

REQUEST FOR RECORDS DISPOSITION AUTHORITY		NC1-433-12-01	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA) WASHINGTON, DC 20408		DATE RECEIVED <i>7/30/12</i>	
1. FROM (Agency or establishment) U.S. Department of Labor		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Mine Safety and Health Administration (MSHA)			
3. MINOR SUBDIVISION Administration and Management			
4. NAME OF PERSON WITH WHOM TO CONFER Darlene Green	5. TELEPHONE 202-693-9823	DATE <i>WITHDRAWN</i>	ARCHIVIST OF THE UNITED STATES <i>WITHDRAWN</i>
6 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 on the attached <u>17</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,			
<input checked="" type="checkbox"/> are not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>7/26/2012</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>William Keisler</i>	TITLE DOL Records Officer	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Mine Safety and Health Administration (MSHA): Electronic Systems of Records covered by the Privacy Act. See Attached.		

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CONTENTS: MSHA SYSTEMS OF RECORDS

1. Mine Accident, Injury, ^{Operator} and Employment, ^{Illness!} System (MAIES) (Part 50, Coal & Metal/Nonmetal) (Electronic System - DOL\MSHA-1) *and Protection Report*
2. MSHA Standard Information System (MSIS) (Electronic System - DOL\MSHA-3) *NOA If EPR*
3. Discrimination Investigations (Electronic System - DOL\MSHA-10)
4. Health & Safety Training and Examination (Electronic System - DOL\MSHA-15) *Concess*
5. Employee Conduct Investigations (Electronic System - DOL\MSHA-19)
6. Civil/Criminal Investigations (Electronic System - DOL\MSHA-20)
7. National Mine Health and Safety Academy Permanent Record Cards (Electronic System - DOL\MSHA-22)
8. Education Field Services (EFS) Activity Reporting System (Electronic System - DOL\MSHA-23)
9. Radon Daughter Exposure (Electronic System - DOL\MSHA-24)
10. Facilities and Property Inventory Report System (E-Property) *EKS?*
11. Technical Support Approval & Certification of Mining Equipment (MIMS) (Electronic System) *Since PHMSA MS 5*
12. Pittsburgh Safety & Health Technology Center Laboratory Information Management System (LIMS) (Electronic System) *PH?*

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1. MINE ACCIDENT, INJURY and EMPLOYMENT SYSTEM (MAIES). COAL AND METAL/NONMETAL (Electronic System - DOL/MSHA-1)

Form 7000-1 contains accident, injury, and occupational illness data that include the mine name and identification number; date, time, and place of occurrence; type and description of accident; and name and social security number of injured miner. For 1978 and subsequent years, only the last four digits of the social security number are in the records. Information is obtained from MSHA Form 7000-1, Mine Accident, Injury and Illness Report, which is submitted by mine operators.

Form 7000-2 contains quarterly mine employment and coal production data. Mine operators are required to submit the form quarterly to the Office of Injury and Employment Information (OIEI). Beginning October 1997, form may be submitted via Internet or by mail.

DISPOSITION:

Input. MSHA Form 7000-1 and 7000-2 (Electronic and paper):

Temporary. Close file at end of fiscal/calendar year. Transfer to the FRC at the end of 2 years old. Destroy when 6 years old.

Output. Permanent. (Electronic Record). Information from the Part 50 Sungard (MAIES) system is uploaded to MSHA's DRS (Data Retrieval System) and Data Warehouse BI Web site; daily reports are created from data backfeed from MSIS and distributed; Monthly/Quarterly/Annual reports are distributed to appropriate personnel; informational, sentinel of safety and FOIA requests are created/handled utilizing data originally inputted through MSIS and backfeed to (MAIES); Queries are created upon request; and information is provided to Headquarters when fatal or disasters occur. Retire most recent magnetic tape/CD to NARA immediately after close of incident. Annual volume accumulation 90 tapes/CDs.

System Documentation. Temporary. User's manuals, user functions, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.

CD not tape

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Delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is no longer needed to protect legal rights, whichever is latest. (GRS 20, 11(a))

Permanent

Supersedes NC1-433-85-1 Item 9.

