

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

OMB No.: 1625-0019

COLLECTION INSTRUMENTS: None

**A. Justification.**

1. Circumstances which make the collection of information necessary.

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

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

This information collection supports the following strategic goals:

Department of Homeland Security

- Prevention
- Protection

U.S. Coast Guard

- Marine Safety

Marine Safety, Security and Stewardship Directorate (CG-5)

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

2. Purposes of the information collection.

Each application is reviewed by the Prevention Division in the appropriate Coast Guard District to determine if alternative compliance is justified. If the information were

not collected, no deviation would be permitted, regardless of construction, special purpose, or economic realities. Once the information is assessed, the Coast Guard is able to decide whether a COAC is warranted.

3. Considerations for the use of improved technology.

By mail, fax, or electronically submitted via e-mail to the CG District Commander, for a vessel seeking a COAC. A comprehensive list of contact info for Coast Guard units, including District Commanders, can be found at: <http://www.uscg.mil/top/units/>. The Coast Guard estimates that about 15% of applications are submitted electronically.

4. Efforts to identify duplication.

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

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

5. Burden on small businesses.

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

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

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

7. Special collection circumstances.

This information collection is conducted in manner consistent with the guidelines in 5 CFR 1320.5(d)(2).

8. Consultation.

A 60-day Notice and 30-day Notice were published in the *Federal Register* to obtain

public comment on this collection. (See USCG-2010-0858: September 22, 2010; 75 FR 57809; December 22, 2010, 75 FR 82038). The USCG has not received any comments on this information collection.

9. Provide any payments or gifts to respondents.

There is no offer of monetary or material value for this information collection.

10. Assurances of confidentiality.

There are no assurances of confidentiality provided to the respondents for this information collection.

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

There are no questions of sensitive language.

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

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

Table 12.1

Average Annual # of COAC Applications Submitted	11
Technical Expert Burden Hours per Application	4
Administrative Assistant Hours per Application	0.5
<b>TOTAL BURDEN HOURS PER APPLICATION</b>	<b>4.5</b>
Hourly Rate for Technical Expert	\$73
Hourly Rate for Administrative Assistant	\$38
<b>TOTAL BURDEN COST PER APPLICATION</b>	<b>\$311</b>

<b>TOTAL BURDEN HOURS</b>	<b>50</b>
<b>TOTAL BURDEN COST</b>	<b>\$3,421</b>
<b>TOTAL NUMBER OF RESPONDENTS</b>	<b>11</b>
<b>TOTAL NUMBER OF RESPONSES</b>	<b>11</b>

13. Total annualized capital and start-up costs.

There are no recordkeeping, capital, start-up or maintenance costs associated with this information collection.

14. Annual cost estimate to the Federal Government.

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

Table 14.1

Average Annual # of COAC Applications Submitted	11
O-4 Hours per Application	4
<b>TOTAL GOVERNMENT HOURS</b>	<b>44.0</b>
Hourly Rate for O-4	\$77
<b>TOTAL GOVERNMENT COST</b>	<b>\$3,388</b>

15. Reasons for changes in burden.

The change in burden is an ADJUSTMENT due to a change in population/number of submissions received. The change reflects the five-year average of data from Coast Guard District Offices. There has been no change to the information being collected.

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

This information collection will not be published for statistical purposes.

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

The Coast Guard will display the expiration date for OMB approval of this information collection.

18. Exception to the certification statement.

The Coast Guard does not request an exception to the certification of this information collection.

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

This information collection does not employ statistical methods.