



SEP 30 2014

MEMORANDUM FOR PATRICIA W. SILVEY  
Deputy Assistant Secretary for Operations  
Mine Safety and Health Administration

THROUGH: [REDACTED]  
NEAL H. MERRIFIELD  
Administrator for  
Metal and Nonmetal Mine Safety and Health Administration

JAY P. MATTOS [REDACTED]  
Director, Office of Assessments, Accountability, Special  
Enforcement and Investigations

FROM: ALFRED L. CLAYBORNE [REDACTED]  
Deputy Director, Office of Accountability, Special  
Enforcement and Investigations

SUBJECT: MSHA Office of Accountability Review, MNM South Central  
District, Little Rock, Arkansas Field Office, and [REDACTED]  
[REDACTED]

Introduction

This memorandum summarizes the Office of Accountability's review of the subject district office, field office, and mine. The review included MSHA field activities; level of enforcement; conditions and practices at the mine; Field Accompanied Reviews (FARs); Office Reviews (ORs); and MSHA supervisory and managerial oversight. The accountability review included evaluations to determine if there were any deficiencies in areas commonly identified during Agency internal reviews of MSHA's actions following past mine disasters.

Positive findings as well as issues requiring attention are included in this review.

## Overview

This review was conducted by Accountability Specialists Jerry Kissell and Troy Davis from [REDACTED] [REDACTED] accompanied the accountability specialists during this review.

[REDACTED]

The review team traveled with the inspection party to the mine on a regular E01 inspection. Areas examined and activities undertaken included observing the pre-inspection conference, traveling down the primary production shaft, and observing ventilation/air quality tests. Underground areas reviewed included inspection of the primary and secondary escape routes, waste dump areas, active working headings, explosives storage area and inventory, underground maintenance shop and parts storage, the refuge chamber and the lunchroom area. Production headings inspected included cross-cut 1 through cross-cut 8. Equipment inspected included, the primary crusher, the #1 and #2 course screen platforms, five booster fans, two transformers, electrical disconnect boxes, a Volvo A30D haul truck, the secondary escape capsule, communication systems, underground screen plant, 5 conveyor belts, and the scaling machine.

Work practices observed included hand scaling and machine scaling practices (taking down loose ground), personal protective gear usage, roadways maintenance and proper barricading practices throughout the mine.

## Review Results

The accountability review revealed positive findings in several areas, including the following:

1. Enforcement personnel conducted themselves in a professional and courteous manner at all times during the review and during the inspection.
2. Inspection procedures observed during the review appeared in compliance with MSHA policy and procedures.
3. Field Accompanied Reviews (FARs) and Office Reviews (ORs) for the Little Rock, Arkansas Field Office were adequately documented.
4. Enforcement personnel used appropriate enforcement tools during the mine site visit.

5. Staff and safety meetings were well documented and showed updates and reviews of MSHA initiatives and policy memoranda.

This review revealed one issue that requires a corrective action:  
(Supporting data for this issue can be found in the OA checklist and attachments)

1. ATF's forms are not always completed for mines that have no violations pertaining to explosive storage. ATF forms are not being filed as part of the inspection report. The form is being forwarded to ATF.

Requirement: GIPH page 48

#### **W. Documentation of Inspections**

All citations, citation and general field notes, photographs, mine operator or miner supplied documents, MSHA or ATF inspection forms (e.g., impoundments, explosives) shall be included in inspection or investigation reports.

**Attachments**

- A. Internal Review Summary
- B. Office of Accountability Checklist
- C. Statistics
- D. Citations/Orders issued during this review
  - 1. [REDACTED] 57.3200
  - 2. [REDACTED] 57.4102
  - 3. [REDACTED] 57.14110
- E. Examples of Citations Issued During Previous E01 Inspections  
(No issues were identified during this audit)
- F. District Corrective Action Plan

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**Attachment A – Internal Review Summary**

The table below lists the most common internal review findings following mine disasters. The Little Rock, AR Field Office had one of the most commonly identified issues.

