

Note: January 2023.

This Directive may no longer be current. Please check with the program office responsible for this Directive to determine if there are any updates or if the Directive is no longer in use.



Commandant  
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COMDTINST 5213.1  
13 NOVEMBER 2013

COMMANDANT INSTRUCTION 5213.1

Subj: US COAST GUARD INFORMATION COLLECTION PROGRAM

- Ref:
- (a) Information Collection Program, DHS-MD-142-01
  - (b) Information Collection and Reporting, DoDI 8910.01
  - (c) Management of Federal Information Resources, Office of Management and Budget (OMB) Circular A-130
  - (d) Paperwork Reduction Act (PRA) of 1995, Title 44 U.S.C. Chapter 35
  - (e) Controlling Paperwork Burdens on the Public, Title 5 CFR Chapter 1320
  - (f) Privacy Act of 1974, 5 U.S.C. 552a
  - (g) The Coast Guard Freedom of Information (FOIA) and Privacy Act Manual, COMDTINST M5260.3 (series)

1. PURPOSE.

- a. Information is vital to the success of any organization and provides the basis for management decisions. Specific types of data are needed to meet particular requirements. Information collections are the major means for providing this data. As conditions or needs change, information management must provide for the improvement of collections or systems; it must also provide for the control of information requirements to ensure minimum collection burden is expended and maximum effectiveness obtained.
- b. This Instruction provides policies and guidance for the management and direction of the Coast Guard Information Collection (IC) Program that applies to all Coast Guard units with a requirement to collect information from the public of ten or more persons.

2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Instruction. Internet release is authorized.

DISTRIBUTION – SDL No. 162

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NON-STANDARD DISTRIBUTION:

3. DIRECTIVES AFFECTED. None.

4. DISCUSSION.

- a. Following references (a) through (g) are mandatory when the U.S. Coast Guard collects information from ten or more members of the public during a twelve month period, regardless of whether the solicitation is mandatory, voluntary, or required to obtain a benefit. Procedures outlined in this Instruction will guide Program Managers (PM), Web Masters, and others to submit required documentation for publication in the Federal Register (FR). This publication requirement affords the public an opportunity to comment on the usefulness of the collection. All collections must be submitted to and approved by OMB prior to soliciting data. Unless exempt as outlined in Paragraph 8 of this Instruction, collecting information without going through the PRA process and receiving OMB approval constitutes a violation and must be reported to Congress.
- b. In order to provide certain services to the general public, the U.S. Coast Guard collects certain information from the public. To ensure the greatest possible public benefit from and maximize the utility of information created, collected, maintained, used, shared and disseminated by or for the U.S. Coast Guard, all such activities are controlled under the provisions of Reference (d). Reference (e) was implemented in 1995 to minimize the paperwork burden for individuals, small businesses, educational and nonprofit institutions, Federal contractors, State, local and tribal governments, and other persons resulting from the IC.
- c. With the proliferation of U.S. Coast Guard directorate/unit Web pages on the Internet, surveys, questionnaires, and electronic forms are increasingly being posted for the public to complete online without following the necessary steps to achieve legal compliance via OMB approval. It is essential all directorates and units recognize and adhere to mandates as outlined in this Instruction to ensure ICs are sanctioned.

5. OBJECTIVES.

- a. To reduce, minimize and control burdens to the public while maximizing the practical utility and public benefit of the information created, collected, disclosed, maintained, used, shared and disseminated by or for the Federal government;
- b. Minimize the cost to the Federal government of collecting, maintaining, using, and disseminating information; and,
- c. Maximize the usefulness of information collected by the Federal government.

