



US Department
of Transportation
**Maritime
Administration**

MANUAL OF ORDERS

MARITIME ADMINISTRATIVE ORDER

REVOKES

See section 10

NO.

250-2

EFFECTIVE DATE

April 14, 1998

SUBJECT

REPORTS MANAGEMENT PROGRAM

Section 1. Purpose and Scope: This order outlines responsibilities and procedures for the approval and control of Maritime Administration (MARAD) reports and information collections, including surveys. Excluded are vessel surveys, speeches, press releases, directives, publications, and instructional materials, which are the subject of other directives. This order implements the Paperwork Reduction Act of 1995, as amended (PRA); 5 CFR Part 1320, "Controlling Paperwork Burdens on the Public," applicable parts of Office of Management and Budget (OMB) Circular A-130; Federal Property Management Regulation (FPMR) 41 CFR 101-11.204, Department of Transportation (DOT) Orders 1323.2G, and 1350.2, and DOT H 1350.2.

Section 2. Program Objectives: Major objectives of the Reports Management Program are to provide timely data to satisfy management and operational needs; insure that only necessary information is collected, and that the value of each report justifies its cost; and reduce reporting and information collection requirements through systematic analysis and approval, elimination of duplicate reporting and collecting, control over distribution and frequency of reports and information collections, and reduced peaking of reporting deadlines.

Section 3. Definitions:

Control Number - a four-digit number assigned by the Office of Management and Information Services to identify each approved report; or an approval number assigned by OMB, General Services Administration (GSA), or DOT.

Feeder Report - a report prepared solely to supply data for inclusion in another report.

Information Collection - the obtaining or soliciting of information by reports or other means from ten or more respondents outside the Federal Government which are subject to the provisions of the PRA. This includes interview guides, applications, questionnaires, and telephone surveys, and other public use reports.

Interagency Report - a report required by a department or agency from one or more other departments or agencies which is subject to the approval of (GSA).

Internal Report - a report prepared within MARAD, but required by another organizational element of MARAD or DOT.

Report - any written data or information required to be sent from one organization or person to another. Includes, but is not limited to narrative, tabular, punched card, electronic, and graphic form.

Section 4. Responsibilities:

4.01 The Associate Administrator for Administration is MARAD's official responsible for implementing the PRA.

4.02 Each Associate Administrator, Office Director, Region Director, and the Superintendent, U.S. Merchant Marine Academy (USMMA), shall comply with the Reports Management Program by:

- 1 Ensuring that subordinates who prepare or use reports are familiar with these procedures.
- 2 Informing the Office of Management and Information Services of ways to reduce the information collection burden or cost of reports through changes in reporting requirements.
- 3 In addition, each Region Director and the Superintendent, USMMA shall establish a method of control over reporting requirements within their jurisdictions which is consistent with this order.

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4.03 The Office of Management and Information Services shall:

- 1 Plan, develop, implement, and operate the Reports Management Program.
- 2 Provide staff assistance and guidance in developing and analyzing information collection and reporting requirements.
- 3 Maintain control over reporting requirements imposed by DOT and other agencies, and those imposed by MARAD on other agencies, contractors, and the public. Maintain files on all approved reporting and information collection requirements.
- 4 Periodically review and evaluate active MARAD information collection and reporting requirements and periodically publish a catalog of approved reports.
- 5 Coordinate preparation of MARAD's annual Information Collection Budget and related reports.

4.04 The Office of Congressional and Public Affairs shall perform the functions of the Congressional Reports Control Officer as described in DOT 1323.2G.

Section 5. Information Collection:

5.01 All requests for information or data calling for answers to identical questions from ten or more respondents (corporations, individuals, etc.) outside the Federal Government, whether through forms, applications, questionnaires, interview guides, telephone or written surveys, recordkeeping requirements, or any other means, require the prior approval of OMB. This requirement applies to both one-time and recurring reports and includes Federal employees if the results of the information collection are to be used for general statistical purposes.

5.02 OMB approval is required also of Federally-sponsored information collection plans in contracts, grants, and cooperative agreements as soon as the plans are developed and before they are awarded. Accordingly, all procurement requests for contracts or requests for approval of grants or cooperative agreements which include a proposed information collection(s) must be submitted to the Office of Management and Information Services with a justification as described in 5.03 below.

5.03 Any office requesting approval to collect information from the public shall submit to the Office of Management and Information Services a package consisting of an original copy of Form OMB 83-I, Paperwork Reduction Act Submission, with a supporting statement (original and electronic copy), applicable directives (pertinent statute and CFR section(s)), and a copy of the report form(s), format, and instructions to be provided to respondents. Assistance in the preparation of this material is available from the Office of Management and Information Services.

5.04 OMB may authorize use of repetitive information collections for as long as three years if it is unlikely that changes will occur in MARAD's use of the content. For one-time reports the time requested should be sufficient to complete the collection of data, including any follow-up of nonrespondents.

5.05 All requests for approval (new or extensions of existing approvals) of reports from non-government entities must be submitted to the Office of Management and Information Services at least eight months prior to the requested approval date to allow time for MARAD, DOT, public and OMB clearances and approvals.

5.06 The Office of Management and Information Services shall serve as MARAD's principal point of contact with the Chief Information Officer's office, providing guidance as to OMB and DOT requirements concerning information collections, directing and coordinating periodic MARAD-wide efforts to reduce the reporting burden, and updating the OMB inventory of agency public information collections when requested.

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Section 6. Interagency Reports:

6.01 Under 5 CFR Part 1320 and 41 CFR 101-11.204, as amended, interagency reporting requirements are subject to the approval of GSA. DOT H 1350.2 contains DOT instructions, procedures, authorities for requesting approval of interagency reports, and general guidelines for determining reporting costs.

6.02 Any office proposing to establish a new interagency report shall request approval from GSA, through the Office of Management and Information Services. Form SF-360, "Request to Approve an Interagency Reporting Requirement," accompanied by a copy of the proposed reporting form, requiring directive and instructions, and a statement of justification (original and four copies each) shall be submitted at least 75 days prior to the proposed effective date.

Section 7. Control Numbers:

7.01 Reporting requirements imposed on MARAD by other Federal agencies shall be referred to the Office of Management and Information Services for assignment of a control number. Reporting requirements imposed by Congress shall be referred to the Office of Congressional and Public Affairs for assignment of a control number.

7.02 Information collections from the public require OMB approval under 5 CFR Part 1320 and are identified by an OMB Control Number; e.g., 2133-1667.

7.03 Interagency reports requiring GSA approval under 5 CFR Part 1320 and 41 CFR 101-11.204 are identified by a GSA approval number; e.g., 1075-DOT-AN.

Section 8. Exempt Reports:

8.01 Exempt Information Collections Applicable to the Public. The following information collection requirements are exempt from the requirement of OMB approval:

- 1 Affidavits, oaths, affirmations, certifications, receipts, consents, changes of address, and acknowledgments which require no information other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument.
- 2 Facts or opinions obtained through direct observation by a MARAD employee or agent, submitted in response to general solicitations of comments from the public, published in the *Federal Register* or other publications, obtained from individuals under treatment or in control groups in connection with treatment for or prophylaxis to prevent a clinical disorder, or requested through means other than identical questions posed to each respondent.
- 3 Collections of information by compulsory process pursuant to the Anti-Trust Civil Process Act or Section 13 of the Federal Trade Commission Improvement Acts; during the conduct of intelligence activities, or during the conduct of cryptanalytic activities that are communications securities activities, or during Federal criminal investigations or prosecutions, dispositions of criminal matters, civil actions to which the United States or any MARAD official is a party, or an administrative action or investigation or audit involving MARAD against specific individuals or entities.
- 4 Those specifically exempted by the Director, Office of Management and Budget.

8.02 Exempt Internal Reports. Internal reports such as those listed below are exempt from control and require no control numbers:

- 1 Audit reports, survey reports, position classification reports, special studies, and similar analytical reports (including status reports on their implementation).

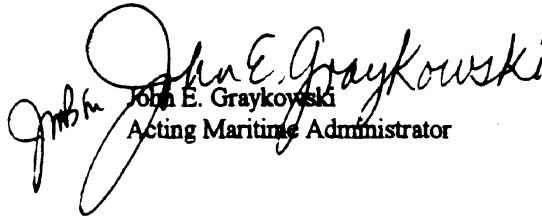
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- 2 One-time reports.
 - 3 Administrative Law Judge decisions and reports of findings and recommendations; or actions prepared by special committees or boards of inquiry.
 - 4 Comments and recommendations on proposed actions.
 - 5 Investigative and classified reports.
 - 6 Materials submitted with budget estimates or fund requests (recurring reports on budget status are controlled reports and are assigned control numbers).
 - 7 Reports required by Associate Administrators, Region Directors, Office Directors, and other supervisory officials from their subordinates concerning work progress.
 - 8 Legislative reports (not including formal Congressional reports).
 - 9 Printed publications (these are controlled by the Office of Congressional and Public Affairs).
 - 10 Operating or transaction documents, such as accounting and financial statements, affidavits, certificates, documentation of inspections and surveys, legal opinions, listings, notifications, order forms, payrolls, permits, performance appraisals, receipts, requisitions, rosters, vouchers, and work papers. Reports on the status of processing or preparation of such documents are controlled reports and are assigned control numbers.
- 8.03 Exempt Interagency Reports. 41 CFR 101-11.204 provides a listing of interagency reports exempt from GSA control.
- 8.04 Questions whether a report is exempt should be referred promptly to the Office of Management and Information Services.

Section 9. Additional Requirements:

- 9.01 Privacy Act Requirements. Not only must respondents be informed whether the reply to a report is mandatory or voluntary, but each report requesting information about individuals must include a Privacy Act advisory statement. Further information concerning Privacy Act requirements may be obtained from MARAD's Privacy Officer.
- 9.02 Freedom of Information Act Requirements. Data collection from respondents outside the Federal Government must also comply with the Freedom of Information Act (FOIA). Any questions concerning requirements of FOIA should be referred to MARAD's FOIA Officer.

Section 10. Effect on Other Issuances: This order revokes Maritime Administrative Order 250-2 dated March 9, 1984, amendment 1 thereto dated January 24, 1985, and amendment 2 dated September 25, 1985.


John E. Graykowski
Acting Maritime Administrator