

Request for Records Disposition Authority

Records Schedule Number **DAA-0433-2015-0002**

Schedule Status **Approved**

Agency or Establishment **Mine Safety and Health Administration**

Record Group / Scheduling Group **Records of the Mine Safety and Health Administration**

Records Schedule applies to **Agency-wide**

Schedule Subject **Mine Safety and Health Administration (MSHA) Technical Support:**
- Approval and Certification Center (A&CC)
- Pittsburgh Safety and Health Technology Center (PSHTC)
- National Air and Dust Laboratory (NADL)

Internal agency concurrences will be provided **Yes**

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
18	0	18	0

GAO Approval

Outline of Records Schedule Items for DAA-0433-2015-0002

Sequence Number	
1	Accident Investigation Files. Disposition Authority Number: DAA-0433-2015-0002-0001
2	Requests for Technical Assistance - Excluding Those Involving Accident Investigations. Disposition Authority Number: DAA-0433-2015-0002-0002
3	A&CC Approval and Certification Files. Disposition Authority Number: DAA-0433-2015-0002-0003
4	PSHTC Weighing Lab Data. Disposition Authority Number: DAA-0433-2015-0002-0004
5	PSHTC Coal Quartz Data Disposition Authority Number: DAA-0433-2015-0002-0005
6	PSHTC M/NM Quartz Data. Disposition Authority Number: DAA-0433-2015-0002-0006
7	PSHTC Metals Data. Disposition Authority Number: DAA-0433-2015-0002-0007
8	PSHTC DPM Data. Disposition Authority Number: DAA-0433-2015-0002-0008
9	PSHTC Metal/Nonmetal RLA & ASR Sheets. Disposition Authority Number: DAA-0433-2015-0002-0009
10	PSHTC Metal/Nonmetal Chain of Custody. Disposition Authority Number: DAA-0433-2015-0002-0010
11	PSHTC Contract Lab Analysis. Disposition Authority Number: DAA-0433-2015-0002-0011
12	PSHTC Asbestos Data. Disposition Authority Number: DAA-0433-2015-0002-0012
13	PSHTC Mine Emergency Gas Analysis Data. Disposition Authority Number: DAA-0433-2015-0002-0013
14	PSHTC Organics Analysis Data. Disposition Authority Number: DAA-0433-2015-0002-0014
15	PSHTC Acoustical Calibration Data. Disposition Authority Number: DAA-0433-2015-0002-0015
16	PSHTC Radon Instrument Calibration Data. Disposition Authority Number: DAA-0433-2015-0002-0016
17	NADL Rock Dust Data. Disposition Authority Number: DAA-0433-2015-0002-0017

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NADL Mine Air Data.
Disposition Authority Number: DAA-0433-2015-0002-0018

Records Schedule Items

Sequence Number	
1	<p>Accident Investigation Files.</p> <p>Disposition Authority Number DAA-0433-2015-0002-0001</p> <p>The MSHA District Office is the unit responsible for investigating an accident, and that office maintains the primary body of records relating to the investigation. When requested, Technical Support personnel provide a supporting role to the District Office during the investigation. For both fatal and non-fatal accidents, the originating Technical Support Center sends records related to the accident to the District as appropriate, and a reference copy is retained at the original support center.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>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>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off when investigation is completed and transfer original or copy to MSHA District Office for their records.</p> <p>Retention Period Destroy 30 years after cutoff or when no longer needed, whichever is later.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Requests for Technical Assistance - Excluding Those Involving Accident Investigations.</p> <p>Disposition Authority Number DAA-0433-2015-0002-0002</p> <p>Records related to technical support functions performed in support of MSHA programs, other Government agencies, industry, and unions requiring engineering, scientific or other technical expertise available in the Directorate of Technical Support. Topics include litigation, equipment and materials used in mining</p>

activities, health and safety issues, and standards and regulations. Records include reports, correspondence and other documents generated during the response.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

Disposition Instruction

Cutoff Instruction Cut off when action is completed.

Retention Period Destroy no sooner than 30 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval Not Required

A&CC Approval and Certification Files.

