

SUPPORTING STATEMENT

Information Collection Title: Certification and Qualification to Examine, Test, Operate Hoists and Perform Other Duties

Provisions: 30 CFR 75.100, 75.155, 75.159, 75.160, 75.161, 77.100, 77.105, 77.106, 77.107, and 77.107-1

Collection Instrument(s): MSHA Form 5000-41, *Safety and Health Activity Certification or Hoisting Engineers Qualification Request Form*

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(h), authorizes the Mine Safety and Health Administration (MSHA) to collect information necessary to carry out its duty in protecting the safety and health of miners. Further, section 101(a) of the Mine Act, 30 U.S.C. 811(a), authorizes the Secretary of Labor (Secretary) to develop, promulgate, and revise as may be appropriate, improved mandatory health or safety standards for the protection of life and prevention of injuries in coal or other mines.

Under section 103(a) of the Mine Act, authorized representatives of the Secretary or Secretary of Health and Human Services must make frequent inspections and investigations in coal or other mines each year for the purpose of gathering information with respect to mandatory health or safety standards.

Title 30 CFR 75.159 and 77.106 require coal mine operators to maintain a list of persons who are certified and qualified to perform duties under Parts 75 and 77, such as examining for hazardous conditions, testing for methane and oxygen deficiency, conducting tests of air flow, performing electrical work, repairing energized surface high-voltage lines, and performing the duties of hoisting engineer. This information collection is necessary to ensure that only persons who are properly trained and sufficiently experienced are permitted to perform these duties. Although MSHA does not specify a format for the recordkeeping, it normally consists of the names of the certified and qualified persons listed in two columns on a sheet of paper. One column is for certified persons and the other is for qualified persons.

Sections 75.100 and 77.100 pertain to the certification of certain persons to perform specific examinations and tests. Sections 75.155 and 77.105 outline the requirements necessary to be qualified as a hoisting engineer or hoistman. Under sections 75.160, 75.161, 77.107 and 77.107-1, the mine operator must have an approved training plan developed to train and retrain the qualified and certified persons to effectively perform their tasks.

These regulations recognize State certification and qualification programs. However, where State programs are not available, MSHA may certify and qualify miners to carry out certain functions prescribed in the Mine Act.

Under this program, MSHA will qualify or certify individuals if these individuals meet the requirements for qualification or certification, fulfill any applicable retraining requirements, and remain employed at the same mine or by the same independent contractor.

Applications for MSHA qualification or certification are submitted to the MSHA Qualification and Certification Unit in Denver, Colorado. MSHA Form 5000-41, Safety & Health Activity Certification or Hoisting Engineer Qualification Request provides the coal mining industry with a standardized reporting format that expedites the certification and qualification process while ensuring compliance with the regulations. MSHA uses the information collected through this form to determine if applicants satisfy the requirements to obtain the certification or qualification sought. Persons must meet certain minimum experience requirements depending on the type of certification or qualification sought.

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

The information is used by the mine operator and MSHA enforcement personnel to ensure that miners performing certain examinations, tests, and duties are certified, qualified, and properly trained as required by these MSHA regulations.

Mine operators use MSHA Form 5000-41 to report the names of persons who have satisfactorily completed required mine foreman and hoisting training. MSHA uses the information to issue certification/qualification cards to those persons who are certified/qualified.

The mine operator also uses the form as an application to certify miners to perform specific required examinations and test, or to qualify miners as hoisting engineers or hoistmen, in States without certification programs. The MSHA Qualification and Certification Unit then mails the applicant a certificate. This certification satisfies MSHA requirements where State certification programs are not available.

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.

No improved information technology has been identified that would reduce the burden. However, the mine operator may retain the records in whatever method he or she chooses, which may include using computer technology.

MSHA Form 5000-41 may be submitted on-line, by fax, or by mail. In Fiscal Year 2013, MSHA received a total of 731 forms (5000-41). MSHA received 144 paper forms and 587 (80%) electronic forms.

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.

No duplication of the information requested exists. Records are unique to each mine.

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.

