

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-433-85-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 5/19/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All approved schedule items are active except the ones listed below

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 2a, 2b, 2c, and 2d are superseded by N1-433-98-001

Item 6A1 is superseded by DAA-0433-2015-0004-0011

Item 6B is superseded by DAA-0433-2015-0004-0012

Item 6C1 is superseded by DAA-0433-2015-0004-0013 and DAA-0433-2015-0004-0014

Item 6D is superseded by DAA-0433-2015-0004-0015

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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NCI-433-85-1

**TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED

9-12-85

1 FROM (Agency or establishment)

U.S. Department of Labor

2 MAJOR SUBDIVISION

Mine Safety and Health Administration

3 MINOR SUBDIVISION

Records Management Branch

4 NAME OF PERSON WITH WHOM TO CONFER

Richard B. Baker, Chief, Records Mgmt. Branch

5 TELEPHONE EXT

235-1470

DATE

3-6-87

ARCHIVIST OF THE UNITED STATES

Frank S. Burke

NOTIFICATION TO AGENCY
In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 8 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B. DATE

6/5/85

C. SIGNATURE OF AGENCY REPRESENTATIVE

[Signature]

D. TITLE

DEPT. RECORDS OFFICER

7
ITEM
NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 GRS OR
SUPERSEDED
JOB
CITATION

10 ACTION
TAKEN
(NARS USE
ONLY)

This record schedule includes disposal requests approved for records retired to the FARC under the Bureau of Mines, Job No. 174-158, dated Aug. 27, 1974; MESA Job No. NCI-433-77-1 approved March 7, 1977 and MSHA Job No. NCI-433-81-1 approved November 10, 1981. The following gives a brief description of our organization from 1910 to the present time.

The Bureau of Mines was established July 1, 1910. In 1925 the Bureau was transferred to the Dept. of Commerce from the Dept. of Interior. In 1935 under the President's reorganization powers the Bureau as returned to the Dept. of Interior. A comprehensive reorganization was effected in 1950, resulting in the decentralization of field offices and shifting a considerable amount of work from the headquarters office to field offices. This situation prevailed until 1973 when the major bureaus were reorganized by authority of Executive Order 2953. Under this reorganization the Mining Enforcement and Safety Administration (MESA) was created. MESA's charter was the administration of the Federal Coal Mine Health and Safety Act and the Federal Metal and Non-Metallic Mine Act.

All changes to this proposed schedule have been approved by:

[Signature]
R. B. Baker
Agency representative

[Signature]
NARA appraiser
2-17-87

3/10/87 DOL,
NCF, NNF, NNS, NNI, NNA

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Under the Federal Mine Safety and Health Act of 1977, Public Law 91-173, as amended by (Public Law 95-164) MESA became MSHA and was transferred from Interior to the Dept. of Labor. MSHA's responsibility under the Act is to establish interim mandatory health and safety standards and to direct the Secretary of Health Education Welfare and the Secretary of Labor to develop and promulgate improved mandatory health and safety standards to protect the health and safety of the Nation's coal or other miners; to require that each operator of coal or other and every miner in such mine comply with such standards; to cooperate with and provide assistance to, the States in the development and enforcement of effective State coal or other mine health and safety programs; and to improve and expand, in cooperation with the States and the coal or other mining industry, research industry, research and development and training programs aimed at preventing coal or other mine accidents and occupationally caused diseases in the industry.

Microfilming of all records shall be in accordance with and in conformance to standards described in FPMR 101-11.5 and subpart thereunder.

The items submitted for approval under this job number were either disapproved under job number NCI-433-81-1 or have been substantially amended, and therefore are re-submitted for approval.

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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	OF 10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	CONTENTS		
1.	MSHA Accident Report Files		
2.	Fatal Accident Investigation and Final Report Files		
3.	Final Maps and Plans of Mines and Industrial Installations		
4.	Special Studies Survey Report Files		
5.	Registry of Mine Numbers		
6.	Educational Training Product Master Files (Item A, B, C & D)		
7.	Employee Conduct Investigations		
8.	Refuse Piles and Impoundments		
9.	Mine Operator Accident, Injury, Illness, Employment, and Production Report		
10.	Metal and Nonmetal Mine Safety and Health Management Information System		
11.	Operator Respirable Dust Sampling Program		

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1.	<p><u>MSHA ACCIDENT REPORT FILE.</u> (Arranged chronologically by I.D. number in company files and by date order in subject files). Inspector's narrative report of accidents caused by, for example, explosions ignitions, or fires. Contains the original signed formal reports, correspondence, and related materials. MSHA determines the need for some of these investigations of accidents from information in the Mine Operator's Accident, Injury, and Illness Reports.</p> <p>The total volume of records accumulated to date is <u>estimated</u> to be 54 cubic feet. The expected annual accumulation is 16 cubic feet.</p> <p>PERMANENT. Close file after investigation is completed. Break closed file annually. Transfer closed files to FARC 3 years after break. Destroy files 10 years after closing.</p>	NCI-433-77-1 Item 8	
2.	<p>FATAL ACCIDENT INVESTIGATION AND FINAL REPORT FILES. (Arranged chronologically by identification number and date order.) Files contain information and background investigation materials pertaining to the cause and result of accidents in mines which resulted in death. The files contain, but are not limited to, things such as: statement of causes of the accident, correspondence and related records, investigation and other reports, remedial actions, and description of MSHA's involvement. Multiple fatalities (two or more fatalities) in coal mines are investigated by Coal Mine Safety and Health headquarters personnel and all official record material is filed in headquarters and subsequently submitted to the Suitland FARC. Single fatalities are investigated by the respective district office in which the accident occurs. Subsequent files are submitted to the regional FARC's. In the Metal and Nonmetal program all fatality investigation activity is conducted by the respective district in which the accident occurs and all record material is stored in the districts or the regional FARC's.</p> <p>PERMANENT. Close file after investigation is completed. Break closed file annually. Transfer closed files to FARC 3 years after the break. Offer to National Archives in 10 year blocks when the most recent case is 10 years old.</p>	NCI-433-77-1 Items 9 and 10	

See next page

2. FATAL ACCIDENT INVESTIGATION AND FINAL REPORT FILES.

(Arranged by date of accident). 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. The MSHA districts investigate incidents resulting in single coal mine fatalities; MSHA headquarters investigate multiple fatality coal mine accidents. All metal and nonmetal mine deaths are investigated by the districts. The MSHA unit responsible for investigating an accident maintains the primary body of records relating to the investigation.

- 2a. Single fatality coal mine accident files. Records pertaining to investigations conducted by MSHA district offices. The total volume of records accumulated to date is estimated to be 50 cubic feet. The expected annual accumulation is 5 cubic feet.
- 2b. Multiple fatality coal mine accident files. Records associated with investigations conducted by MSHA headquarters. The total volume of records accumulated to date is estimated to be 80 cubic feet. The expected annual accumulation is 10 cubic feet.
- 2c. Fatal metal and nonmetal mine accident files. Records produced by investigations conducted by MSHA regional offices. The total volume of records accumulated to date is estimated to be 50 cubic feet. The expected annual accumulation is 5 cubic feet.
- 2d. Fatal accident final reports. Central headquarters file of reports generated from all fatal accident investigations. The total volume of records accumulated to date is estimated to be 10 cubic feet. The expected annual accumulation is 2 cubic feet.

PERMANENT. Close file after investigation is completed. Break closed file annually. Transfer closed files to FARC 3 years after break. Offer to National Archives in 10 year blocks when the most recent case is 10 years old.

