

Table of Contents
SUPPORTING STATEMENT
for Renewal of Information Collection Requirements under the
Paperwork Reduction Act, 44 U.S.C. 3501 *et seq.*

Final Rule at 40 CFR Part 8
Environmental Impact Assessment of Nongovernmental Activities in Antarctica
Revised Draft 2007

		<u>Page</u>
1.	Identification of the Information Collection	1
	1(a) Title of the Information Collection	1
	1(b) Abstract	1
	Environmental Documentation	1
	Coordination of Review of Information Received from	
	Other Parties to the Treaty	3
2.	Need for and Use of the Collection	3
	2(a) Need/Authority for the Collection	3
	2(b) Practical Utility/Users of the Data	4
	Role of the Information in Regulatory Decisions	4
	Users of the Information	5
3.	Nonduplication, Consultations, and Other Collection Criteria	5
	3(a) Nonduplication	5
	3(b) Public Notice Required Prior to ICR Submission to OMB	6
	3(c) Consultations	6
	3(d) Effects of Less Frequent Collection	6
	3(e) General Guidelines	7
	3(f) Confidentiality	7
	3(g) Sensitive Questions	7
4.	The Respondents and the Information Requested	7
	4(a) Respondents/SIC and NAICS Codes.	7
	4(b) Information Requested	7
	Data items, including recordkeeping requirements	7
	Respondent Activities	8
5.	The Information Collected--Agency Activities, Collection Methodology,	
	and Information Management	11
	5(a) Agency Activities	11
	5(b) Collection Methodology and Management	13
	5(c) Small Entity Flexibility	13
	5(d) Collection Schedule	15
6.	Estimating the Hours and Cost Burden of the Collection	16
	6(a) Estimated Annual Respondent Hours and Cost	16

6(b)	Estimated Annual Federal Government Hours and Cost	24	
6(c)	Model for Federal Government Review of IEEs	31	
6(d)	Estimated Annual Aggregate Hours and Cost	34	
			6(e) Reason for Change in Burden
		
		
			36
			6(f) Burden Statement
		
		
		
			36
Exhibit 1A:	PERMs - Estimated Respondent Hours and Cost	37	
Exhibit 1B:	IEEs - Estimated Respondent Hours and Cost	38	
	Table 1. IEEs - Total Estimated Hours and Cost for the Three IEE Models with 3.5% Escalation Rate	40	
Exhibit 1C:	CEEs - Estimated Respondent Hours and Cost	41	
Exhibit 1D:	Reporting for Emergencies - Estimated Respondent Hours and Cost .	42	
Exhibit 2A:	PERMs - Estimated Federal Government Hours and Cost	43	
Exhibit 2B:	IEEs - Estimated Federal Government Hours and Cost	44	
	Table 2. IEEs - Total Estimated Hours and Cost for the Three IEE Models with 3.5% Escalation Rate	47	
Exhibit 2C:	CEEs - Estimated Federal Government Hours and Cost	48	
Exhibit 2D:	Reporting for Emergencies - Estimated Federal Government Hours and Cost	49	
Exhibit 2E:	Coordinating Review of Information Received from Other Parties - Estimated Federal Government Hours and Cost	50	
Exhibit 3:	Summary - Estimated Respondent/Federal Government Hours and Cost	51	
	Chart 1. Estimated total and annual average hours and cost for each type of environmental document that is submitted by a respondent		
			under the Final Rule
		
		
			.. 51
Chart 2.	Estimated total hours and costs for Multi-Year IEE as the anticipated level and type of environmental document most		

respondents submit under the Final Rule for the 3-year ICR

renewal
.....
.....
.....
..... 51

Chart 3. Estimated hours and costs for environmental documentation

for 3-
year period of
this ICR
renewal
.....
..... 52

Exhibit 4: Summary for Respondents and Federal Government - O&M Costs . . 53

Part B: Statistical Survey 54

Part C: Response to Public Comments 55

SUPPORTING STATEMENT
for Renewal of Information Collection Requirements under the
Paperwork Reduction Act, 44 U.S.C. 3501 *et seq.*

Final Rule at 40 CFR Part 8
Environmental Impact Assessment of Nongovernmental Activities in Antarctica

1. IDENTIFICATION OF THE INFORMATION COLLECTION

1(a) TITLE OF THE INFORMATION COLLECTION: "Environmental Impact Assessment of Nongovernmental Activities in Antarctica (Renewal), EPA ICR Number 1808.05, OMB Control Number 2020-0007"

1(b) ABSTRACT: The Environmental Protection Agency's (EPA's) regulations at 40 CFR Part 8, Environmental Impact Assessment of Nongovernmental Activities in Antarctica (Final Rule), were promulgated pursuant to the Antarctic Science, Tourism, and Conservation Act of 1996 (Act), 16 U.S.C. 2401 *et seq.*, as amended, 16 U.S.C. 2403a, which implements the Protocol on Environmental Protection (Protocol) to the Antarctic Treaty of 1959 (Treaty). The Final Rule provides for assessment of the environmental impacts of nongovernmental activities in Antarctica, including tourism, for which the United States is required to give advance notice under Paragraph 5 of Article VII of the Treaty, and for coordination of the review of information regarding environmental impact assessments received from other Parties under the Protocol. The requirements of the Final Rule apply to operators of nongovernmental expeditions organized in or proceeding from the territory of the United States to Antarctica and include commercial and non-commercial expeditions. Expeditions may include ship-based tours; yacht, skiing or mountaineering expeditions; privately funded research expeditions; and other nongovernmental activities. The Final Rule does not apply to individual U.S. citizens or groups of citizens planning to travel to Antarctica on an expedition for which they are not acting as an operator. (Operators, for example, typically acquire use of vessels or aircraft, hire expedition staff, plan itineraries, and undertake other organizational responsibilities.) The Final Rule provides nongovernmental operators with the specific requirements they need to meet in order to comply with the requirements of Article 8 and Annex I to the Protocol. The provisions of the Final Rule are intended to ensure that potential environmental effects of nongovernmental activities undertaken in Antarctica are appropriately identified and considered by the operator during the planning process and that to the extent practicable, appropriate environmental safeguards which would mitigate or prevent adverse impacts on the Antarctic environment are identified by the operator.

Environmental Documentation. Persons subject to the Final Rule must prepare environmental documentation to support the operator's determination regarding the level of environmental impact of the proposed expedition. Environmental documentation includes a Preliminary Environmental Review Memorandum (PERM), an Initial Environmental Evaluation (IEE), or a Comprehensive Environmental Evaluation (CEE). The environmental document is submitted to the Office of Federal Activities (OFA). If the operator determines that an expedition may have: (1) less than a minor or transitory impact, a PERM needs to be submitted no later than 180 days before the proposed departure to Antarctica; (2) no more than minor or transitory impacts, an IEE needs to be submitted no later than 90 days before the proposed departure; or (3)

more than minor or transitory impacts, a CEE needs to be submitted. Operators who anticipate such activities are encouraged to consult with EPA as soon as possible regarding the date for submittal of the CEE.¹

The Protocol and the Final Rule also require an operator to employ procedures to assess and provide a regular and verifiable record of the actual impacts of an activity which proceeds on the basis of an IEE or CEE. The record developed through these measures needs to be designed to: (a) enable assessments to be made of the extent to which environmental impacts of nongovernmental expeditions are consistent with the Protocol; and (b) provide information useful for minimizing and mitigating those impacts and, where appropriate, on the need for suspension, cancellation, or modification of the activity. Moreover, an operator needs to monitor key environmental indicators for an activity proceeding on the basis of a CEE. An operator may also need to carry out monitoring in order to assess and verify the impact of an activity for which an IEE would be prepared. For activities that require an IEE, an operator should be able to use procedures currently being voluntarily utilized by operators to provide the required information.² Should an activity require a CEE, the operator should consult with EPA to: (a) identify the monitoring regime appropriate to that activity, and (b) determine whether and how the operator might utilize relevant monitoring data collected by the U.S. Antarctic Program. OFA would consult with the National Science Foundation and other interested Federal agencies regarding the monitoring regime.

In cases of emergency relating to the safety of human life or of ships, aircraft, equipment and facilities of high value, or the protection of the environment which would require an activity to be undertaken without completion of the documentation procedures set out in the Final Rule, the operator would need to notify the Department of State within 15 days of any activities which would have otherwise required preparation of a CEE, and provide a full explanation of the activities carried out within 45 days of those activities.³

Environmental documents (e.g., PERM, IEE, CEE) are submitted to OFA. Environmental documents are reviewed by OFA, in consultation with the National Science Foundation and other interested Federal agencies, and also made available to other Parties and the public as required under the Protocol or otherwise requested. OFA notifies the public of document availability via the World Wide Web at: <http://www.epa.gov/compliance/nepa/international/antarctica/index.html>. The types of nongovernmental activities currently being carried out (e.g., ship-based tours, land-based tours, flights, and privately funded research expeditions) are typically unlikely to have impacts that are more than minor or transitory, thus an IEE is the typical level of environmental documentation submitted. For the 1997-1998 through 2003-2004 austral summer seasons during the time the Interim Final and Final Rules have been in effect, all respondents submitted

¹Article 3(4), of Annex I of the Protocol requires that draft CEEs be distributed to all Parties and the Committee for Environmental Protection 120 days in advance of the next Antarctic Treaty Consultative Meeting (ATCM) at which the CEE may be addressed.

²For example, such information includes, as appropriate and to the best of the operator's knowledge: identification of the number of tourists put ashore at each site, the number and location of each landing site, the total number of tourists at each site per ship and for the season; the number of times the site has been visited in the past; the number of times the site is expected to be visited in the forthcoming season; the times of the year that visits are expected to occur (e.g., before, during, or after the penguin breeding season); the number of visitors expected to be put ashore at the site at any one time and over the course of a particular visit; what visitors are expected to do while at the site; verification that guidelines for tourists are followed; description of any tourist exceptions to the landing guidelines; and description of any activity requiring mitigation, the mitigative actions undertaken, and the actual or projected outcome of the mitigation.

³During the time the Interim Final and Final Rules have been in effect, there were no emergencies requiring notification by U.S. operators. An Interim Final Rule was in effect from April 30, 1997, until replaced on December 6, 2001, by the Final Rule. The term Rule in this document refers to the period of time the Interim Final and Final Rules have been in place at 40 CFR Part 8 (e.g., for this ICR renewal, the years 1997- 2004 which includes the 1997-1998 through 2003-2004 austral summer seasons).

IEEs with the exception of one PERM. Paperwork reduction provisions in the Final Rule that are used by the operators include:

- a) incorporation of material into the environmental document by referring to it in the IEE;
- b) inclusion of all proposed expeditions by one operator within one IEE;
- c) use of one IEE to address expeditions being carried out by more than one operator; and
- d) use of multi-year environmental documentation to address proposed expeditions for a period of up to five consecutive austral summer seasons.

Coordination of Review of Information Received from Other Parties to the Treaty. The Final Rule also provides for the coordination of review of information received from other Parties and the public availability of that information including: (1) a description of national procedures for considering the environmental impacts of proposed activities; (2) an annual list of any IEEs and any decisions taken in consequence thereof; (3) significant information obtained and any action taken in consequence thereof with regard to monitoring from IEEs and CEEs; and (4) information in a final CEE. This provision fulfills the United States' obligation to meet the requirements of Article 6 of Annex I to the Protocol. The Department of State is responsible for coordination of these reviews of drafts with interested Federal agencies, and for public availability of documents and information. This portion of the Final Rule does not impose paperwork requirements on any nongovernmental person subject to U.S. regulation.

2. NEED FOR AND USE OF THE COLLECTION

2(a) NEED/AUTHORITY FOR THE COLLECTION: The basis for the Final Rule is the United States Code as amended: 16 U.S.C. 2401 et seq., as amended, 16 U.S.C. 2403a.

The Final Rule, promulgated pursuant to the Antarctic Science, Tourism, and Conservation Act of 1996, provides nongovernmental operators with the specific requirements they need to meet in order to comply with the requirements of Article 8 and Annex I to the Protocol on Environmental Protection to the Antarctic Treaty of 1959 and provides for the environmental impact assessment of nongovernmental activities, including tourism, for which the United States is required to give advance notice under paragraph 5 of Article VII of the Antarctic Treaty of 1959.

The Final Rule also provides for coordination of the review of information regarding environmental impact assessment received by the United States from other Parties under the Protocol. This provision of the Final Rule includes Federal agency requirements, but does not impose paperwork requirements on any nongovernmental person subject to U.S. regulation.

The procedures in the Final Rule are designed to: ensure that nongovernmental operators identify and assess the potential impacts of their proposed activities, including tourism, on the Antarctic environment; that operators consider these impacts in deciding whether or how to proceed with proposed activities; and that operators provide environmental documentation pursuant to the Act and Annex I of the Protocol. These procedures are consistent with and implement the environmental impact assessment provisions of Article 8 and Annex I to the Protocol on Environmental Protection to the Antarctic Treaty.

2(b) PRACTICAL UTILITY/USERS OF THE DATA:

Role of the Information in Regulatory Decisions: The Office of Federal Activities uses environmental impact assessment information and any associated assessment and verification information to ensure that

nongovernmental operators identify and assess the potential impacts of their proposed activities, including tourism, on the Antarctic environment; that operators consider these impacts in deciding whether or how to proceed with proposed activities; and that operators provide environmental documentation pursuant to the Act and Annex I of the Protocol. The procedures in the Final Rule are consistent with and implement the environmental impact assessment provisions of Article 8 and Annex I to the Protocol. The provisions of the Final Rule are intended to ensure that potential environmental effects of nongovernmental activities undertaken in Antarctica are appropriately identified and considered by the operator during the planning process and that to the extent practicable, appropriate environmental safeguards which would mitigate or prevent adverse impacts on the Antarctic environment are identified by the operator.

The Final Rule addresses measures to assess and verify environmental impacts but does not set schedule requirements for submission of assessment and verification reports. Under the Final Rule, all proposed activities for which an IEE or CEE are prepared need to include procedures designed to provide a regular and verifiable record of the impacts of these activities. For activities requiring an IEE, the Preamble to the Final Rule states that operators should be able to use the annual procedures that are voluntarily utilized by operators to provide the information. Because measures to assess and verify environmental impacts for all proposed activities for which an IEE or CEE are prepared are required by the Final Rule, and because of the recordkeeping requirements of and burden definition in the Paperwork Reduction Act (PRA), EPA has included this information as an element for the operators for which hours and cost were calculated. Because operators voluntarily provide the information to the government, the hours and cost of review of this information was also included in the government's burden estimate. In this case, EPA believes the PRA, Section 3502(13) clearly supports the view that recordkeeping requirements must be considered inclusively in developing the ICR budget.⁴

The purpose of the Final Rule is to ensure that the United States has the ability to implement its environmental impact assessment obligations for nongovernmental operators under the Protocol. Section 8.9(b) in the Final Rule requires that operators have "procedures designed to provide a regular and verifiable record of the impacts of these activities." The EPA believes that this establishes a requirement that the information be available to EPA. Otherwise, there is no way to know if an operator was in compliance with this requirement in the regulation. As stated in the Preamble to the Final Rule, it is EPA's view that, at a minimum, an IEE is the appropriate level of environmental documentation for proposed activities where multiples of the activity over time are likely and may create a cumulative impact. For activities requiring an IEE, an operator should be able to use procedures that are voluntarily utilized by operators to provide the required information. The operators currently provide post-visit reports to Antarctic Treaty Parties. Currently, the National Science Foundation receives the information voluntarily submitted by the tour operators and, in cooperation with the International Association of Antarctica Tour Operators (IAATO), uses the information to prepare annual summary reports. EPA assumes this voluntary process of post-visit reporting will continue. EPA intends to review the

⁴The Paperwork Reduction Act, 44 U.S.C. Section 3502, states:

"(13) the term "recordkeeping requirement" means a requirement imposed by or for an agency on persons to maintain specified records, including a requirement to -

- (A) retain such records;
- (B) notify third parties, the Federal Government, or the public of the existence of such records;
- (C) disclose such records to third parties, the Federal Government, or the public; or
- (D) report to third parties, the Federal Government, or the public regarding such records; ..."

"Burden" is defined in the Preamble to the Final Rule, Section VII, Paperwork Reduction Act, as "... the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. ..."

information voluntarily submitted, and to maintain files. Because operators are currently voluntarily providing the informational reports to the government and because EPA anticipates that this practice will continue, EPA included the hours and cost of review of this information in the government's burden estimates.

Users of the Information: The procedures in the Final Rule include procedures for environmental documentation, any associated assessment and verification information, and any reporting in cases of emergency. This information would be used as follows:

- By operators to identify and assess the potential impacts of their proposed activities, including tourism, on the Antarctic environment; to consider these impacts in deciding whether or how to proceed with proposed activities; and to provide environmental documentation pursuant to the Act and Annex I of the Protocol. For a CEE, any decision by the operator on whether a proposed activity should proceed in either its original or modified form must be based upon the final CEE as well as other relevant considerations, and the information provided in an evaluation should allow the operator to make decisions based on sound understanding of factors relevant to the likely impact of the proposed activity.
- By OFA, in consultation with other interested Federal agencies, to ensure that nongovernmental operators identify and assess the potential impacts of their proposed activities, including tourism, on the Antarctic environment, and that operators consider these impacts in deciding whether or how to proceed with proposed activities. OFA also makes the environmental documentation and any associated assessment and verification information available to other Parties to the Treaty and the public as required under the Protocol or as otherwise requested. OFA uses the assessment and verification information for such things as tracking Antarctic tourism trends and activities.

3. NONDUPLICATION, CONSULTATIONS, AND OTHER COLLECTION CRITERIA

3(a) NONDUPLICATION: The information that is requested from respondents under this ICR is required by statute and is not available from other sources. The Act requires these regulations to be consistent with Annex I to the Protocol, and the Final Rule provides nongovernmental operators with the specific requirements they need to meet in order to comply with the Protocol. Most Antarctica tour operators currently provide, on an informal basis, information to the National Science Foundation prior to each Antarctic season. Operators also provide an advance notice to the U.S. Department of State. This information is similar to the basic information requirements for preparation of environmental documentation under the Final Rule. However, the Final Rule ensures that nongovernmental operators identify and assess the potential impacts of their proposed activities, including tourism, on the Antarctic environment, and that operators consider these impacts in deciding whether or how to proceed with proposed activities. Even the lowest level of environmental documentation, the PERM, directs that the assessment process include assessment of the potential direct and reasonably foreseeable indirect impacts on the Antarctic environment of the proposed expedition in sufficient detail to assess whether the proposed activity has less than a minor or transitory impact, a requirement that leads to consistency with Article 8 and Annex I of the Protocol. Operators can, and usually do, include a copy of the advance notice as part of their EIA documentation.⁵ However, simply providing a copy of the advance notice submitted to the Department of State as the environmental documentation would not meet the requirements of Article 8 and Annex I of the Protocol or the provisions of the Final Rule.