If these collections are not conducted, miners may be exposed to safety hazards such as explosion, fire, and electrical shock. The list of qualified or certified individuals ensures that only those qualified or certified to perform duties requiring specialized expertise at underground and surface coal mines conduct examinations for hazardous conditions, conduct tests for methane and oxygen deficiency, conduct tests of air flow, perform electrical work, repair energized surface high-voltage lines, and perform duties of hoisting engineer. The regulations do not specify how frequently the lists are to be updated; however, mine operators normally update them quarterly. Less frequent information collection may result in a shortage of persons qualified and certified to perform important safety and health functions

at mines, which would be inconsistent with the purposes of the Mine Act. Without the lists, MSHA would not be able to effectively enforce the requirements of the Mine Act.

MSHA Form 5000-41 is an application form for miners in States without a certification/qualification program as well as the form that notifies MSHA that specific individuals have specific training. Without the information on this form, MSHA would be unable to certify or qualify any miner for specified jobs in States without certification/qualification programs or as hoisting engineers or hoistmen.

The burden on mine operators in States without certification/qualification programs could be significant because the Mine Act requires that miners be certified or qualified to perform certain examinations and tests. This collection ensures such certification and qualification.

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

- * requiring respondents to report information to the agency more often than quarterly;**
- * requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
- * requiring respondents to submit more than an original and two copies of any document;**
- * requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;**
- * in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;**
- * requiring the use of a statistical data classification that has not been reviewed and approved by OMB;**
- * that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
- * requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

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

8. If applicable, provide a copy and identify the date and page number of publication in the *Federal Register* of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be

recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

MSHA published a 60-day *Federal Register* notice on June 26, 2017 (82 FR 34698). MSHA received no public 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.

There is no assurance of confidentiality provided to respondents for certification or qualification other than nondisclosure of personally identifiable information (PII). Such PII includes the applicant's name and address. A nine digit MSHA Individual identification Number (MIIN) will be assigned by MSHA for the purpose of identification. MSHA requires the miner's address to mail the miner his or her certification or qualification card. Instructions concerning content, format, and required training are included with the form.

To the extent that records are kept by the Agency, they are covered by the Privacy Act (5 U.S.C. 552a) DOL/MSHA-1, Mine Safety and Health Administration Standardized Information System (MSIS), (April 29, 2016, 67 FR 16816). Manual records are stored in locked files and are accessible only to authorized personnel during working hours.

MSHA Form 5000-41 is a Privacy Act record, DOL/MSHA-1, Mine Safety and Health Administration Standardized Information System (MSIS), (April 29, 2016, 67 FR 16816). Files are posted with the appropriate Privacy Act notice. During working hours, only authorized personnel have access to the files.

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 from whom the information is requested, and any steps to be taken to obtain their consent.

There are no questions of a sensitive nature.

12. Provide estimates of the hour burden of the collection of information. The

statement should:

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

*** Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 13.**

List of Certified and Qualified Persons

There are approximately 407 surface coal mines, 249 surface coal facilities and 301 underground coal mines, a total of 957 operations. Each operator is required to maintain a list of certified and qualified persons who are required to perform duties under parts 75 and 77. Each coal mine operator normally updates the list each quarter. The estimated time per response to update the list of certified and qualified persons is 5 minutes. MSHA estimates that a mine supervisor earning an hourly wage rate (including benefits) of \$58.42 per hour will update the certified/qualified person lists. The wage for estimating hour burden cost is from Bureau of Labor Statistics (BLS), Occupational Employment Statistics (OES) May 2016 survey¹ increased by 1.022 for wage inflation² since the May 2016 survey and a 1.48 benefit-scaling factor³ to obtain fully the loaded wage rate of \$58.42 (\$38.62 x 1.022 x 1.48). MSHA estimates the burden cost as follows:

Responses

957 coal operations x 4 updates/year = 3,828 responses

Burden Hours

¹ Options for obtaining OES data are available at item "E3. How to get OES data. What are the different ways to obtain OES estimates from this website?" at https://www.bls.gov/oes/oes_ques.htm. MSHA used the employment weighted average hourly wage of \$38.62 from OES May 2016 survey, 3 first line supervisor Occupational Classification (SOC) code 47-1011, 49-1011, and 51,1011 (NAICS codes 212100, Coal Mining.