6. RESPONSIBILITIES.

- a. The Chief, Office of Information Management (CG-61) is responsible for administering the Coast Guard Information Collection Program and will:
  - (1) Review ICs for conformance with reporting standards;
  - (2) Review recurring ICs at least every 3 years; and,

- (3) Maintain management data on ICs required by the organization.
- b. Paperwork Reduction Act Manager (CG-612). The PRA Manager will:
- (1) Monitor the Regulatory Information Service Center (RISC)/Office of Information and Regulatory Affairs (OIRA) Consolidated Information System (ROCIS) database, interfacing with DHS and OMB to ensure PMs are aware when Collections are due for renewal or amendment. Work with PMs for assurance of complete packages for both 60 and 30 day Notices for publication in the FR.
  - (2) Provide advance notification of ICs due to expire to appropriate PMs. If necessary, assign appropriate Office of Primary Responsibility (OPR).
  - (3) Provide advance notifications of the following to PMs twelve months prior to expiration of the IC:
    - (a) Notice of Expiring Report, Form CGHQ-5149. See Enclosure (1).
    - (b) Deadlines for PMs to submit required documentation.
  - (4) Process all documents received from PMs in a timely manner. Ensure that the following documents have been updated by the PMs:
    - (a) Paperwork Reduction Act, Form OMB 83-I. See Enclosure (2);
    - (b) Paperwork Reduction Act Change Worksheet, Form OMB 83-C, if applicable. See Enclosure (3);
    - (c) Paperwork Reduction Act Collection Discontinuation, Form OMB 83-D, if applicable. See Enclosure (4);
    - (d) Paperwork Reduction Act Emergency Extension, Form OMB 83-E, if applicable. See Enclosure (5);
    - (e) Statement of Justification utilizing the Instruction as outlined in the second page of OMB 83-I. See Enclosure (6). Special care shall be provided in the Burden Hour section of the Statement of Justification;
      - 1) Each collection instrument shall contain a breakdown of their respective Burden Hours.
        - a. Certain collection instruments, such as life-saving equipment, will preclude the PM from conducting an effective Burden Hour breakdown due to the sheer number of individual pieces.
        - b. When this occurs, the PM will group the items in a reasonable manner and count them as one piece of equipment to determine the overall Burden Hour for that group.

- 2) The Burden Hour shall be explicitly outlined indicating the number of responses, the number of responders, and the frequency of the responses.
  - 3) The Burden Hour shall utilize the decimal equivalent vice the fractional equivalent of hours and minutes.
  - 4) The Burden Hour is calculated by multiplying the number of responses, number of responders, and the frequency of responses.
- (f) Information Collection Instruments, as defined in Paragraph 10 of this Instruction;
- 1) New or revised forms associated with the information collection.
  - 2) Surveys and questionnaires.
  - 3) All collections of Personally Identifiable Information (PII) will require Privacy Act Statements associated with the IC.
- (g) Proposed or revised IC instruction for the public. See Enclosure (7);
- (h) Narrative of Revisions, if applicable. See Enclosure (8); and,
- (i) Other documentations deemed pertinent to the collection.
- (5) Obtain signatory approval upon completion of Paragraph 6.b(4). The primary chain of command for required signatures for publishing Notices in the FR are as follows: Headquarters Office Chiefs/Office of Primary Responsibility (OPR), Commandants (CG-0943), (CG-612), (CG-61), and (CG-6).
- (6) Notify PMs once the IC is approved by OMB.
- (7) Forward all approved forms to Forms Manager for posting.
- (8) Update the ROCIS database and notify the DHS PRA Clearance Officer.
- c. Forms Manager (CG-612). The Forms Manager will:
- (1) Notify the vendor to modify forms on new ICs to include the expiration date and OMB number. For currently existing forms associated with ICs, to modify the expiration date as approved by OMB.
  - (2) Post forms in the Internet for public use.
  - (3) Post forms in the Intranet for CG-Use-Only in the performance of their duties.
- d. Headquarters Office Chiefs/OPR. The Office Chiefs/OPR within CGHQ will:
- (1) Assign a PM when requesting a new IC.

- (2) Ensure that recurring ICs within their office have a PM assigned for the life cycle of the IC.
- (3) When PMs change, ensure that Commandant (CG-61) is notified of the changes to ensure continuity.

e. Program Managers. All Program Managers will:

- (1) Ensure all ICs under their purview conform to standards in accordance with References (a) through (g).
- (2) Submit all documentations as requested by the PRA Manager as described in Paragraph 6.b(4) of this Instruction.
- (3) Inform the PRA Manager of all cancelled ICs, as well as ICs that are combined, or, in the process of being combined.
  - (a) Information Collections that have been incorporated into one primary collection may be cancelled or discontinued upon OMB approval.
  - (b) Combined collections shall be retained for record keeping purposes for a minimum of three years.

f. Unit/Field Commanding Officers(COs)/Officers in Charge (OICs). Unit/Field COs/OICs are not authorized to collect information from ten or more persons without first contacting Commandant (CG-61). This is to ensure that Unit/Field COs/OICs are in regulatory compliance with References (d) and (e).

7. PROCEDURES. To ensure compliance with Reference (a), all methods of collecting information from the public are required to have OMB approval. Exemptions are outlined in Paragraph 8 of this Instruction. There are specific requirements to be followed in requesting and receiving an OMB control number.
- a. The PM (or OPR of a proposed or recurring IC) will submit completed documents to the PRA Manager as outlined in Paragraph 6.b(4) of this Instruction. Failure to submit proper documentation, in a timely manner, will result in the cancellation of the IC.
  - b. The PRA Manager will submit for approval all information concerning the information collection via the chain of command, as outlined in Paragraph 6.b(5).
  - c. The PRA Manager will provide any assistance necessary to the PM in completing the IC requirement.
  - d. The PRA Manager will submit a 60-day Notice to the FR with signatures as outlined in Paragraph 6.b(5). Once the 60-day Notice in the FR expires, the PRA Manager will submit a 30-day Notice to the FR with the same signatures as outlined in Paragraph 6.b(5).
    - (1) In accordance with References (d) and (e), a 60-day Notice shall be published in the FR to allow the public to comment on the IC.

- (a) Comments received during the 60-day Notice period shall be forwarded to the PM to allow for proper responses to comments received from the public.
  - (b) Responses to the comments shall be incorporated in the 30-day Notice addressing the comments received from the public. Similar or like comments may be grouped into one response. Distinct comments shall be addressed individually.
- (2) In accordance with References (d) and (e), a 30-day Notice shall be published in the FR notifying the OIRA of our intent to collect the information from the public.
- (a) Comments received during the 30-day Notice period shall be forwarded to the PM to allow proper responses to comments received from the public.
  - (b) Responses to the comments during the 30-day Notice period shall be forwarded directly to the PRA Manager to be included as part of the IC package.
  - (c) All comments from the public and, responses to the comments, during their respective 60-day and 30-day commenting period will be submitted in ROCIS as part of the information collection.
- (3) A 30-day Notice shall not be published without first publishing a 60-day Notice in the FR in accordance with References (d) and (e).
- e. Pass-backs. Once all documentation has been submitted in ROCIS, questions may arise from the OMB Desk Officer or DHS PRA Clearance Officer concerning the IC. Program Managers shall provide timely responses to DHS and OMB pass-backs. Due to the nature of pass-backs, first response is required within three business days. Pass-backs from the OMB Desk Officer requiring response beyond the three business days response time shall be coordinated with the PRA Manager through the DHS PRA Clearance Officer. A phone conference may be requested to facilitate deliberation of the required response. Phone conferences shall be coordinated through the PRA Manager.
8. EXEMPTIONS. The following types of information collections from the public are exempt from OMB review.
- a. Collections of information from fewer than 10 persons annually.
  - b. Affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgments, provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument.
  - c. Samples of products or of any other physical objects.
  - d. Facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through non-standardized oral communication in connection with such direct observations.

- e. Facts or opinions submitted in response to general solicitations of comments from the public, published in the FR or other publications, provided that no other person is required to supply specific information pertaining to the commenter, other than necessary for self-identification, as a condition to the agency's full consideration of the comment.
  - f. Facts or opinions, obtained initially or in follow-up requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on, or prophylaxis to prevent, a clinical disorder; direct treatment of that disorder; or in the interpretation of biological analyses of body fluids, tissues, or other specimens or the identification or classification of such specimens.
  - g. A request for facts or opinions addressed to a single person.
  - h. Examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations.
  - i. Facts or opinions obtained or solicited at or in connection with public hearings or meetings.
  - j. Facts or opinions obtained or solicited through non-standardized follow-up questions designed to clarify responses to approved collections of information.
  - k. Like items so designated by OMB.
  - l. Collections of information from Federal employees within the scope of their employment, unless the results are to be used for general statistical purposes.
  - m. Members of the Armed Forces serving on active duty, members of their families, and retired members of the Armed Forces when being surveyed within the context of Section 804 of the FY 1986 Defense Authorization Act.
  - n. Collections of information involving compulsory process under the Anti-Trust Civil Process Act, Public Law 87-664, or Section 13 of the Federal Trade Commission Improvements Act of 1980, Public Law 96-252.
  - o. Collections of information required during the conduct of intelligence activities, as defined in Section 4-206 of Executive Order 12036, issued January 24, 1978; successor orders, including Executive Order 12333, issued December 4, 1981; or, during the conduct of cryptologic activities that are communications securities activities.
  - p. Public collections of information needed during the conduct of a Federal criminal investigation or prosecution, during the disposition of a particular criminal matter, during the conduct of a civil action to which the United States or any official or agency thereof is a party, or during the conduct of an administrative action or investigation involving an agency against specific individuals or entities.
9. **FAST-TRACK PROCESS.** Offices requiring Fast Track PRA Clearance must coordinate with the PM and PRA Manager. The PRA Manager will contact the DHS PRA Clearance Officer to brief

