

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		N1-433-12-05	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA) WASHINGTON, DC 20408		DATE RECEIVED 7/30/12	
1. FROM (Agency or establishment) U.S. Department of Labor		<b>NOTIFICATION TO AGENCY</b>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 TELEPHONE 202-693-9823	DATE WITHDRAWN	ARCHIVIST OF THE UNITED STATES WITHDRAWN
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>11</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"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 7/26/2012	SIGNATURE OF AGENCY REPRESENTATIVE William Keisler <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7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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): Coal Mine Safety and Health records.  See Attached.		

REQUEST FOR RECORDS DISPOSITION  
AUTHORITY - CONTINUATION

Page 1 of 10

CONTENTS:

1. Coal Mine Inspection Reports
2. Nonfatal Accident Files - Coal Mines
3. Fatal Accident Investigation and Final Report Files
4. Petitions for Modification of Safety Standards - Coal Mines
5. Coal Mine Refuse Piles and Impoundments
6. Final Mine Maps and Plans of Mines and Industrial Installations - Coal Mines
7. Ventilation, Ground Control, Roof Control Plans, Current Maps of Mines and Industrial Installations - Coal Mines
8. Mine Atmosphere Sample Record (MSHA Form 2000-43) - Coal Mines
9. Dust Sampling Lab Report (MSHA Form 2000-156) - Coal Mines
10. Operator Respirable Dust Sampling Program - Coal Mines
11. Bath House Waivers - Coal Mines
12. Special Investigations - Coal Mines
13. Part 48 Training Plans - Coal Mines
14. Special Studies Survey Report Files

REQUEST FOR RECORDS DISPOSITION  
AUTHORITY - CONTINUATION

1. COAL MINE INSPECTION REPORTS. MSHA is required to inspect all mines and other areas relating to the mining and mineral industry. Reports of these inspections are made available for public review. Reports include citations, orders, withdrawal orders, recommendations of remedial action, and other related material describing conditions in the mine such as results of samples taken by inspectors, computer generated advisory messages including notices of compliance, noncompliance, and void samples, and indicating whether there has or has not been compliance with health and safety legislation. Some reports include form letters written to the mining company informing them of citations, terminations, and modifications resulting from the inspection and also the accident frequency rate of that mine compared to the accident frequency rate of the entire industry.

Break files annually by calendar year.

DISPOSITION:

A. Annual Representative Sampling. Each district office will select a typical (original) inspection report from each category listed below. Place the sample in a folder labeled with the identification number, name of the mine, company name, location, date of the report, inspector's name, and the number of employees.

1. Underground Mines Employing
  - a. 0 - 99 employees
  - b. 100 - 149 employees
  - c. 150+ employees
2. Surface Mines Employing
  - a. 0 - 99 employees
  - b. 100 - 149 employees
  - c. 150+ employees

PERMANENT. Submit to Records Management Branch (RMB) when 3 years old. RMB will retire to FRC. FRC will transfer to NARA in 10-year blocks (end of calendar year) (i.e., 1973-82 to be retired in 1992).

B. Remaining Coal Mine Inspection Reports: Temporary. Retire to FRC 3 years after break. Destroy when 10 years old.

**Supersedes portion of NC1-433-81-1, Item 6, that relates to coal mine inspection reports.**

**2. NONFATAL ACCIDENTS INVESTIGATION AND FINAL REPORT FILES - COAL MINES.**

- A. Nonfatal accidents investigation files. Arranged by date of accident. File contains inspector's narrative report of accident (original signed formal report), correspondence, and related materials. Ongoing investigations can continue into the next fiscal year and remain in the open files until the investigation is completed.

DISPOSITION:

Temporary. Retire to FRC 3 years at the end of each fiscal year. Destroy 10 years after break.

**Supersedes portion of NCI-433-85-1, Item 1 that relates to coal mine accidents.**

- 3. Fatal Accident Investigation and Final Report Files** (Arranged by date of accident). These files contain reports and background information relating to investigation of fatal mine accidents, including statements of accident causes, correspondence, and descriptions of remedial actions and MSHA involvement. MSHA districts investigate incidents resulting in single coal mine fatalities; records of multiple fatality coal accidents are returned to the District after the investigation and litigation is completed.

The MSHA unit is responsible for investigating an accident and maintains the primary body of records relating to the investigation until the investigation is completed. The record copy of the final report is included in the case file.

DISPOSITION:

PERMANENT. The District office will retain the closed files for 3 years after investigation and any related litigation has been completed. Retire to FRC 3 years after investigation is completed. Transfer to NARA 20 years after close.

**Supersedes NCI-433-98-1, Item 1.**

**4. PETITIONS FOR MODIFICATION OF SAFETY STANDARDS - COAL MINES.**

(Previously called Variance Files.) These files are applications of mandatory safety and health standards for mines. They each consist of petition, correspondence, Federal Register Notice, and decisions. The Original file is retained at the Headquarters Office in Arlington, Virginia for one year.

DISPOSITION:

Temporary. Retire to FRC when 1 year old. Destroy when 7 years old.

Supersedes portion of NC1-433-81-1, Item 22, which relates to coal mines.

**5. COAL MINE REFUSE PILES AND IMPOUNDMENTS.** These files are the official copies of inspection records, correspondence, and approved plans. The plans are often valid for extensive time periods. Correspondence and inspection history must be retained for use as testimony in the event of an impoundment or refuse pile failure.

DISPOSITION:

- A. Approved plan. Temporary. Cut-off when superseded by new plan. Retire to FRC 3 years after cut-off. Destroy 9 years after cut-off.
- B. Correspondence: Temporary. Retire to FRC after 3 year cut-off (end of calendar year). Destroy 9 years after cut-off.
- C. Approved site inspection files. Temporary. Cut-off file when inspection is completed. Retire to FRC 3 years after inspection completion. Destroy 9 years thereafter.

Supersedes NC1-433-85-1, Item 8.

**6. FINAL MINE MAPS AND PLANS OF MINES AND INDUSTRIAL INSTALLATIONS  
- COAL MINES.**

Maps of permanently closed or abandoned mines are submitted by the district office where they are sent to the Office of Surface Mining Reclamation and Enforcement (OSM) which maintains two mine map repositories, one in Green Tree, Pennsylvania, which collects and maintains mine map information and images for all types of mining for the entire country, and one in Wilkes-Barre, Pennsylvania, which maintains maps specific to the coal fields in the anthracite coal region of northeastern Pennsylvania. The National Mine Map Repository is part of the Technology Services Branch of the Technical Support Division in the Appalachian Regional Office of OSM. Some of the customers of the NMMR include; government entities, realtors, land developers, mining companies and homeowners. Many of the maps in the repository are currently available in digital format and the repository is in the process of scanning all the maps in the collection. physical maps are returned to the owner. Microfilm is retained by OSM.

**DISPOSITION:**

PERMANENT. Retire to FRC in annual blocks of 5 years after mine is closed. Transfer to NARA 15 years after mine is closed.

**1. Mine Map Repository records.** Arranged numerically.

The Mine Map Repository serves as a mine map data archives and also as a basic reference center. Maps are of both underground and surface mines, however there are more maps of abandoned underground mines. The maps were obtained by the Bureau of Mines from mining engineers, geologists, mining companies, consultants, and Federal and state agencies. After the Bureau microfilmed the maps, original maps were returned to the contributors.

**a. Paper maps.**

DISPOSITION: Microfilm in accordance with instructions contained in 36 CFR 1230. Return original maps to the contributor. If the records cannot be returned to the originator, offer to the National Archives when no longer needed for reference.

**b. Microfilmed mine maps (roll film).**

DISPOSITION: PERMANENT. Transfer immediately to the National Archives the original master negative copy and one positive reference copy of microfilm.

Volume: Approx. 35 linear feet. Annual  
Accumulation: none

c. Microfilmed mine maps (aperture cards)

DISPOSITION: PERMANENT.

- (1) Current volume: Transfer immediately to the National Archives the original master negative copy and one positive reference copy of the aperture cards.
- (2) Annual Accretions: At the end of each calendar year, transfer to the National Archives the original master negative copy and one positive reference copy of the aperture cards.

Volume: Approx. 60 cubic feet

Annual Accumulation: Approx. one cubic foot

2. **Computerized Index to Microfilm Maps.**

Electronic index system used to access maps contained on microfilm rolls or aperture cards in Item 1. Compatible with PCs using either DBase 111+ or DBase IV. Index is arranged by state, thereunder by county and quadrangle.

DISPOSITION:

PERMANENT. Transfer a copy of the electronic index in accordance with the provisions found in 36 CFR 1228 to the National Archives when microfilm maps listed in Items 1b and 1c(1) and 1c(2) are transferred to the National Archives.

3. **Data Entry Sheets.**

Information is extracted from the maps and written on these forms, and periodically entered into the Computerized Index.

DISPOSITION: Destroy after entry into the Computerized Index system, or when one year old, whichever is sooner.

4. **Documentation of Computerized Index System.**

Code books, file layouts, instruction manuals, and other related records and information relating to the operation of the Computerized Index System listed in Item 2.

DISPOSITION: PERMANENT. Transfer to the National Archives with the Computerized Index in Item 2.

**Supersedes NC1-433-85-1, Item 3.**

7. **VENTILATION, GROUND CONTROL, ROOF CONTROL PLANS, CURRENT MAPS OF**

REQUEST FOR RECORDS DISPOSITION  
AUTHORITY - CONTINUATION

Page 7 of 10

MINES AND INDUSTRIAL INSTALLATIONS - COAL MINES. Reports submitted periodically by mine operators explaining, for example, proposed systems for mine ventilation and roof supports. Prints (maps) showing, for example, working and elevations of mines, access routes, and ventilation systems in mines and industrial installations.

DISPOSITION:

Temporary. Destroy 3 years after being superseded by a subsequent plan.

Supersedes portion of NC1-433-81-1, Item 30, which relates to coal mines and Supersedes NC1-433-77-1, Item 13.

