside the aircraft, up to those who are completely immobile and require assistance at all time. Depending on the level of disability, a passenger within this category may be able to travel alone. If the air carrier does not accept (on medical or safety grounds) that they are able to do so, it may require that the individual travels with an accompanying person in compliance with Article 4 of Regulation (EC) No 1107/2006. A person given the category WCHR or WCHS will have a good level of independent movement and should be self-sufficient on the flight.
- 4.6 Air carriers should enable persons with disabilities and PRMs and other passengers who need assistance – for example to fasten/unfasten a seat belt or grab an oxygen mask - to choose seating which minimises inconvenience to them and maximises the scope for cabin crew assistance providing that such seating does not impede the crew in their safety duties, does not obstruct access to emergency equipment and does not impede the emergency evacuation of the aeroplane. They should never be allocated seats in the exit row. More details about seating are in Section 6.
- 4.7 The commander's decision on the carriage of **any** passenger (including PRMs) is final. Any refusal of carriage of a person with disabilities and PRM should be made only on the basis of a full understanding of the person's ability and level of autonomy and in full compliance with Regulation (EC) No 1107/2006 Article 4. It should never be based on generalised assumptions about disability.
- 4.8 It should also be noted that where a person with disabilities and PRM has properly notified his/her needs during the booking stage and is later denied boarding, this is likely to contravene Article 3b and Article 4 of Regulation (EC) No 1107/2006.
- 4.9 The following comments may be helpful to the commander and cabin crew in understanding the implications of each broad category of disability:

- **Physical disability:** where possible it is generally easier to allow a WCHC passenger to use an aisle seat provided that this does not impede other passengers from leaving their seats, nor impede the crew in their safety duties, nor obstruct access to emergency equipment or impede the emergency evacuation of the aeroplane. They should never be allocated seats in the exit row. Where the passenger cannot be allocated an aisle seat or does not wish to occupy one, they should nonetheless be allocated to a row with movable armrests to facilitate transfer.
- **Sensory impairment:** people who are blind or partially sighted and those who are deaf or hard of hearing will need help (which air carriers are required to provide under Regulation (EC) No 1107/2006) to access safety instructions and demonstrations. Guidance is available in ECAC Doc 30, Part I, on these and other issues of appropriate assistance. Where possible an aisle seat may be the most convenient both for ease of movement and for communication with the cabin crew provided that such a seating position does not impede the crew in their duties, does not obstruct access to emergency equipment and does not impede the emergency evacuation of the aeroplane. They should never be allocated seats in the exit row.
- **Cognitive impairment, learning disability or mental health problem:** anyone with a profound learning disability is highly unlikely to be travelling alone. Those with less severe learning disability may need similar help to that given to a deaf person to ensure that they understand safety instructions. Similarly, people with mental health problems may need some additional reassurance from cabin crew. Where possible an aisle seat may be the most convenient both for ease of movement and for communication with the cabin crew provided that such a seating position does not impede the crew in their duties, does not obstruct access to emergency equipment and does not impede the emergency evacuation of the aeroplane. They should never be allocated seats in the exit row.

## **5 PROCEDURES TO PROVIDE INFORMATION TO PERSONS WITH DISABILITIES AND PRMs REGARDING THEIR SAFE CARRIAGE**

- 5.1 The following comments may be helpful to the aircraft operator when establishing procedures on the information to be provided to persons with disabilities and PRMs regarding their safe carriage and in an emergency.
- 5.2 Providing this type of information only at the time of booking might not be sufficient to ensure that persons with disabilities and PRMs are aware of this safety recommendations at the time of the flight.

- 5.3 When establishing procedures on the information to be provided to persons with disabilities and PRMs, the operator should consider informing these persons that cabin crew can only assist them once the cabin has been evacuated.
- 5.4 It is necessary to be aware about additional information by PRMs category:
- a) Physically disabled passenger (aided walking):
    - inform the PRM to leave mobility aid behind in an emergency evacuation.
  - b) Passenger with disability of upper limbs:
    - inform the accompanying person to:
      - fit the life jacket on the PRM, in case of ditching evacuation;
      - put first their own oxygen mask on before fitting the PRM's oxygen mask, in case of decompression; and
      - if necessary, secure/release the PRM's seat belt.
  - c) Passenger with disability of lower limbs:
    - inform the PRM:
      - about the location of the nearest suitable exit; and
      - that mobility aids might not be accessible in an emergency evacuation.
  - d) Passenger with disability of both upper and lower limbs:
    - inform the accompanying person to:
      - fit the life jacket on the PRM, in case of ditching evacuation;
      - put first their own oxygen mask on before fitting the PRM's oxygen mask, in case of decompression; and
      - if necessary, secure/release the PRM's seat belt.
    - inform the PRM about the location of the nearest suitable exit.
  - e) Visually impaired passenger:
    - Adjust the information to the level of impairment, informing the visually impaired passenger on the following:
      - seat and seat belt operation;
      - location of the nearest exit (e.g. number of seat rows to the nearest exit);
      - oxygen mask deployment and give dummy in hands;
      - location of life jacket, the way to use it and give dummy in

hands;

- brace position; and
- location of cabin crew call button.

f) Passenger travelling with a service animal in the cabin:

- inform the passenger on how to evacuate the service animal by holding the service animal and sliding.

5.5 In a planned emergency, if time permits, passengers identified by the cabin crew as capable of assisting a PRM should be briefed on the assistance they can provide.

5.6 A passenger capable of assisting in case of an emergency means a passenger who is not a Special Categories of Passengers (SCPs)<sup>44</sup> and has no other role of private responsibility that prevent him/her from assisting the PRM.

## **6 SEATING PROCEDURES AND SEATING ALLOCATION**

6.1 When establishing PRM seating procedures, the operator should take into account the following factors:

- a) If the PRM travels with an accompanying person, the accompanying person should be seated next to the PRM; and
- b) if the PRM is unable to negotiate steps within the cabin unaided, he/she should not be seated on the upper deck of multi-deck aircraft if the exits are not certified for emergency evacuation on both land and water.

6.2 When establishing the procedure on seating of PRMs, seats should be allocated taking into account the following:

- a) A passenger with physical disability of the upper limbs, who travels without an accompanying person, should be allocated seats during all phases of the flight so that visual and audible communication can be established with the cabin crew.
- b) A passenger with disability of lower limbs and a passenger with a disability of both upper and lower limbs should be seated in a location providing easy access to floor level exits.
- c) A mentally impaired passenger, who travels without an accompanying person should be allocated seats during all phases of the flight so that visual and audible communication can be established with the cabin crew.
- d) A passenger whose physical size would possibly prevent him/her

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<sup>44</sup> SCPs are Persons with Reduced Mobility (PRMs), infants and unaccompanied children, deportees, inadmissible passengers, or prisoners in custody.

from passing through an emergency exit (e.g. Type III or Type IV exit), should be seated in the vicinity of a suitable exit, taking into account the size of the exit. Seating of more than one of such passengers in the same seat row segment should be avoided.

- e) If a passenger is traveling with a service animal in the cabin, suitable arrangements should be made between the passenger and the operator in advance of the flight where a service animal is to be accommodated. A suitable restraint harness should be provided by the owner to secure and restrain the service animal during taxi, take off, landing and turbulence. In cruise, it is acceptable for the service animal to be subject to less restraint.
- f) If a passenger traveling with a disability and /or restraint aid that requires to be secured around the back of the seat, the seat should not be used if there is a person seated unless the seating configuration is approved for the use of such devices. This is to avoid the changed dynamic seat reaction with the disability and/or restraint aid, which may lead to head injury of the passenger seated behind. If the seat design or installation would prevent head contact of the person seated behind, then no further consideration is necessary.

6.3 When establishing seating procedures for a group of PRMs, the operator should take into account the following:

- a) Access to exits: groups of non-ambulatory PRMs should be seated throughout the cabin to ensure that each PRM is surrounded by the maximum number of passengers capable of assisting in case of an emergency;
- b) If non-ambulatory PRMs cannot be evenly distributed throughout the cabin, the operator should establish procedures to mitigate the increased safety risk such as seating of passengers capable of assisting in case of an emergency in the vicinity, additional information or training of the cabin crew.

## **7 RIGHTS AND RESPONSIBILITIES**

7.1 While there is growing emphasis across all walks of life on recognising and addressing the rights of persons with disabilities and PRMs, there is also an important issue of responsibility which the passenger must recognise. For example, if an individual person with disabilities or a group of PRMs travelling together fail to notify the air carrier in advance of their needs there is a greater risk that the air carrier will not be able to accommodate them (although under Regulation (EC) No 1107/2006 they are obliged to make all reasonable efforts to accommodate them even in these circumstances).



- 7.2 Guidance on rights and responsibilities of PRMs is contained in ECAC Doc 30, Part I, Section 5 and Annexes at <http://www.ecac-ceac.org>.
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## ANNEX 5-G: GUIDELINES ON TRAINING

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### 1. INTRODUCTION

- 1.1 There is a need for harmonised training at the European level of all personnel involved in the chain of air travel in order to ensure that the needs of persons with disabilities and persons with reduced mobility (PRMs) are appropriately met.
- 1.2 ECAC Doc 30, Part I, Section 5, sets the objective of a harmonised implementation in all ECAC Member States, and its sub-section 5.12 establishes knowledge and training for such personnel.
- 1.3 This guidance is identical to the provisions in EU Regulation (EC) No 1107/2006, Article 11. Recital 10 of that Regulation reads: "In organising the provision of assistance to disabled persons and persons with reduced mobility, and *the training of their personnel*, airports and air carriers should have regard to document 30 of the European Civil Aviation Conference (ECAC), Part I, Section 5 and its associated annexes, [...]."
- 1.4 The purpose of this Annex is to assemble into one document all guidelines on training contained in different Annexes to ECAC Doc 30, Part I, to facilitate the harmonised implementation of training for all the personnel concerned.
- 1.5 The following Annexes to ECAC Doc 30, Part I, have been used in particular:
- **Annex 5-C** – Code of good conduct in delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs): Section 8, Training;
  - **Annex 5-D** – Guidelines on delivering assistance on the ground for persons with disabilities and persons with reduced mobility (PRMs): Section 3, Staff training;
  - **Annex 5-E** – Guidelines on awareness and disability equality for all airport and airline personnel dealing with the travelling public.
- 1.6 The content of this Annex as regards training of air carriers engaged in commercial air transport with aeroplanes is without prejudice to the training required in accordance with Annex III to EU Regulation (EC) No 3922/1991.



## ECAC Recommendation – ECAC Doc 30, Part I, Section 5

### 5.12. Training

5.12.1. Air carriers and airport managing bodies should:

- ensure that all their personnel, including those employed by any sub-contractor, providing direct assistance to persons with disabilities and PRMs have knowledge of how to meet the needs of persons with various disabilities or mobility impairments;
- provide disability-equality and disability-awareness training to all their personnel working at the airport who deal directly with the travelling public;
- ensure that, upon recruitment, all new employees attend disability related training and that personnel receive refresher training courses when appropriate.

*[Ref. Regulation (EC) No 1107/2006 Article 11]*

5.12.2 Travel agencies should ensure that their personnel in contact with persons with disabilities and PRMs also receive appropriate training on how to give practical assistance to persons with disabilities and PRMs and how to ask persons with disabilities and PRMs what assistance they need and how best to provide it.

5.12.3 The training should be delivered in cooperation with disability organisations.

## 2. OBJECTIVES

- 2.1 All personnel having direct contact with passengers, at and off the airport premises, should be aware of disability issues and of disability and equality principles.
- 2.2 All personnel in charge of providing direct assistance to persons with disabilities and PRMs should have knowledge of how to meet the needs of persons with disabilities and PRMs.
- 2.3 Each of the above two categories of staff should receive appropriate training. This training should be delivered prior to the personnel taking up duty. Refresher training courses should also be provided.

## 3. TRAINING

- 3.1 Each of the categories of staff concerned should receive training, as follows:

- **All** staff having contact with the travelling public should receive training on the items specified in **Module 1**. This training should be followed by staff concerned prior to taking up their duty. The principle of proportionality does apply to the level and intensity of the training and/or briefing. Refresher courses should be organised every two years.
  - **All** staff providing or involved in the provision of assistance to persons with disabilities and PRMs should receive training on the items specified in **Module 1** and either in **Module 2** (assistance provision at the airport) or in **Module 3** (assistance provision on-board aircraft). Refresher courses should be organised at least every year.
  - Staff handling luggage, especially assistive devices, when loading and unloading. Refresher courses should be organised at least every two years.
- 3.2 This training should be followed by staff prior to taking up their duty. At the end of each course an exam is obligatory. Training records should be established and kept.
- 3.3 Training modules are at **Attachment 1**. An overview of a training matrix is at **Attachment 2**.

#### **4. TARGET GROUPS**

- 4.1 The below defined categories of staff each comprises a variety of personnel, in terms of the duties performed. Accordingly, these categories can be divided into sub-sets or target groups, as follows.

Staff in direct contact with the travelling public during departure and/or arrival process:

Services delivered at the airport by the airport and/or air carrier, or a sub-contractor of these, including:

- check-in and gate agents
- information desk agents
- lost and found desk agents
- parking agents
- luggage handling agents

Services implemented at the airport by State entities, or entities acting on their behalf, including:

- border control and immigration
- security
- customs
- police

Other, additional services

Services provided at the airport by other entities, including:

- retailers
- catering companies (restaurants, bars, lounges)
- cleaning companies
- parking agents

Services provided off the airport premises by air carriers, travel agents and tour operators, including:

- information and reservation services

Staff providing, or involved in the provision of, assistance to persons with disabilities and PRMs

Staff of the Airport managing body, or any sub-contractor acting on its behalf, providing assistance to the persons with disabilities and PRMs at the airport, including:

- assistance personnel
- PRM project managers
- Airport management personnel

Staff from operating air carrier, including:

- Cabin crew

- 4.2 While the training defined for each of the main categories applies across target groups, the training delivered should be adapted to the duties performed by each target group. Teaching points which are directly relevant to the person's duties should be specific to those duties.

## **5. TRAINERS' REQUIREMENTS**

5.1 Instructors in charge of training staff in PRM matters should:

- Have significant practical experience at a senior level in the assistance of persons with disabilities and PRMs in air travel;
- Have a full understanding of the relevant standards, legislation and recommendations (ICAO, ECAC, EU and US) and direct knowledge of reference documentation (ACI, IATA);
- Have knowledge and experience in instructional techniques; and
- Have qualification to instruct from recognised training entity or international organisations in aviation, and/or reference from

previous contracts / employment successfully completed in the field of air travel.

- 5.2 Available expertise from representative disability organisations at National or European level should be used in support of the preparation and delivery of the training courses. Persons with disabilities engaged in this process should have expertise and experience in a wide range of disability issues and not only their own particular disability.
- 5.3 Some aviation entities may have their own trainers and may wish to train these to become "in house" instructors on job-related PRM issues, in which case these trainers should successfully complete a 'Train the Trainer' course on PRM issues, prior to taking up that duty. 'Train the Trainer' courses should:
- Be delivered by an instructor who meets the requirements described in paragraph 5.1.
  - Include an initial course, of a minimum duration of four days, and periodical refresher courses, at least every two years.
- 5.4 The competences acquired by the trainee instructor should be tested. A minimum level of competence should be set. Trainees having successfully completed the test should be issued with a certificate of successful completion.

## **6. THE COST OF TRAINING**

- 6.1 When a charge is levied by the airport managing body for funding the assistance to persons with disabilities and PRMs, the costs for training staff working at the airport should be included in the calculation of that charge.
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## **ATTACHMENT 1 TO ANNEX 5-G: TRAINING MODULES**

### **Module 1 Disability-equality and disability-awareness**

#### **A – Legislation, Codes and Recommended Practices**

- ICAO Annex 9
- EU Regulation (EC) No 1107/2006 and implementing guidelines (objectives, requirements and obligations)
- ECAC DOC 30, Part I, Section 5
- US Air Carrier Access Act 14 CFR 382 and recent updates (objectives and differences with European legislation)
- IATA Resolution 700

#### **B – Training areas**

- General disability awareness
- Assistance to persons with disabilities
- Statistics
- Causes of disability
- People with walking difficulties
- Wheelchair users
- Vision impaired people
- Hearing impaired people
- People with speech impairments
- People with cognitive impairments
- People with mental health problems
- Hidden disabilities
- Other disabilities

#### **C – Knowledge and competencies to be acquired**

1. Awareness of, and appropriate responses to, passengers with physical, sensory, hidden, cognitive impairments, or mental health problems, including how to distinguish between the

different abilities of individuals whose mobility, orientation, or communication may be reduced;

2. Understanding of allowed medical baggage. Be aware that medical aids could also be general aids, such as wipes, gloves or an extra set of (under) clothing.
3. Understanding of barriers faced by persons with disabilities and PRMs, covering attitudinal, environmental/physical and organisational barriers;
4. Knowledge of service animals<sup>45</sup>, including the role and the needs of a service animal;
5. Ability to deal with unexpected occurrences (like long delays, behaviour problems, health problems; etc.);
6. Interpersonal skills and methods of communication with deaf and hearing impaired people, visually impaired people, speech impaired people and people with a cognitive impairment or mental health problems;
7. General awareness of ECAC recommendations including ECAC Doc 30, Part I, Section 5 and relevant Annexes, EU legislation, US legislation and IATA guidelines on access to air travel;
8. How to handle wheelchairs and other mobility aids carefully to avoid damage, (for all staff who are responsible for baggage handling).
9. Job related, deepened knowledge to ensure that the dignity of persons with disabilities and PRMs is preserved, especially during security checks. Ask for details and/or personal preferences of persons with disabilities or reduced mobility of how to lift and touch.

## **Module 2 Assistance provision at the airport**

### **A –Training areas**

*Participation of people with a disability and with experience in air travel is essential.*

- Job description and potential risks
- Statistics, trends and prognostics

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<sup>45</sup> In the ECAC/EU context, "service animals" refers exclusively to "recognised assistance dogs".

- Causes of disability
- Kinetics of lifting (theory and practice)
- Assistance of people with walking difficulties
- Assistance of people using wheelchairs
- Assistance of vision impaired people (theory and practice)
- Assistance of hearing impaired people (theory and practice)
- Assistance of people with cognitive impairments and mental health problems (theory and practice)
- Assistance of people with hidden disabilities (theory and practice)
- Basic principles of assistance at different stages during the journey at the airport (Check-in; customs; security check; luggage belt, lost and found, etc)
- First aid (this should be delivered by an organisation or individual certified to deliver first aid training)

## **B - Skills and knowledge**

In addition to the skills and knowledge listed in Module 1-B, all staff assisting persons with disabilities and PRMs at an airport should also be capable of distinguishing between different types of disabilities (and the corresponding IATA codes) and should have knowledge of the most appropriate form of assistance for each including:

1. How to assist wheelchair users make transfers into and out of a wheelchair;
2. Skills for providing assistance to persons with disabilities and PRMs travelling with a service animal, including the role and the needs of these animals;
3. Techniques for escorting blind and partially-sighted passengers and for the handling and carriage of service animals;
4. An understanding of the types of equipment as described in Annex 5-D, 2.3, which can assist persons with disabilities and PRMs and knowledge of how to handle such equipment;
5. The use of the boarding and deplaning assistance equipment used and knowledge of the appropriate boarding and



deplaning assistance procedures that safeguard the safety and dignity of persons with disabilities and PRMs;

6. Understanding of the need for reliable and professional assistance. Also, awareness of the potential for certain persons with hidden disabilities to experience feelings of vulnerability during travel, because of their total dependence on the assistance provided.
7. First aid (this should be delivered by an organisation or individual certified to deliver first aid training).

### **Module 3 Assistance provision on board aircraft**

#### **A – Training areas**

*Participation of people with a disability and with experience in air travel is highly recommended in this part.*

- Infrastructure aircraft and legislation
- Kinetics of lifting (theory and practice)
- Assistance of people with walking difficulties
- Assistance of people using wheelchairs
- Assistance of people with low function of upper limbs (arms and hands)
- Assistance of vision impaired people (theory and practice)
- Assistance of hearing impaired people (theory and practice)
- Assistance of people with hidden disabilities (theory and practice)
- Assistance people with cognitive impairments and mental health problems (theory)

#### **B – Knowledge and skills to be acquired**

In addition to the knowledge and skills listed in Module 1-B, all staff assisting persons with disabilities and PRMs on board an aircraft should also be capable of distinguishing between different types of disabilities (and the corresponding IATA codes) and should have knowledge of the most appropriate form of assistance for each including:

1. If required by the operator, procedures for lifting a passenger with a physical disability from their seat to and from the on-board wheelchair (if installed).



2. Method of use of the on-board wheelchair (where available).
3. Appropriate seating for persons with disabilities and PRMs.
4. Appropriate seating for passengers with service animals and method of securing the animal.
5. Stowage of mobility equipment.
6. Appropriate pre-flight safety briefings and associated safety information.
7. Procedures to be taken in the event of an emergency situation such as decompression or evacuation.

The content of this training should be compatible with applicable safety legislation.



## ATTACHMENT 2 – OVERVIEW OF TRAINING MATRIX

The enclosed tables identify, for each target groups, training areas respectively for initial training (table 1) and refresher course (table 2).

**Note:** for target groups marked with an **asterisk** (\*), the indicated training refers to 'Train the Trainer' course: once trained, the instructor will deliver 'in-house' training to the staff concerned in his/her entity, in the appropriate format. This format would be dependent on the entity's operations and specific duties of the staff.



**A – Initial training**

<i>Training modules</i>	<i>Training areas Target groups</i>	Legislatio n	Disability awarenes s	Equipmen t awarenes s	Job- related items and exercises	Kinetic s of lifting	Tes t	First Aid
Module1	Check-in/gate agents *	√	√	√	√		√	
	Security check *	√	√	√	√		√	
	Airport information *	√	√	√	√		√	
	Ticket offices *	√	√	√	√		√	
	Lost & found *	√	√	√			√	
	Border police *	√	√	√			√	
	Customs / immigration *	√	√	√			√	
	Bar/rest./shops *	√	√	√			√	
	Parking agents *	√	√	√			√	
	Ramp agents *	√	√	√			√	
Airport Management	√	√	√			√		

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Modules 1+2	PRM assist. Provider	√	√	√	√	√	√	√
	PRM project manager	√	√	√	√	√	√	√
Modules 1+3	Cabin crew *	√	√	√	√	√	√	



**B. Refresher course**

<i>Training modules</i>	<i>Training areas Target groups</i>	Legislatio n	Disability awarenes s	Equipmen t awarenes s	Job- related items and exercises	Kinetic s of lifting	Tes t	First Aid
Module1	Check-in/gate agents *	√	√	√	√		√	
	Security check *	√	√	√	√		√	
	Airport information *	√	√	√	√		√	
	Ticket offices *	√	√	√	√		√	
	Lost & found *	√	√	√			√	
	Border police *	√	√	√			√	
	Customs / immigration *	√	√	√			√	
	Bar/rest./shops *	√	√	√			√	
	Parking agents *	√	√	√			√	
	Ramp agents *	√	√	√			√	
	Airport Management	√	√	√			√	
	PRM assist. Provider	√	√	√	√	√	√	√

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Modules 1+2	PRM project manager	√	√	√	√	√	√	√
Modules 1+3	Cabin crew *	√	√	√	√	√	√	



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## **ANNEX 5-H: GUIDANCE ON PRE-NOTIFICATION OF PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

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### **SECTION 1 GUIDANCE ON PRE-NOTIFICATION OF PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

#### **1. OBJECTIVE**

- 1.1 The purpose of this guidance is to help airports and air carriers adopt practices that will encourage higher levels of pre-notification by arriving and departing persons with disabilities and PRMs of their need for assistance. This should enable airports to make more effective use of resources and should enable air carriers to minimise delays. It should also benefit passengers with disabilities and PRMs by providing a prompter service appropriate to their needs.

#### **2. INTRODUCTION**

- 2.1 The quality of service that PRM assistance providers can give to departing or arriving passengers with disabilities and PRMs will depend to a significant extent on whether they have advance notice of the passenger's needs.
- 2.2 Regulation (EC) No 1107/2006 makes a clear link between the obligation of the airport managing body to ensure that a PRM passenger is able to take their flight and the responsibility of the passengers to have identified their need for assistance at least 48 hours in advance of the flight departure. ECAC Doc 30, Part I, **Annexes 5-A and 5-C** also make this clear link.

#### **3. THE ISSUE**

- 3.1 Evidence from airports in the ECAC region indicates that growing numbers of persons with disabilities and PRMs are travelling without giving pre-notification of their needs. This creates potential problems both for the airport and the air carrier.
- 3.2 If *departing* passengers with disabilities and PRMs do not pre-notify there may not be adequate personnel or equipment to meet their particular needs without delay to the passenger and possibly to the flight. If *arriving* passengers have not been pre-notified, there is additional strain on the resources of the airport and, again, a risk of delay both to the passenger and to the aircraft.
- 3.3 An additional problem is that where passengers have pre-notified,

the information given is not always correct or in a format that is useful to the airport.

- 3.4 A survey of European airports carried out by ACI indicated that in those airports which reported a drop in the numbers of pre-notifying passengers with disabilities and PRMs, the main reason behind this was that passengers perceived a good service regardless of whether or not they had pre-notified.
- 3.5 In contrast, at a number of airports levels of pre-notification had increased over the past year. Increases were attributed to:
- PRM passengers becoming more aware of Regulation (EC) No 1107/2006 and ECAC Doc 30, Part I provisions;
  - Actions to improve delivery of SITA messaging and monitoring PAL/CAL and PSM;
  - Ongoing collaboration between airport managing body and organisations of persons with disabilities; and
  - Feedback from service providers to air carriers on benefits of pre-notification.

#### **4. RECOMMENDATIONS**

4.1 There are a number of ways in which it should be possible to increase the levels of pre-notification, for the benefit of all concerned. Responsibility for these actions lies with a number of different bodies including air carriers, travel agents and airports. Member States also have an important role to play in drawing these recommendations to the attention of the bodies concerned and in encouraging their adoption both indirectly and in some cases directly through initiatives such as national publicity campaigns to increase awareness of these issues.

4.2 The measures that can be considered include:

- Information: Actions for ECAC Member States
- Information is essential to increase awareness; therefore, information should be made available to persons with disabilities or persons with reduced mobility in an accessible format, according to the requirements of national & European legislation.
- Information should be provided by the air transport industry in the institutional website. For the development, it is recommended to use guidelines provided in the European Standard EN 301 549 on Accessibility requirements suitable for public procurement of ICT products and services in Europe and particularly to W3C Web Accessibility Guidelines (Section 9). A



minimum web accessibility level should be AA, allowing a clear and easy accessible way to the information for passengers with disabilities.

4.2.1.1 An airport managing body should publish information about the assistance provided at the airport and how to obtain this assistance. Such information should include at least:

- Opening and closing times of the airport terminal and facilities (service hours);
- The right procedures to request the assistance, underlining the importance of pre-notifying the air carrier or its agent, or the tour operator concerned, at least 48 hours before the published time of departure of the flight;
- If appropriate, the information how to obtain key cords, bracelets or lanyards for identification of (hidden) disabilities;
- Information on the layout of the airport (possibly indicating PRMs' meeting points and waiting areas) and the expected range of walking distances from drop-off points to check-in areas and to the gates;
- Information on quality standards and airport security;
- Information about handling of mobility equipment and service animals;
- The telephone number and opening hours of the airport's helpline for enquiries from PRMs; and
- Information on how to complain.

4.2.1.2 Air carriers should publish information to allow passengers to make an informed decision on whether to travel on that flight, knowing in advance about their safety procedure, the assistance provided at the airport and on-board and how to obtain this assistance. Such information should include at as a minimum:

- The right procedures to request the assistance, underlining the importance of pre-notifying the air carrier or its agent, or the tour operator concerned, at least 48 hours before the published time of departure of the flight;
- Information on safety rules and of possible limitations, such as a lack of accessible toilets, lack of moveable aisle armrests, seat and aisle size etc., related to safety requirements or the size of the aircraft;
- Information on accessibility inside the aircraft: existence of an upper deck or whether the air carrier has on-board wheelchairs (to access the toilets);

- Information about handling of mobility equipment. According to Annex II to Regulation (EC) No 1107/2006, only reasons related to the size of the aircraft and the application of relevant legislation on dangerous goods can be invoked to limit the transport of mobility equipment;
- Information on the transport of medical equipment and possible limitations related to safety requirements or the size of the aircraft; and
- Information about the transport and the handling of service animals<sup>46</sup>.

4.2.1.3 Developing a wallet sized card that can be handed out to non pre-notified passengers by the airport managing bodies' staff could assist in explaining the need to pre-notify and the reasons for a possible slightly longer wait or for any other kind of problems faced due to lack of pre-notification.

An example of what could be useful to write on a wallet sized card:

*Airlines, their agents and tour operators can only refuse reservations or to embark passengers on the grounds of disability or reduced mobility in very **limited circumstances**.*

*Passengers have the right to assistance at airports and on-board aircraft. To ensure that passengers receive assistance, they should advise air carriers of their needs at least **48hrs before departure** to facilitate the provision of assistance.*

*Where mobility equipment is damaged, passengers have the right to compensation.*

#### **4.2.2 Booking Process: Actions for air carriers and travel agents**

4.2.2.1 Air carriers and travel agents should:

- Develop systems for ensuring consumers are prompted during the booking process to check whether they require assistance and to ensure that the right information is given.
- Draw up a checklist of key questions to be asked by travel agency/call centre staff to ensure that they have correctly understood the needs of the PRM.
- Develop information for passengers with disabilities and PRMs on the types of assistance available, using the IATA codes as a base, but considering symbols and passenger friendly language. Make sure the DPNA code is included, as persons with hidden disabilities might not relate with the wheelchair bound assistance codes. The DPNA code

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<sup>46</sup> In the ECAC/EU context, "service animals" refers exclusively to "recognised assistance dogs".

always requires extra information on what specific assistance is needed. This would allow passengers with disabilities and PRMs to validate whether their airline/tour operator/travel agent has assessed their assistance needs.

- Encourage passengers with disabilities and PRMs to take responsibility for their journey.
- Provide signposts to airport websites to find out more about the layout and decide whether they need assistance.
- Consider capturing data on PRM needs as part of air carrier frequent flyer schemes. This could be included within projects to re-design such schemes.
- Provide confirmation to passengers with disabilities and PRMs that their assistance request has been noted and passed on. (There is no requirement to include this on tickets, but IATA has indicated that they see no difficulties in air carriers including this in other communications between air carriers and passengers).

#### **4.2.3 IATA Codes: Actions for air carriers and travel agents**

##### 4.2.3.1 Air carriers and travel agents should:

- Provide additional information alongside IATA codes to specify the individual needs of the passenger. Air carriers should have in place a system to receive additional information about a person's particular needs should it be needed. This could be received as part of the online booking process or added to the 'notes' of a booking at a later date. This additional information should be passed to the airport or service provider in the form of 'free text' or other similar method. This would help ensure that, as far as possible, the assistance would be appropriate to the particular needs of the individual passenger throughout the entire journey. It would be particularly useful for people whose needs cannot be so easily identified via IATA codes. This might include people with 'hidden' disabilities such as dementia or autism where needs are often diverse.
- Provide guidance to all responsible staff on what constitutes mobility and medical equipment and how the IATA codes deal with this equipment.

#### **4.2.4 On-board: Actions for air carriers**

- ##### 4.2.4.1 Air carriers should encourage greater use of the PSM system to transfer information from in-bound aircraft, particularly on long-haul flights, to provide information on the number of passengers requiring assistance. It is also important for the airport to make

greater use of PSM messaging to provide back-up information on the assistance to be provided.

4.2.4.2 Air carriers should also provide additional information to its own staff working at the airport or on-board aircraft, in addition to IATA assistance codes. This additional information should be passed to the airport or service provider in the form of 'free text' or other similar method.

#### **4.2.5 At the airport: Actions for airport managing bodies**

4.2.5.1 Airport managing bodies should:

- Have in place systems that are able to receive extra information through 'free text' or other similar method in addition to general IATA assistance codes. For the DPNA code additional information is necessary.
- Consider setting service level agreements that have shorter waiting times for passengers who have pre-notified.
- Encourage airport assistance staff meeting flights to identify the person they pick up against a list of people who have pre-notified. This will help to ensure that the wheelchair ordered by someone with a genuine need is available rather than being taken by someone who did not pre-notify.

*Note: Some airports have introduced hand held monitors to PRM service staff which include the names of all pre-notified passengers. This system is working well, but also relies on air carrier support to explain to non-pre-notified passengers they may need to wait a little longer.*

- Provide leaflets to passengers who have not pre-notified, setting out the benefits and encouraging them to do so next time.
- Display posters about passenger rights.