2. TECHNICAL SUPPORT MANAGEMENT INFORMATION SYSTEM (MIS) SYSTEM.
(Electronic System - DOL/MSHA-3)

A system of databases to assist Technical Support personnel in statistical analysis, management decision making, tracking of projects and workload. The IBM MVS/XA computer which is operated by the current contractor for the Department of Labor Computer Services contract is used to process data via the network. Data entry is performed on IBM compatible Personal Computers (PC's). Supporting databases, where used, store relational data used to work in conjunction with the mainframe data.

DISPOSITION:

Mission Support Report System (MSRS). This system provides an automated tracking system of personnel resource allocations and measures productivity against predefined management objectives, and produces reports which reflect the status of various input items.

Input. Temporary. Electronic update records containing basic MSRS project data, weekly activity reports (WAR), and project management reporting (PML) data. Retain for 1 year. Delete/destroy 1 year after the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 2(a))

Output. Permanent. Update reports, WAR reports, MSRS project reports, and MBO/WMU reports. Move data from mainframe to remote disk storage to host disk storage, with final storage on magnetic tape. Written to CD and LAN annually. Retire to NARA after annual download. (GRS 20, 7)

Active Database. Temporary. Computer documents are updated from source documents daily, weekly and monthly. Retain current year plus two previous years. After 3 years delete data that have been entered into the master file or database and verified, or serve as back-up to a master file or database. (GRS 20, 2(b))

Historical Database: Temporary. In March of the fiscal year, the third previous fiscal year is moved to tape and stored. After 3 years delete data that have been entered into the master file or database and verified. (GRS 20, 2(b))

System Documentation. Temporary. Data systems specifications, file specifications, codebooks, record layouts user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule. Retain data for 20 years. Delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is no longer needed to protect legal rights, whichever is latest. (GRS 20, 11(a))

Project Tracking System (PTS). The PTS is divided into two main and interrelated functional areas. The primary of these is the Project Analysis Report (PAR) system that tracks approval and technical assistance investigations as they are processed within the Center. The secondary function is the Weekly Activity Report (WAR) system that tracks employee hours as they are applied to projects and/or broad management objectives.

Input. Temporary. Health activities which include mine and mill locations, metal and nonmetal mine inspection personnel time and activity, inspections, citations and orders against operators, sampling data on personal exposure of non-identified miners and MSHA personnel to radiation, dust, noise and other contaminants, and comprehensive health surveys on individual operations. Retain for 1 year. Delete/destroy 1 year after the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 2(a))

Output. Permanent. Move computer-information from source documents to remote disk storage to host disk storage, with final storage on magnetic tape. Written to CD and LAN annually. Retire to NARA after annual download. (GRS 20, 7)

Active Database: Temporary. All pars are included in the active database. Retain current year plus two previous years. After 3 years delete data that have been entered into

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the master file or database and verified, or serve as back-up to, a master file or database. (GRS 20, 2(b))

Historical Database: Temporary. All pars are included in the historical database. In March of the fiscal year, the third previous fiscal year is moved to tape and stored. After 3 years delete data that have been entered into the master file or database and verified. (GRS 20, 2(b))

System Documentation. Temporary. Retain data for 20 years or until no longer needed for administrative purposes, whichever is later. Destroy after 20 years old.

Quality Assurance Tracking System (Quats). This system provides the Quality Assurance Division, A&CC, with an automated means of storing and retrieving the technical data involved with their various audit programs. The administrative data from these projects is stored in the Project Tracking System (PTS) Project Analysis Report (PAR) Data Set. The project number is the record key for both data sets.

Input. Electronic. Temporary. comprehensive health surveys on individual operations. Retain for 1 year. Delete/destroy 1 year after the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 2(a))

Output. Temporary. General reports. Move data from mainframe to remote disk storage to host disk storage, with final storage on magnetic tape. Written to CD and Lan annually. Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. (GRS 20, 2(b))

Active Database: Temporary. All data is retained in the active database. Retain current year plus two previous years. After 3 years delete data that have been entered into the master file or database and verified, or serve as back-up to, a master file or database. (GRS 20, 2(b))

Historical Database: Temporary. All data is retained in the historical database. In March of the fiscal year, the third previous fiscal year is moved to tape and stored. Retain for 7 full years, including prior

year, after 8 years delete data that is no longer required to support reconstruction of, or serve as backup to the Active database. (GRS 20, 2(b))

System Documentation. Temporary. Data systems specifications, file specifications, (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule. Retain data for 25 years. Delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is no longer needed to protect legal rights, whichever is latest. (GRS 20, 11(a))

Personnel System. This system tracks and updates the basic personnel information for employees in each Technical Support Center. The system interfaces with the MSRS and PTS (War System).

Input. Temporary. Electronic paper. Health activities which include mine and mill locations, metal and nonmetal mine inspection personnel time and activity, inspections, citations and orders against operators, sampling data on personal exposure of non-identified miners and MSHA personnel to radiation, dust, noise and other contaminants, and comprehensive health surveys on individual operations. Retain for 1 year. Delete/destroy 1 year after the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 2(a))

Output. Temporary. **(Electronic paper)** Various administrative reports. Delete/destroy 1 year after the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 2(a))

Active Database: Temporary. Retain for 5 full years, including prior year, after 6 years delete data that is no longer required to support reconstruction of, or serve as backup to the Active database. (GRS 20, 2(b))

Historical Database: Temporary. Retain for 5 full years, including prior year, after 6 years delete data that is no longer required to support

reconstruction of, or serve as backup to the Active database. (GRS 20, 2(b))

System Documentation. Temporary. Data systems specifications, file specifications, codebooks, record layouts user guides, output specifications, and final reports (regardless of medium). Delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is no longer needed to protect legal rights, whichever is latest. (GRS 20, 11(a))

3. DISCRIMINATION INVESTIGATIONS SYSTEM. (Electronic System DOL/MSHA-10)

The Coal and Metal/Nonmetal Mine Safety and Health Administrations direct investigations of complaints filed by individuals alleging discrimination in violation of the Federal Mine Safety and Health Act of 1977 and the Federal Coal Mine Health and Safety Act of 1969.

Records are maintained to determine validity and gravity of allegations and the amount of civil penalty assessment.

DISPOSITION:

Input. Temporary. **Health-Related Complaint Files**, which include name, address, telephone number, social security number, occupation, place of employment, other identifying data, and allegation information concerning complainants, mine operators, witnesses, and third party sources. Retain in district office for 3 years. Transfer to FRC when 10 years old. Destroy when 30 years old.

Non-Health-Related Complaint Files, same as above. Temporary. Retain in district office for 3 years. Transfer to FRC when 10 years old. Destroy when 18 years old.

Supersedes NC1-433-94-2, Item 1

4. HEALTH & SAFETY TRAINING and EXAMINATION SYSTEM. (Electronic System - DOL/MSHA-15)

This system is maintained by the Directorate of Educational Policy and Development. The system contains information on training

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activities approved by MSHA for State and Federal employees to attain skills to become qualified and certified to complete mining tasks.

DISPOSITION:

Input. Temporary. Mine I.D. number, training course codes, instructors name, date of training, name and social security number of persons who have taken training and examinations to become qualified and/or certified. Retain records 3 years. (GRS 20, 2(a))

Output. Temporary. Electronic print. Issuance of qualification and/certification cards to individuals who become qualified or certified under the law, as appropriate; issuance of qualification cards to instructors authorized to teach MSHA approved training courses; provide information to monitor and expand safety training programs; verify that individuals have completed required training; and report training data in various formats for a variety of uses, particularly, reporting to Congress, publication. Destroy when the agency determines that they are no longer for administrative, legal, audit, or other operational purposes. (GRS 20, 3(3))

System Documentation. Temporary.

5. EMPLOYEE CONDUCT INVESTIGATIONS SYSTEM. (Electronic System - DOL/MSHA-19)

The system is maintained by the Directorate of Administration and Management and is comprised of file folders. File folders contain information on any MSHA employee against whom an allegation has been made of misconduct, illegal act, or conflict of interest.

DISPOSITION:

Input. Temporary. **Paper records. Includes** the name, organization, allegation, and other pertinent information relating to the individual involved, a report of the investigation conducted by MSHA, and a statement of closing action: (a) referred to the OIG; (b) transferred to OPM/GOVT-3 Records of Adverse Actions and Actions Based on Unacceptable Performance; or (c) it is determined that the allegation is without sufficient merit to warrant further action. Retain

records for 4 years. Destroy after 4 years if it is determined that the case is without sufficient merit for action.