² Wage inflation is the change in Series ID: CIS2020000405000I; Seasonally adjusted; Series Title: Wages and salaries for Private industry workers in construction, extraction, farming, fishing, and forestry occupations, Index. (Qtr. 1 2017/Qtr. 2 2015 = 128.1/125.3 = 1.022).

³ The benefit-scaler comes from BLS Employer Costs for Employee Compensation access by menu <http://www.bls.gov/data/> or directly with <http://download.bls.gov/pub/time.series/cm/cm.data.0.Current>. The data series CMU2030000405000P, Private Industry Total benefits for construction, extraction, farming, fishing, and forestry occupations, is divided by 100 to convert to a decimal value. MSHA used the latest 4-quarter moving average 2016Qtr2-2017Qtr1 to determine that 32.65 percent of total loaded wages are benefits. The scaling factor may be approximated with the formula and values $1 + (\text{benefit percentage}/(1-\text{benefit percentage})) = 1 + (.3265/(1-.3265)) = 1.48$.

1219-0127
2017

3,828 responses x 5 min. per responses = 319 hrs.

Costs

319 hrs. to update lists x \$58.42 per hour = \$18,636__

MSHA Form 5000-41

-
MSHA received 762 forms (5000-41) covering 817 miners during fiscal year 2016. The information collected on the Form 5000-41 is readily available to the mine operator from employee records. Additionally, on average, for each 5000-41, there will be one miner seeking certification (817 miners divided by 762 forms). MSHA estimates that it will take approximately 10 minutes to complete the electronic version of Form 5000-41 and 17 minutes to complete and mail the hard copy version of Form 5000-41. Of the 762 forms submitted, 604 forms were submitted electronically and 158 were mailed. The burden estimated by MSHA is based on MSHA's knowledge of the mining industry and MSHA's frequent interaction with the mining industry. MSHA employees who have previously worked for the mining industry have substantiated this estimation. Accordingly, the hour burden is calculated as follows:

Responses

158 forms x 1 hard copy response per form = 158 responses
604 forms x 1 electronic response per form = 604 responses

Burden Hours

158 hard copy responses x 17 min. per response = 45 hrs.
604 electronic responses x 10 min. per response = 101 hrs._

Total Hours = 146 hrs.

Costs

146 hrs. x \$58.42 = \$8,529

Total Responses

3,828 + 762 = 4,590 responses

Total Burden Hours

319 + 146 = 465 hrs.

Total Cost

\$18,636 + \$8,529 = \$27,165

Estimated Annualized Burden Hours and Costs								
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)
Type of Respondent	Standard/ Data Collection Activity/ Form	No. of Respondents	Frequency of responses per Respondent	Total No. of Responses ¹	Avg. Burden per Response	Total Annual Burden ²	Avg. Hourly Wage Rate	Total Annual Respondent Cost ³
Business or other for-profit	Parts 75 and 77/Quarterly Updates	957	4	3,828	5 min.	319 hrs.	\$58.42	\$18,636
Business or other for-profit	MSHA 5000-41 (Hardcopy)	158	1	158	17 min.	45 hrs.	\$58.42	\$2,629
Business or other for-profit	MSHA 5000-41 (Electronic)	604	1	604	10 min.	101 hrs.	\$58.42	\$5,900
Total		957		4,590		465 hours		\$27,165

¹ Column (e) = Column (c) x Column (d)

² Column (g) = Column (e) x Column (f) (in hours rounded to whole numbers)

³ Column (i) = Column (g) x Column (h) (in dollars rounded to whole numbers)

13. Provide an estimate for 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 collections services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.**

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

1219-0127
2017

The cost of mailing the forms to MSHA is \$0.49 each. Accordingly, the annual postage cost is estimated as follows:

Burden Cost

158 forms x \$0.49 per form = \$77

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.

MSHA enforcement personnel examine the records during routine inspections; therefore, no cost is incurred by enforcement personnel.

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

The decrease in burden hours (from 548 to 465) is due to a decrease in the number of respondents (from 1,232 to 957) and responses (from 5,659 to 4,590). The increase in cost (from \$71 to \$77) is updated on the number of forms that need postage.

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.

MSHA will display the expiration date on the Office of Management and Budget approved form.

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

There are no exceptions to the certification statement.

B. Collection of Information Employing Statistical Methods

This collection of information does not employ statistical methods.