

**Supporting Statement  
for  
Alternative Compliance for International and Inland Navigation Rules  
33 CFR Parts 81 and 89**

**A. Justification.**

1. Circumstances which make the collection of information necessary.

The International Regulations for Preventing Collisions at Sea, 1972 (33 U.S.C. 1601 *et. seq.*) and the Inland Navigational Rules Act of 1980 (33 U.S.C. 2001 *et. seq.*) adopt a uniform system of navigational rules for international and inland waters, respectively. Both International and Inland Rule 1(e) allow deviation from the technical requirements when it is determined that a vessel cannot fully comply for reasons of configuration or special use. The operator, owner, builder, or agent of a vessel of special construction or purpose may apply by letter for approval that alternative compliance is justified. If authorized, a Certificate of Alternative Compliance (COAC) will be issued, and the vessel will be allowed to operate on international and inland waters with navigational light, shape, or whistle configurations different from those required by the Rules.

Under the Federal Enterprise Architecture Business Reference Module, the Line of Business is **Transportation** and the Subfunction is **Water Transportation**.

This information collection supports the following strategic goals:

Department of Homeland Security

- Prevention
- Protection

U.S. Coast Guard

- Marine Safety

Prevention Directorate (CG-3P)

- Safety: Eliminate deaths, injuries, and property damage associated with commercial maritime operations.
- Economic Growth and Trade/Mobility: Reduce interruptions and impediments that restrict the economical movement of goods and people, while maximizing safe, effective, and efficient waterways for all users.

2. Purposes of the information collection.

Each application is reviewed by the Prevention Division in the appropriate Coast Guard District to determine if alternative compliance is justified. If the information were not collected, no deviation would be permitted, regardless of construction, special

purpose, or economic realities. Once the information is assessed, the Coast Guard is able to decide whether a COAC is warranted.

3. Considerations for the use of improved technology.

The complexity of the COAC application, which typically includes plans/blueprints, makes it harder to submit electronically. Thus the initial application for a vessel is usually by mail. However, the Coast Guard District Offices estimate that about 15% of applications – for sister vessels of vessels already approved for COACs – are submitted electronically, as the main vessel plans are already in the Coast Guard files. The Coast Guard hopes to be able to accept more applications electronically once the specialized computer hardware and software needed to view electronic blueprints, as well as the personnel training to use it, are more easily available to them. Also, some companies – using simplified diagrams – have transmitted requests by facsimile.

4. Efforts to identify duplication.

This information is collected when a person determines that his vessel should be permitted to have alternate compliance measures. The specific information in this request is not likely to be duplicated.

Similar information for this purpose is not available in any other form to the Coast Guard. As stated above, the information is provided only when a vessel owner, operator, or builder seeks to receive permission for alternate compliance measures for a specific vessel. To make an informed decision, the Coast Guard must have either the vessel's specifications or the vessel's unique circumstances.

5. Burden on small businesses.

This collection eases the regulatory burden by providing vessel owners, operators, builders, and agents the opportunity to have these regulations tailored to fit their needs. The need to submit information arises only when alternative compliance is requested.

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

Collection only occurs when alternative compliance is requested, and must be conducted before a COAC can be granted. Consequently, it is integral to this regulation that the information be submitted each time alternative compliance is requested.

7. Special collection circumstances.

The applicant is required to keep the COAC on board the vessel for the length of the exemption period.

8. Consultation.

A 60-day Notice was published in the Federal Register to obtain public comment on this collection. (See [USCG-2007-27923]; May 3, 2007; 72 FR 24594). The USCG has not received any comments on this information collection.

9. Provide any payments or gifts to respondents.

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

10. Assurances of confidentiality.

No assurance of confidentiality is provided to respondents.

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

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

12. Estimate of annual hour and cost burdens to respondents.

The burden to respondents is provided in Table 12.1. The positions of Technical Expert and Administrative Assistant are analogous to a GS-13 and GS-7, respectively. The rates shown are in accordance with the current edition of COMDTINST 7310.1 (series), for Out-Government.

Table 12.1

Average Annual # of COAC Applications Submitted	27
Technical Expert Burden Hours per Application	4
Administrative Assistant Hours per Application	0.5
<b>TOTAL BURDEN HOURS PER APPLICATION</b>	<b>4.5</b>
Hourly Rate for Technical Expert	\$71
Hourly Rate for Administrative Assistant	\$38
<b>TOTAL BURDEN COST PER APPLICATION</b>	<b>\$303</b>

<b>TOTAL BURDEN HOURS</b>	<b>122</b>
<b>TOTAL BURDEN COST</b>	<b>\$8,181</b>
<b>TOTAL NUMBER OF RESPONDENTS</b>	<b>27</b>
<b>TOTAL NUMBER OF RESPONSES</b>	<b>27</b>

13. Total annualized capital and start-up costs.

There are no capital or start-up costs.

14. Annual cost estimate to the Federal Government.

The annual cost estimate to the Federal Government is shown in Table 14.1. Applications for a COAC are reviewed by a Lieutenant Commander (O-4). The rates shown are in accordance with the current edition of COMDTINST 7310.1 (series), for In-Government.

Table 14.1

Average Annual # of COAC Applications Submitted	27
O-4 Hours per Application	4
<b>TOTAL GOVERNMENT HOURS</b>	<b>108.0</b>
Hourly Rate for O-4	\$73
<b>TOTAL GOVERNMENT COST</b>	<b>\$7,884</b>

15. Reasons for changes in burden.

The change in burden is an ADJUSTMENT due to a change in population/number of submissions received. The change reflects the five-year average of data from Coast Guard District Offices.

16. Plans for tabulation, statistical analysis, and publication.

There is no plan to use statistical analysis or to publish this information.

17. Approval for not explaining the expiration date for OMB approval.

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

18. Exception to the certification statement.

The are no exceptions to the certification statement.

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

This information collection does not employ statistical methods.