

## Request for Records Disposition Authority

Records Schedule Number      DAA-0433-2015-0004  
Schedule Status                      Approved

Agency or Establishment          Mine Safety and Health Administration  
Record Group / Scheduling Group   Records of the Mine Safety and Health Administration  
Records Schedule applies to      Agency-wide  
Schedule Subject                      Mine Safety and Health Administration (MSHA)  
   Program Areas:

Internal agency concurrences will be provided      Yes

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
25	11	14	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0433-2015-0004

Sequence Number	
1	<b>GENERAL CORRESPONDENCE FILES (A&amp;M)</b>
1.1	Headquarters Correspondence Disposition Authority Number: DAA-0433-2015-0004-0001
2	<b>Mine Safety and Health Administration (MSHA) Directives Files. (PEIR)</b>
2.1	Program Policy Manual and Procedure Handbooks. Disposition Authority Number: DAA-0433-2015-0004-0002
2.2	Program Information Bulletins (PIBs). Disposition Authority Number: DAA-0433-2015-0004-0003
2.3	Administrative Policy and Procedures Manual (APPM) Volume I, Organization and Delegation of Authority. Disposition Authority Number: DAA-0433-2015-0004-0004
2.4	Administrative Policy and Procedures Manual (APPM) Volume II - IV, other Administrative Functions. Disposition Authority Number: DAA-0433-2015-0004-0005
2.5	Administrative Handbooks Disposition Authority Number: DAA-0433-2015-0004-0006
2.6	Administrative Information Bulletins (AIBs). Disposition Authority Number: DAA-0433-2015-0004-0007
3	<b>ASSESSMENT CASE FILES.</b> Disposition Authority Number: DAA-0433-2015-0004-0008
4	<b>OFFICE OF STANDARDS, REGULATIONS, AND VARIANCES</b>
4.1	Final Ruling Disposition Authority Number: DAA-0433-2015-0004-0009
4.2	Working Papers. Disposition Authority Number: DAA-0433-2015-0004-0010
5	<b>EDUCATION AND TRAINING PRODUCT MASTER FILES. (EPD)</b>
5.1	Motion Pictures and Video Recordings
5.1.1	Motion picture films and Video Recordings Disposition Authority Number: DAA-0433-2015-0004-0011
5.2	Photographic Material Disposition Authority Number: DAA-0433-2015-0004-0012
5.3	Slide-Tape Shows
5.3.1	Slides Disposition Authority Number: DAA-0433-2015-0004-0013
5.3.2	Audio recordings:

	<b>Disposition Authority Number: DAA-0433-2015-0004-0014</b>
5.4	<b>Publications</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0015</b>
5.5	<b>Manuscript and Draft Files.</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0016</b>
6	<b>PUBLICATIONS (EXCLUDING EDUCATION AND TRAINING AND PEOS PRODUCTS WHICH ARE SCHEDULED SEPARATELY).</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0017</b>
7	<b>Manuscripts and drafts of publications or final products (excluding Education and Training and PEOS products which are scheduled separately).</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0018</b>
8	<b>PUBLIC EDUCATION AND OUTREACH SERVICES (PEOS).</b>
8.1	<b>Public Affairs Product File</b>
8.1.1	<b>Public Affairs Products</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0019</b>
8.1.2	<b>All other copies to include manuscripts and drafts.</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0020</b>
8.2	<b>Released Material File.</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0021</b>
8.3	<b>News Clip File.</b>
8.3.1	<b>Copies of print news clips.</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0022</b>
8.3.2	<b>Video and audio news clips.</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0023</b>
8.3.3	<b>Public Affairs Issue File</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0024</b>
9	<b>OFFICE OF ASSESSMENTS, LEGAL IDENTITY REPORT (MSHA FORM 2000-7)</b> <b>Disposition Authority Number: DAA-0433-2015-0004-0025</b>