Disposition Authority Number DAA-0433-2015-0002-0003

Safety evaluations of electrical and diesel equipment used in mining operations, as well as related mining equipment. Products complying with the appropriate evaluation criteria are approved with correspondence sent to the manufacturer. The letter includes the approval number that the manufacturer must affix to the product. Files contain test results, reports, letters of approval, drawings/ blueprints of equipment, and related material, some of which may be proprietary or confidential.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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 NC1-433-81-001 / 15A
NC1-433-81-001 / 15B

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4	NC1-433-81-001 / 16 NC1-433-81-001 / 17 NC1-433-81-001 / 18	
	Disposition Instruction	
	Cutoff Instruction	Cut off when evaluation is complete.
	Retention Period	Destroy no sooner than 50 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
	PSHTC Weighing Lab Data.	
	Disposition Authority Number	DAA-0433-2015-0002-0004
	MSHA analytically determines the amount respirable and total dust found in samples submitted by agency inspection personnel and mine operators, for dust samples collected during routine and special investigations. Information is obtained through gravimetric analysis and is used to establish miners' exposures to respirable dust.	
	Final Disposition	Temporary
5	Item Status	Active
	Is this item media neutral?	Yes
	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	NC1-433-81-001 / 25
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually.
	Transfer to Inactive Storage	Retire dust data card only offsite when 3 years old.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	PSHTC Coal Quartz Data	
	Disposition Authority Number	DAA-0433-2015-0002-0005

When the respirable dust in the mine atmosphere of the active workings contains quartz greater than requirements listed in 30 CFR, the operator shall continuously maintain the average concentration of respirable dust in the mine atmosphere during each shift at or below the CFR requirement for a concentration of dust. Therefore, MSHA memorializes data essential for establishing miners' exposures to quartz dust. (Similar to Dust Sample Lab Report.) MSHA analytically determines the amount of respirable quartz found in samples submitted by mine inspectors via Fourier Transform Infrared Spectroscopy (FTIR). Data establishes miners' exposure to quartz.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

Disposition Instruction

Cutoff Instruction Cutoff annually.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

PSHTC M/NM Quartz Data.

Disposition Authority Number DAA-0433-2015-0002-0006

Analytical determinations of the amount of respirable quartz found in samples submitted by M/NM Mine Safety and Health Inspectors via X-Ray Diffraction (XRD). Data is used to establish levels of miners exposure to quartz. Analytical results are compiled into reports stored in MSHA central database.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

7	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually.
	Transfer to Inactive Storage	Maintain on site.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	PSHTC Metals Data.	
	Disposition Authority Number	DAA-0433-2015-0002-0007
	Analytical determinations of coal and metal nonmetal samples, submitted by inspection personnel throughout MSHA, via Inductively Coupled Plasma Atomic Emission Spectroscopy (ICP-AES). Information supports miners exposure to metal fumes and dust. Analytical results are compiled into reports stored in MSHA's central database.	
8	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	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
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually.
	Transfer to Inactive Storage	Maintain onsite.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	PSHTC DPM Data.	
	Disposition Authority Number	DAA-0433-2015-0002-0008

Analytical determination of the amount of diesel particulate matter (DPM) found in samples submitted by Mine Safety and Health Inspectors via Thermal Optical Analysis (TOA). Information is used to establish miners exposure to DPM. Data is compiled into reports by the laboratory and are maintained in MSHA central database.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

Disposition Instruction

Cutoff Instruction Cutoff annually.

Transfer to Inactive Storage Maintain onsite.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

PSHTC Metal/Nonmetal RLA & ASR Sheets.

Disposition Authority Number DAA-0433-2015-0002-0009

Request for Analysis Form 4000-29 provides information submitted by inspectors for samples collected during routine and special investigations including mine ID event number sample location and date and time sampled.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

Disposition Instruction

10	Transfer to Inactive Storage	Maintain on site.
	Retention Period	Destroy immediately after 5 years.
	Additional Information	
	GAO Approval	Not Required
	PSHTC Metal/Nonmetal Chain of Custody.	
	Disposition Authority Number	DAA-0433-2015-0002-0010
	Daily forms created in the laboratory for chain of custody of samples.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
11	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
	Disposition Instruction	
	Transfer to Inactive Storage	Maintain onsite.
	Retention Period	Destroy immediately after 5 years.
	Additional Information	
	GAO Approval	Not Required
	PSHTC Contract Lab Analysis.	
	Disposition Authority Number	DAA-0433-2015-0002-0011
	Samples sent to contract laboratories for analysis that is not performed by the PSHTC. Contract lab analytical data is essential for establishing miners' exposures to material of interest and is compiled into reports maintained on network drives.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes

12	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Maintain onsite.
	Retention Period	Destroy immediately after 10 years old.
	Additional Information	
	GAO Approval	Not Required
	PSHTC Asbestos Data.	
	Disposition Authority Number	DAA-0433-2015-0002-0012
	Asbestos sample data is analyzed by contract labs to calculate miners exposures to asbestos over their working lifetime. Data is maintained on MSHA central database.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
13	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
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually.
	Transfer to Inactive Storage	Maintain on site.
	Retention Period	Destroy 30 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	PSHTC Mine Emergency Gas Analysis Data.	
	Disposition Authority Number	DAA-0433-2015-0002-0013
	The Mine Safety and Health Administration (MSHA) collects analytical results of mine gas samples collected during mine emergency operations at coal and metal nonmetal mines. Samples are submitted by Technical Support and inspection personnel. Data is used to gain valuable insight into the events and conditions	

occurring in the mine environment and determine when it is safe to send mine rescue teams underground for rescue and recovery efforts.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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 NC1-433-81-001 / 24

Disposition Instruction

Cutoff Instruction Cutoff annually.

Transfer to Inactive Storage Maintain onsite.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

PSHTC Organics Analysis Data.

Disposition Authority Number DAA-0433-2015-0002-0014

Analytical determinations of the amount of organic compounds found in samples, submitted by Mine Safety and Health Inspectors via Gas Chromatography (GC) Data is essential for establishing miners' exposures to various organic compounds. Analytical results are compiled into reports maintained on MSHA central database.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

Disposition Instruction

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Cutoff Instruction	Cutoff annually.
Transfer to Inactive Storage	Maintain onsite.
Retention Period	Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
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PSHTC Acoustical Calibration Data.

Disposition Authority Number	DAA-0433-2015-0002-0015
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The PSHTC calibrates and repairs acoustical calibrators and personal noise dosimeters used by mine inspectors to conduct noise exposure surveys at coal and metal nonmetal mines. The Mine Safety and Health Administration (MSHA) collects the results of coal and metal nonmetal noise exposure surveys, collected by inspection personnel throughout MSHA, for samples collected during routine and special investigations. Calibration and proper operation of acoustical instrumentation is essential to ensure that accurate exposure data is obtained.

Final Disposition	Temporary
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Item Status	Active
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Is this item media neutral?	Yes
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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
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Do any of the records covered by this item exist as structured electronic data?	Yes
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Disposition Instruction

Cutoff Instruction	Cutoff annually.
Transfer to Inactive Storage	Maintain onsite.
Retention Period	Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
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PSHTC Radon Instrument Calibration Data.

Disposition Authority Number	DAA-0433-2015-0002-0016
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The PSHTC calibrates radon monitoring instrumentation used by mine inspectors to conduct radon exposure surveys at underground metal nonmetal mines. The Mine Safety and Health Administration (MSHA) collects the results of metal nonmetal radon exposure surveys, collected by inspection personnel throughout

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MSHA, for samples collected during routine and special investigations. Calibration and proper operation of radon instrumentation is essential to ensure that accurate exposure data is obtained.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

Disposition Instruction

Cutoff Instruction Cutoff annually.

Transfer to Inactive Storage Maintain onsite.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

NADL Rock Dust Data.

Disposition Authority Number DAA-0433-2015-0002-0017

Analytical determinations of the Total Incombustible Content (TIC) of rock dust samples submitted by Coal Mine Safety and Health Inspectors via gravimetric analysis. Data is essential to establish safe work areas for miners. Electronic records are maintained on MSHA central database.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year.

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18	Retention Period	Destroy 3 year(s) after cutoff or when no longer needed occurs, whichever is later
	Additional Information	
	GAO Approval	Not Required
	NADL Mine Air Data.	
	Disposition Authority Number	DAA-0433-2015-0002-0018
	MSHA analyzes mine air quality in samples submitted by Coal Mine Safety Inspectors via Gas Chromatography (GC). Data is essential to establish safe work areas for miners. Electronic records are maintained on MSHA central database.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	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	NC1-433-81-001 / 24
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the calendar year.
	Retention Period	Destroy 3 year(s) after cutoff or when no longer needed occurs, whichever is later
	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
02/26/2016	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
06/21/2016	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/23/2020	Submit For Certification	Tanisha Bynum-Frazier	Supervisory Program Analyst	Department of Labor - OASAM
07/24/2020	Certify	Tanisha Bynum-Frazier	Supervisory Program Analyst	Department of Labor - OASAM
01/05/2021	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/08/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/11/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/11/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist