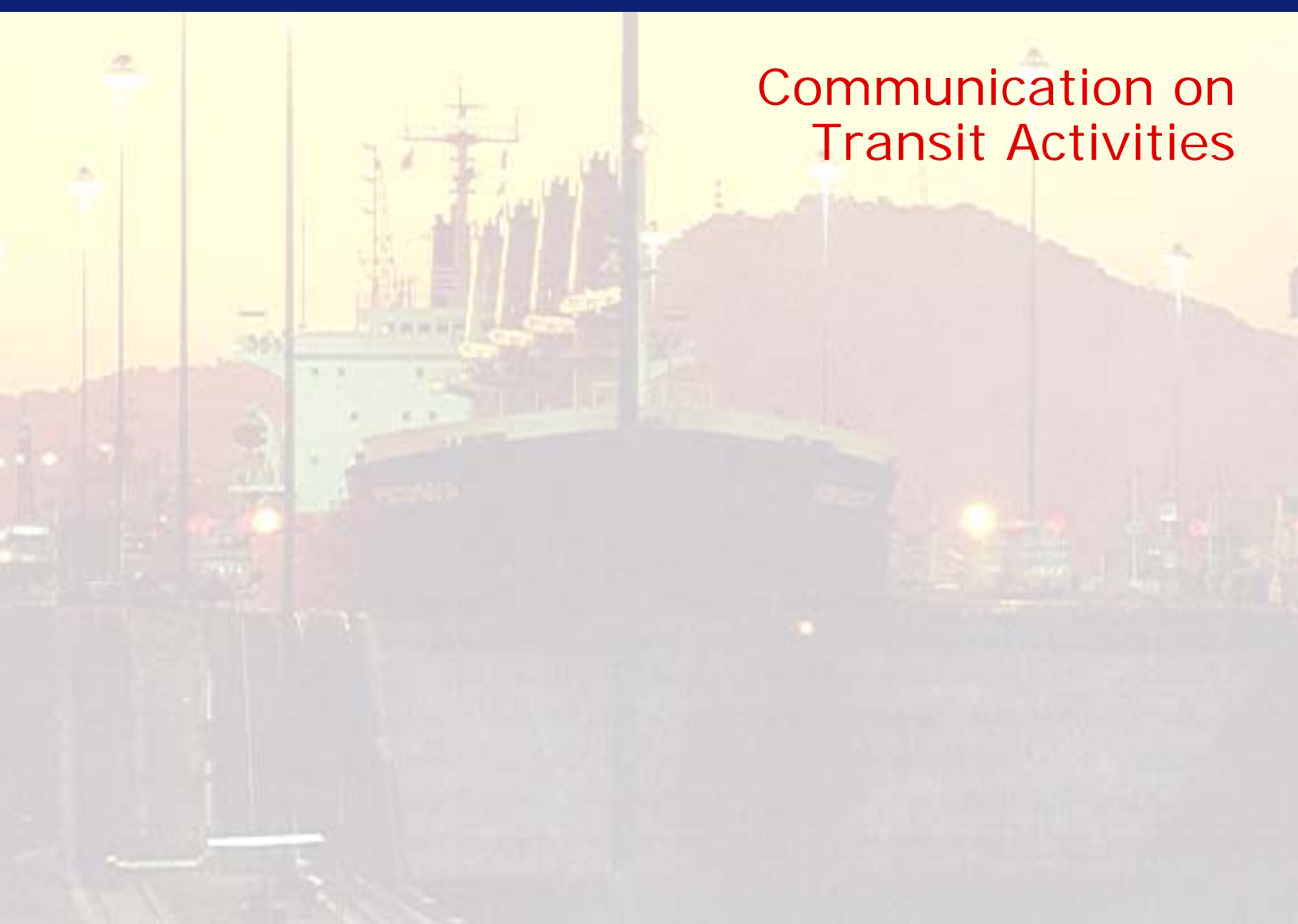# ACP

AUTORIDAD DEL CANAL DE PANAMÁ

OP NOTICE TO SHIPPING No. N-3-2009

Communication on Transit Activities

January 1, 2009

OP NOTICE TO SHIPPING No. N-3-2009

To: Steamship Agents, Owners and Operators

Subject: Communication on Transit Activities

1. Effective Date and Cancellation

This Notice is effective on the date of issue and cancels OP Notice to Shipping No. N-3-2008. The content of this Notice remains the same as in the previous year, except that on page 13, the offices of the Canal Port Captain on the Pacific and Atlantic sides were added as points of contact for emergencies involving vessels in Canal waters.

A revised Notice will be issued in January of each year or when otherwise required.

2. Purpose and Scope

a. The purpose of this Notice is to present a compilation of all the communication means with the different Operation Department units in charge of transit operations. In this way, the Panama Canal Authority (ACP) ensures that there are permanent, open channels of communication to strengthen the relationship with clients and users and ensure the excellence in the transit services they receive.

3. Implementation of the Automated Data Collection System (ADCS)

To ensure the most efficient use of its resources and to provide the best level of service and security to its customers, the ACP implemented an Automated Data Collection System (ADCS) in a staggered process that began April 1, 2004, and was completed July 1, 2004.

The ADCS is an efficient electronic information exchange between the ACP information system and the customers' systems, which enables the collection, administration, and validation of data. The ADCS includes an application that is used by ACP boarding officers to access, update and add information with on-line access to the current operational application via wireless technology.

The ADCS is divided in two main components:

(1) Electronic Data Collection System (EDCS):

The EDCS is designed to function as the ACP's Information System front–end. It provides for the electronic reception of all preliminary information required for security and operational purposes. After being verified by ACP personnel through an interface, this information is incorporated into the production database of the Enhanced Vessel Traffic Management System (EVTMS), which is the current operational application used by the ACP.

The EDCS contains three main modules:

   (a) Client's Web-Form Module *(*Used by clients and registered agents*)*
