

**Supporting Statement
for
Ballast Water Management for Vessels with
Ballast Tanks Entering U.S. Waters**

A. Justification.

1) Circumstances that make the collection of information necessary.

The information collection requirement described in this supporting statement is necessary to carry out the reporting requirement of Title 16 United States Code (U.S.C.) 4711, which concerns the management of ballast water to prevent the introduction of aquatic nuisance species (ANS) into United States (U.S.) waters. The mandatory requirement is imposed on owners/operators of vessels who enter U.S. ports after operating outside of our Exclusive Economic Zone (EEZ). The master of the vessel provides information to the Coast Guard that details the vessel operator's ballast water management efforts.

This information collection supports the following strategic goals:

Department of Homeland Security

- Protection

Coast Guard

- Protection of the Natural Resources

Prevention Directorate (G-M)

- Human and Natural Environment: Eliminate environmental damage associated with maritime transportation and operations on and around the nation's waterways.

2) By whom, how, and for what purpose the information is to be used.

The purpose of the information collection is to ensure that the ballast water management regulations are complied with prior to a vessel's entering U.S. waters from beyond the EEZ.

3) Consideration of the use of improved information technology.

The information collection allows the use of automated, electronic, mechanical, or other technological collection techniques. Currently, program receives submissions electronically via email or through the internet, via fax, and by mail. The information collection requires that operators of vessels entering U.S. waters fill out a one-page form. The collection provides respondents the greatest degree of flexibility in managing their reporting and recordkeeping burdens. In the future, it is expected that more

vessels will use the internet form to submit their information.

We estimate that 100% of the reporting requirements can be done electronically. At this time, we estimate that approximately 70% of the responses are collected electronically.

4) Efforts to identify duplication. Why similar information cannot be used.

There is no duplication of information.

5) 5) Methods to minimize the burden to small businesses if involved.

Passenger vessels equipped with treatment systems designed to eliminate aquatic organisms in their ballast tanks, and certain vessels engaged in coastwise trade (within the EEZ), are exempt from the BWM requirements. This requirement minimizes the burden to small businesses.

6) Consequences to the Federal program if collection were conducted less frequently.

The consequence of not collecting the information would mean that no reliable, systematic method of establishing that vessels have complied with the regulations would exist. Verbal reports would be the only method of collection, with no means to validate such information. Consequently, there would be insufficient data available to study the long-term effects of BWM. There would be no basis for future decision-making actions to reduce the threat of ANS in the United States.

7) Explain any special circumstances that would cause the information collection to be conducted in a manner inconsistent with guidelines.

There are no special circumstances due to inconsistencies.

8) Consultation.

The regulations concerning BWM are developed using the Federal rulemaking process. The major parties involved in this reporting requirement are Federal agencies participating in the Aquatic Nuisance Species Task Force and various research entities. All were consulted about the reporting provision in the regulations. The mandatory reporting provision is consistent with the International Maritime Organization guidance for port states establishing ballast water control programs.

9) Explain any decision to provide any payment or gift to respondents.

There is no payment or gift to respondents.

10) Describe any assurance of confidentiality provided to respondents.

There is no issue of confidentiality involved.

11) Additional justification for any questions of a sensitive nature.

There are no questions of a sensitive nature.

12) Estimates of reporting and recordkeeping hour and cost burdens of the collection of information.

The reporting and recordkeeping burdens include time to complete the information, file a log entry, and maintain and/or supply the necessary data to the Coast Guard, private researchers, and other government agencies.

Annual Burden:

Number of respondents: **8,558**

Number of Responses: **90,700 responses**

Average Hours per Response

Vessel operators currently completing this information report that it takes approximately 40 minutes to complete the collection of information.

Annual Burden Hours

The annual burden is 90,700 responses x .67 hours/response = **60,769 hours.**

Cost Burden to Industry

The annual cost for BWM reports (i.e., vessel arrivals to the U.S.) is—
90,700 arrivals x 0.67 hrs/arrival x \$35/hr = **\$2,126,915.**

13) Estimates of annualized capital and start-up costs.

There are no annualized capital and start-up costs.

14) Estimates of annualized Federal Government costs.

It takes approximately 15 minutes (0.25 hours), at \$27 per hour, for government personnel to process a BWM report.

The burden and cost for reports are as follows:

90,700 reports × 0.25 hours per report = 22,675 hours

22,675 hours × \$32¹ per hour = \$725,600

15) Explain the reasons for the change in burden.

The change in burden is an ADJUSTMENT due to a change in the number of vessels arrivals. The change in burden also reflects the completion of a one-time event—the development of BWM plans by certain vessels equipped with ballast tanks bound for ports or places within the U.S.²

16) For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis and publication.

There is no plan to publish this information for statistical use.

17) Explain the reasons for seeking not to display the expiration date for OMB approval of the information of collection.

We are not seeking such approval. The OMB Number will appear on appropriate PRA disclosure information.

18) Explain each exception to the certification statement.

There are no exceptions to the certification statement.

B. Collection of Information Employing Statistical Methods.

This information collection does not employ statistical methods.

¹ The labor wage is equivalent to a GS-07 in government per Enclosure (2) to COMDTINST 73101.11.

² See Mandatory Ballast water Management Program for U.S. Waters rulemaking [USCG-2003-14273], Final Rule published on July 28, 2004 (69 FR 44952). The burden hours--for the one-time development of BWM plans--were accounted for in the 2004 COI submission.