

## **Supporting Statement for Plan Approval and Records for Load Lines**

### **A. Justification**

#### 1. Circumstances that make the collection of information necessary.

Title 46 U.S.C. sections 5101 through 5116 provide the Coast Guard with the authority to enforce the provisions of the International Convention on Load Lines 1966 (ICLL) on vessels entering U.S. waters and on vessels engaged in coastwise voyages by the sea. These provisions include the prescription of minimum freeboard, the marking of load lines, the issuance of load line certificates, and associated condition surveys. Title 46 CFR Part 42 contains the applicable regulations for both foreign and domestic voyages. Part 44 treats special service load line requirements for steam colliers, barges, and self-propelled barges engaged in specially limited coastwise voyages. Parts 45 and 46 prescribe the load line requirements for Great Lakes vessels, and for passenger vessels engaged in foreign, coastwise, and Great Lakes voyages. Part 45 also prescribes requirements for certain unmanned dry cargo river barges depending upon the route, eligible for a limited domestic service load line assignment or a conditional exemption from any load line assignment at all.

Since the United States is signatory to the ICLL, it must fulfill its obligation and administer the Convention as it applies to vessels under its jurisdiction. As provided for in international conventions and national law, the Coast Guard delegates the tasks of assigning load lines and issuing of certificates primarily to the American Bureau of Shipping (ABS). Other recognized ship classification societies to which such authority has also been delegated are: Lloyds Register, Germanischer Lloyd, Det Norske Veritas, Bureau Veritas and Registro Italiano Navale. The Coast Guard administers the load line regulations by ensuring that the delegated responsibilities are carried out in accordance with established procedures.

It is necessary for the Coast Guard to collect information and require recordkeeping in the administration of load line regulations so that:

- (a) there are procedures for vessel owners to obtain load line certificates;
- (b) the Coast Guard or a delegated classification society may determine that the vessel complies with minimum design standards prior to certification;
- (c) the Coast Guard or a delegated classification society can ensure vessel compliance with design requirements after certification;
- (d) the master can operate his vessel in compliance with the load line regulations; and
- (e) the Coast Guard or delegated authority can ensure continued vessel operation in compliance with the load line regulations.

This information collection supports the following strategic goals:

Department of Homeland Security:

- Prevention
- Protection

U.S. Coast Guard:

- Maritime Safety
- Maritime Stewardship

Prevention Directorate (CG-3P):

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

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

(a) *46 CFR 42.11, 44.01-5(b) and 46.10-20: Application for Load Line Assignment, Surveys, Certificates, and Renewals.* These sections provide for the owner, master, or agent of a vessel to apply in writing to the American Bureau of Shipping (ABS) or other recognized classification society for assignment, survey, and certification of load lines. The application is typically a letter notifying the delegated classification society of the vessel's intent to load line a vessel.

(b) *46 CFR 42.07-25, 44.01-13, 44.05-25(a) and 46.10-70(a): Submission of Plans and Calculations.* The submitted plans are primarily the vessel's construction plans. The ABS uses the plans to determine whether the vessel is compliant with stability and structural requirements. The plans are then returned to the submitter, and marked to indicate approval or any areas of noncompliance. Copies of plans and calculations are retained during the period of vessel construction should any question arise. Copies of certain key plans and calculations are retained for future reference. All submissions are nonrecurring.

(c) *46 CFR 42.07-45, 44.05-30, 45.11, 46.01-15(b), and 46.10-10(d): Load Line Certificates.* This documentation is required by to serve as guidance and reference for operators, surveyors, and load line enforcement officers to ensure that the vessel is not loaded above the calculated and approved line of safety. Types of load line certificates include Coastwise and International, Non-Convention Foreign, Special Service, International Exemption; Great Lakes, Passenger Vessel Subdivision Load Line Certificates. These certificates are issued by the delegated classification society. The certificate indicates the location of load line marks assigned to the vessel and that the vessel is compliant with the applicable requirements. It also describes the applicable conditions, restrictions, and/or exemptions that the vessel shall observe according to the season, zone, or area in which the vessel operates.

(d) *46 CFR 42.09-15(d): Annual Surveys of Load Lines.* Vessels are subject to annual surveys about the time of the load line certificate anniversary date. The extent and scope of the annual survey insures that (a) vessel fittings and appliances are maintained, and (b) no alterations have been made to the hull that would affect the calculations which would determine the position of the load line marks. The associated collection of information is the approving signature on an existing load line certificate if the vessel is determined to be compliant.

(e) *46 CFR 42.09-15(c): Periodic Surveys for Certificate Renewal.* The vessel survey is conducted at 5 year intervals from the initial survey or previous periodical survey. The associated collection of information is the issuance of a load line certificate renewal if the vessel is determined to be compliant.

(f) *46 CFR 42.07-20 and 46.10-55: Logbook Entries.* This information is required by international convention and by regulations of signatory nations to ensure continued operational compliance with the regulations during the time period between surveys. The logbook entries are kept by the master or owner for a period of one year after the actions noted therein. Upon request, this information is to be furnished to any load line enforcement officer. The master of the vessel is required to record in his logbook the following information:

- (a) a statement of the load line marks applicable to the voyage,
- (b) a statement of the position of the load line marks with respect to the waterline, port and starboard, at the time of departure, and
- (c) vessel drafts, forward and aft, at time of departure.

(g) *46 CFR 45.181 and 45.183 Special Load Line regime for certain unmanned dry cargo river barges while operating on Lake Michigan.* This information is required for certain unmanned dry cargo river barges to obtain a limited domestic service load line assignment or a conditional exemption from any load line assignment at all.

- Barges operating on the Burns Harbor and Milwaukee routes may be conditionally exempted from load line assignment if the owner registers the barge (in writing) with the Officer in Charge, Marine Inspection (OCMI), U.S. Coast Guard Marine Safety Office. The registration may be faxed to the OCMI in advance, with the original following by mail. The registration will be kept on file.
- Barges operating on the St. Joseph and Muskegon routes are required to have a limited-service, domestic voyage load line certificate. The initial load line certificate is to be issued for a term of 5 years, or until the barge reaches 10 years of age, whichever occurs first.

### 3. Consideration of the use of improved information collection technology.

We estimate that 100% of the reporting requirements can be done electronically. At this time, we estimate that approximately 15% of the responses are collected electronically. The information may be e-mailed to the Coast Guard's Marine Safety Center (MSC) at the following link [MSC@uscg.mil](mailto:MSC@uscg.mil). Amplifying information on this capability may be found at the MSC pages on the Coast Guard's "Homeport" internet portal, at the following link: <http://homeport.uscg.mil/mycg/portal/ep/home.do>. Additionally, records sent to or maintained by the delegated classification society may be computerized.

Certificates required to be posted on vessels are not handled electronically.

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

There are no other Federal Agencies with similar programs. This information is unique to each vessel for structure, loading, stability, service area, season of operation, etc. Therefore, no other information can be used in its place.

### 5. Methods to minimize the burden to small entities if involved.

Load lines are necessary for the safety of the vessel and its personnel. The required submissions are the minimum consistent with this objective. The respondent's size is not relevant to these necessary safety measures.

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

Information regarding the issuance of original load line certificates is collected once for any particular vessel. Annual and periodic surveys are necessary to ensure the vessel's continued compliance. Less frequent collection is not acceptable for the administration of these regulations.

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

There are no special circumstances in collecting information other than requiring respondents to retain records for five (5) years. Although 5 CFR 1320.6 requires information collection periods not in excess of three (3) years, load line certificates are issued for a period of five (5) years as required by the International Convention on Load Lines (1966) of which the United States is signatory. Load line certificates are kept onboard vessels, and also maintained by delegated classification societies.

8. Consultation.

A 60 day Notice was published in the Federal Register to obtain public comment on this collection. (See [USCG-2008-0180], January 2, 2008, 73 FR 201). The USCG has not received any comments on this information collection.

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

There are no payments or gifts provided to respondents.

10. Describe any assurance of confidentiality provided to respondents.

The information collected is generally not of a type considered confidential by those supplying it. When information would be considered proprietary and the respondents indicate this, the Coast Guard keeps it confidential within the limits allowed by the Freedom of Information Act.

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

There are no sensitive questions involved.

12. Estimates of reporting and recordkeeping hour and cost<sup>1</sup> burden of the collection of information.

(a) *Existing Vessels with Load Lines.* Based upon MSN data, there are currently 2,987 vessels that have load lines. We assume that the number of newly constructed vessels and the number of

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<sup>1</sup> Labor costs throughout this supporting statement are from the USCG "Standard Rates" (COMDTINST 7310.1K)

scrapped vessels are relatively the same, resulting in a zero growth rate. Therefore, the number of respondents is constant at 2,987. Furthermore, we assume that about 6 responses per respondent are associated with this collection (5 logbook records and annual survey).

1) Logbook Records for Current Vessel Population. The masters of these vessels are required to record information in logbooks for each voyage, when departing from the loading port. We estimate that the vessels average 5 trips per year where an information record is required. These records require approximately 5 minutes to complete, and the master's hourly rate (GS-13) is equivalent to \$83 per hour. Under these assumptions, the annual hour and cost burdens to vessel master respondents are the following:

Hour Burden:  $1,244 \text{ hours} = (0.0833 \text{ hour}) (2,987 \text{ vessels} \times 5 \text{ records})$   
 Cost Burden:  $\$103,259 = (0.0833 \text{ hour} \times \$83) (2,987 \text{ vessels} \times 5 \text{ records})$

2) Annual Surveys for Current Vessel Population. Each vessel with a load line certificate must have an annual survey. Following a satisfactory inspection, an endorsement is made on the reverse of the load line certificate. The collection requirement for the endorsement (conducted by the American Bureau of Shipping (ABS)) is assumed to require approximately 5 minutes. Furthermore, we assume that the endorsement would be completed by a person with an hourly rate (GS-13) equivalent to \$83 per hour. Under these assumptions, the annual hour and cost burdens to ABS respondents are the following:

Hour Burden:  $249 \text{ hours} = (0.0833 \text{ hour}) (2,987 \text{ vessels})$   
 Cost Burden:  $\$20,651 = (0.0833 \text{ hour} \times \$83) (2,987 \text{ vessels})$

3) Certificate Renewal for Current population. The load line certificate must be renewed every 5 years. We assume that the vessel population is evenly distributed, and that 20% of the vessels would need to renew their load line certificates each year. This renewal would be performed by the ABS. We further assume that the collection associated with this responsibility would require approximately 5 minutes, and would be performed by an individual with an hourly rate (GS-13) equivalent to \$83 per hour. Under these assumptions, the annual hour and cost burdens to ABS respondents are the following:

Hour Burden:  $50 \text{ hours} = (0.0833 \text{ hour}) (2,987 \text{ vessels} \times 20\%)$   
 Cost Burden:  $\$4,130 = (0.0833 \text{ hour} \times \$83) (2,987 \text{ vessels} \times 20\%)$

(b) *New Vessels with New Load Lines.* Based upon MSN data, we assume approximately 36 vessels<sup>2</sup>, which will apply for a load line, are constructed each year. These vessels are required to apply in writing for load line assignments, surveys, and certificates. The initial survey inspection is completed before the vessel is put in service. After the initial inspection, the load line is marked, and the load line certificate is issued. It is assumed that as long as no major alterations are done on each vessel and load line certification is kept up to date; this initial cost is a non-recurring requirement.

1) Initial Survey. To complete an initial survey application letter, we assume that approximately 30 minutes are required by a non-government employee with an hourly

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<sup>2</sup> The rate of new construction is based upon construction of vessels with load lines over the past 3 years.

rate (GS-7) equivalent to \$42 per hour. Under these assumptions, the annual hour and cost burdens to vessel master respondents are the following:

Hour Burden: 18 hours = (0.5 hour) (36 vessels x 1 letter)  
 Cost Burden: \$756.00 = (0.5 hour x \$42) (36 vessels x 1 letter)

2) Load Line Certificate. The collection requirement for the load line certificate (conducted by the delegated classification authority) is assumed to require approximately 5 minutes. Furthermore, we assume that the certificate's endorsement would be completed by a person with an hourly rate (GS-13) equivalent to \$83 per hour. Under these assumptions, the annual hour and cost burdens to ABS respondents are the following:

Hour Burden: 3 hours = (0.0833 hour) (36 vessels x 1 certificate)  
 Cost Burden: \$249.00 = (0.0833 hour x \$83) (36 vessels x 1 certificate)

3) Load Line Markings. We assume that approximately 2 hours are required to apply the load line marks on both sides of the vessel amidship. Furthermore, we assume that the load line marks would be completed by a non-government employee with an hourly rate (GS-9) equivalent to \$49 per hour. Under these assumptions, the annual hour and cost burdens to vessel owner respondents are the following:

Hour Burden: 72 hours = (2 hours/load line) (36 new load lines).  
 Cost Burden: \$3,528 = (2 hours/load line x \$49) (36 new load lines)

(c) *Vessels operating with a conditional exemption.* Barges operating on the Burns Harbor and Milwaukee routes may be conditionally exempted from load line assignment if the owner registers the barge (in writing) with the Officer in Charge, Marine Inspection (OCMI), U.S. Coast Guard Sector Office. The owners have to register the barge, only once, prior to its first voyage onto Lake Michigan. The registration may be faxed to the OCMI in advance, with the original following by mail. The registration will be kept on file. The registration is valid until the 10<sup>th</sup> anniversary of the delivery date (for Milwaukee route), or until the barge is no longer fit for this service (due to damage, or barge change in ownership). The burden associated with the renewal of the registration is minimal.

The Coast Guard estimates approximately 30 river barges per year would seek a conditional exemption from any load line assignment at all. We, also, estimate about 2 hours per barge to gather required information, compile it into a single form and mail it to the Coast Guard. Furthermore, we assume that the registration papers would be completed by personnel with an hourly rate (GS-13) equivalent to \$83 per hour. Under these assumptions, the annual hour and cost burdens to the respondents are the following:

Hour Burden: 60 hours = (2 hours/barge) (30 barges per year).  
 Cost Burden: \$4,980 = (2 hours/barge x \$83 per hour) (30 barges per year)

(d) *Vessels operating with a limited domestic service load line.* Barges operating on the St. Joseph and Muskegon routes are required to have a limited service, domestic voyage load line certificate. The Coast Guard estimates approximately 5 river barges per year would seek a limited domestic load line assignment. The initial load line certificate is to be issued for a term of 5 years, or until the barge reaches 10 years of age, whichever occurs first.

1) Initial survey. To complete an initial survey application letter, we assume that approximately 30 minutes are required by personnel with an hourly rate (GS-7) equivalent to \$42 per hour.

Under these assumptions, the annual hour and cost burdens to the respondents are the following:

Hour Burden: 2.5 hours = (0.5 hours/barge) (5 barges per year).

Cost Burden: \$105.00 = (0.5 hours/barge x \$42 per hour) (5 barges per year)

2) Load Line Certificate. Drafting the load line certificate (conducted by the delegated classification authority) is assumed to take approximately 5 minutes. Furthermore, we assume that the certificate's endorsement would be completed by personnel with an hourly rate (GS-13) equivalent to \$83 per hour. Under these assumptions, the annual hour and cost burden to the respondents are the following:

Hour Burden: 0.42 hours = (0.0833 hour) (5 barges x 1 certificate)

Cost Burden: \$35 = (0.0833 hour x \$83 per hour) (5 barges x 1 certificate)

Total hour burden is: 3 hours = 2.5 hours + 0.50 hours

Total cost burden is: \$142 = \$105 + \$35

(e) Summary.

The total paperwork hour and cost burdens are summarized as follows in Tables 1 and 2:

**Table 1. Annual Paperwork Hour Burden to Respondents**

	Document	Number of Hours/Year	
		Vessel Owners	ABS
Existing Vessels	Logbook Records	1,244	0
	Annual Surveys	0	249
	Certificate Renewal	0	50
New Vessels	Application Letter	18	0
	Load Line Certificate	0	3
	Application of Load Line Marks	72	0
Vessels operating with a conditional exemption	Registration	60	
Vessels operating with a limited domestic service line	Application letter	2.5	
	Load line Certificate		0.5
<i>Total hours by Respondent Type</i>		<i>1396.5</i>	<i>302.5</i>
<b>TOTAL HOURS</b>		<b>1,699</b>	

**Table 2. Annual Paperwork Cost Burden to Respondents**

Document		Cost/Year	
		Vessel Owners	ABS
Existing Vessels	Logbook Records	\$103,259	0
	Annual Surveys	0	\$20,651
	Certificate Renewal	0	\$4,130
New Vessels	Application Letter	\$756	0
	Load Line Certificate	0	\$249
	Application of Load Line Marks	\$3,528	0
Vessels operating with a conditional exemption	Registration	\$4,980	
Vessels operating with a limited domestic service line	Application Letter	\$105	
	Load Line Certificate		\$35
<i>Total Cost by Respondent Type</i>		\$112,628	\$25,065
<b>TOTAL COST</b>		<b>\$137,693</b>	

The total number of respondents is:  $3,058 = 2,987 + 36 + 30 + 5$

The total number of responses is:  $17,993 = 2,987 * 6 + 36 + 30 + 5$

The total hour burden is:  $1,699 \text{ hrs} = 1,396.5 \text{ hrs} + 302.5 \text{ hrs}$

The total cost burden is:  $\$137,693 = \$112,628 + \$25,065$

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

There are no annualized capital and start-up costs.

14. Estimates of annualized Federal Government costs.

The review of a vessel for load line purposes is the responsibility (by Coast Guard delegation) of the recognized classification society. Therefore, there is limited cost to the Federal sector in this area.

The Federal cost estimated for load line exemption requirements from the normal Great Lakes load line assignment while operating on Lake Michigan is minimal.

15. Explain any reasons for the change in burden.

The change in burden is an ADJUSTMENT due to changes in vessel population estimates.

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

There are no plans to use statistical analysis or to publish this information.

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

This is a recurring program and the requirements informs that are used will not change. It would not be cost effective to destroy dated forms every three years to change a date.

18. Explain each exception to the certification statement.

There are no exceptions of the Certification for Paperwork Reduction Act Submissions.

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

This information collection does not employ statistical methods.