**INFORMATION COLLECTION REQUEST**

**FOR**

**PREVENTION OF SIGNIFICANT DETERIORATION**

**AND NONATTAINMENT NEW SOURCE REVIEW**

**(40 CFR PARTS 49, 51 AND 52)**

Prepared for:

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1. IDENTIFICATION OF THE INFORMATION COLLECTION

1(a) TITLE OF THE INFORMATION COLLECTION REQUST (ICR)

This report is entitled Prevention of Significant Deterioration and Nonattainment New Source Review, EPA ICR No. 1230.29, OMB Control No. 2060-0003.

1(b) ABSTRACT/EXECUTIVE SUMMARY

The analyses in this document have been performed in support of a renewal of the New Source Review (NSR) Program Information Collection Request (ICR) (Office of Management and Budget (OMB) Control No. 2060-0003; EPA ICR No. 1230.29). The regulations covered under this ICR are contained in parts 49, 51 and 52 of Title 40 of the *Code of Federal Regulations* (CFR). These requirements govern the state and federal programs for preconstruction review and permitting of major new and modified sources pursuant to part C “Prevention of Significant Deterioration” (PSD) and part D “Program Requirements for Nonattainment Areas” (nonattainment major NSR or NA NSR) of the Clean Air Act (CAA), which together are commonly referred to as “major NSR.” In addition, these requirements govern the state and federal programs for preconstruction of minor new and modified sources pursuant to CAA section 110(a)(2)(C), which is commonly referred to as “minor NSR.” The types of information collection activities addressed in this ICR are those necessary for the preparation and submittal of construction permit applications and the issuance of final permits. Thus, the respondents addressed in this ICR are (1) the pollutant-emitting sources that must apply for and obtain permits, and (2) the state and local reviewing authorities (RAs) that must review the permit applications and issue the permits. Specific burden-producing activities are listed in Appendix A. The administrative, reporting and recordkeeping burden for industry respondents (permit applicants), state and local implementing agencies and the Environmental Protection Agency (EPA) are summarized in Table 6-4.

The NSR Program ICR was last renewed in October 2008 (EPA ICR No. 1230.23). Since that renewal of this ICR, there have been a number of actions that have resulted in changes or revisions to the ICR:

* Flexible Air Permitting Rule (EPA ICR No. 1230.26) – overall reduction in burden based on policy encouraging flexible permits.
* Change Worksheet for Tailoring Rule and SIP Fix Implementation Rule (EPA ICR No. 1230.28) – addition of greenhouse gases (GHGs) to the program.
* Final Rule for Review of New Sources and Modifications in Indian Country (EPA ICR No. 1230.27) – addition of an NSR program for Indian country.
* Final Rule for PM 2.5 Increments, Significant Impact Levels (SILs) and Significant Monitoring Concentration (SMC) (EPA ICR No. 1230.31) – transfer of the burden for this NSR rule change that was originally approved under EPA ICR No. 2276.02, OMB Control No. 2060-0609.

As a result of these changes and revisions, the currently approved respondent burden for the NSR program stands at over 6.7 million hours per year for nearly 162,000 responses (with associated labor costs of about $603 million), plus about $11.5 million in capital and one-time start-up costs.

This renewal ICR for the NSR program estimates the annual respondent burden at approximately 7.9 million hours (with labor costs of about $695 million) for over 162,000 responses, plus capital and one-time start-up costs of about $12.6 million. The change (net increase) in the burden estimate is due largely to the expected progress in the implementation of the minor NSR program in Indian country and the phased integration of GHGs into the PSD program. In both cases, the period covered by this ICR renewal is expected to include a significant increase in the number of permits issued. An additional factor in the increase of labor and capital/start-up costs is that we have updated labor wage rates and adjusted the capital/start-up costs for inflation.

The estimated annual burden in this renewal ICR consists of approximately 5.2 million hours for industry respondents (with labor costs of about $476 million and capital/start-up costs of about $12.6 million) and 2.7 million hours for state and local reviewing authority respondents (with labor costs of about $219 million). The estimated annual burden for the EPA is about 85,000 hours and $6.4 million.

1(c) PAPERWORK REDUCTION ACT REQUIREMENTS

For any existing rule, section 3507(g) of the Paperwork Reduction Act (PRA) limits the amount of time for which a Director may approve a collection of information to 3 years. The existing ICR (EPA ICR No. 1230.23) expires on April 30, 2012. Consequently, the annual burden estimates are calculated for the 3-year period beginning May 1, 2012 and ending April 30, 2015.

Except for information collections in notices of proposed rules or those exempted under the emergency processing provisions of 44 U.S.C. § 3507(j), the PRA requires the EPA to solicit comments on each proposed information collection, including the renewal or modification of any existing ICR. This ICR renewal and its supporting statement were publicly noticed in the *Federal Register* (76 FR 72700, November 25, 2011) to solicit comments on the data, analyses and conclusions. No comments were received. The ICR will be submitted to the OMB for approval.

The information that this ICR covers is required for the submittal of a complete permit application for the construction or modification of all major new stationary sources of pollutants in attainment and nonattainment areas, as well as for applicable minor stationary sources of pollutants. The EPA certifies that the information collection is necessary for the proper performance of the EPA’s functions, and that it has practical utility; is not unnecessarily duplicative of information the EPA otherwise can reasonably access; and reduces, to the extent practicable and appropriate, the burden on persons providing the information to or for the EPA.

2. NEED FOR AND USE OF THE COLLECTION

2(a) NEED/AUTHORITY FOR THE COLLECTION

Section 110 of the CAA requires all states to submit an implementation plan that contains a preconstruction review program for all new or modified stationary sources, including any provisions necessary for this program to meet the specific requirements of parts C and D of title I of the CAA related to major construction. Section 110(a)(2)(C) of the CAA requires that no new or modified stationary source, in conjunction with existing source emissions in the same area, can interfere with the attainment or maintenance of the National Ambient Air Quality Standards (NAAQS). It further requires that no source can construct without securing a permit to ensure that the objectives of parts C and D of title I of the CAA are met.

Part C of title I of the CAA outlines specific construction requirements for new and modified sources constructing in areas that do not violate the NAAQS. These requirements are more commonly referred to as the “prevention of significant deterioration” or “PSD” rules, which require a prospective major new or modified source to: (1) demonstrate that the NAAQS and increments will not be exceeded, (2) ensure the application of best available control technology (BACT) and (3) protect Federal Class I areas from adverse impacts, including adverse impacts on air quality related values (AQRVs).

Similarly, part D of title I of the CAA specifies requirements for major new and modified sources constructing in areas designated as nonattainment for a NAAQS pursuant to section 107 of the CAA. The part D provisions also apply to major source permitting in the Northeast Ozone Transport Region as established under section 184 of the CAA. The part D rules, which are often referred to as the “nonattainment major NSR” or “NA NSR” rules, generally require a prospective major construction project to: (1) ensure the application of controls which will achieve the lowest achievable emission rate (LAER), (2) certify that all major sources in a state which are owned or controlled by the same person (or persons) are in compliance with all air emissions regulations and (3) secure reductions in existing source emissions (“offsets”) that comply with specific statutory offset ratios and are otherwise equal to, or greater than, those reductions necessary to show attainment and maintenance of the applicable NAAQS.

2(b) PRACTICAL UTILITY/USERS OF THE DATA

Before the owner or operator of a facility can commence construction or modification of its source, it must comply with all applicable construction permit requirements. The owner or operator of a stationary source must develop or collect all relevant information not otherwise available to the federal, state or local RA. The RA reviews the application materials submitted by the owner or operator and either declares the permit application complete for processing or provides the owner or operator guidance on how to correct the deficiencies in the application. If the application has deficiencies, the applicant collects any additional data identified by the RA so that the permit application can be deemed “complete.” Although sufficient information must be submitted by the applicant before its permit can be classified as complete, some additional clarifying information can be submitted at a later date by the applicant to assist the RA in processing the permit application.

For major sources to be constructed or modified in attainment areas, the RA uses the permit application information to determine: (1) whether the source will cause or contribute to a violation of the NAAQS and air quality increments, (2) if the technology the source is proposing is BACT and (3) whether the source's emissions will adversely affect any Federal Class I areas, including AQRVs in these areas. For major sources to be constructed or modified in nonattainment areas, the permit application information is used by the RA to determine whether: (1) the source will apply LAER, (2) the source will have secured the required emissions offsets and (3) the source has demonstrated that all other of its major sources in the same state are in compliance with all applicable air emissions regulations. For minor sources that are large enough to be subject to minor NSR to be constructed or modified in attainment and nonattainment areas, the RA uses the permit application information to determine whether the source will cause or contribute to a violation of the NAAQS. Minor NSR programs may include a control technology requirement or require ambient air quality modeling to protect the NAAQS.

Once the application is complete, the RA makes a preliminary determination regarding the approvability of the permit application. For major NSR, this determination, along with the application and supporting information, is made available to the public for at least 30 days. The RA must then respond to public comments and take action on the final permit. Typically a final major NSR action must be taken on a permit by the RA within 1 year of receipt of a complete application. For minor NSR, the public comment period and deadline for a final permit action may be shorter.

In addition, the public and other permit applicants may use some of the data collected. The EPA operates a RACT/BACT/LAER Clearinghouse (RBLC)[[1]](#footnote-1) which contains many BACT and LAER determinations to aid applicants and reviewers in identifying reasonable and available control technologies. The Clean Air Act Amendments of 1990 require that the BACT or LAER information in each permit must be gathered by the RA and submitted for entry into the RBLC database as a reference for making future control technology determinations. Annual reports containing RBLC update information are also available to the public through the National Technical Information Service.

3. NONDUPLICATION, CONSULTATIONS AND OTHER COLLECTION CRITERIA

3(a) NONDUPLICATION

The information collection activities required under the NSR regulations are not routinely performed elsewhere by the EPA. However, similar information may be collected during the development of certain environmental impact statements (EIS). In such cases, regulations and policies require that information collected for the EIS and NSR programs be coordinated to the maximum extent possible so as to minimize duplicating the collection of data. Some of the required information also may already be available from states or other federal agencies. However, even when these data are available, they are not generally adequate to address completely the relevant NSR requirements.

3(b) PUBLIC NOTICE REQUIRED PRIOR TO ICR SUBMISSION TO OMB

The first public notice of this ICR renewal was published in the *Federal Register* on November 25, 2011 (76 FR 72700). No comments were received. The ICR will be submitted to the OMB for approval.

3(c) CONSULTATIONS

This ICR is a renewal of the existing ICR for the NSR program. It incorporates the base elements of the program which have not been changed for this renewal. However, since the previous renewal, the EPA has filled regulatory voids that existed in Indian country (where state NSR programs do not apply) by promulgating a part D program and a minor NSR program for Indian country. (The EPA was already implementing the part C PSD program in Indian country.) The implementing regulations for these programs are located in 40 CFR part 49 at 40 CFR 49.151 through 49.173, so these part 49 regulations have been brought under this ICR. The EPA acts as the reviewing authority for these programs.

In addition, GHGs have come under the PSD program since the last renewal as a result of actions under the CAA unrelated to NSR. Provisions also have been added to the PSD regulations that allow for full implementation of the program for particulate matter less than 2.5 microns (PM2.5), which has resulted in an increase in the modeling required for PSD permits. The Flexible Air Permitting Rule also established policies that reduce total burden because of the reduction in the number of permit actions.

Extensive consultation through public hearings with environmental groups; industry; and state, local, and federal agency representatives were conducted previously for all these actions that have affected the NSR rules covered by this ICR. Extensive consultation with Indian Tribes was carried out during the development of the NSR programs for Indian country. Also, prior to the previous ICR renewal, the EPA contacted the National Association of Clean Air Agencies (NACAA) and received comments from three of its members. Consistent with NACAA’s input during that consultation period, changes were made to the burden estimates for certain activities performed by RAs, and these changes have been carried over in this renewal. In addition, the EPA contacted NACAA to solicit input for this renewal of the ICR, but no comments were received.

3(d) EFFECTS OF LESS FREQUENT COLLECTION

The CAA defines the rate of reporting by sources, states and local entities. Consequently, less frequent collection is not possible.

3(e) GENERAL GUIDELINES

The OMB's general guidelines for information collections must be adhered to by all federal agencies for approval of any rulemaking's collection methodology. In accordance with the requirements of 5 CFR 1320.5, the EPA believes:

1. The NSR regulations do not require periodic reporting more frequently than semi-annually.

2. The NSR regulations do not require respondents to participate in any statistical survey.

3. Written responses to EPA inquiries are not required to be submitted in less than 30 days.

4. Special consideration has been given in the design of the NSR program to ensure that the requirements are, to the greatest extent possible, the same for federal requirements and those RAs who already have preconstruction permitting programs in place.

5. Confidential, proprietary and trade secret information necessary for the completeness of the respondent's permit are protected from disclosure under the requirements of section 503(e) and section 114(c) of the CAA.

6. The NSR regulations do not require more than one original and two copies of the permit application, update or revision to be submitted to the EPA.

7. Respondents do not receive remuneration for the preparation of reports required by the CAA or part 49, 51 or 52.

8. To the greatest extent possible, the EPA has taken advantage of automated methods of reporting.

9. The EPA believes the impact of NSR regulations on small entities to be insignificant and not disproportionate.

The recordkeeping and reporting requirements contained in the NSR program do not exceed any of the PRA guide­lines con­tained in 5 CFR 1320.5, except for the guideline which limits reten­tion of records by respondents to 3 years. The CAA requires ­both respondents and state or local agencies to retain records for a period of 5 years. The justification for this exception is found in 28 U.S.C. 2462, which specifies 5 years as the general statute of limitations for federal claims in response to violations by regu­lated entities. The decision in U.S. v. Conoco, Inc., No. 83-1916-E (W.D. Okla., January 23, 1984) found that the 5-year general statute of limitations applied to the CAA.

3(f) CONFIDENTIALITY

Confidentiality is not an issue for the NSR program. In accordance with title V, section 503 (e), the information that is to be submitted by sources as a part of their permit application and update, applications for revisions and applications for renewals is a matter of public record. To the extent that the information required for the completeness of a federal permit is proprietary, confidential or of a nature that it could impair the ability of the source to maintain its market position, that information is collected and handled according to the EPA's policies set forth in title 40, chapter 1, part 2, subpart B--Confidentiality of Business Information (see 40 CFR 2). States typically have similar provisions.

3(g) SENSITIVE QUESTIONS

The consideration of sensitive questions (i.e., sexual, religious, personal or other private matters) is not applicable to the NSR program. The information gathered for purposes of establishing an NSR permit for a source do not include personal data on any owner or operator.

4. THE RESPONDENTS AND THE INFORMATION REQUESTED

4(a) RESPONDENTS/STANDARD INDUSTRIAL CLASSIFICATION (SIC) CODES

Table 4-1 lists the industrial groups the EPA expects will contain the majority of the industrial respondents affected by the NSR program. These categories were chosen because of their historic relative incidence in seeking NSR permits as established in prior ICRs and confirmed by a nationwide air pollutant emission inventory developed by the EPA in 1986-87. These industries have been used as the basis for impact analysis since that inventory.

**Table 4-1. Most Numerous Industrial Respondents by Industrial Group**

|  |  |  |
| --- | --- | --- |
| Industry Group | SIC | NAICS† |
| Steam Electric Plants | 491 | 221111, 22112, 22113, 221119, 221121, 221122 |
| Petroleum Refining | 291 | 32411 |
| Chemical Processes | 281 | 325181, 32512, 325131, 325182, 211112, 325998, 331311, 325188 |
| Natural Gas Transport | 492 | 48621, 22121, 48621 |
| Pulp Mills | 261 | 32211, 322121, 322122, 32213 |
| Paper Mills | 262 | 322121, 322122 |
| Automobile Manufacturing | 371 | 336111, 336112, 33612, 336211, 336992, 336322, 33633, 33634, 33635, 336399, 336212, 336213 |
| Pharmaceuticals | 283 | 325411, 325412, 325413, 325414 |

† North American Industry Classification System

The respondents also include state and local air regulatory agencies that serve as the RAs for the NSR program. Because of the national scope of the NSR program, these governmental respondents are in all 50 states. In total, we recognize 112 such state and local RAs.

An exception to the list of affected industries in Table 4-1 applies to the minor NSR program in Indian country. For that program, the industrial groups expected to be most affected are listed in Table 4-2.

**Table 4-2. Most Numerous Industrial Respondents by Industrial Group in Indian Country**

| Industry Group | NAICS |
| --- | --- |
| Animal food manufacturing | 311119 |
| Asphalt hot mix | 324121 |
| Auto body refinishing | 811121 |
| Beef cattle complex, slaughter house, and meat-packing plant | 3116 |
| Casting foundry (iron) | 331511 |
| Chemical preparation | 3251 |
| Clay and ceramics operations (kilns) | 32711 |
| Concrete batching plant | 327320 |
| Crude petroleum and natural gas extraction | 211111 |
| Electric power generation | 22111 |
| Fabricated metal products | 3329 |
| Fabricated structural metal | 3323 |
| Fiber glass operations | 3279 |
| Gasoline bulk plant | 424710 |
| Gasoline station (storage tanks, refueling) | 4471 |
| Grain elevator | 424510 |
| Machinery manufacturing | 33311 |
| Millwork (wood products manufacturing) | 32191 |
| Natural gas-distribution systems | 221210 |
| Natural gas liquid extraction (major source) | 211112 |
| Oil and gas production/operations (minor Oil & Gas) | 21111 |
| Other (natural gas-fired boilers) | 72112a |
| Printing operations (lithographic) | 323110 |
| Professional, scientific, and technical services | 54171b |
| Sand and gravel mining | 212321 |
| Sand- and shot-blasting operations | 238990 |
| Sawmills (minor source) | 321113 |
| Sawmills (major source) | 321113 |
| Sewage treatment facilities | 221320 |
| Softwood veneer and plywood manufacturing | 321212 |
| Solid waste landfill | 562212 |
| Surface coating operations | 332812 |
| Wood kitchen cabinet manufacturing | 337110 |

a NAICS associated with “other” facilities is that for casino-hotels, which was the most frequently mentioned type of “other” facility.

b This sector included based on natural gas-fired boilers.

4(b) INFORMATION REQUESTED

4(b)(1) DATA ITEMS, INCLUDING RECORDKEEPING REQUIREMENTS

Tables A-1 and A-2 of Appendix A summarize the industry respondent data and information requirements that owners or operators of major sources must include in PSD and NA NSR construction permit applications. The tables also include the appropriate references in 40 CFR part 51 for the data and information requirements that govern the way states implement NSR programs. For each reference in part 51, corresponding language will be found in part 52. In this ICR analysis, the minor NSR burden is for owners or operators of minor sources to submit information to demonstrate that they are exempt from the major source construction permit requirements and that they will not cause or contribute to a violation of any NAAQS and that they will meet all requirements of the applicable implementation plan. Because state minor NSR programs vary widely in form and requirements, it is not practical to list specific requirements for these programs other than the general requirements found in 40 CFR 51.160. The specific items required by the minor NSR program for Indian country are listed in Appendix B.

Table A-3 of Appendix A summarizes the data and information requirements that state and local reviewing authority respondents must meet for major NSR permits. Table A-3 also shows the part 51 references for the data and information requirements specified. Because of the variability of minor NSR programs, it is not practical to list specific requirements for these programs other than the general requirements found in 40 CFR 51.160 and 51.161. The EPA is the reviewing authority for the minor NSR program in Indian country. Thus, state and local agencies are not respondents for that program.

4(b)(2) RESPONDENT ACTIVITIES

Table 6-1 lists the activities, burden and estimated costs for industry respondents under the NSR program under 40 CFR parts 49, 51 and 52. For the part C and D programs, these activities include three broad categories: Preparation and Planning; Data Collection and Analysis; and Permit Application. Within each of these categories, further subdivision of a source’s activities can be found. The EPA anticipates it will take 1,610 part C major sources an average of approximately 1,006 hours to complete each PSD application, for a total of 1,619,660 hours. Each of the 486 part D NSR sources will require an average of 642 hours, or a total of approximately 312,012 hours each year, to complete part D NA NSR applications. Each minor source will require a weighted average of approximately 39 hours to complete its application requirements, for a total of 2,822,885 hours for state and local minor NSR programs and 479,435 hours for minor NSR program in Indian country.

Table 6-2 lists the activities, burden and estimated costs for state and local RA respondents under the NSR program. We estimate that it will take these agencies an average of approximately 336 hours to complete each of the estimated 1,610 PSD applications, for a total of 540,960 hours annually. For each of the 486 part D NSR applications, we believe an average of 128 hours will be required, totaling approximately 62,208 hours each year. Each minor NSR application will require a weighted average of approximately 29 hours, for an annual total of 2,095,140 hours. State and local agencies do not act as RAs for minor NSR program in Indian country. In addition, state and local RA respondents are expected to submit state implementation plan (SIP) revisions to conform their rules to amendments to the major NSR regulations in part 51. We estimate an average of 51 SIP revisions per year, each requiring 40 hours to prepare for a total of 2,040 hours annually.

5. THE INFORMATION COLLECTED – AGENCY ACTIVITIES, COLLECTION METHODOLOGY AND INFORMATION MANAGEMENT

5(a) AGENCY ACTIVITIES

Table 6-3 lists the EPA’s activities associated with NSR permitting. These activities generally involve oversight review of state and local RAs’ major NSR permitting actions and more complicated minor NSR actions to verify that the requirements of the CAA and the implementing part 51 and 52 regulations are being met. In addition, EPA will have to review the SIP revisions submitted by the RAs. Finally, the EPA serves as the RA for the minor NSR program in Indian country.

5(b) COLLECTION METHODOLOGY AND MANAGEMENT

The owners and operators of new or modified stationary sources affected by the NSR regulations will be responsible for submitting construction permit applications to the RA. The RA will log in permit applications, store applications in a central filing location at the RA’s offices, notify the Federal Land Manager (FLM) and provide a copy of the application (if applicable), and transmit copies of each application to the EPA. Once construction permits have been approved, the RA will submit control technology information to the EPA's RBLC database. Because the construction permits and associated control technology determinations are performed on a case-by-case basis, the regulations will not contain additional forms that owners or operators would have to fill out and submit to the RA. States will likely use their current permit application forms for NSR purposes. The NSR program in Indian country is an exception – the EPA has developed application forms for the registrations and permits required under that program.

Qualified personnel who work for the RA will perform permit reviews and check the quality of data submitted by the applicant on a case-by-case basis. The applicant will be required to submit information on how the data were obtained (e.g., indicate whether emissions data were obtained through the use of emissions factors or test data) and how the calculations were performed. The RA personnel will check data quality by reviewing test data and checking engineering calculations, and by reviewing control technology determinations for similar sources. The RBLC and other sources will be reviewed for information on control technology determinations made for sources similar to the sources included in the permit application. Confidential information submitted by the applicant will be handled according to the RA's confidential information handling procedures. The public will be provided the opportunity to review a permit application and other materials relevant to the RA’s decision on issuing the permit, including FLM findings, by obtaining a copy from the RA or by attending the public hearing. The NSR regulations will not require information through any type of survey.

