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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | NI-433-06-5 | |
| To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA) WASHINGTON, DC 20408 | | DATE RECEIVED 12-26-2005 | |
| 1 FROM (Agency or establishment) U S Department of Labor | | NOTIFICATION TO AGENCY In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |
| 2 MAJOR SUBDIVISION Mine Safety and Health Administration (MSHA) | | | |
| 3 MINOR SUBDIVISION Administration and Management | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER Darlene Green | 5 TELEPHONE 202-693-9823 | DATE | ARCHIVIST OF THE UNITED STATES WITHDRAWN |
| 6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>10</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, | | | |
| <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested | | | |
| DATE December 20, 2005 | SIGNATURE OF AGENCY REPRESENTATIVE John Saracco | TITLE Department of Labor Records Officer | |
| 7 Item No | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |
| | Mine Safety and Health Administration (MSHA) Coal Mine Safety and Health records See Attached. | | |

CONTENTS:

1. Coal Mine Inspection Reports
2. Nonfatal Accident Files - Coal Mines
3. Fatal Accident Investigation and Final Report Files
4. Petitions for Modification of Safety Standards - Coal Mines
5. Coal Mine Refuse Piles and Impoundments
6. Final Mine Maps and Plans of Mines and Industrial Installations - Coal Mines
7. Ventilation, Ground Control, Roof Control Plans, Current Maps of Mines and Industrial Installations - Coal Mines
8. Mine Atmosphere Sample Record (MSHA Form 2000-43) - Coal Mines
9. Dust Sampling Lab Report (MSHA Form 2000-156) - Coal Mines
10. Operator Respirable Dust Sampling Program - Coal Mines
11. Bath House Waivers - Coal Mines
12. Special Investigations - Coal Mines
13. Quarterly Mine Employment and Coal Production Report (MSHA Form 7000-2)
14. Part 48 Training Plans - Coal Mines
15. Special Studies Survey Report Files
16. WordProcessing and Email Copies

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

Break files annually by calendar year.

DISPOSITION:

- A. Annual Representative Sampling. Each district office will select a typical (original) inspection report from each category listed below. Place the sample in a folder labeled with the identification number, name of the mine, company name, location, date of the report, inspector's name, and the number of employees.
1. Underground Mines Employing
 - a. 0 - 99 employees
 - b. 100 - 149 employees
 - c. 150+ employees
 2. Surface Mines Employing
 - a. 0 - 99 employees
 - b. 100 - 149 employees
 - c. 150+ employees

PERMANENT. Submit to Records Management Branch (RMB) when 3 years old. RMB will Transfer to FRC. Retire to NARA in 10-year blocks when most recent records in block are 10 years old (i.e., 1973-82 to be transferred in 1992).

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

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

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

- A. Nonfatal accidents that result in public hearings - investigation and final report files. Arranged by date of accident. File contains reports and background information relating to investigation of significant accidents, including statements of accident causes, correspondence, public hearing of testimony, witness statements and information, and descriptions of remedial actions and MSHA involvement. The MSHA district office responsible for investigating an accident maintains the primary body of records relating to the investigation. Close file after investigation is completed.

DISPOSITION:

PERMANENT. Submit to Mine Academy 3 years after investigation is completed. Retire to NARA 20 years thereafter.

Volume on hand: 2 cubic feet

Anticipated annual accumulation: 4 cubic feet

- B. Nonfatal accidents that do not result in public hearings - investigation files. Arranged by date of accident. File contains inspector's narrative report of accident (original signed formal report), correspondence, and related materials. Ongoing investigations can continue into the next fiscal year and remain in the open files until the investigation is completed.

Temporary: Transfer to FRC 3 years at the end of each fiscal year; destroy 10 years after break.

Supersedes portion of NC1-433-85-1, Item 1 that relates to coal mine accidents.

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

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

DISPOSITION:

Temporary. Textual files. The District office will retain the closed files for 3 years after investigation and any related litigation is completed. Submit to Mine Academy 3 years after investigation is completed.

PERMANENT. Retire files to NARA 20 years after last annual break.

Supersedes NCI-433-98-1, Item 2.

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

DISPOSITION:

Temporary. Transfer to FRC when 1 year old. Destroy when 10 years old.

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

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

DISPOSITION:

- A. Approved plan. Temporary. Cut-off when superseded by new plan. Transfer to FRC 3 years after cut-off. Destroy 9 years after cut-off.
- B. Correspondence: Temporary. Cut-off when superseded or no longer needed. Transfer to FRC 3 years cut-off. Destroy 9 years after cut-off.
- C. Approved site inspection files. Temporary. Cut-off file when inspection is completed. Transfer to FRC 3 years after inspection completion. Destroy 9 years after cut-off.

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

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

Maps of permanently closed or abandoned mines are submitted by the district office to the Office of Surface Mining (OSM) (Mine Map Repository), Pittsburgh, PA, for microfilming and subsequent return to the Coal district office. Microfilm is retained by OSM.

DISPOSITION:

PERMANENT. Transfer to FRC in annual blocks of 5 years after mine is closed. Retire to NARA 15 years after mine is closed in 10 years blocks when the most recent map is 10 years old.

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

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

DISPOSITION:

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

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

8. MINE ATMOSPHERE SAMPLE RECORD (MSHA Form 2000-43) - COAL MINES. Analytical results of gas samples collected in coal mines. Original copies of mine atmosphere record cards submitted by inspection personnel for gas samples collected during routine and special investigations. Information is used to ensure safe and healthy working environments, status of mine fires, etc. Break files annually.

DISPOSITION:

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

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

9. DUST SAMPLING LAB REPORT (MSHA Form 2000-156) - COAL MINES. Analytical results of coal mine dust samples for incombustible content. Original copy of dust sampling report cards submitted by inspection personnel for dust samples collected during routine and special investigations. Information used by district offices to determine compliance or non-compliance with Federal standards and range or extent of ignition or explosion. Break files annually.

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

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

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

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

DISPOSITION:

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

Temporary. Transfer to the FRC when 2 years old. Destroy when 10 years old.

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

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

DISPOSITION:

Temporary. Destroy when renewed or revoked.

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

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

DISPOSITION:

Temporary. Retain in District Office for 3 years after investigation case is closed, and then Transfer to FRC. Destroy when 15 years old.

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

13. Quarterly Mine Employment and Coal Production Report (MSHA Form 7000-2).

This form contains employment; hours worked, and coal production data. Mine operators are required to submit the form quarterly to the Office of Injury and Employment Information (OIEI). Beginning October 1997, form may be submitted via Internet or by mail.

DISPOSITION:

- A. Paper Copy (MSHA Form 7000-2). Temporary. Transfer to FRC when 3 years old. Destroy when 6 years old.
- B. Convenience Copy (retained in district offices). Temporary. Destroy when no longer needed for administrative purposes.

Supersedes NCI 433-85-1, Item No. 9

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

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

DISPOSITION:

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

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

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

DISPOSITION:

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

Supersedes NC1-433-85-1, Item 4

16. Word Processing and Electronic Mail/Spreadsheets. Temporary.

- A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network, drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Delete within 180 days after the recordkeeping copy has produced.

- B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Delete when dissemination, revision, or updating is complete.

- C. Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

When used to produce hard copy that is maintained in organized files.

Delete when no longer needed to update or produce hard copy.