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Coal Uniform Mine File Procedures Handbook

PREFACE

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 Previously issued procedures and instructions on this subject matter are superseded by this handbook.

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Date

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Chapter 1 - General Instructions

A. Purpose and Use

The purpose of the Uniform Mine File (UMF) System is to provide enforcement personnel with current and complete information for each underground and surface mine contained as a single file. This file is usually maintained at the field office from which the mine is inspected and/or maintained in an electronic format accessible to multiple offices. This file is conveniently located and easily accessible for review of required information submitted by the operator.

Guidelines for establishing and maintaining the files are standardized so that 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 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. An employee will be assigned responsibility for maintaining the UMF in each field office.

B. Contents

Some of the file contents are permanent information and are to be maintained indefinitely, while other material and documents are to be removed when outdated or no longer relevant and replaced with updated information.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; and
3. documentation that the mine file was reviewed by the coal mine inspector and by supervisory, district, or headquarters personnel showing when the review was conducted, by whom, and results of the review.

D. District Office Responsibilities

All UMF documents originating at the district shall bear a stamp in the upper right hand corner in red ink denoting "Underground Mine File" or "Surface Mine File," as appropriate. The date the document was forwarded to the field office is also recorded. Affixing this stamp to the documents and recording the date

forwarded alerts field office personnel that the document must be filed in the appropriate mine file.

E. Field Office Responsibilities

All documents stamped by the district office denoting either "Underground Mine File" or "Surface Mine File" must be filed in the appropriate mine file when received. The employee 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 affix responsibility for the return of documents to the file. No portion of any file should be removed from the field office.

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

When documents are removed or inserted into the UMF, the inspector conducting the E01 inspection at the mine should be made aware of the changes. This gives the inspector an opportunity to review new information.

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. An inspector or specialist conducting a Regular Safety and Health Inspection (E01) must review the file in its entirety. However, an inspector or specialist conducting a limited inspection (one that is specific in nature and is typically of short duration) may review only the portions of the UMF that are pertinent to the area to be inspected. For example, a specialist who will only be inspecting a mine's bleeder system will be conducting a limited inspection. Likewise, an inspector assisting in inspection activities in a specific or limited area of the mine will be conducting a limited inspection. For a limited underground inspection, an inspector must review the roof control plan, the ventilation plan, and any other portions of the UMF that are pertinent to the area to be inspected. The types of events and whether the review is for a limited inspection 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 for each UMF reviewed. After an inspector or specialist has certified that a complete review of the UMF has been made, it is not necessary to provide additional certification if any portion of the UMF is reviewed again during the same quarter for underground mines or during the same fiscal year half for surface mines. However, additional certification is required if an inspector or specialist initially reviews and certifies the review of only those portions of the UMF related to a limited inspection and then later reviews additional information for other inspection activities to be conducted at the mine. Any deficiencies identified during a review will be noted on the MSHA Form 2000-137 and brought to the attention of the field office supervisor and corrections made immediately.

Inspectors and specialists who certify a complete review of the UMF for an E01 inspection at a mine do not have to certify additional reviews for other inspection or investigation activities they conduct at the same mine during the quarter.

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 the field office supervisor or the E01 inspector prior to the mine visit. The supervisor or inspector contacted will update the inquiring inspector or specialist on any problems, recent plan changes, outstanding citations/orders, etc., at that mine. If the field office supervisor and E01 inspector are not available, the inspector or specialist may contact the field office secretary or other office personnel. The person contacted (supervisor, inspector, secretary, etc.) will complete and sign the MSHA Form 2000-137 indicating the review was completed and that any requested 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. 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

Field office supervisors are responsible for annually reviewing each UMF for mines assigned to their work group to ensure that: (1) inspectors and specialists are reviewing the files prior to inspections and investigations; (2) comments made on the Inspector Certification Form have been addressed; and (3) the file is complete and up-to-date. Any deficiencies disclosed by the supervisor's review will be identified to the employee 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. The supervisor will coordinate with the appropriate specialist supervisor to request any missing documents.

H. Specialist Supervisor Responsibilities

The specialist supervisor will make certain that each specialist in their program area has reviewed and certified the appropriate UMF. If necessary, the specialist supervisor may contact the appropriate field office to ensure that certification has been provided.