8. MINE ATMOSPHERE SAMPLE RECORD (MSHA Form 2000-43) - COAL MINES.

Analytical results of gas samples collected in coal mines. Original copies of mine atmosphere record cards submitted by inspection personnel for gas samples collected during routine and special investigations. Information is used to ensure safe and healthy working environments, status of mine fires, etc. Break files annually.

DISPOSITION:

REQUEST FOR RECORDS DISPOSITION  
AUTHORITY - CONTINUATION

Page 8 of 10

Temporary. Cut-off files at end of the calendar year. Retire to FRC when 3 years old. Destroy after 10 years.

**Supersedes portion of NC1-433-81-1, Item 24, which relates to coal mines.**

**9. DUST SAMPLING LAB REPORT (MSHA Form 2000-156) - COAL MINES.**

Analytical results of coal mine dust samples for incombustible content. Original copy of dust sampling report cards submitted by inspection personnel for dust samples collected during routine and special investigations. Information used by district offices to determine compliance or non-compliance with Federal standards and range or extent of ignition or explosion. Break files annually.

Temporary. Retire to FRC 3 years after break. Destroy after 10 years.

**Supersedes NC1-433-81-1, Item 25.**

**10. OPERATOR/MSHA RESPIRABLE DUST SAMPLING PROGRAM-COAL MINES.**

Operators of coal mines are required to transmit samples to MSHA by completing the dust data cards. These cards accompany each operator-collected dust sample, which serves to properly identify the sampled entity and to provide adequate data for computing the dust levels which are reported back to the mine operator by way of computer-generated data mailers. These data mailers, which contain specific information obtained from the dust data card, communicate the disposition of each sample. Failure to properly complete the dust data card will cause the sample to be voided. MSHA dust data cards perform the same function as the operators dust data card.

**DISPOSITION:**

After the processing of dust samples, dust data cards are transferred to Mt. Hope, WV, District 4 and retained for two years.

Temporary. Retire to the FRC when 2 years old. Destroy after 10 years.

**Supersedes NC1-433-85-1, Item 11.**

REQUEST FOR RECORDS DISPOSITION  
AUTHORITY - CONTINUATION

Page 9 of 10

11. BATH HOUSE WAIVERS - COAL MINES. Retained in field office for reference by inspection personnel. Waivers for surface mines are renewed annually. Waivers for underground mines are valid until revoked.

DISPOSITION:

Temporary. Destroy when renewed or revoked. (NARA needs a time frame)

Supersedes NC1-433-81-1, Item 42.

12. SPECIAL INVESTIGATIONS. Coal Mine Safety and Health Administrations are tasked with directing special investigations that pertain to alleged violations of health and safety standards and discrimination complaints against individuals who report alleged violations. This series consists of investigation case files that pertain to individuals alleged to have committed knowing and willful violations or have information about knowing willful violations, and/or information of alleged discrimination against persons having filed or made a complaint of an alleged danger, safety, or health violation.

DISPOSITION:

Temporary. Retain in District Office for 3 years after investigation case is closed. Retire to FRC and destroy after 15 years.

Supersedes NC1-433-94-2, Item 1.

13. PART 48 TRAINING PLANS - COAL MINES. Mines covered by 30 CFR 48 must have a training plan that describes how miners will be trained. Plans consist of programs for New Miner, Experienced Miner, New Task, Annual Refresher and Hazard Training. Plans are submitted to and approved by MSHA in the geographical area for which the mine is located (the Coal or Metal/Nonmetal District Office). Once a plan is approved and implemented, it may remain in effect until that mine is closed. If certain modifications are needed, revisions must be submitted to MSHA for approval. Included with the plan is correspondence such as cover letters from mine operators,

REQUEST FOR RECORDS DISPOSITION  
AUTHORITY - CONTINUATION

approval letters from district managers, etc. The current approved plan with any revisions and related correspondence is placed in the "Mine File" in the district office.

Since March 2000, plans may be developed "online" and transmitted via Internet. The electronic file is printed and processed as a paper file.

DISPOSITION:

- A. Record Copy (Paper): Permanent. Retain initial training plans in the district field offices until mine closes. Transfer to NARA 1 year after mine closes. Destroy 30 years thereafter.
- B. Internet copy: Permanent. Mine Operators can develop training plans "online" and transmit via Internet in place of developing them on paper. Transfer electronic copy of plan (magnetic tape or disk) to NARA 1 year after mine closes. Destroy 30 years thereafter. The completed plan is printed and submitted to a MSHA District Manager for approval. Retain approved training plans in the district field offices until mine closes.
- C. Convenience Copies: Temporary. Retained by inspector, training specialist, or system designer for 3 years. Destroy when no longer needed for administrative purposes.

Supersedes NC1-433-03-01, Item 1, 2, or 3.

14. Special Studies Survey Report Files. (Arranged alphabetically by mine/number). Special studies requested of a mine operator, health and safety inspector, or another agency on some specific problem within a mine, or relating to mine operations. Files contain final reports, field notes, correspondence, draft reports, and related material.

DISPOSITION:

PERMANENT. Retire to FRC in annual blocks of 5 years. Transfer to NARA when 15 years old.

Supersedes NC1-433-85-1, Item 4