#### **4.2.6 Use of modern media**

*Note: An institutional website is no longer the only point of contact for the public, but more and more it is being supplemented by other modes of digital communication that need to be considered: applications for smart phones and tablets, and social networks. These new forms of communication enable more personal and immediate interaction with the users and lend themselves well to communicating information and messages in a simple and direct way.*

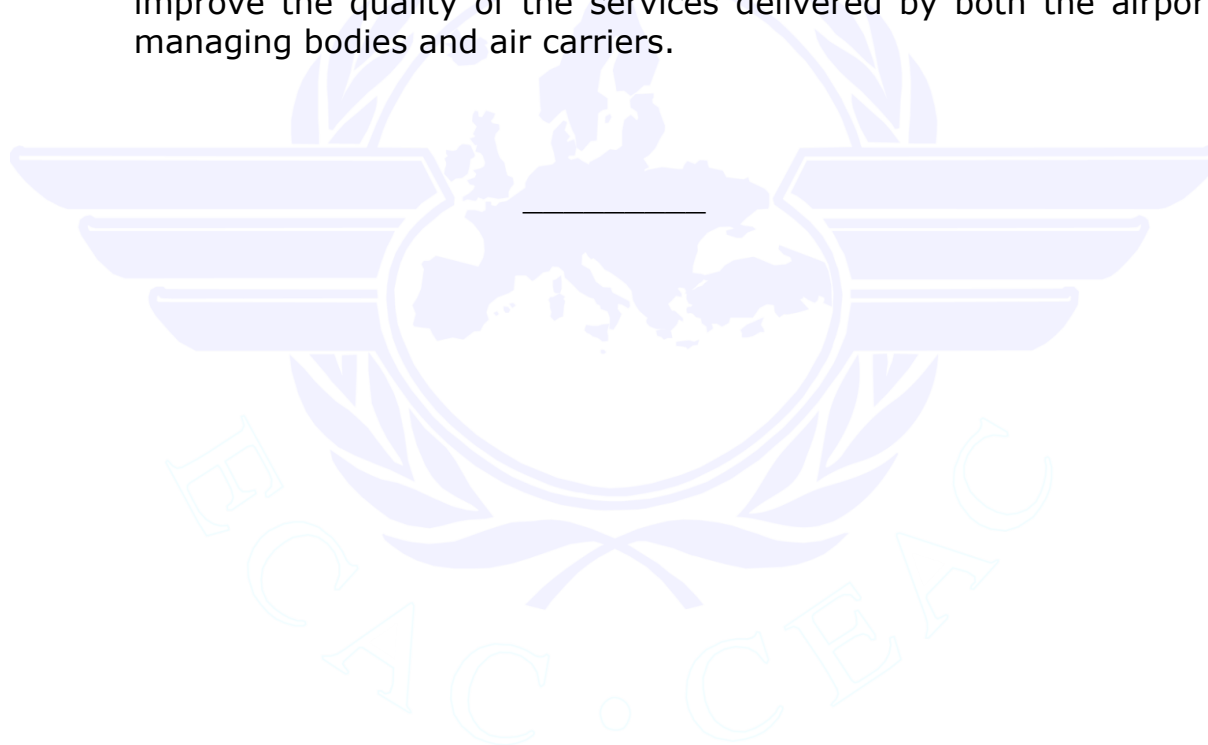
4.2.6.1 It is highly recommended for the air transport industry to also take into consideration the use of these modes of digital communication, to improve the communication towards persons with disabilities or PRMs with the aim to encourage pre-notification.

#### **4.2.7 Role of Member States**

4.2.7.1 All ECAC Member States should, and EU Member States must, under Regulation (EC) No 1107/2006, ensure that the necessary measures are put into place for informing persons with disabilities and PRMs of their rights and of the correct procedures to be followed when travelling by air.

#### **4.2.8 Role of the Associations**

4.2.8.1 Associations should enclose the special task to provide information and create a culture about the peculiarity of the air transport mode and the industry should strictly cooperate with the Associations to better tailor the special assistance needed by persons with disabilities and PRMs when travelling by air as well as on how to improve the quality of the services delivered by both the airport managing bodies and air carriers.



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**ANNEX 5-I: US AIR CARRIER ACCESS ACT REGULATION (14 CFR Part 382) AND EU REGULATION (EC) No 1107/2006: COMPATIBILITY AND POTENTIAL CONFLICT**

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**US AIR CARRIER ACCESS ACT REGULATION (14 CFR Part 382) AND EU REGULATION (EC) No 1107/2006: COMPATIBILITY AND POTENTIAL CONFLICT**

**1. INTRODUCTION**

- 1.1 The US Air Carriers Access Act (ACAA), which prohibits discrimination against persons with disabilities, has applied to US air carriers since 1986. In 1990, the US Department of Transportation issued 14 CFR Part 382 (Part 382), the regulations defining the rights of passengers with disabilities and the obligations of U.S. air carriers under the ACAA.
- 1.2 On April 5, 2000, the ACAA was amended to cover foreign air carriers. On May 13, 2008, the Department of Transportation issued a final rule strengthening Part 382 and extending it to non-U.S. airlines on flights to and from the U.S. and on code share flights with US carriers anywhere in the world. This final rule became effective on May 13, 2009.
- 1.3 The US Department of Transportation's disability regulation (14 CFR Part 382) is similar to the European Union's Regulation (EC) No 1107/2006 in that the purpose of both these rules is to ensure access to the air travel. The US regulation also covers many of the same issues as the European Union's Regulation (EC) No 1107/2006 but contains important differences of approach. The purpose of this Annex is to give guidance to Member States, airports and air carriers on their obligations under both sets of rules and where they may find issues of incompatibility.
- 1.4 This guidance is not comprehensive and is not a substitute for studying both the legal requirements and the guidance available on both Part 382 ([http://airconsumer.dot.gov/SA\\_Disability.htm](http://airconsumer.dot.gov/SA_Disability.htm)) and ECAC Doc 30, Part I, Section 5 and its annexes.
- 1.5 The purpose is to alert Member States which may have air carriers (and therefore also airports) which come within the scope of the US regulation or may do in the future and to indicate the main areas covered by the regulation and where to go for further detailed guidance.

**2. SCOPE OF PART 382**



- 2.1 The US Part 382 requirements apply in full to non-US carriers on flights to and from the USA. A flight is defined as a continuous journey in the same aircraft or with one flight number that begins or ends at a U.S. airport.
- 2.2 In the case of flights by non-US carriers on a code share with a US carrier between two non-US points (for example between two European cities), the service-related requirements of Part 382 do apply but responsibility for ensuring compliance in this case rests with the US carrier. The aircraft accessibility requirements of Part 382 do not apply in such a situation to either the US or non-US carrier.

### **3. EXEMPTIONS**

- 3.1 The only circumstances in which a non-US carrier can be exempt from these requirements are if:
- They obtain a "Conflict of Law" waiver. This requires proof that a national or international law with which the carrier must comply directly conflicts with the requirements of Part 382;
  - They can demonstrate "equivalent alternative determination". This requires the carrier to demonstrate that they can provide a service or facility for a person with disabilities or PRM by a different means but which is as good as or better than that required by Part 382.

### **4. DIFFERENCES BETWEEN PART 382 AND REGULATION (EC) No 1107/2006**

- 4.0 The key differences between the two sets of requirements are summarised in the table in Attachment A. The key points are described below:

#### **4.1 At the airport**

##### **4.1.1 Provision of assistance**

- 4.1.1.1 The biggest difference is in who is responsible. Part 382 places responsibility for delivery of services and facilities to persons with disabilities and PRMs on the **airline** and Regulation (EC) No 1107/2006 places it primarily on the **airport** (except for on board services and facilities).

- 4.1.1.2 In every case the airline is held responsible of any breach of Part 382 even in circumstances where the delivery is, under European law, the responsibility of the airport. For example, carriers must ensure that persons with disabilities can readily use all terminal facilities they own, lease or control.

- 4.1.1.3 If the facilities and services provided by the airport under Regulation (EC) No 1107/2006 do not meet the requirements of Part 382, the carrier is obliged to supplement them in order to meet the performance requirements for assistance set out in Part 382.
- 4.1.1.4 A carrier must provide, or ensure the provision of, assistance to a person with disabilities in moving from the terminal entrance through the airport to the gate for a departing flight or from the gate to the terminal entrance. This obligation extends to a vehicle drop-off or pick up point adjacent to the terminal entrance and key functional areas of the terminal such as ticket counters and baggage claim. This does not include satellite parking or car rental drop-off points that are not adjacent to the terminal entrance. If a carrier chooses to provide ground transport to satellite parking or car rental drop-off points for its passengers, the carrier must ensure that accessible transport is provided to its passengers with disabilities.
- 4.1.1.5 Under Regulation (EC) No 1107/2006, the obligation of the airport managing body covers all of these areas and also extends to designated points of arrival and departure (agreed in co-operation with disabled people) which may include areas such as satellite parking which are not adjacent to the terminal.
- 4.1.1.6 Part 382 also requires specific facilities and services for people who are hearing or vision impaired including high contrast captioning on audio visual displays at terminal facilities carriers own, lease or control at a U.S. airport. These requirements are not explicit in Regulation (EC) No 1107/2006 but there is a general requirement to meet quality standards in accordance with ECAC Doc 30, Part I, guidance.



## **4.2 On Board**

### **4.2.1 Refusal of carriage**

4.2.1.1 Under Part 382 a carrier may refuse transport on the basis of safety or if carriage would violate FAA (Federal Aviation Administration) or other non-US government safety or security requirements. This is similar to the provision of Regulation (EC) No 1107/2006 which permits refusal of carriage only in order to meet “applicable safety requirements” under national or international law or where the size of the aircraft is physically too small to accommodate the passenger.

4.2.1.2 If carriage would not contravene a safety or security requirement, Part 382 allows carriers to refuse to transport on the basis of safety only if the carrier’s decision is based on a “direct threat evaluation” based on an individualised assessment of the:

- Nature, duration and severity of the risk
- Probability that harm to health, safety of others will occur
- Possibility to mitigate the risk

4.2.1.3 This means that the Part 382 requirement is more prescriptive than the equivalent Regulation (EC) No 1107/2006 requirement.

### **4.2.2 Prenotification**

4.2.2.1 Part 382 generally does not permit carriers to require a passenger with disabilities or PRM to pre-notify (except in cases where the US Department of Transportation believes carriers need time to make arrangements such as accommodating those travelling with respiratory equipment or emotional support animals, accommodating a group of 10 or more passengers with disabilities travelling together and some other unique circumstances).

4.2.2.2 Regulation (EC) No 1107/2006 only holds the assistance provider responsible for delivering assistance to the approved standards (in accordance with ECAC Doc 30, Part I, guidance) provided that the passenger has pre-notified their needs at least 48 hours in advance. However, they are required to make all reasonable efforts to provide the necessary assistance without this period of notice.

### **4.2.3 Limitation of number of PRMs on board**

4.2.3.1 Under Part 382 carriers cannot limit the number of persons with disabilities on a flight. Part 382 forbids quotas for carrying persons with disabilities.

4.2.3.2 There is no clear rule under Regulation (EC) No 1107/2006 but

under Recommendation OPS1 IEM 1260 the number of PRMs on board should not exceed the number of able bodied passengers capable of assisting in case of emergency.

#### **4.2.4 Accompanying Person/Safety Assistant**

4.2.4.1 Under Part 382 a carrier can only require a person with disabilities to be accompanied by a safety assistant under limited circumstances (for example the passenger has a cognitive disability and is unable to understand or respond appropriately to safety instructions including the safety briefing, is severely mobility impaired and would be unable to assist in his/her own evacuation in the case of emergency, or is severely hearing and vision impaired such that he/she could not adequately communicate with airline employees on the safety briefing and assist in his or her own evacuation in the event of an emergency). If a carrier believes that a person with disabilities must travel with a safety assistant for one of the reasons above, the carrier may provide the assistant (for example an off-duty crew member). If the carrier does not designate an employee or volunteer to be the safety assistant, the carrier must not refuse to accept someone designated by the passenger and if the passenger disagrees with the need for an assistant the carrier cannot charge for their seat.

4.2.4.2 Under Regulation (EC) No 1107/2006, a carrier can require a person with disabilities to be accompanied by another person to provide the assistance that person needs. They are not obliged to carry the accompanying person free of charge, although it is good practice to do so.

#### **4.2.5 Seating**

4.2.5.1 Part 382 does not permit a carrier to exclude any person with disabilities from any seat or require that a person with disabilities sit in any particular seat except for compliance with safety requirements. In four specific situations, Part 382 requires that a passenger who self-identifies as a person with disabilities be provided a particular type of seat (i.e., a seat in a row with a moveable armrest if the passenger uses an aisle wheelchair to access the aircraft and cannot transfer over a fixed aisle armrest, an adjoining seat for a person assisting a person with disabilities if the passenger is travelling with a personal care attendant, a bulkhead seat for passenger with a service animal<sup>47</sup> if requested, a bulkhead seat or other seat with more legroom for passenger with fused leg).

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<sup>47</sup> In the ECAC/EU context, “service animals” refers exclusively to “recognised assistance dogs”.

4.2.5.2 Regulation (EC) No 1107/2006 requires carriers to make “all reasonable efforts” to arrange seating to meet the needs of individuals with disability. But the OPS 1260 of the Regulation 859/2008 related to technical rules and administrative procedures applicable to commercial transport indicates that persons with reduced mobility (PRMs) cannot occupy a seat where their presence could impede the crew in their duties, obstruct access to emergency equipment or impede the emergency evacuation of the plane.

#### **4.2.6 Accommodating manual wheelchairs**

4.2.6.1 Under Part 382, the carrier is obliged to accommodate in the aircraft cabin a passenger’s manual, foldable wheelchair if the wheelchair can fit in the space. Aircraft with more than 100 seats must also provide priority storage on board for a passenger’s manual wheelchair.

4.2.6.2 There is no such requirement in Regulation (EC) No 1107/2006 and this has been the cause of a number of problems and complaints by US passengers with disabilities transferring onto a connecting flight in Europe and finding that they are not allowed to board with their wheelchair.

#### **4.2.7 Service Animals/Assistance Dogs**

4.2.7.1 Part 382 requires non-US carriers to accept service animals/assistance dogs including psychiatric service or emotional support dogs. Carriers can only require medical documentation for these last two categories. US carriers also have to accept other types of service animal (monkeys etc). In the case of flights by non-US carriers on a code share with a US carrier between two non-US points (for example between two European cities), non-US carriers should also transport other types of service animals (monkeys, cats) as the US carrier would be held responsible if the non-US carrier does not do so. ID cards, other written documentation, special harness or tags or “credible verbal assurance” are all acceptable evidence that the dog is a service/assistance dog.

4.2.7.2 The service/assistance dog must be permitted to accompany the passenger to any seat (except emergency exits).

4.2.7.3 Regulation (EC) No 1107/2006 requires carriers only to accept recognised assistance dogs.

#### **4.2.8 On Board Wheelchairs**

4.2.8.1 Under Part 382 aircraft with more than 60 passenger seats and with an accessible lavatory must be equipped with an on-board wheelchair. The on-board wheelchair must be designed to be

compatible with the manoeuvring space, aisle width, and seat height of the aircraft on which it is to be used, and to easily be pushed, pulled, and turned in the cabin environment by cabin crew.

4.2.8.2 If the aircraft being used for the flight has more than 60 passenger seats but does not have an accessible lavatory, the carrier must provide an on-board wheelchair on request for a passenger who can use the inaccessible lavatory but cannot reach it from his or her seat without the use of an on-board wheelchair. The carrier may require the passenger to provide up to 48 hours' advance notice and check in 1 hour before the check in time for the general public when requesting the on-board wheelchair under these circumstances.

4.2.8.3 Regulation (EC) No 1107/2006 has no such explicit requirement although carriers must provide assistance in moving to the toilet facilities, if required, which in practical terms may only be done by means of an on-board wheelchair.

#### **4.2.9 Lifting armrests, etc.**

4.2.9.1 Part 382 states that aircraft with 30 or more passenger seats must be equipped with moveable aisle armrests on at least half of the aisle seats in rows in which passengers with mobility impairments are permitted to sit. Moveable armrests must be provided proportionately in all classes of service. Non-US carriers have to meet this requirement on new aircraft that were initially ordered after May 13, 2009, or delivered after May 13, 2010.

4.2.9.2 Regulation (EC) No 1107/2006 does not include requirements for on-board facilities but these are covered in good practice recommendations in ECAC Doc 30, Part I, Section 5.

