

SUPPORTING STATEMENT

Request for MSHA Individual Identification Number (MIIN)

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 the information.

Section 101(a) of the Federal Mine Safety and Health Act of 1977 (Mine Act) requires the Secretary to develop, promulgate, and revise as may be appropriate, improved mandatory health or safety standards for the protection of life and prevention of injuries in coal or other mines. Under section 103(a)(2), authorized representatives of the Secretary of Labor or Secretary of Health and Human Services must make frequent inspections and investigations in coal or other mines each year for the purpose of gathering information with respect to mandatory health or safety standards.

The Mine Safety and Health Administration (MSHA) issues certifications, qualifications and approvals (licenses) to the nation's miners to conduct specific work within the mines. Prior to the approval of this collection Social Security Numbers (SSNs) were used for tracking purposes within MSHA's data processing systems, in the absence of other reliable identification systems. In the effort to reduce use of SSNs both by MSHA and third parties MSHA has changed the process to one in which miners requiring a license or benefit from MSHA will register for an "MSHA Individual Identification Number" (MIIN). This unique number is used in place of individual SSNs for all licensing requirements within MSHA. This process has allowed MSHA to discontinue the past practice of individuals supplying their personally identifiable information to instructors, states or other entities, which in turn supplied that information to MSHA. Miners needing a license or benefit from MSHA will need to register only one time to obtain their MIINs from MSHA.

The creation of the MIIN identifier to replace the collection of Social Security Numbers serves to reinforce Executive Order 13402, Strengthening Federal Efforts Against Identity Theft. This program will aid in the strategic plan for the Federal Government in the prevention, detection and prosecution of identity theft activities.

MSHA is seeking continued approval of this collection of information.

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 collected, including name, address and SSN of the miner applicant is used to assign a new MIIN number which replaces the SSN for all future MSHA identification of that miner.

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.

MSHA has made this form available under the E-Gov initiative for electronic submission. During the first year of this collection (2008) MSHA received 47,021 requests for MIIN's 30,527 of those requests were through E-Gov equaling 65% of requests. Additionally the second year of the collection (2009) MSHA received 16,965 requests for MIIN's ; 14,275 were through electronic submissions equaling 84% of submissions.

Current year numbers are not yet available, however MSHA estimates that 11,000 MIIN's will be requested and the total of electronic submissions will be 90%.

MSHA accepts faxed information from a secure fax machine and provides a toll- free number for use by individuals to request their MIINs.

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 other similar information available to MSHA for the identification of individual miners.

This collection is also used in other MSHA systems, such as bi-monthly dust sampling and MSHA exams given by inspectors for licensing and certification. In an effort to eliminate duplication of data, as per OMB guidance, the MIIN is used across the MSHA systems in place of the SSN.

The following are the MSHA record collections approved by OMB that no longer require the individual to supply an SSN. These collections have been changed to request the MIIN number.

OMB0001 (1210-0001) Certificate of Electrical Retraining Form 5000-1
OMB0009 (1219-0009) Training Plans
OMB0011 (1219-0011) Dust Data Sampling Card
OMB0127 (1219-0127) Cert. or Hoisting Engineers Qualification Form 5000-41

These collections are still needed under 30 CFR Parts 48, 70, 75, 77 and 90.

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.

This collection of information is not being requested from mining operations, but from individuals applying to become approved, qualified or certified under 30 CFR Parts 48, 70, 71, 75, 77, and 90. Not all miners need to register for a MIIN -- only those that are seeking qualifications, certifications, or benefits.

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.

MSHA currently has no alternate means of reliably tracking licensures and certifications other than through use of MIINs. The MIIN form is was created to move away from use of SSNs. Disapproval of this form will mean that MSHA would be unable to verify which miners had received MSHA licenses, certifications and benefits, or even their entitlement to receive them.

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 secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

This collection of information is consistent with the guidelines in 5 CFR 1320.5.

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.

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.

MSHA published a 60-day *Federal Register* notice on December 17, 2010 (75 FR 79029). No comments were received.

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

MSHA does not provide payments or gifts to respondents.

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

The form notifies respondents that their information will be kept confidential to the extent required by law. The information collection includes Privacy Act material. The collected information also is protected under OMB Circular A-130, Management of Federal Information Resources, the Computer Fraud & Abuse Act of 1986, Department of Labor (DOL) policies covering Network Operations and LAN Management and DOL's Privacy Policy on Data Collection over DOL Web Sites, and by the Federal Information Security Management Act (FISMA) of 2002, Title III, Public Law 107-347, as part of the E-Government Act of 2002.

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 what the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

There are no questions of a sensitive nature.

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 13.**

MSHA expects to receive approximately 11,000 applications requesting MIINs per year. MSHA anticipates that, of the estimated 11,000 applications, 8,000 will be completed by miners and 3,000 will be completed by certified instructors. MSHA further estimates that the form (electronic, paper or phone call-in) will take an average of 5 minutes (.0833 hours), to complete. MSHA has calculated the average underground and surface coal miners' wage to be \$33.57 per hour according to the 2009 U.S. Coal Mineral Mine Salaries. The average wage of MSHA - approved instructors to be \$63.39 per hour.

Estimated Burden Hours for one year

Burden Hours:

11,000 requests x .0833 hours = 916 burden hours

Burden Hour Cost:

(8,000 miner requests x .0833 hours) x \$33.57 = \$22,371

(3,000 instructor requests x .0833 hours) x \$63.39 = \$15,841

Total burden hour cost = \$38,212

13. Provide an estimate for the total annual cost burden to respondents or recordkeepers 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 collections 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.

Cost Burden for one year

MSHA estimates that 1,100 applicants will mail forms to MSHA

1,100 X \$.47 postage = \$517.00

Total Burden = \$ 517.00

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.

The below costs are based on MSHA Information Technology operating costs for maintenance of MSHA's Standardize Information Systems, the MIIN system is estimated to be 3% of maintenance budget. MSHA's Qualification and Certification unit costs for processing and mailing of notifications are based on a GS 6 step 4.

Government costs for one year

3% of MSIS costs	\$ 81,347
Based on federal salary tables of 2010 GS 6 step 4	\$ 40,437
Mailing costs 11,000	\$ 11,000
Total cost to Federal Government =	\$132,784

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

The MIIN program is now past the introduction of the system and should remain at a constant level in the coming years. The estimated burden costs have been reduced accordingly.

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.

MSHA has no plans to publish the information obtained through this information collection.

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.

MSHA does not intend to publish the results from this information collection and is not seeking approval to either display or not display the expiration date for the OMB approval of this information collection.

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

There are no certification exceptions identified with this information collection.

B. Collection of Information Employment Statistical Methods

This information collection does not employ statistical methods.