Output. Temporary. Electronic files. Delete case from tracking system when file is destroyed and the agency has determined that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 1(a))

System Documentation. Temporary. Data systems specification, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for temporary use by a NARA-approved disposition schedule. (GRS 20, 11(a))

Supersedes NC1-433-85-1 Item 7. Timeframes have been changed, according to OPM/DOL guidelines.

6. CIVIL/CRIMINAL INVESTIGATIONS SYSTEM. (Electronic System - DOL/MSHA-20)

The Coal and Metal/Nonmetal Mine Safety and Health Administrations direct special investigations of alleged violations of health and safety standards. This series consists of investigation case files pertaining to individuals who allegedly knowing/willful violations; have information about knowing/willful violations; and individuals who have been civilly assessed a monetary penalty for violations of the 1977 Mine Act or 1969 Coal Act.

DISPOSITION:

Input. Health-Related Complaint Files, which includes name, address, telephone number, social security number, occupation, place of employment, and other identifying data along with allegation information of miners, mine operators, and other individuals. Temporary. Retain in district office for 3 years. Transfer to FRC after 4 years. Destroy when 27 years old.

Non-Health-Related Complaint Files, sam as above. Temporary. Retain in district office for 3 years. Transfer to FRC after 4 years. Destroy when 15 years old.

7. NATIONAL MINE HEALTH AND SAFETY ACADEMY CARDS SYSTEM.

(Electronic System - DOL/MSHA-22)

Records contain grades on Mine Safety and Health inspectors to ensure that proper training is received as required under the Federal Mine Safety and Health Act of 1977, Public Law 91-173, as amended by Public Law 95-164, Sec. 502 c.(1), (2), and (3). Records are used by students and supervisors to track training and grades.

DISPOSITION:

Input. **Student Grade Sheets.** Temporary. Retain for 3 years. Destroy when 3 years old.

Output. **Academy Record Card.** Temporary. Records reflecting courses and grades received. Retain for 30 years; then destroy.

8. EDUCATIONAL FIELD SERVICES (EFS) ACTIVITY REPORTING SYSTEM.

(Electronic System - DOL/MSHA-23)

This system is maintained by the Directorate of Educational Policy and Development. The system contains information on training activities conducted by EFS Training Specialists; i.e., workload and scheduling, time spent, individuals contacted, etc.

Information is used by management to assist in planning scheduling, budgeting, and training for EFS Training Specialists, assessing training needs of MSHA and industry personnel, and monitoring activities of Training Specialists.

DISPOSITION:

Input. Temporary. Information on mine ID's visited; number of personnel contacted; activities conducted; time spent on activities; name; AR/RE Authorized Representative number (AR) or Right of entry number (RE) number; organization code; and information on time utilization for Training Specialists. Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or

other operational purposes. (GRS 20, 2(a))

Output. **Reports (paper).** Temporary. Delete when data have been entered into the master file or database and verified, or when no longer required. (GRS 20, 2(c))

Active Database. Temporary. A web-based intranet system. Retain data on an SQL Server for 3 years. Transfer annually, by fiscal year, to a historical data base.

Historical Database. PERMANENT. Retain annual system copies in a secure climactically controlled environment. Retire data to NARA when 50 years old.

System Documentation. Temporary. Data systems specifications, file specifications, codebooks, record layouts user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule. Retain data for 20 years. Delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. (GRS 20, 11(a))

9. **RADON DAUGHTER EXPOSURE RECORDS SYSTEMS.** (Electronic Systems - DOL/MSHA-24)

Records cover individuals on whom metal and nonmetal mine operators were required to calculate and record radon daughter (radon decay products) exposure in the previous calendar year. Information is provided on MSHA Form 4009.

DISPOSITION:

Input. Temporary. Mine I.D. number, mine name, section, township, range, county, and state of mine location, operator, and time period, individual's name, social security number, current year's radon daughter exposure and cumulative radon daughter exposure in working level months (WLM). Temporary. Retain records until 10 years after known death of individual or until individual would have turned 75 years old. Destroy by shredding.

Output. Temporary. Form 4009. Electronic print out of form. Temporary. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 1(a))

10. FACILITIES AND PROPERTY INVENTORY REPORT SYSTEM.

This is an E-Property 2.0 Web based application established in 2009. E-Property 2.0 resides on a DOL server and allows multiple users. The purpose is to provide program areas with information to track the acquisition, accountability, and disposition of property (real and other) for which they are responsible. Records contain data regarding the acquisition, location, and disposition of property.

The System maintains and reports on an inventory of equipment, land, and buildings for all cost centers within MSHA. A range of reports are produced on an as-needed basis by the client users. Adding, changing, or transferring can be done by the client users in the field. Deleting property data is restricted to FPMB personnel. Any data needed by field offices can be obtained through queries and/or running selected reports.

DISPOSITION:

Input. Temporary. Accountable property source data is provided by agency program offices personnel called accountable property officers (APO) officers using source documents (SF 122, DL 1-55, DL 440, DL 1-2094 and DL-2095. The completed documents are by the APOs source documents. Delete after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later (GRS 20, 2(a))

Output. Temporary. Program offices' APOs' perform property queries on the EPMS to retrieve property data needed for survey boards, property transfers and property disposal. MPMS data is used to complete the annual capital assets inventory. EPMS data is also used to assist with property identification, physical location, accountability and valuation for conducting Board of Surveys. Delete when data have been entered into the master file or database and verified, or when

no longer required. (GRS 20, 2(c))

Electronic System Database.

Active Database. Temporary. Retain all records for a property item on the active database until the item is retired. Transfer record to the history database.

History Database. Temporary: Retain for 10 years or until no longer needed for administrative purposes, whichever is later.

System Documentation. Temporary. Data systems specification, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for temporary use by a NARA-approved disposition schedule. Destroy/delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. (GRS 20, 11(a))

11. MSHA IMAGING MANAGEMENT SYSTEM (MIMS) (Electronic System).

The Approval & Certification Center (A&CC) is one of two Technical Support Centers for MSHA. The A&CC approves and certifies certain mining products for use in underground coal and gassy underground metal and non-metal mines. The Center also performs other technical functions in support of MSHA's programs, including investigations of safety and health concerns relating to product approvals, litigation assistance on issues involving approved products, and accident investigation assistance.

MIMS is an electronic document management system designed to enhance the document access and control processes required to manage the records associated with the A&CC's approval and certification process and other technical functions.

MSHA realizes that long-term archival storage on electronic media that is referenced infrequently and is a difficult issue. However, the MIMS system is not so much an archive as it is a system intended to provide immediate online access to documentation needed to complete product evaluations, conduct product audits, and assist inspectors calling in from the field. Sometimes the information required may be decades old because of the extraordinarily long

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lifecycles of the mining equipment involved (e.g., loaders, shuttle cars, scoops, load haul dumps, and many others).

In most cases, the output consists of screen displays. However, documents can be printed or exported if needed. No reports are generated from this system.

DISPOSITION:

Input. Temporary. Records from the approval and certification process, such as final approval acceptance letters, test results, reports, equipment drawings, fee invoices, and related material. Accident investigation records, including items such as investigative reports, field notes, chain of custody documents, and photographs. Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 2(a))

Output. Temporary. Documents that are scanned or imported and written to WORM optical platters, with associated database entries made to track and organize the images for later retrieval. Retain data for 25 years or until the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, 2(c))

System Documentation. Temporary. Retain user and administrative documentation as long as the system is in use. Replace outdated versions as software/hardware is upgraded. This is a Commercial Off-the-Shelf (COTS) system, so internal documentation would be available only through the support vendor. Destroy/delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. (GRS 20, 11(a))

Supersedes NC1-433-81-1, Items 15, 16, 17, and 18.

12. LABORATORY INFORMATION MANAGEMENT SYSTEM (LIMS) (Electronic SYSTEM) System provides a computerized database for storing and managing information associated with the laboratory, such as sample matrix, tests, results, methods, parameters, control limits, etc.

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The system provides a database for sample log-in, data entry, data reduction, data approval and validation, and report generation. A dedicated server is located in a secure, climate-controlled environment with backups performed on a regular schedule.

