

## Request for Records Disposition Authority

Records Schedule Number DAA-0470-2019-0001

Schedule Status Approved

Agency or Establishment Federal Mine Safety and Health Review Commission

Record Group / Scheduling Group Records of the Federal Mine Safety and Health Review Commission

Records Schedule applies to Department-wide

Schedule Subject DOCKET OFFICE

Internal agency concurrences will be provided No

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	1	2	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0470-2019-0001

Sequence Number	
1	DOCKET OFFICE CASE FILES Disposition Authority Number: DAA-0470-2019-0001-0001
2	BLUE BOOKS Disposition Authority Number: DAA-0470-2019-0001-0002
3	ELECTRONIC CASE MANAGEMENT TRACKING SYSTEM Disposition Authority Number: DAA-0470-2019-0001-0003

## Records Schedule Items

Sequence Number	
1	<p data-bbox="360 427 800 463"><b>DOCKET OFFICE CASE FILES</b></p> <p data-bbox="360 480 1133 517">Disposition Authority Number      DAA-0470-2019-0001-0001</p> <p data-bbox="360 534 1477 966">These are files that contain documents pertaining to cases arising from citations and orders issued to operators of coal, metal and nonmetal mines and certain individuals under the Federal Mine Safety and Health Act of 1977. The files usually begin with citations and orders and continue through the final written disposition of a Commission Administrative Law Judge, the Review Commission, or a federal court of appeals. These files may be paper files or electronic files that contain scanned electronic documents and/or electronic documents other than scanned documents. The recordkeeping copy of audio recordings of hearings before Commission Administrative Law Judges and oral arguments before the Review Commission are covered by this item. These case file contain transcripts, exhibits, prehearing orders, petitions, briefs, notices, answers, motions, ALJ Settlement Decisions, or Dismissal Orders.</p> <p data-bbox="360 983 915 1019">Final Disposition                      Temporary</p> <p data-bbox="360 1036 850 1072">Item Status                              Active</p> <p data-bbox="360 1089 808 1125">Is this item media neutral?          No</p> <p data-bbox="360 1142 1422 1215">Explanation of limitation              Electronic records only. Does not apply to legacy hard copy records created before 2018.</p> <p data-bbox="360 1232 821 1353">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 data-bbox="360 1370 808 1464">Do any of the records covered by this item exist as structured electronic data?                          No</p> <p data-bbox="360 1481 951 1532">GRS or Superseded Authority Citation      NI-470-09-2/1</p> <p data-bbox="360 1570 672 1606"><b>Disposition Instruction</b></p> <p data-bbox="360 1623 984 1659">Cutoff Instruction                      At close of case</p> <p data-bbox="360 1676 1477 1798">Retention Period                      Destroy electronic record when 99 years old or when no longer needed for reference whichever is earlier, but not earlier than 6 years after cutoff.</p> <p data-bbox="360 1815 672 1851"><b>Additional Information</b></p> <p data-bbox="360 1868 948 1904">GAO Approval                          Not Required</p>

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**BLUE BOOKS**

Disposition Authority Number      **DAA-0470-2019-0001-0002**

Blue books are published volumes of Review Commission and Administrative Law Judge decisions and orders with significant value that merit publication. These books are published once every two months or once a month. The Docket Office has been designated as the office of record.

Final Disposition                      **Permanent**

Item Status                              **Active**

Is this item media neutral?          **No**

Explanation of limitation            **Records are electronic only.**

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      **NI-470-09-02/4**

**Disposition Instruction**

Cutoff Instruction                      **At the end of each calendar year.**

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

**Additional Information**

First year of records accumulation      **1977**

What will be the date span of the initial transfer of records to the National Archives?      **From 2017 To 2022**

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

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>50 MB</b>	<b>25dMB</b>
<b>Paper</b>		
<b>Microform</b>		

<b>Hardcopy or Analog Special Media</b>		
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**ELECTRONIC CASE MANAGEMENT TRACKING SYSTEM**

Disposition Authority Number      DAA-0470-2019-0001-0003

This item covers the Commission's electronic system of logging complaints, orders, and other tracking documents related to the Commission's official case files both at trial and appellate level. This item includes data that has been entered into the case-tracking system to support administrative functions and does not become part of an official case file, which is scheduled in DAA-0470-2019-0001/1.

Final Disposition                      Temporary

Item Status                              Active

Is this item media neutral?          No

Explanation of limitation            Electronic records only.

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      NI-470-09-02/5

**Disposition Instruction**

Retention Period                      Destroy/Delete when no longer needed for audit, litigation, FOIA or other administrative purposes.

**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
02/28/2019	Certify	Christina Rosas	Agency Records Officer	Office of the Chairman - Office of the SAO
08/16/2019	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
08/20/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/21/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/22/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist