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Safety Online Training**

**Since 2008**

This document is provided as a training aid  
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*Guide to*  
**MSHA**  
**for Small Miner Operators**

This information is not intended to be a substitute for MSHA Standards, Regulations, the ACT of 1977, or Federal, State and Local regulations and requirements.

***For more information, contact:***

MSHA  
www.msha.gov  
(202) 693-9400  
Online Filing Help: MSHAhelpdesk@msha.gov

*or*

MAPTS  
University of Alaska  
162 College Road  
Soldotna, AK 99669  
(907) 262-2788  
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sam.reves@alaska.edu  
<http://www.alaska.net/~mpts>





*Understanding*  
**MSHA**  
*requirements for*

**Part 48**  
**Surface Mining**  
**Operations**

**Organizational Structure**  
**MSHA Initiatives**  
**Legislative History**  
**MSHA Jurisdiction**  
**MSHA Compliance**

## Frequently Asked Questions:

### What does MSHA consider a mine? Are my mining activities recreational?

Recreational mining, such as gold panning and mineral collecting that make use of hand-held equipment such as picks, shovels, gold pans are not considered to be activities currently regulated by MSHA.

There is no Federal language that identifies, defines or specifically exempts recreational mining. There is, however, language that identifies what MSHA considers a “mine”.

MSHA's Program Policy Manual (PPM) provides interpretations and guidelines of the 1977 ACT (commonly referred to as The ACT):

#### **PPM Volume I:**

Section 3(h)(1) of the Act defines the term “mine” and includes related milling operations within that definition. Mine development, rehabilitation activities, and exploration work at an established mine are within the Act's scope. All types of mining, ***including placer, dredge, and hydraulic operations*** must be inspected. Government owned or operated mines and mills, whether federal, state, county, or other, are included within the jurisdiction of the Act. All such operations located anywhere in the United States, as well as in any of its territories, protectorates, or commonwealths, must be inspected.

MSHA does not differentiate between a 1-person operation or an operation that employs many people. MSHA inspects surface mines twice a year.

### Mining Operations ran by Family

The Fair Labor Standards Act (prohibited occupations for non-agriculture employees) states a that 18 is the minimum age for employment in mining. It is considered a Hazardous Occupation. [HO 9]. Children under 18 are prohibited from working in hazardous occupations.

[www.dol.gov/elaws/esa/flsa/docs/haznonag.asp](http://www.dol.gov/elaws/esa/flsa/docs/haznonag.asp)

State of Alaska law prohibits children under the age of 17 from working at mining operations.

<http://labor.state.ak.us/lss/childlaw.htm>

## **I need to get in compliance. Where is a good place to start?**

It can be overwhelming. You are trying to gear-up for the season and now you have a lot to think about and do.

### **We recommend beginning with the following:**

#### **1.) Legal ID Number**

All mines are required to apply for an MSHA mine identification number. An MSHA ID is required for each mine site and must be issued before any operations may begin. The MSHA Identification (ID) Request (MSHA Form 7000-51) can be filed on-line or by contacting the local MSHA district office. [www.dol.gov/compliance/guide/msha.htm](http://www.dol.gov/compliance/guide/msha.htm)

- Apply for your Legal ID Number with MSHA online.  
[www.dol.gov/elaws/msha/forms/7000-51.htm](http://www.dol.gov/elaws/msha/forms/7000-51.htm)

- Contact a district office for assistance:  
Alaska - Western District  
[www.msha.gov/DISTRICT/MNM/WEDIST/WEHOME.HTM](http://www.msha.gov/DISTRICT/MNM/WEDIST/WEHOME.HTM)

- Possibly have an existing Mine ID assigned to the mine?

If you believe your mine may already have one, you can search for it on the MSHA website. You will need the previous owner/operator information or mine name.

This is found at the MSHA Data Retrieval System (look-up mine and violations)  
[www.msha.gov/drs/drshome.htm](http://www.msha.gov/drs/drshome.htm)

#### **2.) Mine Map**

- Develop a Mine Map. Chart the mine property. Show active mining areas, roads, mine office. Show any hazardous areas as well.

#### **3.) Mine Office**

- Section 109(a) of The ACT requires each mine have a Mine Office.

#### **4.) Bulletin Board**

- Each mine office is required to have a locking bulletin board in which pertinent information can be displayed.

The ACT requires the following information posted on the company bulletin board:

- Notification of Representatives of Miners.
- Petitions of modifications of safety standards.
- Noise control procedures.
- Mine rescue plan.

- In addition to displaying required MSHA information, you may be required by State and Local government to provide employees with employment, wage and labor law information.

## 5.) Develop your Mine's Rules, Policies and Procedures

Miners that work for you need to understand your rules, policy and procedures. Each mine operation is unique in geography, equipment, and personnel experience.

The State of Alaska has a generic format for assisting OSH employers with a program policy manual. MSHA will expect you to tailor your program to your specific operation and MSHA requirements.

The following url link will provide you with an understanding of what is typically included in a company's program policy manual. Remember, this example is for OSHA, not MSHA, but it has some good information.

<http://labor.alaska.gov/lss/forms/mgrhandbook.pdf>

The information you develop will become part of your required site-specific training for Miners. MSHA will interview the Miners and inquire if they were provided with site-specific training that addressed mine-site hazards, as well as company rules, policies and procedures. Documentation of the training is required. Don't jump the gun...be sure to have your training plan in place before training miners.

## 6.) Identify Mine Personnel and develop an Organizational Chart (Org Chart)

MSHA requires that the Mine Operator identify the "Line of Authority". Develop a chart that shows the organizational management structure at your mine. List the Owner, Operator, Competent Person, Mine Representative (if applicable), Mine Personnel Positions, etc. Organize the chart so that it clearly demonstrates who answers to whom. MSHA wants to understand how information flows between the personnel at your mine and who makes decisions that affect the health and safety of Miners at the mine.

## 7.) Develop Mine Personal Jobs and Tasks Assigned to those jobs.

What tasks are assigned to the people that work for you and/or for yourself? Develop job descriptions and tasks assigned to each job. Identify what equipment will be used for each task. Determine what hazard is associated with each task. Develop a set of procedures for each task.

MSHA, in cooperation with industry, has developed Job Task Analysis' for many pieces of equipment. They don't expect you to reinvent the wheel. They do expect you to properly train Miner's in the health and safety hazards associated with their duties.

- Develop Job Descriptions
- Assign Tasks to each Job
- Determine Task-related Hazards

MSHA Online Interactive Job Task Information

[www.msha.gov/interactivetraining/tasktraining/index.html](http://www.msha.gov/interactivetraining/tasktraining/index.html)

**ALWAYS - document ALL training.** This is documented on a training certificate that MSHA refers to as a "5000-23".

## 8.) Develop a Part 48 Training Plan

MSHA requires you to develop a training plan according to 30 CFR Part 48 B for Surface Mines. This identifies what subjects will be covered, how the material will be delivered to your employees and the length of time for each subject.

MSHA is very specific in the information required. MAPTS has included in this Packet a sample training plan and we have one on our website. You may use our form, or use MSHA's interactive training plan advisor located on the internet.

MSHA requires you to have a training plan that addresses how you will provide training for:

- Inexperienced New Miners  
The person may have been mining all their life, but if they don't have an MSHA 5000-23, then MSHA doesn't recognize their experience. Any miners without training documentation falls into this category.
- Newly-Hired Experienced Miners
- Annual Refresher
- Hazard Training
- Task Training

Training Plans for Part 48 mines must be filed and approved by MSHA, and posted on the company bulletin board for a period of two weeks.

MSHA Online Interactive Training Plan Advisor

[http://www.dol.gov/elaws/msha\\_train.htm](http://www.dol.gov/elaws/msha_train.htm)

MAPTS Generic Training Plan

[www.alaska.net/~mpts/pdf/Generic%2048%20Surface%20Plan.pdf](http://www.alaska.net/~mpts/pdf/Generic%2048%20Surface%20Plan.pdf)

### **Remember to update your plan as you add/delete instructors or**

**competent persons.** MSHA no longer requires notification when you update instructors. If you use MAPTS as your training provider, be sure to list the MAPTS Instructor, along with their MIIN (MSHA Instructor Identification Number) on the front cover of your plan.

## 9.) Develop a Communication System for Visitors

Remember to address how Visitors, Vendors, etc., will learn about on-site hazards, road patterns, speed limits, no smoking areas, alarm meanings, barricaded areas. You can communicate this in various ways: Signage, Verbally, Written. A "Check in at Office" sign maybe helpful, with a clear indication of where the Office is and a safe (hazard free) route to get there.

## **10.) Required safety programs**

These programs are part of your Company's Policies and are required by MSHA:

- HazCom Program
- Noise - Hearing Conservation Program
- Personal Protective Equipment (PPE)
- Dust Monitoring
- Respiratory Program
- First Aid for Miners

Understand your requirements of the Part 56 Health and Safety Standard.

[www.msha.gov/30cfr/56.0.htm](http://www.msha.gov/30cfr/56.0.htm)

[www.msha.gov/interactivetraining/5657Training/a001\\_introduction\\_to\\_56\\_57.5002\\_page\\_1.html](http://www.msha.gov/interactivetraining/5657Training/a001_introduction_to_56_57.5002_page_1.html)

## **11.) Mine Operators have certain requirements to file information with MSHA.**

Much to numerous to list here, refer to this link:

[www.msha.gov/forms/forms.asp](http://www.msha.gov/forms/forms.asp)

## **12.) Compliance Information**

[www.msha.gov/regsinf2.htm](http://www.msha.gov/regsinf2.htm)

# MSHA

## I. Organizational Structure - Education

### 1. Western District

[www.msha.gov/DISTRICT/MNM/WEDIST/WEHOME.HTM](http://www.msha.gov/DISTRICT/MNM/WEDIST/WEHOME.HTM)

[www.msha.gov/district/mnm/wedist/westerndistrictorgchart.pdf](http://www.msha.gov/district/mnm/wedist/westerndistrictorgchart.pdf)

US DOL/MSHA

Phone: (707) 447-9844

Western District Office (Upstairs)

Fax: (707) 447-9816

991 Nut Tree Road

Vacaville, CA 95687

#### a) Alaska State Grants Provider

##### - Mining and Petroleum Training Service (MAPTS)

[www.mapts.alaska.edu](http://www.mapts.alaska.edu)

MAPTS

Phone: (907) 262-2788

162 College Road

Fax: (907) 262-2812

Soldotna, AK 99669

(907) 262-2788

### 2. MSHA Anchorage Enforcement Field Office

Phone: (907) 271-1250

## II. MSHA's Mission Statement

<http://www.msha.gov/MSHAINFO/MISSION.HTM>

### 1. What's New with MSHA

[www.msha.gov/newsinfo.htm](http://www.msha.gov/newsinfo.htm)

### 2. MSHA Initiatives

#### a) Rules to Live By

[tinyurl.com/7boqop7](http://tinyurl.com/7boqop7)

#### b) Conditions for Enhanced Enforcement

[tinyurl.com/7m7hdo2](http://tinyurl.com/7m7hdo2)

#### c) Engineering Suggestions

[www.msha.gov/focuson/rulestoliveby/Engineeringsuggestions.pdf](http://www.msha.gov/focuson/rulestoliveby/Engineeringsuggestions.pdf)

#### d) Prevent Fatalities

[tinyurl.com/7rgaopf](http://tinyurl.com/7rgaopf)

### 3. Statutory Functions

[tinyurl.com/7v6roq3](http://tinyurl.com/7v6roq3)

### 4. Legislative History

[tinyurl.com/86sstcd](http://tinyurl.com/86sstcd)

- a) Public Demand for Action  
The ACT of 1977, PL 91-173, amended PL 95-164  
[www.msha.gov/regs/act/act1.htm](http://www.msha.gov/regs/act/act1.htm)

The MINER Act (2006)  
[www.msha.gov/mineract/mineractsinglesource.asp](http://www.msha.gov/mineract/mineractsinglesource.asp)

### III. What is MSHA?

1. Equipment, Working Environment, and Health and Safety Standards
  - a) Surface Mandatory Health and Safety Standards; 56  
[www.msha.gov/30cfr/56.0.htm](http://www.msha.gov/30cfr/56.0.htm)
  
  - b) Underground Mandatory Health and Safety Standards; 57  
[www.msha.gov/30cfr/57.0.htm](http://www.msha.gov/30cfr/57.0.htm)
  
2. MSHA Industry Groups
  - a) Coal
    - Underground
    - Surface
  
  - b) Metal/Non-Metal
    - Underground
    - Surface
  
  - c) Sand and Gravel
  
  - d) Stone
  
3. MSHA/OSHA Jurisdiction  
[www.msha.gov/regs/complian/ppm/PMVOL1A.HTM](http://www.msha.gov/regs/complian/ppm/PMVOL1A.HTM)
  - a) Mine Roads; see I.3-2 in Program Policy Manual
  - b) Interagency Agreement; see I.4-1 in Program Policy Manual
  - c) Borrow Pits; see I.4-3 in Program Policy Manual
  
4. MSHA Compliance
  - a) Miner's Rights & Responsibilities  
[www.msha.gov/S&HINFO/minersrights/minersrights.asp](http://www.msha.gov/S&HINFO/minersrights/minersrights.asp)
    - Guide to Miners Rights / Responsibilities
  
    - Notification of Representative  
[www.msha.gov/forms/elawsforms/MineRep.htm](http://www.msha.gov/forms/elawsforms/MineRep.htm)
  
    - Authority to Inspect; see I.103(a) in Program Policy Manual  
[www.msha.gov/regs/complian/ppm/PMVOL1A.HTM](http://www.msha.gov/regs/complian/ppm/PMVOL1A.HTM)
  
    - Complaints of Discrimination; I.105 in Public Law 91-173, as amended by Public Law 95-164  
[www.msha.gov/REGS/ACT/ACT1.HTM#sec105](http://www.msha.gov/REGS/ACT/ACT1.HTM#sec105)
  
    - Complaint Packet  
[tinyurl.com/77vavjj](http://tinyurl.com/77vavjj)



- Special Investigation Procedures Handbook  
[www.msha.gov/readroom/handbook/ph05-i-4.pdf](http://www.msha.gov/readroom/handbook/ph05-i-4.pdf)
  - b) Supervisor Responsibility and Accountability; 48.25(b)(1)  
[www.msha.gov/30cfr/48.25.htm](http://www.msha.gov/30cfr/48.25.htm)
  - c) Willful Violation of a Mandatory Health or Safety Standard or Withdrawal Order  
[www.msha.gov/mshainfo/factsheets/mshafct4.htm](http://www.msha.gov/mshainfo/factsheets/mshafct4.htm)
  - d) Pattern of Violations  
[www.msha.gov/POV/POVsinglesource.asp](http://www.msha.gov/POV/POVsinglesource.asp)
5. Fatalgrams - 2012  
[www.msha.gov/fatals/fabm2012.asp](http://www.msha.gov/fatals/fabm2012.asp)
6. MSHA Data Retrieval System (look-up mine and violations)  
[www.msha.gov/drs/drshome.htm](http://www.msha.gov/drs/drshome.htm)
7. Mandatory Records & Forms (representative but not inclusive)  
[www.msha.gov/forms/forms.asp](http://www.msha.gov/forms/forms.asp)
- a) Company Safety Program
  - b) Legal ID; 7000-51  
[www.dol.gov/elaws/msha/forms/7000-51.htm](http://www.dol.gov/elaws/msha/forms/7000-51.htm)
  - c) Legal ID Report; 2000-7; [within 30 day changes]  
[www.dol.gov/elaws/msha/forms/2000-7.htm](http://www.dol.gov/elaws/msha/forms/2000-7.htm)
  - d) Approved Training Plan
    - 48 Surface; 48.23  
[www.msha.gov/30cfr/48.23.htm](http://www.msha.gov/30cfr/48.23.htm)
  - e) Mine Map
8. Training Records Documentation
- a) Training Documentation (Plan, Rosters, 5000-23, etc)
    - Proper completion of 5000-23  
[www.msha.gov/forms/523INSTR.htm](http://www.msha.gov/forms/523INSTR.htm)
    - Task Training; 48.7; 48.27  
[www.msha.gov/interactivetraining/tasktraining/index.html](http://www.msha.gov/interactivetraining/tasktraining/index.html)
    - Recordkeeping & Retention  
[www.mine-safety.mtu.edu/mshacomp.htm](http://www.mine-safety.mtu.edu/mshacomp.htm)
- Records for
- Contractors  
[www.msha.gov/regs/complian/ppm/PMVOL3a.HTM](http://www.msha.gov/regs/complian/ppm/PMVOL3a.HTM)
- b) Workplace Examinations; 56/57-18002  
[www.msha.gov/30cfr/57.18002.htm](http://www.msha.gov/30cfr/57.18002.htm)  
[www.alaska.net/~mmaps/pdf/5\\_Work\\_Place\\_Examinations.pdf](http://www.alaska.net/~mmaps/pdf/5_Work_Place_Examinations.pdf)

