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UNIFORM MINE FILE
PROCEDURES HANDBOOK

PREFACE

This handbook establishes guidelines and procedures for Coal Mine Safety and Health personnel for reviewing and maintaining orderly and complete mine information files. Previously issued procedures and instructions on this subject matter are superseded by this handbook.

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TABLE OF CONTENTS

| | |
|--|---------|
| Chapter 1 - General Instructions..... | 1-1 |
| A. Purpose and Use..... | 1-1 |
| B. Contents | 1-1 |
| C. Control Requirements | 1-1 |
| D. District Office Responsibilities..... | 1-2 |
| E. Field Office Responsibilities | 1-2 |
| F. Inspector/Specialist Responsibilities | 1-2 |
| G. Field Office Supervisor Responsibilities | 1-3 |
| H. Arrangement of Files | 1-4 |
| I. Retention Schedule/Order of Placement of Contents | 1-4 |
| Chapter 2 - Underground Mine Files..... | 2-1 |
| A. Special Attention Areas | 2-1 |
| B. General Mine Information | 2-1 |
| 1. Mine and MMU/DA/DWP Status..... | 2-1 |
| 2. Outstanding Citations/Orders | 2-1 |
| 3. Section 104(d) Unwarrantable Failure..... | 2-1 |
| 4. Section 104(e) Pattern of Violation | 2-2 |
| 5. Summary of Notice to Provide Safeguards..... | 2-2 |
| 6. Legal Identity Report | 2-2 |
| C. Plans..... | 2-2 |
| 1. Section 115 of the Act - Mandatory Health and Safety Training; 30 CFR 75.160/77.107 - Training and Retraining Program | 2-3 |
| 2. 30 CFR 75.220 - Roof Control Program and Plans; 30 CFR 77.1000 - Ground Control Plan..... | 2-3 |
| 3. 30 CFR 75.370 - Mine Ventilation Plan | 2-3 |
| 4. 30 CFR 75.388(f) - Roof/Floor Borehole Plan | 2-4 |
| 5. 30 CFR 75.388(g) - Alternative Borehole Pattern Plan..... | 2-4 |
| 6. 30 CFR 75.389 - Inaccessible Area Mining Plan | 2-4 |
| 7. 30 CFR 75.1101-23(a) - Program of Instruction, Location and Use of Firefighting Equipment; Escapeways and Exits; Evacuation Procedures; Fire Drills | 2-4 |
| 8. 30 CFR 75.1714-2 - Self-Contained Self-Rescuer Storage Plan | 2-4 |
| 9. 30 CFR 75.1702 - Smoking Program - Search Plan | 2-5 |
| 10. 30 CFR 70.510/71.805 - Hearing Conservation Plan | 2-5 |
| 11. 30 CFR 71.300 - Respirable Dust Control Plans - Surface of Underground | 2-5 |
| 12. 30 CFR 77.215 and 77.216 - Impoundments and Refuse Pile Information | 2-5 |
| 13. 30 CFR 77.1900 - Slope and Shaft Sinking Plan..... | 2-5 |
| D. Permits, Waivers, Petitions, etc. | 2-5 |

| | | |
|--------------------------------------|--|-----|
| 1. | Field Modifications and Statements of Test and Evaluation | 2-6 |
| 2. | Miscellaneous Permits, Waivers, and Approvals Including 30 CFR 75.1700, 75.1712, and 75.1716..... | 2-6 |
| 3. | Section 101(c) of the Act Petitions for Modification | 2-6 |
| E. | Miscellaneous | 2-6 |
| 1. | Part 50 - Reportable Accidents | 2-7 |
| 2. | 30 CFR 77.516 - Notification to Operator | 2-7 |
| 3. | Part 49 - Mine Rescue..... | 2-7 |
| 4. | Part 90 - Black Lung - Pneumoconiosis | 2-7 |
| F. | Special Emphasis Program Information | 2-7 |
| G. | Review Documentation..... | 2-8 |
| 1. | Inspector's Certification Forms - (Mine File Reviewed) | 2-8 |
| 2. | Mine File Document Charge-Out Cards | 2-8 |
| 3. | Supervisor/Accountability Review Certification Form | 2-8 |
| Chapter 3 - Surface Mine Files | | 3-1 |
| A. | Special Attention Areas | 3-1 |
| B. | General Mine Information | 3-1 |
| 1. | Mine and DWP Status..... | 3-1 |
| 2. | Outstanding Citations/Orders | 3-1 |
| 3. | Section 104(d) of the Act - Unwarrantable Failure | 3-1 |
| 4. | Section 104(e) of the Act - Pattern of Violation..... | 3-2 |
| 5. | Legal Identity Report | 3-2 |
| C. | Plans..... | 3-2 |
| 1. | Section 115 of the Act - Mandatory Health and Safety Training; 30 CFR 77.107 - Training and Retraining Programs | 3-2 |
| 2. | 30 CFR 77.1000 - Ground Control Plan | 3-2 |
| 3. | 30 CFR 71.300 - Respirable Dust Control Plans - Surface Mines | 3-2 |
| 4. | 30 CFR 71.805 - Hearing Conservation Plan | 3-3 |
| 5. | 30 CFR 77.215 and 77.216 - Impoundments and Refuse Pile Information | 3-3 |
| D. | Waivers, Permits, Petitions, etc. | 3-3 |
| 1. | Miscellaneous Waivers, Permits, and Approvals | 3-3 |
| 2. | Section 101(c) of the Act - Petitions for Modification | 3-3 |
| E. | Miscellaneous | 3-4 |
| 1. | Part 50 - Reportable Accidents | 3-4 |
| 2. | 30 CFR 77.516 - Notification to Operator | 3-4 |
| 3. | Part 90 - Black Lung - Pneumoconiosis | 3-4 |
| F. | Special Emphasis Program Information | 3-4 |

| | | |
|----|---|-----|
| G. | Review Documentation..... | 3-5 |
| 1. | Inspector's Certification Form - (Mine File Reviewed)..... | 3-5 |
| 2. | Mine File Document Charge-Out Cards..... | 3-5 |
| 3. | Supervisor/Accountability Review Certification Form..... | 3-5 |
| | Appendix..... | A-1 |
| | A-Retention Schedule/Order of Placement of Contents (Underground Mine File) | |
| | B-Retention Schedule/Order of Placement of Contents (Surface Mine File) | |
| | C-MMU/DA/DMP Data | |
| | D-Summary of Safeguards | |
| | E-Impoundments and Refuse Pile Information (77.215 - 77.216) | |
| | F-Summary of Field Modifications - Lighting Systems | |
| | G-Summary of Field Modifications of Approved Equipment | |
| | H-Summary of Gas Well Permits | |
| | I-Summary of Petitions for Modification - 101(c) | |
| | J-Inspector Certification Form - Mine File Reviewed | |
| | K-Supervisor/Accountability Review Certification | |
| | L-Mine File Document Charge-Out | |

Chapter 1 - General Instructions

- A. Purpose and Use. The primary purpose of the Uniform Mine File (UMF) System is to provide enforcement personnel with current and complete information for each underground and surface mine that is contained in one file. The information is readily accessible for review before an inspection is conducted. The file is usually maintained at the field or satellite office from which the mine is inspected. This provides for convenience of access to aid periodic reviews of mandatory information required to be submitted by the operator.

Guidelines for establishing and maintaining the files are standard throughout the Coal Districts of MSHA; therefore, the information in a mine file in one District field office will be arranged and filed in a manner identical to that of any other District field office.

Surface and underground files are easily distinguishable by the color of the binders. Underground mine files are in black binders, and surface mine files are in red binders. Each binder will have an outside label and contain dividers with labeled tabs to aid in the location of specific information in each section of the file. A person or persons will be assigned responsibility for maintaining the UMF in each field office.

- B. Contents. Some of the contents in the file are permanent information and are to be maintained indefinitely, while other material and documents are to be removed when outdated or no longer applicable and replaced with current information.
- C. Control Requirements. Control requirements provide for:
1. a retention schedule for specific documents;
 2. a charge-out system to control documents temporarily removed from the mine file;
 3. documentation that the mine file was reviewed by the coal mine inspectors (documentation shows when the review was conducted, by whom, and results of the review); and

4. documentation that the mine file was reviewed by supervisory, district, or headquarters personnel. This documentation shows when the review was conducted, by whom, and the results of the review.
- D. District Office Responsibilities. All UMF documents originating at the district or subdistrict shall be stamped by district or subdistrict office personnel, in the upper right hand corner, using red ink and a special UMF stamp. The stamp will denote "Underground Mine File" or "Surface Mine File," whichever is appropriate. The date the document was forwarded to the field office is also recorded. This action will serve to alert field office personnel that the document must be filed in the appropriate mine file.
- E. Field Office Responsibilities. All documents, stamped by the district or subdistrict office denoting either "Underground Mine File" or "Surface Mine File," must be filed in the appropriate mine file when received. The employee(s) charged with the responsibility of maintaining the UMF for each active mine shall stamp every document in the lower right hand corner. The stamp will disclose the date it was filed and the initials of the individual filing the document. To properly maintain the UMF, obsolete documents must be removed, and the charge-out card system must be used to account for documents temporarily removed from the file. The charge-out system will fix responsibility for the return of documents to the file. No portion of any file should be removed from the field office.

The individual responsible for maintaining the files may not be aware when plans, or other documents, become obsolete and should be removed from the files. It is the responsibility of inspectors, specialists, and supervisors reviewing the files to inform the responsible person when such information and documents are to be removed.

- F. Inspector/Specialist Responsibilities. Each inspector and specialist will review the UMF just prior to conducting any inspection or investigation of a mine or facility. The type of event and the area to be inspected will dictate the extent of the review. For example, an inspector or specialist conducting a Regular Safety and Health Inspection (AAA) or a spot inspection (CAA) must review the file in its entirety. However, an inspector conducting a limited inspection, for example of elevators, is required to review only those sections of the file pertinent to the inspection. The sections of the file reviewed and the type of event will

be identified in the comment section of the Inspector's Certification Form, MSHA Form 2000-137.

The inspector or specialist will complete the Inspector's Certification Form during each review. Any deficiencies identified during a review will be noted on the MSHA Form 2000-137 and be called to the attention of the person responsible for maintaining the file. The MSHA supervisor having responsibility for the mine should be informed, if appropriate. The supervisor must always be informed when a review discloses that any of the required information has not been submitted and enforcement action is needed to acquire such information.

Inspectors and specialists who are conducting an AAA inspection at a mine are not required to review the file and sign the inspector's certification sheet for any other inspections (103(i), 103(g), etc.) they conduct at the same mine concurrently with the AAA inspection.

Inspectors and specialists who are not assigned to the office where the UMF is kept are not required to personally review and sign the file prior to visits to a mine when the field office is not on the route of travel to the mine. Instead, the inspector or specialist must contact either the field office supervisor or inspector assigned to that mine prior to the mine visit. The field office personnel contacted will update the inquiring inspector/specialist on any problems, outstanding citations/orders, etc., at that mine. The office personnel will complete and sign the MSHA Form 2000-137 indicating the review was done by him or her, and that pertinent information was forwarded to the inquiring inspector or specialist. The name of the inquiring inspector or specialist is to be recorded on the form. When the UMF is kept at a satellite office, attempts will be made to contact that office for an update. Should the attempts fail, the field office supervisor responsible for the mine will be contacted for an update. These exceptions to reviewing the UMF are allowed with the understanding that pertinent inspection information will be reviewed at another source.

- G. Field Office Supervisor Responsibilities. It is the responsibility of field office supervisors to annually review each UMF for mines assigned to their work group to: (1) ensure that inspectors and specialists are reviewing the files prior to inspections and investigations; (2) ensure that comments made on the Inspector Certification Form have been addressed; and (3) ensure the file is complete and up-to-

date. Any deficiencies disclosed by the supervisor's review will be identified to the person responsible for maintaining the file and noted on the MSHA Form 2000-138. The supervisor will complete the Supervisor/Accountability Review Certification, MSHA Form 2000-138, during each annual review.

- H. Arrangement of Files. The UMFs are arranged by underground mines, surface mines, and facilities. Each series is maintained in numerical ascending order by mine identification number. Required information must be placed in the file in accordance with this handbook.

- I. Retention Schedule/Order of Placement of Contents. A Retention Schedule and Order of Placement of Contents, MSHA Form 2000-166 or 2000-167, is to be placed in the front of each UMF, as appropriate. Material will be placed in the UMF in the order indicated on these forms. Each UMF contains seven divided and tabbed general subject areas following the MSHA Form 2000-166 or 2000-167. Each general subject area is further subdivided into tabbed sections containing specific information, documents, plans, etc. Tabs are labeled using the general subject area titles and section titles used in this handbook.

Chapter 2 - Underground Mine Files

- A. Special Attention Areas. The use of this divided subject area is optional and contains memoranda, notes, or letters that identify any particularly hazardous or otherwise noteworthy condition, event, or circumstance that an inspector or specialist should be aware of prior to visiting a mine. Information placed in this section is at the discretion of the district or subdistrict manager.
- B. General Mine Information. This divided area is required to contain general mine information. Subdividers with labeled tabs are required for sections containing information on Mine and Mechanized Mining Unit (MMU)/Designated Area (DA)/Designated Work Position (DWP) Status, Citations and Orders, 104(d) Unwarrantable Failure Violations, 104(e) Pattern of Violation, Safeguards, and the Legal Identity Report.
1. Mine and MMU/DA/DWP Status. The following documents are required to be maintained under this section:
 - a. A copy of the MIS printout "Mine Inspection and Violation History" (Product ID: MSN065) that will contain mine activity data for at least the previous two quarters. This printout will be updated quarterly.
 - b. Rock dust survey and gas analysis results from the most recent AAA inspection.
 - c. Copies, furnished by the District/Subdistrict Office, of all MMU/DA/DWP Status, MSHA Form 2000-142, and a copy of the most recent MIS computer printout MSN078 for the mine. The MSN078 and Forms 2000-142 are replaced on a quarterly basis.
 2. Outstanding Citations/Orders. Under this section, copies of citations and orders issued at the mine, which have not been terminated at the time of the inspector's post-inspection or interim close-out conference, are filed and maintained until terminated. Any subsequent actions such as modifications, extensions, etc., that are issued prior to termination are to be kept current in the file.
 3. Section 104(d) Unwarrantable Failure. Information regarding the status of the mine relative to the unwarrantable sequence is required to be filed in this section. Also, the tracking system for establishing a

"clean inspection" is required to be maintained in this section after the first 104(d)(1) order is issued. Only the most current information for tracking a "clean" inspection is filed at this location.

4. Section 104(e) Pattern of Violation. If a mine has been issued a "Notice of Pattern of Violations," the notice and related data are required to be filed in this section.
5. Summary of Notice to Provide Safeguards. A Summary of Safeguards, MSHA Form 2000-136, is required to be filed under this section. Form 2000-136 is used to list and summarize each Notice to Provide Safeguards that has been issued to the mine. Copies of the actual safeguard notices are to be included under this section or filed in another file in the field office accessible to enforcement personnel with a reference notation included under this separator.

Whenever an inspection report containing a safeguard notice is received in the field office, the person responsible for maintaining the file should record the safeguard on the summary sheet and place a copy of the safeguard notice in this section or in the separate file where safeguard notices are kept. It is the responsibility of the supervisor and inspectors, while reviewing the files, to ascertain if the safeguard notices have been included in the summary listing.

6. Legal Identity Report. A copy of the current Legal Identity Report (Form 2000-7) for the mine is filed in this section. If the supervisor or inspector reviewing the file has knowledge of changes in the report and more than 30 days have elapsed since the change occurred, appropriate action should be taken to have the mine operator update the information.
- C. Plans. Approved or required plans are filed under this divider. Subdividers with labeled tabs are to be provided for each of the following indicated sections. The latest approved documents are required to be maintained in each section and outdated or expired documents are to be routinely removed.

In the event a new operator submits and is granted approval to use the plans of a previous operator, a copy of the letter and approval memorandum is placed immediately behind this divider.

1. Section 115 of the Act - Mandatory Health and Safety Training; 30 CFR 75.160/77.107 - Training and Retraining Program. In this section of the file a copy of the approval letter(s), the mine plan for training and retraining of certified and qualified persons (75.160 and 77.107), and the Part 48 training program mandated by Section 115 of the Act, are required to be filed and updated when necessary.
2. 30 CFR 75.220 - Roof Control Program and Plans; 30 CFR 77.1000 - Ground Control Plan. A copy of the current roof control plan and all additional supplements are required to be filed under this section. Ground control plans (when appropriate) for new mines, letters of approval for ATRS systems in lieu of canopies, and the latest roof control plan review form are to be filed in this section.
3. 30 CFR 75.370 - Mine Ventilation Plan. The following information and documents are required to be filed in this section:
 - a. The current approved mine ventilation plan, along with the letter of approval and the required maps. The corresponding map may be stored outside of this file or at another location in this UMF if a reference sheet identifying the storage location of the map is placed in this section.
 - b. All current dust control plans for mechanized mining units and designated areas. This does not include Part 90 dust control plans.
 - c. The mine ventilation plan is required to be reviewed every 6 months. Therefore, current documentation attesting to this fact must be filed in this section. The current review form, MSHA Form 2000-204, filled out by the inspector during the last AAA inspection, is required to be filed.
 - d. MSHA Form(s) 2000-86, Appraisal of the Dust Control Plan.
 - e. Any information on reduced respirable dust standards.
 - f. Any copies of MSHA Form 2000-96, Designated Occupation Change Notice.

4. 30 CFR 75.388(f) - Roof/Floor Borehole Plan. The current approved plan for drilling test holes in the roof or floor, along with the approval letter, are required to be filed in this section.
5. 30 CFR 75.388(g) - Alternative Borehole Pattern Plan. Any approved alternative borehole drilling plan is required to be filed in this section.
6. 30 CFR 75.389 - Inaccessible Area Mining Plan. All approved plans to mine into or through inaccessible areas are required to be placed in this section. The plan shall be removed when the operation is completed.
7. 30 CFR 75.1101-23(a) - Program of Instruction, Location and Use of Firefighting Equipment; Escapeways and Exits; Evacuation Procedures; Fire Drills. The written program for the instruction of all miners in the location and use of firefighting equipment, location of escapeways, exits, routes of travel to the surface, and proper evacuation procedures to be followed in the event of an emergency, along with the latest approval letter, are required to be filed in this section. The review of this program is of extreme importance to determine if the plan, which may have been approved several years ago, is still applicable and adequate for the present situation at the mine. **A copy of the latest MSHA Form 2000-220, Self-Rescuer Survey Data Form, is also required to be filed in this section.**¹
8. 30 CFR 75.1714-2 - Self-Contained Self-Rescuer Storage Plan. A mine operator may apply to the district manager under 30 CFR 75.1101-23 for permission to place SCSRs, required under 30 CFR 75.1714, more than 25 feet away from the miners. If a mine has an approved storage plan, the plan, the approval letter, **and the most recent annual plan review documentation**² are required to be filed in this section and made part of the escape and evacuation plan. This is another critical review area to determine if the plan and actual conditions in the mine are compatible to the criteria used by the district manager for approval.

¹Incorporated provision previously issued in Coal Self-Rescuer Inspection Procedures Handbook, No. PH00-V-11.

²Requirement to include SCSR storage plan annual review documentation added.

9. 30 CFR 75.1702 - Smoking Program - Search Plan. A copy of the mine operator's approved smoking articles search program and the approval letter are to be filed in this section.
 10. 30 CFR 70.510/71.805 - Hearing Conservation Plan. Hearing conservation plans which have been approved at the mine are required to be filed in this section. Hearing conservation plans are required only when a noise violation has been issued at a mine. Therefore, some mines may not be required to have such plans. These plans are to be removed when no longer applicable.
 11. 30 CFR 71.300 - Respirable Dust Control Plans - Surface of Underground. When a mine is issued a citation for a violation of 30 CFR 71.100 or 71.101, a respirable dust control plan which is applicable to the work position identified in the citation is required to be submitted to the district manager for approval. A copy of each approved plan for any active Designated Work Position on the surface of the mine is to be filed in this section.
 12. 30 CFR 77.215 and 77.216 - Impoundments and Refuse Pile Information. An Impoundment and Refuse Pile Summary, MSHA Form 2000-206, or a fact sheet, is required to be filed under this section. The summary or fact sheet addresses the pertinent impoundment/refuse pile information including Impoundment Inspection Hazards Program, Abandonment Plans, and District Hazard Notification letters. The storage file location of any construction, design or other voluminous plans must also be identified.
 13. 30 CFR 77.1900 - Slope and Shaft Sinking Plan. Any slope or shaft sinking plan, along with the approval letter, are required to be filed in this section. When the slope or shaft sinking operation is completed, the plan will be removed from the file.
- D. Permits, Waivers, Petitions, etc.. Approved permits, waivers, petitions, etc., are to be filed under this divider. Subdividers with labeled tabs are required for each of the following indicated sections. The latest documents are required to be maintained in each section and outdated or expired documents are to be removed.

1. Field Modifications and Statements of Test and Evaluation (STE). Pertinent data is abstracted from the approved field modifications and entered on the appropriate summary sheets. Copies of the field modifications and STEs are not kept in the UMF, but are kept in a mine file drawer, identified and accessible for review. Summary sheet(s), MSHA Form 2000-176, listing modifications regarding STEs required by 30 CFR 75.1719 are required to be filed in this section. Also, summary sheet(s), MSHA Form 2000-178, listing field modifications relative to 30 CFR 75.503 and 18.81 are required to be filed in this section. The field modification summary sheet includes modifications made on approved equipment used in outby areas of the mine and diesel equipment.
2. Miscellaneous Permits, Waivers, and Approvals Including 30 CFR 75.1700, 75.1712, and 75.1716. Copies of other permits, waivers or approvals that are not listed in the retention schedule are required to be filed in this section. Examples are bathhouse waivers, permits to mine under impounded water, etc.

A Summary of Gas Well Permits, MSHA Form 2000-179, is required to be filed in this section, if such permits have been issued to the mine. A copy of the actual permit may also be kept in this section since they are concise and require minimum filing space. Active permits are required to be summarized on the MSHA form.

3. Section 101(c) of the Act Petitions for Modification. A Summary of Petitions for Modification, MSHA Form 2000-177, is required to be filed in this section. The summary form includes only granted petitions. Petitions that no longer apply to active workings should be flagged for revocation on the summary form and noted on the inspector certification form. When the flagged petition is revoked, it will be "lined-through" on the summary sheet. The actual petitions should be filed in an identified mine file drawer and made accessible for review.

- E. Miscellaneous. Miscellaneous forms, letters and documents are to be filed under this divider. Subdividers with labeled tabs are required for each of the following sections. The latest document(s) is required to be maintained in each section and outdated or expired documents are to be routinely removed.

1. Part 50 - Reportable Accidents. Copies of Mine Accident, Injury and Illness Reports, MSHA Form 7000-1, for the previous four quarters are required in this section. The reports are to be removed quarterly, so that only one year of history is retained in the UMF.
 2. 30 CFR 77.516 - Notification to Operator. It has been the practice of many district managers to notify operators of surface coal-handling facilities in writing of the classification of hazardous locations, in accordance with 30 CFR 77.516. This regulation states that "all wiring and electrical equipment installed after June 30, 1971, shall meet the requirements of the National Electric Code in effect at the time of installation." If such notifications have been issued, a copy of the notification is required to be filed in this section.
 3. Part 49 - Mine Rescue. Part 49 requires each operator of an underground mine to send to the district manager a statement describing the mine's method of complying with this Part. A copy of the operator's statement is required to be filed in this section.
 4. Part 90 - Black Lung - Pneumoconiosis. Since identity of Part 90 miners is privileged information and cannot be made public, a statement which indicates whether or not a Part 90 miner is employed at this mine is required to be placed in this section. Also indicate that Part 90 dust control plans are in effect, if appropriate. This serves to advise anyone reviewing the file of the existence of a Part 90 miner employed at the mine, so that MSHA policy regarding Part 90 miners can be carried out during scheduled inspections. The list of Part 90 miners and associated dust control plans are not to be kept in the UMF, but are to be kept at the field office for review by authorized personnel only.
- F. Special Emphasis Program Information. Special emphasis program information is to be filed under this divider. This optional area can be used for both national and district or subdistrict special emphasis program information. However, each section must be clearly identified as to the special emphasis program being addressed. Subdividers with labeled tabs are required for each section; for example, REAP, Accident Reduction Program, etc. The latest document(s) are required to be maintained in each section and outdated or expired documents are to be removed.

G. Review Documentation. Review and charge-out documents are to be filed under this divider. Subdividers with labeled tabs are required for each of the following sections. Documents are required to be maintained in each section in accordance with the retention schedule, and outdated documents are to be routinely removed.

1. Inspector's Certification Forms - (Mine File Reviewed). Every time a UMF is reviewed by inspection personnel, an entry is required on the MSHA Form 2000-137. A supply of MSHA Form 2000-137 is required to be maintained in this section. The person reviewing the file completes the form by indicating the date reviewed, their signature, and comments regarding the contents in the file. For example, whether or not the file is complete and current, whether certain plans or mandatory information needs to be updated, whether certain documents need to be removed, etc. The sections of the file reviewed and the type of event is identified in the comment section of the form.
2. Mine File Document Charge-Out Cards. The Mine File Document Charge-Out, MSHA Form 2000-139, is a single sheet which will accommodate four transactions. A supply of Form 2000-139 is required to be maintained in this section. Whenever a document is removed from the UMF, a charge-out form is completed indicating the document removed, the date, and the signature and Authorized Representative or Right of Entry number of the person removing the document. When the document is returned, the return date is to be entered on the form.
3. Supervisor/Accountability Review Certification Form. A supply of Supervisor/Accountability Review Certification forms, MSHA Form 2000-138, is required to be maintained in this section. Entries are required on the form whenever a supervisor, district, or headquarters review is conducted. Entries shall include the date of the review, the reviewer's name, division of the agency making the review, the date the mine file was last reviewed by an inspector, and comments regarding the contents of the file.

Chapter 3 - Surface Mine Files

- A. Special Attention Areas. The use of this divided subject area is optional and contains memoranda, notes, or letters that identify any particularly hazardous or otherwise noteworthy conditions, events, or circumstances that an inspector or specialist should be aware of prior to visiting a mine. Information placed in this section is at the discretion of the district or subdistrict manager.
- B. General Mine Information. This divided area is required to contain general mine information. Subdividers with labeled tabs are required for sections containing information on Designated Work Position (DWP) Status, Citations and Orders, 104(d) Unwarrantable Failure Violations, 104(e) Pattern of Violation, and the Legal Identity Report.
1. Mine and DWP Status. The following documents are required to be maintained under this section:
 - a. A copy of the MIS printout "Mine Inspection and Violation History" (Product ID: MSN065), that contains mine activity data for at least the previous two quarters. This printout is updated quarterly.
 - b. Copies, furnished by the district or subdistrict office, of all MMU/DA/DWP data, MSHA Form 2000-142 and a copy of the most recent MIS computer print-out MSN078 for the mine. The MSN078 and Forms 2000-142 are replaced on a quarterly basis.
 2. Outstanding Citations/Orders. Under this section, copies of citations and orders issued at the mine, which have not been terminated at the time of the inspector's post-inspection or interim close-out conference, are filed and maintained until terminated. Any subsequent actions such as modifications, extensions, etc., that are issued prior to termination are to be kept current in the file.
 3. Section 104(d) of the Act - Unwarrantable Failure. Information regarding the status of the mine relative to the unwarrantable sequence is required to be filed in this section. Also, the tracking system for establishing a "clean inspection" is required to be maintained in this section after the first 104(d)(1) order

is issued. Only the most current information for tracking a "clean" inspection is filed at this location.

4. Section 104(e) of the Act - Pattern of Violation. If a mine has been issued a "Notice of Pattern of Violations," the notice and related data is required to be filed in this section.
 5. Legal Identity Report. A copy of the current Legal Identity Report, MSHA Form 2000-7, for the mine is filed in this section. If the supervisor or inspector reviewing the file has knowledge of changes in the report and more than 30 days has elapsed since the change occurred, appropriate action should be taken to require the mine operator to update the information.
- C. Plans. Approved or required plans are filed under this divider. Subdividers with labeled tabs are to be provided for each of the following indicated sections. The latest approved documents are required to be maintained in each section and outdated or expired documents are to be routinely removed.

In the event a new operator submits and is granted approval to use the plans of a previous operator, a copy of the letter and approval memorandum is placed immediately behind this divider.

1. Section 115 of the Act - Mandatory Health and Safety Training; 30 CFR 77.107 - Training and Retraining Programs. In this section of the file, a copy of the approval letter(s) and the mine's training plan for training and retraining of certified and qualified persons (77.107), and the Part 48 training program mandated by Section 115 of the Act, are required to be filed and updated when necessary.
2. 30 CFR 77.1000 - Ground Control Plan. Ground Control Plans are not approved by the district manager, but they must be submitted by the operator. Inspectors determine the adequacy of the plans during routine inspections. A copy of the current Ground Control Plan is required to be filed in this section, along with the district's acknowledgement letter.
3. 30 CFR 71.300 - Respirable Dust Control Plans - Surface Mines. When a mine is issued a citation for a violation of 30 CFR 71.100 or 71.101, a Respirable Dust

Control Plan, which is applicable to the work position identified in the citation, is required to be submitted to the district manager for approval. A copy of each approved plan applicable to active DWP is required to be filed in this section.

4. 30 CFR 71.805 - Hearing Conservation Plan. Hearing conservation plans which have been approved at the mine are required to be filed in this section. Hearing conservation plans are required only when a noise violation has been issued at a mine. Therefore, some mines may not be required to have such plans. These plans are to be removed when no longer applicable.
 5. 30 CFR 77.215 and 77.216 - Impoundments and Refuse Pile Information. An Impoundment and Refuse Pile Information summary, MSHA Form 2000-206, or a fact sheet is required to be filed under this section. The summary or fact sheet addresses the pertinent impoundment/refuse pile information including Impoundment Inspection Hazards Program, Abandonment Plans, and District Hazard Notification letters. The storage file location of any construction/design or other voluminous plans must also be identified.
- D. Waivers, Permits, Petitions, etc. Approved permits, waivers, petitions, etc., are filed under this divider. Subdividers with labeled tabs are required for each of the following indicated sections. The latest documents are required to be maintained in each section and outdated or expired documents are to be removed.
1. Miscellaneous Waivers, Permits, and Approvals. Copies of other type permits, waivers or approvals that are not listed in the retention schedule are required to be filed in this section. An example is a bathhouse waiver.
 2. Section 101(c) of the Act - Petitions for Modification. A summary Petitions for Modification - 101(c), MSHA Form 2000-177, is required to be filed in this section. The summary form includes only granted petitions. Petitions that no longer apply to active workings should be flagged for revocation on the summary form and noted on the inspector certification form. When the flagged petition is revoked, it will be "lined-through" on the summary sheet. The actual petitions should be filed in an identified mine file drawer and made accessible for review.

- E. Miscellaneous. Miscellaneous forms, letters and documents are to be filed under this divider. Subdividers with labeled tabs are required for each of the following sections. The latest document(s) are required to be maintained in each section and outdated or expired documents are to be removed.
1. Part 50 - Reportable Accidents. Copies of Mine Accident, Injury and Illness Reports, MSHA Form 7000-1, for the previous four quarters are required in this section. The reports are to be removed quarterly, so that only one year of history is retained in the UMF.
 2. 30 CFR 77.516 - Notification to Operator. It has been the practice of many district managers to notify operators of surface coal-handling facilities in writing of the classification of hazardous locations, in accordance with 30 CFR 77.516. This regulation states that "all wiring and electrical equipment installed after June 30, 1971, shall meet the requirements of the National Electric Code in effect at the time of installation." If such notifications have been issued, a copy of the notification is required to be filed in this section.
 3. Part 90 - Black Lung - Pneumoconiosis. Since identity of Part 90 miners is privileged information and cannot be made public, a statement which indicates whether or not a Part 90 miner is employed at this mine is required to be placed in this section. Also indicate that Part 90 dust control plans are in effect, if appropriate. This serves to advise anyone reviewing the file of the existence of a Part 90 miner employed at the mine, so that MSHA policy regarding Part 90 miners can be carried out during scheduled inspections. The list of Part 90 miners and associated dust control plans are not to be kept in the UMF, but are to be kept at the field office for review by authorized personnel only.
- F. Special Emphasis Program Information. Special emphasis program information is to be filed under this divider. This optional area can be used for both national and district or subdistrict special emphasis program information. However, each section must be clearly identified as to the special emphasis program being addressed. Subdividers with labeled tabs are required for each section; for example, REAP, Accident Reduction Program, etc. The latest document(s) are

required to be maintained in each section and outdated or expired documents are to be removed.

- G. Review Documentation. Review and charge-out documents are to be filed under this divider. Subdividers with labeled tabs are required for each of the following sections. Documents are required to be maintained in each section in accordance with the retention schedule, and outdated documents are to be routinely removed.

1. Inspector's Certification Form - (Mine File Reviewed). Every time a UMF is reviewed by inspection personnel, an entry is required on the MSHA Form 2000-137. A supply of Form 2000-137 is required to be maintained in this section. The person reviewing the file completes the form by indicating the date reviewed, their signature, and comments regarding the contents in the file. For example, whether or not the file is complete and current, whether certain plans or mandatory information needs to be updated, whether certain documents need to be removed, etc. The sections of the file reviewed and the type of event is identified in the comment section of the form.
2. Mine File Document Charge-Out Cards. The Mine File Document Charge-Out, MSHA Form 2000-139, is a single sheet which will accommodate four transactions. A supply of Form 2000-139 is required to be maintained in this section. Whenever a document is removed from the UMF, a charge-out form is completed indicating the document removed, the date, and the signature and Authorized Representative or Right of Entry number of the person removing the document. When the document is returned, the return date is to be entered on the form.
3. Supervisor/Accountability Review Certification Form. A supply of Supervisor/Accountability Review Certification, MSHA Form 2000-138, is required to be maintained in this section. Entries are required on the form whenever a supervisor, district or headquarters review is conducted. Entries shall include the date of the review, the reviewer's name, division of the agency making the review, the date the mine file was last reviewed by an inspector, and comments regarding the contents of the file.

Appendix

- A. Retention Schedule/Order of Placement of Contents (Underground Mine File); MSHA Form 2000-166
- B. Retention Schedule/Order of Placement of Contents (Surface Mine File); MSHA Form 2000-167
- C. MMU/DA/DWP Data; MSHA Form 2000-142
- D. Summary of Safeguards; MSHA Form 2000-136
- E. Impoundments and Refuse Pile Information (77.215 - 77.216); MSHA Form 2000-206
- F. Summary of Field Modifications - Lighting Systems; MSHA Form 2000-176
- G. Summary of Field Modifications of Approved Equipment; MSHA Form 2000-178
- H. Summary of Gas Well Permits; MSHA Form 2000-179
- I. Summary of Petitions for Modification - 101(c); MSHA Form 2000-177
- J. Inspector Certification Form - Mine File Reviewed; MSHA Form 2000-137
- K. Supervisor/Accountability Review Certification; MSHA Form 2000-138
- L. Mine File Document Charge-Out; MSHA Form 2000-139