Records Schedule Items

Sequence Number				
1	<p><b>GENERAL CORRESPONDENCE FILES (A&amp;M)</b> Arranged according to an alpha-numeric filing system. Files contain correspondence (letters, memoranda, e-mail messages, telephone calls), reports, forms, created or received during the performance of agency functions.</p>			
1.1	<p><b>Headquarters Correspondence</b> Disposition Authority Number     <b>DAA-0433-2015-0004-0001</b></p> <p>Headquarters correspondence concerning policymaking, executive direction, staff assistance, program management, and relationships with Congress, DOL and other government agencies, industry, and the public not covered under the GRS.</p> <p>Final Disposition                     <b>Permanent</b></p> <p>Item Status                             <b>Active</b></p> <p>Is this item media neutral?         <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?     <b>No</b></p> <p>GRS or Superseded Authority Citation     <b>Supersedes NC1-433-81-1, Item 1A.</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                     <b>Break files annually. Cut off records at the end of calendar year.</b></p> <p>Transfer to Inactive Storage         <b>Retire to FRC 3 years after cut off.</b></p> <p>Transfer to the National Archives for Accessioning     <b>Transfer to the National Archives 15 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation     <b>1988</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?     <b>From 1994 To 2001</b></p> <p>How frequently will your agency transfer these records to the National Archives?     <b>Every 1 Years</b></p> <table border="1" style="width: 100%; margin-top: 10px;"> <tr> <td style="width: 50%;"></td> <td style="width: 25%; text-align: center;">Estimated Current Volume</td> <td style="width: 25%; text-align: center;">Annual Accumulation</td> </tr> </table>		Estimated Current Volume	Annual Accumulation
	Estimated Current Volume	Annual Accumulation		

Electronic/Digital		
Paper	77 Cubic feet	3 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

Mine Safety and Health Administration (MSHA) Directives Files. (PEIR)  
MSHA directives consist of two manuals (the Program Policy Manual and the Administrative Policy and Procedures Manual), their updates, and related policy letters; procedural handbooks, updates, and related procedure instruction letters; and information bulletins. Directives are numbered and arranged by type and calendar year as follows: an alpha designation for the type of directive (P for program; A for administrative; I for procedure instruction), followed by two digits for the year of issuance, a roman numeral indicating the volume of the administrative or program manual it relates to, and a number indicating its sequence in that calendar year (exception: an information bulletin does not contain a roman numeral as it does not relate to a manual) Program directives provide enforcement-related guidance to MSHA employees and the mining community; administrative directives provide administrative guidance to MSHA employees only. The Records Management Branch in Administration and Management, Management Services Division maintains the record set (signed document and DL 1-441) and formal review copies of all directives. Working papers are retained by the originating office (see No. 13 of this Request). This series includes directives dated July 1988 to present. Prior to July 1988, directives were scheduled under NC1—433—81-1, Item 1, General Correspondence. Directives Record Set. Signed copy of the document and the Official File Copy (DL 1—441) with concurrences.

2.1

**Program Policy Manual and Procedure Handbooks.**

Disposition Authority Number      DAA-0433-2015-0004-0002

Includes program policy manual, procedure handbook updates and Program Policy Letters (PPLs) that provide policy relating to MSHA enforcement activities and personnel (i.e., inspection activities and mine inspectors)

Final Disposition                      Permanent

Item Status                              Active

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **Supersedes N1-433-00-1, item 1a and 2a**

**Disposition Instruction**

Cutoff Instruction **Cutoff file at end of calendar year.**

Transfer to Inactive Storage **Retire to FRC 5 years after issuance or when Manual is superseded, whichever is earlier.**

Transfer to the National Archives for Accessioning **Transfer to NARA in 5—year blocks when newest record is 15 years old. (e.g., transfer 2001—2005 in 2021.)**

**Additional Information**

First year of records accumulation **1988**

What will be the date span of the initial transfer of records to the National Archives? **From 1988 To 2002**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	25 MB	5 MB
Paper	4 Cubic feet	.25 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2.2