⁵Alternately, under the paperwork reduction provisions of the Final Rule, operators could choose to incorporate the advance notice by referring to it since it is reasonably available to EPA. Practice has been that the operators have included a copy in their environmental assessment documentation.

3(b) Public Notice Required Prior to ICR Submission to OMB:

The Office of Federal Activities published a Notice in the *Federal Register* requesting public comments on the renewal of this ICR and established a public docket for this ICR renewal under Docket ID number HQ-OECA-OECA-2007-0468. This docket is available for public viewing at the Enforcement and Compliance Docket and Information Center in the EPA Docket Center (EPA/DC), EPA West, Room B102, 1301 Constitution Ave., NW, Washington, DC. The EPA Docket Center Public Reading Room is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays. The telephone number for the Reading Room is (202) 566-1744, and the telephone number for the Enforcement and Compliance Docket and Information Center is (202) 564-1927. An electronic version of the public docket is available through EPA Dockets (EDOCKET) at <http://www.epa.gov/edocket>. The public may use EDOCKET to obtain a copy of the draft ICR including the Supporting Statement, submit or view public comments, access the index listing of the contents of the public docket, and to access those documents in the public docket that are available electronically.

3(c) Consultations:

The Final Rule provides that EPA, in consultation with other interested Federal agencies, will review environmental documents. These other interested Federal agencies have been identified and are included in the estimate of burden for the Federal government. These agencies include, primarily, the U.S. Department of State and the National Science Foundation. In addition, the Department of State agrees with its responsibilities under the Final Rule at Section 8.12, Coordination of reviews from other Parties. Part D of the Supporting Statement includes the name, affiliation, contact information, and a summary of the consultations with these two agencies.

3(d) Effects of Less Frequent Collection: The Final Rule requires environmental documentation for each operator for each nongovernmental expedition to Antarctica. Nongovernmental activities are usually limited to seasonal expeditions during the austral summer season and operators report annually on their proposed expeditions. Operators with one-time only expeditions report only during the season for which their expedition is planned. In order to minimize paperwork and to implement the regulations without undue burden on operators, the Final Rule provides that: (1) material may be incorporated by referring to it in the environmental document when it is reasonably available to EPA; (2) more than one proposed expedition by an operator may be included within one environmental document; (3) one environmental document may also be used to address expeditions being carried out by more than one operator; and (4) operators may submit multi-year environmental documentation to address proposed expeditions for a period of up to five consecutive austral summer seasons. Once environmental documentation has been prepared for a season, an operator can resubmit the same document for subsequent seasons provided the level and intensity of the activities are not unchanged and that relevant updates are submitted. Updates are likely to include dates of expeditions and changes in landing locations. The operator may also revise the document to address modifications to the expedition's activities that could have environmental consequences. Most operators are likely to employ the multi-year provision thereby further reducing their annual reporting burden. Under this paperwork reduction provision, one environmental document may be submitted by one or more operators for proposed expeditions for a period of up to five consecutive austral summer seasons, provided that the conditions of the multi-year environmental document, including the assessment of cumulative impacts, are unchanged. The multi-year provision allows operators to update basic information and to provide information on additional activities to supplement the multi-year environmental document without having to revise and re-submit the entire document.

The Protocol and the Final Rule also require an operator to employ procedures to assess and provide a regular and verifiable record of the actual impacts of any activity which proceeds on the basis of an IEE or

CEE. For activities requiring an IEE, an operator should be able to use the annual procedures currently being voluntarily utilized by operators to provide the information.

3(e) General Guidelines: The information collections associated with the Final Rule follow OMB's guidelines. Section III.F of the Preamble, Submission of Environmental Documents, indicates that an operator submits five copies of its environmental documentation, along with an electronic copy, if available. EPA coordinates review of the document with other interested Federal agencies and makes documents received available to the other Parties to the Treaty and the public as required under the Protocol or as otherwise requested. EPA believes that five copies (total) does not place undue burden on the operator and enables EPA to distribute copies to the reviewing agencies in a timely manner, particularly in light of the timing requirements for document submission and review prior to departure for the expedition.

3(f) Confidentiality: The Final Rule does not require submission of confidential information, nor does EPA anticipate that operators would submit confidential information as part of their environmental documentation.

3(g) Sensitive Questions: The Final Rule does not require response to sensitive questions (e.g., questions concerning sexual behavior or attitudes, religious beliefs, or other matters usually considered private).

4. THE RESPONDENTS AND THE INFORMATION REQUESTED

4(a) RESPONDENTS/SIC AND NAICS CODES: The requirements of the Final Rule apply to operators of nongovernmental expeditions organized in or proceeding from the territory of the United States to Antarctica for which the United States is required to give advance notice under Paragraph 5 of Article VII of the Treaty and includes commercial and non-commercial expeditions. Expeditions include ship-based tours; yacht, skiing or mountaineering expeditions; flights; privately funded research expeditions; and other nongovernmental or nongovernment-sponsored activities. The Final Rule does not apply to individual U.S. citizens or groups of citizens planning to travel to Antarctica on an expedition for which they are not acting as an operator. (Operators, for example, typically acquire use of vessels or aircraft, hire expedition staff, plan itineraries, and undertake other organizational responsibilities.) Further, the Act is specific for nongovernmental activities, thus governmental jurisdictions are not subject to these regulations.

Most operators are ship-based or land-based tour operators. The SIC Code for Tour Operators is 4725 and the NAICS Code is 561520.

4(b) INFORMATION REQUESTED:

Data items, including recordkeeping requirements: The Final Rule provides nongovernmental operators with the specific environmental documentation requirements they need to meet in order to comply with relevant portions of the Protocol. Nongovernmental operators, including tour operators, conducting expeditions to Antarctica are required to submit environmental documentation to EPA that evaluates the potential environmental impact of their proposed activities. The type of environmental document required depends upon the nature and intensity of the environmental impacts that could result from the activity under consideration. Under the Final Rule, environmental documentation includes a Preliminary Environmental Review Memorandum (PERM), an Initial Environmental Evaluation (IEE), or a Comprehensive Environmental Evaluation (CEE). If the operator determines that an expedition may have: (1) less than a minor or transitory impact, a PERM needs to be submitted no later than 180 days before the proposed departure to Antarctica; (2) no more than minor or transitory impacts, including the cumulative impacts of the proposed activity in light of

existing and known proposed activities, an IEE needs to be submitted no later than 90 days before the proposed departure; or (3) more than minor or transitory impacts, including the cumulative impacts of the proposed activity in light of existing and known proposed activities, a CEE needs to be submitted.

The Protocol and the Final Rule also require an operator to employ procedures to assess and provide a regular and verifiable record of the actual impacts of an activity which proceeds on the basis on an IEE or CEE, including monitoring of key environmental indicators for an activity proceeding on the basis of a CEE. For activities that require an IEE, an operator should be able to use the annual procedures currently being voluntarily utilized by operators to provide the information. For activities that require a CEE, OFA would consult with the National Science Foundation and other interested Federal agencies regarding the monitoring regime that would be appropriate to the activity proposed, and with regard to possible utilization of relevant monitoring data collected by the U.S. Antarctic Program.

Environmental documentation is submitted to EPA by an operator prior to an expedition. For most respondents, including tour operators, EPA assumes this will be an IEE and, as provided in the Final Rule at Section 8.4, an operator may: (1) include more than one proposed expedition within one environmental document, and (2) one environmental document may also be used to address expeditions being carried out by more than one operator. An operator can also submit multi-year documentation to address proposed expeditions for a period of up to five consecutive austral summer seasons thus eliminating the need for annual submission of environmental documentation. The multi-year provision also allows operators to update basic information and to provide information on additional activities to supplement the multi-year environmental document without having to revise and re-submit the entire document. Operators are not required to retain the environmental documentation submitted to EPA. There is nothing in the Final Rule, however, that precludes an operator from submitting a previous year's documentation, with appropriate updates, for a subsequent year's expedition(s).

In cases of emergency relating to the safety of human life or of ships, aircraft, equipment and facilities of high value, or the protection of the environment which requires an activity to be undertaken without completion of the documentation procedures set out in the Final Rule, the operator must notify the Department of State within 15 days of any activities which would have otherwise required preparation of a CEE, and provide a full explanation of the activities carried out within 45 days of those activities.

Enforcement action can proceed, pursuant to Section 8.11 of the Final Rule, against an operator who violates any provision of the Final Rule. Enforcement actions are not, however, subject to the requirements of the Paperwork Reduction Act.

Respondent Activities: The EPA considered the definition of "burden" developed for the PRA and the Office of Management and Budget's (OMB's) final rules on implementing the PRA. For purposes of renewing this ICR, EPA estimated the hours and costs to respondents under the Interim Final Rule and the first three years of the Final Rule. These are the operators (e.g., respondents) for which the United States provided advance notice under Paragraph 5 of Article VII of the Treaty for proposed nongovernmental expeditions organized in or proceeding from the U.S. to the Antarctic Treaty area. EPA used a ship-based tour operator as its model respondent since most U.S.-based nongovernmental activities covered by the Final Rule are for operators and activities associated with ship-based tourism as summarized in Figure 1.⁶

⁶For the 1997-1998 through 2006-2007 austral summer seasons (e.g., during the time the Interim Final and Final Rules have been in effect), EPA found that the IEEs for expeditions that were not ship-based (e.g., land-based; non-governmental research, and flight expeditions) were usually similar to ship-based IEEs in terms of complexity; thus, the IEEs for these expeditions are similar in detail and length.

Figure 1. Numbers of Operators Submitting Environmental Documentation Under the Rule ⁷ and the Level of Documentation Submitted		
Season	Operators	Documentation Submitted
1997-1998	9	4 total IEEs submitted including: <ul style="list-style-type: none"> • 1 IEE submitted on behalf of five IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by two IAATO-member operators for their expeditions to the Ross Sea area • 2 IEEs submitted by two non-IAATO operators
1998-1999	10	4 total IEEs submitted including: <ul style="list-style-type: none"> • 1 IEE submitted on behalf of seven IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 2 IEEs submitted by two non-IAATO operators
1999-2000	13	6 total IEEs submitted including: <ul style="list-style-type: none"> • 1 IEE submitted on behalf of eight IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 4 IEEs submitted by four non-IAATO operators including a one-time only filming expedition and a one-time only cruise-only expedition
2000-2001	13 ⁸	5 total IEEs submitted including: <ul style="list-style-type: none"> • 1 IEE submitted on behalf of nine IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 3 IEEs submitted by three non-IAATO operators including a one-time only trekking expedition
2001-2002	12 ⁹	7 total IEEs submitted including: <ul style="list-style-type: none"> • 1 IEE submitted on behalf of seven IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 5 IEEs submitted by five non-IAATO operators including a one-time sailor training expedition

⁷The term Rule in this document refers to the period of time the Interim Final Rule and Final Rule have been in place at 40 CFR Part 8 (e.g., for this ICR renewal, the years from 1997-2007 which includes the 1997-1998 through 2006-2007 austral summer seasons).

⁸Nine IAATO-member operators submitted one IEE for their Peninsula area expeditions but one of the operators did not proceed with its planned tours during the season; this operator plans to continue its operations in the out-years.

⁹Seven IAATO member operators submitted one IEE for their Peninsula area expeditions but one of the operators did not proceed with its planned tours during the season.

2002-2003	14	8 total IEEs submitted including: <ul style="list-style-type: none"> • 1 IEE submitted on behalf of seven IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 6 IEEs submitted by six non-IAATO operators
2003-2004	22	1 PERM submitted for a one-time only flight 13 total IEEs submitted including: <ul style="list-style-type: none"> • 1 IEE submitted on behalf of nine IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 11 IEEs submitted by eleven non-IAATO operators including two one-time only flights
2004-2005	21	16 total IEEs submitted including: <ul style="list-style-type: none"> • 6 IEE submitted on behalf of 11 IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Continental area • 8 IEEs submitted by 8 non-IAATO operators
2005-2006	19	13 total IEEs submitted including: <ul style="list-style-type: none"> • 5 IEEs submitted on behalf of 11 IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Continental area • 6 IEEs submitted by 8 non-IAATO operators
2006-2007	21	13 total IEEs submitted including: <ul style="list-style-type: none"> • 5 IEEs submitted on behalf of 14 IAATO-member operators for expeditions to the Peninsula area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Ross Sea area • 1 IEE submitted by one IAATO-member operator for its expeditions to the Continental area • 6 IEEs submitted by 6 non-IAATO operators

The EPA hours and cost estimates are based on the following activities which EPA assumes a respondent would carry out to prepare and submit the environmental documentation and undertake as assessment and verification procedures.

Assumed Operator Activities Associated With:

1. Preparing and Submitting Environmental Documentation:

1. Read the regulations and evaluate business operations and the expedition(s) activities relative to the regulatory provisions of the Final Rule and determine the level of environmental documentation needed;
2. Search reference sources for existing information on environmental conditions at proposed expedition site(s) and compile basic information from company records for use in preparation of the environmental document for the proposed expedition(s);
3. Prepare the environmental impact assessment (EIA) document (e.g., PERM, IEE or CEE), or review a contractor-prepared document, and submit to EPA; and
4. Revise document if necessary, or operator decides to prepare higher level EIA document, in response to EPA's comments and submit to EPA.

2. Post-Expedition Assessment and Verification Procedures:

1. Prepare assessment and verification information.

3. Reporting for Cases of Emergency, if necessary:

1. Notify the Department of State of any activities which would have otherwise required preparation of a CEE within 15 days.
2. Provide a full report to the Department of State within 45 days.

The Final Rule does NOT require or contemplate the need for respondents to:

1. Acquire, install, or utilize technology and systems for the purpose of collecting, validating, and verifying information;
2. Develop, acquire, install, or utilize technology and systems for the purpose of processing and maintaining information;
3. Develop, acquire, install, or utilize technology and systems for the purpose of disclosing and providing information; or
4. Adjust the existing ways to comply with any previously applicable instructions and requirements.

5. THE INFORMATION COLLECTED--AGENCY ACTIVITIES, COLLECTION METHODOLOGY, AND INFORMATION MANAGEMENT

5(a) AGENCY ACTIVITIES: The EPA consults with the Department of State, the National Science Foundation, and other interested Federal agencies¹⁰ for activities associated with the Final Rule. This enables appropriate government agencies with specific Antarctic interests and expertise to be involved with the review of the environmental documentation for proposed nongovernmental expeditions including coordination of appropriate information relative to the U.S. Antarctic Program. Further, violation of the provisions of the Final Rule could result in enforcement and penalties pursuant to the Antarctic Conservation Act, as amended, as undertaken by the National Science Foundation and/or the Department of Justice. Finally, the Department of State has specific responsibilities under the Final Rule, Section 8.12, Coordination of reviews from other Parties, and for circulating a CEE that is prepared in accordance with the Final Rule at Section 8.8, along with any decisions by the operator relating thereto, to all Parties. Activities associated with the Final Rule for the EPA and other Federal agencies consist of the following.

EPA and Other Federal Agencies Activities Associated With:

¹⁰EPA routinely consults with the Department of State (DOS) and the National Science Foundation (NSF). EPA may consult with other agencies when appropriate for specific activities. These may include: U.S. Coast Guard (USCG), Marine Mammal Commission (MMC), National Oceanic and Atmospheric Administration (NOAA, including National Marine Fisheries Service), and the Department of Justice (DOJ).

1. Processing and Reviewing Environmental Documentation Received from Operators:

1. Post receipt of environmental documents on OFA's World Wide Website, and provide copies to other Federal agencies and the public, if requested.
2. Prepare and publish *Federal Register* notice of receipt of draft CEEs and notice of availability for Final CEEs.
3. Review environmental documents, including any appropriate public comments, and provide comments to the operator.
4. Consult with operators on the comments, or any other elements associated with the environmental documentation requirements.
5. Circulate to interested Federal agencies and review the revised or final document submitted by the operator, and notify the operator, if necessary, if the environmental documentation does not meet the requirements of the Protocol and the provisions of the Final Rule.
6. Notify the Parties and provide copies to the Committee for Environmental Protection of the annual list of IEEs, draft CEEs and final CEEs.
7. Maintain files.

2. Processing and Reviewing Post-Expedition Assessment and Verification Information:

1. Review assessment and verification information submitted by operators.
2. Maintain files.

3. Processing and Reviewing Reports for Cases of Emergency, if necessary:

1. Notify Parties to the Protocol when activities taken in cases of emergency are reported by operators which required the operator to undertake any activities which would have otherwise required preparation of a CEE.
2. Forward the operator's full explanation of the activities carried out to the Parties.
3. Review assessment and verification information submitted by operator.
4. Maintain files.

4. Processing and Reviewing Environmental Documentation Received from Other Parties:

1. Prepare and publish *Federal Register* notice of receipt of a draft CEE from another Party and provide copies to other interested Federal agencies and the public, if requested.
2. Review draft CEE and transmit inter-agency response to the Party that circulated the CEE.
3. Provide copies of other environmental documents to interested Federal agencies and the public, if requested. Other environmental documents may include:
 - a) a description of national procedures for considering the environmental impacts of proposed activities;
 - b) an annual list of any IEEs and any decisions taken in consequence thereof;
 - c) significant information obtained and any action taken in consequence thereof with regard to monitoring from IEEs and CEEs; and
 - d) information on a final CEE.
4. Post receipt of significant monitoring information on OFA's World Wide Website.
5. Maintain files.

5(b) COLLECTION METHODOLOGY AND MANAGEMENT: The environmental documentation that is required by the Final Rule is submitted by operators in accordance with the deadlines in the regulations. These documents can be submitted in hard copy and can also be submitted electronically. The Final Rule mandates specific information to be included in the document, but does not require a specific format. Since the information requirement is the same as that in the Protocol, this allows flexibility for operators who

have multiple international documentation requirements.¹¹ EPA, in consultation with other interested Federal agencies, reviews the environmental documentation relative to the general requirements (e.g., Final Rule, Section 8.4) and the specific requirements for each level of documentation (e.g., Final Rule, Section 8.6 for PERMs; Section 8.7 for IEEs; and Section 8.8 for CEEs). EPA provides its comments to the operator, and the operator then prepares revised documentation or responses to EPA's questions or comments. Following the final response from the operator, if appropriate, EPA, with the concurrence of the National Science Foundation, makes a finding that the documentation submitted does not meet the requirements of Article 8 and Annex I of the Protocol and the provisions of the regulations. EPA provides copies of environmental documents to all interested Federal agencies, and the public is informed of receipt of environmental documents through notice on OFA's Homepage on the World Wide Web, and through the *Federal Register* for CEEs.

5(c) SMALL ENTITY FLEXIBILITY: The PRA incorporated the Regulatory Flexibility Act into it. The Regulatory Flexibility Act (RFA), as amended by the Small Business Regulatory Enforcement Act of 1996 (SBREFA, 5 U.S.C. 601 *et seq.*), generally requires an agency to prepare a regulatory flexibility analysis of any rule subject to notice and comment rulemaking requirements under the Administrative Procedure Act or any other statute unless the agency certifies that the rule will not have a significant economic impact on a substantial number of small entities. Small entities include small businesses, small organizations, and small governmental jurisdictions.

The purpose of the RFA/SBREFA is "to fit regulatory and informational requirements to the scale of the business, organizations and governmental jurisdictions subject to the regulation." To achieve this principle, agencies are required to "solicit and consider flexible regulatory proposals and to explain the rationale for their actions to assure that such proposals are given serious consideration." The RFA/SBREFA does not require an agency to minimize a rule's impact on small entities if there are legal, policy, factual or other reasons for not doing so. The RFA/SBREFA requires only that agencies: determine, to the extent feasible, the rule's economic impact on small entities; explore regulatory options for reducing any significant economic impact on a substantial number of such entities; and explain the Agency's ultimate choice of regulatory approach.

The RFA/SBREFA requirements to prepare a regulatory flexibility analysis or a certification of no significant economic impact on a substantial number of small entities applies to proposed rules subject to notice-and-comment rulemaking requirements under the Administrative Procedure Act or any other statute, and final rules promulgated under the notice-and-comment rulemaking requirements of the Administrative Procedure Act. Further, the RFA requires that an agency identify the types, and estimate the numbers, of small entities "to which the final [or proposed] rule will apply," and describe the rule "requirements" to which small entities "will be subject" and any regulatory alternatives, including exemptions and deferrals, which would lessen the rule's burden on small entities. It is EPA's policy to make an assessment of the rule's impact on any small entities, to engage the potentially regulated entities in a dialog regarding the rule, and minimize the impact to the extent feasible. However, in view of the requirements of SBREFA, a regulatory flexibility analysis as specified by the RFA is not required simply because the rule has some impact on some number of small entities. Instead, such analyses is required only in cases where the Agency cannot certify that the rule will not have a significant economic impact on a substantial number of small entities.

For purposes of assessing the impacts of the Final Rule on small entities, small entity is defined as:

¹¹For example, Sweden has a specific form, and the United Kingdom has a permit system. For purposes of the Final Rule, an operator could submit environmental documentation prepared for another country as long as all the elements required by the regulations are addressed.

- (1) a small business as defined by the Small Business Administration with the North American Industry Classification System (NAICS) code for “Tour Operators,” code 561520, with annual maximum receipts of \$5.0 million (13 CFR Part 121); and
- (2) a small organization that is any not-for-profit enterprise which is independently owned and operated and is not dominant in its field.

In accordance with section 2403a of the Act, governmental jurisdictions are not subject to this rulemaking.¹²

In determining whether a rule has a significant economic impact on a substantial number of small entities, the impact of concern is any significant adverse economic impact on small entities, since the primary purpose of the regulatory flexibility analyses is to identify and address regulatory alternatives “which minimize any significant economic impact of the proposed rule on small entities.” 5 U.S.C. Sections 603 and 604. Thus, an agency may certify that a rule will not have a significant economic impact on a substantial number of small entities if the rule relieves regulatory burden, or otherwise has a positive economic effect on all of the small entities subject to the rule. The EPA believes that because the Final Rule only requires assessment of environmental impacts the effects on any small entities will be limited primarily to the cost of preparing such an analysis and that the requirements are no greater than necessary to ensure that the United States will be in compliance with its international obligations under the Protocol and the Treaty. The costs are minimal because the types of activities currently being carried out typically are unlikely to have impacts that are more than minor or transitory assuming that activities will be carried out in accordance with the guidelines set forth in the ATCM Recommendation XVIII-1, Tourism and Non-Governmental Activities, the relevant provisions of other U.S. statutes, and Annexes II-V to the Protocol. Therefore, most activities are likely to need only IEE documentation, the cost of which is minimal as shown in Section 6 of this Supporting Statement and as presented in the Preamble to the Final Rule, Section V.D, Paperwork Reduction Act. Further, EPA has included provisions in the Final Rule which are available to all respondents, including small entities, which will have a positive effect by minimizing the cost, and reducing the paperwork burden, of such an analysis.

It has been EPA’s experience that respondents used the cost reduction provisions in the final regulations. The cost and paperwork reduction provisions in the Final Rule include: (1) material may be incorporated by referring to it in the environmental document with its content briefly described when the cited material is reasonably available to the EPA; (2) more than one proposed expedition by an operator may be included within one environmental document and may, if appropriate, include a single discussion of components of the environmental analysis which are applicable to some or all of the proposed expeditions; (3) one environmental document may also be used to address expeditions being carried out by more than one operator, provided that the environmental documentation includes the names of each operator for which the environmental documentation is being submitted pursuant to obligations under these regulations; and (4) one environmental document may be submitted by one or more operators for proposed expeditions for a period of up to five consecutive austral summer seasons, provided that the conditions of the multi-year environmental document, including the assessment of cumulative impacts, are unchanged. The multi-year provision also allows operators to update basic information and to provide information on additional activities to supplement the multi-year environmental document without having to revise and re-submit the entire document.¹³

¹²16 U.S.C. 2401 *et seq.*, as amended, 16 U.S.C. 2403a.

¹³For the austral seasons the Final Rule has been in effect, operators have used all of the available paperwork provisions available under the Final Rule.

In consideration of the timing requirements associated with the need to assist new operators who are unfamiliar with the regulations and its schedules, or to assist operators who have unanticipated amendments to their EIA documentation for a particular year, the Final Rule at Section 8.5(b) provides that EPA may waive or modify the deadlines of the Final Rule if EPA determines that an operator is acting in good faith and that circumstances outside the control of the operator created delays, provided that environmental documentation fully meets deadlines under the Protocol.

The Final Rule does not provide an exemption from coverage of the collection of information, or any part thereof. This is because the Final Rule only requires assessment of environmental impacts. This assessment is limited to the cost of preparing such an analysis and the requirements would be no greater than necessary to ensure that the United States will be in compliance with its international obligations under the Protocol and the Treaty.

5(d) COLLECTION SCHEDULE: The schedule for submittal of environmental documentation depends on the document to be submitted as described below. An operator could submit environmental documentation prior to these deadlines. In all cases, however, documents need to be submitted such that the schedule requirements for submitting draft CEEs to the Parties can be met by the United States.

Preliminary Environmental Review Memorandum (PERM): In accordance with the Final Rule at Section 8.6, a PERM needs to be submitted to EPA no less than 180 days before the proposed departure of the expedition.

- EPA, in consultation with other interested Federal agencies, provides its comments to the operator within 15 days of receipt.
- The operator then has 75 days to revise the PERM or prepare an IEE, if necessary. If an IEE is prepared and submitted within the 75 day response period, it is reviewed under the time frames for an IEE (see below). If a CEE is prepared, it is reviewed under the time frames for a CEE (see below.)
- Within 30 days, if appropriate, EPA, with the concurrence of the National Science Foundation, provides notice to the operator that the environmental documentation does not meet the requirements of the Protocol and the provisions of the Final Rule.

Initial Environmental Evaluation (IEE): In accordance with the Final Rule at Section 8.7, an IEE needs to be submitted no fewer than 90 days before the proposed departure of the expedition.

- EPA, in consultation with other interested Federal agencies, provides its comments to the operator within 30 days of receipt.
- The operator then has 45 days to revise the IEE or prepare a CEE, if necessary. If a CEE is prepared, it would be reviewed under the time frames for a CEE (see below).
- Within 15 days of receiving the final IEE from the operator or, if the operator does not provide a final IEE, within 60 days following EPA's comments on the original IEE, if appropriate, EPA, with the concurrence of the National Science Foundation, provides notice to the operator that the environmental documentation does not meet the requirements of the Protocol and the provisions of the Final Rule.

Comprehensive Environmental Evaluation (CEE): In accordance with the Final Rule at Section 8.8(b), operators need to submit a CEE.¹⁴

- Within 15 days of receipt, EPA would: (1) send it to the Department of State for circulation to the Parties and Committee for Environmental Protection; and (2) publish notice of receipt and request for comments in the *Federal Register*.
- EPA accepts public comments for 90 days following the published notice.
- EPA, in consultation with other interested Federal agencies, provides its comments to the operator within 120 days following the *Federal Register* notice.
- The operator then needs to submit a final CEE 75 days before commencement of the proposed activity in the Antarctic Treaty area.
- Within 15 days of receiving the final CEE from the operator or, if the operator does not provide a final CEE, within 60 days prior to departure of the expedition, if appropriate, EPA, with the concurrence of the National Science Foundation, provides notice to the operator that the environmental documentation does not meet the requirements of the Protocol and the provisions of the Final Rule.
- If EPA does not provide such notice, the operator would have met all requirements provided that procedures, which may include appropriate monitoring, are put in place to assess and verify the impact of the activity.
- No later than 60 days before commencement of the proposed activity in the Antarctic Treaty area, EPA: (1) transmits the CEE, along with notice of any decisions by the operator, to the Department of State for circulation to the Parties, and (2) publishes notice of availability of the final CEE in the *Federal Register*.

Information to Assess and Verify Impacts: There is no set schedule requirements in the Final Rule for submitting information on measures to assess and verify environmental impacts. Operators provide the information to the National Science Foundation on a voluntary basis. Operators often specify this schedule within the environmental document for the expedition.

Reporting for Cases of Emergency: In accordance with the Final Rule at Section 8.10, within 15 days in cases of emergency, an operator needs to report notice of any activities which would have otherwise required preparation of a CEE to the Department of State, and a full explanation of the activities carried out must be provided within 45 days of those activities.

6. ESTIMATING THE HOURS AND COST BURDEN OF THE COLLECTION

6(a) ESTIMATED ANNUAL RESPONDENT HOURS AND COST

Exhibits 1A, 1B (including Table 1), and 1C present the estimated respondent (e.g., operator) hours and cost for the three possible levels of environmental documentation (e.g., PERM, IEE, CEE) and associated post-expedition assessment and verification procedures. Exhibit 1D presents the estimated respondent hours and cost for reporting for cases of emergency. Respondent burden tables were prepared for each type of

¹⁴See: Final Rule, Preamble, Section III.D.3(c). Article 3(4), of Annex I of the Protocol requires that draft CEEs be distributed to all Parties and the Committee for Environmental Protection 120 days in advance of the next Antarctic Treaty Consultative Meeting (ATCM) at which the CEE may be addressed. Operators who anticipate such activities are encouraged to consult with EPA as soon as possible regarding the date for submitting the CEE. In fact, there were no CEEs submitted during the seven austral seasons the Rule has been in effect.

environmental documentation since the effort should increase as an increasing level of environmental documentation is required; e.g., from PERM to IEE to CEE.

The model respondent used in the estimates is a nongovernmental, U.S.-based Antarctic tour ship operator.¹⁵ The estimated hours and cost for operators is based on the assumption that most environmental documentation submitted by operators will be IEEs. As stated in the Preamble to the Final Rule (Section III.D.3(b)), at a minimum, an IEE is typically the appropriate level of environmental documentation for proposed activities. The types of nongovernmental activities that are currently being carried out typically are unlikely to have impacts that are more than minor or transitory assuming that activities are carried out in accordance with the guidelines set forth in the ATCM, Recommendation XVIII-1, Tourism and Non-Governmental Activities, the relevant provisions of other U.S. statutes, and Annexes II-V to the Protocol. During the austral summer seasons the Rule has been in effect, IEEs have been submitted by operators as summarized in Figure 1. The following elements further discuss the assumptions factored into the estimated respondent hours and cost.

1. Number of Respondents: Based on EPA’s experience during the ten austral summer seasons the Rule has been in effect (see Figure 1), for purposes of this ICR renewal, the total number of respondents is estimated as twenty-three as delineated in Figure 2. This estimate includes 18 repeat operators who are expected to submit new or revised or multi-year IEE documentation, and five new operators who are expected to submit new IEEs.

FIGURE 2. Estimated Respondents and Anticipated Level of EIA Documentation Considering EPA’s Experience Under the Rule		
<u>Operators</u>	<u>Number of</u>	
U.S.-based IAATO-member tour operators	13	
U.S.-based IAATO-member tour operators	1	Peninsular Area
U.S.-based IAATO-member tour operators	1	Ross Sea Area
U.S.-based non-IAATO member tour operators	2	Continental Area
U.S.-based privately funded researcher	1	Peninsular Area
U.S.-based possible new respondents	5	
TOTAL ESTIMATED	23	

2. Basis for Cost Estimates: The cost estimates are based on industry labor rates obtained during informal consultations with industry representatives and include overhead and fringe benefits. The three rates used in the calculations represent the rates provided by the industry representatives including \$65/hour as a low,

¹⁵For the ten austral summer seasons the Rule has been in effect, environmental documentation has been submitted primarily by ship-based tour operators and one privately funded researcher. Many of the U.S.-based tour operators (both ship-based and land-based) are members of IAATO and are experienced for-profit companies that organize and/or operate travel programs to the Antarctic.

\$75/hour as an intermediate, and \$100/hour as a high. The \$75/hour intermediate rate is used for summary purposes. See Part D for additional information on the consultations with affected respondents.

3. PERM Model for Respondent Submittals: For PERMs, the estimated hours and cost is based on the estimated time to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.6, preliminary environmental review. The estimate assumes one week at 40 hours per week including revisions in response to any EPA comments. Assessment and verification procedures are not required at the PERM level of activity and documentation. Although one respondent per year is estimated for purposes of the cost calculations in Exhibit 1A, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with less than minor or transitory impacts may well be reduced to less than one respondent per year. In fact, during the seven austral summer seasons the Rule has been in effect, only one PERM has been submitted as the final document for an expedition.

4. IEE Model for Respondent Submittals: EPA has developed three models for IEEs that incorporate the estimated time to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.7, initial environmental evaluation. The model also considers the experience with IEE documents received during the ten austral summer seasons the Rule has been in effect and burden estimates in the previous Supporting Statements for the ICRs for the Interim Final and Final Rules. The assumptions for EPA's IEE model include the following:

- Figure 2 lists the potential respondents.
- The maximum length for an IEE is about 200 pages including supplemental information.¹⁶
- IEEs consist of "core" information with supplemental expedition-specific or other project-specific information (e.g., dates, landing sites, number of tours, etc.) attached or referenced.
- For initial preparation of the "core" IEE, the estimate assumes four weeks, on average, at 40 hours/week, or about 160 hours, including revisions in response to EPA comments. This estimate assumes a full time effort during the four weeks, and that information will be incorporated by reference when appropriate.
- The estimate assumes 5 hours for an operator to prepare and/or compile supplemental information.¹⁷
- If appropriate, EPA anticipates operators will submit the "core" IEE in subsequent years with any necessary revisions (discussed below). An estimated one week at 40 hours/week is estimated to prepare

¹⁶For the four IEEs submitted in 1997-1998, the approximate number of pages, including the "core" document plus supplemental documentation, was: 215 (5-operator Peninsular Area), 208 (2-operator non-PA), 43 (non-IAATO member operator), and 20 (privately-funded researcher). The supplemental information submitted by the 5 operators for the Peninsular Area IEE, which included tour brochures, averaged about 23 pages per operator. The privately-funded researcher incorporated by reference selected information from three previously published reports. During the subsequent three years the Interim Final Rule was in effect, the annual submissions averaged closer to 50 pages due, in large part, to the use of the paperwork reduction provisions of the Interim Final Rule. This "preparation" burden is actually less when the fact that tour brochures for the current season prepared for commercial purposes and a copy of the advance notice submitted to the Department of State were submitted by the tour operators as part of the IEE documentation. However, for purposes of maximum burden estimates, the 1997-1998 figures are used in the burden calculations. Experience under the Final Rule indicates these assumptions are still generally accurate.

¹⁷The estimate for preparation of supplemental information excludes any time associated with preparing travel brochures and/or major reports referenced in, and submitted along with, an IEE (e.g., researcher reports such as those prepared by Oceanites, Inc., and submitted as referenced attachments with the IEE).

this "revised" IEE for submittal in subsequent years. The estimate of 5 hours for preparation and/or compilation of supplemental information remains the same.

- If appropriate, EPA anticipates operators will submit “multi-year” IEE documentation. In the initial year, this is anticipated to consist of a “revised” IEE with an estimated 40 hours associated preparation time and 5 hours for preparation and/or compilation of supplemental information. For the subsequent four consecutive years the “multi-year” IEE can be submitted by an operator, for purposes of maximum burden estimation, 5 hours are estimated for preparation and/or compilation of the supplemental information.
- The IEE level of documentation requires assessment and verification (A/V) procedures; 20 hours are estimated for preparation and/or compilation of this information.¹⁸
- For an IEE that covers multiple operators, the hours and costs per operator are spread among the total number of operators; e.g., the more operators under one document, the lower the hours and costs to each individual operator.¹⁹

IEE Model 1 - “Core” IEE: The following estimate is based on EPA’s experience for the ten austral summer seasons the Rule has been in effect and considers the paperwork reduction options utilized by the operators. EPA anticipates five one-time “core” IEEs will be prepared for the three austral summer seasons this ICR renewal will be in effect. The operator hourly burden for preparation of a “Core” IEE is estimated as follows:

Prepare "core" IEE:			160
		hrs/IEE x 5 IEEs	
		= 800 hours	
Prepare supplemental information:	5 hrs/operator x 5 operators	=	25 hours
A/V procedures:	20 hrs/operator x 5 operators	=	100 hours
TOTAL HOURS		=	925 hours
TOTAL HOURS PER IEE (5 IEEs)		=	185 hours
TOTAL HOURS PER OPERATOR (5 operators)		=	185 hrs ²⁰

IEE Model 2 - “Revised” IEE: For purposes of maximum burden assessment, EPA anticipates that two present ship based tour operators will remain the same, and that these operators will continue to submit revised IEEs for the three austral summer seasons this ICR will be in effect. Updates are likely to include such items as dates of expeditions and changes in landing locations. Revisions could address items such as assessment of the potential impacts, including cumulative impacts, of modifications to the planned activities and any associated mitigation measures, or a reassessment of overall impacts for the expedition. Thus, for subsequent seasons, EPA assumes a reduced number of hours would be required for revision of the "core" IEE, and the hours for preparation of supplemental information will remain the same. The model for estimating respondent hourly burden for a “Revised” IEE is based on EPA’s experience for the ten austral summer seasons the Rule has been

¹⁸For activities requiring an IEE, an operator should be able to use procedures currently being voluntarily utilized by operators to provide the required information.

¹⁹For an IEE that covers multiple operators, the cost per operator is further reduced; specific examples are listed as a footnote for each model calculation.

²⁰If, for example, the “Core” IEEs cover six operators (e.g., four of the IEEs cover one operator each and one of the IEEs covers 2 operators), the cost per operator is reduced from 185 hours to 154 hours.

in effect and considers the paperwork reduction options utilized by the operators. The operator hourly burden for preparation of a “Revised” IEE is estimated as follows:

Prepare "Revised" IEE:		40 hrs/IEE x	
	2 IEEs	=	80
	hours		
Prepare supplemental information:	5 hrs/operator x 2 operators	=	10 hours
A/V procedures:	20 hrs/operator x 2 operators	=	40 hours
TOTAL HOURS		=	130 hours
TOTAL HOURS PER IEE (2 IEEs)		=	65 hours
TOTAL HOURS PER OPERATOR (2 operators)		=	65 hours ²¹

Model 3 - “Multi-Year” IEE: Under the Final Rule, operators may choose to submit multi-year IEE documentation. Under this model, EPA assumes the operators will submit a “Revised” IEE in the initial year. The multi-year provision then allows operators to supplement the multi-year environmental document without having to revise and re-submit the entire document in order to update basic information as necessary, and to provide information on any new activities or revisions to the documented activities.

For purposes of demonstrating the full model for a “multi-year” IEE, EPA assumes eight “multi-year” IEEs will be submitted on behalf of 16 operators, and the operator hourly burden for preparation of a “Multi-Year” IEE is estimated as follows:²²

Initial Year:

Prepare “Revised” IEE:		40 hrs/IEE x 8	
	IEEs	=	320
	hours		
Prepare supplemental information:	5 hrs/operator		
	x 16 ops x 1 year	=	80
	hours		
A/V procedures:	20		
	hrs/operator x 16 ops x 1 year	=	320 hours

Four Subsequent Years for a Total of Five Consecutive Years:

Prepare supplemental information:	5 hrs/operator		
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²¹If, for example, the three “Revised” IEEs cover four operators (e.g., two IEEs cover one operator each and the other covers two operators), the burden per operator is reduced from 65 hours to 49 hours.

²²For purposes of demonstrating the hourly burden for an operator submitting a “Multi-Year” IEE, EPA assumed eight operators would submit multi-year IEEs during the time covered by this ICR renewal. It is possible that two of the operators listed under the “Revised” IEE model may submit “multi-year” rather than “revised” IEEs. However, since the intent of these operators is unknown, EPA assumed these two operators would submit “revised” IEEs, an assumption that provides the maximum hours and cost estimates for the three year period of this ICR renewal since the hours and costs per operator are more for a “Revised” IEE than for a “Multi-Year” IEE.

	x 16 ops x 4 years	= 320
	hours	
	A/V procedures:	
	20	
	hrs/operator x 16 ops x 4	
	years	= 1280 hours
TOTAL HOURS for 5-Year Period of “Multi-Year” IEE		= 2320
	hours	
TOTAL HOURS PER YEAR (5 Years) PER IEE (8 IEEs)		= 58
	hours	
TOTAL HOURS PER YEAR (5 Years) PER OPERATOR (16 operators)		= 29 hours ²³

5. CEE Model for Respondent Submittals: For CEEs, the estimated hours and cost is based on the estimated time to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.8, comprehensive environmental evaluation, and assumes an increased effort from that required for an IEE. The estimate assumes six (6) weeks at 40 hours per week, or 240 hours, including time for revisions in response to EPA's comments. The estimate assumes 60 hours to prepare assessment and verification information associated with the CEE level of activity and documentation. Further, although one respondent per year is estimated for purposes of the cost calculations in Exhibit 1C, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with more than minor or transitory impacts may well be reduced to less than one respondent per year. In fact, there were no CEEs submitted during the ten austral summer seasons the Rule has been in effect.

6. Emergency Reporting Model: Reporting for Cases of Emergency is based on the Final Rule at Section 8.10, Cases of emergency, which requires notice and reporting for activities taken in cases of emergency which would have otherwise required the preparation of a CEE. The estimate is based on reporting requirements only, not the actual cost of the emergency response action. The hours and cost estimate assumes one such emergency per 10 years. In fact, there were no such incidents during the ten austral summer seasons the Rule has been in effect.

7. Capital/Start Up Costs: The EPA does not anticipate any capital or start up costs on the part of respondents to comply with the provisions of the Final Rule.²⁴

8. O&M Costs: The EPA estimates the following operating and maintenance (O&M) costs associated with the paperwork requirements for respondents to comply with the provisions of the Final Rule.²⁵ Assumptions and calculations used in EPA's O&M estimate for the three levels of environmental documentation are as follows:

²³ Because the eight “Multi-Year” IEEs cover sixteen operators (e.g., one IEE covers nine operators and the other seven cover one operators), the burden per operator is reduced from 58 hours to 29 hours (e.g., the hours for the annual supplemental information and A/V procedures) as the initial cost of the “Revised” IEE is spread among the operators.

²⁴ One-time capital/start-up costs usually include any produced physical good needed to provide the necessary information. Start-up capital must be purchased for the specific purpose of satisfying EPA's reporting or recordkeeping requirements. Capital goods include computers, machinery, or equipment. Start-up capital costs are usually incurred at the beginning of an information collection period and are usually incurred only once.

²⁵ O&M costs are the recurring dollar amount of cost associated with O&M or purchasing services. For example, when respondents are required to submit reports or information, O&M costs may include costs for file storage, photocopying, and postage.

PERMs. The assumptions used for the O&M estimates include:

- PERMs are estimated to average 25 pages including any supplemental information.
- One PERM submitted per year by one operator. In fact, during the ten austral summer seasons the Rule has been in effect, only one PERM has been submitted as the final documentation for an expedition.
- Five copies of each PERM should be submitted.
- Although not required, the model assumes operators will use express mail to submit PERM packages (e.g., original PERM and 5 copies).
- PERMs do not require assessment/verification procedures.
- The Final Rule does not require file storage or audits.

The estimated O&M costs for a PERM are calculated as follows:²⁶

(1) Copying:	25 pages/PERM x 5 copies x \$0.10/page	= \$12.50
(2) Mailing:	1 PERM package x \$27/package	= 27.00

Exhibit 1A incorporates double these estimated O&M costs in the estimated respondent burden and costs for PERMs for a three year period²⁷ based on the assumption, for purposes of maximum cost calculation, the initial submittal will be revised and resubmitted.

IEEs. The assumptions used for the O&M estimates include:

- Figure 2 lists the potential respondents.
- The maximum length for an IEE is 200 pages including supplemental information. (See above: “IEE Model for Respondent Submittals”)
- Five copies of each IEE, including supplementary information, should be submitted.
- Although not required, the model assumes operators will use express mail to submit IEE packages (e.g., original IEE and 5 copies).
- Assessment/verification (A/V) information is estimated as 25 pages per operator.
- Five copies of each A/V information package may be submitted.
- Although not required, the model assumes operators will use express mail to submit A/V information packages (e.g., original and 5 copies).
- The Final Rule does not require file storage or audits.

The estimated O&M costs for the three IEE models are calculated as follows:

<u>“Core” IEE:</u>		
(1) Copying:	200 pages/Core IEE x 5 copies/IEE x \$0.10/page	= \$100.00
		10 pages/Supplemental Info. x 5

²⁶For Exhibits 1 and 2, costs are rounded down to the nearest dollar for \$0.01 to \$0.49, and rounded up to the nearest dollar for \$0.50 to \$0.99.

²⁷Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

					copies x \$0.10/page =
					5.00
(2) Mailing:	25 pages/ A/V information	x 5 copies x \$0.10/page			= 12.50
	1 "Core" IEE package	x \$27/package			= 27.00
					1
					Supplemental Information
					package x \$12/package
					= 12.00
	1 A/V information package	x \$17/package			= 17.00

"Revised" IEE:

(1) Copying:	200 pages/Revised IEE	x 5 copies/IEE x \$0.10/page =	100.00		
					10
					pages/Supplemental Info. x 5
					copies x \$0.10/page =
					5.00
(2) Mailing:	25 pages/ A/V information	x 5 copies x \$0.10/page			= 12.50
					1 "Revised" IEE
					package x \$27/package
					=
					27.00
					1
					Supplemental Information
					package x \$12/package
					= 12.00
	1 A/V information package	x \$17/package			= 17.00

"Model Multi-Year" IEE:

(1) Copying:					200 pages/Revised
					IEE x 5 copies/IEE x
					\$0.10/page = \$ 100.00
					10
					pages/Supplemental Info. x 5
					copies x \$0.10/page =
					5.00
(2) Mailing:	25 pages/ A/V information	x 5 copies x \$0.10/page			= 12.50
					1 Revised IEE
					package x \$27/package
					=
					27.00
					1
					Supplemental Information
					package x \$12/package
					= 12.00
	1 A/V information package	x \$17/package			= 17.00

"Subsequent Year, Multi-Year" IEE:

(1) Copying:

$$10 \text{ pages/Supplemental Info.} \times 5 \text{ copies} \times \$0.10/\text{page} = 5.00$$

$$25 \text{ pages/ A/V information} \times 5 \text{ copies} \times \$0.10/\text{page} = 12.50$$

(2) Mailing:

$$1 \text{ Supplemental Information package} \times \$12/\text{package} = 12.00$$

$$1 \text{ A/V information package} \times \$17/\text{package} = 17.00$$

Exhibit 1B, including Table 1B, incorporates the “Subsequent Year, Multi-Year” IEE estimated O&M costs in the estimated respondent hours and costs for IEEs per year. Over the next three years, all Multi-Year IEE submissions will follow the Multi-Year Model with a revised submission one year and two subsequent years where only supplemental information is filed. To calculate the O&M costs over the three year period for the Multi-Year IEEs, the costs of one Model Multi-Year and two Subsequent Years Multi-Years are averaged. The costs for the “Model Multi-Year” IEE are listed only to maintain information for purposes of the full Model. The O&M costs are doubled for the “Core” and “Revised” IEE submittals based on the assumption, for purposes of maximum cost calculation, the initial submission will be revised and resubmitted.

PERM	"Core" IEE	"Revised" IEE	"Subsequent Year/ Multi-Year" IEE	CEE
Copying: \$ 25	Copying: \$218	Copying: \$ 218	Copying: \$ 85	Copying: \$325
Mailing: \$ 54	Mailing: \$ 83	Mailing \$83	Mailing: \$ 47	Mailing: \$ 81
TOTAL \$ 79	TOTAL \$301	TOTAL \$301	TOTAL \$ 132	TOTAL \$406

NOTE: The O&M costs for the “Multi-Year” IEE include the “Subsequent Year, Multi-Year” IEE costs for purposes of this three-year ICR renewal.

CEEs. The assumptions used for the O&M estimates include:

- CEEs are estimated to average 300 pages including any supplemental information.
- One CEE submitted per year by one operator. In fact, there were no CEEs submitted during the ten austral summer seasons the Rule has been in effect.
- Five copies of each CEE should be submitted.
- Although not required, the model assumes operators will use express mail to submit CEE packages (e.g., original CEE and 5 copies).
- Assessment/verification (A/V) information is estimated as 50 pages per operator.

- Five copies of each A/V information package should be submitted.
- Although not required, the model assumes operators will use express mail to submit A/V information packages (e.g., original and 5 copies).
- The Final Rule does not require file storage or audits.
- Mailing charges have been increased to reflect inflation.

The estimated O&M costs for a CEE are calculated as follows:

(1) Copying:	300 pages/CEE x 5 copies x \$0.10/page	= \$150.00
		50 pages/ A/V information x 5 copies x \$0.10/page = 25.00
(2) Mailing:	1 CEE package x \$32/package	= 32.00
		1 A/V information package x \$17/package = 17.00

Exhibit 1C incorporates these estimated O&M costs in the estimated respondent hours and cost for CEEs for a three year period.²⁸ The O&M costs are doubled for the CEE submission based on the assumption, for purposes of maximum cost calculation, the initial submission will be revised and resubmitted.

Reporting for Cases of Emergency. The assumptions used for the O&M estimate include:

- Emergency Reports are estimated to average 300 pages including supplemental information.
- The model assumes assessment and verification procedures will be undertaken with 50 pages submitted.
- Five copies of the assessment and verification information should be submitted.
- Although not required, the model assumes operators will use express mail to submit Emergency Reports and assessment and verification information.
- The O&M costs are first calculated to indicate the annual cost assuming one such emergency per 10 years. (See: Item 6, above, Emergency Reporting Model)
- The Final Rule does not require file storage or audits.
- Mailing charges have been increased to reflect inflation.

(1) Copying:		
Emergency Report	300 pages/report x 5 copies x \$0.10/page	= \$150.00
A/V Information	50 pages/package x 5 copies x \$0.10/page	= 25.00
(2) Mailing:		
Emergency Report	1 Emergency Report x \$32/report	= 32.00
		A/V Information 1 A/V package x \$17/package = 17.00

²⁸Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

O&M for Emergency Reporting in one year	=	224.00
Averaged annual Emergency Reporting assuming one emergency per 10 years	=	23.00

Exhibit 1D incorporates these estimated O&M costs in the estimated Emergency Response respondent hours and costs for years one through three.

6(b) ESTIMATED ANNUAL FEDERAL GOVERNMENT HOURS AND COST

Exhibits 2A, 2B (including Table 2), and 2C present the estimated Federal government hours and cost for processing and reviewing the three possible levels of environmental documentation (e.g., PERM, IEE, CEE) and associated post-expedition assessment and verification information. Exhibit 2D presents the estimated Federal government hours and cost for activities associated with reporting for cases of emergency, and Exhibit 2E presents the estimated Federal government hours and cost for coordinating the review of information received from other Parties.²⁹ The Final Rule does not involve or otherwise impact governmental jurisdictions including state, local or tribal governments.

Federal government burden tables were prepared for each type of environmental documentation since the effort should increase as an increasing level of environmental documentation is required; e.g., from PERM to IEE to CEE. As with the respondents, the model used for the Federal government estimates is a nongovernmental, U.S.-based ship-based tour operator, and the estimated hours and cost for the Federal government is based on the assumption that most environmental documentation submitted by operators will be IEEs.

The following assumptions were factored into the hourly burden and cost estimates for the Federal government:

1. Number of Respondents: The Federal government estimates are consistent with the respondent (i.e., operators) estimates with regard to the number of respondents and the projected numbers of environmental documents that may be submitted (see: Section 6(a)).
2. Basis for Cost Estimates: The cost estimates are based on consideration of a "model" government employee for activities associated with the Final Rule. Two Federal employee "models" were developed: (1) "Federal Model 1" is used for costing activities more technical in nature, and (2) "Federal Model 2" is used for costing activities that are more administrative.³⁰

"Federal Model 1" - Technical Activities: The skill mix used for technical activities includes Managers, Technical Staff (such as scientists, environmental protection specialists, and other such technical classifications), Attorneys, and Clerical Support. Relative hours are listed in whole hour increments. The development of the cost per hour for "Federal Model 1" is as follows:³¹

²⁹There is no respondent burden or cost associated with Section 8.12.

³⁰See: Exhibits 2A through E, the Federal government estimates for hours and cost. For example, technical activities associated with Environmental Documentation include: review of environmental documents, including any public comments, and providing comments to the operator; consultation with operators; and review of the revised/final document submissions and notification of the operator, if necessary. Other activities listed under Environmental Documentation, such as posting document receipt on the WWW, are administrative.

³¹For the "Technical staff," the model uses the GS-14 level rates, and assumes that the technical staff may actually be composed of GS-13 through GS-15 level staff. For the "Attorney," the model uses the GS-14 level rates, and assumes that the attorneys may actually be composed of GS-14 and GS-15 level staff. The EPA estimated rates used in the calculations are base rates

FIGURE 3. Federal Model 1				
Job			Estimate of	Pay
<u>Classification</u>			Estimated time Rate <u>Relative Hours</u> <u>(Based on GS- Level)</u>	<u>Per Hour</u> <u>Cost/Hour</u>
Manager	2	0.16	\$80.18 for GS 15	\$12.83
Technical	8	0.68	68.15 for GS 14	46.34
Attorney	1	0.08	68.15 for GS-14	5.45
Clerical	1	0.08	27.34 for GS-07	2.19
	<hr/>			
	12 hours			<hr/>
				1.00 hour
				<hr/>
				\$66.81/hou r

"Federal Model 2" - Administrative Activities: The skill mix used for administrative activities includes Managers, Technical Staff (such as scientists, environmental protection specialists, and other such technical classifications), Attorneys, and Clerical Support. Relative hours are listed in whole hour increments. The development of the cost per hour for "Federal Model 2" is as follows:

FIGURE 4. Federal Model 2

<u>Job Classification</u>	Estimate of	
	<u>Estimated Relative Hours</u>	<u>Pay Rate Time Per Hour (Based on GS-Level) Cost/Hour</u>
Manager		1 0.20 \$80.18 for GS 15
Technical		\$16.04 1 0.20 68.15 for GS 14
Attorney		13.63 0 0.00 68.15 for GS-14
Clerical		0.00 3 0.60 27.34 for GS-07
	<hr/>	16.40 <hr/>

Based on EPA’s experience for the ten austral summer seasons the Rule has been in effect, EPA estimates that the administrative costs have been no more than about 2% of the total estimated costs for the Federal government. Because this percentage is so low, the Federal government costs in Exhibit 2A through 2E are all calculated at the \$65/hour rate for technical activities. The margin of difference would be as follows:

	<u>Amount for technical activities</u>	<u>Amount for administrative activities</u>
For \$ 1,000	\$ 20	\$ 980
For \$ 5,000	\$100	\$4,900
For \$10,000	\$200	\$9,800

3. PERM Model for Review of Submissions: For PERMs, the respondent needs to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.6, preliminary environmental review. The hourly burden for Federal government review of a PERM is estimated to be 25% of the respondent's time to prepare a PERM, or 10 hours, plus an additional 2 hours for administrative activities. Assessment and verification procedures are not required at the PERM level of activity and documentation. Although one respondent per year is estimated for purposes of the cost calculations in Exhibit 2A, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with less than minor or transitory impacts may well be reduced to less than one respondent per year. In fact, only one PERM has been submitted as the final documentation for an expedition during the ten austral summer seasons the Rule has been in effect.

4. IEE Model for Review of Submissions: For IEEs, the respondent needs to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.7, initial environmental evaluation. Under the Final Rule (see Figure 1), EPA assumes operators would submit IEEs. Operators can choose to submit a “Core” or “Revised” or a “Multi-Year” IEE as discussed for the respondents in Section 6(a). Under the “Multi-Year” IEE model, EPA assumes the operators, as applicable, would submit a “Revised” IEE in the initial year and, for purposes of maximum burden estimation, supplemental information for the subsequent four years. Over the next three years, all Multi-Year IEE submissions will follow the Multi-Year Model with a revised submission one year and two subsequent years where only supplemental information is

filed. EPA assumes sixteen operators will submit eight “multi-year” IEEs.³² EPA has developed a model for Federal government review of the three models for IEEs. A detailed discussion of the "Model for Federal Government Review of IEEs" is presented Section 6(c).

5. CEE Model for Review of Submissions: For CEEs, the respondent needs to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.8, comprehensive environmental evaluation. The hourly burden for Federal government review of a CEE is estimated to be 50% of the respondent's time to prepare a CEE, or 120 hours, plus an additional 15 hours for administrative activities. The hourly burden for review of assessment and verification information is estimated to be 50% of the respondent's time to prepare the assessment and verification information, or 30 hours. Although one respondent per year is estimated for purposes of the cost calculations in Exhibit 2C, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with more than minor or transitory impacts may well be reduced to less than one respondent per year. In fact, there were no CEEs submitted during the ten austral summer seasons the Rule has been in effect.

6. Reviewing Emergency Reports: Reporting for Cases of Emergency is based on the Final Rule at Section 8.10, Cases of Emergency, which would require operator notice and reporting for activities taken in cases of emergency which would have otherwise required the preparation of a CEE. The estimated hourly burden for Federal government review of an Emergency Report is estimated to be 50% of the respondent's time

to prepare a CEE,³³ or 120 hours, and 50% of the respondent's time to prepare the assessment and verification information for an emergency, or 30 hours, for review of this information. An additional 15 hours are assumed for notifying the Parties and for administrative activities. As with the respondents, the Federal government hours and cost estimate assumes one such emergency per 10 years.

7. Capital/Start Up Costs: The EPA does not anticipate any capital or start up costs on the part of the Federal government to comply with the provisions of the Final Rule.

8. O&M Costs: The EPA estimates the following operating and maintenance (O&M) costs associated with the paperwork requirements for the Federal government to comply with the provisions of the Final Rule. Assumptions and calculations used in EPA's O&M estimate for the three levels of environmental documentation are as follows:

PERMs. The assumptions used for the O&M estimates include:

- PERMs are estimated to average 25 pages including any supplemental information.
- One PERM submitted per year by one operator. In fact, during the ten austral summer seasons the Rule has been in effect, only one PERM has been submitted as the final environmental documentation.
- Six copies of each PERM are needed for Federal government reviewers.
- PERMs do not require assessment/verification procedures.
- File storage and maintenance is estimated at \$10 per PERM.

The estimated O&M costs for a PERM are calculated as follows:

(1) Copying:		25 pages/PERM x 6 copies	
		x \$0.10/page	=
		\$15.00	
(2) File Storage:	1 PERM package x \$10/package		= 10.00

Exhibit 2A incorporates these estimated O&M costs in the estimated Federal government hours and costs for

PERMs for a three year period.³⁴ The O&M cost for copying is doubled based on the assumption, for purposes of maximum cost calculation, that the initial submission will be revised and resubmitted for Federal government review.

IEEs. The assumptions used for the O&M estimates include:

- Figure 2 lists the potential respondents.
- The maximum length for an IEE is 200 pages including supplemental information. (See: Section 6(a)).
- Six copies of each IEE are needed for Federal government reviewers.
- Assessment/verification (A/V) information packages, are estimated as 25 pages per operator.
- Six copies of each A/V information package is needed for Federal government reviewers.
- File storage and maintenance is estimated at \$ 10 including storage for an IEE package and the associated A/V information.

The estimated O&M cost for the three IEE models are calculated as follows:

“Core” IEE:

(1) Copying:		200 pages/Core IEE x 6 copies/IEE x \$0.10/page = \$120.00
	10 pages Supplemental Info. x 6 copies x \$0.10/page	= 6.00
	25 pages/ A/V information x 6 copies x \$0.10/page	= 15.00
(2) File Storage:	1 IEE package x \$10/package	= 10.00

“Revised” IEE:

(1) Copying:	200 pages/Revised IEE x 6 copies/IEE x \$0.10/page	= \$120.00
	10 pages Supplemental Info. x 6 copies x \$0.10/page	= 6.00
	25 pages/ A/V information x 6 copies x \$0.10/page	= 15.00
(2) File Storage:	1 IEE package x \$10/package	= 10.00

“Subsequent Year, Multi-Year” IEE:

(1)	10 pages Supplemental Info. x 6 copies x \$0.10/page	= 6.00
	25 pages/ A/V information x 6 copies x \$0.10/page	= 15.00
(2) File Storage:	1 IEE package x \$10/package	= 10.00

Exhibit 2B, including Table 2B, incorporates these estimated O&M costs in the estimated Federal government

hours and costs for IEEs per year for a following three-year period based as summarized in Table 4.³⁵ Over the next three years, all Multi-Year IEE submissions will require a revised submission one year and two subsequent years where only supplemental information is filed. To calculate the O&M costs over the three year period for the Multi-Year IEEs, the costs of one Model Multi-Year and two Subsequent Years Multi-Years are averaged. The O&M costs for copying the core and revised IEE submissions are doubled based on the assumption, for purposes of maximum cost calculation, the initial submission will be revised and resubmitted for Federal government review.

PERM	“Core” IEE	“Revised” IEE	“Subsequent Year, Multi-Year” IEE	CEE
Copying: \$ 30 File	Copying: \$261 File	Copying: \$ 101 File	Copying: \$101 File	Copying: \$1740 File
Storage: \$ 10	Storage : \$ 10	Storage: \$ 10	Storage: \$10	Storage: \$10
TOTAL \$ 40	TOTAL \$271	TOTAL \$ 111	TOTAL: \$111	FedReg: \$326 TOTAL: \$2076

CEEs. The assumptions used for the O&M estimates include:

- A *Federal Register* Notice of Availability must be published for receipt of each draft and final CEE; publication costs are estimated at \$163 per column and two columns are assumed to be needed.
- CEEs are estimated to average 300 pages including any supplemental information.
- One CEE submitted per year by one operator. In fact, during the ten austral summer seasons the Rule has been in effect, no CEEs were submitted.
- Six copies of each CEE are needed for Federal government reviewers.
- Forty-five copies of each CEE are needed for distribution to Parties and the Committee for Environmental Protection.
- Assessment/verification (A/V) information is estimated as 50 pages per operator.
- Six copies of each A/V information package is needed for Federal government reviewers.
- File storage and maintenance is estimated at \$10 including storage for a CEE package and associated A/V information.
- *Federal Register* publication charges have been increased to reflect inflation.

The estimated O&M costs for a CEE are calculated as follows:

(1) Copying:	300 pages/CEE x 6 copies x \$0.10/page	= \$ 180.00
	300 pages/CEE x 45 copies x \$0.10/page	= 1,350.00
	50 pages/ A/V information x 6 copies x \$0.10/page	= 30.00
(2) FR Publication:	1 CEE x \$163/column x 2 columns	= 326.00
(3) File Storage:	1 CEE package x \$10/package	= 10.00

Exhibit 2C incorporates these estimated O&M costs in the estimated Federal government hours and costs for

CEEs for a three year period.³⁶ The O&M cost for copying is doubled based on the assumption, for purposes of maximum cost calculation, that the initial submittal will be revised and resubmitted for Federal government review and that both the draft and final CEEs will also be provided to the Parties.

Reporting for Cases of Emergency. The assumptions used for the O&M estimates include:

- Emergency Reports are estimated to average 300 pages including supplemental information.
- Six copies of each report are needed for Federal government reviewers.
- Forty-five copies of each report are needed for distribution to Parties and the Committee for Environmental Protection.
- Assessment/verification (A/V) information is estimated as 50 pages per incident.
- Six copies of each A/V information package needed for Federal government reviewers.
- The O&M costs are first calculated to indicate the annual cost assuming one such emergency per 10 years.
- File storage and maintenance is estimated at \$10 including storage for the emergency report package and associated A/V information.

(1) Copying:

$$\begin{aligned}
 & 300 \text{ pages/report} \times 6 \\
 & \text{copies} \times \$0.10/\text{page} \\
 & = \$ 180.00 \\
 & 300 \\
 & \text{pages/report} \times 45 \text{ copies} \times \\
 & \$0.10/\text{page} \\
 & = 1,350.00
 \end{aligned}$$

$$50 \text{ pages/ A/V information} \times 6 \text{ copies} \times \$0.10/\text{page} = 30.00$$

$$(2) \text{ Store File: 1 report package} \times \$10/\text{package} = 10.00$$

Exhibit 2D incorporates these estimated O&M costs in the estimated Federal government hours and costs for

emergency reports for a three year period.³⁷

9. Coordinating Review of Other Parties' Documents: In accordance with the Final Rule at Section 8.12, the Department of State would be responsible for the coordination of the review of documents received from other Parties. There is no respondent burden associated with Section 8.12. Exhibit 2E provides the Federal government hourly burden and cost estimate based on Employee Model 1 and the O&M assumptions and estimates below. It is not possible to predict what may be received from another Party in any given year,

and since there is no respondent burden associated with Section 8.12, hours and costs for a three year period are

not provided beyond those estimates listed in Exhibit 2E.³⁸

The assumptions used for the O&M estimates include:

- A *Federal Register* Notice of Availability must be published for receipt of each draft CEE; publication costs are estimated at \$163 per column and two columns are assumed to be needed.
- Draft and Final CEEs received from other Parties are estimated to average 300 pages including supplemental information.
- Other documents (e.g., description of national procedures, significant monitoring information) received from other Parties are estimated to average 50 pages.
- Annual lists of IEEs are estimated to average 10 pages.
- Six copies of each document are needed for Federal government reviewers and four copies for the public.
- File storage and maintenance is estimated at \$10 including storage for the sum total of any such documents received.

(1) Copying:	300 pages/draft CEE x 10 copies x \$0.10/page	= \$300.00
	300 pages/final CEE x 10 copies x \$0.10/page	= 300.00
	50 pages/other x 10 copies x \$0.10/page	= 50.00
	10 pages/IEE list x 10 copies x \$0.10/page	= 10.00
(2) FR Pub:	1 CEE x \$163/column x 2 columns	= 326.00
(3) Store File:	1 set of reports from Parties x \$ 10/set	= 10.00

6(c) MODEL FOR FEDERAL GOVERNMENT REVIEW OF IEEs

As noted in the assumptions above for both the respondents and the Federal government, EPA assumes that most environmental documentation submitted under the Final Rule will be IEEs. Based on experience during the ten austral summer seasons the Rule has been in effect, and the assumption that operators will continue to employ the paperwork reduction provisions in the Final Rule, including the provision for multi-year documentation, EPA has developed a model for Federal government review of IEEs based on three types of IEE documentation: (1) "Core" IEE, (2) "Revised" IEE, and (3) "Multi-Year" IEE.

The hourly estimates for activities associated with Environmental Documentation in Exhibit 2B are based on experience during the ten austral summer seasons the Rule has been in effect and the anticipated degree of consultation with other interested Federal agencies. The calculations include the estimated technical review time for the three IEE models, the estimated technical hours per Federal review, and the Federal agencies participating in the review process and their relative level of participation.

1. Estimated Hours for Technical Review of an IEE: This estimate includes the following assumptions consistent with those in the respondents' estimated burden (Section 6(a)) and consideration of the experience under the ten austral summer seasons the Rule has been in effect:

- Section 6(a), including Figure 2, lists the potential respondents.
- The maximum length for an IEE is about 200 pages including supplemental information.

- An IEE consists of "core" information with supplemental expedition-specific (e.g., dates, landing sites, number of tours, etc.) or other project-specific information attached or referenced.
- The core information requires a "Core IEE" review, and certain of the supplemental information not considered to be part of the "core" document (e.g., supplemental expedition-specific information for individual tour operators), requires a "Supplemental Information" review. A "Core IEE" review is estimated to be 50% of the respondent's time to prepare a "core" IEE, or 80 hours, and a "Supplemental Information" review is estimated to be 25% of the respondent's time to prepare the information, or about 1 hour per supplemental package of information not considered to be part of the "core" document. Review time for supplemental information considered to be part of the "Core IEE" and included by reference is included in the review time for the "Core IEE."
- The time to review a "Revised IEE" is estimated to be 25% of the respondent's time to prepare a "core" IEE, or 40 hours, and a "Supplemental Information" review to take 1 hour per supplemental package of information not considered to be part of the "revised" document.
- Operators may employ the multi-year provision whereby multi-year IEE documentation will be submitted. The multi-year provision also allows operators to update basic information and to provide information on additional activities to supplement the multi-year environmental document without having to revise and re-submit the entire document. Review of the initial multi-year document is assumed to be the same as review of a "Revised IEE," e.g., 40 hours for the "Revised IEE" and, for purposes of maximum burden estimation, 1 hour for supplemental information. For the subsequent four years, the annual advance notice and confirmation that the conditions of the multi-year document are unchanged is estimated to take 10 hours per IEE.
- The IEE level of documentation requires assessment and verification (A/V) procedures. The hourly burden for review of A/V information is estimated to be 75% of the respondent's time to prepare the A/V information, or 15 hours per information package.

- For an IEE that covers multiple operators, the hours and costs per operator for reviews are spread among the total number of operators; e.g., the more operators under one document, the lower the hours

and costs for each review on a per operator basis.³⁹

IEE Model 1 - "Core" IEE: The following estimate is based on EPA's experience for the ten austral summer seasons the Rule has been in effect and considers the paperwork reduction options utilized by the operators. EPA anticipates five one-time "core" IEEs will be prepared for the three austral summer seasons this ICR renewal will be in effect. The Federal government hourly burden for preparation of a "Core" IEE is estimated as follows:

Review "core" IEE		80 hrs/IEE x 5	
	IEEs	=	400 hours
Review supplemental information		1 hr/review x 5	
	operators	=	
	5 hours		
Review of A/V information		15 hrs/A/V	
	pkg x 5 operators	=	
	75 hours		
TOTAL HOURS			
		=	480 hours
TOTAL HOURS PER IEE (5 IEEs)		=	
			96 hours

TOTAL HOURS PER OPERATOR (5 operators)

= 96 hrs⁴⁰

IEE Model 2 - "Revised" IEE: For purposes of maximum burden assessment, EPA assumes that two present ship-based tour operators will remain the same, and that these operators will continue to submit revised IEEs for the three austral summer seasons this ICR will be in effect. Updates are likely to include such items as dates of expeditions and changes in landing locations. Revisions could address items such as assessment of the potential impacts, including cumulative impacts, of modifications to the planned activities and any associated mitigation measures, or a reassessment of overall impacts for the expedition. Thus, for subsequent seasons, EPA estimates the government review time to be 25% of the respondent's time to prepare a "core" IEE, or 40

hours, and the hours for review of supplemental information will remain the same.⁴¹ The model for estimating respondent hourly burden for a “Revised” IEE is based on EPA’s experience under the Rule and considers the paperwork reduction options employed by the operators. The operator hourly burden for preparation of a “Revised” IEE is estimated as follows:

Review "revised" IEE	40 hrs/IEE x 2 IEEs = 80 hours
Review supplemental information	1 hr/review x 2 operators = 2 hours
Review of A/V information	15 hrs/A/V pkg x 2 operators = 30 hours
TOTAL HOURS	
	= 112 hours
TOTAL HOURS PER IEE (2 IEEs)	= 56 hours

TOTAL HOURS PER OPERATOR (2 operators)

= 56 hrs⁴²

Model 3 - “Multi-Year” IEE: Under the Final Rule, operators may also choose to submit multi-year IEE documentation. Under this model, EPA assumes the operators will submit a “Revised” IEE in the initial year. The multi-year provision then allows operators to supplement the multi-year environmental document without having to revise and re-submit the entire document in order to update basis information as necessary, and to provide information on any new activities or revisions to the documented activities.

EPA assumes eight operators may submit "multi-year" IEEs, and the Federal government hourly burden for review of the "Multi-Year" IEE will require review at the “Revised IEE” level of review (e.g., 40 hours) and 1 hour for supplemental information. Review also includes 15 hours for A/V information. In subsequent years, for purposes of maximum burden estimation, 2 hours per IEE is estimated for review of supplemental

information and 15 hours for A/V information. The Federal government hourly burden is estimated as follows

for review of "Multi-Year" IEEs:⁴³

Initial Year:

Review "Revised" IEE:
40 hrs/IEE x 8
IEEs x 1 yr = 320
hours
Review supplemental
information: 1 hr/operator
x 16 ops x 1 year = 16
hours
Review A/V information:
15
hrs/operator x 16 ops x 1 year
= 240 hours

Four Subsequent Years for a Total of Five Consecutive Years:

Review supplemental
information: 1 hr/operator
x 16 ops x 4 years = 64
hours
Review A/V information:
15
hrs/operator x 16 ops x 4
years = 960 hours
= 1600 hours
= 40 hours

TOTAL HOURS for 5-Year Period of "Multi-Year" IEE

TOTAL HOURS PER YEAR (5 Years) PER IEE (8 IEEs)

TOTAL HOURS PER YEAR (5 Years) PER OPERATOR (16 operators) = 20 hours⁴⁴

2. Estimated Technical Hours by Federal Agency for Review of an IEE: EPA has used and would continue to use a "Principal Reviewer/Associate Reviewer" process to review environmental documentation submitted by operators. OFA would serve as the Principal Reviewer. Associate Reviewers may include representatives from program offices within EPA and other Federal agencies with an interest in Antarctica. The interested Federal agencies are listed in Section 5(a). Based on experience during the ten austral summer seasons the Rule has been in effect and the anticipated consultation needs under the Final Rule, the following calculations spread amongst the Federal agencies the 96 total hours per "Core" IEE review, the 56 total hours per "Revised" IEE review, and the 16 total hours per "Subsequent Year, Multi-Year" IEE.

Federal Agency	"Core" IEEs			"Revised" IEEs			"Subseq.Yrs, Multi-Year" IEEs		
	Relative Time/Hr	x 96 Hrs	Hrs	Relative Time/Hr	x 56 Hrs	Hrs	Relative Time/Hr	x 40 Hrs	Hrs
EPA	0.49	x 96	47	0.50	x 56	28	0.50	x 40	20
NSF	0.35	x 96	34	0.35	x 56	20	0.40	x 40	16
DOS	0.15	x 96	14	0.15	x 56	8	0.10	x 40	4
Others	0.01	x 96	1	0.00	x 56	0	0.00	x 40	0
Totals	1.00		96	1.00		56	1.00		30

"Others" may include: USCG, NOAA, MMC, and DOJ

The model further assumes that 2/3 of the time for review of each document applies to the draft IEE, and 1/3 of the time to the final IEE:

	"Core" IEEs	"Revised" IEE	"Subsequent Years, Multi-Year" IEE
Review Hours per Draft	64	37	27
Review Hours per Final	32	19	13
Total Hours	96	56	40

The hours are then spread amongst the Federal agencies as follows:

Federal Agency	"Core" IEE			"Revised" IEE			"Subseq.Yrs, Multi-Year" IEE					
	Relative Time/Hr	Draft	Final	Relative Time/Hr	Draft	Final	Relative Time/Hr	Draft	Final	Relative Time/Hr	Draft	Final
EPA	.49	31	16	.50	18	10	.50	13	6			
NSF	.35	22	11	.35	13	7	.35	11	6			
DOS	.15	10	5	.15	6	2	.15	3	1			
Others	.01	1	0	.00	0	0	.00	0	0			
Totals		64	32		37	19		27	13			

In Exhibits 2A through 2E for the "Estimated Federal Government Hours and Cost," the total hours listed for the Government hours/year are assumed to include the spread of hours across the Federal agencies as

calculated above. The costs in Exhibits 2A through 2E are calculated at the \$65/hour rate for technical activities as discussed in Section 6(b), item 2.

6(d) ESTIMATED ANNUAL AGGREGATE HOURS AND COST

Exhibit 3 is the summary of the estimated hours and costs for respondents and the Federal government. This summary compiles the totals for the respondents (Exhibits 1A, 1B including Table 1, 1C, and 1D) and Federal government (Exhibits 2A, 2B including Table 2, 2C, and 2D) for each level of environmental

documentation.⁴⁵ Chart 2 in Exhibit 3 further summarizes for respondents and the Federal government the hours and costs for the most likely documentation scenario for the 3-year life of this ICR renewal, namely, a "Multi-Year" IEE which includes for the initial year a "Revised" IEE and "Subsequent Year, Multi-Year" IEE

documentation for the two subsequent years. Exhibit 3 is annualized over a three year period by assuming a

3.5% escalation rate per year, the assumed Consumer Price Index (CPI) escalation rate.⁴⁶

Based on the reporting by operators for the ten austral summer seasons during the time the Rule has been in effect under an OMB-approved ICR and EPA's understanding of the types of nongovernmental activities likely to continue to be undertaken by U.S.-based operators in Antarctica, EPA anticipates that the most likely scenario during the three-year renewal period this information collection will be in effect consists of the following:

- Twenty-three operators will likely plan expeditions to Antarctica and will submit environmental documentation including assessment and verification information. Eighteen will likely be repeat operators with annual expeditions, and five operators may submit new documentation. These five may include new operators planning annual expeditions and operators of one-time only expeditions.
- Two of the 18 repeat operators with annual expeditions will submit revised IEEs.
- It was assumed that sixteen of the 18 repeat operators would submit new Multi-Year IEEs, including a "Revised" IEE in the initial year and "Subsequent Year, Multi-Year" IEE documentation for the two subsequent years.
- No CEEs have been submitted as the final documentation during the past ten austral seasons and only one PERM has been submitted during this time-frame. No CEEs or PERMs are anticipated during the effective period for this ICR renewal.
- There were no emergencies requiring emergency reporting during the ten austral summer seasons the Rule has been in effect, and none are expected to occur during the effective period for this ICR renewal.
- Other than receipt of the annual list of IEEs, there is no way to anticipate receipt of environmental documents from the Parties on an annual basis or during the effective period for this ICR renewal. There is no burden to the respondents associated with receipt of documents from the Parties. Therefore, there are no burden estimates associated with coordinating review of information received from other Parties included in the burden summary.
- The Consumer Price Index (CPI) is estimated to be 3.5% for the subsequent years and is incorporated into the cost calculations for these years.

Based on the above assumptions, Chart 3 in Exhibit 3 summarizes the estimated hours and costs for the respondents and the Federal government for the 3-year period of this ICR renewal. This summary assumes 23 operators per year with 5 new operators and 18 repeat operators each year. For the 18 repeat operators, the assumptions are that two will prepare "Revised" IEEs and 16 will prepare "Multi-Year" IEEs.

As summarized in Chart 3, for the estimated 23 operators submitting environmental documentation under the Final Rule during this ICR renewal period, the annual total hours for the 23 operators is estimated to be 1,663 hours, and the annual total hourly burden per operator is estimated to be 72 hours. These annual totals reflect submission of different levels of documentation by the 23 operators. The estimated annual average time per respondent ranges from 38 to 185 hours depending on the level of environmental documentation and the paperwork reduction provisions employed by the respondent.

As summarized in Chart 3, for the estimated 23 operators submitting environmental documentation under the Final Rule during this ICR renewal period, the annual total cost for the 23 operators is estimated to be \$133,916, and the annual total cost burden per operator is estimated to be \$5,822. These annual totals reflect submission of different levels of documentation by the 23 operators. The estimated annual average per respondent ranges from \$3,113 to \$14,678 depending on the level of environmental documentation and the paperwork reduction provisions employed by the respondent.

As summarized in Chart 3, for the estimated 23 operators submitting environmental documentation under the Final Rule during this ICR renewal period, the annual total hours and cost for the Federal government is estimated as 1056 hours and \$75,259. The annual total hours and cost per operator for the Federal government is estimated as 46 hours and \$3,272. These annual totals reflect submission of different levels of documentation by the 23 operators. The estimated annual average hours and cost per respondent ranges from 29 hours and \$2,084 to 96 hours and \$6,757 depending on the level of environmental documentation and the paperwork reduction provisions employed by the respondent.

6(e) REASONS FOR CHANGE IN BURDEN

The current inventory approved by the Office of Management and Budget (OMB) for the annual reporting and recordkeeping hourly burden is 1,548 hours. The total 3-year estimated hourly burden of 4,989 hours for the anticipated 23 operators represents an annual reporting and recordkeeping hourly burden of 1,663 hours, or 72 hours per operator for this 3-year renewal period. This increased adjustment to the annual reporting and recordkeeping hourly burden is 115 hours. This increased adjustment is the result of an increase in the number of respondents anticipated during the 3-year renewal period and the level of environmental documentation EPA anticipates the operators will submit.

6(f) BURDEN STATEMENT

Burden Statement: The annual public reporting and recordkeeping burden for this collection of information is estimated to average 1,663 hours annually, or 72 hours per response. This hourly burden reflects annual submission of different levels of environmental documentation by an anticipated 23 respondents (e.g., U.S.-based nongovernmental operators). Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for EPA's regulations are listed in 40 CFR part 9 and 48 CFR chapter 15.

To comment on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including the use of automated collection techniques, EPA has established a public docket for this ICR under [EPA-HQ-OECA-2007-0468], which is available for online viewing at www.regulations.gov, or in person viewing at the Enforcement and Compliance Docket and Information Center in the EPA Docket Center (EPA/DC), EPA West, Room 3334, 1301 Constitution Ave., NW, Washington, DC. The EPA Docket Center Public Reading Room is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays. The telephone number for the Reading Room is (202) 566-1744, and the telephone number for the Enforcement and Compliance Docket and Information Center is (202) 564-1752. An electronic version of the public docket is available at www.regulations.gov. This site can be used to submit or view public comments, access the index listing of the contents of the public docket, and to access those documents in the public docket that are available electronically. When in the system, select "search," then key in the docket ID number identified above, otherwise based on a statistical survey.

Exhibit 1A: PERMs - ESTIMATED RESPONDENT HOURS AND COST

Respondent	Respondent Rate Range		No. of	Totals for
	Capitol/ Respondent	O & M Rate Range		
ICR Activity: PERMs		Hrs/Yr	\$65/hour	
		\$75/hour	\$100/hour	
			Startup Cost	
			Cost	
		Respondents	\$65/hour	

on the GS scale for the Washington, DC, area with a 25% increase to incorporate overhead and fringe benefits.

³²For purposes of demonstrating the hourly burden for an operator submitting a “Multi-Year” IEE, EPA assumed sixteen operators will submit eight multi-year IEEs during the time covered by this ICR renewal. It is possible that two of the operators listed under the “Revised” IEE model may submit “multi-year” rather than “revised” IEEs. However, since the intent of these operators is unknown, EPA assumed these two operators would submit “revised” IEEs, an assumption that provides the maximum hours and cost estimates for the three year period of this ICR renewal since the hours and costs per operator are more for a “Revised” IEE than for a “Multi-Year” IEE.

³³See Final Rule at Section 8.10. Emergency reporting would be required for emergency activities which would have otherwise required the preparation of a CEE. The estimate is based on reporting requirements only, not the actual cost of the emergency response action. The hours and cost estimate assumes one such emergency per 10 years. (See: Respondent Assumption 6.)

³⁴Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

³⁵Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

³⁶Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

³⁷Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

³⁸Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

³⁹For an IEE that covers multiple operators, the cost per review per operator is further reduced; specific examples are listed as a footnote for each model calculation.

⁴⁰If, for example, the “Core” IEEs cover six operators (e.g., four of the IEEs cover one operator each and one of the IEEs covers 2 operators), the cost per operator is reduced from 96 hours to 80 hours.

⁴¹If a new IEE is submitted by another U.S.-based operator, the hourly burden estimate for this IEE is the same as for an initially prepared “core” IEE.

⁴²If, for example, the “Revised” IEEs cover four operators (e.g., two of the IEEs cover one operator each and one of the IEEs covers 2 operators), the cost per operator is reduced from 56 hours to 42 hours per review per operator.

⁴³For purposes of demonstrating the hourly burden for an operator submitting a “Multi-Year” IEE, EPA assumed sixteen operators would submit eight multi-year IEEs during the time covered by this ICR renewal. It is possible that the two operators listed under the “Revised” IEE model may submit “multi-year” rather than “revised” IEEs. However, since the intent of these operators is unknown, EPA assumed these two operators would submit “revised” IEEs, an assumption that provides the maximum hours and cost estimates for the three year period of this ICR renewal since the hours and costs per operator are more for a “Revised” IEE than for a “Multi-Year” IEE.

⁴⁴Because the eight “Multi-Year” IEEs cover sixteen operators (e.g., one IEE covers one operator and the other covers two operators), the hours per operator is reduced from 24 hours to 20 hours (e.g., the hours for review of the annual supplemental information and A/V information) as the initial review cost of the “Revised” IEE is spread among the operators.

⁴⁵Exhibit 2E summarizes the Federal government hours and cost for coordinating review of information received from other Parties and is not further summarized since it is not possible to predict what may be received from another Party in any given year, and there is no associated respondent hours or costs.

⁴⁶Three years are used in these calculations because that is the period of time the ICR is in effect before it must be renewed.

												\$75/hour \$100/hour
<u>Environmental Documentation</u> 1. Study the regulations 2. Search reference sources for existing information and compile information from company records 3. Prepare PERM and submit 4. Revise PERM in response to EPA's comments and submit <u>Post-Expedition Assessment & Verification</u> 1. Prepare A/V information and submit - NOT REQUIRED FOR PERMs	40	\$ 2,600	\$ 3,000	\$ 4,000	<u>Env. Doc.</u> None	<u>Env. Doc.</u> Copying \$ 25 Mailing 54 <hr/> \$ 79	1	\$ 2,679	\$ 3,079	\$ 4,079		
					<u>Post-Exp. A/V</u> None	<u>Post-Exp. A/V</u> Copying \$ 0 Mailing 0 <hr/> \$ 0 \$ 79						

Totals for Respondent Rate Range

Hours

\$65/hour
\$75/hour
\$100/hour

YEAR ONE

40

\$ 2,679
\$ 3,079
\$ 4,079

YEAR TWO (3.5% estimated CPI escalation rate)

40

			2,773
		3,187	
		4,222	
YEAR THREE (3.5% estimated CPI escalation rate)			40
		2,870	
		3,298	
		4,370	
TOTAL ESTIMATED POTENTIAL HOURS and COST:			120
		\$ 8,322	
		\$ 9,564	
		\$12,671	
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR:	40		
		\$ 2,774	
		\$ 3,188	
		\$ 4,224	

Assumptions:

1. Exhibit 1A represents the estimated hours and cost for PERMs. In fact, during the ten austral summer seasons the Rule has been in effect, only one PERM was submitted as the final documentation for an expedition. For purposes of estimating the potential maximum hours and cost associated with PERMs over the three-year life of the ICR, the three-year projection assumes submission of one PERM per year for each of the next three years. Although one respondent per year is estimated for purposes of the burden calculations, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with less than minor or transitory impacts may well be reduced to less than one respondent per year.
2. Estimates for preparation of a PERM are based on estimated time that would be needed to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.6, preliminary environmental review.
3. The cost estimates are based on industry labor rates obtained during informal consultations with industry representatives and include overhead and fringe benefits. The three rates used in the calculations represent the rates provided by the industry representatives. The \$75/hour intermediate rate is used for summary purposes. See Part D for additional information on the consultations with affected respondents.
4. Hours and cost associated with preparation of higher level EIA documentation, if necessary, is addressed in Exhibits 1B (IEEs) and 1C (CEEs).

Exhibit 1B: IEEs - ESTIMATED RESPONDENT HOURS AND COST

ICR Activity: IEEs	Respondent	Respondent Rate Range			Totals for				
		Capitol/ Respondent Rate Range	O & M	No. of Hrs/Yr		Cost			
				\$65/hour					
				\$75/hour					
				\$100/hour					
				Startup Cost	Cost				
				Respondents	\$65/hour				
				\$75/hour					
				\$100/hour					
<p><u>MODEL 1: "Core" IEE</u></p> <p><u>Environmental Documentation</u> 1. Study the regulations 2. Search reference sources for existing information and compile information from company records 3. Prepare Core IEE and submit 4. Revise in response to EPA's comments and submit</p> <p><u>Supplemental Information</u> 1. Prepare and submit supplemental information</p> <p><u>Post-Expedition Assessment & Verification</u> 1. Prepare A/V information and submit</p>	185	\$ 12,025	\$ 13,875	\$ 18,500	<p><u>Env.Doc.</u> None</p> <p><u>Env.Doc.</u> Copying \$ 200 Mailing 54 ----- 254</p> <p><u>Supp.Info.</u> None</p> <p><u>Supp.Info.</u> Copying \$ 5 Mailing 12 ----- 17</p> <p><u>Post-Exp. A/V</u> None</p> <p><u>Post-Exp. A/V</u> Copying \$ 13 Mailing 17 ----- 30</p> <p>301</p>	See Table 1	\$ 12,326	\$ 14,176	\$ 18,801

Assumptions for IEEs:

1. IEEs would need to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.7, initial environmental evaluation.
2. A "Core" IEE and associated supplemental information comprises the IEE package for the initial preparation of an IEE by an operator.
3. A "Revised" IEE and associated supplemental information comprises the IEE package for a current year's submission developed through revision of a previous year's submission.
4. A Multi-Year IEE consists of a Revised IEE and the associated supplemental information in the initial year and, for each of the subsequent four years, an annual submission of the advance notice and confirmation that the information provided in the Multi-Year IEE is unchanged.
5. Supplemental information for purposes of the costs estimated in Exhibit 1B and Table 1 refers to supplemental information submitted regarding the specifics of the tours/expedition (e.g., dates, number of tours, etc.) rather than supplemental information of a more technical nature that is incorporated into the "Core" or "Revised" IEE by reference.
6. The cost estimates are based on industry labor rates obtained during informal consultations with industry representatives and include overhead and fringe benefits. The three rates used in the calculations represent the rates provided by the industry representatives. The \$75/hour intermediate rate is used for summary purposes. See Part D for additional information on the consultations with affected respondents.

Respondent

ICR Activity: IEEs

Respondent Rate Range
O & M No. of
Rate Range

Capitol/
Totals for Respondent
Hrs/Yr \$65/hour
\$75/hour \$100/hour
Startup Cost Cost
Respondents
\$65/hour \$75/hour \$100/hour

<p><u>MODEL 2: "Revised" IEE</u></p> <p><u>Environmental Documentation</u> 1. Study the regulations 2. Search reference sources for existing information and compile information from company records 3. Prepare Revised IEE and submit 4. Revise in response to EPA's comments and submit</p> <p><u>Supplemental Information</u> 1. Prepare and submit supplemental information</p> <p><u>Post-Expedition Assessment & Verification</u> 1. Prepare A/V information and submit</p>	65	\$ 4,225	\$ 4,875	\$ 6,500	<p><u>Env.Doc.</u> None</p> <p><u>Supp.Info.</u> None</p> <p><u>Post-Exp. A/V</u> None</p>	<p><u>Env.Doc.</u> Copying \$ 200 Mailing 54 ----- \$ 254</p> <p><u>Supp.Info.</u> Copying \$ 5 Mailing 12 ----- \$ 17</p> <p><u>Post-Exp. A/V</u> Copying \$ 13 Mailing 17 ----- \$ 30</p> <p>301 \$</p>	See Table 1	\$ 4,526	\$ 5,176	\$ 6,801
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Respondent

ICR Activity: IEEs

Respondent Rate Range
Capitol/ O & M No. of
Respondent Rate Range

Totals for Respondent
Hrs/Yr \$65/hour
\$75/hour
\$100/hour

								Startup Cost \$100/hour	Cost Respondents \$75/hour	Cost \$65/hour
"Subsequent Years" for Multi-Year IEE under MODEL 3										
<u>Supplemental Information</u> 1. Prepare and submit supplemental information					Supp.Info. None	Supp.Info. Copying \$ 5 Mailing 12 ----- \$				
<u>Post-Expedition Assessment & Verification</u> 1. Prepare A/V information and submit	29	\$ 1,885	\$ 2,175	\$ 2,900	Post-Exp. A/V None	17 Post-Exp. A/V Copying \$ 13 Mailing 17 ----- \$ 30 \$ 47	See Table 1	\$ 1,932	\$ 2,222	\$ 2,947

TABLE 1. IEEs - TOTAL ESTIMATED HOURS AND COST FOR THE THREE IEE MODELS WITH 3.5% ESCALATION RATE

ACore@ IEE for One Operator and One IEE

	<u>Hours</u>	Totals for Respondent Rate Range
YEAR ONE		\$65/hour \$75/hour \$100/hour
		185
		\$ 12,326 \$ 14,176
		\$ 18,801
YEAR TWO (3.5% estimated CPI escalation rate)		185

	12,757	14,672
YEAR THREE (3.5% estimated CPI escalation rate)	19,459	
		185
	13,203	15,186
TOTAL ESTIMATED POTENTIAL HOURS and COST:	20,140	
	555	
		\$ 38,286
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR:	\$ 44,034	\$ 58,400
		185
	\$ 12,762	\$ 14,678
	\$ 19,467	

AREvised@ IEE for One Operator and One IEE

	Totals for Respondent Rate Range	
	<u>Hours</u>	
	<u>\$65/hour</u>	<u>\$75/hour</u>
	<u>\$100/hour</u>	
YEAR ONE		
		65
	\$ 4,526	\$ 5,176
YEAR TWO (3.5% estimated CPI escalation rate)		\$ 6,801
		65
	4,684	5,357
YEAR THREE (3.5% estimated CPI escalation rate)		7,039
		65
	4,848	5,544
TOTAL ESTIMATED POTENTIAL HOURS and COST:		7,285
		195

									\$ 14,058
									\$16,077
									\$ 21,125
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR:									65
									\$ 4,686
									\$ 5,359
									\$ 7,042

"Multi-Year" IEE for One Operator and One IEE - A Multi-Year IEE consists of a Revised IEE and, for each of the subsequent four years, an annual submission of the advance notice and confirmation that the information provided in the Multi-Year IEE is unchanged. See above for the hours and cost per operator for the "Revised" IEE for the initial year. The hours and cost per operator for the subsequent years follows for which hours and cost are calculated for "Subsequent Year Multi-Year" IEE submissions.

Average Estimated Hours and Cost for One Operator Initiating and Continuing with a Multi-Year IEE During This ICR Renewal Period

"Revised" IEE based on \$75/hour rate and average cost									65		\$ 5,359
"Subsequent Year Multi-Year" IEE based on \$75/hour rate and average cost for two subsequent years									29hrs x 2 =	58	\$2,301 x
									2 =		\$ 4,602
TOTAL ESTIMATED POTENTIAL HOURS and COST: (over 3-year life of this ICR Renewal)										115	\$ 9,339
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR: (over 3-year life of this ICR Renewal)										38	\$ 3,113

Exhibit 1C: CEEs - ESTIMATED RESPONDENT HOURS AND COST

ICR Activity: CEEs	Respondent	Respondent Rate Range	Capitol/ O & M	No. of	Totals for
		Respondent Rate Range		Hrs/Yr	\$65/hour
				\$75/hour	
				\$100/hour	
		Startup Cost	Cost	Respondents	\$65/hour
			\$75/hour		
			\$100/hour		

<u>Environmental Documentation</u> 1. Study the regulations 2. Search reference sources for existing information and compile information from company records 3. Prepare CEE and submit 4. Revise in response to EPA's comments and submit <u>Post-Expedition Assessment & Verification</u> 1. Prepare A/V information and submit					<u>Env. Doc.</u> None	<u>Env. Doc.</u> Copying \$ 300 Mailing 64 <hr/> \$ 364				
					<u>Post-Exp. A/V</u> None	<u>Post-Exp. A/V</u> Copying \$ 25 Mailing 17 <hr/> \$ 42				
	300	\$ 19,500	\$ 22,500	\$ 30,000		\$ 406	1	\$ 19,906	\$ 22,906	\$ 30,406

Totals for Respondent Rate Range

Hours

\$65/hour
\$75/hour
\$100/hour

YEAR ONE

300

\$ 19,906 \$ 22,906
 \$ 30,406

YEAR TWO (3.5% estimated CPI escalation rate)

300

	20,603	23,708
	31,470	
YEAR THREE (3.5% estimated CPI escalation rate)		300
	21,324	24,538
	32,571	
TOTAL ESTIMATED POTENTIAL HOURS and COST:	900	\$ 61,833
	71,152	94,447
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR:		300
	\$ 20,611	23,717
	31,482	

Assumptions:

1. Exhibit 1C represents the estimated hours and cost for CEEs. In fact, no CEEs were submitted during the ten austral summer seasons the Rule has been in effect. For purposes of estimating the potential maximum hours and cost associated with CEEs over the three-year life of the ICR, the three-year projection assumes submission of one CEE per year for each of the next three years. Although one respondent per year is estimated for purposes of the cost calculations, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with less than minor or transitory impacts may well be reduced to less than one respondent per year.
2. Estimates for preparation of a CEE are based on estimated time that would be needed to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.8, comprehensive environmental evaluation.
3. The cost estimates are based on industry labor rates obtained during informal consultations with industry representatives and include overhead and fringe benefits. The three rates used in the calculations represent the rates provided by the industry representatives. The \$75/hour intermediate rate is used for summary purposes. See Part D for additional information on the consultations with affected respondents.

1D. REPORTING FOR EMERGENCIES - ESTIMATED RESPONDENT HOURS AND COST

ICR Activity: CEEs	Respondent	Respondent Rate Range			No. of Respondents	Hrs/Yr	Totals for
		Capitol/ Respondent Rate Range	O & M	Startup Cost			
					\$65/hour		
					\$75/hour		
					\$100/hour		
					\$65/hour		
					\$75/hour		
					\$100/hour		

Reporting for Cases of Emergency					Reporting	Reporting				
1. Initial Report					None	Copying \$				
2. Full Report						150				
						Mailing				
						32				
							\$			
<u>Post-Emergency Assessment & Verification</u>					<u>Post A/V</u>					
1. Prepare A/V information and submit					None	182				
						<u>Post A/V</u>				
						Copying \$				
	300	\$ 19,500	\$ 22,500	\$ 30,000		25		1	\$ 19,724	\$ 22,724
						Mailing				\$ 30,224
						17				
							\$			
						42				
							\$			
						224				

There were no emergencies that required reporting during the seven austral summer seasons the Rule has been in effect. An incident requiring emergency reporting could occur in the subsequent years. The following cost estimates are not additive, however, since only one such emergency in 10 years is estimated.

Totals for Respondent Rate Range

Hours

\$65/hour
\$75/hour
\$100/hour

YEAR ONE

			300	
		\$ 19,724	\$ 22,724	
YEAR TWO (3.5% estimated CPI escalation rate)		\$ 30,224		
			300	
		20,414	23,519	
YEAR THREE (3.5% estimated CPI escalation rate)		31,282		
			300	
		21,128	24,342	
		32,377		

Assumptions:

1. Reporting for Cases of Emergency is based on the Final Rule at Section 8.10, Cases of emergency, which requires notice and reporting for activities taken in cases of emergency which would have otherwise required the preparation of a CEE. The estimate is based on reporting requirements only, not the actual cost of the emergency response action. The hours and cost estimate assumes one such emergency per 10 years.
2. Only one incident requiring emergency reporting is estimated to occur over a 10-year period. In fact, there was no emergency reporting during the ten austral summer seasons the Rule has been in effect.
3. The cost estimates are based on industry labor rates obtained during informal consultations with industry representatives and include overhead and fringe benefits. The three rates used in the calculations represent the rates provided by the industry representatives. The \$75/hour intermediate rate is used for summary purposes. See Part D for additional information on the consultations with affected respondents.

Exhibit 2A: PERMs - ESTIMATED FEDERAL GOVERNMENT HOURS AND COST

ICR Activity: PERM	Federal Gov't.	Federal Gov't. hours/year	Capitol/ \$65/hour	O & M Startup Cost	No. of Cost	Total Respondents	Cost/Year
<u>PERMs from U.S.-Based Operators:</u> 1. Post PERM receipt on WWW, provide copies to interested Federal agencies and public, if requested 2. Review PERM and any public comments, provide comments to and consult with operator 3. Provide copies of revised/final PERM to interested Federal agencies, review, and notify operator, if necessary 4. Maintain file <u>Post-Expedition Assessment & Verification</u> 1. Review A/V information - NOT REQUIRED FOR PERMs	12	\$ 780	<u>PERM</u> None <u>Post-Exp A/V</u> None	<u>PERM</u> Copying \$ 30 FR Pub. 0 Store Files 10 <hr style="width: 50%; margin-left: 0;"/> \$ 40 <u>Post-Exp A/V</u> None \$ 40	1	\$ 820	

	<u>Hours</u>	<u>Cost</u>
YEAR ONE	12	\$ 820
YEAR TWO (3.5% estimated CPI escalation rate on \$794)	12	849
YEAR THREE (3.5% estimated CPI escalation rate on \$822)	12	879
TOTAL ESTIMATED POTENTIAL BURDEN and COST:	36	\$ 2,548
AVERAGE EST. BURDEN and COST PER YEAR PER OPERATOR:	12	\$ 849

Assumptions:

1. Exhibit 2A represents the estimated hours and cost for PERMs. In fact, during the ten austral summer seasons the Rule has been in effect, only one PERM was submitted as the final documentation for an expedition. For purposes of estimating the potential maximum hours and cost associated with PERMs over the three-year life of the ICR, the three-year projection assumes submission of one PERM per year for each of the next three years. Although one respondent per year is estimated for purposes of the cost calculations, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with less than minor or transitory impacts may well be reduced to less than one respondent per year.
2. Estimates for review of a PERM is estimated as 25% of the respondent's time, or 10 hours, to prepare a PERM that would be in compliance with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.6, preliminary environmental review, and two hours for administrative activities.
3. Hours and cost associated with preparation of higher level EIA documentation, if necessary, is addressed in Exhibits 2B (IEEs) and 2C (CEEs).

4. Based on EPA's experience for the ten austral summer seasons the Rule has been in effect, EPA estimates that the administrative costs have been no more than about 2% of the total estimated costs for the Federal government. Because this percentage is so low, the Federal government costs in Exhibit 2A through 2E are all calculated at the \$65/hour rate for technical activities.

Exhibit 2B: IEEs - ESTIMATED FEDERAL GOVERNMENT HOURS AND COST

ICR Activity: IEEs	Total	Federal Gov't. hours/year	Federal Gov't. Respondents	Federal Gov't. Cost/Year	Capitol/ O & M Startup Cost	No. of Cost
<u>Environmental Documentation</u> MODEL 1: "Core" IEE 1. Post IEE receipt on WWW, provide copies to interested Federal agencies and public, if requested 2. Review IEE and any public comments, provide comments to and consult with operator 3. Provide copies of revised/final IEE to interested Federal agencies, review , and notify operator, if necessary 4. Maintain file <u>Supplemental Information</u> 1. Review supplemental information <u>Post-Expedition Assessment & Verification</u> 1. Review A/V information -	<u>Core IEE</u> 80 1 15 96	\$ 5,200 \$ 65 \$ 975 \$ 6,240	<u>Core IEE</u> None <u>Supp. Info.</u> None <u>Post-Exp A/V</u> None	<u>Core IEE</u> Copying \$ 261 Store Files 10* _____ \$ 271 *File storage includes Supp. and A/V Information <u>Supp. Info.</u> <u>Supp. Info.</u> Included above <u>Post-Exp A/V</u> Copying \$ 15 File Storage * _____ \$ 15 *Included above \$ 286	See Table 2	\$ 6,526

ICR Activity: IEEs

Federal Gov't.

Federal Gov't.

Capitol/
hours/year
Respondents

O & M
\$65/hour
Cost/Year

No. of

Total
Startup Cost

Cost

Environmental Documentation MODEL 2: "Revised" IEE	Revised IEE		Revised IEE	Revised IEE		
1. Post IEE receipt on WWW, provide copies to interested Federal agencies and public, if requested 2. Review IEE and any public comments, provide comments to and consult with operator 3. Provide copies of revised/final IEE to interested Federal agencies, review, and notify operator, if necessary 4. Maintain file <u>Supplemental Information</u> 1. Review supplemental information <u>Post-Expedition Assessment & Verification</u> 1. Review A/V information -	40	\$ 2,600	None	Copying \$ 261 Store Files 10* <hr/> \$ 271 *File storage includes Supp. and A/V Information		
	1	\$ 65	<u>Supp. Info.</u>	None		
	15	\$ 975	<u>Post-Exp A/V</u>	None		
	56	\$ 3,640	None	<u>Post-Exp A/V</u> Copying \$ 15 File Storage * <hr/> \$ 15 *Included above \$ 286	See Table 2	\$ 3,926

ICR Activity: IEEs	Federal Gov't.	Federal Gov't. hours/year	Capitol/ \$65/hour	O & M	No. of Startup Cost	Total Cost	Respondents
<u>Environmental Documentation</u> <u>MODEL 3: "Multi-Year" IEE</u> <u>Year 1: "Revised" IEE</u>	40	\$ 2,600	None	<u>Year 1</u> Copying \$ 261 Store Files 10* <hr/> \$ 271 *File storage includes Supp. and A/V Information			
	<u>Years 2 and 3: "Subsequent Years Multi-Year" IEE</u> 1. Review supplemental information 2. Review A/V information -	1 15	<u>Years 2 and 3</u> \$ 65 \$ 975 <hr/> \$ 1,040	None	<u>Years 2 and 3</u> Copying \$ 15 File Storage * <hr/> \$ 15	See Table 2	See Table 2

Assumptions:

- IEEs would need to comply with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.7, initial environmental evaluation.
- A "Core" IEE and associated supplemental information comprises the IEE package for the initial submittal of an IEE by an operator.
- A "Revised" IEE and associated supplemental information comprises the IEE package for a current year's submittal developed through revision of a previous year's submittal.
- A Multi-Year IEE consists of a Revised IEE and the associated supplemental information in the initial year and, for each of the subsequent four years, an annual submission of the advance notice and confirmation that the information provided in the Multi-Year IEE is unchanged.
- Supplemental information for purposes of the costs estimated in Exhibit 2B and Table 2 refers to supplemental information submitted regarding the specifics of the tours/expedition (e.g., dates, number of tours, etc.) rather than supplemental information of a more technical nature that is incorporated into the "Core" or "Revised" IEE by reference. The one hour for review of the supplemental information is assigned to EPA to simplify the model and calculations.

TABLE 2. IEEs - TOTAL ESTIMATED HOURS AND COST FOR THE THREE IEE MODELS, 3.5% ESCALATION RATE

ACore@ IEE for One Operator and One IEE - (Core IEE + Supplemental Information + A/V Information)

	<u>HOURS</u>	<u>COST</u>	
YEAR ONE			96
YEAR TWO (3.5% estimated CPI escalation rate)		\$ 6,526	
YEAR THREE (3.5% estimated CPA escalation rate)	96	96	6,754
TOTAL ESTIMATED POTENTIAL HOURS and COST:	288		\$ 20,270
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR	96		\$ 6,757

ARevised@ IEE for One Operator and One IEE - (Revised IEE + Supplemental Information + A/V Information)

	<u>HOURS</u>	<u>COST</u>	
YEAR ONE			56
YEAR TWO (3.5% estimated CPI escalation rate)		\$ 3,926	
YEAR THREE (3.5% estimated CPA escalation rate)	56	56	4,063
TOTAL ESTIMATED POTENTIAL HOURS and COST:	168		\$ 12,194
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR	56		\$ 4,065

"Multi-Year" IEE for One Operator and One IEE - A "Multi-Year" IEE consists of a "Revised" IEE and, for each of the subsequent four years, an annual submission of the advance notice and confirmation that the information provided in the Multi-Year IEE is unchanged. See above for the hours and cost per operator for the "Revised" IEE for the initial year. The hours and cost per operator for the subsequent years follows for which hours and cost are calculated for "Subsequent Year Multi-Year" IEE submissions.

Average Estimated Hours and Cost for One Operator Initiating and Continuing with a Multi-Year IEE During This ICR Renewal Period

ARevised@ IEE for One Operator and One IEE

	<u>HOURS</u>	<u>COST</u>	
"Revised" IEE			56
"Subsequent Year Multi-Year" IEE - cost for 2 years		\$ 4,065	
TOTAL ESTIMATED POTENTIAL HOURS AND COST:	16 hrs x 2 =	32	\$1,093 x 2 = 2,186
(over 3-year life of this ICR Renewal)	88		\$ 6,251
AVERAGE EST. HOURS and COST PER YEAR PER OPERATOR:	29		\$ 2,084
(over 3-year life of this ICR Renewal)			

Exhibit 2C: CEEs - ESTIMATED FEDERAL GOVERNMENT HOURS AND COST

ICR Activity: CEE	Federal Gov't.		Federal Gov't. Respondents		Capitol/ hours/year Cost/Year	O & M \$65/hour	No. of	Startup Cost	Total Cost
	<u>CEEs from U.S.-Based Operators:</u> 1. Post CEE receipt on WWW, provide copies to interested Federal agencies and public, if requested 2. Prepare/publish FR notices for receipt of draft CEE and NOA for final CEE; copy and transmit final CEE to Parties 3. Review draft CEE and any public comments, provide comments to and consult with operator 4. Provide copies of revised/final CEE to interested Federal agencies and public, if requested, and to Parties, review, and notify operator, if necessary 5. Maintain file <u>Post-Expedition Assessment & Verification</u> 1. Review A/V information -	<u>CEE</u> 135 <u>Post-Exp A/V</u> 30 165	<u>CEE</u> \$ 8,775 <u>Post-Exp A/V</u> \$ 1,950 \$ 10,725	<u>CEE</u> None <u>Post-Exp A/V</u> None	<u>CEE</u> Copying \$1710 FR Pub. 326 Store Files 10* \$2046* *Includes CEE and A/V Information <u>Post-Exp A/V</u> Copying \$ 30 FR Pub. 0 Store Files * \$ 30 * Included above \$2,076				

YEAR ONE	165	\$12,801
YEAR TWO (3.5% estimated CPI escalation rate on \$12,590)	165	\$13,249
YEAR THREE (35% estimated CPI escalation rate on \$13,031)	165	\$13,713
TOTAL ESTIMATED POTENTIAL BURDEN and COST:	495	\$39,763
AVERAGE EST. BURDEN and COST PER YEAR PER OPERATOR:	165	\$13,254

Assumptions:

- Exhibit 2C represents the estimated hours and cost for CEEs. In fact, no CEEs were submitted during the ten austral summer seasons the Rule has been in effect. For purposes of estimating the potential maximum hours and cost associated with CEEs over the three-year life of the ICR, the three-year projection assumes submittal of one CEE per year for each of the next three years. Although one respondent per year is estimated for purposes of the cost calculations, EPA anticipates that the actual number of nongovernmental expeditions with activities that will likely proceed with less than minor or transitory impacts may well be reduced to less than one respondent per year.
- Estimates for review of a CEE is estimated as 50% of the respondent's time, or 120 hours, to prepare a CEE that would be in compliance with the Final Rule at Section 8.4, preparation of environmental documents, generally, and Section 8.8, comprehensive environmental evaluation, with an additional 15 hours for administrative activities, and 50% of respondent's time for assessment and verification procedures for review of the information.
- EPA would publish Federal Register notices for domestic CEEs, and the Department of State would publish the Federal Register notice and circulate copies of CEEs to all Parties and others that may request copies.

Exhibit 2D: Reporting for Emergencies - Estimated Federal Government Hours and Cost

ICR Activity: CEE	Federal Gov't.			Federal Gov't.	Capitol/ hours/year	O & M \$65/hour	No. of Respondents	Total Startup Cost	Cost
					Cost/Year				
<u>Reporting for Cases of Emergency</u> 1. Notify Parties 2. Provide initial and full report to interested Federal agencies and review 3. Provide full report to Parties 4. Review A/V information 5. Maintain files	165	\$ 10,725	None	Copying	1	\$	TOTAL	165	\$12,410
				\$1740		\$10,660			
				FR Pub.		1,750			
				0					
				Store Files					
				10					

				\$1750					

YEAR ONE	165	\$12,475
YEAR TWO (3.5% estimated CPI escalation rate of \$12,410)	165	12,912
YEAR THREE (3.5% estimated CPI escalation rate for \$12,845)	165	13,364

Assumptions:

1. Reporting for Cases of Emergency is based on the Final Rule at Section 8.10, Cases of emergency, which would require notice and reporting for activities taken in cases of emergency which would have otherwise required the preparation of a CEE. The estimate is based on reporting requirements only, not the actual cost of the emergency response action. The hours and cost estimate assumes one such emergency per 10 years.
2. Only one incident requiring emergency reporting is estimated to occur over a 10-year period. In fact, there was no emergency reporting during the seven austral summer seasons the Rule has been in effect. An incident requiring emergency reporting could occur in the subsequent years. The cost estimates for reporting for cases of emergency are not additive because only one such emergency in 10 years is estimated.
3. Estimates for review of an Emergency Report is estimated as 50% of the respondent's time to prepare the Emergency Report that would be in compliance with the Final Rule at Section 8.10, or 120 hours, and 50% of respondent's time for assessment and verification procedures for review of the information, or 30 hours, with an additional 15 hours for administrative activities.
3. The Department of State is responsible for notification of Parties and follow-up coordination with the Parties; hours have been allocated to the DOS accordingly.

Exhibit 2E: Coordinating Review of Information Received from Other Parties - Estimated Federal Government Hours and Cost

ICR Activity: Other Party Docs.	Federal Gov't.	Federal Gov't.	Federal Gov't.	Capitol/ hours/year Respondents	O & M \$65/hour Cost/Year	No. of	Total Startup Cost	Cost
<u>Coordinate Review of Information Received from Other Parties</u> 1. Prepare and publish FR notice of receipt of draft CEE, provide copies to interested Federal agencies and public, if requested 2. Review draft CEE and provide inter-agency response to Party 3. Provide copies of other documents (including final CEEs, annual list of IEEs, national procedures, significant monitoring information) to interested Federal agencies and public, if requested 4. Post receipt of significant monitoring information on WWW and provide copies to interested Federal agencies and public, if requested 5. Maintain files	110	\$7,150	None	Copying \$ * FR Pub 326 Store Files 10 <hr/> \$ 336 * Copying per document: Draft CEE \$360 Final CEE 180 Other doc. 50 IEE list 10	See: Assum. 2, below	See: Assum. 2, below		

Assumptions:

1. The Department of State would be responsible for compliance with the Final Rule at Section 8.12, Coordination of reviews from other Parties.
2. The calculations in Exhibit 2E are based on receipt of a CEE from another Party. One Draft CEE was received from other Parties during the ten austral summer seasons the Rule has been in effect other than the annual list of IEEs. There is no way to anticipate receipt of environmental documents from the Parties, other than the annual list of IEEs, on an annual basis. There is no burden or cost to the respondents associated with receipt of documents from the Parties, therefore, the costs are not further defined.

Exhibit 3: SUMMARY - ESTIMATED RESPONDENT/FEDERAL GOVERNMENT HOURS AND COST

CHART 1: Summary for Respondents and Federal Government - Estimated Total and Annual Average hours and cost for each type of environmental document that is submitted by a Respondent under the Final Rule

	PERM	Core IEE	Revised IEE	Subsequent Year Multi-Year IEE	CEE	Emergency Reporting
<u>Respondent</u>						
Year 1	40 \$ 3,079	185 \$14,176	65 \$ 5,176	25 \$ 1,922	300 \$ 22,906	300 \$22,724
Year 2	40 \$ 3,187	185 \$14,672	65 \$ 5,357	25 1,989	300 \$ 23,708	300 \$23,519
Year 3	40 \$ 3,298	185 \$15,186	65 \$ 5,544	25 2,059	300 \$ 24,538	300 \$24,342
TOTAL	120 \$ 9,564	555 \$44,034	195 \$16,077	75 \$ 5,970	900 \$ 71,152	
Annual Average	40 \$ 3,188	185 \$14,678	65 \$ 5,359	25 \$ 1,990	300 \$ 23,717	
<u>Federal Government</u>						
Year 1	12 \$ 820	96 \$ 6,526	56 \$ 3,926	16 \$ 1,055	165 \$ 12,801	165 \$12,475
Year 2	12 \$ 849	96 \$ 6,754	56 \$ 4,063	16 \$ 1,092	165 \$ 13,249	165 \$12,912
Year 3	12 \$ 879	96 \$ 6,990	56 \$ 4,205	16 \$ 1,131	165 \$ 13,713	165 \$13,364
TOTAL	36 \$ 2,548	288 \$20,270	168 \$12,194	48 \$ 3,278	495 \$ 39,763	
Annual Average	12 \$ 849	96 \$ 6,757	56 \$ 4,065	16 \$ 1,093	165 \$ 13,254	
TOTAL Annual Average	156 \$12,112 52 \$ 4,037	843 \$64,304 281 \$21,435	363 \$28,271 121 \$ 9,424	123 \$ 9,248 41 \$ 3,083	1395 \$110, 915 465 \$ 36,971	

CHART 2: Summary for Respondents and Federal Government - Estimated total hours and costs for Multi-Year IEE as the anticipated level and type of environmental document most respondents submit under the Final Rule for the 3-year ICR renewal (Year 1 = "Revised" IEE, Years 2 and 3 = "Subsequent Year Multi-Year" IEE)

Multi-Year IEE	Total Hours		Total Cost	
	3-Year Total	Annual 3-Yr Average	3-Year Total	Annual 3-Yr Average
Respondent (for one operator)	115 hours	38 hrs per op per yr	\$ 9,339	\$ 3,113 per operator per year
Federal Government (for one op.)	88 hours	29 hrs per op per year	\$ 6,251	\$ 2,084 per op per year
TOTALS - For one operator	203 hours	67 hrs per op per yr	\$ 15,590	\$ 5,197 per op per year

NOTES: Annual Average is the average per respondent per year. Chart 1 presents the maximum hours and cost for a respondent. Chart 2 presents the maximum hours and cost based on the anticipated level and type of environmental document a respondent would likely submit under the Final Rule. The \$75/hour intermediate rate is used for summary purposes. The hours and cost estimates for Emergency Reporting assume one such emergency per 10 years.

CHART 3: Summary for Respondents and Federal Government - Estimated hours and costs for environmental documentation for 3-year period of this ICR renewal. Summary assumes 23 operators per year with 5 new operators and 18 repeat operators each year. For the 18 repeat operators, the assumptions are that 2 will prepare "Revised" IEEs and 16 will prepare "Multi-Year" IEEs. For Chart 3, the calculations use the "Annual Average" from Chart 1 for "Core," "Revised," and "Subsequent Year, Multi-Year" IEEs and the hours and cost in Chart 2 for the "Multi-Year" IEE.

Operators: 23 operators each year for the 3-year ICR renewal period	Respondent Burden		Federal Government Burden	
	Hours	Cost	Hours	Cost
5 new operators submit "Core" IEEs each year	185 x 5 = 925	\$14,678 x 5 = \$73,390	96 x 5 = 480	\$ 6,757 x 5 = \$33,785
Burden per year				
Total 3-year burden	925 x 3 = 2,775	\$73,390 x 3 = \$220,170	480 x 3 = 1,440	\$33,785 x 3 = \$101,355
2 of 18 repeat operators submit "Revised" IEEs each year	65 x 2 = 130	\$ 5,359 x 2 = \$10,718	56 x 2 = 112	\$ 4,065 x 2 = \$8,130
Burden per year				
Total 3-year burden	130 x 3 = 390	\$10,718 x 3 = \$32,154	112 x 3 = 336	\$8,130 x 3 = \$24,390
16 of 18 repeat operators submit new "Multi-Year" IEEs	38 x 16 = 608	\$ 3,113 x 16 = \$49,808	29 x 16 = 464	\$ 2,084 x 16 = \$33,344
Burden per year				
Total 3-year burden	608 x 3 = 1,824	\$49,808 x 3 = \$149,424	464 x 3 = 1,392	\$33,344 x 3 = \$100,032
ANNUAL TOTAL BURDEN for 23 operators	1,663	\$133,916	1,056	\$ 75,259
ANNUAL TOTAL BURDEN per operator				
TOTAL 3-YEAR BURDEN for 23 operators	72	\$ 5,822	46	\$ 3,272
TOTAL 3-YEAR BURDEN per operator				

EXHIBIT 4: SUMMARY FOR RESPONDENTS AND FEDERAL GOVERNMENT - O&M COSTS

Estimated O&M costs for Respondents and the Federal Government and O&M breakout within the total cost burden.

Operators: 23 operators each year for the 3-year ICR renewal period	Respondent Burden		Federal Government Burden		
	O&M Cost	O&M + Labor = Total Cost	O&M Cost	O&M + Labor = Total Cost	
5 new operators submit "Core" IEEs each year					
Burden per year	\$ 301 x 5 = \$ 1,505	\$1,505 + 71,885 = \$ 73,390	\$ 271 x 5 = \$1,355	\$ 1,355 + 32,430 = \$ 33,785	
Total 3-year burden	\$1,505 x 3 = \$ 4,515	\$4,515 + 215,655 = \$220,170	\$1,355 x 3 = \$4,065	\$ 4,065 + 97,290 = \$101,355	
2 of 18 repeat operators submit "Revised" IEEs each year					
Burden per year	\$ 301 x 2 = \$ 602	\$ 602 + 10,116 = \$ 10,718	\$ 271 x 2 = \$ 542	\$ 542 + 7,588 = \$ 8,130	
Total 3-year burden	\$ 602 x 3 = \$ 1,806	\$1,806 + 30,348 = \$ 32,154	\$ 542 x 3 = \$1,626	\$ 1,626 + 22,764 = \$ 24,390	
16 of 18 repeat operators submit new "Multi-Year" IEEs ⁴⁷					
Burden per year	\$ 132 x 16 = \$ 2,112	\$ 2,112 + 47,696 = \$ 49,808	\$ 111 x 16 = \$ 1776	\$ 1776 + 31,568 = \$ 33,344	
Total 3-year burden	\$ 2,112 x 3 = \$ 6,336	\$6,336 + 143,088 = \$ 149,424	\$ 1776 x 3 = \$5,328	\$ 5,328 + 94,704 = \$100,032	
ANNUAL TOTAL BURDEN for 23 operators	O&M	Labor	O&M	Labor	Total Cst
ANNUAL TOTAL BURDEN per operator			\$3,673 +	71,586 =	\$ 75,259
TOTAL 3-YEAR BURDEN for 23 operators	\$ 4,219 +	129,697 =	\$ 160 +	3,112 =	\$ 3,272
TOTAL 3-YEAR BURDEN per operator			\$11,019 +	214,758 =	\$225,777
			\$ 479 +	9,337 =	\$ 9,816
					\$133,916
	\$ 184 +	5,639 =			\$
					5,823
	\$12,657 +	389,091 =			
					\$401,748
	\$ 550 +	16,917 =			\$
					17,467

⁴⁷New "Multi-Year" IEE includes "Revised" IEE in the first year and "Subsequent Year, Multi-Year" IEE in years 2 and 3. The average cost for the three year period of the ICR renewal is used in the calculations in Exhibit 4.

For the total three years:

Average for the three years:

Respondent	\$301 + (2 x \$47)
=	\$395
Federal	\$271 + (2 x \$31) = \$333
Government	Respondent \$395 ÷ 3
	years = \$132/year
	Federal
	Government \$333 ÷ 3
	years = \$111/year

PART B OF THE SUPPORTING STATEMENT: STATISTICAL SURVEY

This collection of information does not use or is otherwise based on a statistical survey.

PART C OF THE SUPPORTING STATEMENT RESPONSE TO PUBLIC COMMENTS ON THE ICR RENEWAL

The Office of Federal Activities (OFA) published a *Federal Register* Notice seeking public comments on the ICR renewal for the Agency's Final Rule at 40 CFR Part 8, Environmental Impact Assessment of Nongovernmental Activities in Antarctica (40 CFR Part 8).⁵⁰ OFA received one comment online through the EPA Docket ID number HQ-EPA-OECA-2007-0468. No comments were received by mail or telephone. The online comment (Document ID EPA-HQ-OECA-2007-0468-0003), was submitted by B. Sachau. Copies from the EPA Docket of these online comments are attached at the end of Part C. OFA offers the following response to the commentor.

Comment Title: “Impacts from Non Govt Activities in Antarctica”: The commentor believes there are problems caused by tourism in Antarctica that “are greater than the information you are being given.” The commentor states, “cut down the overfishing that is going on there and do not allow drilling for oil.”

Response to Comment: The Environmental Protection Agency (EPA) solicited comments on the proposed continuation of the Information Collection Request (ICR) for its regulations at 40 CFR Part 8 in compliance with the Paperwork Reduction Act (44 U.S.C. 3501 *et seq.*). The EPA solicited comments to:

- (i) Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the Agency, including whether the information will have practical utility;
- (ii) Evaluate the accuracy of the Agency's estimate of the burden of the proposed collection of information, including the validity of the methodology and assumptions used;
- (iii) Enhance the quality, utility, and clarity of the information collected; and
- (iv) Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses.

The commentor did not comment on any of these four items.

The comments offered focus on a lack of sufficient information to address tourism in Antarctica, and activities related to fishing and drilling for oil in Antarctica. Although beyond the scope of this solicitation of comments and requirements to respond, OFA believes the information provided by U.S. operators is sufficient to meet the requirements of EPA’s regulations at 40 CFR Part 8 and Article 8 Annex I of the Protocol on Environmental Protection (Protocol). EPA’s regulations were promulgated pursuant to the Antarctic Science, Tourism, and Conservation Act of 1996 (Act), 16 U.S.C. 2401 *et seq.*, as amended, 16 U.S.C. 2403a, which implements the Protocol to the Antarctic Treaty of 1959 (Treaty). In accordance with the

⁵⁰*Federal Register/* Vol. 69, No. 94/Friday, May 14, 2004/Notices.

requirements of the Protocol, the regulations provide for assessment of the environmental impacts of nongovernmental activities in Antarctica, including tourism, for which the United States is required to give advance notice under Paragraph 5 of Article VII of the Treaty.

Activities related to fishing and drilling for oil are beyond the scope of EPA's authority under the Antarctic Science, Tourism, and Conservation Act of 1996. However, with regard to activities related to drilling for oil, it is important to note that under Article 7 of the Protocol, "any activity related to mineral resources, other than scientific research, shall be prohibited."

Reproduced from EPA Docket ID Number: EPA-HQ-OECA-2007-0468

Document ID: EPA-HQ-OECA-2007-0478-003

General Comment: PUBLIC COMMENT ON FEDERAL REGISTER OF 6/12/07 VOL 72
#112 PG 32292 DOCKET 2007-0468 FRL 8325-6 IMPACTS FROM NON GOVT
ACTIVITIES IN ANTARCTICA

THE PROBLEMS CAUSED BY TOURISM IN ANTARCTICA ARE FAR FAR
GREATER THAN THE INFORMATION YOU ARE BEING GIVEN BY THE
PROFITEERS WHO MAKE MONEY FROM THIS. YOU NEED TO START
CUTTING DOWN THE NUMBERS OF TOURS ALLOWED. CUT THE NUMBERS
IN HALF NOW. ALSO CUT DOWN THE OVERFISHING THAT IS GOING ON
THERE AND DO NOT ALLOW DRILLING FOR OIL.

OUR CHILDREN DESERVE THIS PROTECTION

WE WANT OUR WORLD TO BE PROTECTED, NOT EVISCERATED.B. SACHAU
15 ELM ST
FLORHAM PARK NJ 07932