

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW Washington, DC 20503.

<p>1. Agency/Subagency originating request</p> <p><u>Dept. of Homeland Security/US Coast Guard</u></p>	<p>2. OMB control number b. <input type="checkbox"/> None</p> <p>a. <u>1 6 2 5 - 0 0 2 2</u> - - - -</p>
<p>3. Type of information collection (check one)</p> <p>a. <input type="checkbox"/> New collection</p> <p>b. <input type="checkbox"/> Revision of a currently approved collection</p> <p>c. <input checked="" type="checkbox"/> Extension of a currently approved collection</p> <p>d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired</p> <p>e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired</p> <p>f. <input type="checkbox"/> Existing collection in use without an OMB control number</p> <p><i>For b-f, note item A2 of Supporting Statement instructions</i></p>	<p>4. Type of review requested (check one)</p> <p>a. <input checked="" type="checkbox"/> Regular submission</p> <p>b. <input type="checkbox"/> Emergency - Approval requested by: ___/___/___</p> <p>c. <input type="checkbox"/> Delegated</p> <p>5. Small entities. Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>6. Requested expiration date</p> <p>a. <input checked="" type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: ___/___</p>
<p>7. Title</p> <p style="text-align: center;"><u>Application for Tonnage Measurement of Vessels</u></p>	
<p>8. Agency form number(s) (if applicable)</p> <p><u>CG-5397</u></p>	
<p>9. Keywords</p> <p><u>Admeasurement, Marine safety, Measurement, Tonnage, Vessel</u></p>	
<p>10. Abstract</p> <p>The information from this collection helps the Coast Guard to determine a vessel's tonnage. Tonnage in turn helps to determine licensing, inspection, safety requirements, and operating fees. Respondents are owners of vessels.</p>	
<p>11. Affected public (Mark primary with "P" and all others that apply with "X")</p> <p>a. <input checked="" type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms</p> <p>b. <input checked="" type="checkbox"/> Business or other for-profit e. <input checked="" type="checkbox"/> Federal Government</p> <p>c. <input checked="" type="checkbox"/> Not-for-profit institutions f. <input checked="" type="checkbox"/> State, Local or Tribal Gov't</p>	<p>12. Obligation to respond (Mark primary with "P" and all others that apply with "X")</p> <p>a. <input type="checkbox"/> Voluntary</p> <p>b. <input type="checkbox"/> Required to obtain or retain benefits</p> <p>c. <input checked="" type="checkbox"/> Mandatory</p>
<p>13. Annual reporting and recordkeeping hour burden</p> <p>a. Number of respondents <u>16,049</u></p> <p>b. Total annual responses <u>16,049</u></p> <p> 1. Percentage of these responses collected electronically <u>1</u> %</p> <p>c. Total annual hours requested <u>33,499</u></p> <p>d. Current OMB inventory <u>38,000</u></p> <p>e. Difference <u>- 4,501</u></p> <p>f. Explanation of difference</p> <p> 1. Program change _____</p> <p> 2. Adjustment <u>- 4,501</u></p>	<p>14. Annual reporting and recordkeeping cost burden (in thousands of dollars)</p> <p>a. Total annualized capital/startup costs <u>0</u></p> <p>b. Total annual costs (O&M) <u>0</u></p> <p>c. Total annualized cost requested <u>0</u></p> <p>d. Current OMB inventory <u>0</u></p> <p>e. Difference _____</p> <p>f. Explanation of difference</p> <p> 1. Program change _____</p> <p> 2. Adjustment _____</p>
<p>15. Purpose of information collection (Mark primary with "P" and all others that apply with "X")</p> <p>a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management</p> <p>b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research</p> <p>c. <input type="checkbox"/> General purpose statistics</p> <p>d. <input type="checkbox"/> Audit g. <input checked="" type="checkbox"/> Regulatory or compliance</p>	<p>16. Frequency of recordkeeping or reporting (check all that apply)</p> <p>a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure</p> <p>c. <input checked="" type="checkbox"/> Reporting</p> <p> 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly</p> <p> 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually</p> <p> 7. <input type="checkbox"/> Biennially 8. <input checked="" type="checkbox"/> Other (describe) <u>One-time</u></p>
<p>17. Statistical methods</p> <p>Does this information collection employ statistical methods?</p> <p style="text-align: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>18. Agency contact (person who can best answer questions regarding the content of this submission)</p> <p>Name: <u>Mr. David Du Pont</u></p> <p>Phone: <u>(202) 372-1497</u></p>

U.S. DEPARTMENT OF
HOMELAND SECURITY
U.S. COAST GUARD
CG-5397 (Rev. 6-04) v1.0

APPLICATION FOR SIMPLIFIED MEASUREMENT

Use this form to apply to the National Vessel
Documentation Center for tonnage assignment under
the Simplified Measurement System

OMB APPROVED
1625-0022

I. APPLICABILITY

A vessel is eligible to be measured under the Simplified Measurement System if it is either: 1) under 79 feet in overall length; or 2) a non-self-propelled or recreational vessel. *NOTE: Some vessels that are 79 feet or over in overall length may also require measurement under the Convention Measurement System. This includes vessels that engage on foreign voyages, as well as recreational vessels that engage on voyages outside the Great Lakes and have keel laid dates after December 31, 1985.*

II. VESSEL DATA AND DIMENSIONS

1. VESSEL NAME _____

2. HULL I.D. NO. _____
(also provide Official Number, if available)

3. HULL MATERIAL:

- Wood Steel FRP (Fiberglass)
 Aluminum Concrete Other _____

4. PROPULSION MACHINERY:

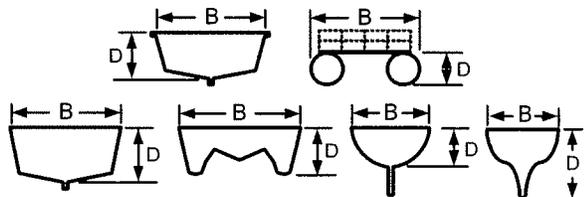
- Located inside hull (e.g. inboard engine or stern drive)
 Located entirely outside hull (e.g. outboard motor)
 Non-self-propelled (not fitted with any propulsion machinery)

5. SHAPE OF HULL(S): (for tri-hull vessels, check the block best describing the center hull)

- Powerboat, ship or circular  Sailboat distinct keel (or no keel) 
 Box or barge  Sailboat integral keel (keel is faired to hull) 

6. OVERALL DIMENSIONS:

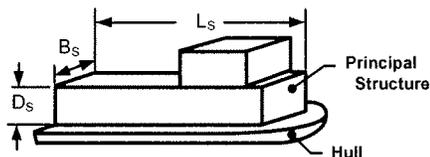
Overall Length (L) = _____ ft _____ in
Overall Breadth (B) = _____ ft _____ in
Overall Depth (D) = _____ ft _____ in



7. ADDITIONAL DIMENSIONS FOR LARGE DECK STRUCTURES:

(Complete only if the volume of the principal deckhouse, cabin or similar structure above the main deck exceeds the hull volume)

Structure Length (L_s) = _____ ft _____ in
Structure Breadth (B_s) = _____ ft _____ in
Structure Depth (D_s) = _____ ft _____ in



8. ADDITIONAL DIMENSION FOR TWIN HULL VESSELS:

(Applies only if there is no buoyant volume in the structure that connects the hulls together.)

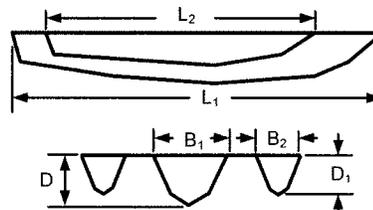
Individual Hull Breadth (B₁) = _____ ft _____ in



9. ADDITIONAL DIMENSIONS FOR TRI-HULL VESSELS:

(Applies only if there is no buoyant volume in the structure that connects the hulls together.)

Center Hull Length (L₁) = _____ ft _____ in
Center Hull Breadth (B₁) = _____ ft _____ in
Center Hull Depth (D) = _____ ft _____ in
Outer Hull Length (L₂) = _____ ft _____ in
Outer Hull Breadth (B₂) = _____ ft _____ in
Outer Hull Depth (D₁) = _____ ft _____ in



III. STATEMENT OF REPRESENTATION

I understand that, under the provisions of 46 CFR 69.25, a person making a false statement or representation in this application may be fined up to \$20,000. The vessel is also liable in rem for the penalty. I certify that the information provided by me in answering the questions above is correct.

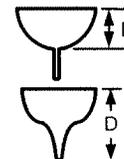
Owner's printed name _____ Owner's signature _____ Date _____

OVERALL DIMENSIONS

LENGTH (L) is the horizontal distance between the outboard side of the foremost part (bow) of the hull and the outboard side of the aftermost part (stern) of the hull. It does not include bowsprits, rudders, outboard motor brackets, swim platforms that do not contain buoyant volume, and other similar fittings and attachments that are not part of the buoyant hull envelope.

BREADTH (B) is the horizontal distance taken at the widest part of the hull, excluding rub rails, from the outboard side of the skin (outside planking or plating) on one side of the hull to the outboard side of the skin on the other side of the hull.

DEPTH (D) is the vertical distance taken at or near amidships from a line drawn horizontally through the uppermost edges of the skin (outside planking or plating) at the sides of the hull (excluding the cap rail, trunks, cabins and deckhouses, and deck caps) to the outboard face of the bottom skin of the hull, excluding the keel. If your vessel is designed for sailing and the interface between the "keel" and the "bottom skin of the hull" is not at a clearly defined location (as is the case with an "integral" or "faired" keel), include the keel in the depth measurement.



SIMPLIFIED MEASUREMENT PROCEDURES

1. Under Simplified measurement, a vessel must be 5 net tons or greater to be eligible for documentation (issued a Certificate of Documentation). Gross and net tonnages are measures of volume, and should not be confused with the vessel's weight, which may also be expressed in tons.
2. Gross and net tonnages are calculated by the Coast Guard using the information you provide on the front of this form. The formulas for these calculations are described in Title 46, Code of Federal Regulations (CFR), Part 69, Subpart E, and on the Coast Guard's Homeport web site (<http://homeport.uscg.mil>; search on "Tonnage Measurement"). Monohull vessels that are less than 25 feet in length are often less than 5 net tons.
3. If your vessel is eligible for documentation using Simplified measurement, complete the front side of this form by printing or typing all required information. Provide dimensions in terms of feet and inches (to the nearest inch). After signing the form, send it to the USCG National Vessel Documentation Center (NVDC) along with application form CG-1258. Only the front side of this form need be submitted to the NVDC. Please notify the NVDC if your vessel will also be measured under the Convention system (as for vessels 79 feet or over in convention length engaged on foreign voyages).
4. If all applicable requirements are met for documentation, the NVDC will issue a Certificate of Documentation with the gross and net tonnage indicated on the certificate.
5. Other U.S. tonnage measurement systems, known as "formal" measurement systems, may yield different tonnages and may be used in lieu of Simplified measurement. Formal measurement requires the employment of a USCG authorized measurement organization and a physical inspection of the vessel by that organization's surveyor. Information on how to contact these organizations is available on the Homeport web site.

MULTI-HULL VESSELS

For the purposes of Simplified measurement, twin hull and tri-hull vessels are defined as only those with no buoyant volume in the structure that connects the hulls together. In other words, the cross-structure, bridging, platform or "trampoline" connecting the hulls has no measurable depth or buoyancy as shown in the illustrations in Section II, Items 8 and 9 of this form. Cathedral hull forms and other similar configurations with no distinct separation of hulls are not considered multi-hulls in this context.

NOVEL/UNIQUE CRAFT

Certain novel or unique craft cannot be identified or categorized in the types described on the front of this form. If your vessel is in this category, you should complete Section II, Items 1-4, and Section III of this form and send the form, along with sketches, drawings and/or photographs showing the vessel geometry and overall dimensions, to the USCG Marine Safety Center (MSC) at the address listed below. Send Form CG-1258 and all other information required for vessel documentation to the NVDC, notifying them of your tonnage data submission to the MSC.

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 for this form is 2 hours. You may submit any comments concerning the accuracy of this burden estimate or any suggestions for reducing the burden to: Commanding Officer, U.S. Coast Guard Marine Safety Center, 2100 2nd Street S.W., Washington, DC 20593, or Office of Management and Budget, Paperwork Reduction Project (1625-0022), Washington, DC 20503.

**Supporting Statement
for
Application for Tonnage Measurement of Vessels**

A. Justification

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

Title 46, United States Code, section 14104 requires a vessel to be measured for tonnage if the application of a law of the United States to that vessel is determined by its tonnage. Tonnages are used as a basis for vessel taxes, licensing, inspections, safety requirements and operating fees. The law prescribes four systems of tonnage measurement; the "Convention Measurement System," the "Standard Measurement System," the "Dual Measurement System," and the "Simplified Measurement System." Tonnage measurement under the "Simplified Measurement System" is an option available to owners of certain qualifying vessels and requires the least amount of information to be collected. The authorization for submitting the application for tonnage measurement under the "Simplified Measurement System" is cited in 46 CFR 69.205.

Additional information is required if an owner requests certain tonnage treatment. These information requirements are at:

- (a) 46 CFR 69.117(f) (Request to exempt water-ballast space that is in excess of 30 per cent of the vessel gross tonnage);
- (b) 46 CFR 69.121(d) (Request to treat certain framed-in engine room spaces as part of a propelling machinery space.); and
- (c) 46 CFR 69.19 (Request for remeasurement and adjustment of tonnage).

CFR cites can be found at

http://www.access.gpo.gov/nara/cfr/waisidx_07/46cfr69_07.html.

This information collection supports the following strategic goals:

Department of Homeland Security

- Prevention

Coast Guard

- Marine Safety

Marine Safety, Security and Stewardship Directorate (CG-5)

- Reduce crewmember deaths and injuries on U.S. commercial vessels
- Reduce the number of collisions, allisions, and groundings

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.

The information required for the optional "Simplified Measurement System" is collected on forms that are available at the National Vessel Documentation Center (NVDC). Information required for measurement under other systems (referred to as "formal measurement") is more complex in nature, and is submitted by the vessel owner to a third party organization delegated the authority by the Coast Guard to perform the service. The information being collected is used to establish a vessel's register dimensions and gross and net tonnages. Without the information a vessel could not be assigned tonnages or documented as a vessel of the United States.

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 submissions 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.

Application forms for **simplified measurement** are available through the Internet at--
http://www.uscg.mil/hq/msc/interactive_tonnage.asp . The applicant has the choice of printing out the form, and then manually filling it in, or filling the form online using an online tonnage calculation tool, and then printing out the completed form. In either case, completed forms must be faxed or mailed to the NVDC. The Coast Guard is investigating electronic submittal of this information in the future. For **formal measurement**, 100% of the reporting requirements can be accomplished electronically. At this time, we estimate that approximately 30% of the formal measurement responses (about 1% of the total tonnage measurement responses) are collected electronically.

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.

There is no duplication of information collected; only one submittal is required per vessel and each vessel is an individual case. The information collected is not adaptable for any other U.S. Coast Guard purpose. Tonnage measurement is frequently the first step required to document a vessel. There is no other source for this information at that time. The

information necessary to process the submittal is available only from the applicant or vessel manufacturer.

5. If the collection of information impacts small businesses or small entities (item 5 of OMB Form 83-1), describe any methods used to minimize burden.

There is potential impact on small businesses or entities, since designers, builders, owners, or operators of U.S.-flag vessels who submit tonnage related information are often small businesses or entities. To minimize this impact, considerable flexibility is allowed in the way data can be submitted. The Application for Simplified Measurement is available on a USCG Web site to facilitate access to this form.

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 the burden.

The collection of information necessary to measure a vessel for tonnage is a one-time requirement for the documentation of a vessel and, therefore, cannot be reduced. Once a vessel is documented, there is no further measurement requirement unless the vessel is altered, or undergoes a change in service, number of passengers, or other factors that could affect the assigned gross or net tonnage.

7. Explain any special circumstance for the information collection.

This information collection is conducted in manner consistent with the guidelines in 5 CFR 1320.5(d)(2).

8. If applicable, provide a copy and identify the date 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.

A 60-day Notice will be published in the *Federal Register* to obtain public comment on this collection.

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

There is no offer of monetary or material value for this information collection.

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

There are no assurances of confidentiality provided to the respondents for this information collection.

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

There are no questions of sensitive nature.