**Program Information Bulletins (PIBs).**

Disposition Authority Number **DAA-0433-2015-0004-0003**

**PIBs provide enforcement—related information or announcements of interest to MSHA employees and the mining industry.**

Final Disposition **Temporary**

Item Status **Active**

	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	Supersedes N1-433-00-1, item 3a
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off file at end of calendar year.
	Retention Period	Destroy at the end of 5 years.
	<b>Additional Information</b>	
	GAO Approval	Not Required
2.3	<b>Administrative Policy and Procedures Manual (APPM) Volume I, Organization and Delegation of Authority.</b>	
	Disposition Authority Number	DAA-0433-2015-0004-0004
	<b>(APPM) Volume I, updates and Volume I Administrative Policy Letters (APLs) provide policy and procedure relating to organization and delegations of authority.</b>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	Supersedes N1-433-00-1, item 4a
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off file at end of calendar year.
	Transfer to Inactive Storage	Retire to FRC 5 years after issuance or when Manual is superseded, whichever is earlier.

Transfer to the National Archives for Accessioning

Transfer to NARA in 5 year blocks when the newest record is 15 years old (e.g., transfer 1998—2002 block in 2017).

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives?

Unknown  
Unknown.

How frequently will your agency transfer these records to the National Archives?

Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	25 MB	5 MB
Paper	2 Cubic feet	.6 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2.4

**Administrative Policy and Procedures Manual (APPM) Volume II - IV, other Administrative Functions.**

Disposition Authority Number DAA-0433-2015-0004-0005

(APPM) Volume II through IV, updates and Administrative Policy Letters (APLs) provide policy and procedure relating to the administrative management of MSHA.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation Supersedes N1-433-00-1, item 5a

**Disposition Instruction**





3

Do any of the records covered by this item exist as structured electronic data?

Yes

GRS or Superseded Authority Citation

Supersedes N1-433-00-1, item 7a

**Disposition Instruction**

Cutoff Instruction

Cut off file at end of calendar year.

Retention Period

Destroy 3 year(s) after cutoff.

**Additional Information**

GAO Approval

Not Required

**ASSESSMENT CASE FILES.**

Disposition Authority Number

DAA-0433-2015-0004-0008

Files arranged by a case number that is assigned by the office assessing penalties for violations of the Coal Mine Health and Safety Act of 1969 and the Mine Safety and Health Act of 1977. Contains notices, mine operator's protests, petitions for adjudication, correspondence, and related material. The assessment case files also contain copies of notices of violations issued on mine operations, abatements, and termination notices. The original records (notices, abatements, and similar documents) are retained by the issuing office. This material is needed as background, and should be treated as part of the case file with respect to transfer and retention.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Yes

Do any of the records covered by this item exist as structured electronic data?

Yes

GRS or Superseded Authority Citation

Supersedes NC1-433-81-1, Item 12.

**Disposition Instruction**

Transfer to Inactive Storage

Retire to FRC when case is closed.

Retention Period

Destroy 10 years after the case is closed.

**Additional Information**

	GAO Approval	Not Required
4	<p><b>OFFICE OF STANDARDS, REGULATIONS, AND VARIANCES</b>                  The Office of Standards, Regulations, and Variances (OSRV) guides all of MSHA's rulemaking activities from the pre-proposal stage to publication of the final rule. OSRV serves as the point of contact with the public and other Federal agencies on regulatory matters. For example, OSRV is the Agency liaison with the Office of the Federal Register and is responsible for coordinating publication of all Federal Register documents and for updating Title 30 of the Code of Federal Regulations. In accordance with the requirements of Executive Order 12866, the Regulatory Flexibility Act, and the Paperwork Reduction Act, OSRV prepares economic impact and cost-benefit analyses of proposed and final standards to determine their effect on businesses; and prepares and updates the Semiannual Regulatory Agenda and the Regulatory Plan which list MSHA's rulemaking projects selected for review or development during the coming year. OSRV also processes petitions from mine operators for variances from safety standards.</p>	
4.1	<p><b>Final Ruling</b>                  Disposition Authority Number      DAA-0433-2015-0004-0009                  Final ruling file Includes records of background information related to the development of the proposed rule, testimony from public hearings, and final ruling.                  Final Disposition                      Permanent                  Item Status                              Active                  Is this item media neutral?          Yes                  Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes                  Do any of the records covered by this item exist as structured electronic data?                      Yes                  GRS or Superseded Authority Citation      Supersedes NC1-433-81-1, Item 10B1, and B2.  <b>Disposition Instruction</b>                  Cutoff Instruction                      End of calendar year rule becomes final.                  Transfer to Inactive Storage          Retire to FRC 3 years after rule becomes final.                  Transfer to the National Archives for Accessioning      Transfer to the National Archives in 5 year blocks 15 year(s) after newest record is 5 years old  <b>Additional Information</b>                  What will be the date span of the initial transfer of records to the National Archives?      From 1978 To 2000</p>	

