

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-433-81-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Item 1A is superseded by DAA-0433-2015-0004-0001

Item 2A is superseded by DAA-0433-2015-0004-0019 and DAA-0433-2015-0004-0022

Item 2B1 is superseded by DAA-0433-2015-0004-0017 and DAA-0433-2015-0004-0019

Item 2B2 is superseded by DAA-0433-2015-0004-0017, DAA-0433-2015-0004-0019, and DAA-0433-2015-0004-0020

Item 2C is superseded by DAA-0433-2015-0004-0019

Items 2D3 and 2D4 are superseded by DAA-0433-2015-0004-0023

Item 7 is superseded by NC1-433-85-01 Item 3

Item 8B is superseded by NC1-433-85-01 Item 4

Item 10A is superseded by DAA-0433-2015-0004-0010

Item 10B is superseded by DAA-0433-2015-0004-0009

Item 12 is superseded by DAA-0433-2015-0004-0008

Item 13 is superseded by NC1-433-85-01 Item 7

Item 14 is superseded by N1-433-94-002

Items 15A, 15B, 16, 17, and 18 are superseded by DAA-0433-2015-0002-0003

Item 19 is superseded by DAA-0433-2015-0004-0025

Items 20A, 20B, and 20C are superseded by NC1-433-85-01 Item 8

Item 24 is superseded by DAA-0433-2015-0002-0013 and DAA-0433-2015-0002-0018

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Item 25 is superseded by DAA-0433-2015-0002-0004

Items 26A and 26B are superseded by DAA-0433-2015-0004-0016 and DAA-0433-2015-0004-0018

Items 27A, 27B, 28A and 28B are superseded by NC1-433-85-01 Item 9

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

*Revised 10/10/80*

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

1. FROM (AGENCY OR ESTABLISHMENT)  
**U.S. Department of Labor**

2. MAJOR SUBDIVISION  
**Mine Safety and Health Administration**

3. MINOR SUBDIVISION  
**Branch of Records Management**

4. NAME OF PERSON WITH WHOM TO CONFER **OCT 09 1980** 5. TEL EXT  
*R. B. Baker* (703) 235-1470  
**Richard B. Baker, Chief-Branch of Records Management**

<b>LEAVE BLANK</b>	
JOB NO	
<b>NC1-433-81-1</b>	
DATE RECEIVED	
<b>November 13, 1980</b>	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<b>11-10-81</b> Date	<i>[Signature]</i> Archivist of the United States

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 26 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A Request for immediate disposal.**

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

C. DATE <b>10/22/80</b>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Elaine F. Jackson</i> <b>Elaine F. Jackson</b>	E. TITLE <b>DOL Records Management Officer</b>
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ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>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; and MESA Job No.NC1-433-77-1 approved March 7,1977. The following gives a brief description of our organization from 1910 to the present time:</p> <p>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 was returned to the Dept. of Interior. A comprehensive reorganization was effected in 1950, resulting in the decentralization to field offices of a considerable amount of work thereto performed in headquarters (Washington). 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 Nonmetallic Mine Safety Act.</p> <p>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 and Welfare and the</p>		<b>77 items</b>

**MASS DATA CHANGE SHEET ATTACHED**

*Closed Out: 11-24-81: [Signature] Copy to  
3NC-M, 3NC-P, 4NC, 5NC, 6NC, 7NC, 8NC, 9NC, 10NC  
& 11NC, 12NC, 13NC, 14NC, 15NC, 16NC, 17NC, 18NC, 19NC, 20NC*

## Request for Records Disposition Authority - Continuation

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	<p>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 a coal or other mine 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 and development and training programs aimed at preventing coal or other mine accidents and occupationally caused diseases in the industry.</p> <p>Microfilming of all records shall be in accordance with and in conformance to standards described in FPMR 101-11.5 and subparts thereunder.</p>		

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Administration  
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p style="text-align: center;">CONTENTS</p> <p style="text-align: center;"><u>PERMANENT RECORDS</u></p>		
1.	General Correspondence Files <ul style="list-style-type: none"> <li>a. Policy Making</li> <li>b. Executive Direction</li> <li>c. Staff Assistance</li> <li>d. Program Management</li> <li>e. Relationships with Department of Labor, other higher authority, other bureaus, industry and the public</li> </ul>		
2.	Publicity and Information Records <ul style="list-style-type: none"> <li>a. Press Release Files</li> <li>b. Publications Files</li> <li>c. Speech Files</li> <li>d. Motion Picture, Audio Records, and Visual Recordings</li> <li>e. Finding Aids and Production Documentation</li> <li>f. Photograph Files</li> </ul>		
3.	MSHA Accident Report Files		
4.	Fatal Accident Investigation Files		
5.	Major Disaster Report Files		
6.	Mine Inspection Reports <ul style="list-style-type: none"> <li>A. Annual Representative Sampling of the Coal Mine Safety and Health Inspection-Type Reports</li> <li>B. Annual Representative Sampling of the Metal and Nonmetal Mine Safety and Health Inspection Type Reports</li> </ul>		
7.	Final Maps and Plans of Mines and Industrial Installations		
8.	Special Studies Survey Report Files (Item A)		
9.	Registry of Mine Numbers (Item B)		
10.	Standards and Regulations (Item B)		
11.	Educational and Training Programs Master Files (Item A, B & C)		

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	CONTENTS		
1.	General Correspondence Files		
2.	Publicity and Information Records		
3.	MSHA Accident Report Files		
4.	Fatal Accident Investigation Files		
5.	Major Disaster Report Files		
6.	Mine Inspection Reports		
7.	Final Maps and Plans of Mines and Industrial Installations		
8.	Special Studies Survey Report Files		
9.	Registry of Mine Numbers		
10.	Standards and Regulations		
11.	Educational and Training Programs		
12.	Assessments Case Files		
13.	Employee Conduct Investigations		
14.	Coal and Metal/Nonmetal Safety and Health Special Investigation		
15.	Approval and Certification		
16.	Permissible and Non-Permissible Explosive Reports File		
17.	Explosive Method Listing File		
18.	Explosive Test Files		
19.	Legal Identity Report		
20.	Refuse Piles and Impoundments		

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21.	Maintenance Record File		
22.	Variance Files		
23.	Coal Mine Safety and Health Management Information System		
24.	Mine Atmosphere Sample Record		
25.	Dust Sampling Lab Report		
26.	Manuscript Files		
27.	Mine Operators Accident, Injury, and Illness Report		
28.	Mine Operators Employment and Production Report		
29.	Coal and Metal Inspection Activities Reports		
30.	Ventilation, Methane Disposal, and Roof Plans		
31.	ADP Respirable Dust Teletype Messages		
32.	Company Training Files		
33.	Individual Training Records		
34.	Education and Training Activities Report		
35.	Holmes Safety Association Council and Chapter Charter Applications		
36.	Employee Identification Cards		
37.	Metal/Nonmetal Mine Health and Safety Management Information System		
38.	Accident and Injury Records		
39.	Security Clearance Records		
40.	Employee Locator System		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
41.	Supervisor's Records of Employees		
42.	Bathhouse Waivers		
43.	Denver Payroll System Records		
44.	Flexitime Attendance Records		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	<p><u>Records Retention and Disposition Schedule</u></p> <p><u>Mine Safety and Health Administration</u></p> <p><u>GENERAL CORRESPONDENCE FILES.</u> (Arranged by a subject-numeric filing system.) Files contain correspondence, letters and memoranda, directives, reports, and related documents created or received during the performance of office functions, except material specifically filed on other series.</p> <p>A. <u>General Correspondence of MSHA.</u> Correspondence concerning policy making, executive direction, staff assistance, program management, and relationships with the Department of Labor, other higher authority, other bureaus, industry, and the public.</p> <p>These records are generated primarily from the Washington Office: (Offices of the Assistant Secretary, Deputy Assistant Secretary, Administrators, and Divisions.)</p> <p><u>PERMANENT.</u> Break file annually. Transfer to Federal Archives and Records Center (FARC) when 3 years old. Offer to National Archives and Records Service (NARS) <del>in annual segments 10 years after file break.</del> <i>10 year blocks (i.e., 1973-82 to be offered in 1992,) when most recent records in block are 10 yrs. old.</i></p> <p>B. <u>General Correspondence of all Field Offices.</u> Correspondence concerning repetitive, individual, routine transactions and matters, housekeeping, and other purely facilitative functions.</p> <p>Break file annually. Destroy when 3 years old.</p>		<p>NCI-433-77-1 Item 1 A + B</p>
2.	<p><u>PUBLICITY AND INFORMATION RECORDS.</u></p> <p>A. <u>Press Release File.</u> (Arranged chronologically.)</p> <p><u>PERMANENT.</u> Break file annually. Transfer to FARC when 3 years old. Offer to NARS <del>10 years thereafter.</del> <i>in 10 year blocks (i.e., 1973-82 to be offered in 1992) when most recent records in block are 10 yrs. old.</i></p>		<p>NCI-433-77-1 Item 2A</p>

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	<p>B. <u>Publications File.</u> (Arranged alphabetically.) Files include posters, charts, rules and regulations, booklets, volumes, annual reports, special reports and studies, bulletins, circulars, monographs and similar materials with their appropriate indices, unless otherwise specified in this schedule.</p> <p>1. <u>Record copy.</u></p> <p><u>PERMANENT.</u> Break file annually. Transfer to FARC when 3 years old. Offer to NARS <del>40 years</del> <i>thereafter in 10 year blocks (i.e. 1973-82 to be offered in 1992,) when most recent records in block are 10 yrs. old.</i></p> <p>2. <u>All other copies.</u></p> <p>Destroy when no longer needed for reference.</p> <p>C. <u>Speech File.</u> (Arranged chronologically.) Record copies of speeches given by the Assistant Secretary or other officials on subjects dealing with MSHA programs.</p> <p><u>PERMANENT.</u> Break file annually. Transfer to FARC when 3 years old. Offer to NARS <del>10 years</del> <i>thereafter in 10 year blocks (i.e., 1973-82 to be offered in 1992,) when most recent records in block are 10 yrs old.</i></p> <p>D. <u>Motion Pictures, Audio Recordings, and Video Recordings.</u> (Arranged by film title.) MSHA audiovisual material concerning mine safety and other programs.</p> <p>1. MSHA-sponsored motion picture films-the original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print of each film.</p> <p>2. MSHA-acquired motion picture films-two projection prints, if available, otherwise one projection print of each acquired film.</p>	<p>NCI-433- 77-1 Item 2B</p> <p>NCI-433- 77-1 Item 2C</p> <p>NCI-433- 77-1 Item 2D</p>	

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	<p>3. Audio recordings-the master tape, matrix or stamper, and one disc pressing of each conventional mass-produced multiple copy disc recording and the original tape for each magnetic audio tape recording.</p> <p>4. Video recordings-the original or the earliest generation of each recording of a kinescope of the recording.</p> <p><u>PERMANENT.</u> Offer to NARS after 5 years or when no longer needed for administrative use.</p> <p>E. <u>Finding Aids and Production Documentation</u> for items identified in (D) <del>and</del> (X) Arranged by film title.) Existing finding aids such as data sheets, shot lists, catalogs, indexes and other textual documentation necessary for the proper identification, retrieval, and use of the audiovisual records as well as film and video production files containing contracts, scripts, scene breakdowns, storyboards, narratives, correspondence, and other documents relating to the production.</p> <p><u>PERMANENT.</u> Offer to NARS along with the audio-visual productions to which they relate.</p> <p>F. <u>Photograph Files.</u> (Arranged by negative number.) Files compiled by MSHA pertaining to various program activities of MSHA. They contain negatives and prints, arranged in numbered jackets, with relevant indices and captions.</p> <p>1. 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.</p> <p><u>PERMANENT.</u> Break file every 5 years. <del>Transfer to FARC when 10 years old. Offer to NARS when no longer needed for administrative use.</del> Offer to NARS 5 years later or when no longer needed for administrative use, which ever is sooner.</p>	NCI-433-77-1 Item 2E	NCI-433-77-1 Item 2-F-1

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	<p>2. Additional duplicate prints of items identified in (F.1).</p> <p>Destroy when no longer needed for administrative use.</p> <p>G. <u>Film Loan Requests.</u> Requests for the loan of films are received by letter or by loan-request form. They are arranged by the name of the film, and kept until film is returned by the borrower.</p> <p>Destroy 6 months after film is returned.</p> <p>H. <u>Film Borrower Cards.</u> Edge-punched flexowriter cards punched with the borrower's name and address. Indicates information such as name of film borrowed, date sent out, and date returned.</p> <p>Destroy when film is returned.</p> <p>I. <u>Requests for Publications.</u> Generally, the requests for MSHA publications are in letter form. Domestic requests are returned with publications or with a letter explaining why the publication is not available. Foreign requests are retained in a back-up file for the publications lost in shipment.</p> <p>1. <u>Domestic requests.</u></p> <p>Return to originating individual.</p> <p>2. <u>Foreign requests.</u></p> <p>Destroy 1 year after request is satisfied.</p>	<p>NCI-433- 77-1 Item 2G</p> <p>NCI-433- 77-1 Item 2H</p> <p>NCI-433- 77-1 Item 2J</p>	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
3.	<p>MSHA ACCIDENT REPORT FILE. (Arranged chronologically by I. D. number in company files and by date order in subject files.) Inspector's narrative report of accidents caused, for example, by 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><del>PERMANENT. Transfer to FARC when no longer needed for current business. Offer to NARS 10 years thereafter.</del></p>	←	<p>NCI- 433-77-1 Item 8</p> <p>Disposition Not Approved</p>
4.	<p>FATAL ACCIDENT INVESTIGATION FILES. (Arranged chronologically by I. D. number in company files and by date order in subject files.) Reports on explosions and other accidents in mines which resulted in a fatality. Contains a statement on the cause(s) of the accident; recommended remedial action, and describes the MSHA personnel participation in rescue and recovery work.</p> <p><del>PERMANENT. Transfer to FARC when no longer needed for current business. Offer to NARS 10 years thereafter.</del></p>	←	<p>NCI- 433-77-1 Item 9</p> <p>Disposition Not Approved</p>
5.	<p>MAJOR DISASTER REPORT FILES. (Arranged chronologically, thereunder alphabetically by name of mine.) Files contain information regarding disasters having 5 or more fatalities, including investigation and other reports, correspondence and related records. <del>For disasters involving less than 5 fatalities, use the disposition instructions for Item 9.</del></p> <p><del>PERMANENT. Transfer to FARC when no longer needed for current business. Offer to NARS 10 years thereafter.</del></p>	←	<p>NCI- 433-77-1 Item 10</p> <p>Disposition Not Approved</p>