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	B. Microfilm (Permanent) retain in agency for 50 years after last mine on roll of microfilm is closed, than offer to NARA. The records will be microfilmed in accordance with the standards set forth in 30 CFR Part 1230.10.		
3.	<p><u>FINAL MAPS AND PLANS OF MINES AND INDUSTRIAL INSTALLATIONS.</u> (Arranged alphabetically by mine or company name). Original maps of permanently closed or abandoned mines are submitted from the district offices to the Bureau of Mines Field Operation Center (Mine Map Repository) Pittsburgh, Pennsylvania, on a loan for microfilming and the maps are then returned to the respective district offices. Microfilm is retained by the Bureau of Mines.</p> <p>Total volume on hand is estimated to be 54 cubic feet. The expected annual accumulation is estimated to be 18 cubic feet.</p> <p><u>PERMANENT.</u> Transfer to FARC in annual blocks 5 years after mine is closed. Offer to NARA 15 years after mine is closed in 10 year blocks when the most recent map is 10 years old.</p>	NCI-433 81-1 Item 7 (Admended Retention)	
4.	<p><u>SPECIAL STUDIES SURVEY REPORT FILES.</u> (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.</p> <p>The total volume of records accumulated to date is estimated to be 36 cubic feet. The expected annual accumulation is 3 cubic feet.</p> <p><u>PERMANENT.</u> Transfer completed reports and documentation to FARC when 1 year old. Offer to NARA when 15 years old.</p>	old. NCI- 433-77-1 Item 16A NCI-433- 81-1 Item 8B	
5.	 <p><u>REGISTRY OF MINE NUMBERS.</u> (Arranged by mine identification number/mine name.) MSHA, Health and Safety Analysis Center Division of Mining Information Systems, assigns identification numbers to mines. Mine numbers are then put on microfilm. Identification numbers are permanently assigned. Mines that go from active to inactive retain the same identification numbers.</p> <p>The total volume of records accumulated to date is estimated to be 300 feet of 16 mm film. The expected annual accumulation is 10 feet of 16 mm film.</p> 	NCI- 433-77-1 Item 24B and NCI-433- 81-1 Item 9A	

6. EDUCATIONAL AND TRAINING PRODUCT MASTER FILES. The National Mine Health and Safety Academy, as authorized by sec. 502 of the Federal Mine Safety and Health Act of 1977, 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.

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A. Motion Pictures and Video Recordings (arranged by format and alphabetically thereunder by title).

1. Motion picture films: 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. Volume: approximately 66 titles (1560 12" 16mm reels). Annual accumulation: none.
2. Video recordings: the earliest generation available for each original video production, plus an additional copy. Volume: approximately 300 3/4" cassettes. Annual accumulation: 4 3/4" cassettes.

PERMANENT. Offer to NARA when 10 years old or when no longer needed for administrative use, whichever is sooner.

B. Photographic Material (arranged by format and thereunder by sequence within individual products).

1. Photographs: the original negative and a captioned print for each black and white photograph, and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color photograph. Volume: approximately 500 negatives. Annual accumulation: none.

PERMANENT. Offer to NARA when 5 years old or when no longer needed for administrative use, whenever is sooner.

6C. Slide-Tape Shows (arranged by product title).

1. Slides: the earliest generation available for all slides in each product, plus an additional copy. Volume: approximately 4,000 35mm slides comprising 31 products. Annual accumulation: 1,000 35mm slides comprising 10-12 products.
2. Audio recordings: the earliest generation available for each magnetic audio tape recording, plus an additional copy. Volume: approximately 120 cassette tapes comprising 31 products. Annual accumulation: 40 cassette tapes comprising 10-12 products.

Permanent. Offer to NARA when 5 years old or when no longer needed for administrative use, whichever is sooner.

D. Publications (arranged by product category and alphabetically thereunder by title).

1. Record set of publications. One copy of each publication.

PERMANENT. Break file annually. Offer to NARA in 10 year blocks when the most recent record is 10 years old (i.e., 1986-1995 to be offered in 2006). Volume: 14 cu. ft. Annual accumulation: 1 cu. ft.

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	<p>C. <u>Slide Tape Shows.</u> (Arranged by product title).</p> <p>1. <u>Slide:</u> The earliest generation available for all slides in each product, plus an additional copy. Volume: approximately 120 cassette tapes comprising 31 products. Annual accumulation: 40 cassette tapes comprising 10-12 products.</p> <p>2. <u>Audio Recordings:</u> The earliest generation available for each magnetic audio tape recording, plus an additional copy. Volume: approximately 120 cassette tapes comprising 31 tapes comprising 10-12 products.</p> <p>D. <u>Publications.</u> (Arranged by product category and alphabetically thereunder by title).</p> <p>1. <u>Records set of publications.</u> One copy of each publication.</p> <p>PERMANENT. Break file annually. Offer to NARA in 10 year blocks (i.e., 1986-1995 to be offered in 2005). Volume: 14 cu. ft. Annual accumulation: 1 cu. ft.</p>		
7.	<p><u>EMPLOYEE CONDUCT INVESTIGATIONS.</u> Contains information on any MSHA employee against whom an allegation of misconduct, illegal acts, or conflict of interest has been made. The elements include the name, organization, allegation, and the other pertinent information relating to the individual involved. It also contains the investigative report associated with the case.</p> <p>A. Completed investigations are disposed of after 20 years.</p> <p>B. Cases not subject to full investigations are disposed of after 10 years.</p>	NCI-433-81-1 Item 13	
8.	<p><u>REFUSE PILES AND IMPOUNDMENTS.</u> Official file 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.</p> <p>A. Approved plans: cut-off when superseded or obsolete. Transfer to FARC 3 years after cut-off. Destroy 9 years after cut-off.</p> <p>B. Correspondence to be retained until the sites are abandoned.</p>	NCI-433-81-1 Item 20	

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C. Approved site inspection files: close file when inspection completed. Transfer files to FARC 3 years after closing. Destroy files 9 years after closing.

9.

MINE OPERATOR ACCIDENT, INJURY, ILLNESS, EMPLOYMENT, AND PRODUCTION REPORT. (Public Use Report Forms 7000-1, 7000-2). Reports from mining industry operations submitted to the Health and Safety Analysis Center/ regarding accidents, injuries, illnesses, employment, and coal production occurring at their operations. The data include operator identification number, operation name, operating company, personal information of those injured or ill, and detail concerning the accident, including: injury or illness; number of employees; hours worked; and short tons of coal produced.

A. Source documents: Destroy when 6 years old.

B. Master Index File (MIF) Data Tapes: Permanent. Transfer copy of most recent update to NARA immediately. Transfer copy of updated database to NARA annually. Magnetic tape transferred to NARA should be written in EBCDIC at 6,250 bpi. Volume: approximately 10 tape reels. Annual accumulation: approximately 1 tape reel.

C. Accident/Employment, Accident/Injury, and Narrative Data Tapes: Permanent. Transfer to NARA immediately a copy of each annual closed out data tape now available. Transfer copies of subsequent annual final closed out data tapes to NARA as they become available. Magnetic tape transferred to NARA should be written in EBCDIC at 6,250 bpi. Volume: approximately 90 tape reels. Annual accumulation: approximately 10 tape reels.

D. All other data tape copies: Destroy when no longer required for administrative use.

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10.	<p><u>METAL/NONMETAL MINE HEALTH AND SAFETY MANAGEMENT INFORMATION SYSTEM.</u> The Metal/Nonmetal Management Information System provides a computerized management information system to assist in monitoring and evaluating Metal/Nonmetal mine activities including: annual manpower and activities plans; mine and mill locations; metal and nonmetal mine inspection personnel time and activity; inspections; citations and orders against operations; <i>and comprehensive health surveys of individual operations.</i></p> <p>A. Active Database: retain data from most recent 24 months. Transfer data from previous months to Historical Database (item 10B, below).</p> <p>B. Historical Database: <u>Permanent.</u> Transfer copy to NARA on magnetic tape immediately. Transfer copy of updated database to NARA on magnetic tape annually. Volume: approximately 100 reels. Annual accumulation: approximately 10 tape reels.</p> <p>C. All other database copies: <u>Destroy</u> when no longer needed for administrative use.</p>		NCI-433-81-1 Item 37A
11.	<p><u>OPERATOR RESPIRABLE DUST SAMPLING PROGRAM.</u> Operators of coal mines are required to transmit samples to MSHA. A certified person shall complete the dust data card that is provided to accompany each container. The cards contain information such as mine identification number and sampling times. The card is retained for 1 year and then transferred to the FARC. Destroy paper copy when 5 years old.</p>		NCI-433-77-1 Item 22