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	69 Cubic feet	2 Cubic feet
Microform		
Hardcopy or Analog Special Media		

4.2

**Working Papers.**

Disposition Authority Number **DAA-0433-2015-0004-0010**

**Records of non-significant or non-historical value. Include records such as notices and advanced notices of proposed rulemaking, regulatory and environmental impact analysis, material related to litigation of subject standard or regulation through final rule and other working papers of temporary value.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **Supersedes NC1-433-81-1, Item 10A1-2, and A4-A7.**

**Disposition Instruction**

Transfer to Inactive Storage **Retire to FRC 3 years after rule has been published.**

Retention Period **Destroy when 10 years old.**

**Additional Information**

GAO Approval **Not Required**

**EDUCATION AND TRAINING PRODUCT MASTER FILES. (EPD)**

5

	<p>The National Mine Health and Safety Academy is responsible for the training of mine safety and health inspectors, mine technical support staff, and other government and industry personnel. The Academy uses the instructional aids described below to carry out its responsibilities.</p>																				
5.1	<p><b>Motion Pictures and Video Recordings</b> Arranged by format and alphabetically there-under by title.</p>																				
5.1.1	<p><b>Motion picture films and Video Recordings</b></p> <p>Disposition Authority Number      DAA-0433-2015-0004-0011</p> <p>A sound projection print of each film, plus the original negative or color original, separate optical sound track, intermediate master positive or duplicative negative, and optical sound track, if available. Video copies may be substituted if an original film is unavailable.</p> <table><tr><td>Final Disposition</td><td>Permanent</td></tr><tr><td>Item Status</td><td>Active</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item exist as structured electronic data?</td><td>Yes</td></tr><tr><td>GRS or Superseded Authority Citation</td><td>Supersedes NC1-433-85-1, item 6A1</td></tr></table> <p><b>Disposition Instruction</b></p> <table><tr><td>Transfer to Inactive Storage</td><td>MSHA must make copies for its own use and then transfer the original, or make very high quality copy for NARA.</td></tr><tr><td>Transfer to the National Archives for Accessioning</td><td>Transfer record copy to NARA within 1 year.</td></tr></table> <p><b>Additional Information</b></p> <table><tr><td>What will be the date span of the initial transfer of records to the National Archives?</td><td>From 1950 To 1970</td></tr><tr><td>How frequently will your agency transfer these records to the National Archives?</td><td>Unknown Unknown.</td></tr></table>	Final Disposition	Permanent	Item Status	Active	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes	Do any of the records covered by this item exist as structured electronic data?	Yes	GRS or Superseded Authority Citation	Supersedes NC1-433-85-1, item 6A1	Transfer to Inactive Storage	MSHA must make copies for its own use and then transfer the original, or make very high quality copy for NARA.	Transfer to the National Archives for Accessioning	Transfer record copy to NARA within 1 year.	What will be the date span of the initial transfer of records to the National Archives?	From 1950 To 1970	How frequently will your agency transfer these records to the National Archives?	Unknown Unknown.
Final Disposition	Permanent																				
Item Status	Active																				
Is this item media neutral?	Yes																				
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes																				
Do any of the records covered by this item exist as structured electronic data?	Yes																				
GRS or Superseded Authority Citation	Supersedes NC1-433-85-1, item 6A1																				
Transfer to Inactive Storage	MSHA must make copies for its own use and then transfer the original, or make very high quality copy for NARA.																				
Transfer to the National Archives for Accessioning	Transfer record copy to NARA within 1 year.																				
What will be the date span of the initial transfer of records to the National Archives?	From 1950 To 1970																				
How frequently will your agency transfer these records to the National Archives?	Unknown Unknown.																				
5.2	<p><b>Photographic Material</b></p>																				

