

**Department of Transportation
Maritime Administration
Information Collection Request
2133-XXXX**

**Building American Production Capacity for Electric Port Equipment
and Other Port Infrastructure Items**

SUPPORTING STATEMENT

Introduction: This submission is to request a three-year approval from the Office of Management and Budget (OMB) for the information collection entitled OMB 2133-XXXX, Building American Production Capacity for Electric Port Equipment and Other Port Infrastructure Items, which is a *new collection*.

A. Justification

1. Circumstances Making the Collection of Information Necessary

In the regular course of business, port authorities, and marine terminal operators in the United States (U.S.) purchase cargo handling equipment (CHE) necessary for loading, unloading, and organizing containers, such as ship-to-shore (STS) cranes, rubber-tired gantry cranes (RTGs), rail-mounted gantry cranes, straddle carriers, top loaders, reach stackers, forklifts, and yard tractors.

The proposed information collection (IC) (Building American Production Capacity for Electric Port Equipment and Other Port Infrastructure Items) supports the DOT strategic goals of Economic Strength & Global Competitiveness, Climate & Sustainability, and Transformation (<https://www.transportation.gov/dot-strategic-plan>) by analyzing the demand for port cargo handling equipment, facilitating development of a pooled procurement model, and identifying manufacturers capable of meeting domestic production requirements for federal funding.

The Infrastructure Investment and Jobs Act (IIJA), commonly referred to as the Bipartisan Infrastructure Law (BIL), was signed into law on November 15, 2021. IIJA provides a predictable Federal grant stream that will aid in improving our nation's ports over the next five years. However, these funding streams have domestic sourcing requirements that are not readily attainable within the current port equipment supply industry.

Much of the existing CHE is diesel-powered, in short supply, and rarely manufactured domestically. Other port infrastructure items, such as wharveside fenders, also rarely meet domestic sourcing requirements for Federal grant procurement. Given the shortage of equipment to handle containers, as well as the need to electrify operations in the context of climate change, it is critical that the U.S. build a domestic capacity for manufacturing clean, electrically powered American CHE as an alternative to existing, predominantly foreign sources.

The American Association of Port Authorities (AAPA) conducted an initial survey of port authorities in the U.S. and found significant interest in American-made electrically powered port equipment. Port Authority representatives also expressed interest in the procurement of American-made electrically powered port equipment through a pooled

procurement model. Pooled procurement has multiple benefits. On the supply (manufacturing) side, the aggregated demand is more likely to encourage American manufacturers (or international joint ventures operating in the U.S.) to get into the business. Depending on how the pool is structured, a supplier can get a promise of sole sourcing. On the demand (i.e., ports and their partners) side, pooled procurement can make it easier to identify and negotiate with suppliers. This model might also be structured to guarantee supply at longer-term predictable prices (sometimes called, “piggyback” or “call options”).

Successful pooled procurement of American-made electrically powered port equipment is contingent on identifying manufacturers capable of producing the required equipment in the U.S., either directly or through a joint venture with an American company that satisfies applicable domestic preference requirements. A port willing to lead the procurement would need to be identified to facilitate the development of an initial statement of work. This port could then be used as a model by other ports to acquire needed equipment through their own acquisition processes. This acquisition process would be compliant with Federal grant requirements.

2. Purpose and Use of Information Collection

AAPA, utilizing a cooperative agreement with the U.S. Department of Transportation’s Maritime Administration (MARAD), seeks to identify the aggregated needs of port authorities and marine terminal operators nationally over the coming five to ten years and assess the feasibility of a pool procurement model sourcing electrically powered port equipment and port items.

There are two elements to the proposed information collection:

- A survey of port authorities and marine terminal operators.
- Interviews of equipment manufacturers.

Survey. The survey of port authorities and marine terminal operators is intended to identify the 1) demand for electrically powered port cargo handling equipment (CHE), and other port equipment potentially subject to pooled procurement in support of Buy American/Buy America objectives, and 2) interest in a pooled procurement model. The survey format has been chosen because the information sought is relatively well-structured and should be found in existing organizational documents and plans. Initial dissemination will be via email. Port respondents will be contacted by AAPA, while marine and terminal operators will be contacted by the contractor (Tioga) through the National Association of Waterfront Employers (NAWE). The contractor will use Survey Monkey or another comparable online platform. The contractor will offer options for written or email replies for respondents unable or unwilling to use the online platform.

The selected contractor will collect and use the survey results to develop an estimate of the demand and market size, lead/lag time for pooled procurement of U.S.-manufactured electric CHE, and other relevant port equipment in the U.S. The contractor will also identify and document the willingness of port and terminal operators to participate in a pooled procurement program.