   (b) (EDI) Messaging Module
   (c) Value Added Network (VAN) and EDI links

(2) Mobile Data Collection System (MDCS):

The MDCS allows for wireless communication between the EVTMS database and the handheld devices carried by the ACP admeasurers, boarding officers and Canal protection officers. Wireless communication enables these officials to access, edit or input information via an interface from any location throughout the Canal.

   a. Operation of the Electronic Data Collection System (EDCS)

The EDCS receives the required information from the vessel through three different routes or options, which are available for the customer to choose from:

(1) EDCS Web Portal:

The customer and the registered agents have access to this portal at any time. It has the following functionality:
   (a) User profile and password maintenance
   (b) General Transaction Status
   (c) Module for submission of required information:
      • ETA
      • Ship Due

- Ship Due for Small Crafts
- Cargo Declaration
- Crew Information
- Passenger Information
- Preliminary Admeasurement Data Sheet (For first time transits only)
- Booking Request and Cancellation (For registered agents only)

The ACP provides each customer and registered agent with a user name and password to log onto the EDCS portal. The client is able to change the password in the EDCS portal at any time.

In order to assure the proper level of security in the communications over the Internet, the registered agents are required to use digital keys in order to electronically sign the documents they generate. These digital keys (USB Tokens) are provided and configured by the ACP.

However, in order for the customer to receive its user name and password, the customer must have a Customer Code (CC). This CC is critical for the submission of any information to the ACP. Access to the information regarding each vessel is restricted to the Users that are related to the corresponding CC.

After logging into the EDCS, the customer may verify the status of each transaction related to the data requested for security and operational purposes, with links provided for access to the proper forms to be used. These forms have intelligent software that validates the submitted data and alerts the customer of missing or invalid data.

The required information is, basically, the same information that has been requested from our customers in the past. Additionally, the following information is required:

(a) Vessel Security Officer general data.
(b) Prior ports and corresponding MARSEC levels.