5(c) SMALL ENTITY FLEXIBILITY

The Regulatory Flexibility Act (RFA) requires regulatory agencies, upon regulatory action, to assess that action’s potential impact on small entities (businesses, governments, and small non-governmental organizations) and report the results of the assessments in (1) an Initial Regulatory Flexibility Analysis (IRFA), (2) a Final Regulatory Flexibility Analysis (FRFA), and (3) a Certification. For ICR approval, an agency must demonstrate that it "has taken all practicable steps to develop separate and simplified requirements for small businesses and other small entities" (5 CFR 1320.6(h)). In addition, the agencies must assure through various mechanisms that small entities are given an opportunity to participate in the rulemaking process.

A Regulatory Flexibility Act Screening Analysis (RFASA) developed as part of a 1994 draft Regulatory Impact Analysis (RIA) and incorporated into the September 1995 ICR renewal analysis reported an initial regulatory flexibility screening analysis showed that the changes to the NSR program due to the 1990 Clean Air Act Amendments would not have an adverse impact on small entities.[[2]](#footnote-2)2 This analysis encompassed the entire universe of applicable major sources that were likely to also be small-businesses. The Agency estimates there are approximately 50 “small business” major sources.[[3]](#footnote-3)3 Because the administrative burden of the NSR program are the primary source of the NSR program’s regulatory costs, the analysis estimated a negligible “cost to sales” (regulatory cost divided by the business category mean revenue) ratio for this source group. Currently, there is no economic basis for a different conclusion at this time.

5(c)(1) MEASURES TO AVERT IMPACTS ON SMALL ENTITIES

The Agency may not, under any circumstances, exempt a major source of air pollution. Since the impacts of NSR regulations which may impact small entities are predominantly to major sources, little room exists for regulatory flexibility to avert the impact of the proposed rulemaking on small entities through exemption.

5(c)(2) MEASURES TO MITIGATE IMPACTS ON SMALL ENTITIES

Even though the NSR program is not anticipated to have an adverse impact on a significant number of small businesses, measures are in place to assist in those incidental exceptions. Implementation of small business stationary source technical and environmental compliance assistance programs, as called for in section 507 of the CAA (at the federal and state levels) can reduce the reporting burden of small entities which are subject to major NSR. These programs may significantly alleviate the economic burden on small sources by establishing: (1) programs to assist small businesses with determining what CAA requirements apply to their sources and when they apply and (2) guidance on alternative control technology and pollution prevention for small businesses.

5(d) COLLECTION SCHEDULE

Respondents are not subjected to a collection schedule per se under NSR permitting regulations of parts 49, 51 and 52. In general, each affected source is required to submit an application as a prerequisite to receiving a construction permit. Preparation of a construction permit application is a one-time-only activity for each project involving construction of a new source or modification of an existing source. The applicable SIP typically states the time period that is necessary to process a permit application and issue a permit; consequently, a prospective source would be obliged to work backward from the hopeful commencement of construction to determine the optimum submittal date for the application. The NSR permit regulations will not require periodic reporting or surveys.

6. ESTIMATING THE BURDEN AND COST OF THE COLLECTION

6(a) ESTIMATING RESPONDENT BURDEN

Burden means the total time, effort or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. The burden estimate should be composed of (1) a total capital and start-up cost component annualized over its useful life; (2) a total operation, maintenance and purchases of services component. Each component should be divided into burden borne directly by the respondent and any services that are contracted out.

Table 6-1 identifies the average burden by activity for the industrial respondents. The average burden for several PSD tasks have increased since the last 2008 renewal, primarily as a result of the incorporation of GHGs into the program (EPA ICR No. 1230.28) and the addition of additional PM2.5 requirements (EPA ICR No. 1230.31). As a result, the average burden for an industrial respondent has increased from 866 hours per PSD permit to 1,006. The Flexible Air Permitting Rule (EPA ICR No. 1230.26) also caused a small increase to PSD permit burden, but that was more than offset by the reduction in the number of permits that resulted. An estimated 34 of the 1,610 part C (PSD) permit applications will require preconstruction air quality monitoring. More specifically, these 34 sources represent about 12 percent of the 274 sources that are expected to be subject to PSD each year for non-GHG pollutants. (Preconstruction monitoring is never required for GHGs.) This direct start-up cost is estimated at $366,006 per source. This value was derived by applying the Bureau of Labor Statistics’ (BLS’) online inflation calculator to the value used in the 2008 renewal ($335,165).[[4]](#footnote-4) The industry respondent burden for a part D permit remains unchanged from the 2008 renewal.

In previous renewals, the average burden for preparing and submitting minor NSR permit applications under state/local programs has reflected a range of estimated burden from 8 to 120 hours, depending on the nature of the permit action required. The average assumed the following average burdens for different types of permit actions (percent of total actions in parentheses): 40 hours for new minor sources, new synthetic minor sources, and synthetic-based modifications (30 percent); 8 hours for true minor modifications (30 percent); 120 hours for netting-based minor modifications (20 percent); and 8 hours for minor/administrative permit revisions (20 percent). However, since the last renewal, the EPA promulgated the Flexible Air Permitting Rule which encouraged the use of flexible permitting techniques which tend to require additional burden in the initial permit, but reduce the need for subsequent permits and permit revisions. As calculated in the revised ICR prepared for that rulemaking (EPA ICR No. 1230.26), the overall burden for minor NSR permitting in state/local programs fell to 2,822,885 hours per year and the number of permits was reduced to 72,841 annually. Based on these final numbers, which are unchanged in this renewal, the weighted average burden for each minor NSR permit is about 39 hours.

The burden for industry respondents for the minor NSR program in Indian country was similarly calculated in an ICR revision prepared for that rulemaking (EPA ICR No. 1230.27). For this ICR renewal we have used the burdens and costs developed for that ICR, although we have updated the number of sources subject to each type of action to reflect the progress that has been made in implementing the rule. The Indian country NSR rule also addressed the NA NSR part D program in Indian country, but we estimated in the ICR revision for that rule that an average of only one source subject to the rule would require permitting annually. Rather than calculate that small burden as separate line item, for this renewal we have simply included that single source in the overall part D program calculations.

Table 6-2 identifies the average burden by activity for the state and local reviewing authority respondents. Changes that were made for the 2008 renewal pursuant to consultation with NACAA to more accurately reflect the burdens of these activities have been retained in this renewal. Since the 2008 renewal, the per-permit burden for a PSD permit has increased from 301 hours to 336 hours as a result of the same factors noted above for the industry respondents. The burden for a part D permit has increased marginally (from 127 to 128 hours) as a result of the Flexible Air Permitting Rule, although the overall burden went down as a result of that rule because of a decrease in the number of permits required annually. The burden for reviewing a minor NSR permit application and issuing the permit fell to a weighted average of about 29 hours.

6(b) ESTIMATING RESPONDENT COSTS

6(b)(i) ESTIMATING LABOR COSTS

In this ICR, nearly the entire burden for all respondents (and the EPA) is treated as a labor cost. The explanation for the absence of capital and operations and maintenance costs appears below in sections 6(b)(ii) and 6(b)(iii). Consequently, in general, there is only an annual value of the costs of the ICR burden, which is equal to the cost of the first yearly outlay. For much of the NSR program, the same annual ICR burden and cost are reported for each year because the EPA projects that the yearly average number of permit applications will be constant over the term of the ICR. However, the minor NSR program in Indian country is an exception in that in the first 2 years of the term of this ICR renewal, existing, new and modified minor sources will only be required to register, while in the third year new and modified minor sources will be required to obtain permits. The annual values for industry respondents reported in Table 6-1 for this program represent the average annual number of respondents and average burden hours per registration/permit.

In order to improve the accuracy of burden estimates, this renewal ICR updates the wage rates to values in 2011 dollars. The labor rate used to calculate the industrial respondents’ labor cost is $99/hr. The industrial labor rate was obtained from Table 2 in the Bureau of Labor Statistics (BLS) survey “Employer Costs for Employee Compensation,” June 2011, for “professional and related” workers. To determine the rate per hour, a 110 percent overhead was assumed. The resultant rate was rounded to the nearest dollar, yielding $99/hr.

Following the same assumptions as the 2008 ICR renewal, 34 of the industrial respondents submitting part C (PSD) permit applications will conduct preconstruction ambient air quality monitoring. The average cost for this activity is estimated to be $366,006, which is the inflation-adjusted figure based on the value of $335,165 included in the 2008 ICR renewal. As note previously, this inflation adjustment was made using the BLS’ online inflation calculator.

The labor rate used to calculate the state and local respondents’ labor cost is $81/hr. This rate was also obtained from the BLS survey.[[5]](#footnote-5) We assumed 100 percent overhead for state and local agency labor. Table 6-2 presents the state and local agency respondents’ burden and costs. Their annual cost is equal to the cost of the first year outlay, which recurs each year.

6(b)(ii) ESTIMATING CAPITAL AND OPERATIONS AND MAINTENANCE COSTS

Even if an applicant is a brand new company and the prospective source is a “greenfield” source (the EPA estimates less than 1 percent of the combined number of major and minor industrial respondents fit that description) most, and perhaps all, of the equipment needed to prepare permit applications (for example, the computers and basic software) will be part of the source’s business operation inventory. Furthermore, much of the data and regulatory and policy information for making technology determinations and even models for performing ambient air impact analyses are available in electronic form from several different EPA web sites for just the communication charges, which are typically absorbed in routine business overhead expenses.

Since the purchase of capital equipment is believed to be an insignificant factor in permit application preparation, the EPA assumes the operation, maintenance, or services for same are negligible. Further, once a permit is issued, there is no operations and maintenance cost associated with it. It remains unaltered unless the source or the permitting authority discovers specific reasons to reexamine it and change any conditions or specifications. If purely administrative, the changes are handled exclusively by the permitting authority. If changes have the potential for environmental consequences, the action may be significant enough to be counted as a separate and new application, to which a new burden and cost may be ascribed.

6(b)(iii) CAPITAL/START-UP OPERATING AND MAINTENANCE (O&M) COSTS

Capital/start-up and O&M costs are non-labor related costs. One-time capital/start-up costs are incurred with the purchase of durable goods needed to provide information. According to the PRA, capital/start-up cost should include among other items, preparations for collecting information such as purchasing computers and software, monitoring, sampling, drilling and testing equipment. As a practical matter, these costs are not typical of the costs associated with preparing a major source permit application. For the same reason, the O&M costs associated with start-up capital equipment are zero for most of the sources for this ICR. However, as shown in Table 6-1, 34 of the 1,610 part C (PSD) permit applications are projected to require preconstruction air quality monitoring, which costs $12,444,204. This one-time cost includes pre-application monitoring of air quality via contract services. In addition, Table 6-1 also shows small capital/start-up costs for industry respondents in the Indian country minor NSR program. Many of the sources subject to that program have never been subject to any type of air regulations before, and we believe that there may be some costs for such sources.

6(b)(iv) ANNUALIZING CAPITAL COSTS

Typically annualized capital cost would be derived from a discounted net present value of the stream of costs that would occur over the life of the permit, or the ICR, whichever is shorter. However, in the case of NSR, there are only labor costs for preparing and processing permit applications. Labor costs are expensed when incurred and not amortized. Therefore, the capital costs for NSR permitting are zero. A minor exception is the capital/start-up costs noted above for the minor NSR program in Indian country, which were annualized to derive the annual costs reported in Table 6-1.

6(c) ESTIMATING AGENCY BURDEN AND COST

Staff in the EPA’s Regional Offices typically review major NSR permits and more complicated minor NSR permits issued by state and local reviewing authorities. In addition, Regional Office staff will now also serve as the RA for the minor NSR program in Indian country. The EPA expects its review of NSR permits to comprise the tasks listed in Table 6-3. The cost estimate uses a “loaded” labor rate of $46/hr. The rate reflects the assumption that the staff reviewing permits are classified as Grade 12 Step 1. The corresponding salary is loaded with benefits at the rate of 60 percent.[[6]](#footnote-6)

6(d) ESTIMATING THE RESPONDENT UNIVERSE AND TOTAL BURDEN AND COST

For the purpose of estimating burden in this ICR, the respondent universe is defined by the annual number of permit applications prepared by major and minor sources, and the annual number of permit applications processed by state and local RAs. These numbers are based on the currently approved ICR for the NSR program, which is a revision to add the impact of the PM2.5 Increments, SILs and SMC rule (EPA ICR No. 1230.31) to the NSR program. (This burden was originally approved under EPA ICR No. 2276.02, OMB Control No. 2060-0609.) The universe of permits was revised from this baseline to account for additional PSD permits that will be required now that GHGs have come under the PSD program and the phase-in has progressed since that impact was last evaluated (in EPA ICR No. 1230.28). In addition, the number of minor NSR permits in Indian country was revised to reflect the progress that will be made in that program during the term of this ICR renewal.

This analysis uses the 112 RA count used by other permitting ICRs and the appropriate source count for individual permit-related items (e.g., attending pre-application meetings with the source). The resulting number of responses for this ICR renewal is then estimated to be as follows:

* + 1. 1,610 part C (PSD) permit applications prepared by industry.
    2. 486 part D (nonattainment) permit applications prepared by industry.
    3. 72,841 minor NSR permit applications prepared by industry in state/local programs.
    4. 12,432 minor source registrations and minor NSR applications prepared by industry in Indian country
    5. 1,610 part C (PSD) permit applications processed by state and local RAs.
    6. 486 part D (nonattainment) permit applications processed by state and local RAs.
    7. 72,841 minor NSR permit applications processed by state and local RAs.

For each category of permit application except minor sources in Indian country, the total number of responses is twice the number of permit applications. (This is not the case for the minor NSR program in Indian country because the EPA acts as the RA for that program.) In addition, each RA must submit changes to its existing SIP program or demonstrate that its existing programs are at least equivalent to the EPA’s new requirements. Over the next 3 years, we anticipate that all 112 RAs will submit a SIP revision to add PM2.5 to their major NSR programs, 28 will submit a SIP revision for GHGs and 13 will submit a SIP revision for the NSR Reform rulemaking. This comes to a total of 153 over 3 years, or an average of 51 per year.

The total annual effort for industry respondents submitting Part C (PSD) permit applications is 1,619,660 hours, and the corresponding annual cost is $172,790,544. The total annual effort for industry respondents submitting part D (nonattainment) permit applications is 312,012 hours, and the corresponding annual cost is $30,889,188. The total annual effort for industry respondents submitting minor NSR permit applications to state/local programs is 2,822,885 hours, and the corresponding annual cost is $279,465,615. The total annual effort for industry respondents submitting registrations and minor NSR permit applications for the Indian country program is 479,435 hours, and the corresponding annual cost is $5,353,200. For industry respondents, the overall total annual effort is 5,233,992 hours and $488,498,547.

The total annual effort for state and local respondents processing part C (PSD) permit applications is 540,960 hours, and the corresponding annual cost is $43,817,760. The total annual effort for state and local respondents processing part D (nonattainment) permit applications is 62,208 hours, and the corresponding annual cost is $5,038,848. The total annual effort for state and local respondents processing minor NSR permits is 2,095,140 hours, and the corresponding annual cost is $169,706,340. State and local respondents also will spend approximately 2,040 hours for SIP revisions, for an annual cost of $165,240. For the state and local respondents, the overall total annual effort is 2,700,348 hours and $218,728,188.

6(e) BOTTOM LINE BURDEN HOURS AND COST TABLES

6(e)(i) RESPONDENT TALLY

Table 6-4 summarizes the estimated burden and cost to industry respondents, state and local agency respondents, and the EPA for submittal and processing of NSR permit applications and the issuance of the permits. It also includes the cost to the respective respondents and reviewing agencies for nonapplicability findings, which preclude sources from further major source requirements. For industry and state and local agency respondents, the overall total annual burden is 7,934,340 hours and $707,226,735.

6(e)(ii) THE AGENCY TALLY

The total annual effort for the EPA for processing part C (PSD) permit applications is 25,760 hours, and the corresponding annual cost is $1,184,960. The total annual effort for the EPA for processing part D (nonattainment) permit applications is 7,776 hours, and the corresponding annual cost is $357,696. The total annual effort for the EPA for processing minor NSR permits in state/local programs is 6,964 hours, and the corresponding annual cost is $320,344. The total annual effort for the EPA for serving as the RA for the minor NSR program in Indian country is 44,568 hours, and the corresponding annual cost is $4,567,077. For the EPA, the overall total annual effort is 85,323 hours and $6,441,807.

6(f) REASONS FOR CHANGE IN BURDEN

The burden has changed since the previous renewal due to the factors listed below:

* The addition of GHGs to the PSD program. The requirement to issue GHG permits started in January, 2011. This addition requires some sources to obtain permits for GHGs only. Other sources, that prior to 2011 only had to obtain a permit for non-GHGs (e.g., a PSD permit for NOx), are required to either obtain a separate GHG permit or include provisions for GHGs in its PSD permit, depending on the applicable permit program’s authority. This addition results in an annual increase of 0.8 million burden hours and $1.05 million.
* The extension of minor NSR and part D programs to Indian country to fill regulatory gaps has increased the number of responses and the overall burden. Existing true minor sources have to register with their reviewing authority by March, 2013. In addition, new true minor sources must obtain pre-construction permits if they plan to begin construction on or after September 2, 2014. This program increases burden by 0.4 million hours and $0.09 million.
* The addition of provisions in the PSD program that will allow full integration of PM2.5. This includes efforts of reviewing authorities to revise their SIPs to incorporate PM2.5 into the major PSD program. The hourly burden increase due to this change is 0.04 million hours; there is no cost increase.

Also contributing to the increase in burden has been a change in the labor rates. As explained in section 6(b)(i), in order to improve the accuracy of burden estimates, the rates were recalculated using 2011 values for wages.

6(g) BURDEN STATEMENT

The average annual burden on an industrial respondent submitting a part C (PSD) permit application is 1,006 hours. The average annual burden on an industrial respondent submitting a part D (nonattainment) permit application is 642 hours. The average annual burden on an industrial respondent submitting a minor NSR permit application is about 39 hours in a state/local program and 39 hours in Indian country.

The average annual burden on a state or local RA respondent processing a part C (PSD) permit application is 336 hours. The average annual burden on a state or local RA respondent processing a part D (nonattainment) permit application is 128. The average annual burden on a state or local agency respondent processing a minor NSR permit application is about 29 hours. The average annual burden on a state or local RA submitting a SIP revision is 40 hours.

Burden means the total time, effort or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, verifying, processing, maintaining, disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for the EPA’s regulations are listed in 40 CFR part 9 and 48 CFR Chapter 15.

For those interested in commenting on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including the use of automated collection techniques, the EPA has established a public docket for this ICR under Docket ID No. EPA-HQ-OAR-2011-0901, which is available for online viewing at [www.regulations.gov](http://www.regulations.gov), or in person viewing at the Air and Radiation Docket and Information Center in the EPA Docket Center (EPA/DC), EPA West, Room 3334, 1301 Constitution Avenue, NW, Washington, DC. The EPA/DC Public Reading Room is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays. The telephone number for the Reading Room is (202) 566-1744, and the telephone number for the Air Docket is (202) 566-1742. An electronic version of the public docket is available at [www.regulations.gov](http://www.regulations.gov). This site can be used to submit or view public comments, access the index listing of the contents of the public docket, and to access those documents in the public docket that are available electronically. Once in the system, select “search,” then key in the docket ID number identified above. Also, you can send comments to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, DC 20503, Attention: Desk Office for EPA. Please include the EPA Docket ID No. EPA-HQ-OAR**-**2011-0901 and OMB control number 2060-0003 in any correspondence.

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| --- | --- | --- | --- | --- | --- |
| **Table 6-1. Industry Respondent Burden and Cost (Annual)** | | | | | |
| **Activity** | | **Units** | **Hours per Unit** | **Annual Hours** | **Annual Cost** |
| **I. Part C (PSD)** | | | | | |
|  | A. Preparation and Planning | | | | |
|  | Determination of Compliance Requirements | 1,610 | 170 | 273,700 | $27,096,300 |
|  | Obtain Guidance on Data Needs | 1,610 | 169 | 272,090 | $26,936,910 |
|  | Preparation of BACT Analysis | 1,610 | 148 | 238,280 | $23,589,720 |
|  | B. Data Collection and Analysis | | | | |
|  | Air Quality Modeling | 1,610 | 225 | 362,250 | $35,862,750 |
|  | Determination of Impact on Air Quality Related Values | 1,610 | 113 | 181,930 | $18,011,070 |
|  | Post-construction Air Quality Monitoring | 1,610 | 56 | 90,160 | $8,925,840 |
|  | C. Permit Application | | | | |
|  | Preparation and Submittal of Permit Application | 1,610 | 60 | 96,600 | $9,563,400 |
|  | Public Hearings | 1,610 | 25 | 40,250 | $3,984,750 |
|  | Revisions to Permit | 1,610 | 40 | 64,400 | $6,375,600 |
|  | D. Subtotal Burden |  | 1,006 | 1,619,660 | $160,346,340 |
|  | E. Direct Costs for Preconstruction Air Quality Monitoring | 34 |  |  | $12,444,204 |
|  | F. Total Costs |  |  |  | $172,790,544 |
| **II. Part D (Non-attainment)** | | | | | |
|  | A. Preparation and Planning | | | | |
|  | Determination of Compliance Requirements | 486 | 150 | 72,900 | $7,217,100 |
|  | Obtain Guidance on Data Needs | 486 | 100 | 48,600 | $4,811,400 |
|  | B. Data Collection and Analysis | | | | |
|  | Preparation of LAER Engineering Analysis | 486 | 52 | 25,272 | $2,501,928 |
|  | Demonstrate Offsets | 486 | 52 | 25,272 | $2,501,928 |
|  | Prepare Analysis of Alternative Sites, Processes, etc. | 486 | 60 | 29,160 | $2,886,840 |
|  | Air Quality Modeling | 486 | 130 | 63,180 | $6,254,820 |
|  | C. Permit Application | | | | |
|  | Preparation and Submittal of Permit Application | 486 | 49 | 23,814 | $2,357,586 |
|  | Public Hearings | 486 | 25 | 12,150 | $1,202,850 |
|  | Revisions to Permit | 486 | 24 | 11,664 | $1,154,736 |
|  | D. Total |  | 642 | 312,012 | $30,889,188 |
| **III. Minor NSR - State/Local Programs** | | | | | |
|  | Preparation and Submittal of Minor NSR Permit Application a | 72,841 | 39 | 2,822,885 | $279,465,615 |
| **IV. Minor NSR - Indian Country Program** | | | | | |
|  | A. Preparation and Submittal of Registrations and Permit Applications a | 12,432 | 39 | 479,435 | $5,212,341 |
|  | B. Capital Costs (Non-Labor) | 12,432 |  |  | $140,859 |
|  | C. Total |  |  |  | $5,353,200 |
| **V. GRAND TOTAL** | | 87,369 |  | 5,233,992 | $488,498,547 |

a The hours per unit for these activities are weighted averages rounded to the nearest whole number in this table.

