MODULE 2:

DHS PRE-DEPARTURE AIRCRAFT OPERATOR COMPLIANCE REQUIREMENTS

REFERENCE GUIDE

U.S. Customs and Border Protection
Office of Information and Technology

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Table of Contents

Tables

Introduction

Purpose of this Reference Guide

This Reference Guide for Module 2 is a follow up to Module 1: Overview of One DHS Solution (APIS Pre-Departure and Secure Flight) located on CBP.gov and the TSA web board, and includes references to the following documents:

- APIS Pre-Departure Final Rule
- DHS Consolidated User Guide
- UN/EDIFACT Implementation Guide
- TSA Secure Flight Notice of Proposed Rulemaking

This Reference Guide highlights technical and operational changes you may need to implement in order to meet the requirements expressed in the recently published APIS Pre-Departure Final Rule, August 23, 2007. The requirements for the APIS Pre-Departure Final Rule go into effect on February 19, 2008. The information provided in this document is not intended to be a complete discussion of all the changes. Rather, the intent of this document is to highlight the essential technical and operational changes that may need to be made to be in compliance with the APIS Pre-Departure Final Rule.

Frequently Asked Questions (FAQ)

To assist in providing answers to frequently asked questions, a Frequently Asked Questions (FAQ) document has been posted to the CBP public web site:
http://www.cbp.gov/xp/cgov/travel/inspections_carriers_facilities/apis/

The FAQ document will be updated periodically to ensure that additional questions are addressed.

Training Sessions

Training related to APIS Pre-Departure requirements is available from Customs and Border Protection (CBP). During this training, Subject Matter Experts will lead you through procedures impacting carriers. In addition, the Subject Matter Experts will provide answers to questions posed that may impact individual carriers or the industry as a whole.

If you are interested in holding a training session with Customs and Border Protection, contact your APIS Account Manager or your industry representative to determine if a group training session can be established.

As indicated in the Consolidated User Guide, additional training will be provided about Secure Flight in Module 3 when the Secure Flight Final Rule is published. Module 4, information about the transition of international flight watchlist vetting to Secure Flight, will be provided at a future date yet to be determined. Refer to the Consolidated User Guide for outlines of these training materials.

Background

APIS Pre-Departure was established, based on legislative requirements, mandating U.S. Customs and Border Protection to vet names of travelers entering or departing the United States prior to gaining access to their intended aircraft. CBP authority is applied only to international passenger

itineraries. In conjunction with the publication of the APIS Pre-Departure Final Rule, the Transportation and Security Administration (TSA) issued a Notice of Proposed Rule Making (NPRM) for the Secure Flight program. The Secure Flight program will eventually hold the authority for vetting all names against watchlists. However, until it becomes a final rule, CBP will be responsible for conducting watchlist vetting for international itineraries.

CBP has worked extensively with TSA Secure Flight to identify the functions carriers will be expected to perform to meet both CBP APIS Pre-Departure requirements and the proposed Secure Flight requirements. As much as possible has been done to reduce confusion caused by combining two diverse processes, especially when combining international travel and domestic travel.

Under the APIS Pre-Departure Final Rule, previous APIS requirements have not been affected, only the timing of the submission has. The minimum requirements, established when APIS was voluntary and continued when it became a mandatory program, have not changed.

Getting Started

In the following discussions a wide range of information is covered, including the submission of APIS data, understanding the submission expectations and requirements, handling the various responses provided, and conducting prescribed testing. They represent topics that carriers and system developers have expressed in their frequently asked questions. These discussions may not cover all areas of interest for an individual carrier. CBP will make every attempt to address additional questions posed either directly or in group training sessions by updating the training material or the FAQ documents posted on the website.

A Glossary has been provided in Appendix B to clarify terms and phrases more difficult to understand and apply. This list is not all inclusive and is based on the current discussions with carriers and their frequently asked questions.

CBP will facilitate the development of carrier operational training and system development by providing assistance throughout the process. The following are the recommended steps to begin the APIS Pre-Departure process:

Step 1 – Request to Participate in APIS Pre-Departure

Introduction   To request participation in APIS Pre-Departure, go to the following link and complete and submit a request form online:

http://www.cbp.gov/xp/cgov/travel/inspections_carriers_facilities/apis/apis_predepart_reg_form.xml

Your request will be assigned to an APIS Pre-Departure Tester who will provide you with a testing package and instructions for participation. The APIS Pre-Departure Tester will be your contact within CBP to report development progress and pose questions about the process. Prior to transmitting production data to DHS, you must schedule testing with the APIS Pre-Departure Tester in order to validate new messaging and network connections.

See the high-level checklist below extracted from the full testing package that describes the steps to follow leading up to authorization and implementation.

Implementation Checklist

Table 1: Implementation Checklist

Implementation Checklist	
Step 1	**Request to Participate in APIS Pre-Departure**
	Carrier submits online request for participation to CBP
	CBP Administrator assigns APIS Pre-Departure Tester
Step 2a	**Carrier's Application Development Cycle**
	Develop APIS Pre-Departure interface application programs
Step 2b	**Network Development Cycle**
	Evaluate network connectivity requirements and options
	Finalize network requirements
	Construct network components
	Conduct network connectivity tests
Step 3	**System Tests**
	Send and receive messages in proper format
	Clear Passenger Request (Carrier) – Cleared Response (CBP)
	Clear Passenger Request (Carrier) – Advisory Response (CBP)

		Clear Passenger Request (Carrier) – Not-Cleared Response (CBP)
		Clear Passenger Request (Carrier) – Error Response (CBP)
		Resolution of inhibited response (Operational Procedures)
		Flight Close-Out (Carrier) – Response (CBP)
		Unsolicited Message (CBP) – Acknowledgement Response (Carrier)
		Wait limit exceeded test
		Multiple passenger message test
		APIS manifest build verification (CBP)
	Step 4	**APIS Pre-Departure Authorization**
		APIS Pre-Departure Tester recommendation for approval
		Network support approval
		Application support approval
		CBP / National APIS Account Manager approval
	Step 5	**Pilot Deployment**
		Carrier / CBP finalize pilot deployment schedule
		Carrier submits controlled data feeds
		CBP monitors data feeds
		CBP / Carrier analyze data feeds (e.g., vetting results)
	Step 6	**Full Deployment**
		Carrier / CBP finalize full deployment schedule
		CBP monitors data feeds

Step 2a – Carrier's Application Development Cycle

Introduction   In order to achieve compliance with the requirements of the APIS Pre-Departure Final Rule, changes may need to be made to your systems applications, UN/EDIFACT messaging, and operational procedures. The following sections focus on the changes needed to meet system development and messaging formatting.

You have three options for achieving compliance:

Option 1:

Batch Interactive Submission

CBP has enhanced the existing APIS process to support batch manifest transmission in advance of departure. This option is referred to as APIS Pre-Departure Interactive Batch.

Characteristics and Requirements

- Batch submission can occur up to 72 hours prior to the estimated departure time.

- Batch submissions must be received 30 minutes prior to securing of the aircraft doors to ensure adequate processing of information and return of vetting results.

- Submissions are in UN/EDIFACT PAXLST message format.

- Responses are in UN/EDIFACT CUSRES message format.

- Multiple batch submissions may occur for a given flight or passenger.

- Vetting results are transmitted in a batch mode – one vetting response for each name uniquely identified in the batch transmission.

Refer to Appendix 6.6.1 of the Consolidated User Guide for more information.

NOTE: When using the Interactive Batch submission process, a carrier is not required to wait 30 minutes from the time the data is transmitted to secure the aircraft and depart, provided that appropriate vetting results are received, and validation occurs, before passengers are boarded.

Refer to APIS Pre-Departure Final Rule, published in the Federal Register, August 23, 2007, page 48324 for more information.

Option 2: Interactive Submission (AQQ)

CBP has introduced the APIS Quick Query (AQQ) program to provide an alternative and interactive option for transmitting APIS data in advance of departure and for receiving an immediate response from CBP.

Characteristics and Requirements

- Affords the ability to submit APIS data for a passenger and receive a vetting response within 4 seconds.

- Can occur up to the time prior to a passenger gaining access to their intended aircraft and securing the aircraft doors.

- UN/EDIFACT PAXLST message is used for AQQ submission.

- UN/EDIFACT CUSRES message is used for responses to AQQ submissions.

- Limit of 10 passengers per submission in order to meet a 4-second response time.

- AQQ submissions with more than 10 passengers cannot be guaranteed a 4-second response.

- For international transmissions, the minimum data required to receive a screening response is full name and date of birth.

When to Use AQQ

- AQQ transmissions will normally be used for sending updates for passenger data already submitted.

- Transmitting last minute reservations.

- For passengers checking in, on-line or at an on-site boarding pass printing device, attempting to receive a boarding pass.

Refer to Appendix 6.6.2 of the Consolidated User Guide for more information.

NOTE: You are encouraged to use both Batch Submission and Interactive Submission to have the least impact on flight operations.

Option 3:

Non-Interactive Submission

The eAPIS Web Portal continues to be one option for submitting APIS manifest data under the new APIS Pre-Departure non-interactive batch requirement. DHS will send email messages to carriers using the non-interactive transmission method with boarding pass printing results. To ensure the correct office is notified, update your point of contact information in eAPIS or contact your National APIS Account Manager for assistance..

Additional Data Requirements for All Three Submission Options

- Full name is based on a last name of at least one character, not containing special characters other than a hyphen (-) or an apostrophe ('), a first name of at least one character, not containing special characters other than a hyphen (-) or an apostrophe (') and middle name (if available). Date of birth must contain a valid month, day, and year.

- If you choose to transmit only Machine Readable Zone (MRZ) data for the AQQ message, you are still required to transmit full and complete APIS data in a separate message, prior to securing the aircraft doors, as prescribed within the APIS Pre-Departure regulations.

Passenger Unique Identifier

A Passenger Name Record (PNR) Locator or equivalent unique identifier must be provided. If you do not provide a unique identifier for each name provided, specific vetting responses may not be clearly identified, thus causing individuals to be incorrectly identified. This unique identifier will be used by DHS in the response message and in all required acknowledgements from the aircraft operator.

The following are suggestions for establishing the Unique identifier for a passenger using RFF+AVF and/or RFF+ABO:

Segment	Conditions for Usage
RFF+AVF	Uniquely identifies passenger. RFF+ABO is not required.
RFF+AVF/RFF+ABO	RFF+AVF contains a group reservation number. The RFF+ABO is used to uniquely identify a passenger within this group reservation.
RFF+ABO	For aircraft operators without reservation numbers a RFF+AVF is not provided. Passenger uniqueness is identified using the RFF+ABO.

Refer to Section B.23 of the UN/EDIFACT Implementation Guide for more information.

Timing of Submissions: Using Batch and Interactive in Combination

DHS encourages the use of both Interactive Batch and Interactive (AQQ) submissions. Interactive Batch submissions normally occur during the reservation process. AQQ submissions normally occur during the check-in process. Carriers will potentially establish two network connections for submitting data, Interactive Batch submissions and AQQ submissions. The Flight Close-Out message, for international travel only, can be submitted using either the Interactive Batch or AQQ method.

Advantages of Combined Approach

- Provides the greatest flexibility, by achieving DHS compliance as early as possible, and minimizing the impact of waiting for a DHS response during the boarding pass issuance timeframe.

- By limiting interactive queries to only those passengers with exceptions, it is believed, the overall process should not be impacted. It is understood you may choose to use only one option when submitting APIS data.

- Allows for the majority of DHS compliance requirements to be serviced using a low priority, low cost solution, and provides redundant procedures in the event of a system outage.

- The submission of a batch manifest is a "No Later Than" timing event and provides flexibility for operational processes. Switching from one transmission method to another is allowed and will be at the discretion of the aircraft operator.

Refer to Appendix 7.2.2.8 of the Consolidated User Guide for more information.

Table 2: Passenger Data Transmission Timing

Event	Action	Timing	Potential Method
Initial passenger data transmission	The aircraft operator may send initial passenger data to DHS.	Approximately 72 hours before departure of a flight	Batch
After initial transmission and prior to departure	The aircraft operator will send passenger data for any new passenger bookings or any previously submitted passenger booking with modifications.	Between 72 hours prior to departure and prior to boarding	Batch or AQQ
Passenger has no stored boarding pass printing result	The aircraft operator will send passenger data to DHS when flight check-in is requested for a passenger who has no stored boarding pass printing result.	Between 72 hours prior to departure and prior to boarding	Batch or AQQ
Post departure (international travel only)	The aircraft carrier will, upon departure, be required to transmit the closing of the flight. This message communicates the actual movement or cancellation of a flight, and the number of passengers boarded.	Post departure	Batch or AQQ

Refer to section 4.3 of the Consolidated User Guide for more information.

UN/EDIFACT Messaging Requirements

The existing APIS UN/EDIFACT format generally satisfies APIS Pre-Departure Final Rule requirements. DHS will communicate to airlines using the UN/EDIFACT Customs Response Message (CUSRES) format. Testing will include validation of APIS transmissions and the CUSRES response. For a copy of the complete UN/EDIFACT Implementation Guide, go to the following location:

http://www.cbp.gov/xp/cgov/travel/inspections_carriers_facilities/apis/

Changes to PAXLST Data Items

In combining APIS Pre-Departure and Secure Flight, data elements were added to the current UN/EDIFACT PAXLST format. These new data elements all fall within the existing UN/EDIFACT dictionary; however, they may require acceptance by the World Customs Organization and International Air Transport Association council (WCO/IATA).

Some of the new data elements are specifically associated with the Secure Flight Notice of Proposed Rule Making. In attempting to comply with APIS Pre-Departure requirements, you are not expected to use these proposed data elements in an APIS submission. Data elements associated with Secure Flight proposed requirements or other anticipated government agency requirements will be italicized in the following section.

The following segments highlight the changes and reference the sections of the UN/EDIFACT Implementation Guide where the full specifications can be found.

Crew Data Items

NOTE: There were no changes to the current Crew APIS transmission requirements.

UNB Interchange Header

- The Interchange Recipient Identification will now be USADHS, formerly messages were sent as USCSAPIS:

UNB+UNOA:4+UNITED AIRLINES+**USADHS**+070429:0900+000000001++DHS'

- Failure to use the DHS Recipient Identification of USADHS will result in a non-interactive batch response message.

Refer to section 6.2 of the UN/EDIFACT Implementation Guide for more information.

BMG Beginning of Message

- New Beginning of Message element identifiers:

BGM+745'	- Clear Passenger Request
BGM+745+CP'	- Change Passenger Data
BGM+745+XR'	- Cancel Reservation/PNR
BGM+745+RP'	- Reduction in Party
BGM+266+CLNB'	- Flight Close-Out - Includes Passengers Not Boarded
BGM+266+CLOB'	- Flight Close-Out - Includes Passengers On Board
BGM+266+CL'	- Flight Close-Out only
BGM+266+XF'	- Cancel Flight
BGM+266+CF'	- *Change Flight Information*
BGM+655'	- *Gate Pass Request*
BGM+250'	- Passenger Flight Crew List
	(See data element summary for additional value examples)

BGM+250+CC'   - Passenger Flight Crew Change
BGM+336'   - Master Crew List

Refer to section 6.5 of the UN/EDIFACT Implementation Guide for more information.

RFF Reference

The value in this data element represents a Transaction Reference Number (TRN) that may be used by the aircraft operator system to track/reconcile responses from DHS air passenger reporting systems. The TRN sent by the aircraft operator will be returned to the aircraft operator in the CUSRES message to facilitate the reconciliation of the messages exchanged.

Additionally, the TRN should be used to sequence any follow-on messages related to updates applied to the same passenger manifest. The sequence number should be incremented by +1 to reflect the implied revision sequence to the manifest. This value will also be returned in the CUSRES response message.

RFF+TN:**BA123456789:::001'**

Refer to section 6.6 of the UN/EDIFACT Implementation Guide for more information.

TDT Transportation Information

- Include the explicit carrier details after the traditional carrier code:

TDT+20+UA123+++**UA'**

Refer to section 6.9 of the UN/EDIFACT Implementation Guide for more information.

ATT Attribute

- The only Attribute Description Codes accepted are M to indicate male, and F to indicate female. U is no longer accepted:

ATT+2++**M'**

Refer to section 6.13 of the UN/EDIFACT Implementation Guide for more information.

GEI Processing Information

This data element is associated with the Secure Flight Notice of Proposed Rule Making and it is not mandatory at this time.

Use this segment within a specific NAD Passenger/Crew detail loop reported to DHS to indicate:

- *All the information for this specific traveler is an update*

- *The information reported for this passenger has been verified*
- Accepted Processing Indicator Description Codes are 36 to indicate changed information, and zzz to indicate verified information:

GEI+4+36'

Refer to section 6.15 of the UN/EDIFACT Implementation Guide for more information.

COM Communication Contact

This data element is associated with the anticipation of the Centers for Disease Control requirements and it is not mandatory at this time.

- Use this segment to identify primary and secondary contact information for the traveler:

COM+540 555 1234:TE+540 555 9876:FX'

Refer to section 6.17 of the UN/EDIFACT Implementation Guide for more information.

RFF Reference

- In addition to the Passenger Name Record (PNR) an Aircraft Operator Unique Passenger Reference Number is now required.
- Up to 999 RFF may be associated with a passenger so optional information may be included.

For example:

- Aircraft Operators Unique Passenger Reference Number
- DHS passenger redress number
- DHS known traveler number (future use)
- Assigned seat number/identifier
- Bag tag information

Accepted Reference Code Qualifiers are:

- AVF - Passenger reservation number (PNR Number)

- ABO - Aircraft Operators Unique Passenger Reference Number (Originator's reference number)

- AEA - DHS Passenger Redress Number (Government agency reference number)

- CR   - DHS Known Traveler Number (Customer reference number)

- SEA - Seat Number/Identifier

- BAG - Bag Tag Identification

RFF+**AVF:ABC123'**
RFF+**ABO:BA1321654987'**
RFF+**BAG:UA123456:3'**

Refer to section 6.20 of the UN/EDIFACT Implementation Guide for more information.

The following segments are new APIS Pre-Departure Final Rule requirements, CUSRES, CUSRES response, and Flight Close-Out messages. The CUSRES message is the UN/EDIFACT response message from DHS. An unsolicited CUSRES requires an acknowledgement response from the aircraft operator, and each flight requires a Flight Close-Out message to indicate who is or is not onboard a flight.

Receiving CUSRES Messages from DHS

A DHS Response Message will be returned for each Passenger Data Message transmitted. The DHS Response Message will communicate a boarding pass printing result for each passenger submitted in the message. The boarding pass printing result will indicate one of the following:

- **Cleared**, for passengers requiring normal screening;

- **Selectee**, for passengers requiring additional screening;

- **Inhibited**, for passengers who exceed the "high-risk" threshold (e.g., No Fly match);

- **Error**, for transmissions not meeting minimum data requirements to conduct watchlist matching.

Refer to section 4.5 of the Consolidated User Guide for more information.

Inhibited and selectee CUSRES messages, received from DHS, that originated from the carrier, do not require an acknowledgement.

**Moving a
Passenger to
Another Flight**

NOTE: A DHS Response may be applied for an individual moved to another international flight, however, when a passenger is reported on one flight and for various reasons does not fly, that passenger will be identified through the Flight Close-out message or a cancel reservation submission. Since an APIS submission is required for all passengers on a commercial flight arriving into or departing from the United States, complete APIS data must be submitted for a passenger when they are moved to a new flight.

**CUSRES
Messages**

The CUSRES message is used to communicate the following information to the aircraft operator:

- DHS responses to PAXLST messages received from aircraft operators that report passenger, reservation, or flight details.

- DHS unsolicited messages generated by DHS as result of a change to the status of a previously vetted passenger.

NOTE: The message structure will be returned in the same syntax format it was received.

Sample CUSRES
Message

```
UNA:+.? '
UNB+UNOA:4+USADHS+UNITED AIRLINES+070429:0900+000006640++DHS'
UNG+CUSRES+USADHS+UNITED AIRLINES+070429:1900+6640+UN+D:05B'
UNH+DHS001+CUSRES:D:05B:UN:IATA'
BGM+962'
RFF+TN:123456789:::001'
RFF+AF:TR3345'
DTM+189:0705011840:201'
DTM+232:0705012055:201'
LOC+125+PAR'
LOC+87+JFK'
ERP+2'
RFF+AVF:ABC123'
RFF+ABO:BA1321654987'
ERC+1'
FTX+AAH+++ Contact the DHS Resolution Desk at: 1-800-CALL-DHS'
UNT+13+DHS001'
UNE+1+6640'
UNZ+1+000006640'
```

UNB Interchange Header

- The Interchange Sender Identification will be USADHS:

`UNB+UNOA:4+**USADHS**+UNITED AIRLINES+070429:0900+000006640++DHS'`

Refer to section 8.2 of the UN/EDIFACT Implementation Guide for more information.

UNG Group Header

- The Group Sender Identification will be USADHS:

UNG+CUSRES+**USADHS**+UNITED AIRLINES+070429:0900+6640+UN+D:05B'

Refer to section 8.3 of the UN/EDIFACT Implementation Guide for more information.

UNH Message Header

- Unique message reference assigned by the sender or a unique control number assigned by DHS system:

UNH+**1**+CUSRES:D:05B:UN:IATA'

Refer to section 8.4 of the UN/EDIFACT Implementation Guide for more information.

BGM Beginning of Message

There are two types of CUSRES messages:

- BGM+962' – DHS Response Message
- BGM+132' – DHS Unsolicited Message

BGM+**962**'

Refer to section 8.5 of the UN/EDIFACT Implementation Guide for more information.

RFF Reference

The RFF segment may serve two purposes:

- Identify the TRN that appeared on the input PAXLST message along with the message sequence number. The returned TRN provides the aircraft operator the ability to use their uniquely assigned number to reconcile and associate the passenger manifest message to this DHS response message.

- Identify the flight departure and arrival information reported on the input passenger manifest PAXLST message sent to DHS by the aircraft operator.

RFF+TN:**UA123456789:::001**'
RFF+AF:**TR3345**'

Refer to section 8.6 of the UN/EDIFACT Implementation Guide for more information.

DTM Date and Time

- Two DTM segments will be returned to the aircraft operator corresponding to the departure time and arrival time reported in the PAXLST message. This is different from PAXLST data which lists LOC and DTM for departure, then LOC and DTM for arrival:

DTM+**189:0702191840**' – Date/Time Departure
DTM+**232:0702191955**' – Date/Time Arrival

Refer to section 8.7 of the UN/EDIFACT Implementation Guide for more information.

LOC Location

- Two LOC segments will be returned to the aircraft operator corresponding to the departure location and arrival location reported in the PAXLST message. This is different from PAXLST data which lists LOC and DTM for departure, then LOC and DTM for arrival:

LOC+**125**+**PAR**' – Departure Location
LOC+**87**+JFK'   – Arrival Location

Refer to section 8.8 of the UN/EDIFACT Implementation Guide for more information.

ERP Error Point Detail

The ERP can serve two functions; a general header segment for DHS General Responses to changes in flights or reservations, and Detail Segment Loop Header for reporting passenger status information:

- 1 – General Heading – Non-passenger PAXLST confirmation

- 2 – Detail Heading – Passenger Status Information

ERP+**2**

Refer to section 8.9 of the UN/EDIFACT Implementation Guide for more information.

RFF Reference

- If an aircraft operator identifies a passenger using multiple RFF segments, DHS will respond with the multiple RFF segments:

RFF+**AVF:ABC123**'
RFF+**ABO:BA1321654987**'

Refer to section 8.10 of the UN/EDIFACT Implementation Guide for more information.

ERC Application Error Information

The ERC Segment is used to report any of the following:

- Status of passenger in response to aircraft operator clear passenger request.

- New status of passenger as result of changes to DHS watchlist for passenger.

- Response to changes in flights, reservations, or flight close-out messages.

Accepted ERC values:

- 0 – Cleared, boarding pass may be issued

- 1 – Inhibited, not cleared to board, boarding pass issuance inhibited

- 2 – Selectee, boarding pass may be issued with selectee indicators

- 4 – Error, Insufficient Data error, insufficient passenger data

ERC+**0**'
ERC+**1**'

Refer to section 8.11 of the UN/EDIFACT Implementation Guide for more information.

FTX Free Text

- This segment will be used to provide additional instructions to the aircraft operator regarding the status of a passenger:

FTX+AAH+++ Contact the DHS Resolution Desk at: 1-800-CALL-DHS'

Refer to section 8.12 of the UN/EDIFACT Implementation Guide for more information.

UNT Message Trailer

- A segment ending a message, giving the total number of segments in the message (including the UNH & UNT) and the control reference number of the message:

UNT+**13**+DHS001'

Refer to section 8.13 of the UN/EDIFACT Implementation Guide for more information.

UNE Group Trailer

- This value represents the number of messages included in the group:

UNE+**1**+6640'

Refer to section 8.14 of the UN/EDIFACT Implementation Guide for more information.

UNZ Interchange Trailer

- This value represents the number of groups included in this transmission:

UNZ+**1**+000006640'

Refer to section 8.15 of the UN/EDIFACT Implementation Guide for more information.

Unsolicited Messages

Unsolicited Messages from DHS contain revised boarding pass printing instructions that result from an update to the watchlist that alters a passenger's previous boarding pass printing result.

For example, unsolicited messages may result from updates to the watchlist that include changing a cleared passenger to a selectee or inhibited status. Likewise, unsolicited messages may also be generated if, through a resolution process, an inhibited status was upgraded to be a selectee or cleared.

Unsolicited messages are not only received through a resolution process. Anytime a change occurs to the watchlist, previously received names will be vetted. If a previously vetted name received an inhibited result and the updated watchlist changes the name to cleared, an unsolicited message will be sent.

Below is a list of changes that may occur through an Unsolicited Message:

- Cleared to Selectee

- Cleared to Inhibited

- Selectee to Cleared

- Selectee to Inhibited

- Inhibited to Selectee

- Inhibited to Cleared

A coordinated effort to manage the updates will be undertaken between DHS and the aircraft operator(s) involved in the passenger's journey.

Refer to section 4.5 of the Consolidated User Guide for more information.

Acknowledgement of Unsolicited Messages Required

NOTE: If a message is sent as an unsolicited message from DHS, an Acknowledgement Response message will be required from the aircraft operator. Your acknowledgement of the Unsolicited message must indicate if a boarding pass has been issued. This will aid in determining the next steps in handling of the traveler.

Response to Unsolicited Message

Your response to an unsolicited message is similar to the CUSRES message.

BGM Beginning of Message

- The Document Name Code will be 312 for acknowledgement messages:

BGM+**312**'

Refer to section 10.5 of the UN/EDIFACT Implementation Guide for more information.

FTX Free Text

- This FTX segment MUST be used in this acknowledgement message. This segment is used to report Boarding Pass issuance status of an inhibited passenger:

Accepted Values:

- N - Boarding pass not issued

- Y - Boarding pass issued

FTX+AHN+++**N**'

Refer to section 10.13 of the UN/EDIFACT Implementation Guide for more information.

Flight Close-Out Message

Passengers who have received a boarding pass may, for a variety of reasons, subsequently not travel. To clearly identify passengers who have boarded an aircraft, you will be required to submit a Flight Close-Out message no later than 30 minutes from departure. The Flight Close-Out message will represent all uniquely identified passengers onboard a flight. To accomplish this, you will have the ability to submit a close-out message indicating passengers who either did travel or a close-out message indicating passengers who did not travel. You will only need to provide one message for each flight.

Multiple Flight Close-Out messages are acceptable when utilizing either Batch interactive or AQQ transmission options; however, under most circumstances only one Flight Close-Out message should be transmitted. Multiple Flight Close-Out messages could occur if a flight departure is delayed or a passenger is removed after the door is secured.

Refer to section 4.5 of the Consolidated User Guide for more information.

Example of Flight Close-Out Message Listing Passengers On Board	The following is an example of a Flight Close-Out message listing passengers on board the flight. The BGM segment is 266 and the message function identifier is CLOB (close-out onboard).

Refer to Appendix B.17 of the UN/EDIFACT Implementation Guide for more information.

NOTE: The total number of passengers on the flight is identified in the CNT segment.

```
UNA:+.? '
UNB+UNOA:4+AIR1+USADHS+070322:0335+5755176++DHS'
UNG+PAXLST+AIR1+USADHS+070322:0335+1+UN+D:05B'
UNH+5755176+PAXLST:D:05B:UN:IATA'
BGM+266+CLOB' Flight Close-Out with on board passengers
RFF+TN:ABC1234:::001' Transaction Reference and Message Sequence
NAD+MS+++JOHN SMITH'
COM+703-555-1212:TE+703-555-4545:FX'
TDT+20+AA567+++AA' Flight number and Carrier Code
LOC+125+LHR' Departure Info
DTM+189:0703221615:201' Flight departure date/time
LOC+87+LAX' Arrival Info
DTM+232:0703221905:201' Flight scheduled arrival date/time
NAD+ZZZ'
RFF+AVF:TYR123' PNR Reservation ID
RFF+ABO:TYL001' Aircraft operator Unique Passenger Reference Number
NAD+ZZZ'
RFF+AVF:TYR123' PNR Reservation ID
RFF+ABO:TYL002' Aircraft operator Unique Passenger Reference Number
NAD+ZZZ'
RFF+AVF:TYR123' PNR Reservation ID
RFF+ABO:TYL003' Aircraft operator Unique Passenger Reference Number
NAD+ZZZ'
RFF+AVF:TYR123' PNR Reservation ID
RFF+ABO:TYL004' Aircraft operator Unique Passenger Reference Number
NAD+ZZZ'
RFF+AVF:AABD55' PNR Reservation ID
RFF+ABO:MCO001' Aircraft operator Unique Passenger Reference Number
NAD+ZZZ'
RFF+AVF:AABD55' PNR Reservation ID
RFF+ABO:MCO002' Aircraft operator Unique Passenger Reference Number
NAD+ZZZ'
RFF+AVF:ZMJO6O' Passenger Reservation Number
RFF+ABO:VEF001' Unique Passenger Reference Number
CNT+42:7'
UNT+000102+5755176'
UNE+1+1'
UNZ+1+5755176'
```

Example of Flight Close-Out Message Listing Passengers Not On Board

The following is an example of a Flight Close-Out message listing passengers not on board the flight. The BGM segment is 266 and the message function identifier is CLNB (close-out not onboard).

Refer to Appendix B.18 of the UN/EDIFACT Implementation Guide for more information.

```
UNA:+.? '
UNB+UNOA:4+AIR1+DHS+070322:0335+5755176++DHS'
UNG+PAXLST+AIR1+DHS+070322:0335+1+UN+D:05B'
UNH+5755176+PAXLST:D:05B:UN:IATA'
BGM+745+CLNB' < 'CLNB' Flight Close-Out with NOT onboard passengers
RFF+TN:ABC1234:::001' Transaction Reference and Message Sequence
NAD+MS+++JOHN SMITH'
COM+703-555-1212:TE+703-555-4545:FX'

TDT+20+AA567+++AA' Flight number and Carrier Code
LOC+125+LHR' Departure Info
DTM+189:0703221615:201' Actual Flight departure date/time
LOC+87+LAX' Arrival Info
DTM+232:0703221905:201' Flight scheduled arrival date/time
NAD+ZZZ'
RFF+AVF:TYR123' Passenger Reservation Number not boarded
RFF+ABO:TYL001' Unique Passenger Reference Number not boarded
CNT+42:7'
UNT+000102+5755176'
UNE+1+1'
UNZ+1+5755176'
```

CUSRES Response for Flight Close-Out Message

Upon receipt of a Flight Close-Out message DHS will send an Acknowledgement message. The following is an example of a Flight Close-Out Acknowledgement message.

```
UNA:+.? '
UNB+UNOA:4+USADHS+AIR1+070322:0335+0000001++DHS'
UNG+CUSRES+USADHS+AIR1+070322:0335+1+UN+D:05B'
UNH+2640+CUSRES:D:05B:UN:IATA'
BGM+962'
RFF+TN:ABC1234:::001'
RFF+AF:AA567'
DTM+189:0703221615:201'
DTM+232:0703221905:201'
LOC+125+LHR'
LOC+87+LAX'
ERP+1' DHS General Response ('1')
ERC+0' '0' Denotes acknowledged by DHS
UNT+7+0000001'
UNE+1+0000001'
UNZ+1+0000001'
```

**Identifying a
System Outage**

Each system will wait 4 seconds before attempting to resend a message. Four resend attempts equaling a total of 20 seconds wait time will be treated as a system outage. To alleviate unnecessary communications, the 20 second wait-time must be accepted prior to advancing to the system outage procedures.

The 4 second processing time refers only to the time it takes CBP systems to process the message received. It does not include delays in the delivery of the message to CBP or of the response from CBP to the carrier system. You must take this into consideration when calculating resend attempts.

During the testing and implementation phase, CBP will work with you to establish additional outage procedures based on your operational processes, including transmitting data from alternate locations or using alternate transmission methods. To avoid boarding pass issuance limitations you are encouraged to submit APIS data early in the process to receive screening responses well before securing of the aircraft door.

Refer to appendix 6.6.3 of the Consolidated User Guide for more information.

Operations Compliance Requirements

Introduction

As an aircraft operator, you are responsible for administering the boarding pass issuance results delivered by DHS. The following is information for compliance with each boarding pass result.

> NOTE: Data collected for international travel must be validated by the aircraft operator or those acting as agents of the aircraft operator. Collecting the data found in the MRZ of the individual's travel document typically performs this validation: full name, date of birth, document type, document number, document country of issuance, document expiration date, gender, and nationality.
>
> When an APIS submission is through an offsite airport data collection device, i.e., the Internet, the data provided is not validated. The boarding pass would be termed "provisional" until validation occurs. Therefore, the "provisional" boarding pass could be used, by the traveler, to process through airport security and then at the gate, once validation occurs, either a new boarding pass is issued or the original boarding pass becomes the issued boarding pass.

Responsibilities for a cleared

- You may issue a boarding pass to a traveler who has received a cleared response from DHS and then proceed with normal handling of the traveler and his or her associated baggage.

- Passengers with cleared boarding pass printing results are subject to CAPPS selectee determination by the aircraft operator.

Responsibilities for an Inhibited

Follow the procedures below in the event that DHS returns an inhibited response:

- The response message will provide you with a 24-hour contact number to assist in determining a resolution to the inhibited response. Depending on additional information provided, a more favorable boarding pass issuance response may be obtained.

- Any passenger who receives an inhibited response may not be boarded or transported until the inhibited response has been resolved.

- You must identify and remove or invalidate the boarding pass for any passenger who received an inhibited boarding pass vetting result. Additionally, any checked baggage must be identified and removed from the aircraft if the response cannot be resolved.

Refer to section 4.5 of the Consolidated User Guide for more information.

NOTE: During the resolution process, if the passenger is determined not to be the subject of the record, you may be advised to send another vetting request and will then receive a new vetting response, or you may receive an unsolicited message changing the result from inhibited to a more favorable vetting result.

It is suggested you continue to use existing processes, including your carrier security department, in the resolution process. It is understood the check-in agent will be present with the traveler and may be able to provide additional information for the resolution of the situation.

Responsibilities for Selectee

- If you receive a selectee boarding pass printing result for a passenger you must print the selectee indicator on the passenger's boarding pass.

- Passengers who have received a selectee boarding pass printing result can have the boarding pass printed only at an on-site airport printing device.

Refer to section 4.8 of the Consolidated User Guide for more information.

Responsibilities for Error

- An Error Response message will be returned when passenger data fails business rule edits. You must resubmit the Passenger Data message when additional data is available to satisfy the business rule edits.

- Normal error response messages are generated due to invalid data found in the first or last name fields or to a missing date of birth.

- Until a cleared or selectee vetting result is returned, a boarding pass cannot be issued.

Refer to section 4.8 of the Consolidated User Guide for more information.

Anticipated Public Questions and Recommended Responses

CBP has received numerous questions associated with the APIS Pre-Departure requirements. Answers to these questions have been prepared and are posted to the CBP public web-site at the following web address:

http://www.cbp.gov/xp/cgov/travel/inspections_carriers_facilities/apis/

Step 2b – Network Development Cycle

Introduction   You must review network connectivity options with CBP early in the compliance process. Extended lead times may be required by network providers. Technical and operational decisions may be affected by the connection chosen.

Four Network   There are four connection options available to send and receive APIS
Connection Options   Pre-Departure messages:

- Dedicated Multiple Protocol Label Switching (MPLS) circuits

- Value Added Networks (VAN)

- Hardware Internet Virtual Private Network (VPN)

- Software Internet VPN

These options are described in more detail below. The selection of a transmission option will be a business decision made on the part of the carrier.

Refer to appendix 7.6.4 of the Consolidated User Guide for more information.

Dedicated MPLS   This method allows the most control of the data transport. You must
Circuits   have adequate engineering resources to install, maintain, and operate a Wide Area Network.

Benefits:

- Highest level of redundancy and scalability.

- Tunnel creation to and from CBP can be initiated from either side.

- Data flows at time of creation, rather than going into a queue or waiting for tunnel creation.

- Multiple systems can send data to CBP.

- Can be combined with VANs to enhance disaster recovery should the MPLS network fail.

Limitations:

- Must use CBP-approved MPLS service provider.

- Not managed end to end.

- Only as good as the network implementation.

Specifics:

- Must have one or more dedicated MPLS circuits connected to CBP's "DHS_Air" Virtual Route Forwarding (VRF) network.

- Requires a Cisco Router and Internetwork Operating System (IOS) that supports Advance Encryption Standard (AES) 256.

- CBP can also support the use of a secondary VPN to accommodate disaster recovery sites but this will require additional VPN devices.

- An Interconnect Security Agreement must be completed and you must have the IT staff to support this technology.

- MQSeries Server 6.0 is preferred but Mapping of Airline Traffic of IP (MATIP) host-to-host protocol is supported.

- Messages must be in EDIFACT format with or without an IATA message header if they use MQ.

Contacts:

- Verizon for MPLS circuit ordering at 703-343-6077.

- Additional vendors may be available based on DHS contract awards.

Value Added Network

This method allows for the leverage of existing networks and services.

Benefits:

- Flexible, you can implement the kind of service you desire in the areas of redundancy, speed, service level agreements, protocols, and messaging format.

- International network reach.

- Lower cost, in most cases, than several directly connected circuits.

- VANs can provide additional services; e.g., managed networks, Electronic Data Interchange, protocol translation, and application support for creating APIS and Passenger Name Record (PNR) transmissions.

Limitations:

- Currently there are only a few VANs connected to CBP.

- May not be proactively managed end to end.

Specifics:

- Can connect one or more physical circuits to a VAN to transport data to the aviation and government communities.

- VAN can be used as a "hop" or connected directly to the CBP community.

- You can subscribe to one or more existing VANs such as ARINC's AviNet, SITA's America IDnet, Avfinity, and Amadeus networks.

- Hardware and network requirements are negotiated by the aircraft operator and the VAN and are based on individual requirements for services.

- Requires MQSeries Server or Client, or a MATIP host to host interface.

Contacts:

- VAN customer service representative to discuss commercial requirements for service.

Hardware Internet Virtual Private Network (VPN)

This option allows small aircraft operators, with fewer than 100,000 international passengers per year, to connect using a dedicated Internet service and may be chosen due to the high cost or non-availability of VANs. An aircraft operator must have a dedicated Internet service and some IT resources to participate.

Benefits:

- More robust than software VPN connection types.

- No recurring monthly leased line charges.

- Utilizes high-speed Internet connection.

- VPN Tunnel creation is bidirectional (to or from CBP) when using MQSeries Server.

- Data transmission is immediate, rather than waiting for the VPN tunnel to be created by the aircraft operator.

- More flexible application integration is possible.

- Multiple systems can send data to CBP without additional software or hardware.

- Can be used for batched and AQQ submissions.

Limitations:

- The network connection is not dedicated to aircraft operator or CBP.

- The network is not proactively monitored at the same level as a dedicated MPLS connection to the CBP network.

- Subject to the anomalies of the Internet and transport across the network.

- Usually not considered to be a "mission critical" network by providers.

Specifics:

- Connect with Asymmetric Digital Subscriber Line (ADSL), cable modem, or other dedicated Internet connection.

- Requires a permanent and public Internet Protocol (IP) address.

- Must use one of the following approved devices: Cisco 871, 1811, 2801, or VPN concentrator. Other Cisco IP Security (IPSEC) capable devices are supported but require CBP Network Engineering Team's prior approval.

- Requires an IBM MQSeries Server or MQ Client; Cisco IOS version that supports AES 256 encryption and is considered stable by CBP Engineering; and Unix, Linux, or Windows Operating Systems.

- Requires that tunnels are up all the time to support AQQ.

Contact:

- APIS Account Manager to discuss eligibility.

Software Internet Virtual Private Network (VPN)

This method allows aircraft operators who do not submit APIS data on a regular basis to connect using a dedicated Windows-based computer platform. Operators may connect a few times a day for brief periods of time to submit data and receive transaction results.

Benefits:

- Connections can be accomplished from almost anywhere in the world.

- Multiple software clients can be set up for each of the remote locations and do not require connecting back to Headquarters.

Limitations:

- Cannot be used with MQSeries server.

- Connection must be manually initiated by the aircraft operator's application.

- Limited to "connect-put or get-disconnect" type connections.

- Dropped connections will not auto-reconnect.

- No Internet connectivity for the PC while it is connected to CBP.

- LAN connectivity is limited to the directly connected LAN segment.

- Can only submit APIS Batch transactions.

- Same as Hardware VPN.

Specifics:

- Must connect with ADSL, cable modem, dial-up, or other dedicated Internet connection.

- Requires Windows 2000 or XP.

Contact:

- APIS Account Manager to discuss eligibility.

Step 3 – System Tests

Introduction
After you submit your online request for participation in the APIS Pre-Departure project, you will be assigned an APIS Pre-Departure Tester who will provide you with a testing package with instructions on the steps to follow in order to validate new messaging and network connections prior to transmitting production data to DHS.

Refer to the high-level checklist below extracted from the full testing package.

Beginning with Steps 3 – 6, you will work with your assigned APIS Pre-Departure Tester to determine system compatibility and message structure. You must successfully complete all identified test scenarios in order to receive authorization to participate in APIS Pre-Departure. Identified test scenarios are based on the network established, the carriers decision to send messages in Interactive Batch or AQQ and a select number of scenarios structured to meet Secure Flight proposed requirements, however, they can be applied to APIS Pre-Departure functionality.

Any test scenarios identified by the carrier as being outside of their immediate release, will be documented by their APIS Pre-Departure Tester, to ensure they will not impact carriers ability to meet APIS Pre-Departure functionality.

Table 3: Implementation Checklist

Implementation Checklist

Implementation Checklist	
Step 1	**Request to Participate in AQQ**
	Carrier submits request for participation to CBP
	CBP assigns APIS Pre-Departure Tester
Step 2a	**Carrier's Application Development Cycle**
	Develop APIS Pre-Departure interface application programs
Step 2b	**Network Development Cycle**
	Evaluate network connectivity requirements
	Finalize network requirements
	Construct network components
	Conduct network connectivity tests

Step 3	System Tests
	Send and receive messages in proper format
	Clear Passenger Request (Carrier) – Cleared Response (CBP)
	Clear Passenger Request (Carrier) – Advisory Response (CBP)
	Clear Passenger Request (Carrier) – Not-Cleared Response (CBP)
	Clear Passenger Request (Carrier) – Error Response (CBP)
	Resolution of inhibited response (Operational Procedures)
	Flight Close-Out (Carrier) – Response (CBP)
	Unsolicited Message (CBP) – Acknowledgement Response (Carrier)
	Wait limit exceeded test
	Multiple passenger message test
	APIS manifest build verification (CBP)
Step 4	APIS Pre-Departure Authorization
	APIS Pre-Departure Tester recommendation for approval
	Network support approval
	Application support approval
	CBP / National APIS Account Manager approval
Step 5	Pilot Deployment
	Carrier / CBP finalize pilot deployment schedule
	Carrier submits controlled data feeds
	CBP monitors data feeds
	CBP / Carrier analyze data feeds (e.g. vetting results)
Step 6	Full Deployment
	Carrier / CBP finalize full deployment schedule
	CBP monitors data feeds

Step 4 – APIS Pre-Departure Authorization

Introduction Upon successful completion of the identified scenarios in the testing package, your APIS Pre-Departure Tester will recommend your company to the Administrator for participation in APIS Pre-Departure production.

System Testing The objective of testing is to validate system processes, messages transmitted from aircraft operators, completion of the watchlist matching, and issuance of decisions based on the results of watchlist matching.

Refer to section 3.3 of the Consolidated User Guide for more information.

Criteria for APIS Pre-Departure Authorization Authorization to participate in APIS Pre-Departure is based on successful completion of a full range of systems and operational test cases conducted between DHS and aircraft operators. Each test case includes well defined success criteria. Although progression to the next phase of testing may occur before a specific test scenario is completed, authorization will not be granted until all applicable test scenarios have been passed.

Refer to section 3.3 of the Consolidated User Guide for more information.

Steps 5 and 6 – Pilot Deployment and Full Deployment

Introduction   The Administrator will authorize phased deployment based on the
                            recommendation of the APIS Pre-Departure Tester.

**Phased
Production
Deployment
Options**   You may choose to phase implementation by routes, airports, or any
                            other basis agreed upon by CBP. However, you must have completed
                            full cutover prior to the established date required for regulatory
                            compliance. In the case of APIS Pre-Departure, if you fail to meet the
                            date mandated for implementation you must provide your APIS
                            manifests in the APIS batch format, prior to departure.

                            *Refer to section 3.3 of the Consolidated User Guide for more
                            information.*

Appendix A – Acronyms

Acronym	Description
ADSL	Asynchronous Digital Subscriber Line
AES	Advance Encryption Standard
AOSSP	Aircraft Operator Standard Security Program
APD	APIS Pre-Departure
APIS	Advance Passenger Information System
AQQ	APIS Quick Query
ARINC	Aeronautical Radio Incorporated
ATA	Air Transport Association
ATM	Asynchronous transfer mode
BGM	Beginning of Message
CAPPS	Computer Assisted Passenger Pre-Screening
CBP	Customs and Border Protection
CFR	Code of Federal Regulations
CUG	Consolidated User Guide
CUSRES	Customs Response Message
CUTE	Common Use Terminal Equipment
DCS	Departure Control System
DHS	Department of Homeland Security
DOB	Date of Birth
DRM	DHS Response Message
EDI	Electronic Data Interchange
EDIFACT	Electronic Data Interchange for Administration, Commerce, and Transport
ERC	Application Error Information

FCM	Flight Crew Manifest
FCO	Flight Close-out
FTX	Free Text
GAO	Government Accountability Office
GDS	Global Distribution System
IATA	International Air Transport Association
ICAO	International Civil Aviation Organization
IOS	Inter-network Operating System
IP	Internet Protocol
IPSEC	IP Security
IRROP	Irregular Flight Operations
IRTPA	Intelligence Reform and Terrorism Prevention Act of 2004
ISO	International Standards Organization
LEO	Law Enforcement Officer
MATIP	Mapping of Airline Traffic over IP
MPLS	Multiple Protocol Label Switching
MQ	Message Queuing
MQSeries	Message Queuing Series
MRZ	Machine Readable Zone
NPRM	Notice of Proposed Rule Making
OTSR	Office of Transportation Security Redress
PAXLST	Passenger List Message
PD	Passenger Data
PNR	Passenger Name Record
SDSL	Synchronous Digital Subscriber Line

SITA   Société Internationale de Télécommunication Aéronautique

SLC   Synchronous Link Control

TCP   Transmission Control Protocol

TRIP   Traveler Redress Inquiry Program

TSA   Transportation Security Administration

UN/EDIFACT   United Nations/Electronic Data Interchange for Administration, Commerce, and Transport

VAN   Value Added Network

VPN   Virtual Private Network

VRF   Virtual Route Forwarding

WCO   World Customs Organization

XML   Extensible Markup Language

Appendix B – Glossary

Terms and Phrases	Definition
APIS Quick Query (AQQ)	An interactive submission process that will provide a response within 4 seconds of receipt. The 4 second timing is based on receipt of the message within the CBP APIS system. Latency of delivery to and from carrier system is not factored in the 4 second response.
Clear Passenger Request	A submission of data to obtain a boarding pass issuance authorization and/or submission in compliance with APIS data requirements.
Data Validation	For international travel, data submission occurs when the carrier compares the data being presented by the traveler with the data previously submitted. If the data elements match exactly, a subsequent submission is not required. If the data elements vary, a subsequent submission is required.
Flight Close-Out	For international travel, the Flight Close-Out message indicates the actual date and time of departure of a flight, the total passengers onboard, and identifies travelers, using their unique identifier, who boarded the aircraft. Two types of Flight Close-Out messages are available. One option indicates the unique identifiers of passengers who were boarded. A second option indicates the unique identifiers of passengers who were not boarded.
Full and Complete APIS Data	The following data elements equal full and complete APIS data: • Last name • First name • Middle name (if available) • Valid date of birth • Gender • Document type • Document number • Document country of issuance • Document expiration date • Country of citizenship/nationality • Country of residence (arrival only) • Address while in the United States (arrival only, visiting

foreign nationals)

Full Name	Full name is based on a last name of at least one character, not containing special characters other than a hyphen (-) or an apostrophe ('), a first name of at least one character, not containing special characters other than a hyphen (-) or an apostrophe (').
Inhibited Response Resolution	Travelers receiving an inhibited response must be further vetted prior to receiving a boarding pass authorization. The response message returned will provide a contact number that must be called to determine if a resolution can be accomplished.
Interactive Batch	A means by which a carrier or service provider transmits data to DHS to receive a boarding pass authorization or to meet APIS data requirements. Using the network connection chosen by the carrier a vetting result will be returned by DHS to the originator of the message.
Message Acknowledgement	Messages initiated by the DHS process, Unsolicited messages, require a message acknowledgement by the carrier, regardless of the vetting decision. Messages initiated by the carrier, through the Clear Passenger Request process, do not require an acknowledgement to the DHS system.
Non-Interactive Batch	A means by which a carrier or service provider transmits data to DHS for a boarding pass authorization or to meet APIS data requirements. Due to the message structure and the communication used, the boarding pass authorization will be returned using an email communication process.
Testing Scenarios	DHS has identified scenarios necessary to ensure carriers or service providers utilizing one of the two interactive transmission processes to successfully demonstrate the ability to transmit clear passenger requests and receive boarding pass authorization responses. Based on your business decisions, not all scenarios have to be tested. CBP will authorize, on a case-by-case basis, omitting scenarios that do not impact your APIS processing.
UN/EDIFACT format	UN/EDIFACT is the single format means for transmitting APIS data to CBP. Utilizing any other syntactical format for transmitting APIS data to CBP will result in an error message response.

Unique Identifier

When transmitting APIS data to CBP, carriers are instructed to provide a Passenger Name Record (PNR) identifier and a Traveler Reference Number (TRN) within their APIS submission. These two identifiers will be utilized when communicating a boarding pass authorization or unsolicited message. Carriers that do not utilize a PNR identifier, for their internal management of passenger reservations must provide a TRN identifier in their APIS transmission. Under this scenario, the TRN will be used as the unique identifier when communicating boarding pass authorizations and unsolicited messages.

Unsolicited messages

Transmitted names will be continually vetted, to ensure watchlist updates are properly monitored. Names identified as having a change in boarding pass authorization will be updated and an updated boarding pass authorization will be communicated to the original sender of the record. In the case of multiple transmitters of the updated record, each transmitter will receive an updated boarding pass authorization.