MSHA - APPROVAL & CERTIFICATION CENTER

30CFR, PART 6 POST-APPROVAL
PRODUCT AUDIT PROGRAM & DEFECT
NOTIFICATION TO MSHA

MATTHEW MATKOVICH

MINE EQUIPMENT COMPLIANCE SPECIALIST

QUALITY ASSURANCE & MATERIALS TESTING
DIVISION
MAJOR POINTS
QUALITY ASSURANCE & MATERIALS TESTING DIVISION (QA&MTD)

- KEN SPROUL - DIVISION CHIEF
- JIM ERLINGER - TEAM LEADER
- MINING EQUIPMENT COMPLIANCE SPECIALISTS
- ENGINEERS
- PHYSICAL SCIENTISTS
- TECHNICIAN
- CHEMIST
QUALITY ASSURANCE & MATERIALS TESTING DIVISION (QA&MTD)

QA&MTD MISSION

- Maintain Integrity of MSHA Approval

The Quality Assurance and Materials Testing Division conducts audits to verify the manufacturer is producing products as approved.
QUALITY ASSURANCE & MATERIALS TESTING DIVISION (QA&MTD)

QA&MTD MISSION

Approval of Mining Materials

The Quality Assurance and Materials Testing Division ensures that mining materials conform to the applicable requirements of 30 CFR.
QUALITY ASSURANCE & MATERIALS TESTING DIVISION (QA&MTD)

FIELD COMPLAINT - SERVES AS A METHOD TO INVESTIGATE PROBLEMS ASSOCIATED WITH A SPECIFIC PRODUCT

FIELD COMPLAINT TYPES

- NON-CONFORMING PRODUCT
- IMPROPER USE OF PRODUCT
- PRODUCT PERFORMANCE ISSUES
QUALITY ASSURANCE & MATERIALS TESTING DIVISION (QA&MTD)

FIELD COMPLAINT - SERVES AS A METHOD TO INVESTIGATE PROBLEMS ASSOCIATED WITH A SPECIFIC PRODUCT

FIELD COMPLAINT TYPES

- SAFETY ISSUES ON NON-APPROVED EQUIPMENT
- MAINTENANCE ISSUES
- 6.10 (f) - DEFECT NOTIFICATION TO MSHA
6.2 DEFINITIONS

POST-APPROVAL PRODUCT AUDIT -

EXAMINATION AND/OR TESTING BY MSHA OF APPROVED PRODUCTS SELECTED BY MSHA TO DETERMINE WHETHER THOSE PRODUCTS MEET THE APPLICABLE PRODUCT APPROVAL REQUIREMENTS AND HAVE BEEN MANUFACTURED AS APPROVED
6.10 (e)

UPON REQUEST BY MSHA, APPROVAL HOLDERS OF PRODUCTS APPROVED BASED ON INDEPENDENT LABORATORY TESTING AND EVALUATION MUST MAKE SUCH PRODUCTS AVAILABLE FOR POST-APPROVAL AUDIT AT A MUTUALLY AGREEABLE SITE AT NO COST TO MSHA

- AUDIT CONDUCTED NOT MORE THAN ONCE A YEAR, EXCEPT FOR CAUSE
POST-APPROVAL PRODUCT AUDIT PROCESS

- AUDIT MAY BE CONDUCTED IF MSHA, APPROVAL HOLDER, OR OTHER INTERESTED PARTIES DETERMINES AN APPROVED PRODUCT MAY NOT BE IN COMPLIANCE WITH THE TECHNICAL REQUIREMENTS OF THE APPROVAL.
POST-APPROVAL PRODUCT AUDIT PROCESS

- **SCHEDULING AND TRACKING**
  - System to monitor approval holder audits

- **MSHA NOTIFIES APPROVAL HOLDER**

- **MSHA AND APPROVAL HOLDER AGREE ON AUDIT LOCATION AND TIME**

- **AUDIT MAY BE CONDUCTED AT:**
  - Approval Holder Facility
  - A&CC
  - Mine Site
  - Third Party Site
POST-APPROVAL PRODUCT AUDIT PROCESS

- Audit Team meets with Approval Holder representative to explain Inspection/Test process

- Measurements recorded
- Photographs
- Defects well documented

- Audit Team meets with representative to discuss results of the Inspection/Test
POST-APPROVAL PRODUCT AUDIT PROCESS

POST AUDIT

¾ AUDIT TEAM REVIEWS APPROVAL DOCUMENTATION TO VERIFY DEFECTS

¾ IF NO DEFECT:

AUDITOR NOTIFIES REPRESENTATIVE OF AUDIT RESULTS BY LETTER
POST-APPROVAL PRODUCT AUDIT PROCESS

POST AUDIT

DEFECT CLASSIFICATION

CRITICAL -- WILL ADVERSELY AFFECT PRODUCT SAFETY AND PERFORMANCE

MAJOR 1-- IS LIKELY TO ADVERSELY AFFECT PRODUCT SAFETY AND PERFORMANCE

MAJOR 2-- IS NOT LIKELY TO ADVERSELY AFFECT PRODUCT SAFETY AND PERFORMANCE

MINOR -- WILL NOT ADVERSELY AFFECT PRODUCT SAFETY OR PERFORMANCE
POST-APPROVAL PRODUCT AUDIT PROCESS

➢ IF DISCREPANCY:

• AUDITOR CONTACTS REPRESENTATIVE BY PHONE TO DISCUSS

• FOLLOW-UP LETTER SENT TO DOCUMENT DEFECT AND NECESSARY ACTIONS

• AUDITOR MONITORS CORRECTIVE ACTION UNTIL COMPLETE AND DOCUMENTED
POST-APPROVAL PRODUCT AUDIT PROCESS

POSSIBLE CORRECTIVE ACTIONS:

- PRODUCT RECALL
- PRODUCT RETROFIT
- APPROVAL DOCUMENTATION CHANGE
- FOR CRITICAL DEFECTS - MSHA MAY REQUIRE APPROVAL HOLDER TO IMMEDIATELY REMOVE PRODUCT FROM SERVICE
DEFECT NOTIFICATION TO MSHA

6.10 (f)

ONCE THE PRODUCT IS APPROVED, THE APPROVAL HOLDER MUST NOTIFY MSHA OF ALL PRODUCT DEFECTS OF WHICH THEY BECOME AWARE

- DEFECT: ANY DEVIATION FROM THE RECORDS, DRAWINGS, OR SPECIFICATIONS CONTAINED IN THE MSHA APPROVAL RECORDS
DEFECT NOTIFICATION TO MSHA
DEFECT NOTIFICATION TO MSHA

- PROCEDURE:
  - NOTIFICATION TO MSHA SHOULD BE MADE BY TELEPHONE, E-MAIL, OR FAX
  - THE TELEPHONE NOTIFICATION SHOULD BE FOLLOWED-UP WITH A LETTER TO DOCUMENT THE DEFECT
  - THE LETTER SHOULD BE ADDRESSED TO KEN SPROUL - QA&MUD CHIEF
  - THE DEFECT WILL BE PROCESSED AS A FIELD COMPLAINT
CONCLUSION

- QA&MTD conducts post-approval audits required by 30CFR, Part 6
- Audits conducted per documented procedure
- Approval holder must take corrective action when defects are identified
- Approval holder must notify MSHA when approved product is distributed which does not meet approval documentation
Dear Mr./Ms. ____________:

On behalf of the Mine Safety and Health Administration, I would like to thank you for your cooperation during the post approval product audit investigation of Approval No. ____________, conducted by ________________________, at ________________________, on _________________________.

A post approval product audit is conducted to ensure conformity with the technical requirements upon which the approval was based.

The post approval product audit did not disclose any defects and therefore the approved product is deemed by MSHA to meet the approval requirements.

Sincerely,

___________________________ (QA&MTD Auditor)

Quality Assurance & Materials Testing Division
Approval and Certification Center
Dear Mr./Ms. ____________:

With reference to our telephone conversation on ________________ (date), the following ________________ (product) approved under 30 CFR, Part 6, has been scheduled for post-approval product audit:

<table>
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<tr>
<th>Approval No.</th>
<th>Product</th>
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Please submit a sample for each MSHA approved product listed above. Approval holders of products approved based on independent laboratory testing and evaluation must make such products available for post approval audit at a mutual agreeable site at no cost to MSHA.

Representatives of _____________ (approval holder) are welcome to witness the post-approval product audit testing of the products listed above. Please notify this office if representatives of _____________ (approval holder) will be present, and we will attempt to schedule testing accordingly.

If the product is not currently available for audit, but is available during the next 12 months, please notify us regarding testing scheduling, or submit a sample.

If you have any questions, please feel free to contact me at ________________ (auditor's phone number), or John C. Petrus at (304) 547-2049. Thank you for your cooperation in this matter.

Sincerely,

____________________ (QA & MTD Auditor)

Mining Equipment Compliance Specialist
Quality Assurance & Materials Testing Division
Approval and Certification Center