The following detailed information regarding cargo is requested:

(a) Harmonized code for detailing of cargo (6 digit), including cargo inside containers.
(b) Location of cargo in the vessel, according to the Stowage Layout, to be provided electronically when a vessel arrives at Canal waters for its first transit.
(c) IMDG (UN) code for dangerous cargo.
(d) UN Port Codes for origin and destination ports.
(e) UN Country codes.

Finally, the ACP has designed this portal primarily for clients with bulk cargo on board and a reduced number of passengers. For high volume of cargo and passenger data, the options of EDI Messaging Module (Secure ftp) or Value Added Network (VAN) were implemented.

(2) <u>EDI Messaging Module:</u>

The EDI messaging module has the same function as the Web Portal, but provides access to the following forms only:

      (a) ETA
      (b) Ship Due
      (c) Cargo Declaration
      (d) Crew Information
      (e) Passenger Information

This module handles direct server-to-server communication using an ACP proprietary format called Panama Canal Automated Data Collection Requirements (PC-ADR). The PC-ADR is based on EDIFACT, which is a widely utilized international EDI protocol used within the maritime industry.

The Web Server module and the EDI Messaging Module are integrated in a way that if the customers send their ETA and Ship Due using the Web Portal, and use the EDI messaging module to send their passenger and cargo declarations, the status of all the transactions will be reflected in the status screen at the Web Portal.

(3) <u>Value Added Network (VAN):</u>

Customers have the option to use their own VAN, or use the preferred ACP VAN provided by Crimson Logic. The VAN option is offered for those customers with high volume of data but with no current translation or mapping capabilities.

The use of this option only differs from the EDI messaging module in that the connection is accomplished through a third party. The customer is responsible for directly handling this connection.

The ACP has managed special rates for the services related to these transactions in order to minimize the economical impact on customers that wish to use this option.

b. Changes in Procedure

The main procedural changes needed for the implementation at the EDCS level are the following:

(1) <u>Submitting Information:</u>

The following information is required 96 hours prior to arrival of the vessel at Canal waters:

 (a) ETA
 (b) Ship Due
 (c) Ship Due for Small Crafts
 (d) Cargo Declaration
 (e) Crew Information
 (f) Passenger Information
 (g) Preliminary Admeasurement Data Sheet (Only for first time transits)
 (h) Booking Request and Cancellation (Optional - Only for Registered Shipping Agents)

Failure to provide the required information in a timely manner may result in delays in transit times. There will be security holds imposed on every transit until the required information has been properly revised and a risk assessment has been performed.

Vessels with a voyage time of less than 96 hours from their last port of call prior to entering Canal waters will, nevertheless, be required to provide preliminary information not less than 96 hours in advance of arrival. However, such vessels will be required to provide their final information to ACP immediately upon departure from their last port of call.

Those vessels unable to comply with the above requirements, or that arrive at Canal waters without providing proper notification, shall be considered in violation of Panama Canal Regulations and will be subject to control and compliance measures. Non-compliance may consist of the submittal of incorrect, false, incomplete or late information. These measures may include the assignment of additional resources, at the vessel's expense, or a more detailed inspection, which may result in delays or denial of transit.

Non-compliant vessels may also be subject to fines and/or other additional control and compliance measures, as deemed appropriate by the ACP. Fines for non-compliance are independent of charges that may be incurred for the use of any additional resources assigned due to safety or security concerns.

With the implementation of the EDCS system, vessels will no longer be required to provide ACP Boarding Officers with hard copies of Cargo Declarations, Passenger Lists, and Crew Lists. However, upon arrival, vessels must still provide ACP Boarding Officers with a hard copy of the Ship's Information and Quarantine Declaration – SIQD (Form 4398) completed, with the exception of the information on dangerous cargo. The dangerous cargo information must be forwarded in advance through the EDCS system. The SIQD form is available at www.pancanal.com/eng/maritime/forms.html.

(2) <u>Customer Code Issuance Procedure:</u>

The Customer Code (CC) is an imperative requirement for a transaction to be accepted or data to be received and processed. The CC process remains the same. The following is a general overview of the Customer Code request process:

(a) New customers send the required general and security information and documentation to the Customers Relations Unit. The following information can be sent by fax or email:

- Complete Company Address
- Phone Number
- Fax Number
- Email Address
- Web Site
- Official Contact Person

(b) The ACP Customer Relations Unit sends the assigned Customer Code to the customer.

(c) To access EDCS, a user ID and password are necessary. All Panama Canal registered Customers (customer code holder) are issued an administrator user account and password. These procedures are explained in Sections 4.a, 4.b and 5 of this Notice.

(d) The ACP Help Desk provides 24-hour service to address difficulties pertaining to EDCS access. The process of generating a CC and User/Password takes a minimum of 2 working days.

(e) Finally, the Customer Relations Office is available Monday through Friday from 7:15 a.m. to 4:15 p.m. Following is a list of points of contact for EDCS support:

- International Call Center .... Tel. + 65 6887-7288
- Local Call Center .... Tel. (507) 272-2222
- Customer Support .... EDCS_support@pancanal.com
- Registration and Accreditation ...... EDCS_registration@pancanal.com
- Customer Relations .... Customerelations@pancanal.com
- General Information .... EDCS_info@pancanal.com

4. Canal Internet Gateway (CIG):

The Canal Internet Gateway (CIG) communication module provides ACP customers an avenue to send and receive EDCS messages to and from the ACP in either EDI or XML format via Internet in a fast, secure, and reliable manner. The specific CIG interface data requirements and format definition will be provided in the Panama Canal

Automated Data Requirements (PC-ADR). The CIG module offers customers the option of forwarding submissions via HTTP or RTFTP, which is a variation of a secure file transfer protocol.

The connectivity service to the CIG communication module may be obtained by customers through third party vendors or a Value Added Network (VAN). To our knowledge, the only VAN currently offering this service is CrimsonLogic, LTD. As soon as other companies become VAN CIG accredited, the ACP will provide that information. The decision to use a particular provider is strictly a customer's decision.

Note: For a proper understanding of the terms and processes defined herein, customers should have an understanding of the business logic and flow of the ACP transit procedures and the EDCS system. For business logic and flow of the ACP transit procedures, please refer to:

- OP Directives: http://www.pancanal.com/eng/maritime/directives/index.html

- Panama Canal Regulations: http://www.pancanal.com/eng/maritime/ regulations/ index.html

- OP Notices to Shipping: http://www.pancanal.com/eng/maritime/notices/ index.html

a.   CIG registration:

(1) The customer requests an administrator user ID and password utilizing EDCS Administrator Account Request (Form 335), in order to access the EDCS web module. Please refer to Advisories to Shipping No. A-07-2004 and A-15-2004, available at http://www.pancanal.com/eng/maritime.

(2) ACP reviews customer's request for EDCS web module access. Upon approval, the customer is provided an administrator user ID and a password. This user ID and password will provide access to the EDCS web module, at http://www.pancanal.com/eng/maritime/index.html.

(3) The ACP registered customer administrator may request additional EDCS web module access utilizing EDCS Additional Account Request (Form 337), available at http://www.pancanal.com/eng/maritime/forms.html. This request may be made via e-mail to EDCS_registration@pancanal.com or by facsimile to (507) 272-1592.   The customer has to define the preferred format (EDIFACT or XML) or the connectivity (FTP or HTTP) that will be utilized

Note: The CIG module requires a digital certificate per server. The first digital certificate will be provided free of charge by the ACP. Additional certificates will be available at USD $1,000 each and are valid for one year.

b. CIG accreditation process:

(1) ACP reviews customer information provided in Form 337 and assigns a technical counterpart who will serve as the point of contact throughout the CIG accreditation process.

