

## **Supporting Statement For Various International Agreement Safety Certificates and Documents**

### **A. Justification**

#### **1. Explain the circumstances that make the collection of information necessary.**

The International Convention for the Safety of Life at Sea (SOLAS) is a product of the International Maritime Organization (IMO), an agency of the United Nations. SOLAS applies to all mechanically propelled cargo and tank vessels of 500 or more gross tons (GT), and to all mechanically propelled passenger vessels carrying more than 12 passengers that engage in international voyages. By IMO's definition, an "international voyage" means a voyage from a country to which the Convention applies to a port outside the country, or vice versa. The United States, represented by the U.S. Coast Guard, was a major contributor and proponent of the 1974 Convention (SOLAS 74). By Executive Order 12234 of September 3, 1980, President Carter ordered the implementation of SOLAS 1974 to become effective on May 25, 1980.

SOLAS 1974 requires one or more of the following certificates to be carried on onboard certain passenger and cargo ships engaged in international voyages (46 CFR 2.01-25):

- 1) Passenger Ship Safety Certificate and Record.
- 2) Cargo Ship Safety Construction Certificate.
- 3) Cargo Ship Safety Equipment Certificate and Record.
- 4) Cargo Ship Safety Radio Certificate (issued by Federal Communications Commission (FCC)).
- 5) Exemption Certificate (exemptions issued by Coast Guard and FCC).
- 6) Nuclear Passenger Ship Safety Certificate.
- 7) Nuclear Cargo Ship Safety Certificate.
- 8) Safety Management Certificate.
- 9) International Ship Security Certificate

The U.S. Coast Guard will issue through the Officer in Charge, Marine Inspection (OCMI) the following certificates after performing an inspection or safety management audit of the vessel's systems and determining that the vessel meets the applicable requirements (46 CFR 2.01-25):

1. Passenger Ship Safety Certificate and Record (Forms CG-968 and CG-968A).<sup>1</sup>
2. Cargo Ship Safety Construction Certificate (Form CG-4359), except when issued to cargo ships by a Coast Guard recognized classification society at the option of the owner or agent.
3. Cargo Ship Safety Equipment Certificate and Record (Forms CG-3347 and CG-3347B).
4. Exemption Certificate (Form CG-967).
5. Nuclear Passenger Ship Safety Certificate (As nuclear-powered commercial vessels are not in use, this form is not used).
6. Nuclear Cargo Ship Safety Certificate (same comment as 5).
7. Safety Management Certificate (Form CG-5643), except when issued by a recognized organization authorized by the Coast Guard.
8. International Ship Security Certificate (Form CG-4360) or Interim International Ship Security Certificate (Form CG-4361)

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<sup>1</sup> According to 46 CFR 2.01-25, when a Passenger Ship Safety Certificate is not received from the Commandant before a ship sails on a foreign voyage, the OCMI will issue a Notice of Completion of Examination for Safety Certificate (Form CG-969). The Notice describes the ship and certifies that an application for a Passenger Ship Safety Certificate is being processed, and that in the Commandant's opinion the vessel meets applicable requirements of the Convention administered by the Coast Guard.

SOLAS 74 also permits the issuance of certificates and documents by signatory countries, including

9. High-Speed Craft Safety Certificate and Record (Forms CG-5679 and CG-5679A),
10. Permit to Operate High-Speed Craft (Form CG-5680),
11. Document of Compliance, and
12. Continuous Synopsis Record (Form CG-6038 and CG-6038A).

This information collection supports the following strategic goals:

Department of Homeland Security

- Prevention
- Protection

Coast Guard

- Marine Safety
- Marine Environmental Protection

Prevention Directorate (CG-3P)

- Safety: Eliminate deaths, injuries, and property damage associated with commercial maritime operations.
- Human and Natural Environment: Eliminate environmental damage associated with maritime transportation and operations on and around the nation's waterways.

**2. Indicate how, by whom, how frequently, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

All mechanically propelled passenger vessels carrying more than 12 passengers that engage in international voyages must have one or more of the following certificates on board: Passenger Ship Safety Certificate, Exemption Certificate, Safety Management Certificates, and International Ship Security Certificate. The Passenger Ship Safety Certificate (or Notice of Completion of Examination for Safety Certificate) and Exemption Certificate are valid for one year. Both the Safety Management Certificate and International Ship Security Certificates are valid for five years.

All mechanically propelled cargo vessels of 500 or more gross tons that engage in international voyages must have one or more of the following certificates on board: Cargo Ship Safety Construction Certificate, Cargo Ship Safety Equipment Certificate, Safety Management Certificate, Exemption Certificate, and International Ship Security Certificate.<sup>2</sup> These certificates are valid for five years. [Prior to changes made by the Final Rule of Frequency of Inspection (*Federal Register* of February 9, 2000), the Cargo Ship Safety Construction Certificate and Cargo Ship Safety Equipment Certificate were valid for four and two years, respectively.]

The purpose of the Passenger Ship Safety Certificate (or Notice of Completion of Examination for Safety Certificate) is to certify that a ship has been surveyed in accordance with the requirements of regulation I/7 of SOLAS, and that the survey showed that the ship complied with the requirements of SOLAS as regards:

- a. the structure, main and auxiliary machinery, boilers and other pressure vessels;
- b. the watertight subdivision arrangements and details;
- c. subdivision load lines;
- d. the structural fire protection, fire safety systems and appliances and fire control plans;
- e. the life-saving appliances and the equipment of the lifeboats, liferafts and rescue boats were provided;

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<sup>2</sup> Bulk carriers, oil tankers, chemical tankers, gas carriers, mobile offshore drilling units, and other cargo ships are the vessels that must comply post the Cargo Ship Safety Certificates.

- f. the presence of a line-throwing appliance and radio installations used in life-saving appliances;
- g. the radio installations;
- h. the functioning of radio installations used in life-saving appliances;
- i. the ship-borne navigational equipment, means of embarkation for pilots and nautical publications;
- j. provision of lights, shapes, means of making sound signals and distress signals; and
- k. other relevant requirements.

The purpose of the Cargo Ship Safety Construction Certificate is to certify that the ship:

- a. has been surveyed in accordance with the requirements of regulation I/10 of SOLAS, as modified by the 1978 Protocol;
- b. has complied with the relevant requirements of chapters II-1 and II-2 of SOLAS (other than those relating to fire safety systems and appliances and fire control plans), and that the condition of the structure, machinery and equipment defined in regulation I/10 is satisfactory; and
- c. has been surveyed on an annual basis in accordance with regulation I/6(b).

The purpose of the Cargo Ship Safety Equipment Certificate is to certify that a ship has been surveyed in accordance with the requirements of regulation I/8 of SOLAS, as modified by the 1978 Protocol; and that the survey showed that the ship complied with the requirements as regards:

- a. fire safety systems and appliances and fire control plans;
- b. life-saving appliances and the equipment of the lifeboats, liferafts and rescue boats;
- c. the provision of a line-throwing appliance and radio installations used in life-saving appliances;
- d. the shipborne navigational equipment, means of embarkation for pilots and nautical publications;
- e. lights, shapes, means of making sound signals and distress signals; and
- f. other relevant requirements.

Furthermore, the ship operates in accordance with regulation III/26.1.1.1 within the limits of a specified trade area, and undergoes mandatory annual surveys.

The purpose of the Exemption Certificate is to certify that the passenger or cargo ship, under the authority conferred by specific regulations of SOLAS, is exempted from particular requirements. It is valid for one-year for a passenger vessel and five-years for a cargo vessel.

The purpose of the Safety Management Certificate is to certify that the safety management system of the ship has been audited and that it complies with the requirements of the International Management Code for the Safe Operation of Ships and for the Prevention of Pollution (ISM Code) following verification that the Document of Compliance for the Company is applicable to the type of ship. The type of a ship may be passenger ship, passenger high-speed craft, cargo high-speed craft, bulk carrier, oil tanker, chemical tanker, gas carrier, mobile offshore drilling unit, or other cargo ship. This Certificate is valid for 5 years.

The purpose of the High-Speed Craft Safety Certificate is to certify completion of an initial or renewal survey to a craft that complies with the requirements of the International Code of Safety for High-Speed Craft (HSC Code), which include:

- a. structure, materials, and condition of the craft;
- b. equipment and fittings;
- c. radio station arrangements; and
- d. life-saving appliances.

This Certificate is valid for a period of no longer than 5 years. The purpose of the Record of Equipment for High-Speed Craft is to outline the details of the vessel's life-saving appliance and radio facilities as a supplement to the High-Speed Craft Safety Certificate.

The purpose of the Permit to Operate High-Speed Craft is to ensure the management of the company operating the craft exercises strict control over its operation and maintenance by a quality-management system, including:

- a. qualification and training of employed personnel;
- b. operational limitations;
- c. proximity to place of safe refuge;
- d. availability of adequate communications facilities, weather forecasts, and maintenance facilities; and
- e. availability and suitability of rescue facilities.

This Permit is valid for a period of no longer than 5 years.

The purpose of the Document of Compliance for Carriage of Dangerous Goods certifies a ship is constructed and equipped following the requirements of regulation II-2/54 of SOLAS, as amended. SOLAS, as amended, requires a document of compliance for carriage of dangerous goods only when a ship carries or intends to carry dangerous goods as defined in SOLAS regulation VII/2 (except class 6.2 and class 7) and is:

- a. A passenger ship constructed on or after September 1, 1984;
- b. A cargo ship of 500 gross tons or more constructed on or after September 1, 1984; or
- c. A cargo ship of less than 500 gross tons constructed on or after February 1, 1992.

The Document of Compliance is valid for a period of no longer than 5 years.

All mechanically propelled passenger vessels carrying more than 12 passengers that engage in international voyages and all mechanically propelled cargo vessels of 500 or more gross tons that engage in international voyages must have both a Continuous Synopsis Record and an International Ship Security Certificate on board the vessel.

The purpose of the Continuous Synopsis Record is to provide an onboard record of the history of the vessel with respect to its flag, owner, operator, charterer, classification society, safety management and security activities following the requirements of regulation 5 of SOLAS Chapter XI-1. Vessel owners or operators are required to complete and submit the Amendments to the Continuous Synopsis Record and Index of Amendments form whenever changes occur to any of the vessel's data elements listed in SOLAS Chapter XI-1, Regulation 5. The purpose for the Amendments to the CSR and Index of Amendments to the CSR form is to notify the Coast Guard of the changes, allowing the Coast Guard to issue an updated Continuous Synopsis Record.

The purpose of the International Ship Security Certificate is to establish an international framework to efficiently convey security-related information among international security entities and to provide a methodology for marine transportation related security assessments so as to have appropriate plans and procedures in place. This certificate is mandated by the International Ship and Port Facility Security Code, and is valid for not more than five years.

The above certificates and permits attest that the vessel has met applicable requirements of SOLAS to the satisfaction of the U.S. Government. Without such forms, U.S.-flag vessels could be detained in foreign ports as being unsafe or vice versa.

**3. Describe the use of any improved information technology to reduce the burden and any technical or legal obstacles to reducing the burden.**

The burden to passenger and cargo vessels results from having to post the relevant certificates on board the vessel. SOLAS does not allow substitution or substantial alteration of the forms used. There is no improved information technology available to reduce the burden.

**4. Describe the efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purpose(s) described in A.2.**

The Coast Guard is the only U.S. Government agency authorized to issue the certificates. In turn, the Coast Guard has authorized classification societies, such as the American Bureau of Shipping and Lloyd's Register, to issue some of these certificates. Close contact and continuous communication with those classification societies ensures the Coast Guard that no duplication of effort occurs.

**5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.**

The burden to an entity is the time it takes to post the relevant certificates on each of the vessels it owns. Mechanically propelled cargo vessels that are 500 or more gross tons and that engage in international voyages must display these certificates. Furthermore, mechanically propelled passenger vessels that carry more than 12 passengers that engage in international voyages must display the relevant certificates. Typically, the larger the vessel, the greater the revenue-earning capacity of that vessel is. As small entities tend to own fewer vessels than larger entities, and also small entities are more likely to own smaller vessels as well, we expect the burden to small entities to be less than the burden of larger entities because smaller entities would have fewer certificates to post.

**6. Describe the consequence to Federal program or policy activity if collections were conducted less frequently.**

The Coast Guard is able to reduce the frequency of collection only if permitted by international treaties. In 2000, the Cargo Ship Safety Construction Certificate and Cargo Ship Safety Equipment Certificate will be valid for five years, as opposed to previous years when they were valid for only 4 or 2 years respectively. In this way, there has been a reduction in the collection of information.

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

Information is collected in a manner that is consistent with the guidelines.

**8. Describe the efforts to consult with persons outside the agency concerning this information collection.**

A 60-day Notice was published in the Federal Register to obtain public comment on this collection. (See [USCG-2007-27793]; April 2, 2007; 72 FR 18483). The USCG has not received any comments on this information collection.

**9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

No payments or gifts of any kind are provided to respondents.

**10. Describe any assurance of confidentiality provided to respondents.**

No assurance of confidentiality is provided to respondents.

**11. Provide additional justification for any questions of a sensitive nature.**

There are no issues of a sensitive nature involved in this information collection.

**12. Provide estimates of the hour burden of the collection of information.**

We estimate that it would take no more than five minutes to post each certificate, something done at the frequency of a certificates expiration. Amendments to the CSR and Index of Amendments to the CSR are expected to create a burden of 30 minutes for each amendment.

We expect that a crewmember would be responsible to post these documents. The position of crewmember is analogous to a Cadet. The wage rates shown are in accordance with the current edition of COMDTINST 7310.1 (series) for "Out-Government."

The burden to respondents is provided in Table 12.1.

Table 12.1

<b>Certificate, Record, or Notice</b>	<b>Number of Documents</b>	<b>Frequency of Posting</b>	<b>Annual # of Postings</b>	<b>Hour Burden per Document</b>	<b>Total Annual Hour Burden</b>	<b>Total Annual Cost Burden</b>
Passenger Ship Safety Certificate	144	Every Year	144	0.083	11.952	\$227
Passenger Ship Safety Record	144	Every Year	144	0.083	11.952	\$227
Notice of Completion of Exam for Safety Cert.	7	Every Year	7	0.083	0.581	\$11
Exemption Certificate	44	Every Year	44	0.083	3.652	\$69
Cargo Ship Safety Construction Cert.	324	Every 5 Years	65	0.083	5.395	\$103
Cargo Ship Safety Equipment Certificate	324	Every 5 Years	65	0.083	5.395	\$103
Cargo Ship Safety Equipment Record	324	Every 5 Years	65	0.083	5.395	\$103
Safety Management Certificate	468	Every 5 Years	94	0.083	7.802	\$148
High Speed Craft Safety Certificate	2	Every 5 Years	0.4	0.083	0.033	\$1
High Speed Craft Safety Record	2	Every 5 Years	0.4	0.083	0.033	\$1
Permit to Operate High Speed Craft	2	Every 5 Years	0.4	0.083	0.033	\$1
Document of Compliance	73	Every 5 Years	15	0.083	1.245	\$24
Continuous Synopsis Record	468	On Occasion	468	0.083	38.844	\$738
Amendments to CSR & Index of Amendments	47	On Occasion	47	0.5	23.500	\$447
International Ship Security Certificate	468	Every 5 Years	94	0.083	7.802	\$148
Interim Int'l Ship Security Certificate	23	On Occasion	23	0.083	1.909	\$36
<b>TOTALS</b>	<b>2,864</b>		<b>1,276</b>		<b>126</b>	<b>\$2,385</b>

<b>TOTAL NUMBER OF RESPONDENTS:</b>	<b>468</b>
<b>TOTAL NUMBER OF RESPONSES:</b>	<b>1,276</b>
<b>TOTAL HOUR BURDEN:</b>	<b>126</b>
<b>TOTAL COST BURDEN:</b>	<b>\$2,385</b>

Note 1: The Coast Guard's database does not contain information regarding the number of Notices of Completion of Examination for Safety Certificate (Form CG-969) that have been issued. This Notice is displayed in lieu of the Passenger Ship Safety Certificate in the event that the Safety Certificate has not been received from the Commandant, United States Coast Guard. The vessel is provided with the Safety

Certificate when processing has been completed and it is received from the Commandant. We anticipate that, at most, five percent of the passenger vessels receive a Notice prior to receiving the Certificate.

Note 2: The Coast Guard’s database also does not contain information regarding the number of Interim International Ship Security Certificates issued. This Interim Certificate is displayed only when a vessel is newly entering service or has changed ownership or flag, and will be valid for not more than six months. We anticipate that, at most, five percent of the affected population will receive an Interim International Ship Security Certificate in any given year.

**13. Provide an estimate of annualized capital and start-up costs.**

There are no annualized capital or start-up costs.

**14. Provide estimates of annualized cost to the Federal Government.**

It takes the Coast Guard an average of 30 minutes to complete each Certificate or Notice, a task typically performed by a Lieutenant (O-3). The rates shown are in accordance with the current edition of COMDTINST 7310.1 (series) for “In-Government.” The costs are tabulate in Table 14.1.

Table 14.1

Annual Number of Documents	1,276
USCG Effort per Form (hours)	0.5
<b>Total Government Effort (hours)</b>	<b>638.1</b>
Hourly Wage Rate	\$62
<b>Total Government Cost</b>	<b>\$39,562</b>

**15. Explain the reason for change in burden, including the need for any increase.**

The change in burden is an ADJUSTMENT due to changes in vessel population and refined database analysis methodology. Recently, the Coast Guard shifted its commercial vessel safety database from MSIS to MISLE. This change in databases has allowed us to improve our estimate of the number of reporting and recordkeeping activities related to this COI.

**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 use statistical analysis or to publish this information.

**17. If seeking to not display the expiration date for OMB approval of the information collection explain the reasons.**

The certificates associated with this collection are prescribed by an international treaty (SOLAS) that the U.S. Government is signatory to. These certificates all have specific one to five year expiration dates related to requirements set out in SOLAS. The addition of a second expiration date to these certificates—that for OMB approval—may cause several problems. First, it may cause U.S.-flag vessel owner/operators to interact with the Coast Guard more frequently than required to reconcile the existence of 2 expirations dates on their ships’ certificates. Second, it may cause confusion with foreign Port Sate Control boarding officers, resulting in U.S.-flag ships being delayed or detained in foreign ports due to 2 differing expiration dates. It is for these reasons that expiration dates for OMB approval are not displayed on the certificates associated with this collection.

**18. Explain each exception.**

1625-0017

There are no exceptions to the certification statement.

**B. Collection of Information Employing Statistical Methods:**

This information collection does not employ statistical methods.