Each specialist supervisor is responsible for sending a list of the approved plans and related addenda from MSIS to the appropriate field office supervisor during each 6-month review. Lists of plans that do not require 6-month reviews will be sent to the appropriate field office supervisor at least yearly. The field office supervisor is responsible for assuring the required content is present.

I. 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.

J. Retention Schedule/Order of Placement of Contents

A Retention Schedule and Order of Placement of Contents, [MSHA Form 2000-166](#) or [MSHA Form 2000-167](#), is to be placed in the front of each UMF, as appropriate. Contents 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 sub-divided 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.

K. Electronic Uniform Mine File (EUMF)

Where an electronic version of the UMF (EUMF) is used, the purpose and use, contents, control requirements, responsibility, arrangements of files, retention schedule and order of content placement in the EUMF are identical to the hard copy UMF. Where both a hard copy UMF and an EUMF are available for review, inspectors, specialists, and supervisors may review and certify either version. It is not necessary to certify both the EUMF and the hard copy UMF.

Chapter 2 – Underground Mine Files**A. Special Attention Areas**

This divided subject area is for filing memoranda, notes, letters, technical reports, and other information that identify any particularly hazardous or otherwise noteworthy condition, practice, event, or circumstance of which an inspector or specialist should be aware prior to visiting a mine.

This subject area must contain, at a minimum, the following items:

1. a copy of all formal fatal and non-fatal MSHA accident investigation reports, including those authored by MSHA Technical Support, that are not related to any of the sub-divided categories listed under **C. Plans** of this chapter to be maintained for the life of the mine (these reports may be maintained in a separate file with a note filed in this divided subject area directing reviewers to their location);
2. a copy of all MSHA Technical Support technical study reports and memoranda with recommendations for the mine that are not related to any of the sub-divided categories listed under **C. Plans** of this chapter to be maintained for the life of the mine (these reports may be maintained in a separate file with a note filed in this divided subject area directing reviewers to their location); and
3. a copy of the mine operator's current program for regular cleanup and removal of accumulations of coal and float coal dusts, loose coal, and other combustibles required by 30 CFR § 75.400-2 (Cleanup Program).

Any additional information placed in this section is at the discretion of the District or Assistant District Manager.

B. General Mine Information

Sub-dividers with labeled tabs are required for filing information on Mine and Mechanized Mining Unit (MMU)/Designated Area (DA)/Designated Work Position (DWP)/Designated Occupation (DO) Status, Citations and Orders, Section 104(d) Unwarrantable Failure Violations, Section 104(e) Pattern of Violations, Safeguards, and the Legal Identity Report.

1. Mine and MMU/DA/DWP/DO Status
The following documents are required to be maintained in this sub-divided area:

- a. an up-to-date copy of the Mine Information Form generated from the MSHA Standardized Information System (MSIS);
 - b. rock dust survey and gas analysis results from the most recent E01 inspection; and
 - c. copies, furnished by the District Office, of all MMU/DA/DWP/DO Status, [MSHA Form 2000-142](#), and a copy of the most recent MIS computer printout MSN078 for the mine. (The MSN078 and 2000-142 forms are replaced on a quarterly basis.)
2. Outstanding Citations/Orders
Copies of citations and orders issued at the mine that have not been terminated at the time of the inspector's post-inspection or interim close-out conference must be filed in this sub-divided area 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. Flagrant Violations
Copies of enforcement actions issued for violations designated as flagrant and copies of the completed Special Assessment Review forms must be filed in this sub-divided area and maintained for the life of the mine. Subsequent actions associated with the enforcement action are also to be maintained in the file.
 4. Section 104(d) Unwarrantable Failure
Information regarding the status of the mine relative to the unwarrantable sequence is required to be filed in this sub-divided area. Also, the tracking system for establishing a "clean inspection" is required to be maintained in this sub-divided area after the first Section 104(d)(1) order is issued. Only the most current information for tracking a "clean" inspection is to be filed.
 5. Section 104(e) Pattern of Violations and Corrective Action Programs
If a mine has been issued a "pattern of violations notice" under 30 CFR § 104.3(a), the notice and related data are required to be filed in this sub-divided area. Approved Corrective Action Programs (CAP) are to be filed here as well.
 6. Summary of Notice to Provide Safeguards
A Summary of Safeguards, [MSHA Form 2000-136](#), is required to be filed in this sub-divided area. 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 filed here or in another file within the field office accessible to enforcement personnel. If copies of the safeguard notices are in another file, a note must be filed in this sub-divided area directing reviewers to their location.

Whenever an inspection report containing a safeguard notice is received in the field office, the employee responsible for maintaining the file should record the safeguard on the summary sheet and place a copy of the safeguard notice in this sub-divided area or in the separate file where safeguard notices are kept. Field office supervisors and inspectors are responsible for ensuring that the safeguard notices have been included in the summary listing.

7. Legal Identity Report

A copy of the current Legal Identity Report (Form 2000-7) for the mine is filed in this sub-divided area. 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 ensure the mine operator updates the information.

C. Plans

Approved and required plans are filed under this divider. Sub-dividers with labeled tabs are to be provided for each of the categories listed below. The latest approved documents are required to be maintained in the appropriate sub-divided area and outdated or expired documents are to be routinely removed.

A copy of all formal fatal and non-fatal MSHA accident investigation reports, including those authored by MSHA Technical Support, and a copy of all MSHA Technical Support technical study reports and memoranda with recommendations for the mine are to be filed in the corresponding sub-divided area listed below. For example, Technical Support conducts a technical study of the mine's bleeder system and files a report with recommendations related to ventilation. A copy of this report must be filed in the 30 CFR § 75.370 - Mine Ventilation Plan sub-divided area. Such reports are to remain in the respective sub-divided area for the life of the mine. Reports that do not fit into one of the listed categories are to be filed as described under this chapter's **A. Special Attention Areas** subject area. If the reports are too voluminous they may be maintained in a separate file with a note filed in the applicable sub-divided area directing reviewers to their location.

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

1. Section 115 of the Act – Mandatory Health and Safety Training; 30 CFR §§ 75.160/77.107; 30 CFR Part 48-Training and Retraining Program
A copy of the approval letters, the mine plans for training and retraining certified and qualified persons (30 CFR §§ 75.160 and 77.107), and the Part 48 training program mandated by Section 115 of the Act are required to be filed in this sub-divided area and updated as necessary.

2. 30 CFR § 75.220 - Roof Control Plan; 30 CFR § 77.1000 - Ground Control Plan
A copy of the current approved roof control plan and all additional approved supplements and addenda, along with the letters of approval, are required to be filed in this sub-divided area. Ground control plans (as appropriate) for new mines, letters of approval for ATRS systems in lieu of canopies, and the latest quarterly roof control plan review form (MSHA Form 2000-204) completed by the inspector (including any correspondence to the inspector and to the field office supervisor related to deficiencies identified on the form) are to be filed here as well.

3. 30 CFR § 75.370 - Mine Ventilation Plan
A copy of the current approved mine ventilation plan and all approved supplements and addenda to the approved plan, along with the letters of approval and the required maps, are required to be filed in this sub-divided area. The corresponding map may be stored outside of this file or at another location in this UMF if a note identifying the storage location of the map is filed here. A copy of all approved sealing plans and professional engineer (PE) certifications shall also be maintained in this sub-divided area for as long as the seals are needed to serve the purposes for which they were built. All current dust control plans, except for Part 90 dust control plans, for MMUs and designated areas that are not included in the ventilation plan shall also be filed. Information on reduced respirable dust standards, the latest *Respirable Dust Sampling and Monitoring Data* forms ([MSHA Form 2000-86](#)), and *Designated Occupation Change Notice* forms ([MSHA Form 2000-96](#)) must also be filed.

The mine ventilation plan is required to be reviewed every 6 months. Therefore, current documentation attesting to this fact must be filed in this sub-divided area. MSHA Form 2000-204, filled out by the inspector during the last E01 inspection, is required to be filed here along with any correspondence to the inspector and to the field office supervisor related to deficiencies identified on the form.

4. 30 CFR § 75.388(f) – Boreholes in Advance of Mining
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 sub-divided area.
5. 30 CFR § 75.388(g) - Alternative Borehole Pattern Plan
Any approved alternative borehole drilling plan is required to be filed in this sub-divided area.
6. 30 CFR § 75.389 - Inaccessible Area Mining Plan
All approved plans to mine into or through inaccessible areas are required to be filed in this sub-divided area. The plan shall be removed when the operation is completed.
7. 30 CFR § 75.1502 – Mine Emergency Evacuation and Firefighting Program of Instruction
The written program of instruction, along with the latest approval letter, is required to be filed in this sub-divided area. This includes self-contained self-rescuer (SCSR) storage plans for placing the 1-hour SCSRs required under 30 CFR § 75.1714(a) more than 25 feet away from miners. These plans are submitted under 30 CFR § 75.1502 and approved as permitted by applicable provisions of 30 CFR § 75.1714-2. Approved plans involving the use of self-contained breathing apparatuses (SCBAs) will also be filed here. All review documentation is to be filed as well. The review of this program is extremely important to determine if the plan is still applicable and adequate for the present situation at the mine.
8. Emergency Response Plan (ERP)
A copy of the current approved ERP, along with the approval letter, describing the refuge alternatives, post-accident two-way communication system, means of electronic tracking of miners, post-accident breathable air, annual performance testing of the SCSRs used at the mine, and local coordination is required to be filed in this sub-divided area. The most recent review documentation is also required to be filed. This is another critical review area to determine whether the plan and actual conditions in the mine are compatible with the criteria used by the district manager for approval. Updates to the ERP that reflect changes in operations in the mine, technology advances or other relevant considerations are to be filed here as well.
9. 30 CFR § 75.1702-1 - Smoking Program
A copy of the mine operator's approved smoking articles search program and the approval letter are to be filed in this sub-divided area.

10. 30 CFR § 71.300 - Respirable Dust Control Plans (Surface of Underground)
Within 15 calendar days after the termination date of a citation issued for a violation of 30 CFR § 71.100 or § 71.101, a respirable dust control plan applicable to the work position identified in the citation is required to be submitted to the district manager for approval under 30 CFR § 71.300. A copy of each approved plan for any active designated work position on the surface of the mine is to be filed in this sub-divided area.
11. 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 in this sub-divided area. 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.
12. 30 CFR § 77.1900 - Slope and Shaft Sinking Plan
Any slope or shaft sinking plan, along with the approval letter, is required to be filed in this sub-divided area. 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. Sub-dividers with labeled tabs are required for each category listed below. The latest documents are required to be maintained in each sub-divided area 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 sheets, [MSHA Form 2000-176](#), listing modifications regarding STEs required by 30 CFR § 75.1719 are required to be filed in this sub-divided area. Summary sheets, [MSHA Form 2000-178](#), listing field modifications relative to 30 CFR §§ 75.503 and 18.81 are also required to be filed. 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 sub-divided area. 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 as applicable. A copy of the permit may also be filed here 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 sub-divided area. 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 a designated location and made accessible for review.

E. Miscellaneous

Miscellaneous forms, letters and documents are to be filed under this divider. Sub-dividers with labeled tabs are required for each of the following categories. The latest documents are required to be maintained in the appropriate sub-divided area 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 to be filed in this sub-divided area. The reports are to be removed quarterly so that only one year of history remains in the UMF.

2. Hazard Complaints

All complaints (sanitized versions) are required to be filed in this sub-divided area, including the sanitized version of the findings (both positive and negative). The complaints are to be removed quarterly so that only one year of history remains in the UMF.

3. 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 standard 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 notification has been issued, a copy of the notification is required to be filed in this sub-divided area.

4. Part 49 - Mine Rescue

As required under 30 CFR § 49.12(h), each operator of an underground mine must send to the district manager a statement describing the mine's method of complying with mine rescue team coverage. A copy of the most recent operator's statement is required to be filed in this sub-divided area. The latest copy of the annual statement of certification of mine rescue team qualifications, required to be sent to the district manager under 30 CFR § 49.50, is also required to be filed.

5. Part 90 - Black Lung – Pneumoconiosis

Since the identity of Part 90 miners is privileged information and cannot be made public, a statement indicating whether or not a Part 90 miner is employed at this mine is required to be filed in this sub-divided area. Also indicate that Part 90 dust control plans are in effect, if appropriate. This serves to advise personnel 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 special emphasis program information. Sub-dividers with labeled tabs are required for each category of special emphasis program; for example, PROP, Accident Reduction Program, etc. The latest documents are to be maintained in each corresponding sub-divided area and outdated documents are to be removed.

G. Review Documentation

Review and charge-out documents are to be filed under this divider. Sub-dividers with labeled tabs are required for each of the following categories. Documents are required to be maintained in each sub-divided area in accordance with the retention schedule, and outdated documents are to be routinely removed.

1. Inspector's Certification Forms - (Mine File Reviewed)
An entry is required on the [MSHA Form 2000-137](#) when the UMF is reviewed. If an inspector or specialist certifies that a complete review of the UMF has been made, additional certification is not required if portions are reviewed again during the same quarter. A supply of MSHA Form 2000-137 is required to be maintained in this sub-divided area. The inspector reviewing the file completes the form by noting the review completion date, providing their signature, and providing relevant comments regarding the contents in the file. Relevant comments include whether 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 types of events for which the review was conducted and whether the review is for a limited inspection will be identified in the comment section.

2. Mine File Document Charge-Out Cards
The Mine File Document Charge-Out, [MSHA Form 2000-139](#), is a single sheet that accommodates four transactions. A supply of Form 2000-139 is required to be maintained in this sub-divided area. When 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 employee 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 sub-divided area. Entries are required on the form when a supervisory, district, or headquarters review of the UMF is conducted. Entries are to include the date of the review, the reviewer's name, division of the agency making the review, and applicable comments regarding the contents of the file.

Chapter 3 - Surface Mine Files

A. Special Attention Areas

This divided subject area is for filing memoranda, notes, letters, technical reports, and other information that identify any particularly hazardous or otherwise noteworthy condition, practice, event, or circumstance of which an inspector or specialist should be aware prior to visiting a mine.

This subject area must contain, at a minimum, the following items:

1. a copy of all formal fatal and non-fatal MSHA accident investigation reports, including those authored by MSHA Technical Support, that are not related to any of the sub-divided categories listed under **C. Plans** of this chapter to be maintained for the life of the mine (these reports may be maintained in a separate file with a note filed in this divided subject area directing reviewers to their location); and
2. a copy of all MSHA Technical Support technical study reports and memoranda with recommendations for the mine that are not related to any of the sub-divided categories listed under **C. Plans** of this chapter to be maintained for the life of the mine (these reports may be maintained in a separate file with a note filed in this divided subject area directing reviewers to their location)

Any additional information placed in this section is at the discretion of the District or Assistant District Manager.

B. General Mine Information

Sub-dividers with labeled tabs are required for filing information on Designated Work Position (DWP) Status, Citations and Orders, Section 104(d) Unwarrantable Failure Violations, Section 104(e) Pattern of Violations, and the Legal Identity Report.

1. Mine and DWP Status

The following documents are required to be maintained in this sub-divided area:

- a. an up-to-date copy of the Mine Information Form generated from the MSHA Standardized Information System (MSIS); and
- b. copies, furnished by the district office, of all MMU/DA/DWP data, [MSHA Form 2000-142](#) and a copy of the most recent MIS computer

printout MSN078 for the mine. (The MSN078 and 2000-142 forms are replaced on a quarterly basis.)

2. Outstanding Citations/Orders
Copies of citations and orders issued at the mine that have not been terminated at the time of the inspector's post-inspection or interim close-out conference must be filed in this sub-divided area 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. Flagrant Violations
Copies of enforcement actions issued for violations designated as flagrant and copies of the completed Special Assessment Review forms must be filed in this sub-divided area and maintained for the life of the mine. Subsequent actions associated with the enforcement action are also to be maintained in the file.
4. Section 104(d) Unwarrantable Failure
Information regarding the status of the mine relative to the unwarrantable sequence is required to be filed in this sub-divided area. Also, the tracking system for establishing a "clean inspection" is required to be maintained in this sub-divided area after the first Section 104(d)(1) order is issued. Only the most current information for tracking a "clean" inspection is filed.
5. Section 104(e) Pattern of Violations and Corrective Action Programs
If a mine has been issued a "pattern of violations notice" under 30 CFR § 104.3(a), the notice and related data are required to be filed in this sub-divided area. Approved Corrective Action Programs (CAP) are to be filed here as well.
6. Legal Identity Report
A copy of the current Legal Identity Report (Form 2000-7) for the mine is filed in this sub-divided area. 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 ensure the mine operator updates the information.

C. Plans

Approved and required plans are filed under this divider. Sub-dividers with labeled tabs are to be provided for each of the categories listed below. The latest approved documents are required to be maintained in the appropriate sub-

divided area and outdated or expired documents are to be routinely removed.

A copy of all formal fatal and non-fatal MSHA accident reports, including those authored by MSHA Technical Support, and a copy of all MSHA Technical Support technical study reports and memoranda with recommendations for the mine are to be filed in the corresponding sub-divided area listed below. For example, Technical Support investigates highwall stability at the mine and files a report with recommendations related to ground control. A copy of this report must be filed in the 30 CFR § 77.1000 - Ground Control Plan sub-divided area. Such reports are to remain in the respective sub-divided area for the life of the mine. Reports that do not fit into one of the listed categories are to be filed as described under this chapter's **A. Special Attention Areas** subject area. If the reports are too voluminous they may be maintained in a separate file with a note filed in the applicable sub-divided area directing reviewers to their location.

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

1. Section 115 of the Act - Mandatory Health and Safety Training; 30 CFR § 77.107; 30 CFR Part 48 - Training and Retraining Program
A copy of the approval letters, the mine plans for training and retraining certified and qualified persons (30 CFR § 77.107), and the Part 48 training program mandated by Section 115 of the Act are required to be filed in this sub-divided area and updated as 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 sub-divided area, along with the district's acknowledgement letter.
3. 30 CFR § 71.300 - Respirable Dust Control Plans (Surface Mines)
Within 15 calendar days after the termination date of a citation issued for a violation of 30 CFR § 71.100 or § 71.101, a respirable dust control plan applicable to the work position identified in the citation is required to be submitted to the district manager for approval under 30 CFR § 71.300. A copy of each approved plan for any active designated work position is to be filed in this sub-divided area.

4. 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 in this sub-divided area. 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. Permits, Waivers, Petitions, etc.

Approved permits, waivers, petitions, etc., are to be filed under this divider. Sub-dividers with labeled tabs are required for each category listed below. The latest documents are required to be maintained in each sub-divided area and outdated or expired documents are to be removed.

1. Miscellaneous Permits, Waivers, and Approvals
Copies of other permits, waivers or approvals that are not listed in the retention schedule are required to be filed in this sub-divided area. An example is a bathhouse waiver.
2. 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 sub-divided area. 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 a designated location and made accessible for review.

E. Miscellaneous

Miscellaneous forms, letters and documents are to be filed under this divider. Sub-dividers with labeled tabs are required for each of the following categories. The latest documents are required to be maintained in the appropriate sub-divided area 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 sub-divided area. The reports are to be removed quarterly so that only one year of history remains in the UMF.

2. Hazard Complaints
All complaints (sanitized versions) are required to be filed in this sub-divided area, including the sanitized version of the findings (both positive and negative). The complaints are to be removed quarterly so that only one year of history remains in the UMF.
 3. 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 standard 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 sub-divided area.
 4. Part 90 - Black Lung - Pneumoconiosis
Since the identity of Part 90 miners is privileged information and cannot be made public, a statement indicating whether or not a Part 90 miner is employed at this mine is required to be filed in this sub-divided area. Also indicate that Part 90 dust control plans are in effect, if appropriate. This serves to advise personnel 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 special emphasis program information. Sub-dividers with labeled tabs are required for each category of special emphasis program; for example, Winter Alert, Accident Reduction Program, etc. The latest documents are to be maintained in each corresponding sub-divided area and outdated documents are to be removed.
- G. Review Documentation**
Review and charge-out documents are to be filed under this divider. Sub-dividers with labeled tabs are required for each of the following categories. Documents are required to be maintained in each sub-divided area in accordance with the retention schedule, and outdated documents are to be routinely removed.

1. Inspector's Certification Forms - (Mine File Reviewed)
An entry is required on the [MSHA Form 2000-137](#) when the UMF is reviewed. If an inspector or specialist certifies that a complete review of the UMF has been made, additional certification is not required if portions are reviewed again during the same fiscal year half. A supply of MSHA Form 2000-137 is required to be maintained in this sub-divided area. The inspector reviewing the file completes the form by noting the review completion date, providing their signature, and providing relevant comments regarding the contents in the file. Relevant comments include whether 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 types of events for which the review was conducted and whether the review is for a limited inspection will be identified in the comment section.

2. Mine File Document Charge-Out Cards
The Mine File Document Charge-Out, [MSHA Form 2000-139](#), is a single sheet that accommodates four transactions. A supply of Form 2000-139 is required to be maintained in this sub-divided area. When 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 employee 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 sub-divided area. Entries are required on the form when a supervisory, district, or headquarters review of the UMF is conducted. Entries are to include the date of the review, the reviewer's name, division of the agency making the review, and applicable comments regarding the contents of the file.