- c) Mobile Equipment Safety Defect Log; 56/57.14100(d)  
[www.msha.gov/30CFR/56.14100.htm](http://www.msha.gov/30CFR/56.14100.htm)
- d) Company Bulletin Board Requirement; The ACT of 1977, Sec 109(a)  
[www.msha.gov/regs/act/act1.htm](http://www.msha.gov/regs/act/act1.htm)
- e) Quarterly Report; 7000-2  
[www.msha.gov/forms/elawsforms/7000-2.htm](http://www.msha.gov/forms/elawsforms/7000-2.htm)
- f) Accident, Injury, Illness Report; 7000-1  
[www.msha.gov/forms/elawsforms/7000-1.htm](http://www.msha.gov/forms/elawsforms/7000-1.htm)
  - Record retention [5 years]
  - Accident Investigation Reports  
[www.msha.gov/fatals/fab.htm](http://www.msha.gov/fatals/fab.htm)
- h) Mine Open/Close; 56/57.1000  
[www.alaska.net/%7Emapts/pdf/MSHA\\_Mine\\_Open\\_Close.pdf](http://www.alaska.net/%7Emapts/pdf/MSHA_Mine_Open_Close.pdf)
- i) Emergency Safety Telephone Numbers Posted; 56/57.18012  
[www.msha.gov/30cfr/56.18012.htm](http://www.msha.gov/30cfr/56.18012.htm)
- j) Mine Firefighting, Emergency, Evacuation Plan
  - Local Emergency Coordination; PPL #P10-V-01  
[www.msha.gov/regs/complian/ppls/2010/PPL10-V-01.asp](http://www.msha.gov/regs/complian/ppls/2010/PPL10-V-01.asp)
  - Immediately Reportable Accidents & Injuries  
[www.msha.gov/codeaphone/ReportableInjury.asp](http://www.msha.gov/codeaphone/ReportableInjury.asp)
  - Reporting a Hazardous Condition at a Mine  
[www.msha.gov/codeaphone/codeaphonenew.htm](http://www.msha.gov/codeaphone/codeaphonenew.htm)
  - Firefighting and Emergency Plan  
[www.msha.gov/30cfr/75.1502.htm](http://www.msha.gov/30cfr/75.1502.htm)
- k) Fire Fighting Equipment Inspections  
[www.msha.gov/stats/top20viols/tips/4201.htm](http://www.msha.gov/stats/top20viols/tips/4201.htm)
  - Hydrostatic Testing - Date Certified
  - Fire Extinguisher Monthly Check
  - Fire Extinguisher Annual Check
  - Fire Suppression System Annual Inspection
  - Other Fire Fighting Equipment
- l) HazCom Program  
[www.msha.gov/hazcom/hazcom.htm](http://www.msha.gov/hazcom/hazcom.htm)
  - Hazardous Chemical Inventory; 47.21  
[www.msha.gov/30cfr/47.21.htm](http://www.msha.gov/30cfr/47.21.htm)
  - MSDS; 47.51  
[www.msha.gov/30cfr/47.51.htm](http://www.msha.gov/30cfr/47.51.htm)

- m) Hearing Conservation Program [Part 62] and Records; 62.190  
[www.msha.gov/1999noise/noiseinfo.pdf](http://www.msha.gov/1999noise/noiseinfo.pdf)  
[www.msha.gov/30CFR/62.190.htm](http://www.msha.gov/30CFR/62.190.htm)
- n) Electrical Continuity Testing / Resistance Grounding Tests
  - Program Policy, Testing Grounding Systems; 56/57.12028  
[www.msha.gov/regs/complian/ppm/pmvol4d.htm](http://www.msha.gov/regs/complian/ppm/pmvol4d.htm)
- o) Boiler Inspection; 56.13030  
[www.msha.gov/30cfr/56.13030.htm](http://www.msha.gov/30cfr/56.13030.htm)
- p) Crane Safety / Excavator / Man-Lifts
  - Suspended Loads  
[www.msha.gov/FATALS/2006/FTL06m03.asp](http://www.msha.gov/FATALS/2006/FTL06m03.asp)
- r) Exposure Records:
  - Noise Reports and Reporting; Noise Levels Records  
[www.msha.gov/1999noise/noise.htm](http://www.msha.gov/1999noise/noise.htm)
  - Respiratory Program; 56/57.5005  
[www.msha.gov/regs/complian/ppm/PMVOL4C.HTM](http://www.msha.gov/regs/complian/ppm/PMVOL4C.HTM)
  - Dust, Gases, Fumes, Vapor Exposure; 56/57.5002  
[www.msha.gov/regs/complian/ppm/PMVOL4C.HTM](http://www.msha.gov/regs/complian/ppm/PMVOL4C.HTM)

Resource Materials:

Program Policy Manual

[www.msha.gov/REGS/COMPLIAN/PPM/PMMAINTC.HTM](http://www.msha.gov/REGS/COMPLIAN/PPM/PMMAINTC.HTM)

Program Policy Letters

[www.msha.gov/REGS/COMPLIAN/PPLMEN.HTM](http://www.msha.gov/REGS/COMPLIAN/PPLMEN.HTM)

MSHA's Small Mine Handbook Series

[www.alaska.net/~mpts/msha\\_materials.htm](http://www.alaska.net/~mpts/msha_materials.htm)

Making Part 48 Work for You

[www.msha.gov/training/trainingtips/part48workforyou.htm](http://www.msha.gov/training/trainingtips/part48workforyou.htm)

Educational Field Services

[www.msha.gov/contacts/efswestnos.htm](http://www.msha.gov/contacts/efswestnos.htm)

Technical Assistance

[www.msha.gov/TechnicalAssistance.HTM](http://www.msha.gov/TechnicalAssistance.HTM)

# Surface Workplace Checklist

MSHA 30 CFR Part 48 & 56

Location: \_\_\_\_\_

Audited by: \_\_\_\_\_ Date: \_\_\_\_\_

## General:

### Company has available for review by MSHA (as applicable):

- Mine Map
- Legal Identification [MSHA Form 2000-7] - [Part 41]
- Mine Office must be located onsite [The ACT, Sec. 109(a)]
- Organizational Chart [Line of Authority 48.25(b)(1)]
- Company Bulletin Board [for posting required items; locking]
- Standard Operating Procedure [SOP] Policy & Company Policies
- Training Plan for Miners [48.3]
- Training Records [48.9] [MSHA Form 5000-23]
- Task Training Records [48.7; 48.9] [MSHA Form 5000-23]
- Training Record Retention [48.9(c)] [MSHA Form 5000-23]
- Record of Examination of Working Places [ 56.18002]
- Examination of Working Places Record Retention [ 56.18002(b)]
- Hazard Communications Program [Part 47 - HazCom Final Rule]
- Inventory of Hazardous Chemicals [Part 47 - HazCom Final Rule]
- Safety Programs [56.18002-18006; .180025-.18028]
- Respiratory Program [56.5005 & ANSI Z88.2-1969]
  
- Accident, Injury and Illness Reports [MSHA Form 7000-1] [50.20]
- Accident, Injury and Illness Report Record Retention [50.20(1)]
- Accident Investigation Reports; Retention [50.40]
- Quarterly Employment Reports; Retention [MSHA 7000-2][50.30]
- Mine Firefighting, Emergency, Evacuation Plan [48.25(b)(5)]
- Firefighting Equipment Inspection Records [ 56.4201]
- First Aid / CPR Training & Response [56.18010;.18012;.18014]
- Boiler Inspection Records [56.13030; Meets ASME requirements]
- Emergency Safety Telephone Numbers are Posted [56.18012]
- Noise Reports and Reporting [62.190; 62.175]
- Continuity Tests (Electrical Grounding) [56.12025-.12028]

### Company has evaluated employee exposure to: [56.5001-5050]

- Noise levels. [30 CFR Part 62]
- Dusts [including fugitive, materials handling; silicate; explosive, production/milling, mechanical or wind generated, carried by runoff, residential or wildlife impact].
- Gases, fumes and vapors.
- Ventilation.
- Oxygen deficient areas; Oxides Exposure

### Appropriate employees have received:

- Surface Inexperienced New Miner Certification [48.25]
- Surface Experienced Miner Training [48.26]
- Surface Annual Miner Recertification [48.28]
- Intro to the work environment - performed at the mine site [48.25(b)(4)]
- Task training: new/changed tasks, procedures, equipment [48.27]  
Respiratory Fit Testing and Training (if req'd)
- Annual Hazard Recognition Training [48.31]
- Mine Operator, Drillers, Blasters, Construction Workers, Vendors and Visitors have received appropriate training [48.22]

### The Mine Operator also has on file, pertinent information for:

- Contractors.
  - Sub-contractors.
  - Part 50 requirements carefully coordinated between mine operator and contractor. [Accidents, Injuries, Illnesses, Employment]
- [45.4(b)]**
- The independent contractor has “registered” with the mine operator and provided the following information in writing:
    - \_\_\_ Independent Contractors trade name, business address, telephone number.
    - \_\_\_ Description of nature of work to be performed by the Independent Contractor and where at the mine the work is to be performed.
    - \_\_\_ The Independent Contractor’s MSHA Identification Number, if any; and
    - \_\_\_ The Independent Contractor’s record of service of citations, or other documents involving the independent contractor.
    - \_\_\_ Estimated hours worked and number of employees
    - \_\_\_ A copy is on file at the mine site for review by MSHA rep’s.

### **Ground Control and Surface Activity - 56.3200; 3460-3461**

- Ground hazards are taken down or supported before any travel or work commences; posted to prohibit entry; when left unattended, a barrier will be installed.
- Ground conditions are surveyed by supervisor or designated person prior to commencing work as conditions warrant.
- Persons do not work or travel between machinery or equipment and ribs, unless previously tested and secured.
- Rock burst plan understood by miners and implemented properly.

### **Housekeeping Precautions - 56.4100-4130**

- Smoking prohibited in flammable or combustible areas.
- Warning signs posted in flammable or combustible areas.
- Spilled or leaking flammable liquid removed or controlled.
- Internal combustions engines shut-off before fueling. (Except diesel-powered equipment).
- Combustible waste stored in covered metal containers.
- Waste not allowed to accumulate in large quantities.
- Flammable liquids not used for cleaning.

### **Combustible waste material not stored/accumulated within 25 feet of:**

- Electric substations.
- Unburied flammable storage tanks.
- Containers used for storing 60 or more gallons of flammable liquids.
- Dry vegetation.

### **Firefighting Equipment - 56.4200**

- Fire equipment for fighting early stage fires; and
- Fire equipment for fighting fires beyond the early stage; or arrangements with local fire department to fight such fires.
- Fire equipment for size, quantity and proper class of fire.
- Strategically located, accessible, marked and maintained fire equipment in fire-ready condition.

# Surface Workplace Checklist

MSHA 30 CFR Part 48 & 56

Location: \_\_\_\_\_

Audited by: \_\_\_\_\_ Date: \_\_\_\_\_

## Inspection of Firefighting Equipment - 56.4201-4230

### Fire Extinguishers are inspected:

- Once a month - visual check.
- Annual - maintenance checks.
- When needed (manufacturers specs) - hydrostatic testing.
- Recharged or replaced after discharge.

### Hydrants, Water Pipes & System Inspection:

- Quarterly visual inspection of water pipes, valves, outlets, hydrants, hoses that are part of the firefighting system.
- Annual - fire suppression systems.
- Log kept - person making inspections certify that inspection or certification was made and date completed.
- Fire hydrants ready to use; have fittings, hoses, keys, adaptors.

### Determine if fire fighting equipment is available at the following

#### locations:

- On self-propelled equipment.
- Welding and cutting operations.
- Any areas where fire could impede a persons escape route.

## Firefighting, Evacuation & Rescue - 56.4330-4363

### Company Plan and Records:

- Annual - Train miners.
- Immediate - Update miners when plan changes.
- Training records retained for 1 year.
- Plan coordinated with local firefighting organization.

### Alarms and Drills:

- Warning fire alarms or systems maintained in operable condition.
- Drills conducted every 6 months for persons assigned firefighting responsibilities.
- Training records retained for 1 year.

## Flammable, Combustible Liquids and Gases

### Use Restrictions, Storage, Safety- 56.4400-4402

- Flammable liquids are not used for cleaning.
- Solvents not used near open flame or heat source or at conditions for flash point.
- Fixed, unburied, flammable/combustible storage tanks are securely mounted on fixed foundation. Piping has flexible connections or special fittings to prevent leaks.
- Safety cans used for small quantities of flammable liquids, properly labeled.
- Oxygen cylinders are not stored with oil or grease. (56.4601)

## Storage Facilities - 56.4430

- Tank securely mounted on firm foundation.
- Tank strong enough for liquid stored.
- Tank maintained to prevents leaks. Isolated from ignition sources.
- Tank vented to prevent pressure buildup.

- Fittings/hoses compatible and maintained to prevent leaks.
- Storage buildings within 100 ft. of work stations, properly ventilated.
- Constructed of fire-resistant material; equipped with auto-suppression system or early warning device.

## Heat Sources, Fuel lines & Cylinders - 56.4500-4660

- Heat sources that can produce combustion are separated from combustible materials.
- Fuel lines have valves capable of stopping the flow of fuel at the source. (Except on self-propelled equipment).

### Cylinder/manifold valves:

- Closed when moved.
- Closed when torch or hose left unattended.
- Closed when task or series of tasks completed.
- Gas cylinder valves protected by covers. [56.16006]
- Oxygen/Acetylene cylinder gauges/regulators are free of oil/grease.
- Prevention and action taken to prevent falling sparks or hot metal from posing a fire hazard.
- Compressed and liquid gas cylinders stored in safe manner. [56.16005]

## Welding - 56.4600-4660

- Fire protection available; suitable precautions have been taken. [56.4600-.4604; 4660]
- Welding operations are shielded and well-ventilated.
- Protective clothing worn when welding, cutting, grinding.

## Air Quality & Respirators - 56.5005-5046

- Dust, gas, mist and fume surveys conducted frequently to determine adequacy of control measures.
- Control of exposure to contaminants by prevention or engineered control measures.
- Company respiratory program in place.
- Medical evaluations for employees that wear respirators.
- Approved respirators used; and used for purpose intended.
- Attendant and backup rescue respirator used when in atmospheres immediately harmful to life.
- Respirators required and used in area where airborne contaminants exceed permissible levels.
- Signs posted against unauthorized entry in hazardous air quality areas.
- Signs designate areas in which respirators must be used.
- Noise levels have been measured and employees are not exposed to an excess of permissible levels.
- Appropriate hearing protection is available and being used.



# Surface Workplace Checklist

MSHA 30 CFR Part 48 & 56

Location: \_\_\_\_\_

Audited by: \_\_\_\_\_ Date: \_\_\_\_\_

## Explosives, Loading, Blasting, Drilling - 56.6000-.6505

Please refer to this section of the regulations in their entirety!

## Explosives Equip/Tools; Maintenance - 56.6700-.6803

Please refer to this section of the regulations in their entirety!

## Explosives - General Requirements - 56.6900-.6905

Please refer to this section of the regulations in their entirety!

## Machinery and Equipment: Loading, Hauling and Dumping - 56.9000-9330; .14000-14219

- Rules governing speed, right-of-way, direction of traffic followed.
- Headlights used.
- Warning signs and signals properly placed.
- Operators maintain control of equipment.
- Operating speeds consistent with conditions or roadway, grades, clearance, visibility, traffic and type of equipment.
- Shop maintenance records are kept for review.
- Defective equipment taken out of service and tagged or placed in designated repair area.
- Operators perform pre-shift inspection to determine equipment defects.

## Transportation of personnel [56.9200-9314]

Persons are not transported:

- In or on dippers, forks, clamshells, buckets.
- In beds of mobile equipment; unless equipment is equipped with means to prevent accidental unloading.
- On top of loads in mobile equipment.
- Outside cabs, operator stations, and beds of mobile equipment.
- To and from work areas in overcrowded mobile equipment.
- With materials or equipment unless items are small; secured; or can be safely carried by hand without creating a hazard to persons.
- On conveyors, unless conveyor is designed for safe transportation.
- Suspended loads not swung over occupied cabs.
- Miners don't pass under raised equipment such as buckets and booms.
- Truck spotters stand in safe location during loading, dumping or backing up operations and use lights at night, or when conditions warrant, to direct trucks.
- Berms, stop blocks or other suitable devices impede overtravel.
- If road is infrequently traveled, or for service or maintenance use only, please refer to section: [56.9300 (d) (1-6)].
- Grizzlies, gates, and other sizing devices securely anchored.
- Stockpile and muckpile faces trimmed.

## Travelways and Escapeways - 56.11001-11059

- Working from any height requires fall protection.
- Safe access to all working areas.
- Handrails, toeboards, ladders where necessary.
- Fixed ladders securely anchored; 3" toe clearance and project 3' above landings or have handholds.
- Fixed ladders offset and landings every 30 feet.
- Inclined fixed ladders not inclined backwards.
- Fixed ladders 70 to 90 degrees from horizontal and 30 feet or more in length have backguards, cages or equivalent protection.
- Wooden ladder components unpainted or with clear transparent finish.
- Use of ladders: Person facing ladder with hands free.
- Clearance above stairs have a minimum 7' or warning signs posted.
- Safe access around conveyor belts; elevated walkways have outboard railings.
- Crossovers provided where necessary to crossover conveyors.
- Moving conveyors crossed only at designated crossover points.
- Openings where person or materials may fall protected.
- Regular walkways and travelways sanded, salted or cleared of snow and ice.
- Scaffolding of substantial construction, handrails, toeboards where appropriate, and not overloaded.

## Electricity - 56.12001-12053

- Danger signs posted at all major electrical installations.
- Principal power switches are labeled to show what units they control.
- Electrically powered equipment is deenergized and locked-out prior to maintenance or repair.
- Power switches locked out during maintenance to prevent circuits from being energized without the knowledge of person working on them; warning notices posted to alert persons to working being done.
- Dangerous electrical conditions are corrected immediately.
- Portable extension lights have guarding around them.
- Fuses are not removed or replaced by hand in an energized circuit.

## Compressed Air and Boilers - 56.13002-13030

- Boilers, pressure vessels, compressed air receivers and unfired pressure vessels meet applicable fed, state and local codes and are inspected and tested by certified inspectors; records available.
- Air receiver tanks equipped with one or more auto pressure relief valves.
- Compressor discharge pipes cleaned as recommended by manufacturer; no less than once every two years.
- Compressed air is never directed toward a person.

# Surface Workplace Checklist

MSHA 30 CFR Part 48 & 56

Location: \_\_\_\_\_

Audited by: \_\_\_\_\_ Date: \_\_\_\_\_

## Use of Machinery and Equipment - 56.14100-14219

### Operation, Inspection and Defects

- Operation of machinery or equipment is only done by competent persons.
- Pre-shift inspection of self-propelled mobile equipment is conducted by equipment operator.
- Defects reported and equipment tagged and taken out of service.
- Defects on self-propelled mobile equipment that affect safety and not corrected immediately are recorded by mine operator [with date defect recorded and date corrected] and those records are available for inspection by MSHA representatives.

### Brake Systems

- Service and emergency braking systems in good working functional condition on equipment.
- Parking brake on self-propelled mobile equipment is capable of holding the equipment with its typical load on the maximum grade it travels. [56.14101]

### Machine Guarding, Repair and Maintenance:

- Identify moving machinery components: conveyors; gears; sprockets; chains; drive, head, tail and take-up pulleys; flywheels; couplings; shafts; sawblades; fan blades/inlets; overhead belts [in case of breakage]; and similar parts that can cause injury.
- Moving components that may cause injury to personnel must be guarded.
- Guards must be of substantial construction and properly maintained.
- Moving machine parts are guarded if within 7 feet of walking or working areas/surfaces.
- Repairs or maintenance is not performed until machine is powered off and blocked against motion; except where machinery motion is necessary to make adjustments.
- Hands are not used to guide belts, chains, ropes, sprockets or drums, unless specifically designed for slow hand feeding.
- Conveyor pulleys are not cleaned while conveyor is in motion.
- Belt dressing not applied manually while belts are in motion, unless aerosol-type dressing is used.
- Drive belts not shifted while in motion unless machines have mechanical shifters.
- Machinery is not lubricated while in motion where a hazard exists, unless equipped with extended fittings or cups.
- Persons do not work on or from a piece of mobile equipment until it is blocked in place securely.

### Tools and Equipment and their use:

- Unsafe machinery is removed from service immediately.
- Handheld power tools [other than rock drills] are equipped with controls that require constant hand or finger pressure to operate the tools; or are equipped with other equivalent safety devices.
- Tools, equipment, grinding machines operated within manufacturers specs and not used beyond the design capacity intended by the manufacturer where such use may create a hazard to personnel.
- Circular saws and chain saws are not equipped with lock-on device.

- Quick-close air valves provided on pneumatic equipment.

### Stationary grinding machines [other than special bit grinders] are equipped with:

- Peripheral hoods [less than 90 throat openings] capable of withstanding the force of a bursting wheel.
- Adjustable tool rests set as close as practical to the wheel on a stationary grinding machine.
- Safety washers on each side.

### Mobile Equipment has:

- No defects affecting safety.
- Not been modified, reducing visibility.
- Cab glass that is safety glass or equivalent, and maintained.
- Forklift trucks, front-end loaders, and bulldozers have substantial canopies necessary to protect the operator.
- Lights on both ends that are operational.
- Properly operating deadman controls.
- ROPS [Rollover Protective Structures] installed and maintained.
- Seatbelts provided, maintained and worn.
- FOPS [Falling Object Protection] provided where hazards exist.
- Audible backup warning devices present, operational and used [if spotters are not used].
- While backing up with an obstructed view without a spotter, an automatic reverse-activated signal alarm sounds.
- Extraneous materials, tools or supplies properly stowed or secured.
- Adequate fire extinguisher/suppression system available.

### Work procedures around equipment:

- Movable parts of mobile equipment is positioned in travel mode or secured when equipment is moved.
- Warning light or flag used when loads project beyond the sides or more than 4 feet beyond the rear of haulage equipment [other than forklifts].
- Lights, flares or other warnings [visible] posted when parked equipment creates a hazard to vehicular traffic. Warning horns or backup alarms [audible] used for service equipment.
- Mobile equipment properly parked.
- Equipment and supplies loaded, transported and unloaded in manner that does not create a hazard to persons from falling or shifting equipment and supplies.
- Persons do not work or travel between machinery, equipment and bank/ribs. Travel is permitted when necessary for persons to dismount, only after tested and secured. [56.3430]

### Haul Roads:

- Spillage is not excessive.
- Adequate berms or guards on outer banks of elevated roadways [56.9300]; at least mid-axle of the largest self-propelled mobile equipment which usually travels the roadway.
- Water, debris, spilled material removed [when they create a hazard to moving equipment].
- Dust control measures effective.

# Surface Workplace Checklist

MSHA 30 CFR Part 48 & 56

Location: \_\_\_\_\_

Audited by: \_\_\_\_\_ Date: \_\_\_\_\_

## Safe Operating Practices - 56.14200

- Warning signal given before starting equipment and conveyors when persons could be exposed to hazard.

## Slings & Rigging - 48.25

- Added by MSHA #9 District Manager directive; [01/31/2005]

## Repair and Maintenance Practices - 56.14104-14211

- Raised equipment properly blocked during maintenance and repair.
- Electrical power deenergized and locked out during repair.
- Tow bars and safety chains used where practical to move disabled vehicles.
- Tires deflated prior to attempting service. During deflation procedure, persons stand outside the potential trajectory of the lock ring of a multi-piece wheel rim.
- To prevent injury during tire inflation, a wheel cage or similar restraining device is used that constrains all wheel rim components; or a device that permits person to stand outside potential trajectory area.

## Personal Protective Equipment - 56.15001-15031

### First Aid Supplies - [56.15001]

- Adequate first-aid materials: stretchers, blankets, water.
- Water or neutralizing agents near where chemicals are used, stored, handled.

### Check for self-created hazards:

- Hair short or secured to prevent contact with moving parts.
- Jewelry [Rings, bracelets, necklaces, etc.] not worn were they could create a snagging hazard.

### Observe clothing:

- Not baggy, loose or bulky.
- Not badly worn or frayed.
- Shirts tucked; cuffs buttoned.
- Flame resistant if necessary for conditions.

### Other:

- Hard hats required where falling object may create a hazard.
- Safety glasses, goggles, face shields when in or around an area of the mine where a hazard exists.
- Ear plugs or muffs used to reduce noise levels.
- Suitable protective footwear where hazards may occur to the feet.
- Safety belts and lines worn where a danger of falling.
- Attendant tends the lifeline when using safety belts/lines when bins, tanks or other dangerous areas entered.
- Protective equipment/clothing is maintained in a sanitary and reliable condition.

### Protective equipment/clothing provided /worn around hazards of:

- Process.
- Environmental.
- Chemical.
- Radiology.
- Mechanical Irritants.
- Welding, cutting, grinding [ goggles, shields, gloves, clothing].
- Water hazards [personal flotation devices, belts, lines].

## Storage of Materials & Supplies - [56.16001-16012]

- Material storage doesn't create a tripping or falling-of-material hazard.
- Hazardous materials stored in a safe manner and in appropriate containers.
- Toxic materials plainly labeled.
- Incompatible materials prevented from contact with each other.
- Restricted materials used only in laboratory conditions.

### Check hoppers, silos, bins, tanks, surge piles - 56.16002:

- Persons not exposed to entrapment.
- Persons safe from spills or overruns.
- Suitable walkways and passageways provided and used.
- Ladders, platforms, stages provided and used.
- Halt supply and discharge of materials when persons present.
- Equipment locked out.
- Attended safety lines used.

## Handling of Materials - 56.16002-16014

- Safety lines and attendant provided when working in bins, hoppers, silos, tanks and surge piles.
- Taglines attached to suspended loads
- Suitable hitches and slings used when hoisting materials.
- Persons stay clear of and do not ride on suspended loads.
- Materials are not dropped until area clear of personnel and warning given.
- Suitable blocking used to support conveyances at shaft landings before heavy equipment or materials are unloaded.

### Overhead Crane Operations:

- Bumpers at each end of rail.
- Automatic uptravel switches.
- Effective audible warning signals.
- Means to lock-out disconnect switch.
- Footwalks, toeboards and railings installed.

### Lift Truck operated with:

- Upright tilted back to steady and secure load.
- Load in upgrade position when traveling on grades [10%+].
- Load not raised or lowered enroute.
- Load-engaging device downgrade when traveling unloaded on all grades.

## Miscellaneous Regulations

### [56.17001]:

- Illumination sufficient to provide safe working conditions.
- Bulbs replaced. Sockets grounded; and weatherproof if exposed to weather or wet conditions.



# Surface Workplace Checklist

MSHA 30 CFR Part 48 & 56

Location: \_\_\_\_\_

Audited by: \_\_\_\_\_ Date: \_\_\_\_\_

**[56.18002]:**

- Examination of workplace by miner and competent person at least once each shift.
- Record of examination of workplace kept for one year; available for review upon request.

**[56.18006]:**

- New employees indoctrinated in safety rules and safe work practices.

**[56.18010]:**

- First aid training made available to all interested employees.
- Selected supervisors trained in first aid.

**[56.18020]:**

- No employee works alone in an area where hazardous conditions prevent the employee from being seen, heard or communicating with others.

**[Added by District 9 Manager directive: 01/31/2005]:**

- Hoisting procedures, wire ropes, signalling, headframes and sheaves, shafts, inspection and maintenance, etc. (see this section in its entirety).

**[56.20001]:**

- Intoxicating beverages and narcotics are not permitted or used in or around mines. Persons under the influence of such are not permitted on the job.

**[56.20002]:**

- Adequate supply of potable drinking water is provided at all active working areas. Potable water outlets are posted.
- Mine should have drinking water analysis records on file.

**[56.20003]:**

- Workplaces, passageways, storerooms, service rooms and floors are clean and orderly. Floors are dry and in good repair.

**[56.20008]:**

- Clean, sanitary toilet facilities provided.

**[56.20012]:**

- Toxic material is plainly marked or labeled.

**[56.20013]:**

- Waste receptacles have covers and are emptied frequently.

**[56.20014]:**

- Persons are not allowed to consume food and beverage in a toilet room or area exposed to hazardous waste.

**NOTE:**

*This workplace checklist guide is to help you determine what areas at your mine may be weak and need immediate correction.*

*It is not a substitute for 30 CFR Part 48 or 56 and should not be used without consulting the regulation in its entirety. It is the mine operators responsibility to ensure current regulations are used.*

*Copies of 30 CFR Part 56 are available on the internet at: [www.msha.gov](http://www.msha.gov); or from your local MAPTS office: Soldotna (907) 262-2788 or Anchorage (907) 786-6413.*

**Most frequently cited standards by mine type:**

**<http://www.msha.gov/STATS/Top20Viols/top20home.asp>**

# Immediately Reportable Accident

## ONE CALL DOES IT ALL

Mine operators are required to immediately call MSHA's toll-free number at 1-800-746-1553 to notify MSHA of an immediately reportable accident.

This single toll-free phone call is required by the Emergency Mine Evacuation Final Rule published in the Federal Register on December 8, 2006, and is the only call that mine operators will need to make to notify MSHA.

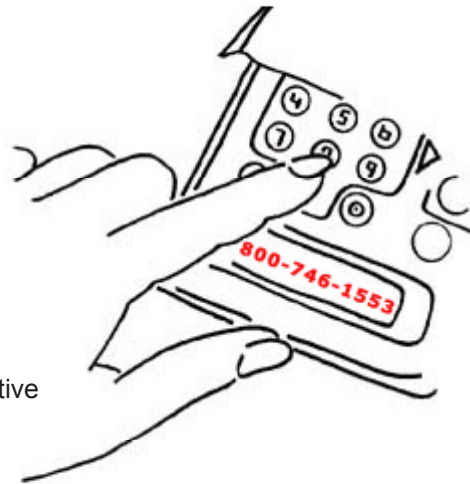
Mine operators must call immediately, but no later than 15 minutes from the time they know or should know that an accident has occurred.

*(Note: This does not absolve an operator from making proper contact with other local, state, or federal agencies in the event of certain circumstances. Understand your reporting requirements!)*

### Immediately reportable accidents and injuries are:

- Death
- Injury which has the reasonable potential to cause death
- Entrapment for more than 30 minutes
- Unplanned inundation of mine by liquid or gas
- Unplanned ignition or explosion or gas or dust
- Unplanned ignition of a blasting agent or explosive
- Unplanned roof fall at or above the anchorage zone in active workings where roof bolts are in use; or, an unplanned roof or rib fall in active workings that impairs ventilation or impedes passage
- A coal or rock outburst that causes withdrawal of miners or which disrupts regular mining activity for more than one hour
- An unstable condition at an impoundment, refuse pile, or culm bank which requires emergency action to prevent failure, or which causes individuals to evacuate an area; or failure of an impoundment, refuse pile, or culm bank
- Damage to hoisting equipment in a shaft or shole which endangers an individual or which interferes with the use of the equipment for more than 30 minutes
- An event at a mine which causes death or bodily injury to an individual not at the mine at the time the event occurs

**1-800-746-1553**



***Fines for not reporting within 15 minute time frame are SUBSTANTIAL per violation!***

*Understanding*

***Who MSHA considers a***

**“miner”**

**and**

***explanation of***

**“experienced”**

## **Independent Contractors**

### **A. Coverage and Training Requirements**

Independent contractors working at a mine are miners for Part 48 training purposes, except as explained below.

This policy statement does not affect an operator's responsibility to ensure that all miners are appropriately trained. Part 48 requires training prior to performing work in or on mine property. This includes an operator's responsibility to conduct mine-specific training.

This policy does not cover independent contractors who are surface construction workers or workers involved in underground mine construction work that causes the mine to cease operations. All other independent contractors must receive the appropriate Part 48 training.

Section 48.22(a)(1) define miners including independent contractors who are to receive comprehensive training. Section 48.22(a)(2) define miners including independent contractors who are to receive hazard training.

### **B. Independent Contractor Training**

The appropriate training will be either the comprehensive training (new miner training, experienced miner training, task training, and annual refresher training) or hazard training.

#### **1. Comprehensive Training**

Independent contractors must receive comprehensive training if they perform extraction and production work or are regularly exposed to mine hazards.

##### **a. Determination of Appropriate Comprehensive Training**

Whether an independent contractor should receive the new miner training (Section 48.25) or the experienced miner training (Section 48.26) depends on whether the miner is an "experienced miner" under Section 48.22(b).

##### **b. Extraction and Production**

No work time minimum is associated with this provision. Independent contractors who perform extraction and production work must receive the appropriate comprehensive training. "Extraction and production" refers to the process of mining and removal of coal or ore from a mine. This process includes both the mechanical and chemical separating of coal from the surrounding rock and metal or valuable minerals from ore and concentrate; removal and milling of conglomerates or rocks by crushing, screening, or sizing; and haulage associated with these processes.

Short-term independent contractors who perform extraction and production work and have received experienced miner training may, instead of receiving experienced miner training for each subsequent mine, receive hazard training (see Section 48.22(a)(1)).

The experienced miner training such contractors receive initially may be largely generic. The training must be of sufficient duration and content to cover the principles of mine safety and health, as well as the types of hazards they might encounter at the mines. Thorough hazard training satisfies the mine-specific training through the program approved as part of the approved training plan.

##### **c. Maintenance or Service Workers Who are Regularly Exposed to Mine Hazards**

Independent contractors who are regularly exposed to mine hazards, or who are maintenance or service workers contracted by the operator to work at a mine for frequent or extended periods, must receive comprehensive training. "Regularly exposed" means either frequent exposure, that is exposure to hazards at the mine on a frequent rather than consecutive day basis (a pattern of recurring exposure), or extended exposure of more than 5 consecutive workdays, or both.

d. Selection of Training Programs

Independent contractors may submit their own training plans and conduct their own MSHA-approved training program, use an MSHA-approved cooperative program, or use the MSHA-approved training program for the mine.

## **2. Hazard Training**

Independent contractors not previously described who are exposed to mine hazards are to receive hazard training under Section 48.31.

Independent contractor exposure to hazards varies from situation to situation. Hazard training must be tailored to fit the training needs of the particular contractor. Training these contractors receive must be of sufficient content and duration to thoroughly cover the mine-specific conditions, procedures, and safety devices. Training must include hazards incident to the performance of all job assignments by the contractor at the mine.

### **Persons Performing Construction Work**

Construction work includes the building or demolition of any facility, the building of a major addition to an existing facility, and the assembling of a major piece of new equipment, such as installing a new crusher or the assembling of a major piece of equipment such as a dragline.

Excerpt from **MSHA's Program Policy Manual:**

**<http://www.msha.gov/REGS/COMPLIAN/PPM/PMVOL3B.HTM#13>**

- *webcaptured 04/29/10; 4:28 pm; <http://www.msha.gov/30cfr/48.22.htm>*

# Who can train the miners who work for me?

## Part 48 Training - §48.23(8)(g) & (h)

30 CFR Part 48 Subpart B (Surface and Surface Areas of Underground Mines) requires that certain training be conducted by MSHA approved instructors. Inexperienced New Miners, Experienced Miners, Annual Refresher Training and Site-Specific Hazard training all require training by instructors with MSHA issued "Blue Cards".

In the mining industry, someone who is approved to instruct Part 48 training is referred to as someone who has a "blue card". The card issued by MSHA is blue. The card lists the person's name, their MIIN number (MSHA Individual Identification Number), and training and sublimation codes.

CODE	QAL	CODE	QAL
AN	03/1988	AP	03/1988
IN	04/1990	IS	05/1990
IU	05/1990	MR	03/1987
MS	03/1988		

Some approved MSHA instructors have a designation of "Unlimited". This means the instructor can teach the classes listed on his or her card with no restrictions. Some approved MSHA instructors have "Sublimation" codes. Sublimations are used to limit an instructor, they must be linked to an IU or IS code. This means the person may be restricted to a limited number of subjects in either a surface or underground mine. Perhaps they can only teach barricading (BC) in and underground (IU) mine, or electrical hazards (EH) at a surface (IS) mine. The QAL is the date the instructor was approved by MSHA to instruct the subject.

The example shown above, shows a duplicate "blue card" issued for an instructor with a MIIN number of M00000000. A MIIN is eight digits preceded with an M. The example shows the instructor is approved to teach the following:

AN	Roof & Rib Control	AP	Accident Prevention
IN	Instructor Training	IS	Surface
IU	Underground	MR	Mine Rescue
MS	Mine Emergency Training		

The instructor must be listed on the mine's training plan, along with the MIIN number and subjects approved to teach. If a training provided (such as MAPTS) is used, the training provider must be listed on the training plan as well.

MSHA requires notification of classes conducted by blue card instructors so that they may be monitored at the discretion of a Educational Field Service representative.

## Part 48 Task Training - 48.27 AND Part 48 Hazard Training - 48.31

This training is performed at the mine by mine personnel, or a person designated on the Mine's training plan as being competent to conduct. The training orients a new, experienced, or reassigned miner to the hazards specific to each mine. This person is listed on the mine's training plan with the subject they are competent to teach (see section in this pamphlet for more information). This training does not require an instructor with a blue card. Document the trainer's proficiency in the subjects with any certificates, endorsements, experience.

*Understanding*  
**Hazard Training**  
*requirements for*

**Surface and**  
**Surface Areas of Underground Mines**  
§48.31

## Hazard Training - 48.31 (Surface)

- Affects:**
- Surface & Surface Areas of UG Mines: §48.22
  - Surface Miners; §48.22 (a)(2)
  - those other than miners\*

This is a no-brainer. You don't want strangers, visitors, service personnel or miners on mine property without proper hazard training. Hazard training is intended to acquaint and inform individuals of potential dangers or hazardous conditions related to the areas where they might work or travel at the mining operation. This training also applies to short-term maintenance or service workers, including delivery persons, technicians, students, visitors, etc., who are not involved in the production or processing work.