12. Provide estimates of the hour burden and annualized cost to respondents for the collection of information.

Total number of annual respondents:	16,049
Total number of annual responses:	16,049
Total annual hour burden:	33,499
Total annual cost burden:	\$1,339,960

This collection account for 2 different methods of tonnage measurement—

- (a) Simplified Measurement System
- (b) Convention Measurement System, Standard Measurement System or Dual Measurement System

(a) For all vessels that an owner elects to have the tonnages assigned under the "Simplified Measurement System" method, a form is provided by the Coast Guard. The following burden estimate is based on previous years.

Method of determining maximum response time of respondents:

Acquiring form	0.5 hours
Research	0.5 hours
Determine vessel dimensions	0.5 hours
Complete application	0.5 hours
Total 2.0 hours	

Number respondents per year	15,582
Frequency	one time
Annual burden hours (2.0 x 15,582)	= 31,164

(b) For vessels that have tonnages assigned under the "Convention Measurement System", the "Standard Measurement System", and the "Dual Measurement System", burden could be as little as that required under the "Simplified Measurement

System" or much greater if the owner requests certain options that may require preparation of special plans and or water ballast justification calculations. There is considerable variance in the amount of information required, since it is not always directly related to vessel size or service. Accordingly, an average response time was estimated by considering the time required to prepare, assemble, and submit all special plans and other information required for a "typical" vessel. Using this method, an estimate of 5 hours burden per vessel was arrived at.

The following total burden estimate is based on previous years:

Number of respondents per year	467
Frequency	one time
Annual burden hours (5 x 467)	= 2,335

The average annual burden for an application is calculated by dividing the total burden hours by the total number of applicants:

Total burden hours	31,164 + 2,335 =	33,499
Total applications	15,582 + 467 =	16,049
Average burden	33,499/16,049 =	2.1 hours

Estimated cost to the public:

(a) An average of 2 hours per applicant burden is required for each vessel measured under the "Simplified Measurement System." Total responses are expected to be 15,582 per year. The average cost to the public is \$40 per hour¹. Therefore, \$1,246,560 is the annual cost to the public (2 x 15,582 x \$40 = \$1,246,560), or \$80 per vessel.

(b) An average of 5 hours per applicant is required for each vessel measured under either the "Convention Measurement System," the "Standard Measurement System," and the "Dual Measurement System." Total responses are expected to be 467 per year. The average cost to the public is \$40 per hour. Therefore, \$93,400 is the annual cost to the public (5 x 467 x \$40 = \$93,400), or \$200 per vessel.

(c) **Total estimated annual cost to the public:**

\$1,246,560
\$93,400
\$1,339,960

13. Provide an estimate of annualized capital and start-up costs to respondents.

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

¹Equivalent to pay grade WG-08 from Commandant Instruction 7310.1L.

14. Provide estimates of annualized cost to the Federal Government.

Estimated cost to the Federal Government:

(a) Processing applications for measurement under the "Simplified Measurement System" requires 0.25 person-hours each. Total responses are expected to be 15,582 per year, for a total of 3,896 person-hours. The average salary is \$30 per hour². Therefore, the estimated cost to the Federal Government is $15,582 \times 0.25 \times \$30 = \$116,865$. The increase in responses from the previous report is the result of an increase in vessels being documented.

(b) Authority to issue tonnage assignments to all vessels under the "Convention Measurement System," the "Standard Measurement System," and the "Dual Measurement System" was delegated to third party organizations. The annual time expenditure to oversee these 467 submissions is approximately 79 person-hours. The average salary is \$40 per hour³. Therefore, the estimated cost to the government for oversight is $79 \times \$40 = \$3,160$.

(c) **Total estimated annual cost** to the Federal government:

	\$116,865
	3,160
	<u>\$120,025</u>

15. Explain the reasons for any change in burden.

The change in burden is an ADJUSTMENT due to a decrease in the number of vessels being documented. There is no programmatic change associated with this change in burden.

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.

This information collection will not be published for statistical purposes.

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

The Coast Guard will display the expiration date for OMB approval of this information collection.

² Equivalent to pay grade WG-04 from Commandant Instruction 7310.1L.

³ Equivalent to pay grade WG-09 from Commandant Instruction 7310.1L.

18. Explain each exception.

The Coast Guard does not request an exception to the certification of this information collection.

B. Collections of Information Employing Statistical Methods

This information collection does not employ statistical methods.