

**RECORDS to be maintained and/or submitted by the Mine Operator and subject to MSHA Inspector review**

**Required to be kept and to be submitted to MSHA**

1. Part 41 Review the accuracy of Legal Identity form; submit changes within 30 days
2. MSHA 7000-1 Accident/Injury/Illness Report (submit within 10 working days)
3. MSHA 7000-2 Quarterly Employment Report (due within 15 days after the end of each calendar quarter)
4. Part 48 Miners Training Plan

**Required to be kept**

1. 56/57.12028 Documentation of Continuity and Resistance of Electrical Equipment Grounding tests
2. 56/57.14100 Pre-Shift Mobile Equipment Defects and Repairs. Documentation of defects not immediately repaired.
3. 56/57.18002 Documentation of Examination of working places by a competent person EACH shift
4. 56/57.18010 Documentation for currently-trained individual capable of providing first-aid assistance on all working shifts
5. 56.57/.4201 Documentation of firefighting equipment inspections, including monthly visual checks and annual maintenance check
6. Part 45 List of Independent Contractors
7. Part 46 Miners Training Plan and Training Certificates
8. Part 48 Hazard Communication Program
9. Part 48 Miners Training Plan and Training Certificates

**Required to be kept under specific circumstances**

1. 56/57.5005 Respiratory Protection Program/Fit-testing. Required by MSHA when an overexposure is found
2. 56/57.13015 Pressure Vessel/Boiler Certification
3. Part 62 Hearing Conservation Program. Required if exposure is above the "action level"
4. ATF Requirements Explosive Permit

## Suggested "Calendar" for Required MSHA Tasks

What	When	Due	Done
Annual Refresher Training (46.8)	Annually		
Certify employee Task Tr. Certificates (46.9(d)(3))	Annually, at minimum		
Re-train the employee first aid provider(s) (56.18010)	As specified by first aid training provider		
Documented Site-Specific Training for "miners" who move to another mine site while employed by the same mine operator or independent contractor (46.11(c))	Before beginning work at the new mine site		
Hearing Conservation Program Training (62.180)	Annually (if required)		
Hearing Conservation Program Audiometric Testing offered to employees (62.170)	Annually (if required)		
Electrical system grounding tests (56.12028)	Annual (at minimum) – or upon installation, repair, modification or portable plant move.		
Visual inspection of fire extinguishers (56.4201)	Monthly		
Maintenance check of fire extinguishers (56.4201)	Annually		
Notification of mine commencement or closure (56.1000)	Initial startup or moving (portable plant) or seasonal start-up or seasonal closure or permanent closure.		
Quarterly Employment Report (50.30). Keep for five years	Within 15 days after the end of each calendar quarter.	No later than: 1/15 4/15 7/15 10/15	
Examination of Working Places (56.18002). Keep for 1 yr.	Each working place each working shift.		
Pre-use inspection of mobile equipment and any equipment, machinery and tools (56.14100)	Inspected before placed or used in operation		
Notification of "Accident" (50.10) 1-800-746-1553	Within 15 minutes of knowledge of the "accident"		
Report injuries, illnesses and "accidents" on Form 7000-1 (50.20). Internal investigation and report (50.11). Keep both for 5 years.	Within 10 working days of occurrence or diagnoses		

**Suggested Documents for a MINE OPERATOR to keep on-site in a "Site Binder"**

- Originals to be kept in a secure office location?

1. Copy of the Legal Identity
2. Copy of the Training Plan (the Plan may be kept in the office nearest the mine and must be provided to MSHA on the day following request).
3. Training Certificates - these must be provided by the Mine Operator on the same day as requested by MSHA. Keep copies on-site and originals in a secure location.
  - a. New Miner Training/Newly Employed Experienced Miner Training
  - b. Task Training
  - c. Annual Refresher Training
  - d. Site-Specific Hazard Awareness Training - provided by Mine Operator
  - e. First Aid provider "cards" (these are "training certificates")
  - f. If applicable, have copies of the annual required Part 62 Hearing Conservation Program training documentation and the annual "offer of annual audiogram" documentation.
4. HazCom Program ("Workers Right To Know") - has to be on-site and accessible to miners (have a backup copy in a secure location in case the on-site copy gets lost or damaged?)
  - a. Written Program
  - b. List of materials on-site
  - c. MSDS for each material on-site
5. Copies of most recent Quarterly Reports (most recent four...?)
  - a. Originals need to be kept for 5 years - keep in a secure location.
6. Daily Workplace Exam documentation
  - a. Records must be kept for 1 year - Keep the most recent month on-site and previous months could be stored in a central location.
7. Pre-shift examination of mobile equipment - defects need to be reported to supervisor and documented if not immediately repaired.
  - a. Documentation of defects is required to be kept on-file until the defect is corrected.
  - b. Suggestion - be in the habit of documenting the pre-shift exam: require daily documentation of equipment pre-shift exams and keep them with the required Daily Workplace Exams.
8. Verification of the monthly fire extinguisher exam and annual fire extinguisher maintenance - the tag on the fire extinguisher documents the date of the annual maintenance exam and the tag can also be used to document the monthly exam.
  - a. Suggestion - create a form to "double-document" the extinguisher exams in case a tag gets lost. See example at the "Fire Equipment" tab in SMO Binder
9. Post the required Emergency Phone List.
10. If applicable, the most recent documentation of electrical grounding tests data (signed and dated).

**Suggested Documents for an INDEPENDENT CONTRACTOR to keep on-site in a "Site Binder"**

- Originals to be kept in a secure office location?

1. Copy of the Training Plan (the Plan may be kept in the office nearest the mine and must be provided to MSHA on the day following request).
2. Training Certificates - these must be provided by the Mine Operator on the same day as requested by MSHA. Keep copies on-site and originals in a secure location.
  - a. New Miner Training/Newly Employed Experienced Miner Training
  - b. Task Training
  - c. Annual Refresher Training
  - d. Site-Specific Hazard Awareness Training - provided by Mine Operator
  - e. First Aid provider "cards" (these are "training certificates")
  - f. If applicable, have copies of the annually required Part 62 Hearing Conservation Program training documentation and the annual "offer of annual audiogram" documentation.
3. Part 47 HazCom Program ("Workers Right To Know") - has to be on-site and accessible to miners (have a backup copy in a secure location in case the on-site copy gets lost or damaged?)
  - a. Written Program
  - b. List of hazardous materials on-site
  - c. MSDS for each hazardous material on-site
4. Copies of most recent Quarterly Reports (most recent four...?)
  - a. Originals need to be kept for 5 years - keep in a secure location.
5. Daily Workplace Exam documentation
  - a. Records must be kept for 1 year - Suggestion: Keep the most recent month on-site and previous months could be stored in a central location.
6. Pre-shift examination of mobile equipment - defects need to be reported to supervisor and documented if not immediately repaired.
  - a. Documentation of defects is required to be kept on-file until the defect is corrected.
  - b. Suggestion - be in the habit of documenting the pre-shift exam of equipment: require daily documentation of equipment pre-shift exams and keep them with the required Daily Workplace Exams.
7. Verification of the monthly fire extinguisher exam and annual fire extinguisher maintenance - the tag on the fire extinguisher documents the date of the annual maintenance exam and the tag can also be used to document the monthly exam.
  - a. Suggestion - create a form to "double-document" the extinguisher exams in case a tag gets lost. See example at the "Fire Equipment" tab in SMO Binder.
8. Post the required Emergency Phone List.
9. If applicable, the most recent documentation of electrical grounding test data (signed and dated).

## Basic MSHA Requirements: (not intended to be comprehensive of all requirements)

1. Commencement Notice (56.1000)
2. Work Place Exam./Records (56.18002- (a) & (b))
3. Mobile Equipment Pre-Op Examination (56.14100 (a) through (d))
4. Part 46 Training Certificates (46.5, 46.6, 46.7, 46.8, 46.11, 46.9)
5. Part 46 Training Plan (Part 46)
6. System for Site-Specific Training of visiting "non-miners" and "miners"
7. List of Independent Contractors that work on-site (Contractor Register) (45.4)
8. Trained first aid person on-site (56.18010)
9. First aid kit, blanket, stretcher (56.15001)
10. Part 47 HazCom Program
  - a. Program
  - b. List of materials
  - c. MSDS
11. Part 62 Hearing Conservation Program (HCP) required?
  - a. Annual HCP training refresher documented?
  - b. Annual employee audiogram (hearing test) offered?
12. Electrical system grounding tests (56.12028)
13. Quarterly Reports (50.30)
14. Legal Identity
15. Monthly and annual fire extinguisher inspection documentation (56.4201)
16. Emergency communication system available on-site (56.18013)
17. Posting of emergency phone numbers (56.18012)
18. Personal protective equipment
  - a. Hard hats (5015002)
  - b. Safety glasses/Face shields/Goggles
  - c. Hearing protection (Part 62)
  - d. Fall protection harnesses and lanyards (56.15005)
  - e. Floatation devices
  - f. Safety shoes/boots (56.15003)
  - g. Gloves/Protective outer clothing
  - h. Respirators (56.5005)
19. Toilet (56.20008)
20. Drinking water (56.20002)
21. Report "**accidents**" (12 specifically identified mine events) within 15 minutes – call: 1- 800-746-1553 (50.10)
22. Report injuries and illnesses (lost time, restricted work, "medical treatment") within 10 working days – use Form 7000-1 (50.20)