Disposition Authority Number      DAA-0433-2015-0004-0012

Photographs relating to mine safety and health conditions and issues, MSHA inspection procedures, and agency history, facilities, programs, resources, and officials. Arranged by format and then under chronologically by training product sequence. Including: the original negative and a captioned print for each analog black-and-white photograph; the original color transparency or color negative, a captioned print, and an inter-negative (if one exists) for each analog color photograph; and the digital image file, in NARA-accepted format, along with any related metadata in embedded or external database form, for each born-digital or scanned digital photograph.

Final Disposition                      Permanent

Item Status                              Active

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

Do any of the records covered by this item exist as structured electronic data?                      Yes

GRS or Superseded Authority Citation      Supersedes NC1-433-85-1, item 6B

**Disposition Instruction**

Cutoff Instruction                      Cutoff end of calendar year.

Transfer to the National Archives for Accessioning      Transfer all photographs, generated or accumulated pre-2013, and any related finding aids to the National Archives immediately upon approval of this schedule. Thereafter, cut off holdings in five-year blocks, and transfer along with any related finding aids to the National Archives when the oldest image in the block is five years old. Transfer in accordance with 36 CFR 1237.12 c and f, and NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records, or equivalent guidance in effect at the time of transfer.

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives?      From 1900 To 1970

	How frequently will your agency transfer these records to the National Archives?	Unknown Unknown.
5.3	<b>Slide-Tape Shows</b> Arranged by product title	
5.3.1	<b>Slides</b>	
	Disposition Authority Number	DAA-0433-2015-0004-0013
	For analog products, the earliest generation available for all slides, plus an additional copy; for photo-oriented digital presentations, the digital image files in NARA-accepted format.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	Supersedes NC1-433-85-1, item 6C1
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff end of calendar year.
	Transfer to the National Archives for Accessioning	Transfer all analog or digital slides, generated or accumulated pre-2013, and related audio materials (see 5.3.2), to the National Archives immediately upon approval of this schedule. Thereafter, cut off holdings in five-year blocks, and transfer along with related audio to the National Archives when the oldest image in the block is five years old. Transfer in accordance with 36 CFR 1237.12 c and f, and NARA Bulletin 2014-04, Revised format Guidance for the Transfer of Permanent Electronic Records, or equivalent guidance in effect at the time of transfer.
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown Unknown.

5.3.2

How frequently will your agency transfer these records to the National Archives? Unknown  
Unknown.

**Audio recordings:**

Disposition Authority Number DAA-0433-2015-0004-0014

The earliest generation available for each magnetic audio tape or digital recording, plus an additional copy.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation Supersedes NC1-433-85-1, item 6C1

**Disposition Instruction**

Cutoff Instruction Cutoff end of calendar year.

Transfer to the National Archives for Accessioning Transfer all analog or digital audio materials, generated or accumulated pre-2013, and related slides (see 5.3.1), to the National Archives immediately upon approval of this schedule. Thereafter, cut off holdings in five-year blocks, and transfer along with related slides to the National Archives when the oldest audio in the block is five years old. Transfer in accordance with 36 CFR 1237.12 e and f, and NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records, or equivalent guidance in effect at the time of transfer.

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? Unknown  
Unknown.



5.4

How frequently will your agency transfer these records to the National Archives? **Unknown  
Unknown.**

**Publications**

Disposition Authority Number **DAA-0433-2015-0004-0015**

**Record Set (arranged by product category and alphabetically there under by title).  
One copy of each publication.**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **Supersedes NC1-433-85-1, Item 6D.**

**Disposition Instruction**

Cutoff Instruction **Break file annually. .**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after publication**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1978 To 2000**

How frequently will your agency transfer these records to the National Archives? **Unknown  
Unknown, inventory pending**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	<b>50 Cubic feet</b>	<b>1 Cubic feet</b>
<b>Microform</b>		

<b>Hardcopy or Analog Special Media</b>		
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5.5

**Manuscript and Draft Files.**

Disposition Authority Number      DAA-0433-2015-0004-0016

Final Disposition                      Temporary

Item Status                                Active

Is this item media neutral?            Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No

GRS or Superseded Authority Citation      NC1-433-81--1, Item 26 A and B

**Disposition Instruction**

Cutoff Instruction                      Cutoff after date of publication.

Retention Period                        Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized

**Additional Information**

GAO Approval                              Not Required

6

**PUBLICATIONS (EXCLUDING EDUCATION AND TRAINING AND PEOS PRODUCTS WHICH ARE SCHEDULED SEPARATELY).**

Disposition Authority Number      DAA-0433-2015-0004-0017

Most MSHA offices publish documents although the format and content vary and their release may be periodic or intermittent. Publications will generally include: informational reports, instruction guides, safety reviews, annual reports, safety manuals, health and safety reports. Immediately after publication, a copy is transferred to the Mine Health and Safety Academy Library and retained for 100 years.

Final Disposition                        Permanent

Item Status                                Active

Is this item media neutral?            Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No

GRS or Superseded Authority Citation      **Supersedes NCI-433-81-1, Item 2B.**

Disposition Instruction

Cutoff Instruction      **Record set. Break file annually. .**

Transfer to the National Archives for Accessioning      **Transfer to the National Archives in 5 year blocks 15 year(s) after publication**

Additional Information

First year of records accumulation      **1978**

What will be the date span of the initial transfer of records to the National Archives?      **From 1978 To 2000**

How frequently will your agency transfer these records to the National Archives?      **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	45 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

7

**Manuscripts and drafts of publications or final products (excluding Education and Training and PEOS products which are scheduled separately).**

Disposition Authority Number      **DAA-0433-2015-0004-0018**

Final Disposition      **Temporary**

Item Status      **Active**

Is this item media neutral?      **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **No**

GRS or Superseded Authority Citation      **NC1-433-81-1, item 26**

	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff after date of publication.
	Retention Period	Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
8	<b>PUBLIC EDUCATION AND OUTREACH SERVICES (PEOS).</b>	
	Records are maintained by PEOS. NOTE: Audio, visual and film are now scheduled under EDUCATION AND TRAINING PRODUCT MASTER FILES section of this schedule.	
8.1	<b>Public Affairs Product File</b>	
	(arranged by type of product and chronologically within each type). Includes: (1) press releases, (2) speeches given by the Assistant Secretary or other officials on subjects dealing with MSHA programs, (3) articles authored by MSHA officials that have been published in outside periodicals, and (4) posters, booklets, annual reports, special reports, fact sheets, press kits, public service announcements, stickers, unless otherwise specified in this schedule.	
8.1.1	<b>Public Affairs Products</b>	
	Disposition Authority Number	DAA-0433-2015-0004-0019
	<b>Record copy of speeches, articles, press releases, public service announcements, and reports dealing with MSHA programs</b>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NC1-433-81-1, items 2A, 2B, and 2C.
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Break file annually.
	Transfer to Inactive Storage	Retire to FRC at the end of 3 years.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives in 10 year blocks 15 year(s) after most recent record is 10 years old
	<b>Additional Information</b>	

First year of records accumulation **1978**  
 What will be the date span of the initial transfer of records to the National Archives? **From 1978 To 2000**  
 How frequently will your agency transfer these records to the National Archives? **Every 10 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	100 Cubic feet	3 Cubic feet
Microform		
Hardcopy or Analog Special Media		

8.1.2

**All other copies to include manuscripts and drafts.**  
 Disposition Authority Number **DAA-0433-2015-0004-0020**  
 Final Disposition **Temporary**  
 Item Status **Active**  
 Is this item media neutral? **Yes**  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**  
 Do any of the records covered by this item exist as structured electronic data? **Yes**  
 GRS or Superseded Authority Citation **Supersedes NC1-433-81-1, item 2B2**  
 Disposition Instruction  
 Cutoff Instruction **Break file annually.**  
 Transfer to Inactive Storage **Offer to the National Mine Health and Safety Academy before disposal.**  
 Retention Period **Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized**

	<b>Additional Information</b>	
	GAO Approval	Not Required
8.2	<b>Released Material File.</b>	
	Disposition Authority Number	DAA-0433-2015-0004-0021
	<b>Selected material that is released in response to requests from the media and the public. Material is retained for a relatively short period, in case questions or concerns arise about what has been provided to a requester, and to facilitate response to similar requests that may shortly follow as often happens with media issues. Does not include material that is part of a formal FOIA response or a reply to regular correspondence; does not include publications or material available on MSHA's Web site.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Break file monthly.
	Retention Period	Destroy 3 years after break or when no longer needed, whichever is later.
	<b>Additional Information</b>	
	GAO Approval	Not Required
8.3	<b>News Clip File.</b>	
	<b>News articles on MSHA-related subjects that have been compiled by OIPA for use by the Assistant Secretary and other MSHA officials; may include print media, audio and video clips.</b>	
8.3.1	<b>Copies of print news clips.</b>	
	Disposition Authority Number	DAA-0433-2015-0004-0022
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes

	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-433-81-1, Item 2A
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Break file annually.
	Transfer to Inactive Storage	Offer to National Mine Health and Safety Academy (NMHSA) for its historical collection 15 years after break.
	Retention Period	Destroy after 15 years or when no longer needed.
	<b>Additional Information</b>	
	GAO Approval	Not Required
8.3.2	<b>Video and audio news clips.</b>	
	Disposition Authority Number	DAA-0433-2015-0004-0023
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-433-81-1, Item 2D3 and 2D4
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Break file annually.
	Transfer to Inactive Storage	Offer to National Mine Health and Safety Academy for its historical collection 10 years after break.
	Retention Period	Destroy 10 years after break or no longer needed.
	<b>Additional Information</b>	

8.3.3	<p>GAO Approval Not Required</p> <p><b>Public Affairs Issue File</b></p> <p>Disposition Authority Number DAA-0433-2015-0004-0024</p> <p>(arranged alphabetically by subject; files relating to major mine disasters are separate, but also arranged alphabetically). Files include background materials on a wide variety of mine safety and health subjects of continuing and recurring public concern and are maintained primarily for the convenience of OIPA staff. File is reviewed and purged on a scheduled basis; half of the file is reviewed each year, so that the entire file is reviewed every two years.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction Cutoff at the end of the calendar year.</p> <p>Retention Period Destroy 3 year(s) after cutoff or when no longer needed occurs, whichever is later</p> <p><b>Additional Information</b></p> <p>GAO Approval Not Required</p>
9	<p><b>OFFICE OF ASSESSMENTS, LEGAL IDENTITY REPORT (MSHA FORM 2000-7).</b></p> <p>Disposition Authority Number DAA-0433-2015-0004-0025</p> <p>The Mine Act requires mine operators to submit this form for each mine and to submit changes as they occur. A copy is kept in the district office as long as the mine is in operation.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p>



Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	Supersedes portions of NC1-433-81-1, Item 19
Disposition Instruction	
Cutoff Instruction	The official copy of the reports is maintained by Assessments' Wilkes-Barre Center for 3 years after the mine is placed in an "abandoned" status.
Transfer to Inactive Storage	Then the report for the abandoned mines is transferred to the National Mine Safety and Health Academy for further retention until no longer needed.
Retention Period	Maintain for 3 years, then transfer to the National Mine Safety and Health Academy for further retention until no longer needed.
Additional Information	
GAO Approval	Not Required

### Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

### Signatory Information

Date	Action	By	Title	Organization
06/08/2015	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
09/09/2015	Return for Revision	David Weber	for	National Archives and Records Administration - Records Management Services
06/20/2016	Submit For Certification	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
06/20/2016	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
08/30/2016	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/06/2016	Submit For Certification	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
09/06/2016	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and

				Management - Business Operations Center
06/02/2017	Submit for Concur rence	David Weber	Senior Appraisal Arc hivist	National Archives and Records Administration - Records Management Services
06/22/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
06/22/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
06/23/2017	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist