Supporting Statement for

Paperwork Reduction Act Submissions

**OMB Control Number: 1660 – NW75**

**Title: Facility Access Request**

**Form Number(s): FEMA Form 121-3-1-3A and 121-3-1-3B**

# General Instructions

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When Item 17 or the OMB Form 83-I is checked “Yes”, Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

# Specific Instructions

# A. Justification

1. **Explain the circumstances that make the collection of information necessary.**

**Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information. Provide a detailed description of the nature and source of the information to be collected.**

The purpose of the collection is for the Federal Emergency Management Agency (FEMA) to obtain information from all persons applying for access to any FEMA controlled facility through the use of two Facility Access Request forms: FEMA Form 121-3-1-3A and 121-3-1-3B. This information is used to create a profile in the Physical Access Control System (PACS). The collection of personally identifiable information (PII) is used to authenticate the identity of FEMA employees and contractors, and visitors who request and are granted entry authorization. FEMA uses this collected information to run an additional background check through the National Crime Information Center (NCIC). NCIC is a computerized database administered by the Federal Bureau of Investigation (FBI) that provides ready access to law enforcement agencies for making inquiries about an individual’s criminal history. This check verifies that an individual does not have any outstanding warrants for criminal activities indicating a risk to the Department of Homeland Security. This information collection is further used to contact individuals in the event of an emergency.

All non-FEMA employees and contractors are visitors. U.S. Government employees and contractors working for federal agencies other than FEMA are also visitors. Visitor management is governed by DHS Instruction Manual 121-01-011-01, Visitor Management for DHS Headquarters and DHS Component Headquarters Facilities; FEMA Directive 121-1, Personal Identification Standard; FEMA Directive 121-3, Facility Access; and FEMA Instruction 121-3-1, Credential and Access Reference.

The first form is FEMA Form 121-3-1-3A. Current FEMA employees and contractors are not required to fill out this form. This form is used to grant access to all FEMA facilities, except those designated as high security. The PII collected on this form includes full name, home and business phone numbers, social security number (SSN), date of birth (DOB), driver’s license number and state issued, place of birth, citizenship status, alien registration number, gender, and place of employment. The second form is FEMA Form 121-3-1-3B. This form is identical to the 123-3-1-3A; however, it is used to allow individuals to request access to a high security FEMA facility.

To access any FEMA facility, visitors who are employed by the U.S. Government or government contractors, must present a valid employee identification card [Personal Identity Verification (PIV) card or Common Access Card (CAC)] issued by their employing agency and an on-site FEMA-employed sponsor must confirm the visit using the Facility Access Request forms. The visitor’s first and last name, agency of employment, and armed status are recorded in PACS as well as the first and last name of the FEMA sponsor who will be escorting the visitor while in the FEMA facility. This information may be provided in advance or, if no notice of the visit is given, at time of entry.

U.S. citizens who are not employed by the U.S. Government or work as government contractors, and who intend to visit a FEMA facility are subject to a background check using the NCIC system. As with non-FEMA U.S. Government employees, all prospective visitors falling under the non-federal U.S. citizen category must be sponsored by an on-site FEMA employee who serves as the primary point of contact for the Agency’s Office of the Chief Security Office (OCSO) during the screening process. Sponsors initiate the screening process for non-federal U.S. citizens by contacting the FEMA Access Control office to communicate their intention to host one or more visitors.

OCSO grants or denies access based on the information provided by NCIC. The determination to grant or deny access is communicated back to the sponsor and recorded in the visitor management module of the PACS along with the date of when the NCIC search was conducted.

Occasionally, federal law enforcement agencies (e.g. FBI, CIA) require access to FEMA facilities as a part of their response to a security event. In these cases, FEMA can program their law enforcement credentials to be accepted by PACS for unescorted access. The information collected from individuals under these circumstances by FEMA is the same as other non-FEMA U.S. Government employees.

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection. Provide a detailed description of: how the information will be shared, if applicable, and for what programmatic purpose.**

The Agency will collect information using two Facility Access Request forms: FEMA Form 121-3-1-3A and 121-3-1-3B. The data is used to create a record within PACS. FEMA’s OCSO also uses the information provided on these forms to run an additional background check through the NCIC to determine whether to grant or deny entry authorization for any individual requesting access to a FEMA controlled facility. NCIC is a computerized database administered by the FBI that provides ready access to law enforcement agencies for making inquiries about an individual’s criminal history. This check verifies that the individual does not have any outstanding warrants for criminal activities indicating a risk to the Department.

OCSO does share any data that is captured on these forms.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

These forms will be electronically stored on the FEMA PACS. These forms can be emailed upon request via the FEMA Access Control. These forms, upon completion can be submitted electronically via (password protected) email to [FEMAAccessControl@fema.dhs.gov](mailto:FEMAAccessControl@fema.dhs.gov) or hand delivered to the Access Control Office. In order to program another agency’s access control card, the applicant must appear in person with their card and must know their 6-8 digit PIN.

**4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

The information collected on these forms will be used to create a new record within FEMA’s PACS and is not already available for use or modification.

**5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize.**

The collection of information does not impact small businesses or other small entities.

**6. Describe the consequence to Federal/FEMA program or policy activities if the collection of information is not conducted, or is conducted less frequently as well as any technical or legal obstacles to reducing burden.**

There are detrimental consequences to Federal/FEMA programs or policy activities if the collection of information is not conducted or is conducted less frequently. It is imperative that the Agency ensures the safety of its personnel and properties when determining whether to grant or deny entry authorization to any individual requesting access to a FEMA facility. The collected information is necessary to run an additional background check through the NCIC to verify that the individual does not have any outstanding warrants for criminal activities indicating a risk to the Department. FEMA also needs to ensure that all visitors are accounted for during emergency situations inside all FEMA facilities.

**7. Explain any special circumstances that would cause an information collection to be conducted in a manner:**

1. **Requiring respondents to report information to the agency more often than quarterly.**

The only circumstance that would require respondents to report information to the agency more than quarterly would be if the respondent received a new agency specific identification card that needed to be coded for FEMA facilities.

1. **Requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it.**

N/A

1. **Requiring respondents to submit more than an original and two**

**copies of any document.**

N/A

1. **Requiring respondents to retain records, other than health,**

**medical, government contract, grant-in-aid, or tax records for more than three years**.

N/A

1. **In connection with a statistical survey, that is not designed to**

**produce valid and reliable results that can be generalized to the universe of study**.

N/A

**(f) Requiring the use of a statistical data classification that has not**

**been reviewed and approved by OMB.**

N/A

**(g) That includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use.**

N/A

**(h) Requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information’s confidentiality to the extent permitted by law.**

N/A

**8. Federal Register Notice:**

**a. Provide a copy and identify the date and page number of publication in the Federal Register of the agency’s notice soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**

A 60-day Federal Register Notice inviting public comments was published on 22 January 2020, 85 FR 3712. **No comments were received.**

A 30-day Federal Register Notice inviting public comments was published on 18 May 2020, 85 FR 29733. **No comments were received.**

**b. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

FEMA has not consulted with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format, and on the date elements to be recorded, disclosed, or reported.

**c. Describe consultations with representatives of those from whom information is to be obtained or those who must compile records. Consultation should occur at least once every three years, even if the collection of information activities is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.**

FEMA has not consulted with representatives from whom information will be obtained on FEMA Form 121-3-1-3A. FEMA meets annually with representatives and mission partners to discuss the information that is collected on FEMA Form 121-3-1-3B.

**9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

Payments or gifts to respondents is not authorized at any time.

**10. Describe any assurance of confidentiality provided to respondents. Present the basis for the assurance in statute, regulation, or agency policy.**

A Privacy Threshold Analysis (PTA) is completed and approved by FEMA Privacy Office and DHS Privacy Office. The PTA was approved on September 16, 2019. PIA – DHS/ALL/PIA-039 Physical Access Control System and SORN: DHS/ALL 024 Perimeter Access Control and Visitor Management SORN and DHS/ALL-025 Law Enforcement Authority in Support of the Protection of Property Owned, Occupied, or Secured by DHS

**11. Provide additional justification for any question of a sensitive nature (such as sexual behavior and attitudes, religious beliefs and other matters that are commonly considered private). This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

Questions of sensitive nature (such as sexual behavior and attitudes, religious beliefs and other matters that are commonly considered private) are not included on these forms.

**12. Provide estimates of the hour burden of the collection of information. The statement should:**

**a. Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated for each collection instrument (separately list each instrument and describe information as requested). Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desired. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.**

The level of effort was determined using the percentage of the time that one person spends working with these forms compared to the rest of their tasks.

**b. If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I.**

**c. Provide an estimate of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. NOTE: The wage-rate category for each respondent must be multiplied by 1.4 and this total should be entered in the cell for “Avg. Hourly Wage Rate”. The cost to the respondents of contracting out or paying outside parties for information collection activities should not be included here. Instead this cost should be included in Item 13.**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Estimated Annualized Burden Hours and Costs** | | | | | | | | |
| Type of Respondent | Form Name / Form No. | No. of Respondents | No. of Responses per Respondent | Total No. of Responses | Avg. Burden per Response (in hours) | Total Annual Burden (in Hours) | Avg. Hourly Wage Rate | Total Annual Respondent Cost |
| Fed, State, Local, and Tribal Government | Facility Access Request / 121-3-1-3A/121-3-1-3B | 20,500 | 1 | 20,500 | 0.17 | 3,485 | $36.47 | $127,098 |
|  |  |  |  |  |  |  |  |  |
| **Total** |  | 20500 |  | 20500 |  | 3,485 |  | $127,098 |

“Type of Respondent” should be entered exactly as chosen in Question 3 of the OMB Form 83-I

**Instruction for Wage-rate category multiplier: Take each non-loaded “Avg. Hourly Wage Rate” from the BLS website table and multiply that number by 1.46[[1]](#footnote-1). For example, a non-loaded BLS table wage rate of $42.51 would be multiplied by 1.46, and the entry for the “Avg. Hourly Wage Rate” would be $36.47.**

According to the U.S. Department of Labor, Bureau of Labor Statistics[[2]](#footnote-2), the May 2018 Occupational Employment and Wage Estimates wage rate for All Occupations (Standard Occupational Classification 00-0000) is $24.98. Including the wage rate multiplier of 1.46, the fully-loaded wage rate is estimated at $36.47 per hour. Therefore, the estimated annual burden hour cost is estimated to be $127,098($36.47 x 3,485 hours).

**13.** **Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. (Do not include the cost of any hour burden shown in Items 12 and 14.)**

**The cost estimates should be split into two components:**

**a. Operation and Maintenance and purchase of services component. These estimates should take into account cost associated with generating, maintaining, and disclosing or providing information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred.**

**b. Capital and Start-up-Cost should include, among other items, preparations for collecting information such as purchasing computers and software, monitoring sampling, drilling and testing equipment, and record storage facilities.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Annual Cost Burden to Respondents or Recordkeepers** | | | | |
| Data Collection Activity/Instrument | \*Annual Capital Start-Up Cost (investments in overhead, equipment, and other one-time expenditures | \*Annual Operations and Maintenance Costs (such as recordkeeping, technical/professional services, etc.) | Annual Non-Labor Cost (expenditures on training, travel, and other resources) | Total Annual Cost to Respondents |
| Physical Access Control System (C-Cure 9000) | $0 | $0 | $0 | $0 |
| **Total** | $0 | $0 | $0 | $0 |