and discuss the IC. A conference call with the PM, PRA Manager, and DHS PRA Clearance Officer may be required.

- (1) Upon receiving approval from the DHS PRA Clearance Officer, the PM shall develop an IC Request consisting of the following documents:
  - (a) Paperwork Reduction Act Submission, Form OMB 83-I. See Enclosure (2).
  - (b) Statement of Justification.
  - (c) All IC instruments.
- (2) The DHS PRA Clearance Officer shall contact the OMB Desk Officer to schedule a conference call to discuss the collection with all parties involved.
  - (a) If Fast-Track approval is granted, the PRA Manager shall move forward with the Fast-Track memo and Fast-Track Federal Register Notice (FRN).
  - (b) If Fast-Track approval is not granted, the information collection shall proceed with the normal clearance procedures outlined in Paragraph 7 of this Instruction.
- (3) The PM shall prepare a memorandum for the DHS CIO's signature to OMB requesting Fast-Track clearance. The memo header shall have the following format:

To: OMB

From: DHS CIO

Through: Commandant (CG-6), CIO
- (4) The memo shall address the following concerns:
  - (a) Why the information is essential to the mission of the agency.
  - (b) Why the Department/Component cannot reasonably comply with the normal clearance procedures stated in Reference (e).
  - (c) A statement that public harm is reasonably likely to result if normal clearance procedures are followed.
  - (d) Why the unanticipated event has occurred; or why the use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of information; or is reasonably likely to cause a statutory or court order deadline to be missed.
  - (e) A statement that the agency has taken all practical steps to consult with interested agencies and members of the public in order to minimize the burden of the collection of information.

(5) The PRA Manager shall prepare the FRN. The Office of General Counsel (OGC) shall review and approve the FRN before it is submitted to the FR.

(6) The PRA Manager shall submit all documents to ROCIS.

## 10. DEFINITIONS.

- a. Agency. Any executive department, Military Department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency, but does not include the General Accounting Office, Federal Elections Commission, the governments of the District of Columbia and of the territories and possessions of the United States, and their various subdivisions, or Government-owned contractor-operated facilities including laboratories engaged in national defense research and production.
- b. Burden. The time, effort, or financial resources expended by persons to provide information to a Federal agency, including:
  - (1) Reviewing instructions;
  - (2) Developing, acquiring, installing, and utilizing technology and systems for the purpose of collecting, validating, and verifying information;
  - (3) Developing, acquiring, installing, and utilizing technology and systems for the purpose of processing and maintaining information;
  - (4) Developing, acquiring, installing, and utilizing technology and systems for the purpose of disclosing and providing information;
  - (5) Adjusting the existing ways to comply with any previously applicable instructions and requirements;
  - (6) Training personnel to be able to respond to an IC;
  - (7) Searching data sources;
  - (8) Completing and reviewing the IC; and
  - (9) Transmitting, or otherwise disclosing the information.
- c. Computer Generated Reports. Reports generated by processing data residing in a computerized database.
- d. Information Collection. The obtaining, causing to be obtained, soliciting, or requiring the disclosure to an agency, third parties or the public of information by or for an agency by means of identical questions posed to, or identical reporting, recordkeeping, or disclosure requirements imposed on, ten or more persons within any twelve-month period, whether such collection of information is mandatory, voluntary, or required to obtain or retain a benefit.

