# Supporting Statement 

## for

Regattas and Marine Parades

OMB Control No.: 1625-0008<br>Collection Instruments: CG-4423

## A. Justification

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

Marine events may actually block navigation channels or cause interference with adjacent vessel traffic or with the ability of larger commercial vessels to safely navigate designated shipping lanes. Also, adjacent vessel traffic may interfere with the safety or conduct of the marine event. The Coast Guard is authorized, under 33 U.S.C. 1233, to issue regulations to promote the safety of life on navigable waters during regattas and marine parades. In 33 CFR Part 100 the Coast Guard established regulations to provide notification of and effective control over marine events conducted on the navigable waters of the United States to promote the safety of life and property in the event area. This rulemaking authority has been delegated to the District Commanders under 33 CFR 1.05-1.

## 1. How, by whom, how frequently, and for what purpose is the information used?

The permit application provides the Coast Guard with the minimum information needed to identify the marine event and the event contact, to consider whether or not an event is likely to result in the loss of human life unless special precautions are taken, and to issue a-local and/or broadcast notice to mariners of the event, its location and its schedule, prepare appropriate environmental documentation and to determine whether or not a permit is required and may be issued for the event. The current Application for Approval of Marine Event form, CG-4423, is required to be submitted. The Coast Guard uses this information to identify each marine event, the event sponsor and responsible representatives for accountability, clarifying information and event control, to determine whether the event requires and merits Coast Guard approval, Coast Guard or Coast Guard Auxiliary supervision or assistance and what impacts the event may have on navigation and on the environment.

## The purpose of the permit application information elements under 33 CFR 100.15(d) is as follows:

Items 1 \& 2. The name and address of the sponsoring organization, authorized representative, person to be contacted for further details are needed to identify the event sponsor and the people accountable for the overall event and accurate details. The telephone number provides an alternate time saving means of contacting the sponsor's representative for additional or clarifying information. The submitter's electronic mail address allows for automated receipts to be sent for applications submitted online via http://homeport.uscg.mil. The name of the person in charge of the event, his or her location and how reached during the event is needed in case questions arise or the conduct of the event must be adjusted due to emergencies or unanticipated navigational or environmental considerations. In some cases, the same person performs all these duties and the information need not be repeated.

Items 3,4,5\&6. The description of the nature and purpose of the event, information on general public interest, the number of participating boats and the number of spectator craft are needed to consider how large, complex and congested the event is, what impacts on navigation may result, and for determining whether or not a permit is needed and may be issued.

Items 7,8 \& 9. The event location, date and time schedule are needed to identify each marine event and are used with other available information to consider potential impacts on navigation and whether a permit is needed and may be issued. This information is also used in advising the boating public about the event. Attaching a section of a chart or a scale drawing showing the event boundaries and/or courses and markers contemplated is needed to clearly indicate where the event occurs, the event's relationship to navigation channels or potential environmental impacts, and placement of course markers/navigational aids for the event. The number of sponsor provided safety patrol vessels is needed to consider the adequacy of protection provided by the sponsor and what additional resources may be needed to ensure the safety of life during the event. The Coast Guard cannot have any question or doubt over the location, sailing courses or event boundaries separating participants from non-participants or adjacent navigation.

The Coast Guard must develop environmental documentation appropriate for the event either from additional environmental information provided by the sponsor in the application or on its own based on experience with other similar events in similar locations. This environmentally related information is needed to enable the Coast Guard to properly assess potential environmental impacts, the applicant's efforts to mitigate or avoid those impacts, including other contacts with other agencies and their responses, and to develop appropriate environmental documentation and permit conditions.

## 2. Consideration given to use of improved information technology?

Neither the statutory authority nor the existing regulations prohibit the use of transmitting permit application information through electronic means. Applications mailed to the Coast Guard are always accepted as are applications submitted through the following means:

- FACSIMILE: Applications facsimiled to the appropriate Coast Guard office. Fax numbers for Coast Guard Offices can be found by accessing the Coast Guard's Homeport Web Portal at http://homeport.uscg.mil and clicking the "Sector Directory" link.
- ONLINE SUBMISSION: The Coast Guard is developing a tool to leverage technology to accept applications submitted electronically online. This tool is still in development but will be ready for deployment within 30 days of OMB approval of this collection. Once completed, applications may be submitted through an online "fillable-fileable" form available at http://homeport.uscg.mil. Applicants will fill the form out online and select the appropriate Coast Guard office to submit it to through an online pick list. A copy of the form will be automatically sent to the selected Coast Guard unit along with a receipt acknowledging submittal to the applicant. The information collected via the online form will match the automated Adobe version of the CG-4423; however, in block 25 of the CG-4423, rather than requesting the applicant's signature, the online application requests the person filling out the form to check a box that states "By submitting this form I certify that I have full authority to represent the sponsoring organization." There is no statutory or regulatory requirement that the form be signed, however, the Coast Guard wishes affirmation that the person submitting the form has the authority to do so.

Below is a screen shot of the Homeport website. The link to the CG-4423 will appear on the front home page roughly as indicated:


Below are screen shots of the online form (currently in final development):

14. Vesssels Provided by Sponsoring Organization for
Safety Purposes:
15. Does the Sponsoring Organization Deem their Patrol Adequate for Safety Purposes? *;


Yes N If Yes, how many vessels do you recommend and why?
16. Is a Coast Guard or Coast Guard Auxiliary Patrol Requested for Control of Spectator and/or Commercial Traffic? *;

The undersigned has full authority to represent the sponsoring organization.
21. Name*;
22. Title*;
23a. Address Line 1*;
23b. Address Line 2:
23c. City ${ }^{*}$ :
23d. State / Prövince / Region*;
23e. Zip/Postal Code*;
23f. Phone ${ }^{*}$ :

24. 1 , , submitting this application I certify that I have full authority to represent the sponsoring organization.


Note: You must attach a section of a chart or scale drawing showing the boundaries and/or courses and markers contemplated. You also must attach a copy of your entry requirements and any special rules pertaining to the equipment, rigs, or procedures.

Privacy Act Statement
Authority: 33 U.S.C 1233 atthorizes the collection of this information.
Purpose: The Cosst Guard will use this information to determine whether an event poses an extra or unusual hazard to the safety of life and whether or not, and under which condtions, to permit the event an the navigable waters of the United States.

Routine Uses: The information will be used by and disclased to Cosst Guard personnel to evaluate the request. Additionally, the Cosst Guard may share the information with facility operators, law enforcement or other government agencies as necessary to promote public safety during the requested marine event.

Disclosure: furnishing this information is voluntary; however, falure to furniah the requested information may delay or prevent the approval of the requested marine event.

## I have read the Privacy Act Statement

U.S. Dept. of Hameland Security, USCG, CG-4423, Rev. 10-10

## 4. Efforts to identify duplication and why similar available information can't be used.

The information supplied in the application for a marine event permit is not available from other sources in a timely manner. Each event is considered on a case-by-case basis. Although information may exist for a similar event, the required information would still be needed to correctly apply the available information to the specific marine event being considered by the Coast Guard.

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

To the extent that the collection of this information involves small business or small entities, the burden is minimal because the number of participating vessels is usually smaller, and the attendant amount of information collected is also smaller. The potential burden imposed on small businesses is minimal.

## 4. Consequence to Federal program if the collection is not collected or is collected less frequently.

If the information in the permit application were not provided when a permit is required, the Coast Guard would not be able to determine whether or not an event is likely to result in the loss of human life unless special precautions are taken, nor be able to issue a local and/or broadcast notice to mariners to alert the navigation community of the event, its location and its schedule, nor prepare the proper environmental documentation and appropriate mitigation and precautionary measures in a timely manner. The Coast Guard needs to know of the intention to hold the event in advance and then determine whether simple notification to navigation, appropriate regulations, or permit conditions, or a combination, would best ensure the safety of life and property on the water. Marine event permits that are issued for repetitive events are limited to one year validity.

## 5. Explain any special circumstances that would cause an information collection to be conducted in a manner.

## - requiring respondents to report more often than quarterly;

Submitting a permit application to the Coast Guard for approval is on occasion for each event and would only be more often than quarterly if the event sponsor chooses to hold an event more often than quarterly and also chooses not to apply for Coast Guard approval of the repeated events at the same time.

- requiring respondents to respond in fewer than 135 days of receipt;

The existing regulations, 33 CFR 100.15 (c), require respondents to submit a permit application to the Coast Guard at least 135 days prior to the intended start of the event.

- requiring respondents to submit more than an original and two copies of any document; The current regulations do not require respondents to submit multiple copies.
- requiring respondents to retain records more than three years;

The current regulations do not require respondents to retain any records after the event is held.

- in connection with a statistical survey;

The information in the permit application is not used in connection with a statistical survey.

- requiring use of a statistical data classification not approved by OMB;

The information collection does not require use of a statistical data classification not approved by OMB.

- that includes a pledge of confidentiality not supported by authority or which impedes sharing data with other agencies;
The information collection does not require a pledge of confidentiality.
- requiring respondents to submit proprietary trade secret, or other confidential information.

The information collection does not require respondents to submit proprietary trade secrets, or other confidential information.
8. Describe efforts to consult with persons outside the agency.

A 60-day Notice and 30-day Notice were published in the Federal Register to obtain public comment on this collection. (See USCG-2010-0978: November 4, 2010; 75 FR 67991;
February 2, 2011, 76 FR 5817). The USCG has not received any comments on this information collection.

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

No payments of gifts are provided to respondents.

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

Marine events are public by their very nature and none of the information collected is of a nature requiring confidentiality.

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

No questions of a sensitive nature are contained in the information collection.

## 8. Estimated hour and cost burden of the information collection to respondents.

The total annual hour burden on respondents is estimated to be 5270.83 hours. The total annual cost to respondents for submitting permit applications is estimated to be $\$ 280,144.61$

## Estimated hour burden.

The Coast Guard estimates there will be approximately 5,500 respondents submitting a permit application for one or more events to the Coast Guard annually. We estimate that $50 \%$ ( 2750 applications) will be submitted online through the Homeport Web Portal.

The time to gather the marine event information to prepare the permit application and complete the form is estimated to take approximately 60 minutes. The permit application may be typed in online format or using an automated Adobe form suitable for facsimile or mailing. Respondents may also print out a blank CG4423 and complete it in black ink. Even though the information must be developed over the course of planning the event, someone must glean the details from the records to enter them into the permit application. This includes time to obtain a chart section or prepare a scale drawing, enter event boundaries, courses and markers that the Coast Guard needs to consider any impacts the event may have on navigation, whether or not to issue the permit, and to use as needed for a notice to mariners. The explanations for items $3,5,6,8$ and 9 consume most of the estimated time to complete the permit application. Submitting the form electronically online should shorten the completion time by about 5 minutes by avoiding the need to fill out an Adobe form and mail it to the appropriate Coast Guard unit.

Total annual burden on the public: 1 hour x 2750 (Adobe automated form) $=2750$ hours
$55 \min \times 2750$ (online form) $=2520.83$ hours
Total burden hours = 5270.83 hours

## Estimated cost burden.

Permit applications come from sponsors of marine events which include a variety of groups with an interest in on-water activity. The Coast Guard estimates that most permit application forms are completed by personnel who meet the Bureau of Labor and Statistics (BLS) definition of General and Operations Managers. BLS estimates the mean hourly salary of General and Operations Managers as \$53.15.

The cost per marine event to complete a automated Adobe permit application is therefore $\$ 53.15$ (1 hour x $\$ 53.15 / \mathrm{hr}$ ). The cost per marine event to complete an online application is therefore $\$ 48.72$ ( 55 minutes x $\$ 53.15 / \mathrm{hr}$ ). The total cost burden to the public to complete permits for regattas and marine parades is \$280,144.61 (5270.83 hours x \$53.15/hr.

## Summary

| Number expected to be submitted online | 2750 (50\% of total) | Number of Forms Submitted |
| :---: | :---: | :---: |
| Number expected to be submitted on automated Adobe form | 2750 (50\% of total) |  |
| Total Number of CG-4423 forms submitted annually | $\begin{aligned} & 5500 \\ & \text { (2750 online }+2750 \\ & \text { Adobe) } \\ & \hline \end{aligned}$ |  |
| Estimated time to complete automated Adobe CG-4423 | 1 hour | Time to Complete |
| Estimated time to complete online CG-4423 | 55 minutes |  |
| Estimated time burden for automated Adobe CG-4423 | 2750 hours <br> (1 hour x 2750 forms) | Public Time Burden |
| Estimated time burden for online CG-4423 | 2520.83 hours <br> (55 minutes x 2750 forms) |  |
| Total Estimated time burden | $\begin{array}{\|l\|} \hline 5270.83 \\ (2750+2520.83) \\ \hline \end{array}$ |  |
| BLS Hourly salary for General \& Operations Managers | \$53.15/hour | Public Cost Burden |
| Estimated cost per marine event to submit automated Adobe application | $\begin{aligned} & \text { \$53.15 } \\ & \text { (1 hour } \mathrm{x} \$ 53.15 / \text { hour) } \end{aligned}$ |  |
| Estimated cost per marine event to submit online application | $\begin{aligned} & \$ 48.72 \\ & \text { (55 minutes x } \$ 53.15 / \text { hour }) \end{aligned}$ |  |
| Total Estimated cost burden to public | \$280,144.61 <br> (5270.83 hours x \$53.15/hour) |  |

## 13. Estimated total Capital and start up cost burden on respondents.

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

## 14. Estimated annualized cost to the Federal Government.

It is estimated that the Coast Guard issued approximately 5,500 marine event permits in 2009. The proposed estimate of 5,500 permit applications will allow for minor yearly fluctuations in the number of permit applications processed and for a number of permits denied.

Operational Expenses. Estimated number of respondents annually is 5,500 permit applications processed. Total annual cost to the government is $\mathbf{\$ 4 , 8 8 0 , 1 2 5}$. The source for the personnel cost figures is Enclosure (2) to Commandant Instruction 7310.1 L, Standard Rates.

The Coast Guard estimates that the total cost to the Government for reviewing an estimated 5,500 permit applications (Form CG-4423) annually for a marine event is $\$ 731,500$. This is based upon 2 hours work for an E-6 through E-7 (\$66.50 per hour) for reviewing 5,500 permit applications, determining whether or not a
permit should be required, and preparing a local and/or broadcast notice to mariners for the event. The tasks necessary to review a permit application include logging it in, determining jurisdiction, considering the impact on navigation, contacting other agencies and/or the applicant, determining whether a permit should be required, some data base work, and preparation of a local and/or broadcast Notice to Mariners.

The Coast Guard estimates that the total cost to the Government for processing an estimated 5,500 supporting environmental documents for marine event is $\mathbf{\$ 4 , 1 4 8 , 6 2 5}$. This is based upon 3 hours work for a Coast Guard Junior Officer (O-2/O-3) or GS-12/13 (\$71.75 per hour) to prepare a categorical exclusion determination (CED) and checklist for 4,500 marine event permits ( $\$ 968,625$ ) and 80 hours work for a Coast Guard Officer O-3/O-4 or GS-12/13 (\$79.50 per hour) to prepare an environmental assessment for 500 marine event permits ( $\$ 3,180,000$ ). Approximately 500 permits will not require environmental documents because of the nature of the event. The tasks necessary to process the additional environmental documentation include logging it in, reviewing authorities, considering the impact on the environment, contacting other agencies and/or the applicant, determining the safety patrols needed by the sponsor and the Coast Guard, as applicable, some data base work, developing appropriate environmental documentation, developing permit conditions, as needed, and making, routing and mailing copies.

## Summary

| Total Number of CG-4423 forms submitted annually | 5500 | Review \& Process Application |
| :---: | :---: | :---: |
| Hourly Salary of personnel processing applications | \$66.50 per hour |  |
| Estimated time to review permit applications | 2 hours |  |
| Governmental Cost to review permit applications | \$731,500 <br> (5500 permits x 2 hours each x $\$ 66.50$ per hour) |  |
| Total Number of applications requiring categorical exclusion determinations (CED) | 4500 | Review and conduct supporting environmental documents |
| Hourly Salary of personnel conducting CEDs | \$71.75 |  |
| Estimated time to conduct CED | 3 hours |  |
| Governmental Cost to conduct CED | \$968,625 <br> (4500 CEDs x 3 hours each x $\$ 71.75$ per hour) |  |
| Total Number of applications requiring Environmental Assessments (EA) | 500 |  |
| Hourly Salary of personnel conducting EAs | \$79.50 |  |
| Estimated time to conduct EAs | 80 hours |  |
| Governmental Cost to conduct EAs | \$3,180,000 <br> (500 EAs x 80 hours each x $\$ 79.50$ per hour) |  |
| Total Number requiring no further action | 500 |  |
| Cost of no further action | \$0 |  |
| Total Governmental Costs to process environmental documentations (CEDs + EAs) | $\begin{aligned} & \hline \$ 4,148,625 \\ & (\$ 968,625+\$ 3,180,000) \\ & \hline \end{aligned}$ |  |
| Total Governmental Costs | \$4,880,125 | Total Cost |

(Processing Application \& supporting environmental
(\$4,148,625 + \$731,500)
documentation)

## 13. Explain reasons for changes in burden.

Changes in estimated number of applications received annually: The estimated number of expected applications submitted to the Coast Guard has increased from 3000 to 5500. The Coast Guard's last burden estimate used 2005 data which indicated the historic yearly average number of permit applications received was approximately 3,000. In 2009 the Coast Guard conducted a survey of Coast Guard offices around the country and found that the number of permit applications annually received from the public has risen to approximately 5,500 . The 2010 data suggest a similar pace. The numbers of Marine Event Permit applications received around the country in 2009 are as follows:
$1^{\text {st }}$ Coast Guard District (New England): 1300
$5^{\text {th }}$ Coast Guard District (Mid-Atlantic): 430
$7{ }^{\text {th }}$ Coast Guard District (South East): 600
$8^{\text {th }}$ Coast Guard District (Gulf Coast and inland rivers): 416
$9^{\text {th }}$ Coast Guard District (Great Lakes): 487
$11^{\text {th }}$ Coast Guard District (California): 1526
$13^{\text {th }}$ Coast Guard District (Pacific Northwest): 293
$14^{\text {th }}$ Coast Guard District (Pacific Islands): 435
$17^{\text {th }}$ Coast Guard District (Alaska): 15
Total Marine Event Permits received in 2009: 5502
Changes in hourly burden: The estimated hourly burden to the public has increased from 3000 hours to 5270.83 hours. The Coast Guard has created a mechanism to submit the form CG-4423 electronically online through http://homeport.uscg.mil. To support this, the Coast Guard has modified the form to include an optional email address to allow http://homeport.uscg.mil to send automated email receipts to applicants. The Coast Guard continues to estimate that the aggregate time required for applicants to collect the data, fill out the form and mail it to the appropriate Coast Guard unit is 60 minutes. The Coast Guard estimates that the new online submission option will save applicants five minutes in processing time and approximately half of the applicants will select the online submission option. Because the Coast Guard has not previously allowed an online submission option, the 50\% Adobe submission and $50 \%$ online submission is a rough estimate and will be refined as the program matures. The majority of the increase in burden hours is accounted for by the increase in the estimated number of applications expected annually.

Changes in cost burden: The estimated cost burden has risen from $\$ 5833.33$ to $\$ 280,144.61$. In the past the Coast Guard only accounted for the estimated cost of an administrative assistant (GS7 equivalent) to type the information into the form, figuring it took 20 minutes to type the form. This methodology was in error and did not account for the cost of collecting the information and preparing associated documents.
Furthermore, the Coast Guard has found no information to substantiate the idea that administrative assistants type the CG-4423. Based on feedback from Coast Guard units processing permit applications, the Coast Guard estimates that most CG-4423s are completed by personnel who meet the Bureau of Labor and

Statistics (BLS) definition of General and Operations Managers. The associated cost burden has been modified accordingly.

Changes in annualized cost to the Federal Government: The estimated annualized cost to the Federal Government has risen from $\$ 3,625,500$ to $\$ 4,880,125$. The Coast Guard has updated the annual salary information for government personnel processing permit application and conducting environmental reviews to the most recent version of the governing publication (Commandant Instruction 7310.1 L, Standard Rates.) In addition, because the number of expected applications has increased from 3000 to 5500 , the associated costs to the Federal Government have increased commensurately.
16. Outline plans for tabulation, statistical analysis and publication.

This information collection will not be published for statistical purposes.

## 16. Reasons for seeking approval to not display the OMB expiration date.

USCG will display the expiration date for OMB approval of this information collection._
17. Explanations for each exception to the certification statement in item 19 of OMB Form 83I.

USCG does not request an exception to the certification of this information collection.

## B. Descriptions of Collections of Information that employ statistical methods.

The collection of this information does not involve statistical methods.