**14. Provide estimates of annualized cost to the federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing and support staff), and any other expense that would have been incurred without this collection of information. You may also aggregate cost estimates for Items 12, 13, and 14 in a single table.**

|  |  |
| --- | --- |
| **Annual Cost to the Federal Government** | |
| Item | Cost ($) |
| Contract Costs [Describe] | $0 |
| Staff Salaries \*4 of GS 11 Step 51 employees spending approximately 5% of time annually inputting data collected into the Physical Access Control System for the data collection. (4 x $78,861 x 0.05 x 1.462 = $23,027.41) | $23,027.41 |
| Facilities [cost for renting, overhead, etc. for data collection activity] | $0 |
| Computer Hardware and Software [cost of equipment annual lifecycle] | $0 |
| Equipment Maintenance [cost of annual maintenance/service agreements for equipment] | $0 |
| Travel | $0 |
| **Total** | $23,027.41 |

1 Office of Personnel Management 2019 Pay and Leave Tables for the Washington-Baltimore-Arlington, DC-MD-VA-WV-PA locality. Available online at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/19Tables/html/DCB.aspx>. Accessed October 9, 2019.

2 The “Salary Rate” includes a 1.46 multiplier to reflect a fully-loaded wage rate.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I in a narrative form. Present the itemized changes in hour burden and cost burden according to program changes or adjustments in Table 5. Denote a program increase as a positive number, and a program decrease as a negative number.**

*A* ***"Program increase"*** *is an additional burden resulting from a federal government regulatory action or directive. (e.g., an increase in sample size or coverage, amount of information, reporting frequency, or expanded use of an existing form). This also includes previously in-use and unapproved information collections discovered during the ICB process, or during the fiscal year, which will be in use during the next fiscal year.*

*A* ***"Program decrease",*** *is a reduction in burden because of: (1) the discontinuation of an information collection; or (2) a change in an existing information collection by a Federal agency (e.g., the use of sampling (or smaller samples), a decrease in the amount of information requested (fewer questions), or a decrease in reporting frequency).*

***"Adjustment"*** *denotes a change in burden hours due to factors over which the government has no control, such as population growth, or in factors which do not affect what information the government collects or changes in the methods used to estimate burden or correction of errors in burden estimates.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Itemized Changes in Annual Burden Hours** | | | | | | |
| Data Collection Activity/Instrument | Program Change (hours currently on OMB inventory) | Program Change (New) | Difference | Adjustment (hours currently on OMB inventory) | Adjustment (News) | Difference |
|  |  |  |  |  |  |  |
| **Total** | 0 | 0 | 0 | 0 | 0 | 0 |

***Explain:*** This is a new collection and does not change a previous collection.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Itemized Changes in Annual Cost Burden** | | | | | | |
| Data Collection Activity/Instrument | Program Change (hours currently on OMB inventory) | Program Change (New) | Difference | Adjustment (hours currently on OMB inventory) | Adjustment (New) | Difference |
|  |  |  |  |  |  |  |
| **Total** | $0 | $0 | $0 | $0 | $0 | $0 |

***Explain:***This is a new collection and does not change a previous collection.

**16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

There are no outline plans for tabulation and publication of data for this information collection.

**17. If seeking approval not to display the expiration date for OMB approval of the information collection, explain reasons that display would be inappropriate.**

This collection does not seek approval to not display the expiration date for OMB approval.

**18. Explain each exception to the certification statement identified in Item 19 “Certification for Paperwork Reduction Act Submissions,” of OMB Form 83-I.**

This collection does not seek an exception to “Certification for Paperwork Reduction Act Submissions”.

1. Bureau of Labor Statistics, Employer Costs for Employee Compensation, Table 1.  “Employer costs per hour worked for employee compensation and costs as a percent of total compensation:  Civilian workers, by major occupational and industry group, March 2019.”  Available at <http://www.bls.gov/news.release/archives/ecec_06182019.pdf>.  Accessed October 9, 2019.  The wage multiplier is calculated by dividing total compensation for all workers of $36.77 by wages and salaries for all workers of $25.22 per hour yielding a benefits multiplier of approximately 1.46. [↑](#footnote-ref-1)
2. Information on the mean wage rate from the U.S. Department of Labor is available online at: <https://www.bls.gov/oes/tables.htm>. [↑](#footnote-ref-2)