

**WEST VIRGINIA
SECRETARY OF STATE
NATALIE E. TENNANT
ADMINISTRATIVE LAW DIVISION**

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OFFICE WEST VIRGINIA
SECRETARY OF STATE

Form #6

**NOTICE OF FINAL FILING AND ADOPTION OF A LEGISLATIVE RULE AUTHORIZED
BY THE WEST VIRGINIA LEGISLATURE**

AGENCY: WV Office of Miners' Health, Safety and Training TITLE NUMBER: 56

AMENDMENT TO AN EXISTING RULE: YES NO

IF YES, SERIES NUMBER OF RULE BEING AMENDED: 12

TITLE OF RULE BEING AMENDED: Assessing Health and Safety Violations

IF NO, SERIES NUMBER OF RULE BEING PROPOSED: _____

TITLE OF RULE BEING PROPOSED: _____

THE ABOVE RULE HAS BEEN AUTHORIZED BY THE WEST VIRGINIA LEGISLATURE.

AUTHORIZATION IS CITED IN (house or senate bill number) S. B. 140

SECTION 64-10-1(a), PASSED ON March 8, 2014

THIS RULE IS FILED WITH THE SECRETARY OF STATE. THIS RULE BECOMES EFFECTIVE ON THE
FOLLOWING DATE: July 1, 2014



Authorized Signature

FILED

TITLE 56
LEGISLATIVE RULE
OFFICE OF MINER'S HEALTH, SAFETY AND TRAINING

2014 APR 10 P 3:35

SERIES 12
RULES GOVERNING ASSESSING HEALTH
AND SAFETY VIOLATION PENALTIES

OFFICE WEST VIRGINIA
SECRETARY OF STATE

§56-12-1. General.

1.1 Scope. -- These rules establish the procedure whereby the Office of Miners' Health, Safety and Training assesses civil monetary penalties, pursuant to W. Va. Code §22A-1-21, to those having violated the state's mine health and safety laws.

1.2 Authority. -- W. Va. Code §22A-1-21.

1.3 Filing Date. -- April 10, 2014

1.4 Effective Date. -- July 1, 2014

§56-12-2. Definitions.

2.1. Unless herein defined, all terms used in this rule shall have the same meaning as they are defined in W. Va. Code §22A-1-2.

2.2. "Director" means the director of the State of West Virginia Office of Miners' Health, Safety and Training.

2.3. "Knowing violation" means a violation occurring when:

2.3.1. An operator (or miner, for an individual violation) causes a violative condition or practice by exercising reckless and willful disregard of mandatory health and safety standards, or recklessly and willfully failed to correct an unsafe condition or practice which was known to exist; or

2.3.2. An operator refuses to comply with any order issued under W. Va. Code §§22A-1-14 or 15; or

2.3.3. Size of the business charged with a

2.3.3. An operator refuses to comply with any order issued in a final decision under Chapter 22A, article 1, of the W. Va. Code §22A-1-1, except for an order incorporated in a decision under W. Va. Code §§22A-1-21(a) or 22(b).

2.4. "Good faith" means that, in the judgment of the inspector, the operator has demonstrated extraordinary effort above and beyond that which would normally be expected to abate the violation.

2.5. "Mine health and safety laws" means the provisions of articles one, two, five and six of chapter twenty-two-a, and chapter twenty-two of the West Virginia Code, and any rule promulgated thereunder, relating to health and safety standards.

2.6. "Independent contractor" has the same meaning as that term is defined at 36 CSR 20.

2.7. "Annual tonnage" means tonnage produced in the previous calendar year, or, in the case of a mine opened or owned less than one full calendar year, the tonnage thus far produced multiplied to an annual amount based on months of operation.

§56-12-3. Assessment Procedure For Operators.

3.1. Civil monetary penalty assessments are mandatory.

3.2. The amount of a civil monetary penalty assessments will be determined based upon consideration of the following five criteria:

3.2.1. Gravity of the violation;

3.2.2. History of previous violations; violation; and

3.2.4. Demonstrated good faith in achieving compliance after notification of the violation.

3.2.5. Whether the operator was negligent.

3.3. Gravity of the violation will be evaluated by the inspector or representative of the director, and points allocated accordingly.

3.3.1. Points will be allocated in the following four categories:

a. Likelihood of an occurrence of an event which the health and safety laws are intended to prevent;

b. The severity of the injury which might be expected to result from such an occurrence; and

c. The number of persons potentially affected by such an occurrence.

d. Whether the operator was negligent.

3.3.2. Points will be allocated in the following manner:

a. Likelihood of occurrence

Unlikely	0 points
Reasonably likely	10 points
Occurred	20 points

b. Severity of injury expected

None	0 points
No lost work days	6 points
Lost/restricted work days	11 points
Permanently disabling	15 points
Fatal	20 points

c. Number of persons potentially affected

0	0 points
1	1 points
2	2 points
3	4 points
4 to 5	6 points
6 to 9	8 points
More than 9	10 points

d. Negligence

No negligence	0 points
Low negligence	10 points
Moderate negligence	15 points
High negligence	20 points

3.4. The operator's history of violations over the previous 24 months will be evaluated by the inspector or representative of the director and points allocated accordingly.

3.4.1. For mine operators, points will be calculated based upon the average number of violations per inspection day over the previous 24 months.

3.4.2. For independent contractors, points will be calculated based upon the total number of violations during the previous 24 months.

3.4.3. Points will be allocated in the following manner:

a. Mine operators:

Average number violations/ inspection day

0	0 points
Over 0 to 0.3	2 points
Over 0.3 to 0.5	5 points
Over 0.5 to 0.7	8 points
Over 0.7 to 0.9	11 points
Over 0.9 to 1.1	14 points
Over 1.1 to 1.3	17 points
Over 1.3 to 1.5	20 points
Over 1.5 to 1.7	22 points
Over 1.7 to 1.9	23 points
Over 1.9 to 2.1	24 points

Over 2.1 25 points

b. Independent contractors:

Total number of violations

1 to 5 2 points
 6 to 10 5 points
 11 to 15 8 points
 16 to 20 11 points
 21 to 25 14 points
 26 to 30 17 points
 31 to 35 20 points
 36 to 40 22 points
 41 to 45 23 points
 46 to 50 24 points
 More than 50 25 points

3.5. Size of the business charged with a violation will be evaluated by the inspector or representative of the director, and points allocated accordingly. Size of the mine will be calculated by considering the annual tonnage of the mine. Mines which have not submitted tonnage reports by the dates required by W. Va. Code §22A-2-77 will be assessed the maximum amount of five (5) points.

Size of Business (annual tonnage)

0 - 100,000 tons 1 point
 100,001 - 500,000 tons 2 points
 500,001 - 1,000,000 tons 3 points
 1,000,001 - 2,000,000 tons 4 points
 Over 2,000,000 tons 5 points

3.6. The points allocated in the manner set forth in Sections 3.3, 3.4 and 3.5, above, will be totaled, and the total number converted to a dollar amount, as per Table 1, infra.

3.7. Demonstrated good faith by the operator in achieving compliance after notification of the violation will be evaluated by the inspector or representative of the director, and the total dollar amount of the penalty may be modified accordingly.

3.7.1. If the operator fails to abate the violation within the time prescribed, and there are, in the opinion of the inspector or representative of

the director, extenuating circumstances beyond the operator's control which prevent the abatement of the violation within such time, the amount of the assessment will not be affected.

3.7.2. If the operator fails to abate the violation within the prescribed time, and an order is issued pursuant to W. Va. Code §22A-1-15(b), the total dollar amount of the assessment will be increased by fifteen percent (15%).

3.7.3. If the operator was already working to correct the violation when discovered, or, in the judgment of the inspector, the operator has demonstrated extraordinary effort above and beyond that which would normally be expected to abate the violation, the total dollar amount of the assessment will be decreased by fifteen percent (15%), if the original assessment is greater than sixty dollars (\$60).

§56-12-4. Assessment Procedure For Knowing Violations.