- (1) Answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed upon, ten or more persons within any twelve-month period, other than agencies, instrumentalities, or employees of the United States.
  - (2) Answers to questions posed to agencies, instrumentalities, or employees of the United States, which are to be used for general statistical purposes.
- e. Information Collection Instrument. Data or information collected for use in determining policy; planning; controlling and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative, statistical, graphic, or any other form and may be displayed on paper, magnetic tape, or other media.
  - f. Information Requirement. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment of maintenance of forms or formats, information management collection or record keeping systems, manual or automated.
  - g. One-Time Information Collection. An information collection prepared only once.
  - h. Recurring Information Collection. An information collection that conveys essentially the same type of information at prescribed intervals.
  - i. Survey or Personnel Survey. An organized effort to obtain information from persons about themselves, their attitudes, perceptions, beliefs, opinions, or interests where the collection of such information is not a normal administrative requirement internal to the organization.
  - j. Person. An individual, partnership, association, corporation (including operations of government-owned contractor-operated facilities), business trust, or legal representative, an organized group of individuals, a State, territorial, tribal or local government or branch thereof, or a political subdivision of a State, territorial, tribal or local government or a branch of a political subdivision.
  - k. ROCIS. Database that enables agencies to electronically submit regulations to OMB for review and comment. ROCIS assigns each submission a unique OMB tracking number and tracks the review through the OIRA review and Agency notification process.
  - l. Program Manager. The program manager is the originator of a proposed or recurring IC as assigned by the OPR's Office Chief.
11. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been evaluated for potential records management impacts. The development of this Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements

12. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for U.S. Coast Guard personnel and is not intended to, nor does it impose legally-binding requirements on any party outside the U.S. Coast Guard.
13. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
- a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE # 33 from further environmental analysis, in accordance with Paragraph 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Instruction contains guidance on, and provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.
  - b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates. Due to the administrative and procedural nature of this Instruction, and the environmental guidance provided within it for compliance with all applicable environmental laws prior to promulgating any directive, all applicable environmental considerations are addressed appropriately in this Instruction.
14. DISTRIBUTION. No paper distribution will be made of this Instruction. Official distribution will be via electronic version located on the following Commandant (CG-612) web sites. Internet: <http://www.uscg.mil/directives>, Intranet: <http://cgweb.comdt.uscg.mil/CGDirectives/Welcome.htm>, and CG Portal: <https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>.
15. FORMS/REPORTS. The forms called for in this Instruction are available in USCG Electronic Forms on the Standard Workstation or on the Internet: <http://www.uscg.mil/forms/>; CGPortal at <https://cgportal.uscg.mil/delivery/Satellite/uscg/References>; and Intranet at <http://cgweb.comdt.uscg.mil/CGForms>.
16. REQUEST FOR CHANGES. To submit recommended changes, please contact Commandant (CG-612) PRA Manager at [hqs.collections@uscg.mil](mailto:hqs.collections@uscg.mil).

R. E. Day /s/  
Assistant Commandant for  
Command, Control, Communications,  
Computers and Information Technology

COMDTINST 5213.1

- Encl: (1) Notification of Expiring Report, Form CG-5149  
(2) Paperwork Reduction Act Submission, Form OMB 83-I  
(3) Paperwork Reduction Act Change Worksheet, Form OMB 83-C  
(4) Paperwork Reduction Act Collection Discontinuation Form, Form OMB 83-D  
(5) Paperwork Reduction Act Emergency Extension, Form OMB 83-E  
(6) Statement of Justification  
(7) Information Collection Instruction  
(8) Narrative of Revisions

U.S. DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CGHQ-5149 (Rev. 04-04)	<b>NOTIFICATION OF EXPIRING REPORT</b>	<input type="checkbox"/> FIRST NOTIFICATION <input type="checkbox"/> SECOND NOTIFICATION
FROM:	TO:	
TITLE OF REPORT		
TYPE OF REPORT		
<input type="checkbox"/> INTRA COAST GUARD	RCN NUMBER ASSIGNED _____	EXPIRATION DATE _____
<input type="checkbox"/> PUBLIC USE	OMB NUMBER ASSIGNED _____	EXPIRATION DATE _____
<input type="checkbox"/> INTER AGENCY	RCN NUMBER ASSIGNED _____	EXPIRATION DATE _____
FORM NUMBER	PRESCRIBED BY	
<ol style="list-style-type: none"> <li>1. Approval of the reporting requirement shown above is due to expire, as indicated.</li> <li>2. Request to extend approval of Intra Coast Guard reports must be received not later than 30 days after first notification.</li> <li>3. Requests to extend OMB approval must be received by OMB NLT 90 days before expiration, by OST NLT 120 days before expiration and are required to be submitted to G-TPS not later than 130 days before expiration.</li> <li>4. Requests not received in ample time for review, evaluation, and processing will result in termination of the report on the assigned expiration date.</li> <li>5. If you do not intend to continue the reporting requirement please notify the Program Support Division.</li> <li>6. Coast Guard reports policy and approval instructions may be found in Headquarters Instruction 5214.4 series.</li> </ol>		
COMMENTS		
CONTACT FOR ASSISTANCE	TELEPHONE NUMBER	ROOM NUMBER
SIGNATURE OF CHIEF MGMT. PROGRAMS & POLICY DIVISION	DATE OF NOTIFICATION	





OMB CONTROL NUMBER -	TITLE
<b>19. CERTIFICATION FOR PAPERWORK REDUCTION ACT SUBMISSIONS</b>	
<b>a. PROGRAM OFFICIAL CERTIFICATION</b>	
<b>(1) Signature</b>	<b>(2) Date</b>
<p>On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.</p> <p><b>NOTE:</b> The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. <i>The certification is to be made with reference to those regulatory provisions as set forth in the instructions.</i></p> <p>The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:</p> <ul style="list-style-type: none"> <li>(a) It is necessary for the proper performance of agency functions;</li> <li>(b) It avoids unnecessary duplication;</li> <li>(c) It reduces burden on small entities;</li> <li>(d) It uses plain, coherent, and unambiguous language that is understandable to respondents;</li> <li>(e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;</li> <li>(f) It indicates the retention periods for recordkeeping requirements;</li> <li>(g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3) about:             <ul style="list-style-type: none"> <li>(i) Why the information is being collected;</li> <li>(ii) Use of information;</li> <li>(iii) Burden estimate;</li> <li>(iv) Nature of response (voluntary, required for a benefit, or mandatory);</li> <li>(v) Nature and extent of confidentiality; and</li> <li>(vi) Need to display currently valid OMB control number;</li> </ul> </li> <li>(h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);</li> <li>(i) If applicable, it uses effective and efficient statistical survey methodology; and</li> <li>(j) It makes appropriate use of information technology.</li> </ul> <p>If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.</p>	
<b>b. SENIOR OFFICIAL OR DESIGNEE CERTIFICATION</b>	
<b>(1) Signature</b>	<b>(2) Date</b>

**PAPERWORK REDUCTION ACT  
CHANGE WORKSHEET**

<b>Agency/Subagency</b>	<b>OMB control number</b> _____
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*Enter only items that change*

	Current record	New record
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<b>Agency form number(s)</b>		
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<b>Annual reporting and recordkeeping hour burden</b>		
Number of respondents		
Total annual responses		
Percent of these responses collected electronically	%	%
Total annual hours		
Difference		0
Explanation of difference		
Program change		
Adjustment		

<b>Annual reporting and recordkeeping cost burden (in thousands of dollars)</b>		
Total annualized Capital/Startup costs		
Total annual costs (O&M)		
Total annualized cost requested	0.00	0.00
Difference		0.00
Explanation of difference		
Program change		
Adjustment		

**Other changes\*\***

<b>Signature of Senior Official or designee:</b>	<b>Date:</b>	<b>For OIRA Use</b> _____
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\*\*This form cannot be used to extend an expiration date.



**PAPERWORK REDUCTION ACT  
COLLECTION DISCONTINUATION FORM**

Agency/Subagency	OMB Control Number -----
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Title of Collection:

Current Expiration Date  ____/____ month/year	Requested Expiration Date to Discontinue Collection  ____/____ month/year
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Reason for Discontinuation:

Signature of Senior Official or Designee:	Date:	For OIRA Use _____ _____
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**SUPPORTING STATEMENT FOR**  
**TITLE OF COLLECTION**  
**OMB Control No.: XXXX-XXXX**  
**COLLECTION INSTRUMENT(S): PLEASE LIST**

**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.

**"RESPONSE"**

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.

**"RESPONSE"**

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.

**"RESPONSE"**

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.

**"RESPONSE"**

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 burden.

**"RESPONSE"**

6. Describe the consequence 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.

**"RESPONSE"**

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:
- Requiring respondents to report information to the agency more often than quarterly;
  - requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
  - requiring respondents to submit more than an original and two copies of any document;
  - requiring respondents to 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;
  - requiring the use of a statistical data classification that has not been reviewed and approved by OMB;
  - 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; or
  - 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.

**"RESPONSE"**

8. If applicable, provide a copy and identify the data and page number of publication in the Federal Register of the agency'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 agency in response to these comments. Specifically address comments received on cost and hour burden.

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.

Consultation with representatives of those from whom information is to be obtained or those

who must compile records should occur at least once every 3 years -- even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

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

**"RESPONSE"**

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

**"RESPONSE"**

11. Provide additional justification for any questions 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 person's form whom the information is requested, and any steps to be taken to obtain their consent.

**"RESPONSE"**

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

- Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. 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 desirable. 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.
- 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.
- Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. 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

Type of Respondent	Form Name / Form Number	No. of Respondents	No. of Responses per Respondent	Avg. Burden per Response (in hours)	Total Annual Burden (in hours)	Avg. Hourly Wage Rate	Total Annual Respondent Cost
<b>Total</b>							

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).

- The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life); and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the 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. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.
- If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.
- Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government or (4) as part of customary and usual business or private practices.

**"RESPONSE"**

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 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.

**"RESPONSE"**

15. Explain the reasons for any program changes or adjustments reporting in Items 13 or 14 of the OMB Form 83-I.

**"RESPONSE"**

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.

**"RESPONSE"**

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

**"RESPONSE"**

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

**"RESPONSE"**



U.S. DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD	<b>Information Collection Title</b>	OMB No. 1625-XXXX Exp: mm/dd/yyyy
<b>Who must comply?</b>	<b>List the affected public that must comply.</b>	
<b>What is this collection about?</b>	<b>Provide a short description of what the collection is about.</b>	
<b>Where do I find the requirements for this information?</b>	<b>Provide links to the cited rules and regulations such as— <a href="http://ecfr.gpoaccess.gov">http://ecfr.gpoaccess.gov</a>. Provide a breakdown of the affected rule and regulation cited in the Statement of Justification.</b>	
<b>When must information be submitted to the Coast Guard?</b>	<b>Provide description of when the public is to submit information to the Coast Guard</b>	
<b>How is the information submitted?</b>	<b>Provide information on the means of how the public is to submit the information, i.e., email, fax, etc.</b>	
<b>What happens when complete information is received?</b>	<b>Provide a description on the course of action the Coast Guard will be taking once the information is received..</b>	
<b>For additional information, contact--</b>	<b>If applicable, provide a link to where the public may find additional information. Additionally, provide a POC with complete address, office number, fax number, and/or email.</b>	

An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number.

The Coast Guard estimates that the average burden per response for this report varies per information collection--about **X minutes/hours. For multiple information collection instruments, list burden hours individually.** You may submit any comments concerning the accuracy of this burden estimate or any suggestions for reducing the burden to: Commandant (CG-XXXX), U.S. Coast Guard, **Use New Address**, Washington D.C. **and new Zip code** or Office of Management and Budget, Paperwork Reduction Project (1625-XXXX), Washington, DC 20503.



## **Narrative of Revisions**

*The purpose of the Narrative of Revisions is to clearly indicate revisions to a collection since the previous approval.*

Collection Title: **Indicate the Collection Title**

OMB Control No.: 1625-XXXX

Current Expiration Date: **mm/dd/yyyy**

Collection Instruments: **List individually, if applicable.**

The following listed below are revisions to the collection:

- **Itemize each revision.**
- **Explain each revision by indicating the change “from” what “to” what.**
- **Explain if there is an impact in the Burden Hours**