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| --- | --- | --- | --- | --- | --- |
| **Table 6-2. State and Local RA Respondent Burden and Cost (Annual)** | | | | | |
| **Activity** | | **Units** | **Hours per Unit** | **Annual Hours** | **Annual Cost** |
| **I. Part C (PSD)** | |  |  |  |  |
|  | A. Attend Preapplication Meetings | 1,610 | 44 | 70,840 | $5,738,040 |
|  | B. Answer Respondent Questions | 1,610 | 27 | 43,470 | $3,521,070 |
|  | C. Log In and Review Data Submissions | 1,610 | 22 | 35,420 | $2,869,020 |
|  | D. Request Additional Information | 1,610 | 10 | 16,100 | $1,304,100 |
|  | E. Analyze for and Provide Confidentiality Protection | 1,610 | 24 | 38,640 | $3,129,840 |
|  | F. Prepare Completed Applications for Processing | 1,610 | 39 | 62,790 | $5,085,990 |
|  | G. File and Transmit Copies | 1,610 | 8 | 12,880 | $1,043,280 |
|  | H. Prepare Preliminary Determination | 1,610 | 41 | 66,010 | $5,346,810 |
|  | I. Prepare Notices for and Attend Public Hearings | 1,610 | 41 | 66,010 | $5,346,810 |
|  | J. Application Approval | 1,610 | 51 | 82,110 | $6,650,910 |
|  | K. Notification of Applicant of RA Determination | 1,610 | 8 | 12,880 | $1,043,280 |
|  | L. Submittal of Information on BACT/LAER to RBLC | 1,610 | 21 | 33,810 | $2,738,610 |
|  | M. Total |  | 336 | 540,960 | $43,817,760 |
| **II. Part D (Non-attainment)** | |  |  |  |  |
|  | A. Attend Preapplication Meetings | 486 | 7 | 3,402 | $275,562 |
|  | B. Answer Respondent Questions | 486 | 10 | 4,860 | $393,660 |
|  | C. Log In and Review Data Submissions | 486 | 10 | 4,860 | $393,660 |
|  | D. Request Additional Information | 486 | 4 | 1,944 | $157,464 |
|  | E. Analyze for and Provide Confidentiality Protection | 486 | 4 | 1,944 | $157,464 |
|  | F. Prepare Completed Applications for Processing | 486 | 16 | 7,776 | $629,856 |
|  | G. File and Transmit Copies | 486 | 4 | 1,944 | $157,464 |
|  | H. Prepare Preliminary Determination | 486 | 10 | 4,860 | $393,660 |
|  | I. Prepare Notices for and Attend Public Hearings | 486 | 19 | 9,234 | $747,954 |
|  | J. Application Approval | 486 | 21 | 10,206 | $826,686 |
|  | K. Notification of Applicant of RA Determination | 486 | 2 | 972 | $78,732 |
|  | L. Submittal of Information on BACT/LAER to RBLC | 486 | 21 | 10,206 | $826,686 |
|  | M. Total |  | 128 | 62,208 | $5,038,848 |
| **III. Minor NSR - State/Local Programs** | |  |  |  |  |
|  | Total for Preparation and Submittal of Minor NSR Permit Application a | 72,841 | 29 | 2,095,140 | $169,706,340 |
| **IV. SIP Revisions** | |  |  |  |  |
|  | Revision of SIP | 51 | 40 | 2,040 | $165,240 |
| **V. GRAND TOTAL** | | 74,988 |  | 2,700,348 | $218,728,188 |

a The hours per unit for this activity is a weighted average rounded to the nearest whole number in this table.

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| --- | --- | --- | --- | --- | --- |
| **Table 6-3. Agency Burden and Cost (Annual)** | | | | | |
| **Activity** | | **Units** | **Hours per Unit** | **Annual Hours** | **Annual Cost ($1000)** |
| **I. Part C (PSD)** | |  |  |  |  |
|  | A. Review and Verify Applicability Determination | 1,610 | 2 | 3,220 | $148,120 |
|  | B. Review Control Technology Determination | 1,610 | 4 | 6,440 | $296,240 |
|  | C. Evaluate Air Quality Monitoring | 1,610 | 1 | 1,610 | $74,060 |
|  | D. Evaluate Alternative and Secondary Impact Analysis | 1,610 | 5 | 8,050 | $370,300 |
|  | E. Evaluate Class I Area Analysis | 1,610 | 3 | 4,830 | $222,180 |
|  | F. Administrative Tasks | 1,610 | 1 | 1,610 | $74,060 |
|  | G. Total |  | 16 | 25,760 | $1,184,960 |
| **II. Part D (Non-attainment)** | |  |  |  |  |
|  | A. Review and Verify Applicability Determination | 486 | 2 | 972 | $44,712 |
|  | B. Review Control Technology Determination | 486 | 4 | 1,944 | $89,424 |
|  | C. Evaluate Offsets | 486 | 1 | 486 | $22,356 |
|  | D. Evaluate Air Quality Monitoring | 486 | 5 | 2,430 | $111,780 |
|  | E. Evaluate Alternative and Secondary Impact Analysis | 486 | 3 | 1,458 | $67,068 |
|  | F. Administrative Tasks | 486 | 1 | 486 | $22,356 |
|  | G. Total |  | 16 | 7,776 | $357,696 |
| **III. Minor NSR – State/Local Programs** | |  |  |  |  |
|  | Review Synthetic/Netting-Based Minor NSR Permits | 2,957 | 2 | 6,964 | $320,344 |
| **IV. Minor NSR - Indian Country Program** | |  |  |  |  |
|  | Review Minor NSR Permits and Registrations a | 12,432 | 4 | 44,568 | $4,567,077 |
| **V. SIP Revisions** | |  |  |  |  |
|  | Review of SIP revisions | 51 | 5 | 255 | $11,730 |
| **VI. GRAND TOTAL** | | 17,536 |  | 85,323 | $6,441,807 |

a The hours per unit for this activity is a weighted average rounded to the nearest whole number in this table.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Table 6-4. NSR Program Information Collection Burden Summary** | | | | | | | | | | |
|  | | **Total** | | | | | **Per Unit** | | | |
| Part C (PSD) | Part D (Non-attainment) | Minor NSR State/Local | Minor NSR Indian Country | Cumulative Total a+b | Part C (PSD) | Part D (Non-attainment) | Minor NSR State/Local | Minor NSR Indian Country |
| Number of Responsesa | | 3,220 | 972 | 145,682 | 12,432 | 162,357 |  |  |  |  |
| Respondent Burden Hours | Industry | 1,619,660 | 312,012 | 2,822,885 | 479,435 | 5,233,992 | 1,006 | 642 | 39 | 39 |
| State/Local | 540,960 | 62,208 | 2,095,140 | 0 | 2,700,348 | 336 | 128 | 29 | 0 |
| Industry and State/ Local Agency Totals | 2,160,620 | 374,220 | 4,917,995 | 479,435 | 7,934,340 | 1,342 | 770 | 68 | 39 |
| Federal (Agency) Burden | | 25,760 | 7,776 | 6,964 | 44,568 | 85,323 | 16 | 16 | 2 | 4 |
| Program Grand Total Burden | | 2,186,380 | 381,996 | 4,924,959 | 524,003 | 8,019,663 |  |  |  |  |
| Respondent Annual Cost ($1000)c | Industry Labord | $160,346 | $30,889 | $279,466 | $5,212 | $475,913 | $99.59 | $63.56 | $3.84 | $0.42 |
| Other Direct Costse | $12,444 | $0 | $0 | $141 | $12,585 | $366.01 | $0.00 | $0.00 | $0.01 |
| Total Industry Costsf | $172,791 | $30,889 | $279,466 | $5,353 | $488,499 | $107.32 | $63.56 | $3.84 | $0.43 |
| State/Local Costs | $43,817 | $5,039 | $169,706 | $0 | $218,728 | $27.22 | $10.37 | $2.33 | $0 |
| Industry and State/Local Agency Totals | $216,608 | $35,928 | $449,172 | $5,353 | $707,227 |  |  |  |  |
| Agency Annual Costs ($1000) | | $1,185 | $358 | $320 | $4,567 | $6,442 | $0.74 | $0.74 | $0.00 | $0.37 |
| Program Grand Total Costs ($1000) | | $217,793 | $36,286 | $449,492 | $9,920 | $713,669 | $135.28 | $74.66 | $6.17 | $0.80 |
| (a) In general, the number of responses is twice the number of permitting actions for a given category due to (1) the applicant preparing the application, and (2) the state/local reviewing authority reviewing and issuing the permit. For the minor NSR program in Indian country the number of responses is the number of permitting actions because the EPA is the reviewing authority. | | | | | | | | | | |
| (b) The 112 reviewing authorities are expected to submit an average of 51 SIP revisions per year totaling 2,040 hours and $165,240 to conform their major NSR programs to the revised rules. The EPA will review the 51 SIP revisions per year, totaling 255 hours and $11,730. These figures are added into the Cumulative column. | | | | | | | | | | |
| (c) In general, costs are in thousands of current (2011) dollars and represent one-time permit application costs. For the minor NSR program in Indian country, costs are in 2009 dollars. | | | | | | | | | | |
| (d) The EPA estimates that 30% of the in-house hourly burden may be contracted, but because it is at the discretion of the applicant, the cost has not been converted to direct cost. Furthermore EPA assumes the labor rate would remain the same, in which case there is no impact on total annual costs. | | | | | | | | | | |
| (e) These direct costs are primarily for 34 PSD sources (approximately 12% of the 274 sources that are subject to PSD for pollutants other than greenhouse gases) at $366,006 per source, for pre-application monitoring of air quality via contract services. This cost is not incurred by Part D or minor NSR permit applicants. However, minor NSR applicants in Indian country, many of whom have never been subject to any type of air regulations before, are projected to incur some capital costs. | | | | | | | | | | |
| (f) Per unit cost for PSD permits reflects the direct cost for pre-application monitoring averaged over all PSD permits. The estimated 34 sources that require preconstruction monitoring are estimated to incur an average total cost of $465,600 per application. The others will incur an average of $99,594. | | | | | | | | | | |

APPENDIX A

INFORMATION REQUIREMENTS

|  |  |
| --- | --- |
| **TABLE A-1. INDUSTRY RESPONDENT DATA AND**  **INFORMATION REQUIREMENTS FOR**  **PREPARING PART C (PSD) CONSTRUCTION PERMITS** | |
| Requirement | Regulation Reference |
| All information necessary to perform any analysis or make any determination required | 40 CFR 51.166(n)(1) |
| Description of the nature, location, design capacity, and typical operating schedule | 40 CFR 51.166(n)(2)(i) |
| Detailed schedule for construction | 40 CFR 51.166(n)(2)(ii) |
| Description of continuous emission reduction system, emission estimates, and other information needed to determine that BACT is used | 40 CFR 51.166(n)(2)(iii) |
| Air quality impact, meteorological, and topographical data | 40 CFR 51.166(n)(3)(i) |
| Nature and extent of, and air quality impacts of general commercial, residential, industrial, and other growth in area of source | 40 CFR 51.166(n)(3)(ii) |
| Use of air quality models to demonstrate compliance with NAAQS and increment | 40 CFR 51.166(k) & (l) |
| Air quality monitoring data | 40 CFR 51.166(m) |
| Impairment of visibility, soils, and vegetation | 40 CFR 51.166(o)(1) |
| Air quality impact resulting from general commercial, residential, industrial, and other growth associated with source | 40 CFR 51.166(o)(2) |
| Written notice of proposed relocation from portable source | 40 CFR 51.166(i)(1)(iii)(*d*) |
| Description of the location, design construction, and operation of building, structure, facility, or installation | 40 CFR 51.160(c)(2) |
| Description of the nature and amounts of emissions to be emitted | 40 CFR 51.160(c)(1) |
| Description of the air quality data and dispersion or other air quality modeling used | 40 CFR 51.160(f) |
| Sufficient information to ensure attainment and maintenance of NAAQS | 40 CFR 51.160(c)-(e), 40 CFR 51.161-163 |

|  |  |
| --- | --- |
| **Table A-2: INDUSTRY RESPONDENT DATA AND INFORMATION REQUIREMENTS FOR PREPARING**  **PART D (NONATTAINMENT NSR) CONSTRUCTION PERMITS** | |
| Requirements | Regulation Reference |
| Documentation that LAER is being applied | 40 CFR 51.165(a)(2);  40 CFR part 51, Appendix S, section IV.A;  40 CFR 52.24(k) |
| Documentation that all sources owned or operated by same person are in compliance | 40 CFR 51.165(a)(2);  40 CFR part 51, Appendix S, section IV.A;  40 CFR 52.24(k) |
| Documentation that sufficient emissions reductions are occurring to comply with specific offset requirements and to ensure RFP | 40 CFR 51.165(a)(3);  40 CFR part 51, Appendix S, section IV.A;  40 CFR 52.24(k) |
| Documentation that benefits of proposed source significantly outweigh the environmental and social costs imposed as a result of its location, construction, or modification | 40 CFR 51.165(a)(2) |
| Description of the location, design construction, and operation of building, structure, facility, or installation | 40 CFR 51.160(c)(2) |
| Description of the nature and amounts of emissions to be emitted | 40 CFR 51.160(c)(1) |
| Description of the air quality data and dispersion or other air quality modeling used | 40 CFR 51.160(f) |
| Sufficient information to ensure attainment and maintenance of NAAQS | 40 CFR 51.160(c)-(e)  40 CFR 51.161  40 CFR 51.162  40 CFR 51.163 |

|  |  |
| --- | --- |
| **TABLE A-3. PERMITTING AGENCY DATA**  **AND INFORMATION REQUIREMENTS** | |
|  |  |
| Requirement | Regulation Reference |
| Early FLM notification and opportunity to participate in meetings | 40 CFR 51.166(p)(1)(ii) |
| Submission of all permit applications to EPA | 40 CFR 51.166(q)(1) |
| Submission of notice of application, preliminary determination, degree of increment consumption, and opportunity for public comment | 40 CFR 51.166(q)(2)(iv) |
| Submission to FLM of permit applications | 40 CFR 51.166(p)(1) |
| Submission of written request to exempt sources from review | 40 CFR 52.21(i)(4)(vi) |
| Written request for use of innovative control technology | 40 CFR 51.166(s) |
| Establishing and operating a permitting program for all new sources | 40 CFR 51.160 |
| Provide notice to EPA of all permits | 40 CFR 51.161(d) |
| Provide for public comment for all NSR permits | 40 CFR 51.161 |

APPENDIX B

CALCULATIONS AND INFORMATION REQUIREMENTS

FOR

THE MINOR NSR PROGRAM IN INDIAN COUNTRY

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Table B-1. Estimated Total Burden and Cost to Industry to Implement Reporting and Recordkeeping Requirements During 3-Year Term of the ICRa** | | | | | | | |
| Affected Source Type | Number of Affected Sources | Total Hours per Source | Total Hours (All Sources, 3 Years) b | Annualized Non-Labor Capital Cost per Source c | Total Cost per Source d | Total Annualized Non-Labor Capital Costs | Total Costs |
| New Minor Sources (Years 1 and 2) - Registration | 2,536 | 5 | 12,680 | $4 | $62 | $10,144 | $157,232 |
| New Minor Sources (Year 3) - Permitting | 1,268 | 286 | 1,087,944 | $191 | $9,435 | $242,188 | $11,963,580 |
| Modifications to Minor Sources (Years 1 and 2) - Registration | 328 | 5 | 1,640 | $4 | $62 | $1,312 | $20,336 |
| Modifications to Minor Sources (Year 3) - Permitting | 164 | 286 | 140,712 | $191 | $9,435 | $31,324 | $1,547,340 |
| Existing Synthetic Minor Sources - Permitting | 79 | 65 | 5,135 | $4 | $618 | $316 | $48,822 |
| Existing True Minor Sources - Registration | 32,891 | 5 | 164,455 | $4 | $62 | $131,564 | $2,039,242 |
| Minor Modifications to Major Sources - Permitting | 6 | 286 | 5,148 | $191 | $9,435 | $1,146 | $56,610 |
| New Synthetic Minor Sources - Permitting | 24 | 286 | 20,592 | $191 | $9,435 | $4,584 | $226,440 |
| Totals for 3 Years | 37,296 |  | 1,438,306 |  |  | $422,578 | $16,059,602 |
| Annual averages | 12,432 |  | 479,435 |  |  | $140,859 | $5,353,201 |
| Annual average labor cost | | | | | | | $5,212,341 |

a Reproduced from EPA ICR No. 1230.27; revised to update phases of implementation during the term of this ICR.

b Sources only subject to one-time registration or permitting costs (new minor sources during the first 2 years, modifications to minor sources during the first 2 years, existing minor sources, and existing synthetic minor sources) are only attributed hours for 1 year. For the remaining affected sources, hours per year were multiplied by 3 years.

c The associated non-labor capital costs for one-time and recurring activities for permitting new minor sources, modifications to minor sources, minor modifications to major sources, and new synthetic sources is $1,340. Annualized based on a repayment period of 10 years and an interest rate of 7 percent, the amount is $191. For registrations the non-labor capital costs are $25 and for existing synthetic minor sources these costs are $31; annualized based on a repayment period of 10 years and an interest rate of 7 percent, both result in $4.

d Sum of total recurring costs and the annualized non-labor cost.

**Table B-2. Estimated Total Burden and Cost to EPA to Act as RA During 3-Year Term of the ICRa**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Affected Source Type | Number of Affected Sources (First 3 Years) | Average Total Hours per Source | Total Hours | Average Cost per Source | Total Costs |
| New Minor Sources (Years 1 and 2) - Registration | 2,536 | 2 | 5,072 | $180 | $456,480 |
| New Minor Sources (Year 3) - Permitting | 1,268 | 42 | 53,256 | $4,932 | $6,253,776 |
| Modifications to Minor Sources (Years 1 and 2) - Registration | 328 | 2 | 656 | $180 | $59,040 |
| Modifications to Minor Sources (Year 3) - Permitting | 164 | 42 | 6,888 | $4,932 | $808,848 |
| Existing Synthetic Minor Sources - Permitting | 79 | 10 | 790 | $693 | $54,747 |
| Existing True Minor Sources - Registration | 32,891 | 2 | 65,782 | $180 | $5,920,380 |
| Minor Modifications to Major Sources - Permitting | 6 | 42 | 252 | $4,932 | $29,592 |
| New Synthetic Minor Sources - Permitting | 24 | 42 | 1,008 | $4,932 | $118,368 |
| Totals for 3 Years | 37,296 |  | 133,704 |  | $13,701,231 |
| Annual averages | 12,432 |  | 44,568 |  | $4,567,077 |

a Reproduced from EPA ICR No. 1230.27; revised to update phases of implementation during the term of this ICR.

**Table B-3. New Sources and Modifications in Indian Country Respondent (Facility) Burden and Cost (One-Time and Reoccurring)**

(This table is reproduced verbatim from EPA ICR 1230.27. After it was prepared, the provisions of the rule were changed, rendering the cited timing—i.e., referring to the first 18 months—incorrect.)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Facility NSR Program Activity | (A) Labor Hours per Activity per Labor Category | | | | | (B) Activities per Respondent per Year | (C) Total Number of Respondents | (D) Total Hours | (E) Labor Costs per Labor Category  (AxBxCxRate) | | | | (F) Total  Labor Costs | (G) Associated Costs | | (H) Total Costs (F+G) |
| Legal | Managerial | Technical | | Clerical | Legal | Managerial | Technical | Clerical |
|  |  |  | |  | $114 | $114 | $65 | $49 |
| **NEW/MODIFIED MINOR SOURCES AFTER THE FIRST 18 MONTHS** |  |  |  | |  |  |  |  |  |  |  |  |  |  | |  |
| 1. Preparation and Planning |  | | | | | | | | | | | | | | | |
| a. Determination of compliance requirements (#) | 0 | 2 | 8 | 0 | | 1 | 1 | 10 | $0 | $229 | $522 | $0 | $751 | $0 | $751 | |
| b. Obtain guidance on data needs (#) | 0 | 0 | 2 | 0 | | 1 | 1 | 2 | $0 | $0 | $131 | $0 | $131 | $0 | $131 | |
| c. Preparation of PTE for NSR pollutants (#) | 0 | 4 | 16 | 2 | | 1 | 1 | 22 | $0 | $458 | $1,045 | $97 | $1,600 | $0 | $1,600 | |
| 2. Data Collection and Analysis (Surveys & Studies) |  |  |  |  | |  |  |  |  |  |  |  |  |  |  | |
| a. Conduct ambient air modeling (#) | 0 | 2 | 40 | 4 | | 1 | 0.02 | 0.9 | $0 | $5 | $52 | $4 | $61 | $200 | $261 | |
| 3. Permit Application |  | | | | | | | | | | | | | | | |
| a. Preparation and submittal of Permit Application (#) | 2 | 4 | 40 | 16 | | 1 | 1 | 62 | $229 | $458 | $2,612 | $776 | $4,075 | $25.00 | $4,100 | |
| b. Public hearing (#) | 4 | 4 | 16 | 8 | | 1 | 0.05 | 2 | $23 | $23 | $52 | $19 | $117 | $1.25 | $119 | |
| c. Revisions to permit (#) | 1 | 1 | 4 | 2 | | 1 | 0.2 | 2 | $23 | $23 | $52 | $19 | $117 | $5.00 | $122 | |
| 4. Acquisition, Installation, and Use of Technology and Systems |  | | | | | | | | | | | | | | | |
| a. Control device operating parameter (#) (emission) monitoring system | 0 | 4 | 20 | 2 | | 1 | 0.05 | 1 | $0 | $23 | $65 | $5 | $93 | $0 | $93 | |
| 5. Reporting Requirements |  | | | | | | | | | | | | | | | |
| a. Read instructions (#) | 0 | 2 | 4 | 0 | | 1 | 1 | 6 | $0 | $229 | $261 | $0 | $490 | $0 | $490 | |
| b. Required activities (#) |  |  |  |  | |  |  |  |  |  |  |  |  |  |  | |
| c. Create information |  |  |  |  | |  |  |  |  |  |  |  |  |  |  | |
| i. Conduct control device performance test (#) | 0 | 8 | 40 | 8 | | 1 | 0.02 | 1 | $0 | $18 | $52 | $8 | $78 | $1,000 | $1,078 | |
| d. Gather existing information (#) | 0 | 0 | 8 | 2 | | 1 | 1 | 10 | $0 | $0 | $522 | $97 | $619 | $0 | $619 | |
| e. Write reports |  |  |  |  | |  |  |  |  |  |  |  |  |  |  | |
| i. Initial notification of intent to constr/modify (#) | 1 | 2 | 4 | 2 | | 1 | 1 | 9 | $114 | $229 | $261 | $97 | $702 | $25.00 | $727 | |
| ii. Performance test notification (#) | 0 | 0 | 2 | 1 | | 1 | 0.02 | 0.1 | $0 | $0 | $3 | $1 | $4 | $0.50 | $4 | |

| Facility NSR Program Activity | (A) Labor Hours per Activity per Labor Category | | | | (B) Activities per Respondent per Year | | (C) Total Number of Respondents | | (D) Total Hours | | (E) Labor Costs per Labor Category  (AxBxCxRate) | | | | | | | (F) Total  Labor Costs | (G) Associated Costs | (H) Total Costs (F+G) | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Legal | Managerial | Technical | Clerical | Legal | | Managerial | Technical | | | Clerical |
|  |  |  |  | $114 | | $114 | $65 | | | $49 |
| **NEW/MODIFIED MINOR SOURCES**  **AFTER THE FIRST 18 MONTHS** |  |  |  |  |  | |  | |  | |  | |  |  | | |  |  |  |  | |
| iii. Site-specific test plan (#) | 0 | 1 | 16 | 8 | 1 | | 0.02 | | 0.5 | | $0 | | $2 | $21 | | | $8 | $31 | $0.50 | $31 | |
| iv. Initial compliance status determination (#) | 1 | 4 | 8 | 4 | 1 | | 1 | | 17 | | $114 | | $458 | $522 | | | $194 | $1,289 | $25.00 | $1,314 | |
| v. Performance test reports (#) | 0 | 4 | 16 | 4 | 1 | | 0.02 | | 0.5 | | $0 | | $9 | $21 | | | $4 | $34 | $0.50 | $34 | |
| vi. Annual monitoring report (##) | 1 | 2 | 8 | 4 | 1 | | 1 | | 15 | | $114 | | $229 | $522 | | | $194 | $1,060 | $25.00 | $1,085 | |
| vii. Deviation report (##) | 1 | 2 | 4 | 2 | 1 | | 0.1 | | 0.9 | | $11 | | $23 | $26 | | | $10 | $70 | $2.50 | $73 | |
| 6. Recordkeeping Requirements |  | | | | | | | | | | | | | | | | | | | | |
| a. Read instructions (##) | 1 | 2 | 8 | 0 | 1 | | 1 | | 11 | | $114 | | $229 | $522 | | | $0 | $866 | $0.00 | $866 | |
| b. Plan activities (##) | 0 | 2 | 8 | 2 | 1 | | 1 | | 12 | | $0 | | $229 | $522 | | | $97 | $848 | $0.00 | $848 | |
| c. Implement activities |  |  |  |  |  | |  | |  | |  | |  |  | | |  |  |  |  | |
| i. Prepare documentation for exempted sources (#) | 4 | 2 | 20 | 8 | 1 | | 0.1 | | 3 | | $46 | | $23 | $131 | | | $39 | $238 | $2.50 | $241 | |
| ii. Monitor control device parameters (##) | 0 | 0 | 1 | 0 | 52 | | 0.1 | | 5 | | $0 | | $0 | $340 | | | $0 | $340 | $0.00 | $340 | |
| iii. Inspect control device (##) | 0 | 0 | 1 | 0 | 12 | | 1 | | 12 | | $0 | | $0 | $783 | | | $0 | $783 | $0.00 | $783 | |
| d. Develop record system (#) | 0 | 2 | 4 | 16 | 1 | | 1 | | 22 | | $0 | | $229 | $261 | | | $776 | $1,267 | $25.00 | $1,292 | |
| e. Time to enter information (##) | 0 | 0 | 1 | 0 | 52 | | 1 | | 52 | | $0 | | $0 | $3,395 | | | $0 | $3,395 | $0.00 | $3,395 | |
| f. Time to train personnel (#) | 0 | 0 | 40 | 4 | 1 | | 0.1 | | 4 | | $0 | | $0 | $261 | | | $19 | $281 | $2.50 | $283 | |
| g. Time to perform audits (##) | 0 | 2 | 20 | 0 | 1 | | 0.1 | | 2 | | $0 | | $23 | $131 | | | $0 | $153 | $0.00 | $153 | |
| **TOTAL** |  |  |  |  |  | |  | | 286 | |  | |  |  | | |  | $19,493 | $1,340 | $20,833 | |
| **NEW/MODIFIED MAJOR SOURCES IN NONATTAINMENT AREAS** |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| 1. Preparation and Planning |  | | | | | | | | | | | | | | | | | | | | |
| a. Determination of compliance requirements (#) | 0 | 2 | 8 | 0 | 1 | | 1 | | 10 | | $0 | | $229 | | $522 | | $0 | $751 | $0 | $751 | |
| b. Obtain guidance on data needs   (#) | 0 | 0 | 2 | 0 | 1 | | 1 | | 2 | | $0 | | $0 | | $131 | | $0 | $131 | $0 | $131 | |
| c. Preparation of PTE for NSR  pollutants (#) | 0 | 4 | 16 | 2 | 1 | | 1 | | 22 | | $0 | | $458 | | $1,045 | | $97 | $1,600 | $0 | $1,600 | |
| 2. Data Collection and Analysis   (Surveys & Studies) |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| a. Conduct LAER analysis (#) | 0 | 4 | 40 | 4 | 1 | | 1.00 | | 48.0 | | $0 | | $458 | | $2,612 | | $194 | $3,264 | $10,000 | $13,264 | |
| Facility NSR Program Activity | (A) Labor Hours per Activity per Labor Category | | | | | (B) Activities per Respondent per Year | | (C) Total Number of Respondents | | (D) Total Hours | | (E) Labor Costs per Labor Category  (AxBxCxRate) | | | | | | (F) Total  Labor Costs | (G) Associated Costs | | (H) Total Costs (F+G) |
| Legal | Managerial | Technical | Clerical | | Legal | Managerial | | | Technical | Clerical |
|  |  |  |  | | $114 | $114 | | | $65 | $49 |
| **NEW/MODIFIED MAJOR SOURCES IN NONATTAINMENT AREAS** |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| 3. Permit Application |  | | | | | | | | | | | | | | | | | | | | |
| a. Preparation and submittal of Permit Application (#) | 2 | 4 | 40 | 16 | 1 | | 1 | | 62 | | $229 | | $458 | | $2,612 | | $776 | $4,075 | $25.00 | $4,100 | |
| b. Public hearing (#) | 4 | 4 | 16 | 8 | 1 | | 0.05 | | 2 | | $23 | | $23 | | $52 | | $19 | $117 | $1.25 | $119 | |
| c. Revisions to permit (#) | 1 | 1 | 4 | 2 | 1 | | 0.2 | | 2 | | $23 | | $23 | | $52 | | $19 | $117 | $5.00 | $122 | |
| d. Permit appeal (#) | 20 | 5 | 10 | 10 | 1 | | 0.2 | | 9 | | $458 | | $114 | | $131 | | $97 | $800 | $5.00 | $805 | |
| 4. Acquisition, Installation, and Use of Technology and Systems |  | | | | | | | | | | | | | | | | | | | | |
| a. Control device operating parameter (#) (emission) monitoring system | 0 | 4 | 20 | 2 | 1 | | 0.05 | | 1 | | $0 | | $23 | | $65 | | $5 | $93 | $0 | $93 | |
| 5. Reporting Requirements |  | | | | | | | | | | | | | | | | | | | | |
| a. Read instructions (#) | 0 | 2 | 4 | 0 | 1 | | 1 | | 6 | | $0 | | $229 | | $261 | | $0 | $490 | $0 | $490 | |
| b. Required activities (#) |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| c. Create information |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| i. Conduct control device performance test (#) | 0 | 8 | 40 | 8 | 1 | | 0.02 | | 1 | | $0 | | $18 | | $52 | | $8 | $78 | $1,000 | $1,078 | |
| d. Gather existing information (#) | 0 | 0 | 8 | 2 | 1 | | 1 | | 10 | | $0 | | $0 | | $522 | | $97 | $619 | $0 | $619 | |
| e. Write reports |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| i. Initial notification of intent to constr/modify (#) | 1 | 2 | 4 | 2 | 1 | | 1 | | 9 | | $114 | | $229 | | $261 | | $97 | $702 | $25.00 | $727 | |
| ii. Performance test notification (#) | 0 | 0 | 2 | 1 | 1 | | 0.02 | | 0.1 | | $0 | | $0 | | $3 | | $1 | $4 | $0.50 | $4 | |
| iii.Site-specific test plan (#) | 0 | 1 | 16 | 8 | 1 | | 0.02 | | 0.5 | | $0 | | $2 | | $21 | | $8 | $31 | $0.50 | $31 | |
| iv. Initial compliance status determination (#) | 1 | 4 | 8 | 4 | 1 | | 1 | | 17 | | $114 | | $458 | | $522 | | $194 | $1,289 | $25.00 | $1,314 | |
| v. Performance test reports (#) | 0 | 4 | 16 | 4 | 1 | | 0.02 | | 0.5 | | $0 | | $9 | | $21 | | $4 | $34 | $0.50 | $34 | |
| vi. Annual monitoring report (##) | 1 | 2 | 8 | 4 | 1 | | 1 | | 15 | | $114 | | $229 | | $522 | | $194 | $1,060 | $25.00 | $1,085 | |
| vii. Deviation report (##) | 1 | 2 | 4 | 2 | 1 | | 0.1 | | 0.9 | | $11 | | $23 | | $26 | | $10 | $70 | $2.50 | $73 | |
| Facility NSR Program Activity | (A) Labor Hours per Activity per Labor Category | | | | | (B) Activities per Respondent per Year | | (C) Total Number of Respondents | | (D) Total Hours | | (E) Labor Costs per Labor Category  (AxBxCxRate) | | | | | | (F) Total  Labor Costs | (G) Associated Costs | | (H) Total Costs (F+G) |
| Legal | Managerial | Technical | Clerical | | Legal | Managerial | | | Technical | Clerical |
|  |  |  |  | | $114 | $114 | | | $65 | $49 |
| **NEW/MODIFIED MAJOR SOURCES IN NONATTAINMENT AREAS** |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| 6. Recordkeeping Requirements |  | | | | | | | | | | | | | | | | | | | | |
| a. Read instructions (##) | 1 | 2 | 8 | 0 | 1 | | 1 | | 11 | | $114 | | $229 | | $522 | | $0 | $866 | $0.00 | $866 | |
| b. Plan activities (##) | 0 | 2 | 8 | 2 | 1 | | 1 | | 12 | | $0 | | $229 | | $522 | | $97 | $848 | $0.00 | $848 | |
| c. Implement activities |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  |  | |
| i. Prepare documentation for exempted sources (#) | 4 | 2 | 20 | 8 | 1 | | 0.1 | | 3 | | $46 | | $23 | | $131 | | $39 | $238 | $2.50 | $241 | |
| ii. Monitor control device parameters (##) | 0 | 0 | 1 | 0 | 52 | | 0.1 | | 5 | | $0 | | $0 | | $340 | | $0 | $340 | $0.00 | $340 | |
| iii. Inspect control device (##) | 0 | 0 | 1 | 0 | 12 | | 1 | | 12 | | $0 | | $0 | | $783 | | $0 | $783 | $0.00 | $783 | |
| d. Develop record system (#) | 0 | 2 | 4 | 16 | 1 | | 1 | | 22 | | $0 | | $229 | | $261 | | $776 | $1,267 | $25.00 | $1,292 | |
| e. Time to enter information (##) | 0 | 0 | 1 | 0 | 52 | | 1 | | 52 | | $0 | | $0 | | $3,395 | | $0 | $3,395 | $0.00 | $3,395 | |
| f. Time to train personnel (#) | 0 | 0 | 40 | 4 | 1 | | 0.1 | | 4 | | $0 | | $0 | | $261 | | $19 | $281 | $2.50 | $283 | |
| g. Time to perform audits (##) | 0 | 2 | 20 | 0 | 1 | | 0.1 | | 2 | | $0 | | $23 | | $131 | | $0 | $153 | $0.00 | $153 | |
| **TOTAL** |  |  |  |  |  | |  | | 342 | |  | |  | |  | |  | $23,496 | $11,145 | $34,641 | |
| **EXISTING SYNTHETIC MINOR SOURCES** |  |  |  |  |  | |  | |  | |  | |  |  | | |  |  |  |  | |
| 1. Permit Application |  |  |  |  |  | |  | |  | |  | |  |  | | |  |  |  |  | |
| a. Preparation and submittal of Permit Application (#) | 2 | 4 | 40 | 16 | 1 | | 1 | | 62 | | $229 | | $458 | $2,612 | | | $776 | $4,075 | $25.00 | $4,100 | |
| b. Public hearing (#) | 4 | 4 | 16 | 8 | 1 | | 0.05 | | 2 | | $23 | | $23 | $52 | | | $19 | $117 | $1.25 | $119 | |
| c. Revisions to permit (#) | 1 | 1 | 4 | 2 | 1 | | 0.2 | | 2 | | $23 | | $23 | $52 | | | $19 | $117 | $5.00 | $122 | |
| **TOTAL** |  |  |  |  |  | |  | | 65 | |  | |  |  | | |  | $4,310 | $31 | $4,341 | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Facility NSR Program Activity | (A) Labor Hours per Activity per Labor Category | | | | (B) Activities per Respondent per Year | (C) Total Number of Respondents | (D) Total Hours | (E) Labor Costs per Labor Category  (AxBxCxRate) | | | | (F) Total  Labor Costs | (G) Associated Costs | (H) Total Costs (F+G) |
| Legal | Managerial | Technical | Clerical | Legal | Managerial | Technical | Clerical |
|  |  |  |  | $114 | $114 | $65 | $49 |
| **EXISTING TRUE MINOR SOURCES AND NEW TRUE MINOR SOURCES DURING FIRST 18 MONTHS** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 1. Registration |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| a. Read instructions (#) | 0 | 1 | 1 | 0 | 1 | 1 | 2 | $0 | $114 | $65 | $0 | $180 | $0 | $180 |
| b. Minor source facility registration (#) | 0 | 1 | 1 | 1 | 1 | 1 | 3 | $0 | $114 | $65 | $49 | $228 | $25.00 | $253 |
| **TOTAL** |  |  |  |  |  |  | 5 |  |  |  |  | $408 | $25 | $433 |

**Notes: # = One-time costs that are incurred and treated as capital costs.**

**## = Annual or reoccurring cost included as an annual cost.**

**For New/Modified Minor Sources after the First 18 Months:**

**Based on the above costs, the average capital cost per facility for the one-time activities is $13,290 per source (i.e., the sum of those items identified as one-time costs [#]); annualized, this cost is $1,892 per year per source. The average non-labor capital cost is $1,340 (total of column G); annualized, this cost is $191 per year per source. The total of the various annual and reoccurring costs (##) in column H plus the annualized capital cost is an average of $9,435 per year per source.**

**For New/Modified Major Sources in Nonattainment Areas:**

**Based on the above costs, the average capital cost per facility for the one-time activities is $17,138 per source (i.e., the sum of those items identified as one-time costs (#)); annualized, this cost is $2,440 per year per source. The average non-labor capital cost is $1,185 (total of column G); annualized, this cost is $169 per year per source. The total of the various annual and reoccurring costs (##) in column H plus the annualized capital cost is an average of $9,983 per year per source.**

**Table B-4. New Sources and Modifications in Indian Country Agency Burden and Cost (One-Time and Reoccurring)**

(This table is reproduced verbatim from EPA ICR 1230.27. After it was prepared, the provisions of the rule were changed, rendering the cited timing—i.e., referring to the first 18 months—incorrect.)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | | | | | | | | | | | | | | |
| Agency NSR Program Activity | (A) Labor Hours per Activity per Labor Category | | | | | | | | (B) Activities per Respondent per Year | (C) Total Number of Respondents | (D) Total Hours | (E) Labor Costs per Labor Category  (AxBxCxRate) | | | | | | | | (F) Total Labor Costs | (G) Associated Annual Costs | (H) Total Costs per year (F+G) |
| Legal | Managerial | | | Technical | | Clerical | | Legal | Managerial | | | Technical | | Clerical | |
|  |  | | |  | |  | | $114 | $114 | | | $65 | | $49 | |
| **NEW/MODIFIED SOURCES (Major and Minor)** |  |  | | |  | |  | |  |  |  |  |  | | |  | |  | |  |  |  |
| 1. Permit Review |  | | | | | | | | | | | | | | | | | | | | | |
| a. Initial permit review | 0 | | 1 | | 8 | | | 0 | 1 | 1 | 9 | $0 | | $114 | $522 | | $0 | | $637 | | $0 | $637 |
| b. Public Hearing | 0 | | 1 | | 8 | | | 8 | 1 | 0.05 | 0.9 | $0 | | $6 | $26 | | $19 | | $51 | | $5 | $56 |
| c. Permit Revisions | 1 | | 1 | | 4 | | | 0 |  | 0.2 | 0 | $0 | | $0 | $0 | | $0 | | $0 | | $0 | $0 |
| 2. Report Review |  | | | | | | | | | | | | | | | | | | | | | |
| a. Initial notification of intent to  constr/modify | 0 | | 1 | | 4 | | | 0 | 1 | 1 | 5 | $0 | | $114 | $261 | | $0 | | $376 | | $0 | $376 |
| b. Appeal | 1 | | 1 | | 4 | | | 0 | 1 | 0.1 | 0.6 | $11 | | $11 | $26 | | $0 | | $49 | | $0 | $49 |
| c. Performance test notification | 0 | | 1 | | 2 | | | 0 | 1 | 0.02 | 0.06 | $0 | | $2 | $3 | | $0 | | $5 | | $0 | $5 |
| d. Site-specific test plan | 0 | | 1 | | 8 | | | 0 | 1 | 0.02 | 0.2 | $0 | | $2 | $10 | | $0 | | $13 | | $0 | $13 |
| e. Initial compliance determination | 0 | | 1 | | 8 | | | 0 | 1 | 1 | 9 | $0 | | $114 | $522 | | $0 | | $637 | | $0 | $637 |
| f. Performance test reports | 0 | | 2 | | 16 | | | 0 | 1 | 0.02 | 0.4 | $0 | | $5 | $21 | | $0 | | $25 | | $0 | $25 |
| g. Annual monitoring report | 0 | | 2 | | 8 | | | 0 | 1 | 1 | 10 | $0 | | $229 | $522 | | $0 | | $751 | | $0 | $751 |
| h. Deviation report | 0 | | 2 | | 4 | | | 0 | 1 | 0.1 | 0.6 | $0 | | $23 | $26 | | $0 | | $49 | | $0 | $49 |
| i. Annual monitoring reports | 0 | | 1 | | 4 | | | 0 | 1 | 0.1 | 0.5 | $0 | | $11 | $26 | | $0 | | $38 | | $0 | $38 |
| 3. Site Compliance Inspections (a,b) |  | | | | | | | | | | | | | | | | | | | | | |
| a. Pre-inspection review of facility  information | 0 | | 1 | | 8 | | | 1 | 1 | 0.1 | 1 | $0 | | $11 | $52 | | $5 | | $69 | | $0 | $69 |
| b. Travel to and from facility (b) | 0 | | 0 | | 8 | | | 0 | 1 | 0.1 | 0.8 | $0 | | $0 | $52 | | $0 | | $52 | | $10 | $62 |
| c. Inspection of air control   equipment used to comply with  rule requirements | 0 | | 0 | | 4 | | | 0 | 1 | 0.1 | 0.4 | $0 | | $0 | $26 | | $0 | | $26 | | $0 | $26 |
| d. Review site records | 0 | | 0 | | 4 | | | 0 | 1 | 0.1 | 0.4 | $0 | | $0 | $26 | | $0 | | $26 | | $0 | $26 |
| e. Prepare inspection report | 0 | | 4 | | 16 | | | 4 | 1 | 0.1 | 2 | $0 | | $46 | $104 | | $19 | | $170 | | $3 | $172 |
|  |  | | |  | |  | |  |  |  |  |  | |  |  | |  | |  | |  |  |
| Agency NSR Program Activity | (A) Labor Hours per Activity per Labor Category | | | | | | | | (B) Activities per Respondent per Year | (C) Total Number of Respondents | (D) Total Hours | (E) Labor Costs per Labor Category  (AxBxCxRate) | | | | | | | (F) Total Labor Costs | | (G) Associated Annual Costs | (H) Total Costs per year (F+G) |
| Legal | | Managerial | | Technical | | | Clerical | Legal | Managerial | | | Technical | Clerical | |
|  | |  | |  | | |  | $114 | $114 | | | $65 | $49 | |
| 4. Enforcement Actions (c,d) |  | | | | | | | | | | | | | | | | | | | | | |
| a. Inform facility of noncompliance | 4 | | 4 | | 20 | | | 8 | 1 | 0.01 | 0.4 | $5 | | $5 | $13 | | $4 | | $26 | | $0 | $26 |
| b. Follow-up site inspection | 0 | | 4 | | 20 | | | 4 | 1 | 0.01 | 0.3 | $0 | | $5 | $13 | | $2 | | $20 | | $1 | $21 |
| **TOTAL ANNUAL COST PER SOURCE** |  | |  | |  | | |  |  |  | 42 |  | |  |  | |  | | $3,019 | | $19 | $3,037 |
| 5. Litigation Cost per Tribal Agency | 40 | | 40 | | 100 | | | 40 | 1 | 0.3 | 73 | $1,525 | | $1,525 | $2,174 | | $646 | | $5,871 | | $17 | $5,887 |
| **TOTAL** |  | |  | |  | | |  |  |  | 115 |  | |  |  | |  | | 8,889 | | 35 | 8,925 |
| 6. EPA Overview of Tribal Agency | 8 | | 8 | | 40 | | | 8 | 1 | 1 | 64 | $916 | | $916 | $2,612 | | $388 | | $4,832 | | $100 | $4,932 |
| **EXISTING SYNTHETIC MINOR SOURCES** |  | |  | |  | | |  |  |  |  |  | |  |  | |  | |  | |  |  |
| 1. Permit Review |  | |  | |  | | |  |  |  |  |  | |  |  | |  | |  | |  |  |
| a. Initial permit review | 0 | | 1 | | 8 | | | 0 | 1 | 1 | 9 | $0 | | $114 | $522 | | $0 | | $637 | | $0 | $637 |
| b. Public hearing | 0 | | 1 | | 8 | | | 8 | 1 | 0.05 | 0.9 | $0 | | $6 | $26 | | $19 | | $51 | | $5 | $56 |
| c. Permit revisions | 1 | | 1 | | 4 | | | 0 |  | 0.2 | 0 | $0 | | $0 | $0 | | $0 | | $0 | | $0 | $0 |
| **TOTAL** |  | |  | |  | | |  |  |  | 10 |  | |  |  | |  | | $688 | | $5 | $693 |
| **EXISTING TRUE MINOR SOURCES AND NEW TRUE MINOR SOURCES DURING FIRST 18 MONTHS** |  | |  | |  | | |  |  |  |  |  | |  |  | |  | |  | |  |  |
| 1. Registration Review |  | |  | |  | | |  |  |  |  |  | |  |  | |  | |  | |  |  |
| a. Minor source facility registration | 0 | | 1 | | 1 | | | 0 | 1 | 1 | 2 | $0 | | $114 | $65 | | $0 | | $180 | | $0 | $180 |
| **TOTAL** |  | |  | |  | | |  |  |  | 2 |  | |  |  | |  | | $180 | | $0 | $180 |

1. The RBLC is available on the EPA Technology Transfer Network (TTN). Access to the RBLC on the TTN is via a computer through Internet access – <http://cfpub.epa.gov/RBLC/>. [↑](#footnote-ref-1)
2. 2 “Economic Assessment of the Impacts of Part C and D Regulatory Changes,” June 2, 1994. [↑](#footnote-ref-2)
3. 3 The definition for “small business” employed for all SIC categories in this analysis was any business employing fewer than 500 employees. [↑](#footnote-ref-3)
4. <http://data.bls.gov/cgi-bin/cpicalc.pl?cost1=335165&year1=2007&year2=2011>. This online calculator provides the inflation in the Consumer Price Index between any two years. In this case, we entered the amount in 2007 dollars ($335,165) and retrieved the inflated value in 2011 dollars ($366,006). [↑](#footnote-ref-4)
5. State/Local rates obtained from "Employer Costs for Employee Compensation, Table 4: Employment Costs for State and Local Government Workers" U.S. Dept. of Commerce, BLS, June 2011. (<http://www.bls.gov/news.release/ecec.t04.htm> accessed 9/19/11) [↑](#footnote-ref-5)
6. Federal Labor Cost obtained from U.S. Office of Personnel Management 2011 General Schedule Table 2011-GS. Hourly labor rate assumed is GS-12, Step 1 (Technical Labor). [↑](#footnote-ref-6)