

# PAPERWORK REDUCTION ACT SUBMISSION 2014-0154

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.

1. Agency/Subagency originating request  <u>Dept. of Homeland Security/US Coast Guard</u>	2. OMB control number a. <u>1 6 2 5 - 0 0 0 5</u> b. <input type="checkbox"/> None
3. Type of information collection (check one) a. <input type="checkbox"/> New collection b. <input checked="" type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number <i>For b-f, note item A2 of Supporting Statement instructions</i>	4. Type of review requested (check one) a. <input checked="" type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by: ___/___/___ c. <input type="checkbox"/> Delegated 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
7. Title <u>Application and Permit to Handle Hazardous Material</u>	
8. Agency form number(s) (if applicable) <u>CG-4260</u>	
9. Keywords <u>Explosive, Hazardous material, Marine safety, Vessel, Waterfront facility</u>	
10. Abstract  <p>This information sought here ensures the safe handling of explosives and other hazardous materials around port and aboard vessels. Shipping agents and terminal operators who handle the above commodities must comply. Obligation to respond is marked with an (x) reflecting "primary" this is an OMB form not changeable by components.</p>	
11. Affected public (Mark primary with "P" and all others that apply with "X") a. ___ Individuals or households b. <u>P</u> Business or other for-profit c. ___ Not-for-profit institutions d. ___ Farms e. ___ Federal Government f. ___ State, Local or Tribal Gov't	12. Obligation to respond (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input checked="" type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual reporting and recordkeeping hour burden a. Number of respondents <u>66</u> b. Total annual responses <u>165</u> 1. Percentage of these responses collected electronically <u>0</u> % c. Total annual hours requested <u>182</u> d. Current OMB inventory <u>205</u> e. Difference <u>- 23</u> f. Explanation of difference 1. Program change _____ 2. Adjustment <u>- 23</u>	14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs <u>0</u> b. Total annual costs (O&M) <u>0</u> c. Total annualized cost requested <u>0</u> d. Current OMB inventory <u>0</u> e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") a. ___ Application for benefits b. ___ Program evaluation c. ___ General purpose statistics d. ___ Audit e. ___ Program planning or management f. ___ Research g. <u>P</u> Regulatory or compliance	16. Frequency of recordkeeping or reporting (check all that apply) a. <input checked="" type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input checked="" type="checkbox"/> Reporting 1. <input checked="" type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods?  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	18. Agency contact (person who can best answer questions regarding the content of this submission)  Name: <u>Mr. David Du Pont</u>  Phone: <u>(202) 267-0971</u>

1625-0005

Upon OMB approval, agency will update all forms with a Privacy Act Statement (PAS) and Paperwork Reduction Act (PRA) Statement.

**Privacy Act Notice  
(CG-4260)**

**Authority:** 33 Code of Federal Regulations (CFR) Part 6 authorizes the collection of this information.

**Purpose:** The Coast Guard uses this information provided on this form to make determinations for the issuance of permits to handle hazardous materials on waterfront facilities.

**Routine Uses:** The information will be used by and disclosed to Coast Guard personnel for the issuance of permits to handle hazardous materials. Additionally, the Coast Guard may disclose applicable information on this form under the Freedom of Information Act (FOIA) via a written FOIA request.

**Disclosure:** Furnishing this information is mandatory to receive a permit to handle hazardous materials per the authority cited above. Failure to furnish the requested information may delay or prevent the issuance of a permit to handle hazardous materials. Personal privacy information will not be disclosed.

U.S. DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CG-4260 (Rev. 6-04)	<b>APPLICATION AND PERMIT TO HANDLE          HAZARDOUS MATERIALS</b> <i>(See Instructions on Page 2.)</i>	Form Approved OMB No. 1625-0005	
TO CAPTAIN OF THE PORT U.S. COAST GUARD		FROM (Name, Business address and zip code)	
CARGO BY PROPER SHIPPING NAME	HAZARD CLASS OR DIVISION	STOWAGE (Vessel Only)	WEIGHT (Net Tons)
TOTAL <span style="font-size: 1.2em;">➔</span>			0
	VESSEL OR BARGE	WATERFRONT FACILITY	
NAME AND LOCATION			
NAME, ADDRESS AND ZIP CODE OF OWNER			
NAME, ADDRESS AND ZIP CODE OF AGENT OR CHARTERER			
DATE(S) AND TIME(S) OF OPERATION			
I UNDERSTAND and will comply with current safety laws, rules and regulations of the United States, the State, County, City and Port Authority while handling hazardous materials. (See Page 2.)			
DATE	TITLE (Authorized Company Representative)	SIGNATURE	
PERMIT			
THE ABOVE REQUEST IS:			
<input type="checkbox"/> APPROVED <input type="checkbox"/> APPROVED WITH THE FOLLOWING CONDITIONS <input type="checkbox"/> DISAPPROVED			
EXCEPTIONS/CONDITIONS			
DATE	SIGNATURE (Captain of the Port, U.S. Coast Guard)		
INSPECTION (VESSEL LOADING ONLY)			
The stowage of the cargo listed above has been inspected and accepted as satisfactory.			
DATE	SIGNATURE AND POSITION (Master/Mate/Person in Charge of Vessel)		

PREVIOUS EDITION IS OBSOLETE

VESSEL COPY

<b>U.S. DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CG-4260 (Rev. 6-04)</b>	<b>APPLICATION AND PERMIT TO HANDLE HAZARDOUS MATERIALS</b> <i>(See Instructions on Page 2.)</i>	Form Approved OMB No. 1625-0005
<b>TO</b> CAPTAIN OF THE PORT U.S. COAST GUARD _____	<b>FROM</b> <i>(Name, Business address and zip code)</i>	
<b>CARGO BY PROPER SHIPPING NAME</b>	<b>HAZARD CLASS OR DIVISION</b>	<b>STOWAGE (Vessel Only)</b>
<b>WEIGHT (Net Tons)</b>		
<b>TOTAL</b> →		<b>0</b>
	<b>VESSEL OR BARGE</b>	<b>WATERFRONT FACILITY</b>
<b>NAME AND LOCATION</b>		
<b>NAME, ADDRESS AND ZIP CODE OF OWNER</b>		
<b>NAME, ADDRESS AND ZIP CODE OF AGENT OR CHARTERER</b>		
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I UNDERSTAND and will comply with current safety laws, rules and regulations of the United States, the State, County, City and Port Authority while handling hazardous materials. <i>(See Page 2.)</i>		
<b>DATE</b>	<b>TITLE</b> <i>(Authorized Company Representative)</i>	<b>SIGNATURE</b>
<b>PERMIT</b>		
<b>THE ABOVE REQUEST IS:</b>		
<input type="checkbox"/> APPROVED <input type="checkbox"/> APPROVED WITH THE FOLLOWING CONDITIONS <input type="checkbox"/> DISAPPROVED		
<b>EXCEPTIONS/CONDITIONS</b>		
<b>DATE</b>	<b>SIGNATURE</b> <i>(Captain of the Port, U.S. Coast Guard)</i>	
<b>INSPECTION (VESSEL LOADING ONLY)</b>		
The stowage of the cargo listed above has been inspected and accepted as satisfactory.		
<b>DATE</b>	<b>SIGNATURE AND POSITION</b> <i>(Master/Mate/Person in Charge of Vessel)</i>	

PREVIOUS EDITION IS OBSOLETE

UNIT COPY

Reset

## **INSTRUCTIONS**

Submit original and one copy to the Captain of the Port having jurisdiction over the load/discharge location  
(See 33 CFR Part 3)

This application and permit is required by the following regulations:

- 49 CFR 176.100 (*Military & Commercial Explosives, Division 1.1 and 1.2*)
- 49 CFR 176.415 (*Blasting Agents and Ammonium Nitrates*)
- 33 CFR 126.17 (*Military & Commercial Explosives, Division 1.1 and 1.2*)

Supplemental information required by the above regulations must be appended to this application.

"Proper Shipping Name" means the name of the cargo as given in 49 CFR 172.101. The "correct technical name" as given in the International Maritime Dangerous Goods Code published by IMO may be used as prescribed by regulation.

## **CONDITIONS**

This permit is subject to the following conditions:

- a. The limits as to maximum quantity, isolation, and remoteness established by local, municipal, territorial or state authorities having jurisdiction (*or the quantity of this permit*) shall not be exceeded by this operation. This permit does not authorize the violation of any applicable state or municipal law, ordinance, regulation or permit.
- b. The Captain of the Port shall be notified immediately of any changes in quantity, times, dates, or of any matters that might affect the safe handling or transportation of the cargo covered by this permit.
- c. All applicable laws and regulations, unless waived by the Captain of the Port, and all directions or orders of the Captain of the Port or his authorized representative, shall be complied with.

*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 number.*

*The Coast Guard estimates that the average burden for this report is 1 hour. You may submit any comments concerning the accuracy of this burden estimate or any suggestion for reducing the burden to: Commandant (G-MOC), U.S. Coast Guard, Washington, DC 20593-0001, Project (1625-0007).*

**Supporting Statement  
for  
Application and Permit to Handle Hazardous Material**

OMB No.: 1625-0005  
COLLECTION INSTRUMENTS: CG-4260

**A. Justification**

1) Circumstances that make the collection of information necessary.

The Coast Guard and the Pipeline and Hazardous Materials Safety Administration (formerly Research and Special Programs Administration) have issued regulations to ensure the safe handling and transportation of explosives and hazardous materials. The Coast Guard's regulations have been issued under the Ports and Waterways Safety Act (33 U.S.C. 1225) which authorizes the Secretary of the department in which the Coast Guard is operating to establish procedures and standards for the handling, loading and unloading, storage, and movement of hazardous material on a vessel and/or a waterfront facility. These regulations are covered in 33 CFR 126.17 for facilities, and 49 CFR 176.100 and 49 CFR 176.415 for vessels. Improper stowage and handling of explosives or other hazardous material have led to catastrophic explosions which have caused extensive damage and death.

This information collection supports the following strategic goals:

Department of Homeland Security

- Prevention
- Protection

Coast Guard

- Maritime Safety
- Maritime Stewardship

Prevention Policy & Response Policy Directorates (CG-5P & CG-5R)

- Maritime Safety
- Human and Natural Environment

2) Purposes of the information collection.

The Coast Guard Captain of the Port (COTP) uses these permits to determine whether safe practices are being followed in the stowage and handling of explosives and hazardous materials. Permits are issued, at times, for extended periods of time up to one year. COTPs schedule their patrols around permits in force to maximize people and equipment resources.

3) Consideration of the use of improved information technology.

The information required is particular and unique to each request. The "Application and Permit to Handle Hazardous Materials" form (CG-4260) can be downloaded from the Coast Guard's web site: [http://www.uscg.mil/forms/cg/CG\\_4260.pdf](http://www.uscg.mil/forms/cg/CG_4260.pdf). We estimate that 100% of the reporting requirements can be done electronically via e-mail. At this time, we estimate that 0% of responses are collected electronically.

4) Efforts to identify duplication.

This information is specific to each operation. There are no other similar Federal requirements or duplications known to exist.

5) Methods to minimize the burden to small business if involved.

This information collection does not have an impact on small businesses or other small entities.

6) Consequences to the Federal program if collection were conducted less frequently.

If the information were not collected the COTP would be forced to expend more resources to ensure that the port was safe from potential hazardous conditions due to the possible improper handling of explosives or other hazardous materials. The COTP would no longer be able to target patrols for the most effective use of people and resources. The program is presently at a minimum level with most permits being issued for extended periods of time, up to one year in many cases, with terminals being able to notify via telephone only when they are handling explosive or other hazardous materials required to have a permit.

7) Special collection circumstances.

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

8) Consultation.

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

9) Provide any payments or gifts to respondents.

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

10) Describe any assurance of confidentiality provided to respondents.

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

11) Additional justification for any questions of a sensitive nature.

There are no questions of sensitive language.

12) Estimate of annual hour and cost burdens to respondents.

- The estimated annual number of respondents is 66.
- The estimated annual number of responses is 165.
- The estimated annual hour burden is 182 hours.
- The estimated annual cost burden is \$14,153.

The burden to respondents is provided in Appendix A. Reporting and recordkeeping hour and cost burdens were estimated based on an analysis of the available data in the Coast Guard's MISLE<sup>1</sup> database for permits to handle explosives issued from 2010-2012. Permits must be maintained for one year at the work site as well as at the local COTP. This recordkeeping requirement is necessary because explosive cargoes are often maintained onboard ship for long periods of time. The inherent danger involving an accident makes it imperative that in the event of an incident, specific information on the hazardous material stowed be immediately available to prevent potential catastrophic loss of life and property.

It will take an average of approximately ½ an hour of management time to prepare and review the appropriate information required for the permit. It will likewise take approximately ½ an hour of clerical time to type this information and 1/10 of an hour to file the resulting paperwork. The hours of burden per application were multiplied by the total responses to find the total hour burden. The cost estimate was calculated by multiplying the appropriate wage rate categories for management and clerical by the hour burden figures. The wage rates for management and clerical were obtained from the current edition of COMDTINST 7310.1 (series) for an O-3 and E-4 Out Government, respectfully.

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<sup>1</sup> MISLE—Marine Information for Safety and Law Enforcement.



13) Total annualized capital and start-up costs.

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

14) Estimates of annualized Federal Government costs.

The estimated annual Federal Government cost is \$15,111 (see Appendix B). It will take approximately ½ an hour of management time for an initial review of the permit applications and ½ an hour of management time for a senior review of the applications and to issue the permit. It will take approximately 1/10 an hour of clerical time to file the resulting paperwork. The hours of burden per application were multiplied by the total responses to find the total hour burden. The cost estimate was calculated by multiplying the appropriate wage rate categories for management, senior management, and clerical by the hour burden figures. The wage rates for management, senior management, and clerical were obtained from the current edition of COMDTINST 7310.10 (series) for an O-3, O-5, and E-5 Out Government, respectfully.

15) Reasons for the change in burden.

The change (i.e., decrease) in burden is an ADJUSTMENT due to a decrease in the estimated number of responses. There is no change to the reporting and recordkeeping requirements of this collection. The reporting and recordkeeping requirements and the methodology for calculation burden remain unchanged.

16) Plans for tabulation, statistical analysis, and publication.

This information collection will not be published for statistical purposes.

17) Approval for not explaining the expiration date for OMB approval.

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

18) Explain each exception to the certification statement.

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

**B. Collections of Information Employing Statistical Methods.**

Collection does not employ statistical methods.

**Appendix A: Total Estimated Annual Burden on Industry**

Total Respondents	66
Total Responses	165

<b>Annual Hour and Cost Burden</b>		
	<b>Burden Hours</b>	<b>Cost</b>
Permit Applications, Management	83	\$8,597
Permit Applications, Clerical	83	\$4,629
Recordkeeping	17	\$926
<b>Annual Total</b>	<b>182</b>	<b>\$14,153</b>

**Appendix B: Estimated Annual Federal Government Cost**

Total Responses	165
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<b>Annual Cost</b>		
	<b>Hours</b>	<b>Cost</b>
Permit Applications, Initial Review	83	\$6,200
Permit Applications, Senior Review	83	\$8,101
Recordkeeping	17	\$810
<b>Annual Total</b>	<b>182</b>	<b>\$15,111</b>