### **Special Requirements:**

- This training does not require a "blue card" (MSHA approved) instructor. The person conducting this training must be listed on this portion of the training plan as qualified to teach this subject. [§48.23(3)(g)]
- This training regulation is specific in content that must be delivered.
- Training must be documented on 5000-23. (Copy to miner and office file)
- Training records, certificates must be made available for MSHA inspection.

### **Frequency:**

This training is required at least once every 12 months. [§48.31(c)]

### **How miners receive this training:**

#### Underground / Surface & Surface Areas of UG Mines

This training is performed at the mine by mine personnel, or a person designated on the Mine's training plan as being competent to conduct. The training orients a new, experienced, or reassigned miner to the hazards specific to each mine.

#### Others

See MSHA's definitions and regulation for further clarification.

*\*Consult the pertinent regulation for MSHA's definitions, regulations, rules, and program policies.*



## **MSHA**

### **For Surface Mines and Surface Areas of Underground Mines**

Under Section 48.31 Hazard Training, the operator may use a Form 5000-23 for hazard training.

The Form 5000-23 need not be used, however, if the following situations satisfy hazard training requirements:

Verbal instructions of mine hazard avoidance procedures are given by mine personnel, and the person receiving the instructions signs a log sheet indicating receipt of the instructions.

Written instructions of mine hazard avoidance procedures are supplied. The written instructions, signed by the person receiving them, or a log sheet signed by the recipient must be maintained as a record.

*- webcaptured 05/03/10; 8:23 am; <http://www.msha.gov/REGS/COMPLIAN/PPM/PMVOL3C.HTM#24>*

*Understanding*  
**Inexperienced New Miner  
Training**

*requirements for*

**Surface and  
Surface Areas of Underground Mines**  
**48.25**

## Newly-Employed Inexperienced Miner- §48.25

Federally mandated training that is intended to be a comprehensive orientation for “inexperienced miners” that covers a variety of operational and health and safety subject area under CFR 30 Part 48 Subpart B (Surface and Surface Areas of Underground Mines).

MSHA has certain training requirements (subjects) that must be covered prior to persons assuming work duties. (State of Alaska does as well - see State of Alaska training)

### Special Requirements:

- Training must match Mine’s training plan (and training providers plan) and meet the minimum requirements under the regulation.
- Training must be documented on 5000-23.
- Miner must receive a copy of the 5000-23; a copy must be available at the minesite for MSHA. Employee receives a separation copy when employment terminates.
- Training must be delivered by a MSHA Approved Instructor (carrying what is known as a “blue card”). Make sure instructor has the proper credentials as there are various subjects which an individual may teach. The “blue card” designates the instructors qualifications.
- MAPTS training also includes subjects added at the request of the Western District Manager and changes to regulations:
  - HAZCOM (Part 47)
  - Slings and Rigging Awareness
- Contractors must retain training records for 6 months after employee leaves the company.
- Under Section 48.24, Cooperative Training Program, the cooperative trainer (i.e., MAPTS) may sign the training certificate upon partial completion of cooperative training. Final signature upon completion of the program must be by the operator or his representative. *This means the training document is NOT complete until the mine’s competent person signs the 5000-23.*

### Frequency:

This training is specific in content that must be delivered and is required for new miners prior to beginning work. For MSHA’s definition of a “new miner”, see:

Underground: §48.2(c)

Surface & Surface Areas of UG Mines: §48.22(c)

### How miners receive this training:

#### Surface & Surface Areas of UG Mines

This training is provided to 48.22(c) “new miners” by MAPTS as part of the MSHA Part 48 Surface 16-Hour Classroom portion of the required 24-Hour MSHA Part 48 Surface Inexperienced New Miner training (8 Hours due at the jobsite).

#### Refresher

Not applicable

#### Others

It is up to the Mine’s competent person to determine if the person fits MSHA’s definition of a “new miner” or miner. [§48.2(c)/ §48.22(c)]. *Note: Read all of §48.2 for MSHA’s complete definition of a “miner”.*

*Understanding*  
**Experienced Miner  
Training**

*for*

**Surface and  
Surface Areas of Underground Mines**  
§48.26

## Experienced Miner Training - §48.26

Training that is intended to orient a miner that has previously received training and fits MSHA's definition of an "experienced" miner. (*MPTS does not offer this training*). This is conducted by the Mine's Competent Person who is in possession of a "blue card" with the proper codes and is listed on the mine's training plan.

To learn more about Experienced Miner training requirements, see:  
Surface & Surface Areas of UG Mines: §48.26.

MSHA's definition of an Experienced Miner:  
Surface & Surface Areas of UG Mines: §48.22(a)(2)(b)

### Experience Miner Status:

Once a miner is considered an "experience miner" by MSHA's definitions, they never lose their "experienced miner" status. This is NOT to say that they can work without an annual refresher. If they are not current, they cannot be working in a mine.

### Special requirements:

- This training is intended for individuals that meet MSHA's definition of an "experienced miner".
- An "experienced miner" is one that has at least 12-months of surface mining experience. Be aware, that in Alaska, it may take two construction seasons to obtain the 12-month requirement if the mine does not operate year-round.
- Training must match Mine's training plan (an training providers plan) and meet the minimum requirements under the regulation.
- Training must be documented on 5000-23.
- Miner must receive a copy of the 5000-23; a copy must be available at the minesite for MSHA. Employee receives a separation copy when employment terminates.
- Training must be delivered by a MSHA Approved Instructor (carrying what is known as a "blue card"). Make sure instructor has the proper credentials as there are various subjects which an individual may teach. The "blue card" designates the instructors qualifications.
- Special circumstances apply if the miner has been absent from mining, see:  
Surface & Surface Areas of UG Mines: §48.26(a)...48.26(b); §48.26(e)
- This training differs slightly from Refresher training [§48.8/§48.28].  
In comparison to Refresher training, includes/excludes:
  - Introduction to the work environment
  - Authority and Responsibilities of Supervisors and Mine Rep's
  - Hazard recognition
  - (excludes explosives)

# MSHA

## Program Policy Manual

### VOLUME III

#### INTERPRETATION AND GUIDELINES ON ENFORCEMENT OF THE 1977 ACT

May 16, 1996

##### **48.26 Experienced Miner Training**

Health and safety training may be conducted at the job site and may involve performance of actual job tasks. Guidelines for job site training are set out under Sections 48.25.

When an experienced miner returns to the same mine following an absence of 12 months or less, the miner must be informed about major changes affecting safety or health that have occurred at the mine during the absence before the miner starts work. Also, the miner must complete annual refresher training as required in Section 48.28 before starting work, if the miner missed that training during the absence.

With one exception, there are no time requirements for experienced miner training. However, for miners returning to mining after an absence of 5 years or more, the returning “experienced miner” must receive at least 8 hours of experienced miner training.

*- webcaptured 05/03/10; 8:23 am; <http://www.msha.gov/REGS/COMPLIAN/PPM/PMVOL3C.HTM#24>*

*Understanding*  
**Refresher Training**

*for*

**Surface and  
Surface Areas of Underground Mines**

**§48.28**

## Annual Refresher Training - §48.28

This training requirement addresses structured safety training updates (on an annual basis) for all mining personnel and extraction and processing contractors. This training is usually conducted in a classroom-type environment where instructors have prepared formal mine-specific safety presentations and materials, accident information and injury data representative of the mine site, representative mine plants, etc.

MAPTS does not validate prior training. Verification of prior training, experience, and competency falls within the scope of the Mine's Competent Person duties.

Surface & Surface Areas of UG Mines: §48.28

### Special Requirements:

- This training is intended for individuals that meet MSHA's definition of "miner".
- Training must match Mine's training plan (an training providers plan) and meet the minimum requirements under the regulation.
- Training must be documented on 5000-23.
- Miner must receive a copy of the 5000-23; a copy must be available at the minesite for MSHA inspection. Employee receives a separation copy when employment terminates.
- Training must be delivered by a MSHA Approved Instructor (carrying what is known as a "blue card"). Make sure instructor has the proper credentials as there are various subjects which an individual may teach. The "blue card" designates the instructors qualifications.
- This training differs slightly from Experienced Miner training [§48.28].  
In comparison to Experienced Miner training includes/excludes, per the regulation:
  - (excludes Introduction to the work environment)
  - (excludes Authority and Responsibilities of Supervisors and Mine Rep's)
  - (excludes Hazard recognition)
  - Includes explosives
- MAPTS training also includes subjects added at the request of the Western District Manager and changes to regulations:
  - HAZCOM (Part 47)
  - Slings and Rigging Awareness
- Employee training certificates must be retained for two years, or 60 days after employee termination.
- Occasionally individuals receive this training well in advance of their employment, as in the case of a person enrolled in an apprenticeship type of program. They may not have to repeat the training, however, certain circumstances apply.  
To learn more, see: §48.25(d)

### Frequency:

This 8-hour training is specific in content that must be delivered annually and is required for miners and experienced miners.



## **MSHA**

### **§48.28 Annual Refresher Training of Miners; Minimum Courses of Instruction; Hours of Instruction**

Operators may provide annual refresher training at any time during the last calendar month of the miner's annual refresher training cycle. To illustrate this policy, miners who began work in July 2001 must complete their annual refresher training any time in July 2002. Accordingly, training records and schedules may be maintained on a monthly basis, rather than tracking each miner's individual training date. Also, operators should be encouraged to schedule annual refresher training at the beginning of the month so that if for some reason a miner misses the regularly scheduled training, there will still be a reasonable opportunity for the training to be made up before the end of the month.

Annual refresher training is required to cover such mine-specific matters as the review of roof or ground control plans and health control plans in effect at the mine.

Refresher health and safety training may be conducted at the job site and may involve performance of actual job tasks. Guidelines for job site training are set out under Sections 48.5/48.25.

#### **Refresher Training Following an Absence**

The following training is required for experienced miners as defined in Sections 48.2(b)/48.22(b) who return to work following an absence:

1. When an experienced miner returns to the same mine following an absence of 12 months or less, the mine operator must provide annual refresher training based on the miner's original schedule before the absence. The miner must complete annual refresher training before starting work, if the miner missed that training during the absence. Also, the miner must receive training that covers major changes affecting safety or health that have occurred at the mine, before the miner starts work. This training may be credited toward the miner's annual refresher training.
2. When an experienced miner returns to the mine following an absence of more than 12 months, the operator must provide experienced miner training before the miner begins work. This starts a new annual refresher training date for this miner. In either case, if the miner is assigned a new work task, the operator must provide new task training prior to having the miner perform that task.

The above does not apply to experienced miners assigned to work underground or on the surface for the first time. These miners are "new miners" under the training regulations and must receive new miner training. Credit can be given for applicable underground or surface training.

#### **Extension of Time to Complete Annual Refresher Training**

The unexpected return of miners after absences may create a strain between the completion of quality refresher training and prompt return of the miners to productive employment.

In order to accommodate unforeseeable events, district managers may consider requests for limited extensions of time to complete annual refresher training. Such requests will be considered on a case-by-case basis, and be granted only if:

1. The miners involved are experienced, as defined by Section 48.22(b).

2. Good faith efforts were made by the operator to train the miners before the annual refresher \ training anniversary date passed.
3. The miners, before returning to work, will be given any task training required by Section 48.27, and will be thoroughly instructed in any changes in procedure at the mine or in the mining environment.
4. The required annual refresher training will be promptly completed.

Subject to additional conditions that the district manager may require, a request for a limited extension of time to complete annual refresher training may be granted when these factors are met. In no case, however, should extensions be granted to correct poor scheduling practices or failure to anticipate foreseeable training needs, nor should provisions for an extension of time appear in an operator's approved training plan or otherwise be routinely granted.

When extensions of time to complete annual refresher training are granted, such extensions should be confirmed in writing to the operator, stating the conditions of the extension and the date that refresher training will be completed. The completion date of this refresher training cycle initiates a new anniversary date.

#### **Annual Refresher Guidelines for Training Plans**

An effective refresher training program must be adapted to changes in mining conditions, accident history, and other training concerns. Time spent for each course may vary to meet specific needs. The following guidelines should be used to evaluate provisions for annual refresher training:

1. The required annual refresher training courses listed in Section 48.28 that are not applicable to a particular mine may be omitted from that mine's training plan. A notation of which courses are not applicable should appear in the training plan.
2. An 8-hour minimum is required for the total annual refresher training program. However, the time spent on individual courses may vary from year to year or from one area of the mine to another depending on specific safety or health problems encountered. The mine's accident experience should significantly influence the amount and type of training miners receive throughout the year.
3. All applicable refresher training courses listed in the approved training plan are to be given during each 12- month cycle. However, two or more of the courses may be covered in one training session or safety meeting. For example, a well structured safety meeting may cover ground control, related safety standards, prevention of accidents, and other topics without the necessity of separate blocks of instruction.

Training plans may be revised to reflect training needs. Requests for revisions should be submitted in accordance with Section 48.23(j)(1).

*Understanding*  
**Task Training**

*for*

**Surface and  
Surface Areas of Underground Mines**

**§48.27**

## **Task Training - §48.27**

This training is performed at the mine by mine personnel, or a person designated on the Mine's training plan as being competent to carry-out. The training orients a new, newly-hired experienced, or reassigned miner to new jobs or job tasks and duties, miners assigned new equipment, or a procedural change is instituted, prior to miner assignment or the miner actually performing the work.

This training typically includes instruction on job steps, operating procedures, company rules, manufacturer's procedures, applicable regulations, as well as other health and safety aspects of the job, task, or duties. Other task training may involve changes in equipment or job procedures.

Surface & Surface Areas of UG Mines: §48.27

### **Special Requirements:**

- This training does not require a MSHA approved "blue card" instructor. The person conducting this training must be listed on this portion of the training plan as qualified to teach this subject, or experienced in the assigned tasks, see: [Surface: §48.23(g); §48.27.(a)(4)(d)]
- This training regulation is specific in content that must be delivered.
- Training must be documented on 5000-23.
- Miner must receive a copy of the 5000-23; a copy must be available at the minesite for MSHA inspection. Employee receives a separation copy when employment terminates.
- The person responsible for Task Training must be listed on the mine's Training Plan.

### **Frequency:**

See first paragraph above.

## **MSHA**

### **48.27 Training of Miners Assigned to a Task in Which They Have Had No Previous Experience; Minimum Courses of Instruction**

An appropriately completed Job Safety Analysis may be used as a training guide when conducting task training as long as it complies with the task training requirements of Part 48.

## New Task Training – Subpart B – Part 48.27

### OUTLINE OF TRAINING PROCEDURE FOR NEW TASK TRAINING – SURFACE

Miners who are assigned to a new task in which they have had no previous experience will be trained in the safety and health aspects and safe work procedures of the task, including information about the physical and health hazards of chemicals in the miner's work area, the protective measures a miner can take against these hazards, and the contents of the mine's HazCom program, as specified in Section 48.27(a),(b),(c), & (d), prior to performing such task. Such training will be conducted according to the following:

**TITLE:** All Job Titles Listed on Attached Matrix

**TASKS:** As listed on Attached Matrix

#### 1. PROCEDURES

The miner will be taught the *health and safety aspects and safe operating procedures for work tasks*, equipment and machinery, *supervised practice during non-production, supervised operation during production*, safe operating procedures for new or modified machines and equipment, welding and cutting hazards, and electrical lock out/ tag out procedures. Will be able to locate and understand Hazcom program and understand how to read MSDS's.

All task training will be accomplished by a thorough review of the following procedures, as applicable:

- a) Know the function and working relationship of the new task to overall goals of the operations.
- b) Be able to perform pre and post operation checks on any equipment necessary to the performance of the new tasks.
- c) Demonstrate proper start-up and shutdown procedures on such equipment.
- d) Describe and demonstrate safe operating procedures.
- e) Be knowledgeable in any required maintenance and servicing requirements.
- f) Know how to deal with or report any problems or malfunctions.
- g) Demonstrate knowledge of company and federal health and safety procedures applicable to the new task.

#### 2. INSTRUCTOR

This training will be given by a qualified trainer or a supervisor experienced in the assigned tasks, or other person experienced in the assigned task.

#### 3. METHODS

The following methods will be used where applicable to the task.

- a) Classroom lecture, discussion, demonstration
- b) Question and Answer
- c) Supervised student practice
- d) Supervised on the job training and feedback

#### 4. EVALUATION

The primary methods of evaluation will be by oral questions and answers and direct observations during practice and on the job training as to the trainee's comprehension and performance of the new task.

#### 5. MATERIALS

- a) Lesson plans
- b) Instructors knowledge
- c) Operator's manual
- d) Plant diagram
- e) Company policies and procedures, including written HazCom program & MSDS's
- f) Federal and State Mining Code

## PART 48.27 Task Training

<b>SURFACE</b>	<b>Bull Dozer Operator</b>	<b>Front End Loader Operator</b>	<b>Highwall Driller Operator</b>	<b>Truck Driver</b>	<b>Laborer</b>	<b>Repairman/ Mechanic</b>	<b>Backhoe Operator</b>	<b>Road Grader Operator</b>
Load Trucks		X		X			X	
Emerg. Maint. & Repairs	X	X	X	X		X	X	X
Test Electrical Equipment						X		
Rough Carpentry					X			
Maint. Drainage & Water					X		X	X
Use Hand Tools	X	X	X	X	X	X	X	X
Equipment Lock-Out						X		
Clean-up					X			
Operate Trucks				X				
Maint. Equip. & Mach.	X	X	X	X		X	X	X
Fuel Mobile Equipment	X	X	X	X	X		X	X
Lubricate Machinery	X	X	X	X		X	X	X
Install Parts & Equipment						X		
Weld, Braze, etc.						X		
Electrical Repairs						X		
Operate Mobile Equipment	X	X	X	X		X	X	X
Pre/Post Operator Check Equipment	X	X	X	X		X	X	



*Understanding*

**5000-23**

**Training Certificates**





**U.S. Department of Labor**  
Mine Safety and Health Administration

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## Certificate of Training

MSHA Form 5000-23, Jan. 99 (revised)

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**Persons are not required to respond to the collection of information unless it displays a currently valid OMB control number.**

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the collection of information. This is a mandatory collection of information as required by 30 CFR Part 48.9 and 48.29. The information provides MSHA with a monitoring tool for determining compliance requirements. The Certificate of Training provides a means for operators to record and certify mandatory training received by miners. Send comments regarding the collection of information, including suggestions for reducing this burden to the Mine Safety and Health Administration, Department of Labor, Records Management Branch, 1100 Wilson Boulevard, Arlington, Virginia 22209-3939.