#### **4.2.10 Complaints Resolution Officers (CROs)/National Enforcement Bodies (NEBs)**

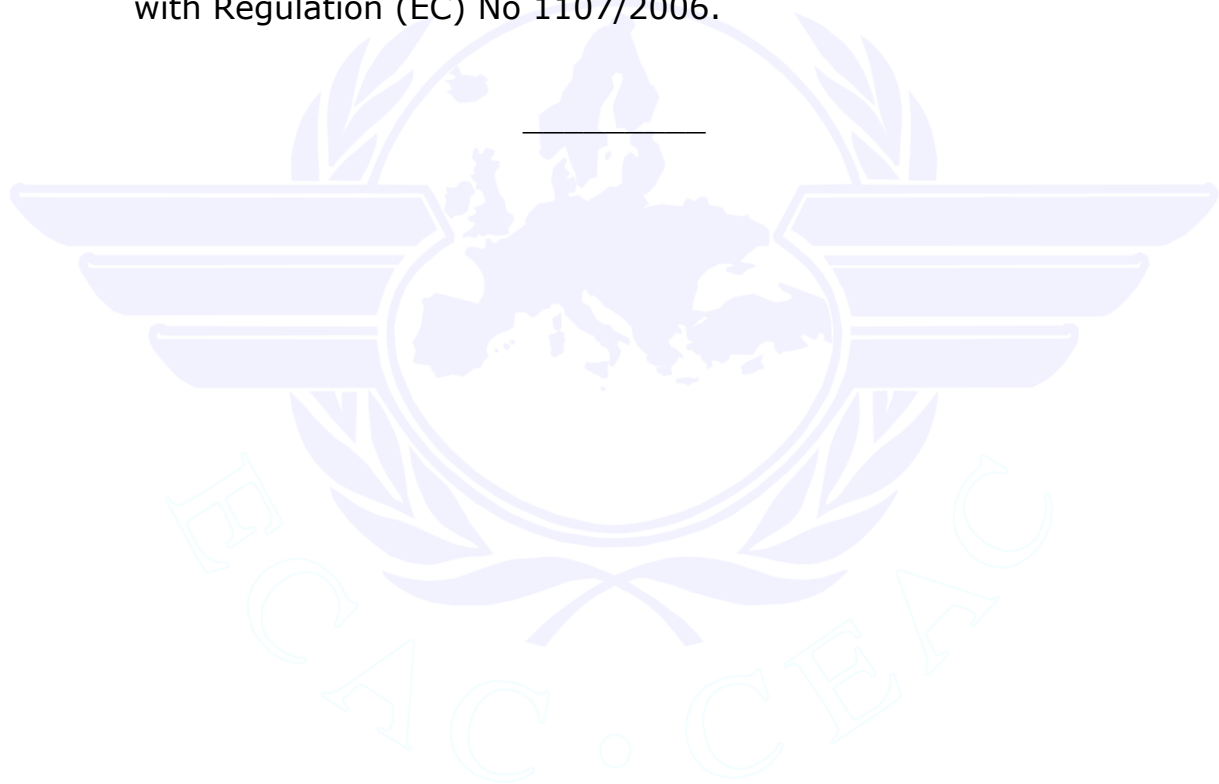
4.2.10.1 Under Part 382 carriers using aircraft with 19 or more passenger seats must designate one or more CROs. These are people who are trained as the carrier's experts in ensuring that carrier personnel correctly implement the Air Carrier Access Act (ACAA) requirements and Part 382.

4.2.10.2 Each CRO must be trained and thoroughly familiar with the rights of passengers with disabilities under Part 382 and with the carrier's procedures with respect to persons with disabilities. The primary purpose of having a CRO is to resolve a passenger's problem as quickly as possible. Non-US carriers must have a CRO available at each airport that serves flights to and from the USA, either in person or by phone.

4.2.10.3 Under Regulation (EC) No 1107/2006, each EU Member State must appoint one or more National Enforcement Bodies (NEB) responsible for enforcing the Regulation and ensuring that the rights of persons with disabilities and PRMs are respected. In the first instance passengers will complain to the airport or air carrier concerned and the role of the NEB is generally to handle complaints that cannot be resolved in this way.

4.2.10.4 Regulation (EC) No 1107/2006 requires that in the first instance passengers complain to the airport or air carrier concerned and the role of the NEB is generally to handle complaints that cannot be resolved in this way.

4.2.10.5 NEBs also have a role in inspecting and monitoring compliance with Regulation (EC) No 1107/2006.



**SECTION 2 Attachment A**  
**REQUIREMENTS OF PART 382 AND REGULATION (EC) No**  
**1107/2006**

<b>DoT 14 CFR Part 382</b>	<b>Regulation (EC) No 1107/2006</b>
<p><b>Subpart A. General provisions</b>                      382-1 Purpose                      382-3 Meaning of terms in the rule                      382-5 Compliance by carriers                      382-7 To whom do provisions apply                      382-9 Conflicts of law                      382-10 Equivalent alternatives</p>	<p><b>Art 1</b> – Purpose and scope  <b>Art 2</b> – Definitions</p>
<p><b>Subpart B. Non discrimination and access to services and information</b></p> <p>382-11 General requirement                      382-13 Modification of policies, practices and facilities by air carriers                      382-15 Compliance by contractors</p> <p><i>382-17 Limitation of the number of passengers with a disability on a flight</i></p> <p>“Carriers cannot limit the number of disabled passengers on a flight. Part 382 forbids quotas for transportation of disabled passengers”</p> <p><i>382-19 Refusal to provide transportation on the basis of disability</i>                      Carrier may refuse transportation on the basis of safety or if carriage would violate FAA or other foreign government safety or security requirements.</p> <p><i>382-21 Limitation of access to transportation on the basis of communicable disease or other medical condition</i>                      382-23 Medical certificates</p>	<p><b>Art 3</b> - Prevention of refusal of carriage  <b>Art 4</b> – Derogations, special conditions and information  <b>Art 6</b> - Transmission of information (<i>prenotification</i>)</p> <p><b>Not mentioned</b>                      NB: Recommendation OPS1 IEM 260:</p> <p>The number of PRMs on board should not exceed the number of able bodied passengers capable of assisting in case of emergency.</p> <p><b>Equivalent to 1107 Art 4.1</b>                      See 1 below</p>



<b>DoT 14 CFR Part 382</b>	<b>Regulation (EC) No 1107/2006</b>
<p><i>382-25 and 382-27 Advance notice</i>            "In general a carrier cannot require a passenger with a disability to provide advance notice that he/she is travelling on a flight".</p> <p>A carrier can require 48H advance notice and 1 hour added check-in for limited services only</p>	<p><b>Art 6 – 1:</b>            "Air Carriers...shall take all measures necessary for the receipt... of notifications of the need for assistance made by disabled persons or persons with reduced mobility"</p>
<p><i>382-29 Safety assistant</i>            limits the possibility to require a safety assistant to specified circumstances:</p> <ul style="list-style-type: none"> <li>- Passenger unable to respond to safety instructions from carrier personnel because of a mental disability</li> <li>- Passenger with a mobility impairment so severe he or she is unable to physically assist in his/her own evacuation</li> <li>- Passenger with severe vision AND hearing impairments</li> <li>- Passenger is traveling in a stretcher or incubator</li> </ul> <p>NB: If the carrier and the passenger disagree on the necessity of a safety assistant the carrier <b>must not charge</b> for his/her transportation</p> <p><i>382-31 Special charges</i>            permits a carrier to charge for the following services</p> <ul style="list-style-type: none"> <li>- Transportation in a stretcher or incubator</li> <li>- Hook up of a respiratory device</li> <li>- Use of a second seat if the passenger's size and condition causes him/her to occupy more than one seat</li> </ul>	<p><b>Art 4-2:</b> "...A carrier may require that a disabled person or person with reduced mobility be accompanied by other person capable of providing the assistance required by the person"</p> <p>1107 art 10: Assistance defined in Annex II provided at no charge for the passenger</p>

<b>DoT 14 CFR Part 382</b>	<b>Regulation (EC) No 1107/2006</b>
382-33 Other restrictions 382-35 Waivers or releases	
<b>Subpart C. Information to passengers</b> 382-41 Flight related informations 382-43 Accessibility of information and reservation services of carriers 382-45 Availability of 382 to passengers	<b>Annex II</b> <b>Art 4</b>
<b>Subpart D. Accessibility of airport facilities</b> <i>382-51 Requirements by carriers concerning airport facilities</i> <i>a. As a carrier, you must ensure that certain specified accommodations are provided at terminal facilities you own, lease or control at a U.S. airport (e.g., lifts where level entry boarding is not available, service animal relief areas)</i> <b>b. As a carrier</b> you must ensure that passengers with a disability can readily use all terminal facilities you own, lease or control at a foreign airport.. 382-53 Information by carriers to individuals with vision or hearing impairment 382-55 Security screening procedures imposed by carriers 382-57 Services by carriers if automated kiosks inaccessible	<b>Art 5</b> – Designation of points of arrival and departure <b>Annex I</b>



<b>DoT 14 CFR Part 382</b>	<b>Regulation (EC) No 1107/2006</b>
<p><b>Subpart E. Accessibility of aircraft</b></p> <p>382-61 Requirements for movable aisle armrests</p> <p>382-63 Requirements for accessible lavatories</p> <p>382-65 Requirements for on board wheelchairs</p> <p>382-69 Accessibility of videos and other audio visual presentations</p> <p>382-71 Other aircraft accessibility requirements</p>	
<p><b>Subpart F. Seating accommodations</b></p> <p>382-81 Passengers concerned</p> <p>382-83 Mechanisms for seating accommodations</p> <p>382-85 Seating accommodations not covered in 382-81</p> <p>382-87 Other requirements for seating accommodations</p> <p>You must not exclude any passenger with a disability from any seat or require that a passenger with a disability sit in any particular seat except for compliance with safety requirements</p>	<p><b>Art 10 – Assistance by air carriers</b></p> <p><b>Annex II</b></p> <p>Making of all reasonable efforts to arrange seating to meet the needs of individuals with disability...</p>

<b>DoT 14 CFR Part 382</b>	<b>Regulation (EC) No 1107/2006</b>
<p><b>Subpart G. Boarding, deplaning and connecting assistance</b></p> <ul style="list-style-type: none"> <li>- <b>Airlines</b> must ensure assistance upon request</li> <li>- <b>Airlines</b> or their subcontractors must supply the personnel and equipment</li> <li>- <b>Airlines</b> cannot leave non ambulatory passengers in a wheelchair for more than 30 minutes unless the passenger agrees</li> </ul> <p>382-91 Assistance to be provided by carriers  382-93 Preboarding  382-95 Carriers general obligations for boarding and deplaning assistance  382-97 Aircrafts concerned for use of lifts  382-99 Carriers agreements with airports they serve  382-101 Other boarding and deplaning assistance by carriers  382-103 Unattendance of a passenger in a wheelchair or other device  382-105 Responsibility of carriers at foreign airports at which airport operators have responsibility for enplaning, deplaning and connecting assistance</p> <p><i>At a foreign airport at which enplaning, deplaning or connecting assistance is provided by the airport operator.....If the services provided are not sufficient to meet the requirements of this subpart you must supplement the airport's operator services to ensure that these requirements are met.</i></p>	<p><b>Art 7-</b> Right to assistance at airports</p> <p><b>Art 8 – Responsibility for assistance at airports</b>  <b>8-1. The managing body of the airport shall be responsible for ensuring the provision of the assistance specified in Annex I....</b></p> <p><b>Art 9-</b> Quality standards for assistance  9-3: <i>The managing body of the airport shall publish its quality standards</i></p> <p><b>Annex II</b></p>

<b>DoT 14 CFR Part 382</b>	<b>Regulation (EC) No 1107/2006</b>
<p><b>Subpart H. Services on aircraft</b></p> <p>382-111 Services to be provided on board</p> <p>382-113 Services not required to be provided on board</p> <p>382-115 Requirements for on board safety briefings</p> <p><i>382-117 Service animals</i></p> <p>Airlines must carry service dogs including psychiatric service or emotional support dogs. Airlines can only require medical documentation for these last 2. ID cards, other written documentation, special harness or tags or credible verbal assurance are all acceptable evidence that the dog is a service dog.</p> <p>The service dog must be permitted to accompany the passenger to any seat (except emergency exits)</p> <p>382-119 Information to be given on board to individuals with vision or hearing impairment</p>	<p><b>Annex II</b></p> <p>Airlines must carry recognised assistance dogs in the cabin</p>

<b>DoT 14 CFR Part 382</b>	<b>Regulation (EC) No 1107/2006</b>
<p><b>Subpart I. Stowage of wheelchairs, other mobility aids and other assistive devices</b></p> <p>382-121 Mobility aids and other assistive devices into the aircraft cabin</p> <p>382-123 Priority cabin stowage for wheelchairs and other assistive devices</p> <p>382-125 Procedures to be followed when wheelchair or other assistive devices must be stowed in the cargo compartment</p> <p>382-127 Procedures to be applied for stowage of battery powered mobility aids</p> <p>382-129 Requirements when mobility equipment must be disassembled for stowage</p> <p>382-131 Baggage liability limits to mobility aids and assistive devices</p> <p>382-133 Evaluation and use of passenger supplied electronic devices for respiration in the cabin during flight</p>	<p><b>Art 12 – Compensation for lost or damaged wheelchairs, other mobility equipment and assisting devices</b></p>
<p><b>Subpart J. Training and administrative provisions</b></p> <p>382-141 Training required to be provided to carriers personnel</p> <p>382-143 When must training be completed</p> <p>382-145 Records of training</p>	<p><b>Art 11 – Training</b></p>

<b><i>DoT 14 CFR Part 382</i></b>	<b><i>Regulation (EC) No 1107/2006</i></b>
<p><b>Subpart K. Complaints and enforcement procedures</b>            382-151 Requirements for provision of CROs            382-153 Actions taken on complaints by CROs            382-155 Response by carriers to written complaints            382-157 Record keeping and reporting of complaints by carriers            382-159 Filing of complaints with DOT</p>	<p><b>Art 14 – Enforcement body and its tasks</b>  <b>Art 15 – Complaint procedures</b>  <b>Art 16 - Penalties</b></p>



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## **ANNEX 5-J: GUIDANCE ON WEBSITES' INFORMATION FOR PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY (PRMs)**

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### **1. GENERAL GUIDELINES ON ACCESIBILITY OF INFORMATION**

- 1.1 The information should be on a single webpage one click away from the home page of a website or on webpages directly accessible from a single 'landing' webpage one click away from the home page. One 'click' includes a mouse rollover, which then invites the user to select the "Special Assistance" link (see below) from a menu or list of other links.
- 1.2 The 'title' for hyperlinks to this information should be "Special Assistance" or similar and may include a relevant image (for example, a wheelchair). However, this must refer to assistance and arrangements necessary to enable disabled persons and persons with reduced mobility to use the airport facilities and to comply with the established procedures.
- 1.3 The information should be presented in a clear and easy to understand way and accessible for passengers with disabilities<sup>48</sup> and persons with reduced mobility. The design of websites should be in conformity with existing international guidelines on website accessibility such as the Web Content Accessibility Guidelines 2.0 (WCAG 2.0) of the W3C and fulfil at least the "AA" standard under these guidelines. It is very important that all the information is written down in easy language to address all passengers. Technical jargon and abbreviations should be avoided.
- 1.4 Alternative means of communication to transmit the information should be provided e.g. a direct phone line (local landline or free number, not at the charge of the passenger), web chat, e-mail, mail, etc. Staff should be available during airport opening hours at a minimum.

### **2. SPECIFIC GUIDELINES FOR AIRLINES**

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<sup>48</sup> Accessible formats means that information should be provided using text, audio, video (equipped with subtitles and/or sign language interpretation) and/or electronic means so as to be accessible to all. Accessible formats include, but are not limited to, large print, Braille version, easy-to-read version, audio format such as tapes or CDs, video format like DVDs, and electronic format.