Interviews. Manufacturers will be contacted by the contractor or through an industry association. The contractor has preliminarily identified potential manufacturer interviewee firms through personal knowledge, industry directories, and other sources.

The contractor will make initial manufacturer contacts via email, with phone follow-ups as needed.

The manufacturer interviews will be conducted either by phone or an online meeting platform (e.g., Teams or Zoom), based on respondent preference. Respondents may also respond to the interview in writing by completing and sending an electronic form by email.

The contractor will compile and use the manufacturer interview results to assess the interest and capability of U.S. and foreign manufacturers to produce CHE and other relevant port equipment in the U.S. The interview format has been chosen for this element because the information sought is less structured, less quantified, and less likely to be found in existing documents.

3. Automation or Use of Information Technology

Survey. This IC will utilize information technology for survey notifications, question dissemination, and the compilation of responses. The survey will be Section 508 of the Rehabilitation Act of 1973 compliant within the chosen platform. Electronic data submissions are estimated at over 90% for survey responses. The remaining 10% would most likely involve online meetings or phone calls.

Interviews. The manufacturer interviews will be conducted either by phone or in an online meeting platform (e.g., Teams or Zoom), based on respondent preference. Respondents may also respond to the interview in writing by completing and sending an electronic form by email.

Supplemental means for follow-up discussions with survey respondents or interviewees may include email and virtual meetings.

4. Efforts to Identify Duplication

The AAPA conducted an initial survey of port authorities in the U.S. and found significant interest in American-made electrically powered port equipment but did not yield the more detailed and quantified data necessary to build and support an ongoing program. The proposed survey for Building American Production Capacity for Electric Port Equipment and Other Port Infrastructure Items will expand upon the initial AAPA effort. In particular, the current survey is intended to identify specific ports, marine terminal operators, and private industry/manufacturers with the expected demand and supply capability to sustain the proposed pooled procurement.

5. Impact on Small Businesses or Other Small Entities

This survey will not impact small businesses or other small entities.

6. Impact of Not Conducting or Less Frequent Collection of Information

Without this collection of information, the AAPA and MARAD would be unable to identify overall demand and supply or specific ports and private industry/manufacturers with the expected demand and supply to sustain the proposed pooled procurement for American-made electrically powered port equipment and other items. The survey is non-repeating and voluntary for industry participants.

7. Special Circumstances Relating to the Guidelines 5 CFR 1320.5

There are no special circumstances associated with this collection of information. The survey and interviews will not:

- Require respondents to report information to MARAD more often than quarterly;
- Require respondents to prepare a written response in fewer than 30 days after receipt of a collection instrument;
- Require respondents to submit more than one original copy of any document;
- Require respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;
- Require the use of any statistical data that is not designed to produce valid and reliable results that can be generalized to the universe of study;
- Require the use of a statistical data classification that has not been reviewed and approved by OMB;
- Require 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; or
- Require respondents to submit proprietary trade secrets 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.

8. Public Comments in Response to the Federal Register Notice and Outside Consultation

MARAD published a 60-day notice and request for comments on this information collection in the Federal Register (FR 13226, Vol 88, No. 41) on March 2, 2023, indicating comments should be submitted on or before May 1, 2023. No comments were received. A 30-day notice was also published in the Federal Register (FR 37599, Vol. 88, No. 110) on June 8, 2023, to solicit public comments. No comments were received.

MARAD also consulted with American Association of Port Authorities (AAPA) points of contact (POCs) regarding interest among the port industry stakeholders in the development of American-made electrically powered port equipment. AAPA POCs and contractor resource also provided valuable input regarding the statistical methodology incorporated in the survey and also the inquiries used in the Interview Guide developed for this collection.

9. Explanation of Any Payments or Gifts to respondents

There is no payment or gift to respondents for participation in this survey.

10. Assurance of Confidentiality and Protection of Privacy

The survey is voluntary for industry participants. Assurances of confidentiality would be handled by AAPA through its selected contractor. The contractor is experienced in dealing with confidential information and will use routine confidentiality procedures such as scanning and shredding paper forms and notes, password-protecting the data and

information storage, and enabling need-to-know access to survey responses and collected data. Survey results will be presented only in aggregate tables, charts, or text to prevent the identification of individual responses.

11. Justification for Sensitive Questions

No questions of a sensitive nature are asked.

12. Estimate of Annualized Burden Hours and Cost for Information Requested:

a. Estimated Annualized Burden Hours:

Based on previous experience with the initial AAPA survey, an estimated 150 potential survey and interview respondents will take an average of 15 minutes to review the survey and interview requests and choose whether or not to participate or to begin the survey and exit based on qualification questions. As such, the total estimated total review burden is 37.5/38 hours, is illustrated in the table below:

Number of Potential Respondents		Reviews per Respondent		Total Reviews		Hours per Review		Total Hours
150	*	1	=	150	*	.25	=	37.5/38

Of the total 150 potential respondents, an estimated 50 of them will take 2 hours (estimated based on previous survey experience, to be recalibrated based on pilot surveys and interviews) to complete either 1) this one-time survey, using either the electronic platform or other available medium, or 2) the one-time interview via on-line meeting (e.g. Zoom) or conference call, and 3) the time taken to review and/or respond to multiple (2-3) email reminders and supplemental follow-up discussions either by email or virtual meetings. The latter i.e., supplemental follow-up discussions will be conducted at the discretion of respondents. As such, the total estimated response burden is 100 hours, and is illustrated in the table below:

Number of Respondents		Responses per Respondent		Total Responses		Hours per Response		Total Hours
50	*	1	=	50	*	2	=	100

Therefore, the total combined respondents and responses for this collection are 200, while the total combined burden hours associated with this collection is 137.5/138 hours.

b. Estimated Annualized Cost Burden

The Department of Labor website (<https://www.bls.gov/oes/current/oes530000.htm>) estimates that the average hourly rate for Transportation and Material Moving Occupations is \$ 21.12. Therefore, the estimated annualized cost is \$2,914.56, while the loaded costs, including the benefits multiplier of 1.4, is \$ 4,080.38, which is calculated as follows in the table below:

Transportation	Average	Total	Estimate	Benefits	Total
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and Material Moving Occupations (53-000)	Hourly Wage Rate		Annual Burden Hours		d Total		Multiplier		Annualized Burden (loaded)
	\$21.12	*	138	=	\$2,914.56	*	1.4	=	\$ 4,080.38

13. Estimate of Total Annual Costs to Respondents and/or Record Keeper

No additional costs to respondents are anticipated to complete the proposed one-time survey. Respondents are expected to use information technology already available as part of customary and usual business practices.

14. Estimate of Federal Government Costs

The estimated total cost to the Federal government is \$85,585.12. The calculation of this estimate is illustrated in the tables below.

Funding for the project is being provided under the 2019 Cooperative Agreement between AAPA and MARAD. Up to \$110,000 is available under the 2020 Modification 2 of this agreement for domestic preference activities, with an expectation of \$79,088 to be used for this project. AAPA selected a contractor to perform the project work using this funding, with the budget shown below:

Category	Task 1 Hours					Task 2 Hours					Final Deliverables Hours			Total	
	Kickoff Meeting	Survey Development	Survey Deployment	Analysis	Report and Presentation	Manufacturer Identification	Interview Guide Development	Interviews	Analysis	Report and Presentation	Draft Report	Final Draft	Final Report & Ex Summary	Total Hours	Total Fees
Project Total Hours	9	28	78	42	36	20	15	38	24	26	30	18	16	400	\$79,088

Federal staff cost is estimated at \$6,497.12. This cost assumes that a GS-13 step 5 personnel, with an hourly rate for the Washington, DC locality of \$58.01 (https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/22Tables/html/DCB_h.aspx), will spend a total 80 hours completing tasks including reviewing and compiling survey responses for this project:

Government Analyst (GS 13)	Hourly Wage Rate		Total Hours		Total Wages		Benefit Multiplier		Total Loaded Wage
	\$58.01	*	80	=	\$4,640.80	*	1.4	=	\$6,497.12

Cooperative Agreement Cost		Total Federal Staff Cost		Total Cost to Federal Government
\$79,088	+	\$6,497.12	=	\$85,585.12

15. Explanation of Program Changes or Adjustments

The proposed collection is a new information collection that has a public burden impact. An estimated 150 potential respondents will take an average of 15 minutes to review the

survey and interview requests and choose whether or not to participate or to begin the survey and exit based on qualification questions. Of these, only 50 respondents will take two (2) hours to respond once to this collection. Therefore, the total combined respondents and responses for this collection are 200, while the total combined burden hours associated with this collection is 137.5. Approximately 90% of this collection is fully electronic. The remaining 10% is expected to include phone calls and online meetings expected to use the same time.

16. Publication of Data Collection Results

The results of this survey will not be public. The Building American Production Capacity for Electric Port Equipment and Other Port Infrastructure Items Final Report(s) will be issued to government agencies, business partners, and within MARAD. The exercise is expected to begin in January 2024, with the final report(s) estimated to be published by January 2025 .

17. Displaying of the OMB Expiration Date

MARAD is not seeking approval to omit the OMB expiration date for this collection.

18. Exceptions to Certification Statement

There are no exceptions to the certification statement.