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6.	<p><u>MINE INSPECTION REPORTS.</u> (Filing arrangement of the correspondence and related records. For disasters involving less than 5 fatalities, use the disposition Coal and Metal/Nonmetal Representative Samplings are described in Parts A and B.) The Law requires that MSHA inspect all mines, and other areas relating to the mining and mineral industry. The reports of these inspections are made available for public review. These reports include Citations, Orders, Withdrawal Orders, recommendations of remedial action, and other related material describing conditions in the mine and indicating whether there has or has not been compliance with health and safety legislation. Some of these reports also include form letters written to the mining company informing them of the number 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.</p> <p>A. <u>An Annual Representative Sampling of the Coal Mine Safety and Health Inspection-Type Reports.</u></p> <p>Each district and subdistrict office is to break files annually. A typical (original) inspection report from each of the categories listed below should be selected. The sample is to be placed 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.</p> <ol style="list-style-type: none"> <li>1. Underground Mines Employing <ol style="list-style-type: none"> <li>a. 0-99 employees</li> <li>b. 100-149 employees</li> <li>c. 150+ employees</li> </ol> </li> <li>2. Surface Mines Employing <ol style="list-style-type: none"> <li>a. 0-99 employees</li> <li>b. 100-149 employees</li> <li>c. 150+ employees</li> </ol> </li> </ol> <p><u>PERMANENT.</u> Transfer to Branch of Records Management for review when the reports are 3 years old. Headquarters will transfer reports to FARC. Offer to NARS <del>when 10 years old</del> <i>in 10 year blocks (i.e. 1973-82 to be offered in 1992) when most recent records of block are</i> 10 yrs. old.</p>		NCI-433-77-1 Item 11 A, B & C

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	<p>B. <u>An Annual Representative Sampling of the Metal and Non/Metal Health and Safety Inspection-Type Reports.</u></p> <p>Each district and subdistrict office is to break file annually. A typical (original) inspection report from each of the categories listed below should be selected. The sample is to be placed 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.</p> <ol style="list-style-type: none"><li>1. Underground Mines Employing<ol style="list-style-type: none"><li>a. 0-19 employees</li><li>b. 20-99 employees</li><li>c. 100+ employees</li></ol></li><li>2. Open Pit Employing<ol style="list-style-type: none"><li>a. 0-19 employees</li><li>b. 20-99 employees</li><li>c. 100+ employees</li></ol></li><li>3. Crushed Stone Employing<ol style="list-style-type: none"><li>a. 0-19 employees</li><li>b. 20-99 employees</li><li>c. 100+ employees</li></ol></li><li>4. Sand and Gravel Employing<ol style="list-style-type: none"><li>a. 0-19 employees</li><li>b. 20-99 employees</li><li>c. 100+ employees</li></ol></li><li>5. Mills Employing<ol style="list-style-type: none"><li>a. 0-19 employees</li><li>b. 20-99 employees</li><li>c. 100+ employees</li></ol></li></ol> <p><u>PERMANENT.</u> Transfer to Branch of Records Management when the reports are 3 years old. Headquarters will transfer reports to FARC. Offer to NARS <del>when 10 years old</del> <i>in 10 yr. blocks (i.e., 1973-82 to be offered in 1992) when most recent records in block are 10 yrs old.</i></p> <p>C. Remaining Coal and Metal/Nonmetal Mine Inspection Reports</p> <p>Transfer to FARC when 3 years old. Destroy when 10 years old.</p>		

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7.	<p><u>FINAL MAPS AND PLANS OF MINES AND INDUSTRIAL INSTALLATIONS.</u> (Arranged alphabetically by mine company.) Original maps of permanently closed or abandoned mines are submitted from the district offices to the Bureau of Mines Field Operations Center (Mine Map Repository) Pittsburgh, Pennsylvania, on a loan basis for microfilming and the maps are then returned to the respective district offices. Microfilm is retained by the Bureau of Mines.</p> <p><u>PERMANENT.</u> Transfer to FARC when no longer needed for current business. Offer to NARS 10 years thereafter.</p>		<p>NCI- 433-77-1 Item 14</p>
8.	<p><u>SPECIAL STUDIES SURVEY REPORT FILES.</u> 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>A. Final report and essential documentation.</p> <p><del><u>PERMANENT.</u> Transfer to FARC when 5 years old. Offer to NARS when 15 years old.</del></p> <p>B. Field notes, drafts, working papers, and similar material.</p> <p>Destroy when report is completed.</p>		<p>NCI- 433-77-1 Item 16</p> <p>Disposition Not Approved. (8A only)</p>
9.	<p><u>REGISTRY OF MINE NUMBERS.</u> (Arranged by mine identification number/mine name.) MSHA (Health and Safety Analysis Center) assigns identification numbers to mines. Mine numbers are then put on microfilm.</p> <p>A. Destroy paper copy when superseded by the microfilm copy.</p> <p>B. <u>PERMANENT.</u> Offer microfilm copy to NARS when no longer needed for current business.</p>		<p>NCI- 433-77-1 Item 24</p> <p>Disposition Not Approved (9B)</p>

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10.	<p><u>STANDARDS AND REGULATIONS.</u> Files on mandatory health and safety standards and regulations for mines; for each standard or group of standards. The appropriate subject files follow:</p> <p>A. <u>NON-PERMANENT RECORDS.</u></p> <ol style="list-style-type: none"><li>1. <u>Background Information.</u> Includes concept paper and comments received prior to rulemaking.</li><li>2. <u>Advance Notice of Proposed Rulemaking (ANPRM).</u> Include pre-proposal drafts and comments received pursuant to ANPRM.</li><li>3. <u>Advisory Committee.</u> Consists of all material related to establishment and work of Advisory Committee.</li><li>4. <u>Regulatory Analysis.</u> Consists of draft and final, if needed.</li><li>5. <u>Environmental Impact Analysis.</u> Consists of draft and final, if needed.</li><li>6. <u>Notice of Proposed Rulemaking (NPRM).</u> Includes all comments received.</li><li>7. <u>Litigation.</u> Includes all material related to litigation of subject standard or regulation through final rule.</li></ol> <p>Transfer to FARC when 3 years old. Destroy when 10 years old.</p> <p>B. <u>PERMANENT RECORDS.</u></p> <ol style="list-style-type: none"><li>1. <u>Public Hearings.</u> Includes requests, notice of hearings, transcripts, and written statements.</li><li>2. <u>Final Rule.</u> Includes corrections, and interpretations.</li></ol> <p>Transfer to FARC when 3 years old. Offer to NARS <del>when 10 years old</del> <i>in 10 yr blocks (i.e. 1978-87 in 1997) when 10 years old.</i></p>	New Item	
11.	<p><u>EDUCATIONAL AND TRAINING PROGRAMS MASTER FILES.</u> (Arranged by a subject-numerical filing system.) Programs devised and administered by MSHA. Contains master copies of sound tapes, slides, discs, photographic negatives, manuals, syllabus, and related material used in training courses.</p> <p>A. <u>Audio Recordings and Video Recordings.</u> PERMANENT. Transfer to FARC when 10 years old. Offer to NARS when 30 years old.</p> <p>B. <u>Slides, Discs, and Photographic Materials.</u> PERMANENT. Transfer to FARC when 10 years old. Offer to NARS when 30 years old.</p> <p>C. <u>Manuals, Syllabuses, and Related Materials.</u> PERMANENT. Transfer to FARC when 10 years old. Offer to NARS when 30 years old.</p>	NCI-433-77-1 Item 29	Disposition Not Approved (Items 10 A, B + C)

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12.	<p><u>ASSESSMENTS CASE FILES.</u> (Files are 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, abatelements, and termination notices. The original records (notices, abatelements, and similar documents) are retained by the issuing office. This material is needed as background for, and should be treated as, part of the case file with respect to transfer and retention.</p> <p>Transfer to FARC when case is closed. Destroy 10 years after the case case is closed.</p>		<p>NCI- 433-77-1 Item 21</p>
13.	<p><u>EMPLOYEE CONDUCT INVESTIGATIONS.</u> Contains information on any MSHA employee against whom any allegation of misconduct, illegal acts, or conflict of interest has been made. The elements include the name, organization, allegation, and other pertinent information relating to the individual involved. It also contains the investigative report associated with the case.</p> <p>Transfer to FARC 5 years after FY in which last action was taken. Destroy 15 years after the end of FY in which last action was taken.</p>	New Item	
14.	<p><u>COAL AND METAL/NONMETAL SAFETY AND HEALTH SPECIAL INVESTIGATION.</u> Information pertaining to individuals alleged to have committed or have information concerning willful or knowing violations of the Federal Mine Safety and Health Act of 1977 and/or the Coal Mine Health and Safety Act of 1969.</p> <p>Retain for 1 year after the case is closed. Transfer to FARC thereafter. Destroy when 15 years old.</p>	New Item	

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15.	<p><u>APPROVAL AND CERTIFICATION.</u> MSHA runs tests on all electrical and diesel equipment used in mining operations, as well as related mining equipment. When tests are completed a letter of approval is sent to the manufacturer along with an approval number which is attached to the equipment. Files contain test results, reports, letters of approval, drawings and blueprints of equipment, and related material.</p> <p>A. Transfer paper records to FARC when no longer needed for administrative purposes. Destroy when 50 years old.</p> <p>B. Transfer microfilm to FARC when no longer needed for administrative use. Destroy when 50 years old.</p>		NCI- 433-77-1 Item 17
16.	<p><u>PERMISSIBLE AND NON-PERMISSIBLE EXPLOSIVE REPORTS FILE.</u> This file contains reports of tests made on explosives submitted to MSHA for approval.</p> <p>Break file annually. Transfer to FARC when 10 years old. Destroy when 20 years old.</p>		NCI- 433-77-1 Item 18
17.	<p><u>EXPLOSIVE METHOD LISTING FILE.</u> This is a record of methods used in testing explosives used in mines.</p> <p>Transfer to FARC when no longer needed for administrative use. Destroy 10 years thereafter.</p>		NCI- 433-77-1 Item 19
18.	<p><u>EXPLOSIVE TEST FILES.</u> These files are made up of key sort and regular index cards and contain data on explosives which were submitted to MSHA for testing and approval. The information includes test results performed on coal dust, gas, fires, blasting, and other effects of the explosion.</p> <p>Transfer to FARC when 10 years old. Destroy when 20 years old.</p>		NCI- 433-77-1 Item 20
19.	<p><u>LEGAL IDENTITY REPORT.</u> (MSHA Form 2000-7) These are required for each mine as a result of the Federal Mine Safety and Health Act of 1977. These are to be kept as long as the mine is in operation.</p> <p>Transfer to FARC after mine is closed. Destroy 10 years thereafter.</p>		

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20.	<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 to be retained until superseded or site abandoned. Obsolete plans retained 3 years and then sent to FARC. Destroy when 6 years old.</p> <p>B. Correspondence to be retained until the sites are abandoned.</p> <p>C. Inspection file of approved sites to be retained for 3 years and then transferred to FARC. Destroy after 6 years.</p>	New Item	
21.	<p><u>MAINTENANCE RECORD FILE.</u> (MSHA Form 1000-239) MSHA maintains a record of all equipment failure and repair. This record includes repair time and cost, as well as parts cost.</p> <p>Break file annually. Transfer to FARC when 2 years old. Destroy when 5 years old.</p>	New Item	
22.	<p><u>VARIANCE FILES.</u> Files on petitions for modification of applications of mandatory safety and health standards for mines. Filed by docket number. Each file consists of petition, correspondence, Federal Regulation Notice, and decision.</p> <p>Transfer to FARC 1 year after variance is no longer in effect. Destroy 10 years after variance is no longer in effect.</p>	←	NCI-433-77-1 Item 25

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23.	<p><u>COAL MINE SAFETY AND HEALTH MANAGEMENT INFORMATION SYSTEM.</u> Contains records on all coal mine safety and health personnel and key officials at surface and underground coal installations. The records consist of: (1) annual manpower and activity plans; (2) operational characteristics of surface and underground coal operations; (3) identification of key officials at individual mines; (4) functional time utilization information for all Coal Mine Safety and Health personnel; (5) location categorization of all time utilized by inspection personnel for onsite visits to individual mines; (6) violation information on individual mines; and (7) information on plans and other documents submitted by coal mine operators. Source documents consist of ledger sheets and inspection reports.</p> <p>A. Ledger Sheets: Destroy when no longer needed.</p> <p>B. Inspection Reports: Transfer to FARC when 3 years old. Destroy when 10 years old.</p>	<i>New Item</i>	
24.	<p><u>MINE ATMOSPHERE SAMPLE RECORD.</u> (MSHA Form 2000-43) Analytical results of gas samples collected in coal, metal, and nonmetal mines. Original copies of mine atmosphere record cards, submitted by inspection personnel throughout Coal Mine Safety and Health and Metal and Nonmetal Mine Safety and Health for gas samples collected during routine and special investigations. Information used by district and subdistrict offices to insure safe and healthy working environments, status of mine fires, etc.</p> <p>Break file annually. Transfer to FARC when 3 years old. Destroy when 10 years old.</p>	<i>New Item</i>	

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25.	<p><u>DUST SAMPLING LAB REPORT.</u> (MSHA Form 2000-156) Analytical results of coal mine dust samples for incombustible contents. Original copies of dust sampling report cards, submitted by inspection personnel throughout MSHA, for dust samples collected during routine and special investigations. Information used by district and subdistrict offices to determine compliance/noncompliance with Federal standards, range or extent of ignition or explosion.</p> <p>Break file annually. Transfer to FARC when 3 years old. Destroy when 10 years old.</p>	<i>New Item</i>	
26.	<p><u>MANUSCRIPT FILE.</u> Nearly all of the operating organizations of MSHA prepare or process manuscripts or publications and reports, although the procedures might vary. Manuscript files will generally include: MSHA (The Magazine of Mining Health and Safety), informational reports, instruction guides, safety reviews, annual reports, safety manuals, health and safety reports, and open file reports.</p> <p>Some manuscripts are returned to the author or to the initiating office, others are retained for later use according to the procedure of the initiating organization. In either case, they are valuable only as a source for verifying or checking the accuracy of the associated publications.</p> <p>A. <u>Published Manuscripts.</u> Destroy 2 years after date of publication.</p> <p>B. <u>Unpublished Manuscripts.</u> Destroy 5 years after completion.</p>		<p>NCI- 433-77-1 Item 3</p>

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27.	<p><u>MINE OPERATORS ACCIDENT, INJURY, AND ILLNESS REPORT.</u> (Public Use Report Forms 7000-1, 3000-1, 3000-4, 3000-4S, 6-347, 6-1555, 6-1555-S, 6-1420, 6-1425-A, 6-1430-A, 6-1431-A.) Reports from mining industry operators, submitted to the Health and Safety Analysis Center (or predecessor office and agency) regarding accidents, injuries and illnesses occurring at their operations. The data includes operator, identification number, operation name, operating company, personal information of those injured or ill, and details concerning the accident, injury or illness. Certain selected mine and personal data are transcribed without change to Electric Data Processing, but other selected data are converted to codes and stored in the EDP files.</p> <p>A. Source Documents: Destroy when 6 years old.</p> <p>B. EDP File: Erase when 6 years old.</p>		NCI- 433-77-1 Item 5
28.	<p><u>MINE OPERATORS EMPLOYMENT AND PRODUCTION REPORT.</u> (Public Use Report Forms 7000-2, 3000-2, 3000-3, 3000-3S, 6-1556, 6-1556-S, 6-348, 6-1420-A, 6-1420-B, 6-1425-A, 6-1430-A, 6-1431-A.) Reports from mining industry operators, submitted to the Health and Safety Analysis Center of MSHA (or predecessor office and agency) concerning employment and appropriate production data at their operations. This data includes the identification number of the operation, name of operation, number of employees, hours worked, and short tons produced at mines (production reported only for coal mines after 1972.)</p> <p>A. Source Document: Destroy when 6 years old.</p> <p>B. EDP Files: Erase when 6 years old.</p>		NCI- 433-77-1 Item 6

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29.	<p><u>COAL AND METAL/NONMETAL MINE INSPECTION ACTIVITIES REPORTS.</u> Summary of monthly and annual breakdown of inspections, violations, notices issued, and other orders of withdrawal.</p> <p>A. <u>MIS Ledger Sheets.</u> These sheets contain documentation of inspection activities and violations. This information is used to prepare summary activity reports to Congress.</p> <p>B. <u>Coal Mine, Metal and Nonmetal Respirable Dust Program.</u> (MSHA Form 2000-83) Contains data on individual coal and metal/nonmetal miners for whom dust samples have been submitted by mine operators for analysis. The data includes mine identification, mine section, name of individual sampled, social security number, date of sample, and concentration of respirable dust contained in the personal sample.</p> <p>C. <u>Coal Mine, Metal and Nonmetal Noise Level Program.</u> (MSHA Form 2000-103) Contains data on individual miners for whom noise level samples have been submitted by mine operators for analysis. The data includes mine identification, mine section, name of individual sampled, social security number, date of sample, and noise level data.</p> <ol style="list-style-type: none"><li>1. Ledger sheets are considered non-record material and are destroyed when no longer needed.</li><li>2. Data Cards. Break file annually and transfer to the FARC. Destroy when 5 years old.</li><li>3. Machine Readable Tapes. Erase when microfilm is verified true.</li><li>4. Microfilm. Destroy when 10 years old.</li></ol>		NCI- 433-77-1 Item 12
30.	<p><u>VENTILATION, METHANE DISPOSAL, AND ROOF PLANS.</u> Reports submitted periodically by mine operators explaining, for example, proposed systems for mine ventilation, gas disposal, and roof supports.</p> <p>Destroy 3 years after being superseded by subsequent plans.</p>		NCI- 433-77-1 Item 15

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31.	<p><u>ADP RESPIRABLE DUST TELETYPE MESSAGES.</u> Teletype messages containing data and information concerning Mandatory Health Standards--Underground Coal Mines published in the Federal Register, Vol. 35, No. 65, April 3, 1970. These messages include (a) notices of compliance, noncompliance, and void samples, (b) employee sample abatements and extensions, (c) employee transfers, and (d) status checks.</p> <p>Destroy when 5 years old.</p>		NCI- 433-77-1 Item 23
32.	<p><u>COMPANY TRAINING FILES.</u> Contain such information as training plans, requests for training, individual training records, and correspondence. Arranged primarily by company name and secondarily by name of mine.</p> <p>Break file annually. Destroy when 3 years old</p>		NCI- 433-77-1 Item 27
33.	<p><u>INDIVIDUAL TRAINING RECORDS.</u> (MSHA Form 5000-23). Lists trainees who have successfully completed an MSHA health and safety course. Records are used to provide a basis for issuing a certificate to each trainee and establishing employee qualifications. They are also used as supporting evidence in miner's claim to Social Security for black lung disease.</p> <p>Some records are microfilmed in accordance with FPMR 101-11.5. Others are maintained on machine readable tapes.</p> <p>A. Microfilm Copy: Destroy when 50 years old.</p> <p>B. Paper Copy: Destroy when microfilm copy or tape is verified true.</p>		NCI- 433-77-1 Item 28
34.	<p><u>EDUCATION AND TRAINING ACTIVITIES REPORT.</u> These records contain personnel activity records including work hours, allocated according to types of assignments, and leave time. The records are used to: (1) determine the workload and work scheduling, (2) to assist in budgeting and staffing of education and (3) to assess training needs of MSHA personnel.</p> <p>Break file annually. Destroy when 3 years old.</p>		

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35.	<p>HOLMES SAFETY ASSOCIATION, COUNCIL AND CHAPTER CHARTER APPLICATIONS. Applications for membership to the Holmes Safety Association are received from management of the mineral extractive industries. Charters are issued to company mines, and the mining operations are included in the monthly distribution of safety topic material.</p> <p>Destroy when 15 years old.</p>		NCI- 433-77-1 Item 30
36.	<p><u>EMPLOYEE IDENTIFICATION CARDS.</u> Contains information on individuals who require identification for the purpose of carrying out activities of MSHA. Records contain the individuals name, and in some cases, education, work experience, and training.</p> <p>Records are maintained until notice of change of employment or employment is terminated.</p>		
37.	<p><u>METAL/NONMETAL MINE HEALTH AND SAFETY MANAGEMENT INFORMATION SYSTEM.</u> Contains records on metal and nonmetal mine health and safety activities which include: annual manpower and activity plans; mine and mill locations; metal and nonmetal mine inspection personnel time and activity; inspections; citations; and orders against operators, and comprehensive health surveys of individual operations.</p> <p>A. Computer Tapes: <del>Updated yearly, retained indefinitely.</del></p> <p>B. Source Documents: Retained in field office for 2 years, then destroy.</p>		Disposition Not Approved (37A only)
38.	<p><u>ACCIDENT AND INJURY RECORDS.</u> These records contain investigative information pertaining to any accident or injury incurred by an employee of MSHA.</p> <p>Cut off files annually. Destroy 5 years after the year of the file.</p>		GRS-1 Item 32

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39.	<p><u>SECURITY CLEARANCE RECORDS.</u> Files contain non-record material, such as initial request for full-field background investigation and the final approval form from the Security Office, Dept. of Labor, granting the clearance.</p> <p>Keep files for as long as individual is employed by MSHA, thereafter, records are to be destroyed.</p>		
40.	<p><u>EMPLOYEE LOCATOR SYSTEM.</u> This system is composed of current employees of MSHA and contains name, title, office address, organization symbol, and business telephone number.</p> <p>Records are maintained until notice of change of employment or employment is terminated. Records are destroyed when no longer needed.</p>		
41.	<p><u>SUPERVISORS' RECORDS OF EMPLOYEES.</u> Contains records on current MSHA employees and persons employed within the past year. The records consist of: (1) emergency address information, (2) record of personnel action, (3) record of employee/supervisor discussions, and (4) supervisory copies of officially recommended actions, such as; personnel actions, awards, disciplinary actions, and training requests.</p> <p>Records are destroyed 1 year after termination or transfer of the employee.</p>		GRS-1 Item 18-A
42.	<p><u>BATHHOUSE WAIVERS.</u> Inspection personnel refer to these periodically. These are maintained in the field offices and this is the official file copy. They are not microfilmed.</p> <p>A. Surface Mines - Renewed annually. Destroy previous bathhouse waivers.</p> <p>B. Underground Mines - Retain until revoked.</p>		

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43.	<p><u>DENVER PAYROLL SYSTEM RECORDS.</u> A computer output microfilm system of payroll records including Time and Attendance (T&amp;A) Report, (Equivalent to SF-1130); SF-71, Application for Leave, (supports entries to T&amp;A Report); MSHA Form 1000-23, Overtime Request and Authorization, and other memos serving the same purpose (supports entries to T&amp;A Report). The records are to be microfilmed in accordance with FPMR 101-11.5 and to include all of the above records for pay year 1975 through September 1977 and to continue each bi-weekly pay period thereafter.</p> <p>A. <u>Microfilm Copy.</u> Destroy after GAO Audit or when 3 years old, whichever is sooner.</p> <p>B. <u>Paper Copy.</u> Destroy when microfilm copy is verified true.</p> <p>C. <u>All Other Copies.</u> Destroy 6 months after the end of the pay period.</p>		NCI- 433-78-1 Item 32
44.	<p><u>TIME AND ATTENDANCE RECORDS.</u> (Form DI 1-5 or Equivalent) Supplemental time and attendance records, such as, sign in/sign out sheets and work reports, used for time accounting under flexitime systems.</p> <p>Destroy after GAO Audit or when 3 years old, whichever is sooner.</p>		

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