- 2.1 **Information on safety restrictions.** This should specify the safety rules of the airline which may prevent the airline from accepting a reservation from a person with disabilities or a person with reduced mobility (PRM).
- 2.2 **Information on space restriction.** This should include information on any restrictions on the reservation due to the size of the aircraft or its doors which makes the carriage of persons with disabilities or their mobility equipment (e.g. wheelchair) physically not possible. Other information can include movable armrests, accessible lavatories, existence of on-board wheelchairs, etc.
- 2.3 **Information on how to obtain assistance.** This information should include, as a minimum:
- a) instructions on how PRMs can book assistance and description of the assistance available while noting that the code DPNA always requires specific information on what assistance is needed(e.g. using ECAC codes available in **Annex 5-A**);
  - b) the methods by which PRMs can book assistance (e.g. as part of the booking process, by email, phone, web form, etc, and any associated cost, for example calling a special assistance phone line);
  - c) whether, once the PRM has pre-notified, you will confirm this in writing (e.g. by email, letter, etc) to the PRM. This confirmation should at minimum specify if assistance will be provided at the airport of departure and/or at the airport of arrival and/or in transit through an airport if relevant;
  - d) the stipulated time before their flight that the PRM should arrive at the airport, taking into account that if the passenger needs assistance from a point outside the airport building, e.g. the car parking, the time should be appropriate (e.g. at least two hours according to ECAC Doc 30, Part I paragraph 5.8.4); and
  - e) the relevant telephone and e-mail contacts for requesting assistance.
- 2.4 **Information about mobility equipment, mobility aids and medicine.** This should specify the rules on carriage of mobility equipment, mobility aids and medicine. This should include descriptions of what mobility equipment or aids are , if possible with examples. Any restrictions on particular equipment/aids, or parts of, must be listed (for example, battery types). It should set out a clear distinction between mobility equipment and medical equipment in general (such as oxygen). Airlines should allow baggage to contain general aids such as wipes, gloves or a change of (under) clothing.

- 2.5 Information on seating on-board.** This information should include, as a minimum, what type of seating is generally available (for example, extra leg / space or movable armrests) as well as instructions for how a PRM can pre-book a suitable seat on board or, if this option is not available, how the airline ensures that suitable seats are allocated to PRMs. It should also cover the availability of, and instructions for, pre-booking specialist seating devices such as harnesses, MERU chairs etc. It should also mention any restrictions (e.g. seating in emergency exits, bulkhead rows) and information on additional costs (e.g. for bulkhead seats).
- 2.6 Information on when an accompanying person will be required.** This information should include, as a minimum, the circumstances under which the airline will require that the PRM travels with an accompanying person and that this is restricted to safety reasons. This information should specify who can be designated as accompanying person (e.g. restrictions on age, etc.) and also include special arrangements in relation to the accompanying person (e.g. where they will be seated in relation to the PRM, whether there is a discount fare available, etc).
- 2.7 Information on service animals<sup>49</sup>.** This information should include, as a minimum, whether the airline accepts service animals and, if so, for which routes. It should also make clear what it defines as a "service animal". It should also cover the arrangements for travelling with a service animal and any costs involved (for example, if the animal requires a proper seat). It should state any restrictions on travel and any conditions that must be met for the animal to be able to travel.
- 2.8 Information on oxygen.** This should include, as a minimum, the airline's policy on the carriage of oxygen or any other breathing apparatus by passengers (e.g. documentation which should be carried by the passenger as signed medical declarations, etc.), and any restrictions (e.g. security, safety) to carriage on particular routes. It should also include whether the airline will itself provide oxygen, the volume of oxygen available in flight and the amount of any charge for this service.
- 2.9 Information on how to get to and from the toilet on-board.** This should specify the arrangements generally available for assisting PRMs to and from the toilet, including whether a wheelchair is available on-board and, where relevant, the instructions for pre-booking the on-board wheelchair.
- 2.10 Information on toilets on board.** This should include, as a

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<sup>49</sup> In the ECAC/EU context, "service animals" refers exclusively to "recognised assistance dogs"



minimum, whether any toilets are accessible to on board wheelchairs or have any other features to assist PRMs.

- 2.11 Compensation for mobility equipment.** This should state the airline's policy on compensation for damage to or loss of mobility aids (i.e. whether the Montreal Convention limits apply) and the process which passengers should follow to make a claim. It should be clear how and when the complaint has to be made and give a point of contact, ideally in the baggage claim area on arrival.
- 2.12 Information on how to complain.** This should include the arrangements in place for PRMs to complain to the airline about the assistance provided on their journey, including contact details.
- 2.13 Information on PRM helpline.** This should provide the telephone number and opening hours of the airline's helpline for enquiries from PRMs, as well as alternative accessible means of contact (see above).

### **3. SPECIFIC GUIDELINES FOR AIRPORTS**

- 3.1 Information on the assistance provided at the airport.** This information should specify, as a minimum, the types of assistance provided at the airport to persons with disabilities and persons with reduced mobility (PRMs).
- 3.2 Information on how to obtain this assistance.** This information should include, as a minimum, how in general terms PRMs can arrange for assistance at the airport, and should make reference specifically that the PRM should pre-notify with airline, tour operator or travel agent (e.g. at least 48 hours according to ECAC Doc 30, Part I, Section 5). Additionally, information should be given about the location of the call points, information desks or check-in desks, where the passengers should announce their presence upon arrival.
- 3.3 Information on getting to the airport.** This information should include, as a minimum, the available transport methods for getting to the airport or through the different terminals of an airport, the arrangements for disabled parking at the airport both at departure and arrival (within the terminal boundary), and any specific rules for, or charges applied to, PRM passengers for using a drop-off zone at the airport. This should also include links to any pages detailing the accessibility arrangements for transport operated by other companies, and public transport, to and from the airport and car parking operated outside the terminal boundary.
- 3.4 Information on the layout of the airport.** Airports should provide a map of the airport and list the key walking distances. As a minimum, the map should include both inside and outside the

terminal building and include a scale to enable PRMs to assess likely walking distances between key points including call points, designated arrival and departure points, special assistance areas (both landside and airside), check-in areas, disabled toilets/disabled washrooms/disabled shower facilities, security checkpoints, departure lounges, gates, border control and baggage reclaim. As a recommendation the list of walking distances should include the furthest possible distance between key points including designated arrival and departure points, special assistance areas (both landside and airside), check-in areas, disabled toilets/disabled washrooms/disabled shower facilities, security checkpoints, departure lounges, gates, border control and baggage reclaim.

- 3.5 **Information on designated arrival and departure points.** The map of the airport should include a list of designated meeting points where the assistance staff can be contacted and where they can meet and assist the passenger from. The location of each designated point should be shown on a map to make sure they are easy to find; this information should also be available in text. An alternative format (such as video) can further clarify the information.
- 3.6 **Information on performance standards.** This information should include, as a minimum, information on (and links to) the airport's Quality Standards and, if applicable, how the airport or its agent has performed against the Quality Standards. This information should be easy to find and to understand for the passenger. Airports with annual traffic less of 150,000 passengers can be excluded of this provision.
- 3.7 **Information on airport security.** This information should include, as a minimum, whether there are any special arrangements for PRMs in relation to security, in particular in relation to mobility and medical equipment, and whether private rooms are available for security searches. If the airport operator is not responsible for security, it should include links to any pages detailing the accessibility arrangements for security searches as well as the contact details of the contractor in order to clarify procedures.
- 3.8 **Information on mobility equipment.** This should include, as a minimum, the arrangements at the airport for allowing PRM passengers to remain in their own mobility equipment up to the gate, and the arrangements for repatriating mobility equipment to the PRM passenger on arrival. In addition, where relevant, it should include any information for owners on preparing mobility equipment for carriage. This information should also cover the arrangements for obtaining replacement mobility equipment in the event that the PRM's own equipment is damaged on arrival.

**3.9 Information on service animals.** This should include the arrangements in place at the airport for service animals, including information about the location of relief areas for service animals.

**3.10 Information on how to complain.** This should include the arrangements in place for PRMs to complain to the airport about the assistance provided at the airport on their journey, including contact details.

**3.11 Information on PRM helpline.** The telephone number and opening hours of the airport's helpline for enquiries from PRMs, as well as alternative accessible means of contact (see above). This should be a phone number that is always manned during the airport's opening hours (e.g. airport telephone general information service).

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## ANNEX 5 – K ON HARMONISATION OF CALL POINT SIGNAGE

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### 1. INTRODUCTION

- 1.1 Article 5 of Regulation (EC) No 1107/2006 “concerning the rights of disabled persons and persons with reduced mobility when travelling by air” and ECAC Doc 30, Part I, require airport managing bodies to:
- “Designate points of arrival and departure within the airport boundary or at a point under the direct control of the managing body, both inside and outside terminal buildings, at which disabled persons or persons with reduced mobility can, with ease, announce their arrival at the airport and request assistance.”*
- “The points of arrival and departure referred to in the paragraph above, shall be clearly signed and shall offer basic information about the airport, in accessible formats.”*
- 1.2 There is currently no common concept and the positioning of call points and their design and usability varies among ECAC Member States’ airports. This means that persons with disabilities and PRMs have sometimes no clear guidance on where they might find the call points at any given airport or what those call points might look like or, indeed, whether they will be usable.
- 1.3 The ECAC Facilitation Working Group agreed to develop a common, single and easily understandable signage for indicating the points of arrival and departure for persons with disabilities and PRMs at airports.
- 1.4 The recommendations should assist airports with harmonising signage to identify the call points. The text describes how a sign for a call point could look like. The document is not intended to address all aspects and should be considered as a recommendation when deciding on the design of new airports and terminals, and as part of major refurbishments.

### 2. MAIN FEATURES OF THE CALL POINT SIGNAGE:

#### 2.1 Design:

Call points should be designed to be usable by people with a wide range of needs, including:

- Wheelchair users;
- People with walking difficulties (e.g. using a stick or crutches);

- People without fine finger movement or upper body strength;
- People who have low vision or are blind;
- People who are hearing impaired or deaf; and
- People with hidden disabilities.

## 2.2 **Location:**

The EU regulation specifies that airport managing bodies should involve organisations representing persons with disabilities and PRMs in the decision-making process in order to agree on the most appropriate locations for call points. Taking the advice of these organisations would help to ensure that call points are placed in the most appropriate and convenient spots.

It is important to place call points both outside and inside the terminal building.

It is highly recommended to place the call points as close as possible to the points of arrival and departure to avoid covering long distances to get assistance:

- In **car parks:** the call points should be located as close as possible to the parking bays designated for disabled people (Blue Badge bays);
- In **stations:** the call points should be located as close as possible to the point at which people disembark from trains/metros; and
- At **drop off points, taxi ranks** etc.: the call points should be located outside the terminal building where they can be clearly seen by those arriving by car, bus or taxis.

## 2.3 **Appearance:**

**ISO 3864-1:2011** establishes the safety identification colours and design principles (e.g. height of a sign and observation distance) to be used in workplaces and public areas. White and dark blue, with at least 50% of the area of the sign in dark blue, is the usual colour scheme for public information (e.g. information service, accessibility). A brown background is also used for public information, although it is frequently related to points of recreational or cultural interest.

Without compromising the visual identity of each individual airport, it should be possible to achieve a sufficient degree of commonality to make the identification of call points much easier, by agreeing to a common colour scheme and using a representative symbol or set of symbols.

### 3. RECOMMENDED SYMBOLS

- 3.1 It is recommended to include, in addition to the standard wheelchair symbol, two additional symbols to represent the diversity of persons with disabilities and persons with reduced mobility that have the right to assistance. Those are the symbol with the eye for visual-impaired people and the symbol for persons who are deaf or hard of hearing. Furthermore, it is recommended to designate the call points in English as "Call Point for Assistance" and the designation in the corresponding national language(s).
- 3.2 According to the European Disability Forum (EDF), two international standards represent the symbol as follows:



**ISO 7000** – Graphical symbol for use on equipment  
Reference No: PI PF 006

**ISO 7001** – Public information symbols  
Reference No: PI PF 006

The International Symbol of Access (ISA) consists of a blue square overlaid in white with an image of a person in a wheelchair (left icon below). Recently some disability organisations advocate for a more active and engaged image like the one proposed by the Accessible Icon project (right icon below).



The ISA is used to represent facilitated access, for wheelchair users but also for other PRMs. However, as the wheelchair icon is associated mainly with accessibility and is widely used, its sole representation for indicating call points' location may not be enough to make it clear that call points are adapted to all kinds of disabilities. For depicting other disabilities, the following icons are frequently used:



**ETSI EN 301 462** – Symbols to identify telecommunication facilities for deaf and hard of hearing people.  
Graphical Symbol No. 1: General facilities for deaf and/or hard of hearing people.



Facilities adapted to visual-impaired people (blind or partially sighted).

#### 4. BASIC DESIGN CRITERIA SHOULD INCLUDE:

- **Identification:** in order to help people who are blind or have low vision to locate the call point, it is helpful to include an audible sound or other location systems (using beacons, Bluetooth, etc.);
- **Information:** information on how to use the call point should be clearly set out (minimum 16 points in a mix of upper and lower-case letters) and any illustrations must be clear and unambiguous. All information should be in a colour that contrasts strongly with the background colour and should be provided in different languages;
- **Height:** the maximum height of any button or other interactive feature should be at least 750 mm above the ground and no more than 1 200 mm. This also applies to the microphone and speaker so that people can hear and be heard;
- **Position:** there should be sufficient clear space in front of the call point to allow a wheelchair user to manoeuvre (1 850 mm x 2 100 mm);
- **Push buttons:** simple push buttons are the most easily usable form of communication for people with limited hand control or fine finger movement. The buttons should be 20 mm in diameter and protrude slightly. The buttons should also include a tactile indicator to help a blind person to identify them. It is never appropriate to use a standard telephone handset at a call point;
- **Volume:** it is important that the disabled person can hear what the assistance provider who answers the call says. The volume should be set at between 12 decibels and 18 decibels above the noise level of the surrounding area. An inductive coupler should be fitted to help people using hearing aids;

- **Text:** for those people, unable to communicate in speech or unable to hear, a text facility should also be included to enable communication with the PRM assistance providers;
- **Lighting:** it is important that the call point is clearly illuminated to aid location after dark and that the machine itself has a good level of lighting. 200 lux is recommended for the interactive parts (such as the push button); and
- **Seating:** in case disabled people have to wait a few minutes for the assistance to arrive, there should be adjacent seating available for those unable to stand for any length of time. Seating should ideally be available in two heights (seat heights at 489 mm and 584 mm). Armrests are very helpful for those people who have difficulty getting up and should be placed at about 200 mm above seat level. There should also be a cover for the seating area if it is outside of the terminal building.



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**ANNEX 5 – L ON GUIDANCE MATERIAL FOR PRM ASSESSMENTS**

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**1. INTRODUCTION**

- 1.1 The purpose of this Guidance Material is to provide a tool for the National Enforcement Bodies (NEBs) to make an assessment of progress at airports in implementing the requirements and good practice in meeting the needs of passengers with disabilities and Persons with Reduced Mobility (PRMs) in accordance ECAC Doc 30, Part I, Recommendations and its Annexes (12th edition/May 2018) and with Regulation (EC) No 1107/2006 concerning the rights of disabled persons with reduced mobility when travelling by air, and its interpretative guidelines (SWD (2012) 171, 11 June 2012).
- 1.2 The Guidance Material includes the items which are covered both in the Regulation and in ECAC Doc 30, Part I, and its Annexes and which are essential to the implementation of a high quality service for passengers with disabilities and PRMs. It covers general quality standards and specific requirements under the responsibility of the airport managing body.
- 1.3 The document presents two parts: the first part contains general instructions, indications and questions for the assessment, and the second part contains a checklist and suggestions of questions and observations to make during the on-site assessment. The main checklist should be used to verify that all items have been covered during the assessment and to make notes about the findings. These checklists can be the starting point to drafting the final assessment report. Questions, things to observe and attachments can be added to by assessment teams, and in many cases the interviews and observations will be influenced by the quality of answers in the preliminary questionnaire.

## 2. PRELIMINARY QUESTIONS FOR AIRPORT OPERATORS AND AIR CARRIERS

### 2.1 BASIC INFORMATION – ALL AIR CARRIERS AND AIRPORT OPERATORS

<b>ECAC MEMBER STATE:</b>	
<b>Appropriate national authority:</b>	
<b>Person responsible for PRM matters:</b>	
<b>Phone number:</b>	
<b>Email:</b>	
<b>National Coordinator</b>	
<b>Name, title and organisation:</b>	
<b>Phone number:</b>	
<b>Email:</b>	
<b>Accountable person at operator</b>	
<b>Name, title and organisation:</b>	
<b>Phone number:</b>	
<b>Email:</b>	

Documents to attach: -

List here documents required as per full or thematic assessment and the suggested documents in the preliminary questionnaire.

- 1.
- 2.
- 3.



<b>Add air carrier name &gt;&gt;</b>	<b>1.</b>	<b>2.</b>	<b>3.</b>	<b>4.</b>	<b>5.</b>	<b>6.</b>	<b>7.</b>	<b>8.</b>	<b>9.</b>	<b>10.</b>	<b>11.</b>	<b>Total</b>
Number of passengers handled (I+O)												
Number of PRMs handled (I+O)												

<b>IATA code</b>	<b>WCHR</b>	<b>WCHS</b>	<b>WCHS</b>	<b>BLND</b>	<b>DEAF</b>	<b>BLND/DEAF</b>	<b>DPNA</b>	<b>WCMP</b>	<b>WCBP/WCBL</b>	<b>MAAS</b>	<b>PETC</b>	<b>Others</b>
% of PRMs												

How many PRMs with service animals have been assisted in the last 12 months?

How many departing PRMs have missed their flight in the last 12 months? (e.g. PRM presented late for assistance)

Are you able to receive PAL, CAL and PSM messages from air carriers, including in a free text format?

Please attach:-

- Organisational structure of airport operator showing PRM managers, accountable managers, trainers

## 2.3 QUALITY STANDARDS – AIRPORT OPERATORS

Reference: Article 9 Regulation (EC) 1107/2006 5.10, Annex 5C Doc. 3 5.15 and Annex 5

Question	Answer	Assessor Comments
Are the quality standards for assistance published?	<ul style="list-style-type: none"> <li>• Yes / No</li> <li>• Link to webpage :</li> </ul>	
Which languages are the quality standards for assistance available in?		
Were the quality standards developed with input from the disability community?	<ul style="list-style-type: none"> <li>• Yes / No</li> <li>• Which groups ?</li> <li>• What was the process ?</li> </ul>	
Is a subcontractor used for the PRM service?	<ul style="list-style-type: none"> <li>• Yes / No</li> <li>• Name :</li> <li>• Date contracted until :</li> </ul>	
How are the service levels monitored?	<ul style="list-style-type: none"> <li>• E.g. audits, CCTV, shadowing,</li> </ul>	
Is the reporting method reliable and accurate?	<ul style="list-style-type: none"> <li>• Yes / No</li> <li>• Why ?</li> </ul>	
Does the service provided currently meet the quality standards document?		
How are the timings monitored and recorded?	<ul style="list-style-type: none"> <li>• Radios, dockets, QR codes, beacons, etc</li> </ul>	
Is there a PRM satisfaction survey regularly available for PRMs?	<ul style="list-style-type: none"> <li>• Yes / No</li> </ul>	
What is the procedure for investigating PRM complaints?		

Is the information about rights and how to complain clearly available and displayed at the airport and on your website?	<ul style="list-style-type: none"><li>• Yes / No</li><li>• Link to website :</li></ul>	
How many complaints have been received in the last 12 months?		

Attach:-

- If available, please provide a copy of the PRM satisfaction survey and an overview of the latest results.

## 2.4 CHARGE FOR PRM HANDLING – AIRPORT OPERATORS

Reference: Article 8 Regulation (EC) 1107/2006 5.9.4, 5.9.5 & 5.9.6 & Doc. 30

<b>Question</b>	<b>Answer</b>	<b>Assessor Comments</b>
Is the PRM service supplied without any direct charge to the passenger?	<ul style="list-style-type: none"> <li>• Yes/ No</li> </ul>	
How much is the PRM charge levied on air carriers per departing passenger?		
Is the charge reasonable, cost related and transparent?		
Has the cost been established in cooperation with airport users?		
Is the audited annual overview of charges and expenses presented to airport users and the National Enforcement Body?		

## 2.5 RIGHTS TO ASSISTANCE AT AIRPORTS – AIRPORT OPERATORS

Reference: Article 7 and Annex I Regulation (EC) 1107/2006 5.9.11, Doc. 30, 5.9 & Annexes 5C & 5D

Question	Answer	Assessor Comments
Does the airport provide assistance to non-notified passengers?	<ul style="list-style-type: none"> <li>• Yes/No</li> </ul>	
Is there any assistance notification system used e.g. from air carrier to airport, airport to service provider?		
Is a list provided of the equipment available for the assistance of PRMs ?		
Is the equipment serviced and correctly maintained?		
How many staff are employed for the assistance of PRMs?	<ul style="list-style-type: none"> <li>• High season :</li> <li>• Low season :</li> </ul>	
Explain the process for providing a temporary replacement in the case of an arriving PRM with lost or damaged mobility equipment		

Attach:-

- If the PRM service is subcontracted, please provide a copy of the contract between the airport and service provider.
- Provide a copy of the process for handling assistance dogs.



## 2.6 POINTS OF ARRIVAL AND DEPARTURE – AIRPORT OPERATORS

Reference: Article 5 Regulation (EC) 1107/2006 5.6 and Annexes 5C & 5D Doc. 30

Question	Answer	Assessor Comments
Are there points of arrival and departure where disabled people and PRMs can announce their arrival and request assistance (call points)?	<ul style="list-style-type: none"> <li>• Yes / No</li> </ul>	
How many of these points are inside and outside the airport terminal?	<ul style="list-style-type: none"> <li>• Inside:</li> <li>• Outside:</li> </ul>	
Are all the designated points operative?		
Were the locations of the designated points agreed with PRMs and airport users? Please explain the process for the cooperation.		
Is this information provided on the airport operator's website?	<ul style="list-style-type: none"> <li>• Link to website:</li> </ul>	

Attach:-

- Please attach a map of the airport showing the designated points.

## 2.7 TRAINING - AIRPORT OPERATORS

Reference: Article 11 Reg (EC) 1107/2006 5.12 and Annexes 5B, 5E & 5G

### Initial Training

Complete percentages for targets groups of staff who received initial training in the areas specified. Details on modules 1 and 2 can be found in Annex 5-G.

Number of staff:

<i>Training modules</i>	<i>Training areas Target groups</i>	Legislatio n	Disability awareness	Equipment awareness	Job- related items and exercis es	Kinetics of lifting	Test	First Aid
Module1	Check-in/gate agents							
	Security check							
	Airport information							
	Ticket offices							
	Lost & found							
	Border police							
	Customs / immigration							
	Bar/rest./shops							
	Parking agents							
	Ramp agents							
Airport Management								
Modules 1+2	PRM assist. Provider							
	PRM project manager							

**B. Refresher course**

Complete percentages for the target groups of staff who received refresher training in the last two years. Please do not include new staff who have received their initial training within the last two years. Details on modules 1 and 2 can be found in Annex 5-G.

Number of staff:

<i>Training areas</i>		Legislation	Disability awareness	Equipment awareness	Job-related items and exercises	Kinetics of lifting	Test	First Aid
<i>Training modules</i>	<i>Target groups</i>							
Module1	Check-in/gate agents							
	Security check							
	Airport information							
	Ticket offices							
	Lost & found							
	Border police							
	Customs / immigration							
	Bar/rest./shops							
	Parking agents							
	Ramp agents							
Airport Management								
Modules 1+2	PRM assist. Provider							
	PRM project manager							

Attach:-

- Training plans for different categories of staff e.g. PRM assistance, check in staff.
- Training syllabi.

## 2.8 STATISTICS – ALL AIR CARRIER

Year:

Month	Jan	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Number of passengers carried												
Number of PRMs carried												
% PRMs pre notified												

IATA code	WCHR	WCHS	WCHS	BLND	DEAF	BLND/DEAF	DPNA	WCMP	WCBD/WCBL	MAAS	PETC	Others
% of PRMs												

How many PRMs with service animals have been assisted in the last 12 months?

How many departing PRMs have missed their flight in the last 12 months? (e.g. PRM presented late for assistance).

Are you able to receive PAL, CAL and PSM messages from air carriers, including in a free text format?

Please attach:- Organisational structure of airport operator showing PRM managers, accountable managers, trainers.

## 2.9 DEROGATIONS, SPECIAL CONDITIONS AND INFORMATION – AIR CARRIER

Reference: Article 4.3 Regulation (EC) 1107/2006, Doc 30, Part I Recommendation 5.5.

<b>Question</b>	<b>Answer</b>	<b>Assessor Comments</b>
In the last 12 months, have any PRMs or passengers with reduced mobility had their reservations refused for any reason?	<ul style="list-style-type: none"> <li>• Yes/no</li> <li>• If yes, why ?</li> </ul>	
In the last 12 months, have any PRMs or passengers with disabilities been denied embarkation on the grounds of their disability?	<ul style="list-style-type: none"> <li>• Yes/no</li> <li>• If yes, how many ?</li> <li>• Why ?</li> <li>• Were they offered any reimbursement or rerouting?</li> </ul>	
In what circumstances do you require a person with disabilities or PRM to be accompanied by another person capable of providing the assistance required by that person?	<ul style="list-style-type: none"> <li>• Is the PRM informed of the decision in writing, including the reasons why?</li> </ul>	
If a PRM or passenger with disabilities is required to travel with an accompanying person, are any discounts offered ?		
Are the air carriers safety rules provided in accessible formats and in the different languages it is usually available in?	<ul style="list-style-type: none"> <li>• What information is available?</li> <li>• Which formats and languages?</li> </ul>	

## 2.10 TRANSMISSION OF INFORMATION – AIR CARRIER

Reference: Article 6 Regulation (EC) 1107/2006 5.7, Doc 30, Part I, Annexes 5A and 5D

Question	Answer	Assessor Comments
Explain how a PRM or passenger with disabilities can notify the air carrier of their requirements.		
How do you pass on these notifications to airport operators?		
Are there any time limits for a passenger to notify of their requirements?		
When a flight has departed, is the airport operator provided an updated number of PRMs and passengers with disabilities on-board?		
Is an information leaflet offered for PRMs and passengers with disabilities who may be infrequent flyers?		

Please attach:-

- Examples of PALs, CALs, PSMs.
- Leaflet for passengers with disabilities or PRMs who may be infrequent flyers.

## 2.11 ASSISTANCE BY AIR CARRIERS – AIR CARRIER

Reference: Article 10 (Annex II) Regulation (EC) 1107/2006, 5.11, 5.13 Doc. 30,

Question	Answer	Assessor Comments
Is there a charge for the service provided to PRMs and passengers with disabilities?		
Do you carry service animals?		
How many pieces of mobility equipment do you allow PRMs to carry free of charge?	<ul style="list-style-type: none"> <li>• What sorts of items are allowed?</li> </ul>	
Is the on-board safety briefing available in accessible formats? How do cabin crew perform this task?		
How are seating requirements for PRMs and passengers with reduced mobility arranged?		
Are there any restrictions on where PRMs and passengers with disabilities can sit?		
Are PRMs and passengers with disabilities travelling with a (non-safety assistant) compaignon sat together free of charge ?		
How much are PRMs and passengers with disabilities charged to select their seats ?		
On-board, how are PRMs and passengers with disabilities assisted to the toilet?		

Do all your aircraft carry on-board wheelchairs?	<ul style="list-style-type: none"> <li>• Yes/ no</li> <li>• Which aircraft ?</li> </ul>	
Do your aircraft include seats with moveable armrests ?	<ul style="list-style-type: none"> <li>• Yes/ no</li> <li>• Which aircraft ?</li> </ul>	
Do your planes have accessible toilets?	<ul style="list-style-type: none"> <li>• Yes/ no</li> <li>• Which aircraft ?</li> </ul>	
Do you compensate passengers for damaged mobility aids if damaged by the air carriers or sub-contractors?		
What is the maximum compensation that will be paid for damage to mobility equipment?		
Are passengers offered a special declaration to sign if their mobility aid is valued as higher than the compensation limit?		
Do you provide PRMs and passengers with disabilities clear guidance on how to book their mobility aid and prepare the item for travel?		

Please attach:-

- Service dog handling manual
- Procedures for compensation for damaged mobility aids.



## 2.12 TRAINING – AIR CARRIER

Reference: Article 11 Regulation (EC) 1107/2006 5.12, Annexes 5B, 5E, 5G Doc 30

<b>Question</b>	<b>Answer</b>	<b>Assessor Comments</b>
Are all staff employed by the air carrier who are in direct contact with PRMs and passengers with disabilities trained on how to meet the needs of persons with various disabilities or mobility problems?	<ul style="list-style-type: none"> <li>• Yes/ no</li> <li>• Which sorts of staff?</li> </ul>	
Are all subcontractors who are in direct contact with PRMs and passengers with disabilities trained on how to meet the needs of persons with various disabilities or mobility problems?	<ul style="list-style-type: none"> <li>• Yes / no</li> <li>• Which sorts of staff?</li> </ul>	
Are all members of staff employed by the air carrier and sub-contractors who are in direct contact with the travelling public trained in disability awareness and equality?		
Have cabin crew received training in modules 1, 2 and 3 as detailed in Annex 5-G?		
Are all new employees, upon recruitment provided disability related training, and refresher training provided when appropriate / every two years?		

Is your training delivered and developed in cooperation with disability organisations? Which organisations? How was this arranged?		
Does the disability equality and awareness training follow the competancies described in Annex 5-G?		
Does the scope and context of the training for persons provided direct assistance to persons with disabilities and PRMs follow the competancies described in Annex 5-G?		
How long are training records kept?		

Please attach:-

- Training syllabi and plans for different categories of staff

### **3. CHECKLISTS**

Checklists are provided for airport and air carrier assessments, complete relevant sections based on full or thematic assessment. Suggestions and guidance for on-site interviews and observations are also made. Assessment teams made add to these based on the results from the preliminary questionnaire.

#### **3.1 FULL CHECKLIST – AIRPORT**

Item	Ref.	Description	On-site interview / observations	Assessment team comments
1.2	Art. 9 Reg (EC) 1107/2006	<p><b><u>AIRPORT STATISTICS</u></b></p> <p>The assessment team will check the airport statistics which could be relevant for PRM services:</p> <ul style="list-style-type: none"> <li>- Total number of passengers per year (especially if there are more than 150 000 commercial passenger movements per year, in this case, the airport operator shall publish quality standards).</li> <li>- Number of PRMs per month/year per category.</li> <li>- Number of PRMs per month/year per air carrier.</li> <li>- Number of PRMs per month/year with or without pre-notification.</li> <li>- Number of connecting/non-connecting flights per year (if available, PRM in connecting flights).</li> </ul> <p>Airport organisational structure (check that the Airport contact person, responsible for PRMs is updated).</p>		

1.3	<p>Art. 9 Reg (EC) 1107/2006</p> <p>5.10 &amp; Annex 5C</p> <p>Doc. 30</p> <p>5.15 &amp; Annex 5A</p>	<p><b><u>QUALITY STANDARDS</u></b></p> <p>The assessment team will check items related to the Airport PRM service quality standards:</p> <ul style="list-style-type: none"> <li>- Are quality standards for assistance published? (in case of airports of more than 150,000 commercial passenger movements per year). Where are they published? (e.g. website of airport managing body).</li> <li>- If the service is subcontracted, check that the service level targets and standards are included in the service level agreement (if applicable); ask for a copy of relevant documentation.</li> <li>- Does the airport apply ECAC levels of service to the assistance of disabled persons and PRMs? How do they collect the data? How is it ensured that this information cannot be modified and they are reliable?</li> <li>- Which languages are the quality standards published in (e.g. English, Italian, German, etc)?</li> <li>- Is there a PRM assistance satisfaction survey on a regular basis? Is it only for PRM passengers or is there a satisfaction survey also for air carriers? Is the survey easy to handle and fill in for the PRM</li> </ul>	<p>Is there any assistance scheduled when the assessment is planned?</p> <ul style="list-style-type: none"> <li>- Verify the number of PRMs for that specific flight and the available employees and equipment to provide the service.</li> <li>- Check the Standard Operational Procedure on this assistance</li> <li>- Would it be possible to check the PRM assistance in a connecting flight? In this case, check the applicable quality standards</li> </ul> <p><b>ACTION:</b> Monitoring of the assistance supplied by the airport managing body. Can the PRM assistance provider show the process for processing and monitoring PRMs, and how they report performance against the quality standards.</p> <ul style="list-style-type: none"> <li>- Check on-site for arriving and departing assistance:</li> <li>- 1. Announcement of disabled person/PRM arrival:</li> <li>- 2. Assistance arrival time:</li> <li>- 3. Assistance ending time:</li> <li>- Check the ECAC levels of service to the assistance of disabled persons and PRMs is in line with Doc 30</li> </ul>	
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		<p>passenger? <i>How are the results (questionnaires, surveys, audits) handled?</i></p> <ul style="list-style-type: none"> <li>- Means to monitor quality performance regularly: questionnaires, surveys and audits.</li> <li>- Are quality standards agreed with airport users and representatives of passengers with disabilities and PRMs? Describe the process, which organisations were involved etc.</li> <li>- Do the assistance records/times fulfill the published quality standards (e.g. ECAC standards)? How are the assistance records/times monitored?</li> <li>- Has the Airport managing body determined the resource requirements to meet the service level targets?</li> <li>- Check the number of employed persons providing the assistance (approximate). Take note of this number in high season and low season.</li> </ul>	<p>recommendations.</p> <ul style="list-style-type: none"> <li>- Check if the assistance supplied fulfills the published quality standards (or ECAC recommended standards, if applicable).</li> <li>- Are there enough employees and equipment to provide the service? <i>A single employee shall not make two PRM assistances at the same moment.</i></li> <li>- Is there always an employee in the office? (i.e. at small airports).</li> <li>- Is there a PRM assistance satisfaction survey? Is the survey easy to handle and fill in for the PRM passenger?</li> <li>- Can the passenger give feedback vocally/is there a process available to register and handle vocal feedback?</li> </ul>	
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		<p><b>COMPLAINTS HANDLING</b></p> <ul style="list-style-type: none"> <li>- Is there a procedure in place for handling and investigating complaints?</li> <li>- Is the information about rights and how to complain clearly available and displayed at the airport and on the airport's website?</li> </ul> <p>Are there complaints/suggestions regarding the assistance provided? If there are, include number. If it is possible, get a copy of the complaints or analyse the content. Check the airport managing body's answer given to the passenger and the measures taken, if applicable/necessary.</p>	<ul style="list-style-type: none"> <li>- <u>Can the assessment team look at complaints files?</u></li> <li>- <u>Is information on how to complain present at information desk / PRM arrival desk</u></li> </ul>	
1.4	<p>Art. 8 Reg (EC) 1107/2006 5.9.4, 5.9.5 &amp; 5.9.6</p> <p>Doc. 30</p>	<p><b>CHARGE FOR PRM HANDLING</b></p> <p>The assessment team will check items related to the charge for PRM handling:</p> <ul style="list-style-type: none"> <li>- Assistance shall be supplied without additional charge to the PRM passenger.</li> <li>- Is the charge for PRM handling reasonable? Is it cost-related and transparent?</li> <li>- Has the cost been established in cooperation with airport users?</li> <li>- Is the audited annual overview of charges and expenses presented to airport users and the National Enforcement Body? Ask for the last annual report.</li> </ul>		

<p>1.5</p>	<p>Art. 7 Reg (EC) 1107/2006</p>	<p><b><u>RIGHT TO ASSISTANCE AT AIRPORT</u></b>                  The assessment team will check items related to the right to assistance at airports:</p> <ul style="list-style-type: none"> <li>- Does the airport provide assistance for Non Pre-notified Customers?</li> <li>- Are the submitted annual/monthly/daily assistance records for Pre-Booked and Non Pre-Booked Customers available?</li> <li>- Is there any assistance notification system used? (From/to the airport managing body to/from the PRM service provider if it is subcontracted).</li> <li>- Equipment list. Is there a list of the equipment available for the PRM service? Ask for the equipment list and the equipment review plan and dates. Check the equipment age and status.</li> <li>- Check the number of employed staff (in FTE) providing the assistance (approximate number). Take note of this number for high season and low season.</li> <li>- If the service is subcontracted, ask for a copy of the contract of the service provider.</li> <li>-</li> <li>- Check that arrangements are in place to meet the needs of assistance dogs (or service</li> </ul>	<p><b><u>RIGHT TO ASSISTANCE AT AIRPORTS</u></b></p> <p>Are the following areas adapted and accessible for PRM passengers? Check-in counter and information points, adapted meeting points, other adapted areas (access to other means of public transport, parking, building facilities, toilets, etc.)</p> <ul style="list-style-type: none"> <li>- Is the signage sufficient so that a PRM can find his/her way to a special assistance area?</li> <li>- Do special facilities for PRMs (e.g. toilets) meet international standards?</li> <li>- Are the facilities appropriately signed?</li> <li>- Are there alternative routes? (e.g. if a lift is out of service)</li> <li>- Are there security gates for disabled/PRM passengers?</li> <li>- Are there parking places reserved for PRMs?</li> <li>- Is there an equipment area available? Is the equipment in good condition? (Pay special attention to the equipment conditions and the equipment review dates).</li> <li>- Are there information folders/sheets available at the information points?</li> <li>- Is the information provided for</li> </ul>
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		<p>animals).</p> <ul style="list-style-type: none"> <li>- Check that arrangements are in place to allow accompanying persons to provide necessary assistance in the airport and with embarking and disembarking, if necessary.</li> <li>- Check that arrangements are in place to provide replacements for lost or damaged mobility equipment.</li> </ul>	<p>all PRMs in accessible formats (including information for blind passengers)? And in how many languages?</p> <ul style="list-style-type: none"> <li>- Is there information about the PRM service available on the airport's website?</li> <li>- Are there waiting/meeting areas available for PRMs at strategic points?</li> <li>- Is landside and airside transport accessible?</li> <li>- Is the evacuation plan visible and evacuation exits accessible?</li> <li>- Are evacuation chairs at steps to evacuation exits available?</li> </ul> <p><b>ACTION:</b> Monitoring assistance supplied by the airport managing body. Check for a departing PRM passenger, that the assistance fulfills the following areas:</p> <ul style="list-style-type: none"> <li>- Communicate their arrival at an airport and their request for assistance at the designated points inside and outside the terminal buildings;</li> <li>- Move from a designated point or any other point within the airport boundaries to check-in counters;</li> <li>- Check-in and register baggage;</li> </ul>	
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			<ul style="list-style-type: none"> <li>- Proceed from check-in counters to the aircraft, with completion of emigration, customs and security procedures,</li> <li>- Board the aircraft, with the provision of lifts, wheelchairs or other assistance needed, as appropriate;</li> <li>- What are the procedures for the inspections of the batteries in electric/motorized wheelchairs before departure?</li> <li>- Proceed from the aircraft door to their seats; and</li> <li>- Store hand baggage on the aircraft.</li> </ul> <p><b>ACTION:</b> Monitoring assistance supplied by the airport managing body. Check for an arriving PRM passenger, that the assistance fulfills the following items:</p> <ul style="list-style-type: none"> <li>- Retrieve hand baggage from the aircraft;</li> <li>- Proceed from their seats to the aircraft door;</li> <li>- Disembark from the aircraft, with the provision of lifts, wheelchairs____or other assistance needed, as appropriate;</li> <li>- What are the procedures for the delivery of wheelchairs to</li> </ul>	
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			<p>the PRMs upon arrival?</p> <ul style="list-style-type: none"> <li>- Proceed from the aircraft to the baggage hall and retrieve baggage, with completion of immigration and customs procedures;</li> <li>- Proceed from the baggage hall to a designated point;</li> <li>- Reach connecting flights when in transit, with assistance on the air and land sides and within and between terminals as needed; and</li> <li>- Move to the toilet if required.</li> </ul>	
1.6 and 2.5	<p>Art. 5 Reg (EC) 1107/2006</p> <p>5.6 &amp; Annexes 5C &amp; 5D</p> <p>Doc. 30</p>	<p><b><u>POINTS OF ARRIVAL AND DEPARTURE</u></b></p> <p>The assessment team will check items related to the designation of the points of arrival and departure:</p> <ul style="list-style-type: none"> <li>- Ask for an airport plan/scheme to check the location and number of points of arrival and departure that has been designated at the airport.</li> <li>- Are there points of arrival and departure where disabled/PRM people can announce their arrival and request assistance (call-points)?</li> <li>- Number of these points of arrival and departure within the airport (inside and outside the terminal building). Are any of these points</li> </ul>	<p><u>Complete 2.5</u></p>	

		<p>non-operative? Are all these points accessible –not only to wheelchair passengers?</p> <ul style="list-style-type: none"><li>- Is the location of the points of arrival/departure available online?</li><li>- Are these points agreed with PRMs and airport users?</li><li>- Clearly signed (ideally and where available international signage should be used)?</li><li>- Do these points offer basic information about the airport in accessible formats?</li></ul>		
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<p>1.7</p>	<p>Art. 11 Reg (EC) 1107/2006</p> <p>5.12 &amp; Annexes 5B, 5E &amp; 5G</p>	<p><b><u>TRAINING</u></b> The assessment team will check items related to the airport personnel training:</p> <ul style="list-style-type: none"> <li>- Personnel training and refresher training courses (staff employed by any sub-contractor included). Ask for the training plan, including the syllabus of the training course. Is it the same training/syllabus for all personnel involved? Is there any kind of specific training (e.g. training for drivers)? Is it only theoretical training or also practical training?</li> <li>- Verify the training instructors credentials and qualifications.</li> <li>- Are all workers (including sub-contractors) who provide direct assistance to passengers with disabilities and PRMs trained?</li> <li>- Do all personnel at an airport working with the travelling public receive training in disability awareness and equality? Describe how different personnel groups are trained.</li> <li>- Do new employees receive basic training? How many hours does this course last?</li> <li>- Do all workers receive refresher training? How often? How many hours does this course last?</li> <li>- Check if training is delivered in accordance with guidelines</li> </ul>	<ul style="list-style-type: none"> <li>- Are all workers (including sub-contractors) who provide direct assistance to passengers with disabilities and PRMs properly trained? Introduce yourself and ask the person giving the PRM assistance his/her name, when he/she started to work, and if he/she has been trained (initial and refresher training).</li> <li>- Check if there is any issue in the PRM assistance that could have an origin due to a lack of training or poor training. Can the teams view the training plans, or be shown the training completed by particular members of staff?</li> </ul>	
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		<p>(standard to which training is provided, where standard exists).</p> <ul style="list-style-type: none"><li>- Are there records/certificates of the training provided to the employees? Are training records kept/available?</li><li>- Is there a PRM training test/exam?</li><li>- Is the training delivered/planned in cooperation with disability organisations?</li></ul>		
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<p>1.7</p>	<p>5.9.11 Doc 30</p>	<p><b><u>AIRPORT DESIGN</u></b></p> <p>The assessment team will check items related to airport design:</p> <ul style="list-style-type: none"> <li>- Have PRMs and disability organization been involved in terminal developments and refurbishments?</li> <li>- Are the ways to and from the airport accessible to PRMs and disabled passengers?</li> <li>- Are there sufficient disabled parking spaces? Are they located near the entrance and near a designated point / call point?</li> <li>- Are pedestrian crossings accessible to PRMs and disabled passengers?</li> <li>- Are changes in level, curbs, steps, etc. marked with tactile paving?</li> <li>- Have toilets, restaurants, shops, communications equipment and counters been designed with PRMs and disabled passengers in mind?</li> <li>- Are installations reserved for PRMs and disabled passengers sufficiently signposted as such?</li> </ul>		
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2.2	Annex 5-J Doc. 30	<p><b><u>WEBSITE INFORMATION FOR AIRPORTS (complete 3.2 Website checklist)</u></b></p> <ul style="list-style-type: none"> <li>- General accessibility</li> <li>- Information on the assistance provided at the airport</li> <li>- Information on how to obtain assistance</li> <li>- Information on getting to the airport</li> <li>- Information on the layout of the airport</li> <li>- Information on designated arrival and departure points</li> <li>- Information on performance standards</li> <li>- Information on airport security</li> <li>- Information on mobility equipment</li> <li>- Information on service animals</li> <li>- Information on how to complain</li> <li>- Information on PRM helpline</li> </ul>	<u>Complete 3.2 website checklist</u>	
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### 3.2 WEBSITE CHECKLIST - AIRPORT

Reference: Annex 5-J Website information for passengers with disabilities and reduced mobility

This should be completed before the on-site assessment.

Guidelines	Assessment team comments
Is the information on PRM assistance one click away from the homepage?	
Is the title of the page clear and does it use a recognisable term? E.g. special assistance	
Is the information presented in clear and understandable language?	
Does the website conform to WCAG 2.0 of the W3C and fulfill at least AA standard?	
<p><b>Assistance provided at the airport.</b> As a minimum, the types of assistance provided at the airport to PRMs.</p>	
<p><b>How to obtain this assistance.</b> As a minimum, how in general terms PRMs arrange assistance. This should include that the PRM should notify their air carrier, tour operator or travel agent at least 48 hours before departure. Information on call points, information desks and check in desk where passengers should announce their arrival.</p>	
<p><b>Getting to the airport.</b> As a minimum, the available transport methods to get to the airport and between terminals, disabled parking arrangements for arrival and departure and specific rules or charges. Links to accessibility arrangements of other companies such as public transport and car parking operated outside the airport boundary.</p>	
<p><b>Layout of the airport.</b> A map of the airport and a list of key walking distances should be provided. The map should include include and outside and include a scale and key points such as call points and accessible toilets.</p>	
<p><b>Designated arrival and departure points.</b> The map of the airport should include a list of designated points here the assistance staff can be contacted and where they can assist and meet the passenger from. This information</p>	

should also be available in an alternative format e.g. video.	
<b>Performance standards.</b> The airports quality standards document should be available as well as how the airport has performance against them. (airports over 150,000 pax only).	
<b>Airport security.</b> As a minimum whether there are any special arrangements for PRMs, in particular related to equipment, option of a private room. If the airport operator is not responsible for security then links to the information should be provided.	
<b>Mobility equipment.</b> As a minimum, the arrangements for PRMs to remain in their own equipment until the gate, process for repatriating equipment, information for owners on preparing their equipment for travel and arrangements for obtaining replacement mobility equipment in the event of damaged or lost items.	
<b>Service animals.</b> The arrangements in place at the airport for service animals, including information about the location of relief areas.	
<b>How to complain.</b> The arrangements in place for PRMs to complain to the airport about the assistance provided at the airport, including contact details.	
<b>PRM helpline.</b> The phone number and opening hours of the airport's information line for PRMs should be provided as well as an alternative accessible means of contact.	

### 3.3 FULL CHECKLIST – AIR CARRIER

Item	Ref.	Description	On-site interview / observations	Assessment team comments
1.9	Art. 4.3 Reg (EC) 1107/20 06	<p><b><u>DEROGATIONS, SPECIAL CONDITIONS AND INFORMATION</u></b></p> <ul style="list-style-type: none"> <li>- "An air carrier or its agent shall make publicly available, in accessible formats and in at least the same languages as the information made available to other passengers, the safety rules that it applies to the carriage of disabled persons and persons with reduced mobility, as well as any restrictions on their carriage or on that of mobility equipment due to the size of aircraft.</li> <li>- Is the information on the website in line with the Guidance in Annex 5-J paragraphs 1 + 2?</li> <li>- Are air carriers' websites accessible and in line with the existing standards in order to meet the needs of passengers with different kinds of impairments?</li> <li>- Have there been situations where an air carrier has refused to accept a reservation or embark a PRM passenger based on safety requirements or the size of an aircraft? Ask air carriers to describe the situation and the reasons behind any such decision. Was an alternative flight or route proposed to the passenger?</li> </ul>	<ul style="list-style-type: none"> <li>- Verify if a copy is available of the documents/information that would be given to the PRM at the airport / travel agency.</li> <li>-</li> </ul>	

		<ul style="list-style-type: none"> <li>- Have there been situations where an air carrier has expected PRM passengers to have accompanying persons with them, describe the situations? What kind of procedure does the air carrier have in place in situations when a passenger is requested to be accompanied?</li> <li>- Is the information concerning the costs of an accompanying person available on the air carrier's website/safety rules?</li> <li>- Ask for the procedure to inform PRMs immediately of the reasons to deny a reservation or embarkation. Check the air carrier's answer given to the passenger and the measures taken, if applicable/necessary.</li> </ul>		
1.10	<p>Art. 6 Reg (EC) 1107/20 06 5.7 &amp; Annexes 5A &amp; 5D Doc. 30</p>	<p><b><u>TRANSMISSION OF INFORMATION</u></b></p> <p>"1. Air carriers, their agents and tour operators shall take all measures necessary for the receipt, at all their points of sale in the territory of the Member States to which the Treaty applies, including sale by telephone and via the Internet, of notifications of the need for assistance made by disabled persons or persons with reduced mobility.</p> <p>2. When an air carrier or its agent or a tour operator receives a notification of the need for assistance at least 48 hours before</p>	<ul style="list-style-type: none"> <li>- Verify the procedure that the information of all PRMs on-board is transmitted to the destination at the latest, at the moment of departure of the aircraft.</li> <li>- Can they show the booking system?</li> </ul>	

		<p>the published departure time for the flight, it shall transmit the information concerned at least 36 hours before the published departure time for the flight:</p> <ul style="list-style-type: none"> <li>(a) To the managing bodies of the airports of departure, arrival and transit, and</li> <li>(b) To the operating air carrier, if a reservation was not made with that carrier, unless the identity of the operating air carrier is not known at the time of notification, in which case the information shall be transmitted as soon as practicable.</li> </ul> <p>3. In all cases other than those mentioned in paragraph 2, the air carrier or its agent or tour operator shall transmit the information as soon as possible.</p> <p>4. As soon as possible after the departure of the flight, an operating air carrier shall inform the managing body of the airport of destination, if situated in the territory of a Member State to which the Treaty applies, of the number of disabled persons and persons with reduced mobility on that flight requiring assistance specified in Annex I and of the nature of that assistance.”</p> <ul style="list-style-type: none"> <li>- Verify that the air carrier has the correct procedure of notification of the requested assistance to the airport of departure, arrival and</li> </ul>		
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		<p>transit in the terms signed in Art. 6 of Reg (EC) 1107/2006.</p> <ul style="list-style-type: none"> <li>- Check the procedure for transmission of information of non pre-notified passengers (between the handling company, assistance provider and cabin crew).</li> </ul>		
<p>1.11</p>	<p>Art. 10 (Anex II) Reg (EC) 1107/20 06</p>	<p><b><u>ASSISTANCE BY AIR CARRIERS</u></b></p> <p>“An air carrier shall provide the assistance specified in Annex II without additional charge to a disabled person or person with reduced mobility departing from, arriving at or transiting through an airport to which this Regulation applies provided that the person in question fulfils the conditions set out in Article 7(1), (2) and (4).”</p> <p>In order to verify some air carriers PRM procedures, any of them could be obtained by their operations manual. Part of this information should be available to the PRM passenger, and this has to be in accordance with the OM PRM procedures.</p> <p>Check that there is no additional charge for the transport of:</p> <ul style="list-style-type: none"> <li>- Recognised assistance dogs in the cabin.</li> <li>- Transport of up to two pieces of mobility equipment per disabled person or person with reduced mobility.</li> <li>- Medical equipment (unlimited</li> </ul>	<ul style="list-style-type: none"> <li>- Check that there is no additional charge for the transport of:             <ul style="list-style-type: none"> <li>a) Recognised assistance dogs in the cabin</li> <li>b) Transport of up to two pieces of mobility equipment per disabled person or person with reduced mobility</li> <li>c) Medical equipment</li> <li>d) Compensation for mobility equipment procedures</li> </ul> </li> </ul> <p>Is the air carrier involved in airport operator air carrier meeting and disability community meetings?</p> <p>Can the air carrier provide PRM related sections from their operations manual?</p>	

		<p>following medical prescription).</p> <ul style="list-style-type: none"> <li>- Are on-board wheelchairs available on all aircraft? If not, is the information available online/safety rule?</li> <li>- Procedures concerning the passenger's own wheelchair (is the passenger allowed to take his/her own wheelchair to the gate)?</li> </ul> <p>Procedures for seating arrangements:</p> <ul style="list-style-type: none"> <li>o How does the air carrier make sure that the seating arrangements meet the needs of individual passengers?</li> <li>o Does the air carrier apply some restrictions on seating for PRMs?</li> <li>o Are the air carrier's policies regarding seating allocation transparent and publicly available?</li> <li>o Does the air carrier offer the possibility to upgrade PRMs on request (subject to safety requirements and availability)? Is upgrading offered free of charge/for a fee?</li> <li>o Has the air carrier received complaints concerning seating allocation? How was the situation handled?</li> <li>o Seating arrangements for accompanying persons? Is it standard procedure that the accompanying person sits</li> </ul>		
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		<p>next to the PRM, when it is necessary?</p> <ul style="list-style-type: none"> <li>○ Seating procedures for a group of PRMs?</li> <li>○ What are the procedures for the onboard crew's assistance to the PRM's toilet visits?</li> <li>○ How are air carriers handling requests for accompanying persons?</li> </ul> <p>Communication of essential information concerning a flight in accessible formats</p> <ul style="list-style-type: none"> <li>○ Ask for procedures on the information to be provided to PRMs regarding their safe carriage and in an emergency situation</li> <li>○ How are PRMs taken into account on safety briefings?</li> <li>○ Describe the briefing for different kinds of PRMs (for example DEAF, BLND)?</li> <li>○ Specify the timing and methods on how and when the information is provided?</li> <li>○ Is the information regarding passengers' safe carriage provided only at the time of booking (note that this might not be sufficient to ensure that PRMs are aware of the safety recommendations at the time of flight)? Are there other means of providing information?</li> </ul>		
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		<ul style="list-style-type: none"> <li>○ Is the information provided in accessible format? For example, are any safety cards available in braille?</li> <li>○ Procedures on informing PRMs during an emergency situation?</li> </ul> <ul style="list-style-type: none"> <li>- Check procedure when an accompanying person is requested</li> </ul> <p><b><u>COMPLAINTS HANDLING</u></b></p> <ul style="list-style-type: none"> <li>- Is there a procedure in place for handling and investigating complaints?</li> <li>- Is the information about PRM rights and how to complain clearly available and displayed on air carrier's website?</li> <li>- Are there complaints/suggestions regarding the assistance provided? If there are, include number. If it is possible, get a copy of the complaints or analyse the content. Check the air carrier's answer given to the passenger and the measures taken, if applicable/necessary.</li> <li>- Check the procedure on investigating complaints that involve several parties (air carrier, airport managing body etc.)?</li> </ul> <p><b><u>STATISTICS</u></b></p> <ul style="list-style-type: none"> <li>- Number of PRMs per month/year per category</li> <li>- Number of PRMs per month/year</li> </ul>		
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		<p>with or without pre-notification</p> <ul style="list-style-type: none"> <li>- Number of connecting/non-connecting flights per year (if available, PRM in connecting flights)</li> </ul> <p><b><u>COOPERATION WITH AIRPORT MANAGING BODY</u></b></p> <ul style="list-style-type: none"> <li>- Does the air carrier take part in the airport managing body's PRM group/Airport Users Committee (if one exists)?</li> <li>- Has the air carrier requested a higher standard of assistance than the standards referred to in paragraph 1 or Annex I.</li> </ul>		
1.12	<p>Art. 11 Reg (EC) 1107/20 06 5.12 &amp; Annexes , 5D &amp; 5G Doc. 30</p>	<p><b><u>TRAINING</u></b></p> <p>"Air carriers and airport managing bodies shall:</p> <p>(a) Ensure that all their personnel, including those employed by any sub-contractor, providing direct assistance to disabled persons and persons with reduced mobility have knowledge of how to meet the needs of persons having various disabilities or mobility impairments;</p> <p>(b) Provide disability-equality and disability-awareness training to all their personnel working at the airport who deal directly with the travelling public;</p> <p>(c) Ensure that, upon recruitment, all new employees attend disability-related training and that</p>	<ul style="list-style-type: none"> <li>- Training plan for all employees</li> <li>- Initial and refresher training</li> <li>- Instructors</li> <li>- Training in disability awareness and equality</li> <li>- Training records</li> <li>- How did they involve disability organisations in the training and planning of the training?</li> </ul> <p>Can the air carrier show different training records for different areas of staff?</p>	

		<p>personnel receive refresher training courses when appropriate.”</p> <ul style="list-style-type: none"> <li>- Personnel training and refresher training courses (any sub-contractor included). Ask for the training plan, including the syllabus of the training course. Is it the same training/syllabus for all personnel involved? Is there any kind of specific training such as, lifting to on-board wheelchair?</li> <li>- Verify the training instructors credentials and qualification.</li> <li>- Are organisations of disabled people involved in at least the initial courses? Is the training delivered/planned in cooperation with disability organisations?</li> <li>- Do all personnel air carrier (or subcontractor) flying as well at an airport working with the travelling public, receive training in disability awareness and equality?</li> <li>- Do new employees receive basic training? How many hours does this course last? Differentiate between Cabin Crew, Pilots, Ground (handling) staff, Call Center/sales staff</li> <li>- Do all workers receive refresher training? How often? How many hours does this course last? Describe how different personnel groups are trained.</li> <li>- Check if training is delivered in</li> </ul>		
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		<p>accordance with guidelines (standard to which training is provided, (Annex 5-G module 1 and 3).</p> <ul style="list-style-type: none"> <li>- Are there records/certificates of the training provided to the employees?</li> <li>- Is there a PRM training test/exam?</li> <li>- Is the training delivered/planned in cooperation with disability organisations?</li> </ul>		
<p>2.4</p>	<p>Annex 5- J Doc. 30</p>	<p><b>WEBSITE INFORMATION.</b></p> <ul style="list-style-type: none"> <li>- General accessibility</li> <li>- Information on safety restrictions</li> <li>- Information on space restriction</li> <li>- Information on how to obtain assistance</li> <li>- Information about mobility equipment</li> <li>- Information on seating on-board</li> <li>- Information on when an accompanying person will be required</li> <li>- Information on service animals</li> <li>- Information on oxygen</li> <li>- Information on how to get to the toilet on-board</li> <li>- Information on toilets on-board</li> <li>- Compensation for mobility equipment</li> <li>- Information on how to complain</li> <li>- Information on PRM helpline.</li> </ul>	<p><b><u>Complete website checklist</u></b></p>	

### 3.4 WEBSITE CHECKLIST – AIR CARRIER

Reference: Annex 5-J Guidance on websites' information for passengers with disability and reduced mobility

To be completed before the on-site visit by the assessment team

Guidelines	Assessment team comments
Is the information on PRM assistance one click away from the homepage?	
Is the title of the page clear and does it use a recognisable term? E.g. special assistance	
Is the information presented in clear and understandable language?	
Does the website conform to WCAG 2.0 of the W3C and fulfill at least AA standard?	
<b>Safety restrictions.</b> Any rule which may prevent the air carrier from accepting a reservation from a PRM.	
<b>Space restrictions.</b> Any restrictions due to the size of the aircraft or it's doors which makes the carriage of PRMs or their mobility equipment impossible. Other information should include moveable armrests, on-board wheelchairs, etc.	
<b>How to obtain assistance.</b> Information on how the PRM can book assistance e.g. as part of an online booking, phone, web form and any associated cost. Whether the PRM will receive a written confirmation of the assistance has been booked, the stipulated time before departure the PRM should arrive at the airport, relevant phone numbers, links and email addresses.	
<b>Mobility equipment.</b> The rules on carriage of mobility equipment including descriptions. Any restrictions should be provided e.g. battery types. There should be a clear distinction between mobility equipment and medical equipment.	
<b>Seating on-board.</b> At minimum what type of seating is available e.g. moveable armrests, extra legroom as well as instructions on how a PRM can pre-book a suitable seat on-board or how the air carrier ensures a suitable seat is allocated. Instructions for the use of specialist seating devices e.g. MERU chairs. Any restrictions should also be mentioned e.g. emergency exit rows.	
<b>Information on when an accompanying person will be required.</b> At minimum, the circumstances under which the air carrier will require a	

<p>PRM to travel with an accompanying person. This is restricted to safety reasons. Information should also include who can be a designated accompanying person, where they will be sat, any discounts available.</p>	
<p><b>Information on service animals.</b> As a minimum, whether the air carrier accepts service animals and which routes. It should cover the arrangements and any costs involved e.g. if the animal requires a seat. It should state any restrictions on travel and conditions that must be met in order to travel. It should also make clear what they define a service animal to be.</p>	
<p><b>Information on oxygen.</b> As a minimum, the air carrier's policy on the carriage of oxygen or any other breathing apparatus e.g. documentation required, medical declarations and any restrictions e.g. safety, security to carriage on particular routes. It should also include whether the air carrier will itself provide oxygen, the volume available in flight and the charge.</p>	
<p><b>How to get to and from the toilet on-board.</b> At minimum, the arrangements in place including whether there is an on-board wheelchair and pre-booking instructions.</p>	

### 3.5 POINTS OF ARRIVAL AND DEPARTURE OBSERVATION LIST

Reference: Article 5 Regulation (EC) 1107/2006 5.6 and Annexes 5C & 5D Doc. 30

<b>Number</b>	<b>LOCATION</b>	<b>ACCESSIBLE</b>	<b>COMMUNICATION</b>	<b>MAP</b>	<b>INFORMATION</b>
<b>1</b>					
<b>2</b>					
<b>3</b>					
<b>4</b>					
<b>5</b>					
<b>6</b>					
<b>7</b>					
<b>8</b>					
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## ANNEX 6-A: PRACTICAL GUIDE ON SAFETY INVESTIGATIONS FOR AIR ACCIDENT FOR AIR ACCIDENT VICTIMS AND THEIR RELATIVES

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### 1. INTRODUCTION

- 1.1 The European Network of Civil Aviation Safety Investigation Authorities (ENCASIA) produced a leaflet for air accident victims and their relatives in order to facilitate their understanding of the role and the different phases of a safety investigation.
- 1.2 The leaflet describes the main milestones of the investigation of accidents to commercial air transport aircraft that occur within Europe.
- 1.3 Each ECAC Member State has established a permanent Safety Investigation Authority (SIA) capable of independently conducting a full safety investigation, either on its own or through agreements with other SIAs.
- 1.4 ECAC Member States should designate a national coordinator or coordinating agency which will be the point of contact between the victims and relatives and the government agencies and non-government organisations.



*The sole objective of a safety investigation is the prevention of the future accidents without apportioning blame or liability.*

### 2. REFERENCES

- 2.1 Regulation (EU) No 996/2010 on the investigation and prevention of accidents and incidents in civil aviation.



2.2 Regulation (EC) No 889/2002 amending Council Regulation (EC) No 2027/97 on air carrier liability in the event of accidents.

2.3 A list of victims' associations is available on the ENCASIA website - [http://ec.europa.eu/transport/modes/air/encasia/index\\_en.htm](http://ec.europa.eu/transport/modes/air/encasia/index_en.htm)

2.4 The leaflet is available in twenty-three languages on the ENCASIA website.

### **3. PHASES OF THE SAFETY INVESTIGATION**

#### **3.1 FIRST HOURS / DAYS**

- Notification/start of the safety investigation;
- Go team to accident site (including accredited representatives and advisors from other involved countries); and
- Field phase: preservation and collection of evidence.

#### **3.2 FIRST WEEKS / MONTHS**

- Flight Recorders (Black Boxes) read out and validation;



- Publication of the final report on the circumstances and causes of the accident;
- Release of factual information by the safety investigation authority; and
- Additional technical examination, research and/or studies.

#### **3.3 FIRST YEAR AND AFTER**

- Interim statement/report released a year after the date of the accident; and
- Publication of the final report on the circumstances and causes of the accident. Release of safety recommendations to prevent future accidents and further improve aviation safety

#### **4. ASSISTANCE TO VICTIMS AND THEIR RELATIVES**

- 4.1 Information on relatives by the call centre (air carriers must set up a hotline).
- 4.2 Appointment of a national coordinator who will be the main interface with victims and their relatives.
- 4.3 The air carrier and the national coordinator are the initial points of contact for assistance to victims and relatives after an accident.
- 4.4 Validation of passengers' list (air carrier must provide within two hours the list of passengers).
- 4.5 Dedicated personnel (air carrier's care centre).
- 4.6 Provision of psychological assistance.
- 4.7 Financial assistance for immediate needs – 'not later than fifteen days after the identity of the natural person entitled to compensation has been established', as stipulated by Regulation (EC) No 889/2002.
- 4.8 Updates through face-to-face meetings with family members in coordination with officials.
- 4.9 **Arrangements for a visit to the accident site.**
- 4.10 **Information provided to relatives prior to official releases.**
- 4.11 Commemoration of the accident generally with the construction of memorial(s).
- 4.12 **Explanations provided prior to the publication of the final report.**

*The actions described in bold in this section are under the responsibility of or in coordination with the SIA.*



## 5. WHAT YOU SHOULD ALSO KNOW

- 5.1 **Media and social media** will spread a lot of partial information in the hours/days following the accident. A lot of so-called specialists will speculate on the causes of the accident in the following days. It will take more time for safety investigators to check and validate all the pieces of information to determine the precise facts and circumstances of the accident. Only the safety investigation authority will provide victims and relatives with validated information and explanations.
- 5.2 Arrangements for a **visit to the accident site** by the relatives should be made with the safety investigation authority concerned and any other authorities responsible for victim recovery and identification. However, the accident site is not always accessible.
- 5.3 After an air accident, a separate judicial investigation is also generally instituted to define responsibilities. This process is independent from the investigation conducted by the SIA.