DISPOSITION:

Inputs. Temporary. Paper inputs, i.e., data cards, analytical request forms consisting of sample information and sampling parameters. Transfer to FRC when 5 years old; destroy 25 years thereafter. (GRS 20, 2(a))

Active Database: Sample records with sample information, parameters, and results. Retain data on active database for 3 years. Then archive onto a recordable CD ROM or DAT tape; destroy 30 years thereafter. (GRS 20, 7)

Outputs. Temporary. Electronic export files. Retain data on LAN for 1 year. Then archive onto a recordable CDROM; destroy 25 years thereafter. (GRS 20, 7)

System Documentation. Temporary. Functional Reference Guide, vendor's e-mail or word processing forms. Retain until system is replaced. Transfer to FRC with archived data and retain for life of data; then destroy thereafter. (GRS 11(a))

13. **MSHA STANDARD INFORMATION SYSTEM (MSIS) (Electronic System)**

Assessment Case Files: Files are arranged by a case number assigned by the office assessing penalties for violations of the Mine Act. File contains the proposed assessment and may contain copies of notices of violations issued to mine operators, abatements, termination notices, mine operator's contests, petitions for adjudication, payment installment plans, bankruptcy case files, Treasury cross-servicing files, Treasury offset files, Department of Justice referrals, financial adjustment files, correspondence, and related material. This material is needed as background and is treated as part of the case file with respect to retention.

DISPOSITION:

Inputs. Temporary. (Penalty Assessments) Violations cited by CMS&H and MNMS&H are electronically transferred from the Coal MIS and Metal Nonmetal MIS to MSIS to be assessed. Once transferred violations are available for assessment and processing of one or more assessed violations into cases. Once the cases are created, they are available for printing and subsequent distribution to violators. Violations marked for special assessment from the Coal MIS and Metal MIS require special review by the Penalty Assessments Mine Safety and Health Specialist. Once assessed, they also are available for including in cases. Transfer to FRC when case is closed. Destroy 10 years after case is closed.

b. (Qualification and Certification) Temporary. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes and not previously scheduled for temporary retention in a NARA-approved agency records schedule. Retain for 1 year. Delete/destroy when the agency determines they are no longer needed for operational purposes. (GRS 20, 2(a))

Source Documents: MSHA Forms 5000-1, 5000-41, 5000-13, and 5000-17. Data from all electronic forms are stored in an Oracle database. Collection of data and display of data (for printing purposes) from the XML document is accomplished through a custom user interface (UI) developed using Microsoft .Net technology. GRS 20, 2(b)

Output. Temporary. a. (Penalty Assessments) Recurring reports indicate the correct ownership of a mine, number and types of previous violations, payment record of a mine operator/contractor, all other mines operated by controller, all mines where a contractor has worked, complete compliance record of mine operator/ contractor. Most of the reports can be requested and printed on the same day. Destroy five years from date that output was produced or when no longer needed for operational purposes.

b. (Qualification and Certification) Qualification and Certification recurring reports indicated the

audit trail of processed training, qualification, and certifications. Numerous qualification and certifications issued, and history of miners training and instructor's qualification and certifications. Most reports can be requested and printed on the same way for any date range or any individual.

Electronic copy:

- a. Currently all data is retained in the production database for MSIS. Backup procedures for the database specify that:
 - i. Annual backup on LTO-1 tape retained for 7 yrs
 - ii. Monthly backup on LTO-1 tape retained for 3 yrs.
 - iii. Weekly backup on LTO-1 tape retained for 2 wks
- b. (Qualification and Certification) Documents transferred to microfiche and retained for all transaction of the Qualification and Certification system prior to 9/2003. Documents entered electronically since 9/2003 have been printed and retained on file. The schedule has not been established for disposition of these paper forms to date.

Database. Contains mine data, operator and controller data, contractor data, and history of assessed violations (including current and previous violation history), miner data, miner certifications and qualification data, instructor data, and instructor qualification data. Also includes historical data transferred from MIS legacy systems for Penalty Assessments and Qualification and Certification systems. First deployment of the database was 11/2001 and contains all audit records for every transactions performed against the database. Other than the required backups, data has not yet been archived.

System Documentation. Temporary. Data Dictionary, Source Code, User Guides, design documents and other documentation. Delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. (GRS 20, 11(a))