4.1. In addition to any monetary assessment determined under section 3 of these rules, any operator issued a knowing violation shall be assessed one (1) knowing point for every twenty (20) civil penalty points accrued. Knowing points are converted to a monetary amount, as per the following table:

Knowing Civil Penalty Conversion Table

Civil Points	Penalty Points	Knowing Penalty
0-20	1	\$1,000
21-40	2	\$2,000
41-60	3	\$3,000
61-80	4	\$4,000
81-100	5	\$5,000

4.2. In addition to any assessment determined under section 3 of these rules, a subsequent knowing violation, issued to the same operator at the same operation during the same inspection within the same quarter, shall result in the assessment of two (2) knowing points for every twenty (20) civil penalty points accrued.

Subsequent knowing points are converted to a monetary amount as per the following table:

Subsequent Knowing Civil Penalty Conversion Table

Civil Points	Penalty Points	Knowing Penalty
0-20	2	\$2,000
21-40	4	\$4,000
41-60	6	\$6,000
61-80	8	\$8,000
81-100	10	\$10,000

§56-12-5. Assessment Procedure For Individuals.

5.1. Any miner who knowingly violates the mine health and safety laws shall be assessed a civil penalty not to exceed two hundred fifty dollars (\$250) for each such occurrence.

5.2. The amount of civil monetary penalty assessments will be determined based upon consideration of two criteria:

5.2.1. Gravity of the violation; and

5.2.2. History of prior violations.

5.3. Gravity of the violation will be evaluated by the inspector or representative of the director, and points allocated accordingly.

5.3.1. Points will be allocated in the following three categories:

a. Likelihood of an occurrence of an event, which the health and safety laws are intended to prevent;

b. The severity of the injury which might be expected to result from such an occurrence; and

c. The number of persons potentially affected by such an occurrence.

5.3.2. Points will be allocated in the

following manner:

a. Likelihood of occurrence

Unlikely	0 points
Reasonably likely	10 points
Occurred	20 points

b. Severity of injury expected

None	0 points
No lost work days	5 points
Lost/restricted work days	10 points
Permanently disabling	15 points
Fatal	20 points

c. Number of persons potentially affected

0	0 points
1	5 points
2	10 points
3	15 points
4 to 5	20 points
6 to 9	25 points
More than 9	30 points

5.4. The miner's history of prior violations over the previous thirty-six (36) months will be evaluated by the inspector or representative of the director, and points allocated accordingly. Points will be allocated in the following manner:

1 violation	15 points
2 or more violations	30 points

5.5. The points allocated in the manner set forth in 5.3 and 5.4, above, will be totaled, and the total number converted to a dollar amount by using the following table:

Civil Penalty Point Conversion Table For
Individuals

Points	Penalty
1 to 10	\$50.00
11 to 20	100.00
21 to 30	150.00
31 to 40	175.00
41 to 50	200.00
51 to 60	225.00
61 to 70	240.00
71 to 100	250.00

Table 1

Civil Penalty Point Conversion Table For Operators

Points	Penalty (\$)	Points	Penalty (\$)
0 - 15	60.00	66	840.00
16 - 31	96.00	67	880.00
32	100.00	68	927.00
33	104.00	69	960.00
34	108.00	70	1000.00
35	114.00	71	1050.00
36	120.00	72	1100.00
37	126.00	73	1150.00
38	132.00	74	1333.00
39	138.00	75	1667.00
40	144.00	76	1800.00
41	152.00	77	1933.00
42	160.00	78	2067.00
43	168.00	79	2200.00
44	176.00	80	2333.00
45	184.00	81	2467.00
46	194.00	82	2600.00
47	204.00	83	2733.00
48	214.00	84	2867.00
49	224.00	85	3000.00
50	234.00	86	3133.00
51	246.00	87	3267.00
52	256.00	88	3400.00
53	266.00	89	3533.00
54	276.00	90	3667.00
55	286.00	91	3800.00
56	300.00	92	3933.00
57	318.00	93	4067.00
58	336.00	94	4200.00
59	354.00	95	4333.00
60	372.00	96	4467.00
61	392.00	97	4600.00
62	412.00	98	4733.00
63	434.00	99	4867.00
64	456.00	100	5000.00
65	480.00		