

January,

2014

## SUPPORTING STATEMENT

**Information Collection Request Title:** Slope and Shaft Sinking Plans, 30 CFR 77.1900 (Pertains to the surface work areas of underground coal mines)

**Collection Instrument(s):** None

### General Instructions

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When the question "Does this ICR contain surveys, censuses or employ statistical methods" is checked "Yes", Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

### Specific Instructions

#### A. JUSTIFICATION

**1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.**

Section 103(h) of the Federal Mine Safety and Health Act of 1977 (Mine Act), 30 U.S.C. 813, authorizes MSHA to collect information necessary to carry out its duty in protecting the safety and health of miners.

Title 30 CFR 77.1900 requires underground coal mine operators to submit for approval a plan that will provide for the safety of workmen in each slope or shaft

that is commenced or extended from the surface to the underground coal mine. Each slope or shaft sinking operation is unique in that each operator uses different methods and equipment and encounters different geological strata which make it impossible for a single set of regulations to ensure the safety of the miners under all circumstances. This makes an individual slope or shaft sinking plan necessary. The plan must be consistent with prudent engineering design. Plans include the name and location of the mine; name and address of the mine operator; a description of the construction work and methods to be used in construction of the slope or shaft, and whether all or part of the work will be performed by a contractor; the elevation, depth and dimensions of the slope or shaft; the location and elevation of the coalbed; the general characteristics of the strata through which the slope or shaft will be developed; the type of equipment which the operator proposes to use; the system of ventilation to be used; and safeguards for the prevention of caving during excavation.

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

Plans are submitted for approval to the MSHA District Manager in the district the mine is located. Once approved, plans are used by MSHA to determine that the equipment and methods used by the mine operator provide a safe working environment.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

The shaft or slope plans submitted under 30 CFR 77.1900 include narrative descriptions, lists, tables and drawings. These documents can be prepared using automated drafting programs and word processing programs and submitted via e-mail, where the mine operator has the capability of affixing transmittable authorization signatures or where the e-mail or facsimile is followed by a signed hard copy. However, neither the use of nor absence of access to electronic media significantly affects the burden imposed by the standard. No new information technology has been identified that would reduce the burden. Plans are submitted electronically approximately 25 percent of the time.

**4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

Plans are developed for individual slope and shaft sinking operations. No similar or duplicate information exists.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

This information does not have a significant impact on small businesses or other small entities.

**6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Plans are prepared once for each slope and shaft sinking operation. The plan must be consistent with prudent engineering design. Each slope or shaft sinking operation is unique in that each operator/contractor uses different methods and equipment and encounters different geological strata which make it impossible for a single set of regulations to ensure the safety of miners under all circumstances. The consequence if the collection is not conducted or is conducted less frequently would be jeopardizing the safety and health of miners and contractor personnel during the high-risk activities of shaft and slope construction.

**7. Explain any special circumstances that would cause an information collection to be conducted in a manner:**

- requiring respondents to report information to the agency more often than quarterly;
- requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
- requiring respondents to submit more than an original and two copies of any document;
- requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;
- in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;
- requiring the use of a statistical data classification that has not been reviewed and approved by OMB;

- that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or
- requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

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

**8. If applicable, provide a copy and identify the data and page number of publication in the *Federal Register* of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB.**

MSHA published a 60-day *Federal Register* notice on November 4, 2013 (78 FR 66071). MSHA received no comments.

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

MSHA does not provide payments or gifts to respondents.

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

Slope and shaft sinking plans are applicable to specific work conditions. There is no personal or proprietary information involved. MSHA regards the approved plans as public records. There is no assurance of confidentiality.

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons whom the information is requested, and any steps to be taken to obtain their consent.**

There are no questions of a sensitive nature.

**12. Provide estimates of the hour burden of the collection of information. The statement should:**

**\* Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.**

**\* If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens.**

**\* Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under 'Annual Cost to Federal Government.'**

There were 343 underground coal mines reporting production in the year 2012. Only underground mines have shaft and slope plans. The Coal Mine Safety and Health Districts found that 31 base plans and 37 revised shaft or slope plans were submitted and approved in FY 2012. The common practice was for shaft and slope contractors to submit separate plans for distinct phases of the construction. Respondents submit multiple responses per respondent. Typically, two plans were submitted and approved for each shaft with an occasional submission of an amendment when warranted. MSHA estimates that it takes a mining engineer earning approximately \$72.23 per hour (*U.S. Coal Mine Salaries, Wages and Benefits - 2012 Survey Results*), approximately 20 hours to prepare an average plan. The prior submission used a supervisor wage, and this has been updated more specifically to a mining engineer wage.

Respondents: 31 coal mines

Responses: 68 plans

Hours: 68 plans x 20 hours per plan = 1,360 burden hours

Cost: 1,360 burden hours x \$72.23 = \$98,233

**13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden already reflected on the burden worksheet).**

- **The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life); and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.**

- **If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.**

- **Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.**

No equipment must be purchased specifically for providing/gathering the information required by this standard.

The shaft and slope plans are prepared on office equipment and or engineering equipment maintained at the mine or in the contractor's office for normal business activities. Seventy-five percent of plans are sent to MSHA by mail and 25 percent are sent electronically. MSHA estimates that each plan will cost approximately \$1.00 to mail by certified or standard mail resulting in additional transmittal costs of \$51.00.

\$1.00 per package x 68 plans x 75 percent = \$51

**14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.**

The cost to the Federal government varies with the development trends of the coal industry and could cost from a few hundred dollars to a few thousand dollars depending on the number of plans that are submitted for approval. MSHA estimates that it would take approximately 15 hours to review and approve an average plan. The prior submission estimated the annualized cost using GS-13 wage; however, upon review, MSHA determined that this job is performed by a GS-12. Either a mine safety and health specialist (OPM job series 1822) or a mining engineer (OPM job series 0880) at the GS-12 level would review the plans. The average salary cost for MSHA employees at the GS-12 level in these job series codes is \$50.43 per hour (*March 2012 OPM FedScope Database*). MSHA's current records show there are approximately 68 shaft and slope plans per year.

Note: There was an increase to the cost of the Federal government from \$48,651 to \$51,000 because MSHA updated the source information for the Federal salary using the OPM FedScope database.

68 plans x 15 hours x \$50.43/hr. = \$51,400 (rounded)

**15. Explain the reasons for any program changes or adjustments reported on the burden worksheet.**

The burden hour decrease of 100 hours (from 1,460 hours to 1,360 hours) and the associated costs is due to fewer new underground coal mine openings, and as a result, a decreased number of shaft and slope projects. MSHA records show that there were less shafts and slopes under construction during the year 2012 than 2009.

There was a decrease from 73 responses to 68 due to less plans in this adjustment and less respondents submitting plans (73 to 31 respondents/mines). The prior submission double counted revisions as responses from additional

respondents. This submission more accurately notes that respondents submit multiple responses per respondent.

There was also a cost burden decrease (from \$1,272 to \$51) resulting from a decrease in mailing cost due to no longer sending by certified mail and in the number of shaft and slope plans submitted for facilities under construction and the increase in the number of plans sent to MSHA electronically.

**16. For collections of information whose results will be published, outline plans for tabulation, and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

MSHA does not intend to publish the results of this information collection.

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

There are no forms associated with this information collection.

**18. Explain each exception to the topics of the certification statement identified in "Certification for Paperwork Reduction Act Submissions."**

There are no exceptions to the certification statement.

## **B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

This information collection does not employ statistical methods.