

**Supporting Statement for
Paperwork Reduction Act Submission
Department of Transportation Acquisition Regulation (TAR)
Part 1239 Clause 1252.239-70
OMB Approval No. 2105-XXXX**

A. JUSTIFICATION

1. Explain the circumstances that make the collection of information necessary. Identify legal or administrative requirements that necessitate the collection of information.

As a result of proposed rule, RIN 2105-AE26: Streamline and Update the Department of Transportation Acquisition Regulation posted to the Federal Register, 86FR69476, on December 7, 2021, TAR Case 2020-001, this is a request from the Department of Transportation (DOT) for OMB approval of a new Information Collection (IC). Under Public Law 113-283, Federal Information Security Modernization Act of 2014, each agency of the Federal Government must provide security for the information and information systems that support the operations and assets of the agency, including those provided or managed by another agency, contractor, or other source.

To comply with Public Law 113-283, Federal Information Security Modernization Act of 2014, DOT developed clause 1252.239-70, Security Requirements for Unclassified Information Technology Resources. The clause contains the following information collection requirements: An IT Security Plan within 30 days after contract award, and IT Security Accreditation and accompanying documents within 6 months of contract award to include a Final Security Plan, a Risk Assessment, a Security Test and Evaluation Plan, and a Disaster Recovery / Continuity of Operations Plan.

2. Indicate how, by whom, and for what purposes the information is to be used; indicate actual use the agency has made of the information received from current collection.

Clause 1252.239-70, Security Requirements for Unclassified Information Technology Resources, is required in all solicitations and contracts for Information Technology (IT) services and is intended to protect DOT information and information technology by requiring contractors to be responsible for information technology security for all systems connected to a DOT network or operated by the contractor for DOT, regardless of location. This clause is applicable to all or any part of the contract that includes information technology resources or services in which the contractor has physical or electronic access to DOT information that directly supports the mission of DOT. The required information collection requirements are to be used by DOT to assess the contractor's compliance with specific Federal and DOT IT security requirements and is necessary to ensure DOT information and information systems are adequately protected.

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.

Information collection requirement responses and plans can be submitted via electronic submission.

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 collections required by the clause are based on specific requirements for DOT to ensure contractor compliance with Federal and DOT security requirements. Each contract awarded require specific information collections and other contract submissions cannot be used. Submissions are specific to individual contracts. Therefore, there will be no duplication.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

Small businesses will be affected in the same way as large businesses in order to comply with statutes and other Federal requirements which require security of information technology, information and information systems.

6. Describe the consequences to Federal program or policy activities if the collection is not conducted or is conducted less frequently as well as any technical or legal obstacles to reducing burden.

Failure to collect the information could expose vulnerabilities in DOT information technology and protection of information and information systems.

7. Explain any special circumstances that would cause an information collection to be conducted more often than quarterly or require respondents to prepare written responses to a collection of information in fewer than 30 days after receipt of it; submit more than an original and two copies of any document; retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years; 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 and require the use of a statistical data classification that has not been reviewed and approved by OMB.

DOT does not expect that any contractor/subcontractor would submit a response more often annually, unless an employee working on a DOT system or with access to DOT information is reassigned or leaves the Contractor or subcontractor's employ during other parts of the typically annual (12 month) period of performance.

8. a. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the sponsor's notice, required by 5 CFR 1320.8(d), 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 sponsor in responses to these comments. Specifically address comments received on cost and hour burden.

Note: this section will be updated when the proposed rule is published in the Federal Register and

at the end of public comment period. OSPE will address comments received related to this IC, if any.

b. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, clarity of instructions and recordkeeping, disclosure or reporting format, and on the data elements to be recorded, disclosed or reported. Explain any circumstances which preclude consultation every three years with representatives of those from whom information is to be obtained.

There were no efforts to consult with persons outside the agency beyond the publication of this proposed rule in the Federal Register.

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

No payments or gifts have been provided.

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

This information is disclosed only to the extent consistent with prudent business practices and current regulations.

11. Provide additional justification for any questions of a sensitive nature (Information that, with a reasonable degree of medical certainty, is likely to have a serious adverse effect on an individual's mental or physical health if revealed to him or her), such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private; include 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.

The request for information does not include any questions of a sensitive nature.

12. Estimate of the hour burden of the collection of information:

a. The number of respondents, frequency of responses, annual hour burden, and explanation for each form is reported as follows:

Total Burden Hours: 422
Average Number of Respondents: 844
Average Annual Responses: 844

No. of respondents	x No. of responses per respondent	x No. of minutes	÷ by 60 min/hour	Number of Burden Hours
844	1	30		422

Note: DOT has estimated the number of respondents based on identified NAICS codes reflecting previous contract awards averaged over the last three fiscal years—FY 2017, FY 2018, and FY 2019 where the clause may be required. DOT estimates that in the future for a typical contract performance period estimated of five years, the majority of the information collection requirements might be required in one of the years and thus estimates 20% of the total average of contract awards represents the potential pool of number of respondents who might submit an information collection requirement (ICR) response as shown below.

<u>NAICS code: (As shown below)</u>	<u>(Respondents)</u> <u>Contract Award Actions (Average 3 FY)</u>
518210	196
541511	1243
541512	911
541513	357
541519	1355
561621	158
Total	4220

Basis for estimated number of respondents: Number of NAICS code contract actions = 4220 x 20% estimated number of annual respondents (based on typical five-year period of performance and ICR would be submitted in first year of contract) = 844.

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 83-1.

No other form is required by the TAR for use in this collection.

c. Provide estimates of annual cost to respondents for the hour burdens for collections of information. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 14.

Total estimated annual cost to all respondents: \$13,968.20 (422 hours at \$33.10 per hour). Rate of \$33.10 per hour including benefits is based on the average GS-10, Step 1, on the [OPM Salary Table, 2021-GS](#) plus OMB Civilian Position Fringe Benefits rate of 36.25% (per OMB Memorandum M-08-13, March 11, 2008).

13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).

There are no capital or start-up costs associated with the information collection.

14. Provide estimates of annual cost to the Federal Government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operation expenses (such as equipment, overhead, printing, and support

staff), and any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.

TAR clause 1252.239-70, Security Requirements for Unclassified Information Technology Resources.

Estimated annualized cost to the Government: \$34,823.44

Estimate based on 844 responses x 1 hour (estimate of 1 hour of Government review time per response) = 844 hr. at \$41.26/hourly rate from 2021 OPM GS Salary Table, of the average GS 11, Step 5, DOT IT specialist / staff). Rate of \$41.26 per hour including benefits based on the average GS-11, Step 5, on the [OPM Salary Table, 2021-GS](#) with a base hourly rate of \$30.28 + \$10.98 OMB Civilian Position Fringe Benefits rate of 36.25% (per OMB Memorandum M-08-13, March 11, 2008).

15. Explain the reason for any burden hour changes since the last submission

This is a new information 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 plans to publish any data received from this information collection.

17. If seeking approval to omit the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.

DOT will display the expiration date for OMB approval of the information collection.

18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB 83-1.

There are no exceptions.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

Statistical methods will not be employed.