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**DO NOT SEND THE COMPLETED FORM TO THE OFFICE SHOWN ABOVE**

# Certificate of Training

U.S. Department of Labor  
Mine Safety and Health Administration



Approved OMB Number 1219-0009, Expires July 31, 2014.

This certificate is required under Public Law 91-173 as amended by Public Law 95-164. Failure to comply may result in penalties and other sanctions as provided by sections 108 and 110, Public Law 91-173 as amended by Public Law 95-164.

**Issue Certificate Immediately  
Upon Completion of Training**

Serial Number (for operator's use)

1. Print Full Name of Person Trained (first, middle, last)

2. Check Type of Approved Training Received:

- Annual Refresher     
  Experienced Miner     
  Hazard Training  
 New Task (specify below)     
  Newly Employed Inexperienced Miner     
  Other (specify)

Date	Task	Initials	Date	Task	Initials
		Instr / Studt			Instr / Studt

3. Check Type of Operation and Related Industry:

- A.  Surface       Construction       Underground       Shaft & Slope  
 B.  Coal       Metal       Nonmetal

4. Date Training Requirements Completed

Check if not completed and go to item 5, below.

→ If completed, go to item 6, below.

5. Check Subjects Completed (Use only for partially completed training):

- Introduction to Work Environment     
  Roof/Ground Control & Ventilation     
  Health  
 Hazard Recognition     
  Mine Map; Escapeways; Emergency Evacuation; Barricading     
  Electrical Hazards  
 Emergency Medical Procedures     
  Cleanup; Rock Dusting     
  First Aid  
 H&S Aspects of Tasks Assigned     
  Mandatory Health & Safety Standards     
  Mine Gases  
 Statutory Rights of Miners     
  Authority & Responsibility of Supervisors & Miners     
  Explosives  
 Self-Rescue & Respiratory Devices     
  Prevention of Accidents  
 Transport & Communications Systems     
  Other (specify)

**6. False certification is punishable under section 110 (a) and (f) of the Federal Mine Safety & Health Act (P. L. 91-173 as amended by P. L. 95-164).**

I certify that the above training has been completed (signature of person responsible for training)

7. Mine Name, ID, & Location of Training (if institution, give name & address)

8. Date

I verify that I have completed the above training (signature of person trained)

## Understanding (reading) a 5000-23

A 5000-23 is MSHA's required document that is used to record a miner's training.

A miner may have received training mid-way through the month, for example:

Joe Miner takes his experienced miner training on May 15, 2011.

His 5000-23 is good for 12 months. His training is good through the end of the month in which he received his training. Joe Miner must receive his next annual experienced miner training before May 31, 2012 (the END of May).

### MSHA

All part 48 training must be properly recorded on a Mine Safety and Health Administration (MSHA) Form 5000-23 (training certificate), or on an MSHA approved alternate form. For additional policy information on the 5000-23 form, you may refer to the MSHA Program Policy Manual.

***The current MSHA Form 5000-23 has an expiration date of July 31, 2014, however, previously issued forms with an earlier expiration date may still be used.***

Source: <http://www.msha.gov/forms/523INSTR.htm>

The printed version comes with FOUR copies. Listed below are notations, which appear on the bottom right-hand side of the form, showing the intended use of each copy:

- Copy 1 (white) - Employer's Personnel Record
- Copy 2 (pink) - Employee's Record Copy
- Copy 3 (yellow) - Employee's Separation Copy
- Copy 4 (green) - Record Keeping

### Order booklets of 5000-23 from:

Norman J Zeman Jr. CMSP - Training Specialist, Supervisor  
Mine Safety and Health Administration - Education Field Services  
2060 Peabody Rd. Suite 610  
Vacaville, CA 95687  
Phone: 707-447-9844



## Instructions for Completing a Mine Safety and Health Administration Certificate of Training Form (5000-23)

All part 48 training must be properly recorded on a Mine Safety and Health Administration (MSHA) Form 5000-23 (training certificate), or on an MSHA approved alternate form. For additional policy information on the 5000-23 form, you may refer to the MSHA Program Policy Manual. To review the applicable policy please use [this link](#).

The current MSHA Form 5000-23 has an expiration date of December 31, 2010, however, previously issued forms with an earlier expiration date may still be used. The printed version comes with four copies. Listed below are notations, which appear on the bottom right-hand side of the form, showing the intended use of each copy:

- Copy 1 (white) - Employer's Personnel Record
- Copy 2 (pink) - Employee's Record Copy
- Copy 3 (yellow) - Employee's Separation Copy
- Copy 4 (green) - Record Keeping

The following is a description of how to complete each item of the 5000-23.

ITEM	DESCRIPTION
<b>Serial Number</b> (for operator's use)	This is an optional field which may be used to help track employees by an identification number. There is no Federal requirement to use this field.
<b>Item 1. Print Full Name of Person Trained</b> (first, middle, last)	Enter the person's name who has received the training.
<b>Item 2. Check Type of Approved Training Received</b>	There are five boxes for the five types of training required. Check the appropriate box(es) to indicate what training was given.  When New Task is checked, additional space is provided to record 1-8 task training events. This space is used to identify each task and to allow for the

[www.msha.gov/forms/5231NST.htm](http://www.msha.gov/forms/5231NST.htm)

## **MSHA**

### **Approved Forms**

All Part 48 training must be properly recorded by the operator on an MSHA Form 5000-23 (training certificate), or on an MSHA approved alternate form. Alternate forms must include at least as much information as a Form 5000-23, and should be labeled MSHA Approved Alternate Form 5000-23 (current month and year).

Forms proposed by the operator (if you use a format other than the MSHA form) must be sent for approval to the Director of Educational Policy and Development, MSHA, 1100 Wilson Boulevard, Arlington, Virginia 22209-3939.

### **Record-Keeping Requirements**

Operators are required under Section 48.29 to give a copy of the training certificate, MSHA Form 5000-23, or an approved alternate, to the miner upon completion of each MSHA approved training program. A "training program" is any miner training (i.e., new miner, newly employed experienced miner, task, annual refresher training or hazard training) completed during a 12- month training cycle.

In order to simplify record-keeping, all MSHA approved training programs completed within a miner's 12-month training cycle may be recorded on one Form 5000-23, provided the following procedures are used:

Each time a miner completes an MSHA approved training program, the operator must initial and date the form to certify that the miner has received the specified training. Initialing and dating can be done in the space on the form adjacent to the type of training. Also, the miner should be given an opportunity to sign or initial the form.

When a MSHA approved program is completed and recorded by the operator, a copy of the certificate must be given to the miner upon request.

At the end of the 12-month training cycle, or when the miner signs item 8 of the form, a copy of the completed form listing all completed training programs and signed by the operator or the operator's representative must be given to the miner.

The training certificate, MSHA Form 5000-23, has been revised so that all training completed by a miner during the 12-month cycle may be recorded on one form.

### **Miscellaneous**

Under Section 48.24, Cooperative Training Program, the cooperative trainer may sign the training certificate upon partial completion of cooperative training. Final signature upon completion of the program must be by the operator or his representative.

## Understanding (reading) a 5000-23

A 5000-23 is MSHA's required document that is used to record a miner's training.

A miner may have received training mid-way through the month, for example:

Joe Miner takes his experienced miner training on May 15, 2011.

His 5000-23 is good for 12 months. His training is good through the end of the month in which he received his training. Joe Miner must receive his next annual experienced miner training before May 31, 2012 (the END of May).

### MSHA

All part 48 training must be properly recorded on a Mine Safety and Health Administration (MSHA) Form 5000-23 (training certificate), or on an MSHA approved alternate form. For additional policy information on the 5000-23 form, you may refer to the MSHA Program Policy Manual.

***The current MSHA Form 5000-23 has an expiration date of July 31, 2014, however, previously issued forms with an earlier expiration date may still be used.***

Source: <http://www.msha.gov/forms/523INSTR.htm>

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- Copy 2 (pink) - Employee's Record Copy
- Copy 3 (yellow) - Employee's Separation Copy
- Copy 4 (green) - Record Keeping

### Order booklets of 5000-23 from:

Norman J Zeman Jr. CMSP - Training Specialist, Supervisor  
Mine Safety and Health Administration - Education Field Services  
2060 Peabody Rd. Suite 610  
Vacaville, CA 95687  
Phone: 707-447-9844

*Understanding*  
**Reporting Requirements**  
*for*  
**Surface and**  
**Surface Areas of Underground Mines**  
**§48.27**

**This section information  
developed and provided courtesy of:  
Michigan Tech**

<http://www.mine-safety.mtu.edu/compman/sec3.pdf>

# Section 3 Action Items

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## **Recordkeeping**

Records required by MSHA for surface M/NM mines.

1. Go through the table of records and mark those that apply to your operation.
2. Mark those that apply on your calendar.
3. Take immediate action on current record deficiencies (or assign to others & check that they are done) and take action on the others before the required date(s).
4. Call \_\_\_\_\_ at the local MSHA field office to answer questions.

## **Generic Daily Walk-Around Inspection form.**

1. Make a form to use as a reminder of what to check for – you may use the form provided, or use it only as a guide to make your own.
2. Designate the competent person responsible for daily inspections.
3. Instruct this person on the procedure for getting reported deficiencies corrected immediately.
4. Check periodically to insure that these records are being kept. Keep records for one year.

## **Generic Mobile Equipment Pre-Operational Inspection form.**

1. Make a form to use as a reminder of what to check for – you may use the form provided, or use it only as a guide to make your own.
2. Instruct mobile equipment operators on the use of the inspection form, how to tag out defective equipment and where to place the equipment so maintenance will be done immediately.
3. Check periodically to insure that the procedure is working.
4. Dispose of record when safety defect has been corrected.



## Records Required by MSHA for Surface Metal/Nonmetal Mines

Disclaimer -- The material presented is only as accurate as we were able to obtain in preparing this table. 30 CFR and the Program Policy Manual Should be Consulted Also.

Record Required	Regulation	MSHA Form Number	Where to Find Forms & Other Info.	Timeline	Oper. Retention time	Additional
<b>Accident investigation report</b> - Company with 20 or less employees, may qualify to do investigation on form 7000-1 if injury not related to accident. Otherwise, do separate investigative report & complete 7000-1. Read 50.11 Subpart b.	Part 50	Form 7000-1	<a href="http://www.msha.gov/forms/forms.htm">http://www.msha.gov/forms/forms.htm</a>	Within 10 working days of reportable incident.	5 years	Read 50.11 Subpart b
<b>Compressed Air receiver inspection</b> - Inspected by holder of valid National Board Commission in accordance with National Board Inspection Code, a Manual for Boiler and Pressure Vessel Inspectors, 1979 -- For receivers >250psi and >15 cu ft.	56.13015	Inspector's certificate	Code available at MSHA District Office	Typically annually.	Progressive record --No limit	
<b>Contractor Information in writing at the mine</b> - 1) Contractor's trade name, business address and business telephone number, 2) description or nature of work to be performed and location at mine, 3) MSHA identification number, if any, and 4) Address of record.	Part 45.4	None given	N/A	Whenever contractor first works or when information changes	Keep at mine for Current Contractors	
<b>Crane boom charts, boom angle indicator charts</b>		None given	N/A	While in Use	While in Use	

### Records Required by MSHA for Surface Metal/Nonmetal Mines Continued

Record Required	Regulation	MSHA Form Number	Where to Find Forms & Other Info.	Timeline	Oper. Retention time	Additional
<b>Electrical continuity/resistance of grounding systems tests</b> – Continuity of equipment grounding conductors (< 1 ohm for safety), grounding electrodes (for ground rod or mat to earth, use fall of potential method for earth ground resistance) < 25 ohms by code or drive in another electrode (but for safety it is highly recommended to be < 5 ohms).	56.12028	None given	N/A	After installation, repair, modification - Annually after	While men are working	Good idea to keep progressive record to see resistance increases over the years. Read vol. IV, 56/57 12028 of MSHA Program Policy manual.
<b>Emergency Telephone Numbers Posted at Appropriate Telephones</b>	56.18012	None given	N/A	Always	While men are working	
<b>Emergency firefighting, evacuation, and rescue procedures coordinated in advance with available firefighting organizations, fire alarm procedures or systems to promptly warn every person who could be endangered by a fire, and fire alarm systems maintained in operable condition</b>	56.4330	None given	N/A	While men working	While men are working	Page 74 of MTU Supervisor Manual See manufacturer's specs on most modern extinguishers.
<b>Fire extinguisher - Hydrostatic test -- all extinguishers according to Manufacturer's Specs or Table in 56.4201</b>	56.4201(a)3	Dated certf.	Table C in 56.4201.		Until retesting	Knowledgeable person determines that it is operable.
<b>Fire extinguisher - Monthly check - visual inspection for full charge and operable condition. Knowledgeable person dates and initials form for each extinguisher</b>	56.4201(a)1		N/A	Once during the calendar month	1 year	

## Records Required by MSHA for Surface Metal/Nonmetal Mines Continued

Record Required	Regulation	MSHA Form Number	Where to Find Forms & Other Info.	Timeline	Oper. Retention time	Additional
<b>Fire extinguisher - Yearly check -</b> At least once every twelve months, maintenance checks shall be made of mechanical parts, the amount and condition of extinguishing agent and expellant, and the condition of the hose, nozzle, and vessel to determine that the fire extinguishers will operate effectively. Knowledgeable person dates and initials form for each extinguisher	56.4201(a)2		N/A	Every 12 months	1 year	Knowledgeable person performs maintenance and determines that it is operable.
<b>Fire Suppression System annual inspection (only where persons are working)</b>	56.4201(a)5	Dated certif.	N/A	Every 12 months	1 year	Tested according to manufacturer's certification to ensure correct working.
<b>Firefighting Equipment - Other</b>	56.4201(a)4	Dated certif.	N/A	Every 3 months	1 year	
<b>First Aid Training – Advanced –</b> Requires trained person to be available at all times and that training be available to all interested miners.	56.18010	Training Program Certificate (or rosters)	N/A	As necessary, depending on training course used – typically once every 3 years.	Until next FA training	
<b>Hazard Communication</b>	Part 47	Written Program, MSDSS, labels, and record as part of new miner, new exp. miner, and new task Training.	N/A	Always required as part of new miner, new exp. miner and new task training where hazardous chemicals are involved in task.		

## Records Required by MSHA for Surface Metal/Nonmetal Mines Continued

Record Required	Regulation	MSHA Form Number	Where to Find Forms & Other Info.	Timeline	Oper. Retention time	Additional
<b>Hazard Communication -- Toxic Materials Labeling</b> -- Toxic materials used in conjunction with or discarded from mining or milling of a product shall be plainly marked or labeled so as to positively identify the nature of the hazard and the protective action required.	Underground 57.20012	None			During entire employee tenure + 6 months	
<b>Hearing conservation Program (HCP -- only where 85 dBA 8 hour TWA noise overexposure is found) - Noise Monitoring</b> -- Noise Measurement Record Monitoring	62.110	None	Download forms at <a href="http://www.mine-safety.mtu.edu">http://www.mine-safety.mtu.edu</a>	See Generic HCP – Section 4	6 months after situation corrected	
<b>Hearing Conservation Program (HCP -- only where noise overexposure found)</b> - Copy of written employee notif of overexposure and corrective action (keep 6 mo. after exposure ceases).	Part 62	None	Download forms at <a href="http://www.mine-safety.mtu.edu">http://www.mine-safety.mtu.edu</a>	See Generic HCP – Section 4.	During entire employee tenure + 6 months	
<b>Hearing Conservation Program (HCP-- only where noise overexposure found)</b> Audiometric test record w/in 30 calendar days of test (5 elements - suggest employee date of birth also)	62.172 Subpart (a4)	None	Download forms at <a href="http://www.mine-safety.mtu.edu">http://www.mine-safety.mtu.edu</a>	See Generic HCP – Section 4		
<b>Hearing Conservation Program (HCP-- only where noise overexposure found)</b> - Employee notif. of audiometric test results – incl results, interp, findings of STS or RHL + need and reason for further testing or eval + need and reason for further testing or eval. (7000-1 accident report sent in if RHL)	62.175	None	Download forms at <a href="http://www.mine-safety.mtu.edu">http://www.mine-safety.mtu.edu</a>	See Generic HCP – Section 4.	As long as exposed & 6 mo thereafter	

<b>Records Required by MSHA for Surface Metal/Nonmetal Mines Continued</b>						
<b>Record Required</b>	<b>Regulation</b>	<b>MSHA Form Number</b>	<b>Where to Find Forms &amp; Other Info.</b>	<b>Timeline</b>	<b>Oper. Retention time</b>	<b>Additional</b>
<b>Hearing Conservation Program (HCP-- only where noise overexposure found)</b> - Copy of written notice that employee put into HCP	62.110 (d),(e)	None	Download forms at <a href="http://www.mine-safety.mtu.edu">http://www.mine-safety.mtu.edu</a>	See Generic HCP – Section 4. Written notice required within 15 calendar days thereafter	As long as exposed & 6 mo	
<b>Hearing Conservation Program (HCP-- only where noise overexposure found)</b> - Most recent training record (renewed every 12 months while miner enrolled in HCP – 7 elements covered), document must certify date and type completed.	62.180	None	Download forms at <a href="http://www.mine-safety.mtu.edu">http://www.mine-safety.mtu.edu</a>	See Generic HCP – Section 4. Training within 30 days of enrollment & every 12 months.	Employee tenure + 6 mo.	
<b>Notification before commencement or closing of mines</b> – Date, mine name, location, company name, mailing address, person in charge, and if operation is continuous or intermittent	56.1000	Letter, fax, or phone call	N/A	Before activity		
<b>Notification of Legal Identity</b> - Completed form sent to MSHA District Manager	Part 41	Form 2000-7	<a href="http://www.mssha.gov/form2000forms.htm">http://www.mssha.gov/form2000forms.htm</a>	Within 30 days of opening mine and whenever information provided changes.		
<b>Pressure vessel inspection - Inspected by holder of valid National Board Commission in accordance with National Board Inspection Code, a Manual for Boiler and Pressure Vessel Inspectors, 1979</b> – Not typically applicable to household type water heaters, etc.	56.13030	Inspector's certificate	N/A	Annually	Progressive record –No limit	

Records Required by MSHA for Surface Metal/Nonmetal Mines Continued						
Record Required	Regulation	MSHA Form Number	Where to Find Forms & Other Info.	Timeline	Oper. Retention time	Additional
<p><b>Quarterly Employment Report</b> -- In no later than 15 days past end of quarter – by Apr. 15, July 15, Oct. 15, and Jan 15.</p> <p><b>Representative of Miners</b> -- person or organization which represents two or more miners for safety and health who is authorized by the miners -- info must be submitted to MSHA-District Office by miner's rep. and posted by mine indefinitely.</p> <p><b>Respirator program</b> (required whenever MSHA finds an overexposure to dust) -- A program for selection, maintenance, training, fitting, supervision, cleaning, and use -- minimum reqts:</p> <p>(a) Respirators approved by NIOSH under 42 CFR part 84 which are applicable and suitable for the purpose intended shall be furnished and miners shall use the protective equipment in accordance with training and instruction. See MSHA's Program Policy Manual</p> <p>(b) A respirator program consistent with the requirements of ANSI Z88.2-1969, published by the American National Standards Institute and entitled "American National Standards Practices for Respiratory Protection ANSI Z88.2-1969," approved August 11, 1969, which is hereby incorporated by reference and made a part hereof.</p>	Part 50; Subpart D	Form 7000-2	See Section 8 & also <a href="http://www.msha.gov/forms/forms.htm">http://www.msha.gov/forms/forms.htm</a>	Quarterly within 15 days after end of calendar quarter.	5 years	Dates
	40.3, 40.4, 40.5	Representative submits info in 40.3 to District Office.	Company's only responsibility is posting and maintaining the information presented to MSHA in current status.	Whenever Applicable	Posting must remain while miner's rep. exists.	Representative. If one exists, is elected by miners..
	56.5005			Respirators for respirable dust are required when a mine has been cited by MSHA for overexposure.	Until condition is corrected	See written program

## Records Required by MSHA for Surface Metal/Nonmetal Mines Continued

Record Required	Regulation	MSHA Form Number	Where to Find Forms & Other Info.	Timeline	Oper. Retention time	Additional
<b>Respirator program Continued:</b> (c) When respiratory protection is used in atmospheres immediately harmful to life, the presence of at least one other person with backup equipment and rescue capability shall be required in the event of failure of the respiratory equipment. See MSHA's Program Policy Manual						
<b>Rock Bolts Certification &amp; Testing</b> – Manufacturer's certifi. and actual rock bolt testing at mine – see exceptions in reg.	56.3203			Whenever Applicable	While using that bolting system.	
<b>Safety Defect Log (for mobile equipment)</b>	56.14100(d)	Flexible format		Daily – pre-shift.	Until defect fixed	
<b>Training P 46 -- Annual Refresher</b> -- Need training plan, record of training (like lesson plan) consistent with training plan, certificate which could include the record of training.	Part 46	5000-23 correctly-modified or other form containing information required in Part 46 standard.	<a href="http://www.msha.gov/forms.htm">http://www.msha.gov/forms.htm</a>	Yearly - During month in which trained previous year	2 years	
<b>Training P 46-- New Miner, Task, &amp; Hazard:</b> -- Need training plan, record of training (like lesson plan) consistent with training plan, certificate which could include the record of training.	Part 46	5000-23 correctly-modified or other form containing information required in Part 46 standard.	<a href="http://www.msha.gov/forms.htm">http://www.msha.gov/forms.htm</a>	Whenever applicable	Tenure of employment + 60 days	



## Records Required by MSHA for Surface Metal/Nonmetal Mines Continued

Record Required	Regulation	MSHA Form Number	Where to Find Forms & Other Info.	Timeline	Oper. Retention time	Additional
<b>Training P 48 -- Annual Refresher --</b> Training plan (or certified trainer's plan) w/copies to miner's rep. ,MSHA-approved instructors. 5000-23 certificate. When done in segments, initial and date topic(s) on form for each segment of training -- Prog. Policy Manual.	Part 48	Form 5000-23 or other form approved by MSHA	<a href="http://www.mssha.gov/form/forms.htm">http://www.mssha.gov/form/forms.htm</a>	Yearly - During month in which trained previous year.	2 years	
<b>Training P 48 -- New Miner, Task, and Hazard Training --</b> Training plan (or certified trainer's plan) w/copies to miner's rep. ,MSHA-approved instructors. Initial and date topic(s) on form for each segment of training -- Prog. Policy Manual	Part 48	Form 5000-23 or other MSHA-Approved form	<a href="http://www.mssha.gov/form/forms.htm">http://www.mssha.gov/form/forms.htm</a>	Whenever applicable	While worker employed + 60 days after leaving	
<b>Training Plan</b>	Part 46/48		Mich. Tech. has generic plan -- phone or email Dave Carlson (906/487-2453 or <a href="mailto:dcarlson@mtu.edu">dcarlson@mtu.edu</a> )	Once - post 2 wks before use	Whenever miners are working	
<b>Training Plan Revisions --</b> All Part 48 plan revisions must be approved by District Manager. All Part 46 revisions must be posted 2 weeks before training.	Part 46/48			Whenever Applicable - post 2 wks before use	Whenever miners are working	
<b>Work Area Inspection (daily)</b> by competent person - (1) date; (2) examiner's name; and (3) working places examined	56.18002	Your own forms		Daily	1 yr. or next inspection. (Operator must certify that they were discarded)	



<b>Generic Walk-Around Inspection Form</b>			
<b>Date</b>			
<b>Mine Name</b>			
<b>Examiner's Name</b>			
<b>Item</b>	<b>Area 1</b>	<b>Area 2</b>	<b>Area 3</b>
<b>Access</b>			
<b>Compressed Gasses</b>			
<b>Dust or Noise</b>			
<b>Electrical</b>			
<b>Insulation</b>			
<b>Fittings</b>			
<b>Covers/Cover Plates</b>			
<b>Mobile Equipment Operations</b>			
<b>Traffic Patterns</b>			
<b>Traffic Control Signs</b>			
<b>Unsafe Operation</b>			
<b>PPE - Proper Use</b>			
<b>Hard Hats</b>			
<b>Eye Protection</b>			
<b>Hard Toe Shoes</b>			
<b>Respirators</b>			
<b>Fall Protection</b>			
<b>Other</b>			
<b>Fire Extinguishers in Place</b>			
<b>First Aid Supplies in Place</b>			
<b>Communication Devices</b>			
<b>Guards</b>			
<b>Condition</b>			
<b>In place</b>			
<b>Housekeeping</b>			
<b>Fire hazards</b>			
<b>Slips/Falls</b>			
<b>Ground Control</b>			
<b>Highwalls/Banks</b>			
<b>Stockpiles</b>			
<b>Berms/Roads</b>			

<b>Generic Mobile Equipment Pre-Operational Inspection List</b>				
<b>Date:</b>				
<b>Mine Name:</b>				
<b>Equipment:</b>				
<b>Examiner's Name:</b>				
#	Item to Check	OK?	Defect: Describe	Tagged
	Tires/Wheels/Tracks			
	Fluid Levels			
	Brake Fluid			
	Steering Fluid			
	Engine Coolant			
	Transmission Fluid			
	Hydraulic Fluid			
	Other			
	Windows			
	Cab: Access, Housekeeping			
	Seat Belts/Harness			
	Brakes			
	Stopping			
	Stopping			
	Parking			
	Steering Mechanisms			
	Safety Interlocks			
	Warning Devices: Backup Alarm, Caution Lights, Turn Signals, Operator Horn			
	Lights			
	Proper accessory/attachment operation			
	Other defects: Loose Fittings/Fasteners, Broken Welds, Fluid Leaks, Unusual Noises			
	Unusual Noises or feel			
	While Idling			
	In forward motion			
	In reverse motion			
	While shifting			



This report is required by law (30 C.F.R. 41). Failure to report can result in assessment of a civil penalty. Knowingly making a false statement can result in criminal prosecution under Section 110 of the Federal Mine Safety and Health Act of 1977. This report should be prepared only by an official with full knowledge of ownership information. This report must be signed by the Official completing the form to be valid. Type or print in ink only. If more space is required in any section below, use a separate sheet. **Instructions are on the reverse side of the last page.**

Form Approved: OMB Number 1219-0042: Approval Expires June 30, 2014

5 C.F.R. 1320.21-Public reporting burden for this collection of information is estimated to average 30 minutes per written response and 20 minutes per electronic response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data need, and completing and reviewing the collection of information. Send comments regarding the collection of information, including suggestions for reducing this burden, to the Mine Safety and Health Administration, U.S. Department of Labor, Records Management Branch, 1100 Wilson Boulevard, Arlington, Virginia 22209-3939. Persons are not required to respond to this collection of information unless it displays a currently valid OMB Control Number.

**NOTE: You must mail copies 1 and 2 of this completed form to your local MSHA office.** Questions about filing this form should be directed to the Wilkes-Barre Assessment Center, 570-826-6431.

**ALL INFORMATION PREVIOUSLY SUBMITTED REMAINS IN EFFECT EXCEPT WHERE CHANGES HAVE BEEN SUBMITTED. IF THE CHANGES PROVIDED ON THIS FORM AFFECT OTHER MINES, A SEPARATE FORM MUST BE FILED FOR EACH MINE IDENTIFICATION NUMBER.**

Initial Notice	Update Notice	Effective Date:
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**Mine Information**

1. Federal Mine Identification Number:

2. Mine Name:

3. Directions to this mine:

4. Mine location address:

Street Address	
City	State      Zip Code
County	

5. Official Business Name of Operator:

6. Principal Office Address for this Operator:

Street Address	
City	State      Zip Code

7. Telephone number for this mine:

Area Code	Telephone Number	Extension	<i>(In the Event of an Emergency)</i>
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8. Commodity:

Type of Product.
Type of Operation.

9. Person at Mine in Charge of Health and Safety: *(Superintendent or Principal Officer)*

Last Name	First Name	MI
Title		
Street or P.O. Box Address		
City	State	Zip Code
E-mail Address		

10. Person with Overall Responsibility for a Health and Safety Program at ALL of the Operator's Mines, if the Operator is Not Directly Involved in the Daily Operation of the Mine: *(Safety Director)*

Last Name	First Name	MI
Title		
Street or P.O. Box Address		
City	State	Zip Code
E-mail Address		

11. Address of Record and Telephone Number: *[Address and Person designated to receive Official Mail - Service of documents upon the operator will be completed by mailing or personal service of the documents to this address. If P.O. Box or General Delivery is used for mailing address, a separate street address for personal service must be provided.]*

Last Name	First Name	MI	
Title			
Street Address			
City	State	Zip Code	
Foreign Country	Foreign Zip Code		
P. O. Box Address			
City	State	Zip Code	
Area Code	Telephone Number	Extension	E-mail Address

**Ownership Information**

12. This Official Business is a:  Sole Proprietorship     Partnership     Corporation     Other

13. If Business is listed as Other, what is the type of Organization?

14. Tax Identification Number (TIN) for this Business: *For individuals, this is your social security number (SSN). For other entities, this is your employer identification number (EIN).*

SSN for Individuals:	EIN for Entities:
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**15. The Individual(s) or Organization(s) with ownership interest in this Business or Corporate Officers/Directors are:**

<b>a.</b>	Last Name	First Name	MI
	Title		
	Organization/Company Name		
	Street or P.O. Box Address		
	City	State	Zip Code
	Foreign Country	Foreign Zip Code	
<b>b.</b>	Last Name	First Name	MI
	Title		
	Organization/Company Name		
	Street or P.O. Box Address		
	City	State	Zip Code
	Foreign Country	Foreign Zip Code	

Check box below if a separate sheet is attached for additional space.

**16. If Business is listed as Other, what are the names of Principal Organization Officials or Members?**

<b>a.</b>	Last Name	First Name	MI
	Title		
	Street or P.O. Box Address		
	City		
	State	Zip Code	
	Foreign Country	Foreign Zip Code	
<b>b.</b>	Last Name	First Name	MI
	Title		
	Street or P.O. Box Address		
	City		
	State	Zip Code	
	Foreign Country	Foreign Zip Code	

Check box below if a separate sheet is attached for additional space.

**17. If Business is a Corporation, please answer the following:**

<p><b>a.</b> State of Incorporation: <input style="width: 30px;" type="text"/></p> <p><b>c.</b> If yes, what is the name and address of your Parent Corporation?          Name <input style="width: 90%; border: none;" type="text"/>          Street or P.O. Box Address <input style="width: 90%; border: none;" type="text"/>          City <input style="width: 60%; border: none;" type="text"/> State <input style="width: 20px;" type="text"/> Zip Code <input style="width: 30%; border: none;" type="text"/>          Foreign Country <input style="width: 60%; border: none;" type="text"/> Foreign Zip Code <input style="width: 40%; border: none;" type="text"/></p>	<p><b>b.</b> Is this Corporation a subsidiary? Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p><b>d.</b> Employer Identification Number for this Business (EIN): <input style="width: 100%; border: none;" type="text"/></p>	

*Privacy Act Notice. We are authorized to request this information under the Debt Collection Improvement Act of 1996, Title 31 U.S.C. amended section 7701, new subsection (c)(1), which mandates us to require regulated entities and persons who are doing business with a Federal agency to furnish a TIN.*

Signature and Title of Official Completing Form	Date Form Completed
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# Mine Accident, Injury and Illness Report



• **Section A - Identification D** Approved For Use Through 07/31/2011 OMB Number 1219-0007

MSHA ID Number	Contractor ID	Report Category	• Check here if report pertains to contractor
		Metal/Nonmetal Mining      Coal Mining	
Mine Name		Company Name	

• **Section B - Complete for Each Reportable Accident Immediately Reported to MSHA**

1. Accident Code (circle applicable code - see instructions)

01 - Death	02 - Serious Injury	03 - Entrapment	
04 - Inundation	05 - Gas or Dust Ignition	06 - Mine Fire	07 - Explosives
08 - Roof Fall	09 - Outburst	10 - Impounding Dam	11 - Hoisting
12 - Offsite injury			

2. Name of Investigator

3. Date Investigation Started

Month	Day	Year	
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4. Steps Taken to Prevent Recurrence of Accident

• **Section C - Complete for Each Reportable Accident, Injury or Illness**

5. Circle the Codes Which Best Describe Where Accident/Injury/Illness Occurred (see instructions)

(a) Surface Location:

02 Surface at Underground Mine	30 Mill, Preparation Plant, etc.	03 Strip/Open Pit Mine	04 Surface Auger Operation
05 Culm Bank/Refuse Pile	06 Dredge Mining	12 Other Surface Mining	17 Independent Shops (with own MSHA ID)
99 Office Facilities			

(b) Underground Location:

01 Vertical Shaft	02 Slope/Inclined Shaft	03 Face	04 Intersection
05 Underground Shop/Office	06 Other		

(c) Underground Mining Method:

01 Longwall	02 Shortwall	03 Conventional Stoping	05 Continuous Mining
06 Hand	07 Caving	08 Other	

6. Date of Accident

Month	Day	Year	
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7. Time of Accident • am

8. Time Shift Started • am

7  
8

9. Describe Fully the Conditions Contributing to the Accident/Injury/Illness, and Quantify the Damage or Impairment

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10. Equipment Involved	Type	Manufacturer	Model Number	10 MAN
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11. Name of Witness to Accident/Injury/Illness	12. Number of Reportable Injuries or Illnesses Resulting from This Occurrence
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13. Name of Injured/III Employee	14. Sex	15. Date of Birth			
	• Male • Female	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Month</td> <td style="width: 33%;">Day</td> <td style="width: 33%;">Year</td> </tr> </table>	Month	Day	Year
Month	Day	Year			

16. Last Four Digits of Social Security Number	17. Regular Job Title	18. Check if this Injury/Illness resulted in death.	19. Check if Injury/Illness resulted in permanent disability (include amputation, loss of use, & permanent total disability).
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20. What Directly Inflicted Injury or Illness?	21. Nature of Injury or Illness
--	---------------------------------

22. Part of Body Injured or Affected	23. Occupational Illness (circle applicable code - see instructions)	24. Poisoning (toxic Materials)
	22 Dust Diseases of the Lungs      23 Respiratory Conditions (toxic agents)	21 Occupational Skin Diseases
	25 Disorders (physical agents)      26 Disorders (repeated trauma)	29 Other

24. Employee's Work Activity When Injury or Illness Occurred	Experience	Years	Weeks
	25. Experience in This Job Title		
	26. Experience at This Mine		
	27. Total Mining Experience		

• **Section D - Return to Duty Information**

28. Permanently Transferred or Terminated (if checked, complete items 29,30, &31)	29. Date Returned to Regular Job at Full Capacity (or item 28)	30. Number of Days Away from Work (if none, enter 0)	31. Number of Days Restricted Work Activity (if none, enter 0)			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Month</td> <td style="width: 25%;">Day</td> <td style="width: 25%;">Year</td> </tr> </table>	Month	Day	Year		
Month	Day	Year				

Person Completing Form (name)	Title
Date This Report Prepared (month, Day, year)	Area Code and Telephone Number

*For Official Use Only*

Degree

Accident Type

Accident Class

Scheduled Charge

Keyword

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# MINE ACCIDENT, INJURY, AND ILLNESS REPORT

## MSHA FORM 7000-1

Section 50.20 of Part 50, Title 30, Code of Federal Regulations, requires a report to be prepared and filed with MSHA of each accident, occupational injury, or occupational illness occurring at your operation. The requirement includes all accidents, injuries, and illnesses as defined in Part 50 whether your employees or a contractor's employees are involved. A Form 7000-1 shall be completed and mailed within **ten working days** after an accident or occupational injury occurs, or an occupational illness is diagnosed.

This report is required by law (30 U.S.C. §813; 30 C.F.R. Part 50). Failure to report can result in the institution of a civil action for relief under 30 U.S.C. 9818 respecting an operator of a coal or other mine, and assessment of a civil penalty against an operator of a coal or other mine under 30 U.S.C. 9820(a). An individual who, being subject to the Federal Mine Safety and Health Act of 1977 (30 U.S.C. 9801 **at seq.**) knowingly makes a false statement in any report can be punished by a fine of not more than \$10,000 or by imprisonment for not more than 5 years, or both, under 30 U.S.C. §820.(f). Any individual who knowingly and willfully makes any false, fictitious, or fraudulent statements, conceals a material fact, or makes a false, fictitious, or fraudulent entry, with respect to any matter within the jurisdiction of any agency of the United States can be punished by a fine of not more than \$10,000, or imprisoned for not more than 5 years, or both, under 18 U.S.C. 91001.

### REPORTING INSTRUCTIONS

Form 7000-1 consists of four sheets, an original (page 1) and three copies. The original will be mailed to MSHA, Denver Safety and Health Technology Center. The first copy (page 2) will be mailed to the appropriate local MSHA District or Subdistrict Office. Envelopes are included with the forms for mailing to those offices. If the mailed forms do not show return to duty information on an injured employee, complete and mail the second copy (page 3) to MSHA, Denver Safety and Health Technology Center, when the employee returns to regular job **at full capacity** or a final disposition is made on the injury or illness. The third copy (page 4) is to be retained at the mine for a period of **five years**. It is important to remember that a Form 7000-1 is required on each accident as defined in 30 CFR Part 50 whether any person was injured or not. A form is required on each individual becoming injured or ill, even when several were injured or made ill in a single occurrence. The principal officer in charge of health and safety at the mine or the supervisor of the mine area in which the accident, injury, or illness occurred shall be responsible for completing the Form 7000-1. Note: First aid cases (those for which no medical treatment was received, no time was lost, and no restriction of work, motion, or loss of consciousness occurred) need not be reported.

### SPECIFIC INSTRUCTIONS

Detailed instructions for completing Form 7000-1 are contained in Part 50. A copy of Part 50 was sent to every active and intermittently active mine and independent mining contractor. If you do not have a copy, you may obtain one from your local MSHA Mine Safety and Health District or Subdistrict Office.

#### Section A- IDENTIFICATION DATA

Check the report category indicating whether your operation is in the metal/nonmetal mining industry or the coal mining industry.

MSHA ID Number is the number assigned to the operation by MSHA. If you are unsure of your number assignment, contact the nearest MSHA Mine Safety and Health District or Subdistrict Office. Reports on contractor activities at mines must include an MSHA-assigned contractor ID Number as well as the 7-digit operation ID.

Show mine name and company name. Independent contractors should provide the mine name and show the contractor name under "company name."

#### Section B- COMPLETE FOR EACH ACCIDENT IMMEDIATELY REPORTABLE TO MSHA

Section B is to be completed **only** when your operation has an accident that must be reported **immediately** to MSHA. Circle code 02 "Serious Injury" only if the injury has a reasonable potential to cause death. For additional detail on those specific kinds of accidents see Section 50.10 of Part 50. When it is necessary to complete Section B, circle the applicable accident code; give the name of the investigator (the person heading the investigating team on the accident); show the date the investigation was started; and describe briefly the steps taken to prevent a recurrence of such an accident.

#### Section C- COMPLETE FOR EACH REPORTABLE ACCIDENT, INJURY, OR ILLNESS

Section C must be completed on each form submitted to MSHA.

**Item 5.** If you are reporting an occurrence at a **surface** mine or other **surface** activity, circle the code which best describes the accident location in (a) Surface Location; do not mark any codes in (b) or (c). If you are reporting an occurrence in an **underground** mine, circle the code which best describes the underground location in (b) Underground Location **and** in (c) Underground Mining Method.

**Items 6, 7, and 8.** Show the date and time of the occurrence and the time the shift started in which the accident/incident occurred or was observed.

**Item 9.** Describe fully the conditions contributing to the occurrence. Detailed descriptions of the conditions provide the basis for accident and injury analyses which are intended to assist the mining industry in preventing future occurrences. Please see Part 50 for detail on what your narrative should include.

**Item 10.** If equipment was involved in the occurrence, name the type of equipment, the manufacturer, and the model number of the equipment.

**Item 11.** If there was a witness to the occurrence, give the name of the witness.

**Item 12.** If the occurrence resulted in one or more injuries, report the number. A separate report must be made on each injured person.

**Item 13.** Show the name of the injured person. [Note: In these instructions, "injured person" means a person either injured or ill.]

**Item 14.** Indicate the sex of the injured person.

**Item 15.** Show the date of birth of the injured person.

**Item 16.** Show the last four digits of the injured person's Social Security Number.

**Item 17.** Give the regular job title of the injured person at the time he was injured.

**Item 18.** Check this box if the injury or illness resulted in death.

**Item 19.** Check this box if the injury or illness resulted in a permanent disability. A permanent disability is any injury or occupational illness other than death which results in the loss (or complete loss of use) of any member (or part of a member) of the body, or a permanent impairment of functions of the body, or which permanently and totally incapacitates the injured person from following any gainful occupation.

**Item 20.** Name the object or substance that directly caused the injury or illness.

**Item 21.** Report the nature of injury or illness by naming the illness; or for injuries, by using common medical terms such as puncture wound, third degree burn, fracture, etc. For multiple injuries, enter the injury which was the most serious. Avoid general terms such as hurt, sore, sick, etc.

**Item 22.** Name the part of body with the most serious injury.

**Item 23.** Occupational illness is any abnormal condition or disorder, other than one resulting from an occupational injury, which falls into the following categories:

**Code 21 - Occupational Skin Diseases or Disorders.**

Examples: Contact dermatitis, eczema, or rash caused by primary irritants and sensitizers or poisonous plants; oil acne; chrome ulcers; chemical burns or inflammations; etc.

**Code 22 - Dust Diseases of the Lungs (Pneumoconioses).**

Examples: Silicosis, asbestosis, coal worker's pneumoconiosis, byssinosis, and other pneumoconioses.

**Code 23 - Respiratory Conditions Due to Toxic Agents.**

Examples: Pneumonitis, pharyngitis, rhinitis, or acute congestion due to chemicals, dusts, gases, or fumes; etc.

**Code 24 - Poisoning (Systemic Effects of Toxic Materials).**

Examples: Poisoning by lead, mercury, cadmium, arsenic, or other metals, poisoning by carbon monoxide, hydrogen sulfide, or other gases; poisoning by benzol, carbon tetrachloride, or other organic solvents; poisoning by insecticide sprays such as parathion, lead arsenate; poisoning by other chemicals such as formaldehyde, plastics, and resins; etc.

**Code 25 - Disorders Due to Physical Agents (Other than Toxic Materials).**

Examples: Heatstroke, sunstroke, heat exhaustion and other effects of environmental heat; freezing, frostbite and effects of exposure to low temperatures; caisson disease; effects of ionizing radiation (isotopes, x-rays, radium); effects of nonionizing radiation (welding flash, ultraviolet rays, microwaves, sunburn); etc.

**Code 26 - Disorders Associated with Repeated Trauma.**

Examples: Noise-induced hearing loss; synovitis, tenosynovitis, and bursitis; Raynaud's phenomena; and other conditions due to repeated motion, vibration, or pressure.

**Code 29 - All Other Occupational Illnesses.**

Examples: Infectious hepatitis, malignant and benign tumors, all forms of cancer, kidney diseases, food poisoning, histoplasmosis; etc.

**Item 24.** Describe what the employee was doing when he or she became injured or ill.

**Items 25, 26, and 27.** Show the number of weeks (or years and weeks) of experience of the injured person at the job title (indicated in Item 17), at your operation, and his/her total mining experience.

**Section D - RETURN TO DUTY INFORMATION**

**Section D** is to be completed in full when all return-to-duty information is available. If the information is not available within **ten working days** after a reportable occurrence, then the first two pages are sent to MSHA without Section D being completed; PAGE 3 is then mailed to DSHTC- with full information **when the data are available**. Until all the items are answered and the report sent to DSHTC-DMIS, the occurrence remains an open case.

**Item 28.** If the injured person was transferred or terminated as a result of the injury or illness, check the box and answer items **29, 30, and 31**.

**Item 29.** Show the date that the injured person returned to his regular job at full capacity or was transferred or terminated. This date should indicate when the count of days away from work and/or days of restricted work activity have stopped.

**Item 30.** Show the number of workdays 1/ the injured person did not report to his place of employment, i.e., number of days away from work.

**Item 31.** Show the number of workdays the injured person was on restricted work activity; do not include days away from work reported in Item 30.

At the bottom of the form, show the name of the person who completed the form; the date the report was prepared; and the telephone number where the person who completed the form may be reached.

**1/ Note:** The number of lost workdays should not include the day of injury or onset of illness, or any days on which the employee was not previously scheduled to work even though able to work, such as holidays or plant closures. Diagnosis of an "occupational illness or disease" under Part 50 does not automatically mean a disability or impairment for which the miner is eligible for compensation, nor does the Agency intend for an operator's compliance with Part 50 to be equated with an admission of liability for the reported illness or disease. If a chest x-ray for a miner with a history of exposure to silica or other pneumoconiosis-causing dusts is rated at 1/0 or above, utilizing the International Labor Office (ILO) classification system, it is MSHA's policy that such a finding is, for Part 50 reporting, a diagnosis of an occupational illness, in the nature of silicosis or other pneumoconiosis and, consequently, reportable to MSHA.



## DEFINITIONS

(1) "Coal or other mine" means (a) an area of land from which minerals are extracted in nonliquid form or, if in liquid form, are extracted with workers underground, (b) private ways and roads appurtenant to such area, and (c) lands, excavations, underground passageways, shafts, slopes, tunnels and workings, structures, facilities, equipment, machines, tools, or other property including impoundments, retention dams, and tailings ponds, on the surface or underground, used in, or to be used in, or resulting from, the work of extracting such minerals from their natural deposits in nonliquid form, or if in liquid form, with workers underground, or used in, or to be used in, the milling of such minerals, or the work of preparing coal or other minerals, and includes custom coal preparation facilities. In making a determination of what constitutes mineral milling for purposes of this Act, the Secretary shall give due consideration to the convenience of administration resulting from the delegation to one Assistant Secretary of all authority with respect to the health and safety of miners employed at one physical establishment.

(2) "Operator" means any owner, lessee, or other person who operates, controls, or supervises a coal or other mine or any designated independent contractor performing services or construction at such mine.

(3) "Occupational injury" means any injury to a worker which occurs at a mine for which medical treatment is administered, or which results in death, loss of consciousness, inability to perform all job duties on any day after an injury, or transfer to another job.

(4) "Occupational illness" means an illness or disease of a worker which may have resulted from work at a mine or for which an award of compensation is made.

(5) "Medical treatment" means treatment, other than first aid, administered by a physician or by a registered medical professional acting under the orders of a physician.

### DIFFERENCES BETWEEN MEDICAL TREATMENT AND FIRST AID

Medical treatment includes, but is not limited to, the suturing of any wound, treatment of fractures, application of a cast or other professional means of immobilizing an injured part of the body, treatment of infection arising out of an injury, treatment of bruise by the drainage of blood, surgical removal of dead or damaged skin (debridement), amputation or permanent loss of use of any part of the body, treatment of second and third degree burns. Procedures which are diagnostic in nature are not considered by themselves to constitute medical treatment. Visits to a physician, physical examinations, x-ray examinations, and brief hospitalization for observations, where no evidence of injury or illness is found and no medical treatment given, do not in themselves constitute medical treatment. However, if scheduled workdays are lost because of hospitalization, the case must be reported. Procedures which are preventative in nature also are not considered by themselves to constitute medical treatment. Tetanus and flu shots are considered preventative in nature. First aid includes any one-time treatment and follow-up visit for the purpose of observation of minor scratches, cuts, burns, splinters, etc. Ointments, salves, antiseptics, and dressings to minor injuries are considered to be first aid.

#### (1) **Abrasions**

(i) First aid treatment is limited to cleaning a wound, soaking, applying antiseptic and nonprescription medication, and bandaging on the first visit and follow-up visits limited to observation including changing dressing and bandages. Additional cleaning and application of antiseptic constitutes first aid where it is required by work duties that soil the bandage.

(ii) Medical treatment includes examination for removal of imbedded foreign material, multiple soakings, whirlpool treatment,

treatment of infection, or other professional treatments and any treatment involving more than a minor spot-type injury. Treatment of abrasions occurring to greater than full skin depth is considered medical treatment.

#### (2) **Bruises**

(i) First aid treatment is limited to a single soaking or application of cold compresses, and follow-up visits if they are limited only to observation.

(ii) Medical treatment includes multiple soakings, draining of collected blood, or other treatment beyond observation.

(3) **Burns, Thermal and Chemical** (resulting in destruction of tissue by direct contact).

(i) First aid treatment is limited to cleaning or flushing the surface, soaking, applying cold compresses, antiseptics or nonprescription medications, and bandaging on the first visit, and follow-up visits restricted to observation, changing bandages, or additional cleaning. Most first degree burns are amenable to first aid treatment.

(ii) Medical treatment includes a series of treatments including soaks, whirlpool, skin grafts, and surgical debridement (cutting away dead skin). Most second and third degree burns require medical treatment.

#### (4) **Cuts and Lacerations**

(i) First aid treatment is the same as for abrasions except the application of butterfly closures for cosmetic purposes only can be considered first aid.

(ii) Medical treatment includes the application of butterfly closures for noncosmetic purposes, sutures (stitches), surgical debridement, treatment of infection, or other professional treatment.

#### (5) **Eye Injuries**

(i) First aid treatment is limited to irrigation, removal of foreign material not imbedded in eye, and application of nonprescription medications. A precautionary visit (special examination) to a physician is considered as first aid if treatment is limited to above items, and follow-up visits if they are limited to observation only.

(ii) Medical treatment cases involve removal of imbedded foreign objects, use of prescription medications, or other professional treatment.

#### (6) **Inhalation of Toxic or Corrosive Gases**

(i) First aid treatment is limited to removal of the worker to fresh air or the one-time administration of oxygen for several minutes.

(ii) Medical treatment consists of any professional treatment beyond that mentioned under first aid and all cases involving loss of consciousness.

#### (7) **Splinters and Puncture Wounds**

(i) First aid treatment is limited to cleaning the wound, removal of foreign object(s) by tweezers or other simple techniques, application of antiseptics and nonprescription medications, and bandaging on the first visit. Follow-up visits are limited to observation including changing of bandages. Additional cleaning and applications of antiseptic constitute first aid where it is required by work duties that soil the bandage.

(ii) Medical treatment consists of removal of foreign object(s) by physician due to depth of imbedment, size or shape of object(s), or location of wound. Treatment for infection, treatment of a reaction to tetanus booster, or other professional treatment, is considered medical treatment.

#### (8) **Sprains and Strains**

(i) First aid treatment is limited to soaking, application of cold compresses, and use of elastic bandages on the first visit. Follow-up visits for observation, including re-applying bandage, are first aid.

(ii) Medical treatment includes a series of hot and cold soaks, use of whirlpools, diathermy treatment, or other professional treatment.



# **PRIVACY ACT NOTICE FOR MINE ACCIDENT, INJURY AND ILLNESS REPORTS**

## **GENERAL**

This notice is given as required by Public Law 93-579 (Privacy Act of 1974) December 31, 1974, to the operators of mines providing personal information on injury and illness reports and accident investigations.

## **AUTHORITY**

The authority to collect this information is Section 103 of Public Law 91-173, as amended by Public Law 95-164.

## **PURPOSE AND USE OF INFORMATION**

The information collected will be used to help determine the cause of accidents, injuries, illnesses and fatalities associated with metal and nonmetallic and coal mining. The information will also be used with the intent to prevent and reduce future accidents, injuries, fatalities and illnesses.

## **EFFECTS OF NON-DISCLOSURE**

You are required to furnish the information. Without it, MSHA may not be able to help prevent miners and other workers from becoming similarly hurt or ill in the future.

## **INFORMATION REGARDING PERSONAL IDENTIFICATION UNDER PUBLIC LAW 93-579 SECTION 7(b)**

MSHA asks for the last 4 digits of the social security number under authority of Section 103 of Public Law 91-173, as amended by Public Law 95-164. This personal identification, which is not unique to any individual, helps MSHA establish the accuracy and usefulness of the information from injury and illness records.

## **BURDEN STATEMENT**

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This is a mandatory collection of information as required by 3 CFR 50.20. The information is used to establish injury, accident or illness files used to measure the levels of injury experience and identify those areas most in need of improvement. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Program Evaluation and Information Resources, Mine Safety and Health Administration, U.S. Department of Labor, Room 2301, 1100 Wilson Boulevard, Arlington, VA 22209-3939, and to the Office of Management and Budget, Paperwork Reduction Project (1219-0007), Washington, D.C. 20503.


Persons are not required to respond to this collection of information unless it displays a currently valid control number.

# Quarterly Mine Employment and Coal Production Report

# U.S. Department of Labor

Mine Safety and Health Administration


OBM Control Number 1219-0007; Approval Expires July 31, 2011

 This report is required by law (30 U.S.C. subsection 813; 30 C.F.R. Part 50). Failure to report may result in the issuance of a citation or order under 30 U.S.C. subsection 814 to an operator of a coal or other mine, the assessment of a civil penalty against an operator of a coal or other mine under 30 U.S.C. subsection 820(a), and the institution of a civil action under 30 U.S.C. subsection 818. An individual who knowingly makes a false statement in any report shall, upon conviction, be punished by a fine of not more than \$10,000 or by imprisonment for not more than 5 years, or both, under 30 U.S.C. subsection 820(f). Whoever, in any matter within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies, conceals or covers up by any trick scheme, or device, a material fact, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under 18 U. S. C. or imprisoned not more than five years, or both, under 18 U. S. C. subsection 1001.

## Important:

## (INSTRUCTIONS)

 This form must be completed and mailed or faxed within 15 days after the end of each calendar quarter.

-  **INSTRUCTIONS**
1. Fill out this form as completely as possible and return Copy 1 of this report to:  
MSHA  
PEIR - Office of Injury and Employment Information **OR** You may FAX Copy 1 to Fax # 1- 888 - 231 - 5515  
P.O. BOX 25367  
Denver, CO 80225-0367
  2. If it is necessary to make any address changes, indicate correct information on this form.
  3. When pre-addressed, this form is only for the operation with I. D. number as shown. Do not use for any other operation.
  4. **Sand and Gravel** operators report employment data under code 03 or 06 as appropriate, except for data on office workers which should be reported under code 99.
  5. All mine operators and independent contractors reporting as required by 30 C.F.R. Part 50, should show persons working and employee hours worked; those producing coal should also show production date.
  6. **Independent Contractors** should complete quarterly only one form for activities at all coal locations, and one form for activities at metal and nonmetal locations.

The public reporting burden for this collection of Information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of Information. Send comments regarding this estimated response time or any other aspect of this collection of information, including suggestions for reducing this burden, to Mine Safety and Health Administration, U.S. Department of Labor, 1100 Wilson Boulevard, Arlington, VA 22209-3939.

Persons are not required to respond to this collection of information unless this form displays a currently valid OMB control number.

MSHA Form 7000-2, July 97 (revised)

**Quarterly Mine Employment  
and Coal Production Report**

(SEE INSTRUCTIONS ON REVERSE SIDE OF COPY 2)

**DOL - MSHA - PEIR - OIEI**  
P.O. Box 25367  
Denver, Colorado 80225 - 0367

Date Report Completed

Mo. Day Yr.

**Mail Before**

**1. Persons Working, Employee-Hours, and Coal Production**

(1) Operation Sub Unit Code(s) <i>previously reported:</i>	Code	(2) Average number of persons working during quarter	(3) Total employee hours worked during the quarter	(4) Production of clean coal during quarter, (short tons)
<b>Underground Mine</b>	<b>01</b>			
Underground				
Surface Shops, Yards, etc.	<b>02</b>			
<b>Surface Mine</b>	<b>03</b>			
Strip, Open Pit, or Quarry				
<b>(including associated shops and yards)</b>	<b>04</b>			
Auger (Coal Mine Only)				
Culm Bank or Refuse Pile (Coal Mine Only)	<b>05</b>			
Dredge	<b>06</b>			
Other Surface Mining (Metal/Nonmetal Only)	<b>12</b>			
<b>Independent Shops or Yards</b>	<b>17</b>			
<b>Mill Operations, Preparation Plants, or Breakers (include associated shops and yards)</b>	<b>30</b>			
<b>Office (professional and clerical employees at the mine or plant working in an office)</b>	<b>99</b>			

**2. Other Reportable Data**

How many MSHA reportable injuries or illnesses did you have this quarter?

Person to be contacted regarding this report: Name \_\_\_\_\_ Title \_\_\_\_\_  
Tel. No. (\_\_\_\_\_) \_\_\_\_\_ area code \_\_\_\_\_

MSHA Form 7000-2, July 97, (revised)

OMB Number 1219-0007; Approval Expires July 31, 2014

For Quarter Year

Check here if this report is being submitted by a contractor

If any information below is incorrect, please enter correct information here:

County: \_\_\_\_\_

Operation Name: \_\_\_\_\_

Operating Company Name and Mailing Address: \_\_\_\_\_

County \_\_\_\_\_

MSHA ID Number \_\_\_\_\_

Contractor ID \_\_\_\_\_

Operation Name \_\_\_\_\_

Operating Company Name and Mailing Address \_\_\_\_\_

**Copy 1 - Return to MSHA (Denver)**

*Understanding*  
**HazCom**

**MSHA Part 47**

# *HazCom Program*

## **PURPOSE:**

Company Name is committed to the principle that our employees have a right to know about hazardous chemicals in their work place so that they have the information they need to protect their health and safety.

## **ACCESS:**

This written HazCom Program is available to employees and to representatives from the Mine Safety and Health Administration (MSHA). Copies are kept permanently in Plant office.

## **EMPLOYEE RESPONSIBILITY:**

The success of the Hazard Communication Program depends upon employee cooperation. Employees should be familiar with the chemical substances used in their work area, consult the material safety data sheets (MSDS) for information concerning these chemicals, and follow the appropriate work practices that have been established to protect their health and safety.

## **DESIGNATED EMPLOYER HAZARD COMMUNICATION SPECIALISTS:**

The Title of Company Name is responsible for implementing the HazCom program.

## **HAZARD DETERMINATION POLICY:**

Company Name relies on suppliers to make the determinations required under the Occupational Safety and Health Administration's (OSHA) Hazard Communication Standard concerning the hazards of the products they sell to us. The Company in no way undertakes to verify the information provided and relies on the suppliers to provide accurate, up to date information on their products. The following points summarize steps the Company takes to implement this policy.

- A. Any substance listed in 29 C.F.R. 191 0, Subpart Z, Toxic and Hazard Substances; the Threshold Limit Values for Chemical Substances and Physical Agents in the Work Environment published by the American Conference of Government Industrial Hygienists (ACGIH), the Annual Report on Carcinogens published by the National Toxicology Program (NTP) or monographs published by the International Agency for Research on Cancer (IARC) is considered a health or physical hazard.
- B. Other chemical products used by the Company but not listed in the reports noted above are also considered hazardous when determined to present a health or physical hazard by the manufacturers of those products or the Company.
- C. Every chemical known to be present in the workplace is listed on the "Chemicals Inventory List" found in Appendix A of this written HazCom Program.

# *HazCom Program*

## **LABELING:**

- A. No hazardous chemicals are accepted for use in the Company unless the chemicals are labeled with at least the following information:

Identity of the hazardous chemical (s);

Appropriate hazard warnings; and

Name & address of the manufacturer, importer, or other responsible party.

- B. Except as provided herein, no hazardous chemical is used in the work area unless labeled with at least the following information:

Identity of the hazardous chemical (s); and appropriate hazard warnings.

- C. All labels are legible, in English, and prominently displayed on the container.

Persons with reading disabilities or language difficulties will receive individual assistance when they request information

The Title will identify persons who might or do have difficulty understanding or reading English and will give them the opportunity for personal assistance in reading this written program or any MSDS.

- D. Any hazardous chemical regulated by MSHA or OSHA in a substance-specific health standard is labeled in accordance with the requirements of that standard.

- E. The HazCom Standard does not require a label to be placed on portable containers into which hazardous chemicals are transferred from labeled containers and which are intended only for the immediate use of the employee who performs the transfer.

- F. Any portable container of hazardous chemicals not intended for immediate use is labeled with an appropriate in-house label containing the information specified in "B" above.

- G. Employees with questions concerning the appropriate in-house label to use when transferring a hazardous material from one container to another container should contact the work area supervisor immediately.

- H. All in-house labels are reviewed whenever necessary to update the label information and to determine whether the label conveys the appropriate hazard warnings for the material identified on the label.

- I. No label is to be defaced or removed unless the container is immediately marked with the required information. No employee should remove any label unless specifically directed to do so by his/her supervisor. Any container without a label should be reported immediately to the Title.

## *HazCom Program*

- J. The identity of the material that appears on the manufacturer's label or the in-house label is the same name used to identify the material on the "Chemicals Inventory List" and the MSDS for that substance.

### **EMPLOYEE INFORMATION AND TRAINING:**

Employees working with or potentially exposed to hazardous chemicals are appropriately informed and trained concerning the potential hazards of the chemicals to which they may be exposed.

Employee information includes:

- \* Operations in work areas where hazardous chemicals are present; and
- \* Location and availability of the written HazCom Program, required chemicals inventory list(s), and material safety data sheets.

Employee training includes:

- \* Methods and observations that may be used to detect the presence or release of a hazardous chemical in the work area (such as visual appearance or odor of hazardous chemical when being released);
- \* Measures employees can take to protect themselves from these hazards, including specific procedures the Company has implemented to protect employees from exposure to hazardous chemicals, such as appropriate work practices, emergency procedures, and personal protective equipment to be used; and
- \* Details of the HazCom Program developed by the Company, including an explanation of the labeling systems and the material safety data sheets, and how employees can obtain and use appropriate hazard information.

This information and training is provided at the time of an employee's initial assignment to work with hazardous chemicals, whenever a new hazard is introduced into his/her work area, or when an employee is reassigned to a new work area. Training is updated periodically through Annual Refresher, Hazard Recognition Training.

Before any non-routine task is performed that could involve exposure to hazardous chemicals, plant management carefully reviews potential hazards with the employee, and prescribes appropriate work practice procedures.

Employees are informed of hazardous chemicals in unlabeled pipes, if any, and of the potential hazards involved in the event of exposure to these substances (e.g., maintenance work, system failure). The extent of information provided includes material safety data sheets and other available information as used in training employees concerning other hazards. These MSDSs are readily available in the Location.

## **CONTRACTORS:**

As part of the contractual arrangement between contractors and the Company Name, the contractor must list all hazardous chemicals that are to be used by his employees in the course of their work on Company property so that Company employees may receive the necessary information and training concerning the potential hazards of the substances to which they may be exposed. Furthermore, prior to beginning work on Company property, all contractors will be given access to the written HazCom Program. The particular hazards associated with the work area(s) will be identified. The MSDS for the relevant hazardous chemicals will be provided to the contractor and the appropriate protective measures contained therein will be highlighted for the contractor.





**SAMPLE MSDS REQUEST**

**Date:** \_\_\_\_\_

**From:** Company Name \_\_\_\_\_

**To:** (Manufacturer or Distributor Name and Address)

**Subject:** (Chemical(s) Name and ID#)

**Our company utilizes the product(s) identified above in our work operations.**

**In accordance with the provisions of the Hazard Communications Standard 29 CFR - 1926.59 we are requesting a Material Safety Data Sheet for the product(s) listed above.**

**Any additional information on the product(s) would be appreciated.**

**Please send the information requested to the following address:**

**Company Name**

**Address**

**City, State Zip**

**Attn.: Name**

**Thank you,**

**Cc: MSDS Files**

## HAZCOM LABELING

Requirement:	Standards 30CFR § 47.41 thru 44
Type of Record:	As specified
Frequency of Record Keeping:	Mandatory at all times
Length of Retention:	Current

### **30CFR § 47.41 Requirements for container labels.**

- (a) The operator must ensure that each container of a hazardous chemical has a label. If a container is tagged or marked with the appropriate information, it is labeled.
  - 1) The operator must replace a container label immediately if it is missing or if the hazard information on the label is unreadable.
  - 2) The operator must not remove or deface existing labels on containers of hazardous chemicals.
- (b) For each hazardous chemical produced at the mine, the operator must prepare a container label and update this label with any significant, new information about the chemical's hazards within 3 months of becoming aware of this information.
- (c) For each hazardous chemical brought to the mine, the operator must replace an outdated label when a revised label is received from the chemical's manufacturer or supplier. The operator is not responsible for an inaccurate label obtained from the chemical's manufacturer or supplier.

### **30CFR§ 47.42 Label contents**

When an operator must make a label, the label must –

- (a) Be prominently displayed, legible, accurate, and in English;
- (b) Display appropriate hazard warnings;
- (c) Use a chemical identity that permits cross-referencing between the list of hazardous chemicals, a chemical's label, and its MSDS; and
- (d) Include the name and address of the operator or another responsible party who can provide additional information about the hazardous chemical.

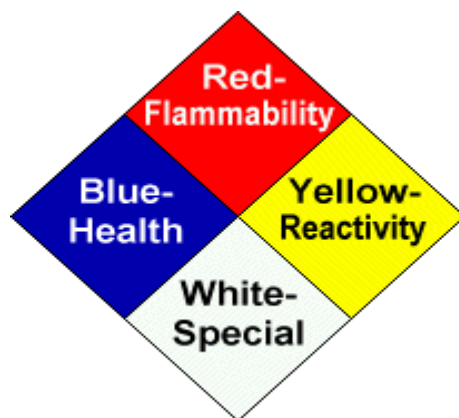
### **30CFR § 47.43 Label alternatives.**

The operator may use signs, placards, process sheets, batch tickets, operating procedures, or other label alternatives for individual, stationary process container, provided that the alternative -

- (a) Identifies the container to which it applies,
- (b) Communicates the same information as required on the label, and
- (c) Is readily available throughout each work shift to miners in the work area.

### **30CFR § 47.44 Temporary, portable containers.**

- (a) The operator does not have to label a temporary, portable container if he or she ensures that the miner using the portable container –
  - 1) Knows the identity of the chemical, its hazards, and any protective measures needed, and
  - 2) Leaves the container empty at the end of the shift.
- (b) Otherwise, the operator must mark the temporary, portable container with at least the common name of its contents.



Rating Summary		
<b>Health (Blue)</b>		
4	<b>Danger</b>	May be fatal on short exposure. Specialized protective equipment required
3	<b>Warning</b>	Corrosive or toxic. Avoid skin contact or inhalation
2	<b>Warning</b>	May be harmful if inhaled or absorbed
1	<b>Caution</b>	May be irritating
0		No unusual hazard
<b>Flammability (Red)</b>		
4	<b>Danger</b>	Flammable gas or extremely flammable liquid
3	<b>Warning</b>	Flammable liquid flash point below 100° F
2	<b>Caution</b>	Combustible liquid flash point of 100° to 200° F
1		Combustible if heated
0		Not combustible
<b>Reactivity (Yellow)</b>		
4	<b>Danger</b>	Explosive material at room temperature
3	<b>Danger</b>	May be explosive if shocked, heated under confinement or mixed with water
2	<b>Warning</b>	Unstable or may react violently if mixed with water
1	<b>Caution</b>	May react if heated or mixed with water but not violently
0	<b>Stable</b>	Not reactive when mixed with water
<b>Special Notice Key (White)</b>		
W		Water Reactive
Oxy		Oxidizing Agent

## MSDSs

Requirement: Standards 30CFR § 47.51

Type of Record: As specified

<http://www.msha.gov/regs/complian/guides/hazcom/msds/HazComMSDS.pdf>

Frequency of

Record Keeping: Mandatory at all times

Length of Retention: Current

### **30CFR § 47.51 Requirements for an MSDS.**

Operators must have an MSDS for each hazardous chemical which they produce or use. The MSDS may be in any medium, such as paper or electronic, that does not restrict availability.

- (a) For each hazardous chemical produced at the mine, the operator must prepare an MSDS, and update it with significant, new information about the chemical's hazards or protective measures within 3 months of becoming aware of this information.
- (b) For each hazardous chemical brought to the mine, the operator must rely on the MSDS received from the chemical manufacturer or supplier, develop their own MSDS, or obtain one from another source.
- (c) Although the operator is not responsible for an inaccurate MSDS obtained from the chemical's manufacturer, supplier, or other source the operator must –
  - 1) Replace an outdated MSDS upon receipt of an updated revision, and
  - 2) Obtain an accurate MSDS as soon as possible after becoming aware of an inaccuracy.
- (d) The operator is not required to prepare an MSDS for an intermediate chemical or by-product resulting from mining or milling if its hazards are already addressed on the MSDS of the source chemical

### **30CFR § 47.52 MSDS content.**

When an operator must prepare an MSDS for a hazardous chemical produced at the mine, the MSDS must –

- (a) Be legible, accurate, and in English;
- (b) Use a chemical identity that permits cross-referencing between the list of hazardous chemicals, the chemical's label, and its MSDS; and
- (c) Contain information, or indicate if no information is available, for the categories listed in Table 47.52 ...;

### **30CFR § 47.54 Availability of an MSDS.**

The operator must make MSDSs accessible to miners during each work shift for each hazardous chemical to which they may be exposed either –

- (a) At each work area where the hazardous chemical is produced or used, or
- (b) At an alternative location, provided that the MSDS is readily available to miners in an emergency.

### **30CFR § 47.55 Retaining an MSDS.**

The operator must –

- (a) Retain its MSDS for as long as the hazardous chemical is known to be at the mine, and
- (b) Notify miners at least 3 months before disposing of the MSDS.

### **30 CFR §47.73 Providing labels and MSDSs to customers.**

For a hazardous chemical produced at the mine, the operator must provide customers, upon request, with the chemical's label or a copy of the label information, and the chemical's MSDS.

**CONTACT INFORMATION**

MSHA

[www.msha.gov](http://www.msha.gov)

(202) 693-9400

Online Filing Help: [MSHAhelpdesk@msha.gov](mailto:MSHAhelpdesk@msha.gov)

<http://www.msha.gov/programs/programs.htm>

*Understanding*  
**Age Restrictions  
in the  
Mining Industry**

**Minors vs. Miners**

**Alaska Child Labor Law  
prohibits employing minor children  
age 17 and under in mining occupations**

*<http://labor.state.ak.us/lss/childlaw.htm>*

## Summary of Alaska Child Labor Law

### Minors 17 and under cannot be employed in:

1. Occupations in manufacturing, handling or use of explosives.
2. Occupations of motor vehicle driver or helper (some limited restrictions).
3. **Mining operations including coal.**
4. Logging or occupations in the operations of any sawmill, lathe mill, shingle mill or cooperage.
5. Operation of power-driven woodworking machines.
6. Occupations with exposure to radioactive substances and to ionizing radiation.
7. Operation of elevators or other power-driven hoisting apparatus.
8. Operation of power-driven metal forming, punching and shearing machines.
9. Occupations involving slaughtering, meat packing or processing or rendering.
10. Occupations involved in the operation and cleaning of power-driven bakery machines.
11. Occupations involved in the operation of power-driven paper products machines.
12. Occupations involved in the manufacture of brick, tile and kindred products.
13. Occupations involved in the operation and cleaning of circular saws, band saws, and guillotine shears.
14. Occupations involved in wrecking, demolition, and shipwrecking operations.
15. Occupations involved in roofing operations.
16. Occupations involved with excavation operations.
17. Electrical work with voltages exceeding 220, or outside erection or repair and meter testing including telegraph and telephone lines.
18. Occupations involving exposure to bloodborne pathogens.
19. Occupations involved in canvassing, peddling, solicitation of door-to-door contributions, or acting as an outside salesman.



**State of Alaska**

**Worker**

**Health and Safety**

**Training**

## **U.S. Department of Labor - Employment Laws Assistance**

<http://www.dol.gov/compliance/laws/main.htm>

### **OSH Manager's Handbook**

<http://labor.alaska.gov/lss/forms/mgrhandbook.pdf>

## **STATE OF ALASKA**

Certain State regulations may apply (that are not part of this training, such as General Duty Clause, Right-to-Work, Physical Agent Data Sheets (PADS), Wage and Benefit Information, required posters in the workplace, etc.

Contact the State of Alaska Department of Labor to learn more about their requirements for worker safety and health.

### **State of Alaska Labor and Workforce Development**

#### **Links for Employers**

<http://labor.alaska.gov/employer/employer.htm>

Available at the above referenced link:

AK Employer Resource Manual PDF

Alaska Job Center Network

Alaska Job Centers

Alaska UI Tax Calculation Cookbook PDF

Alaska's Job Bank

Job Central (Place job orders and search resumes)

Business Partnerships

Community and Small Business Development

Economic, Occupation & Population Information

Employment Application PDF

Employment Practices and Working Conditions

Employment-Related Posters

Employment Security Tax

Fidelity Bonding Program

Foreign Labor Certifications

Government Labor Relations

Job Order Fax Form PDF

Laborers' & Mechanics' Minimum Rates of Pay

Occupational Coding Manual

(used for employers' quarterly contribution reports)

Occupational Safety and Health

Rapid Response

Second Injury Fund

The Workforce ATM

Unemployment Insurance

Vocational Rehabilitation

Wage and Hour

Workers' Compensation

Work Opportunity and Tax Credit Program