(2) ACP provides the customer with the following technical documentation:

- Panama Canal Data Requirements (PC-ADR): Includes information required for ACP clients to map and translate data from any of their individual formats to the proprietary PC-ADR format. Lists message types, structure and validations accepted by CIG.

- Client Data Requirements (CDR): Details all procedures relating to connecting to CIG for both HTTP and secure FTP, including third party VAN connection.

Note: *All necessary information for CIG accreditation is contained in the PC-ADR and CDR.*

(1) ACP provides Interconnection Security Agreement (ISA) for customer's approval and signature.

(2) ACP issues digital certificate for customer's server.

(3) Testing will begin once the customer has completed changes to their backend system or contracted the services of a third party VAN.

(4) A series of tests will be required by the ACP to evaluate the customer's ability to receive and transmit data. CIG testing will be done in three stages, which include systems interface test, software test and pilot test:

- System Interface Test: Verifies the accuracy of the customer's communication software and hardware. All communication problems encountered during this test are resolved. The test is successful when the customer has submitted and retrieved all required messages using CIG. Each customer must follow a pre-defined test scenario in order to evaluate their software's effectiveness in transmitting and receiving the required forms.

- Software Test: Allows final adjustments to the customer's system and provides an opportunity for error detection without risk. Each customer must demonstrate the ability to transmit all required sample forms and receive replies according to established test procedures. CIG will process the sample forms and generate error messages, reject messages, and status notifications.

- Pilot Test: Is performed once software testing is complete. During the Pilot Test live data is transmitted through the CIG to the ACP. Upon successful completion of the Pilot Test, the customer is ready to send all required information.

*Note***:** *Small craft are required to submit their visit information into the EDCS (Electronic Data Collection System). The system is available at the ACP Admeasurement Unit at Bldg. 729, Balboa or at Bldg. 1000, Cristobal. Small craft are still required to comply with the 96-hour rule. Yachts or small craft (under 125 feet in length) are required to submit only the "Small Craft Due" module upon arrival at Panama Canal waters. A computer terminal has been installed on the first floor of Bldg. 729, Balboa, Admeasurement Unit for this purpose.*

5. EDCS Registration Process for Agents:

In order to access EDCS, the following is required:

a. Procedure for Agents (Web Access):

(1) To access EDCS, a user ID and password are required. All Panama Canal registered agents (agent code holder) are issued an administrator user account and password. The local steamship agents that require registration to be bona fide agents shall contact the ACP Customer Deposit Section at (507) 272-7807.

(2) The person assigned to be the agent administrator account is responsible for the administration of all agent accounts, viewing all audits logs and reports, and requesting additional user accounts for this agent code. In this regard, the agent administrator will only be able to deactivate an account, i.e., personnel taking vacation or personnel no longer employed with the agency, and reactivate, i.e., personnel returning from vacation or hiring.

(3) The administrator account will have the same capability as any other account with regard to the submission of forms; however, only the ACP can create additional user accounts requested by the agent administrator.

(4) All agencies must retrieve, as soon as possible, their administrator user account and one digital certificate or token in order to access the EDCS and submit all funding related forms, i.e., booking, same day transit, etc. Only the administrator can request additional users and digital certificates.

(5) The administrator user account requires the use of a digital certificate. The Administrator must digitally sign all requests for additional users and digital certificates prior to submission.

(6) Agencies that do not retrieve their administrator user ID and digital certificate will be unable to enter EDCS. In order to submit an administrator account request, the following is required:

- A completed "EDCS Users Administration Request" (Form 337 (OPT)), containing agent administrator user information must be signed and submitted by each agent representative to the ACP via electronic mail to EDCS_registration@pancanal.com or by fax to (507) 272-4292. In turn, agents will receive their administrator user ID and digital certificate.

- If an agency has more than one person in charge of submitting information through EDCS, other than the administrator account, two options are available:

  - Sharing the same user ID and password: This is not advisable if the users are able to submit information within the same time period. EDCS provides an electronic trail for all transactions that are tied to a logged-in user; therefore, if two or more persons are sharing the same user ID at the same time, it would be difficult to perform a trace, and the accountability of the transaction would be lost.

  - Requesting Additional Users and passwords: This is the preferred option since it will afford better accountability and control.

- Requests for additional user accounts may be submitted after the administrator has retrieved its user ID and digital certificate by using EDCS Users Administration Request (Form 337 (OPT)). This form shall be completed and signed by the administrator prior to forwarding. It shall be sent via electronic mail to EDCS_registration@pancanal.com.

- The administrator shall define on Form 337 (OPT) which additional user accounts will be assigned with digital certificates. The person in charge of submitting forms related to transit bookings, i.e., Booking Request, Booking Cancellation, Request for Daylight Booked Transit, Request for Same Day Booked Transit, etc., is required to have a digital certificate in order to sign and submit their request through EDCS.

Note: Each shipping agent with an ACP Agent Code may request up to ten (10) user accounts at no cost. Thereafter, each additional user account will be charged a nominal annual fee.

b. Related Charges

(1) Creation of account – User ID and password (valid for agents and customers)
    Basic user (Account administrator)..............No Charge
    Additional users (First 10)...........................No Charge
    Additional users (11 and up).......................USD $50

(2) Digital certificate (including token) for agents:
    Basic user (Account administrator) .... No Charge
    Additional user (2 and up).......................... USD $ 90
    Renewal (does not include token)............... USD $ 25
    New digital certificate (to replace lost token) USD $ 90

(3) Digital certificate for servers (CIG access module):
    Basic user .... No Charge
    Each additional server (up to 3 per customer) USD $1,000
    Accreditation process (CIG access module) No Charge
    Renewal…………………………………………… No Charge

Notes:

- The above-listed charges were established as a means to immediately begin the EDCS registration process and, at this time, are not meant to recover the system's development, implementation and maintenance costs.

- Tokens will be used to store digital certificates. If tokens are lost, a new digital certificate and token must be requested.

c. Payment

The above-listed charges may be paid at CITIBANK Panama with cash or certified check using the "Speed Collect" slip available at the bank. The reference number required by the bank in order to complete the "Speed Collect" slip is EDCS-620301-400203.

d. Training

An E-learning tool is available to agents as a training aid on the use of EDCS. Access to this application is available to all registered agents with an assigned EDCS user ID and password. The EDCS Training Module is available online or for downloading, at http://www.pancanal.com.

6. Additional Communication on Transit Activities

a. As previously advised, vessels bound for the Panama Canal with a voyage time of less than 96 hours from their previous port of call are also required to submit their pre-arrival notice 96 hours prior to arrival at Panama Canal waters. This pre-arrival notification may be subsequently revised as deemed necessary. Vessels that fail to provide their pre-arrival notification 96 hours prior to arriving at Canal waters, will not be scheduled for transit ahead of vessels that have complied with this requirement or that have already been assigned pilots for transit.

b. Direct communication enabling immediate attention to requirements for transiting vessels, vessel construction approvals, hazardous cargo information are available at the offices of the ACP Operation Department.

c. For calls originating outside the Republic of Panama, dial the International Access Code, then Country Code (507) and the ACP telephone number. Telephone, Fax, and e-mail addresses are as follows:

(1) For messages and transit information of small craft, contact the Traffic Management Unit:

E-mail: ETA@pancanal.com
Telephone: (507) 272-4200
Fax: (507) 272-3976

(2) For dangerous cargo information, contact the Transit Operations Division:

E-mail: opts@pancanal.com
Telephones: (507) 272-4219 or 272-4213
Fax: (507) 272-3015

(3) For vessel construction/modification approval for transit, contact the Transit Operations Division:

E-mail: opts-an@pancanal.com
Telephone: (507) 272-4211
Fax: (507) 272-7688

(4) For tonnage information, contact the Admeasurement Unit:

E-mail: optc-a@pancanal.com
Telephone: (507) 272-4567
 Fax: (507) 272-7901

(5) For Radio Pratique messages via e-mail, contact the Admeasurement Unit:

optc-arp@pancanal.com (Balboa)
optc-ara@pancanal.com (Cristobal)

(6) For emergencies involving vessels in Canal waters, contact the Canal Port Captain, South:

E-mail: OPTS-CP1@pancanal.com
Telephone: (507) 272-4215
Fax: (507) 272-5280

or the Canal Port Captain, North:

E-mail: OPTN-CP1@pancanal.com
Telephone: (507) 443-2202/2207
Fax: (507) 443-2213

d. All ETA messages must comply with the following requirements:

(1) Shall provide information using standard Form 4376, which, as explained in Sections 3, 4, and 5 of this Notice, is available in the Electronic Data Collecting System's Client's Web-Form Module, EDI Messaging Module, and Value Added Network (VAN) and EDI links.

(2) Information must be clearly written; and,

(3) The vessel's correctly spelled name, ship identification number (SIN), call letters and **customer code** shall be included in order to identify the vessel. Abbreviations are unacceptable.

Please note that ETA messages from vessels other than small craft may no longer be faxed.

Steamship agents, owners and operators are reminded that:

(1) ETA messages will only be accepted when submitted via the Transit Operations Division Automated Data Collection System (ADCS);

(2) ETA messages must comply with the requirements as set forth in the Regulation on Navigation in Panama Canal Waters, Article 30;

(3) Each message shall include ETA information for only one vessel; and

(4) Non-compliance may subject a vessel to unnecessary delays.

e. The Transit Operations Division is also accepting submission of drawings electronically by regular mail, in diskettes, to the following address:

AUTORIDAD DEL CANAL DE PANAMA (ACP)
Transit Operations Division (OPT)
8619 NW 68 Street
Miami, FL 33166-2667

Packages mailed to the above address will be forwarded to our offices in Panama; although you may also opt to mail your packages directly to our office in Panama using the addresses indicated below:

Courier Mail: AUTORIDAD DEL CANAL DE PANAMA
División de Tránsito Marítimo,
Bldg. 910, La Boca,
Balboa, Panamá,
República de Panamá

Regular Mail: AUTORIDAD DEL CANAL DE PANAMA
División de Tránsito Marítimo (OPT)
Balboa, Panamá,
República de Panamá

Submission of drawings electronically via e-mail or regular mail must comply with the following requirements:

(1) The drawings are to be saved in a format type, which minimizes file size and is readable by or compatible with AUTOCAD2000. All drawing and letter files comprising the submittal are to be zipped together into one zip file using the WinZip file compression software. Please note that due to security measures our e-mail system limits attachment size to less than 1.5MB.

(2) After review, the drawings will be stamped electronically, encrypted to protect the integrity of our approval actions and will be returned via e-mail, zipped. This will allow the recipient better control of the number of prints required for internal distribution.

f. All radio pratique messages sent via e-mail must comply with Maritime Regulations for the Operation of the Panama Canal, Chapter II, Radio Communications, Article 30, with the following requirements:

(1) Information must be clearly written in printed and readable characters.

(2) The vessel's correctly spelled name, ship identification number (SIN) and call letters shall be included in order to identify the vessel. Abbreviations are unacceptable.

(3) Each message shall include information for only one vessel.

(4) Messages that do not comply with this regulation will not be processed.

g. Finally, in an effort to improve the quality of service provided to our customers, complaints or recommendations regarding the services granted by the ACP may be addressed to the Executive Vice President of Operations through any of the following means:

E-mail: op@pancanal.com
Telephone: (507) 272-4500
Fax: (507) 272-3892
Mail: AUTORIDAD DEL CANAL DE PANAMA (ACP)
                   Operation Department
                   Bldg. 729
                   Balboa-Ancon, Panama

ORIGINAL SIGNED

Manuel E. Benítez
Executive Vice President of Operations