	Common Internal Review Findings	Examples of Deficiencies found in this Accountability Review:
	Failure to identify deviations in approved plans.	Not identifying operator departures from requirements in any plan that requires approval, such as training plans, roof control plans, ventilation plans, emergency response plans, etc.
X	Incomplete or inadequate inspections.	Not following policy or procedures for conducting/documenting inspections. Failure to cite all violations. Not inspecting all areas and equipment.
	Failure to conduct 103(i) spot inspections according to policy.	Not conducting spot inspections, not conducted in a timely manner and at irregular intervals.
	Supervisors did not provide adequate oversight.	No review/lax review of inspection reports. Inadequate review of PKW/SAR forms. Failure to conduct required Field Activity Reviews and Accompanied Activities.
	Improper evaluations of gravity, negligence and type of enforcement action.	Inadequate documentation to support citation and evaluation. Failure to consider and document aggravating or mitigating circumstances.
	Inadequate Peer Reviews	Inadequate district level Peer Reviews. Failure to adopt and follow corrective action plans. Failure to follow up or monitor effectiveness of corrective action plans.
	Weakness in the ACR Program	Not following ACR handbook. Inadequate management oversight. Failure to follow the Mine Act, MINER Act, 30 CFR and MSHA policy.
	MSHA data not used or reviewed.	Key Indicators, Mine Profile, Inspection completion reports not being used. Failure to keep MSIS data up to date and accurate.
	Lack of unwarrantable failure tracking system	No or inadequate unwarrantable failure sequence tracking system.
	Conflict of Interest	Inspecting prior employers, employment of relatives
	Failure to comply with Hazard Complaint Procedures.	Improper coding of inspections. Inadequate documentation of inspections/investigations.

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Common Internal Review Findings	Examples of Deficiencies found in this Accountability Review
Investigations of multi-phase plans	Failure to conduct on-site evaluations of plans.
Failure to observe retreat mining.	Inadequate periodic evaluations when retreat mining is conducted.
Section 103(a) is violated when an operator gives advance notice of MSHA's presence on mine property	Citation not issued when advance notice of impending MSHA inspection
Tracking tool was needed to monitor personnel resources and those devoted to special investigations	Not monitoring resources devoted to special investigations.
Needed to improve tracking of retraining of supervisors, inspectors, and specialists	Some supervisors, inspectors, and specialists were not being retrained.

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Attachment B – Review Checklist

1. Determine if complete and thorough E01 inspections are being conducted and /or if policy and procedures were properly followed.  
Adequate  Corrective Action Needed  Comments Below

2. Determine if documentation for inspections is complete and thorough.  
Adequate  Corrective Action Needed  Comments Below

ATF's forms are not always completed for mines that have no violations pertaining to explosive storage. ATF forms are not being filed as part of the inspection report. The form is being forwarded to ATF.

Requirement: General Inspection Procedures Handbook PH13-IV-1, page 48  
**Documentation of Inspections**  
All citations, citation and general field notes, photographs, mine operator or miner supplied documents, MSHA or **ATF inspection forms** (e.g., impoundments, explosives) **shall be included in inspection or investigation reports.**

3. Determine if citations and orders issued during previous inspections were properly evaluated for gravity, negligence, level of enforcement, number of persons affected, and supported by documentation.  
Adequate  Corrective Action Needed  Comments Below

4. Evaluate inspector(s) examination of required records and postings for compliance with applicable standards.  
Adequate  Corrective Action Needed  Comments Below

5. Evaluate the inspector(s) physical examination of the active working areas of the mine and inspection of all mining cycles.  
Adequate  Corrective Action Needed  Comments Below

No drilling or blasting took place during the mine visit.

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6. Evaluate the inspector(s) on-site contaminant assessment and documentation.

Adequate  Corrective Action Needed  Comments Below

7. Evaluate inspector(s) examination of electrical equipment, transformer stations, and/or electrical circuits.

Adequate  Corrective Action Needed  Comments Below

8. Determine if adequate close-out conferences are being conducted at the end of each inspection.

Adequate  Corrective Action Needed  Comments Below

Field notes reviewed show daily and final close-outs are consistently conducted.

9. Determine if Possible Knowing/Willful (PKW) Forms are documented and processed according to agency policy and procedures.

Adequate  Corrective Action Needed  Comments Below

No PKWs were reviewed during this audit

10. Evaluate 103(i) spot inspection (E02) reports for the office/district being audited for compliance with agency policies and procedures, including compliance with time frames and separating E02 inspections from other events.

Adequate  Corrective Action Needed  Comments Below

No 103(i) mines in this field office at this time.

11. Determine if Hazard Complaint inspections/investigations are being conducted according to policy and procedures.

Adequate  Corrective Action Needed  Comments Below

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12. Determine if supervisors are monitoring inspector time and activity to ensure proper use of time, including off-shift and weekend work, by all inspectors.

Adequate  Corrective Action Needed  Comments Below

Use of key indicators

13. Are required Office Reviews (ORs) and supervisory follow-up reviews being conducted and documented according to agency policy and procedures?  
(One E-01/Inspector/every six months/FY -minimum)

Adequate  Corrective Action Needed  Comments Below

14. Are Field Accompanied Reviews (FARs) and supervisory follow-up reviews being conducted and documented according to agency policy and procedures?  
(one/inspector/year - minimum)

Adequate  Corrective Action Needed  Comments Below

15. Determine if a 104(d) tracking system is in place and being kept current at the office being audited.

Adequate  Corrective Action Needed  Comments Below

16. Determine if the Mine Files are legible, up to date, and reviewed by supervisors.

Adequate  Corrective Action Needed  Comments Below

17. Determine if supervisors are visiting active mines.

Adequate  Corrective Action Needed  Comments Below

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18. Review documentation of staff meetings/safety meetings to determine their effectiveness and relevance to current issues and the Agency's mission.

Adequate  Corrective Action Needed  Comments Below

19. Determine if Assistant District Manager is conducting the required second level reviews and holding supervisors accountable for oversight of Office Reviews and Field Accompanied Activity Reviews.

20. Determine if district management personnel are reviewing work products and reports for accuracy and completeness.

Adequate  Corrective Action Needed  Comments Below

21. Determine if District Manager is using discretion in granting conferences and monitoring the ACR program to ensure that all decisions (including upholding, modifying or vacating citations) are properly documented and justified by the CLR's.

Adequate  Corrective Action Needed  Comments Below

ACR not reviewed as part of this audit.

22. Determine if managers and supervisors are using required standardized reports to review critical data relevant to inspections and investigations.

Adequate  Corrective Action Needed  Comments Below

23. Determine if Districts are conducting in-depth Peer Reviews in compliance with agency policy and procedures including follow-up to determine the effectiveness of corrective actions.

Adequate  Corrective Action Needed  Comments Below

Audits have been conducted by the Office of Accountability.

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24. Is information (mine status, methane liberation, number of employees, etc) being entered into the MSHA Standardized Information System (MSIS) accurately and in a timely manner?

Adequate  Corrective Action Needed  Comments Below

25. Determine if inspectors have sufficient equipment and supplies to conduct thorough inspections.

Adequate  Corrective Action Needed  Comments Below

26. Evaluate the overall condition of the mine relative to the level of enforcement documented in previously completed inspections.

Adequate  Corrective Action Needed  Comments Below

27. Determine if inspectors have an understanding of when a violation of Section 103(a) for Advance Notice occurs and whether appropriate citations are issued for Advance Notice.

Adequate  Corrective Action Needed  Comments Below

28. Determine if the management resource tracking tool is being used to track resources regarding Special Investigations.

Adequate  Corrective Action Needed  Comments Below

29. Determine if retraining of supervisors, inspectors, and specialists is being tracked.

Adequate  Corrective Action Needed  Comments Below

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District South Central Field Office Little Rock Mine ID            Date           

**Attachment C – Statistics**

**S&S Rate Comparison**

During FY 2012, the S&S rates for the Little Rock, Arkansas Field Office are lower than the average for the South Central District but higher than the national average. During FY 2013, the S&S rates for the Little Rock, Arkansas Field Office are lower than the average for the South Central District and the same as the national average. Citations issued during the audit were appropriately issued and consistent with policy and procedures. (See attachment D)

Fiscal Year	Little Rock Field Office	South Central District	National Average
2012	28%	30%	25%
2013	26%	31%	26%

**Time and Activity Comparison**

A comparison of FY 2012 and FY 2013 time distribution for the Little Rock Field Office at all mining operations shows that time in the other category has slightly increased and on-site time increased.

Time Distribution (%) – E01 Inspections							
FY	Area/Office	Travel	*Other	**On-Site Enf. time	Total Enf. Time	Non Enf. time	Total Percent
2012	FO	17%	8%	47%	72%	28%	100%
	Nat'l Avg	21%	15%	42%	78%	22%	100%
2013	FO	20%	9%	50%	79%	21%	100%
	Nat'l Avg	21%	15%	42%	78%	22%	100%

\* Other time includes off site citation/order writing, health equipment calibration, and mailing of samples

\*\* Total On-Site time includes citations written on-site

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District South Central Field Office Little Rock Mine ID [REDACTED] Date [REDACTED]

Attachment D- Citations issued during the Audit



Mine Citation/Order

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Section I--Violation Data

1. Date	Mo Da Yr	2. Time (24 Hr. Clock)	3. Citation/Order Number
4. Served To	5. Operator		
6. Mine	7. Mine ID (Contractor)		
8. Condition or Practice			8a. Written Notice (103g) <input type="checkbox"/>

Ground conditions that create a hazard to persons shall be taken down or supported before other work or travel is permitted in the affected area. Until corrective work is completed, the area shall be posted with a warning against entry and, when left unattended, a barrier shall be installed to impede unauthorized entry. There were scales found along face being drilled in #2 Crosscut. The scales were observed ranging approximately 10-12ft high. This condition exposes miners that are traveling along this wall to injuries if the scales were to fall.

Standard 57.3200 was cited [REDACTED]

See Continuation Form (MSHA Form 7000-3a)

9. Violation	A. Health Safety Other	B. Section of Act	C. Part/Section of Title 30 CFR
			57.3200

Section II--Inspector's Evaluation

10. Gravity:				
A. Injury or illness (has) (is): No Likelihood <input type="checkbox"/> Unlikely <input type="checkbox"/> Reasonably Likely <input checked="" type="checkbox"/> Highly Likely <input type="checkbox"/> Occurred <input type="checkbox"/>				
B. Injury or illness could reasonably be expected to be: No Lost Workdays <input type="checkbox"/> Lost Workdays Or Restricted Duty <input type="checkbox"/> Permanently Disabling <input checked="" type="checkbox"/> Fatal <input type="checkbox"/>				
C. Significant and Substantial: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>				D. Number of Persons Affected: 001
11. Negligence (check one) A. None <input type="checkbox"/> B. Low <input type="checkbox"/> C. Moderate <input checked="" type="checkbox"/> D. High <input type="checkbox"/> E. Reckless Disregard <input type="checkbox"/>				
12. Type of Action 104a		13. Type of Issuance (check one) Citation <input checked="" type="checkbox"/> Order <input type="checkbox"/> Safeguard <input type="checkbox"/> Written Notice <input type="checkbox"/>		
14. Initial Action A. Citation <input type="checkbox"/> B. Order <input type="checkbox"/> C. Safeguard <input type="checkbox"/> D. Written Notice <input type="checkbox"/>			E. Citation/Order Number	F. Dated Mo Da Yr
15. Area or Equipment				

16. Termination Due	A. Date Mo Da Yr	B. Time (24 Hr. Clock)
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Section III--Termination Action

17. Action to Terminate		
18. Terminate	A. Date Mo Da Yr	B. Time (24 Hr. Clock)

Section IV--Automated System Data

19. Type of Inspection (activity code)	E01	20. Event Number	21. Primary or Mill
22. AR Name		23. AR Number	

MSHA Form 7000-3, Apr 08 (revised) In accordance with the provisions of the Small Business Regulatory Enforcement Fairness Act of 1996, the Small Business Administration has established a National Small Business and Agriculture Regulatory Ombudsman and 10 Regional Fairness Boards to receive comments from small businesses about federal agency enforcement actions. The Ombudsman annually evaluates enforcement activities and rates each agency's responsiveness to small business. If you wish to comment on the enforcement actions of MSHA, you may call 1-888-REG-FAIR (1-888-734-3247), or write the Ombudsman at Small Business Administration, Office of the National Ombudsman, 409 3rd Street, SW MC 2120, Washington, DC 20416. Please note, however, that your right to file a comment with the Ombudsman is in addition to any other rights you may have, including the right to contest citations and proposed penalties and obtain a hearing before the Federal Mine Safety and Health Review Commission.

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District South Central Field Office Little Rock Mine ID [REDACTED] Date [REDACTED]

Mine Citation/Order

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



Section I—Violation Data			
1. Date	Mo Da Yr	2. Time (24 Hr. Clock)	3. Citation/Order Number
4. Served To		5. Operator	
6. Mine		7. Mine ID	
			(Contractor)
8. Condition or Practice			8a. Written Notice (103g) <input type="checkbox"/>

Readily visible signs prohibiting smoking and open flames shall be posted where a fire or explosion hazard exists. There was no signage posted at the oil storage area prohibiting smoking or open flames. The area had several drums of oil, and other containers containing oil scattered in the shop area. This condition exposes employees to injuries from fire hazards.

See Continuation Form (MSHA Form 7000-3a)

9. Violation	A. Health Safety Other	B. Section of Act	C. Part/Section of Title 30 CFR
			57.4102

Section II—Inspector's Evaluation

10. Gravity:				
A. Injury or Illness (has) (is): No Likelihood <input type="checkbox"/> Unlikely <input checked="" type="checkbox"/> Reasonably Likely <input type="checkbox"/> Highly Likely <input type="checkbox"/> Occurred <input type="checkbox"/>				
B. Injury or Illness could reasonably be expected to be: No Lost Workdays <input type="checkbox"/> Lost Workdays Or Restricted Duty <input checked="" type="checkbox"/> Permanently Disabling <input type="checkbox"/> Fatal <input type="checkbox"/>				
C. Significant and Substantial: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>				D. Number of Persons Affected: 001
11. Negligence (check one) A. None <input type="checkbox"/> B. Low <input type="checkbox"/> C. Moderate <input checked="" type="checkbox"/> D. High <input type="checkbox"/> E. Reckless Disregard <input type="checkbox"/>				
12. Type of Action 104a		13. Type of Issuance (check one) Citation <input checked="" type="checkbox"/> Order <input type="checkbox"/> Safeguard <input type="checkbox"/> Written Notice <input type="checkbox"/>		
14. Initial Action A. Citation <input type="checkbox"/> B. Order <input type="checkbox"/> C. Safeguard <input type="checkbox"/> D. Written Notice <input type="checkbox"/>			E. Citation/Order Number	F. Dated Mo Da Yr
15. Area or Equipment				

16. Termination Due	A. Date Mo Da Yr	B. Time (24 Hr. Clock)
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Section III—Termination Action

17. Action to Terminate		
18. Terminate		
A. Date	Mo Da Yr	B. Time (24 Hr. Clock)

Section IV—Automated System Data

19. Type of Inspection (activity code)	E01	20. Event Number	21. Primary or Mill	23. AR Number
			M	

MSHA Form 7000-3, Apr 08 (revised) In accordance with the provisions of the Small Business Regulatory Enforcement Fairness Act of 1996, the Small Business Administration has established a National Small Business and Agriculture Regulatory Ombudsman and 10 Regional Fairness Boards to receive comments from small businesses about federal agency enforcement actions. The Ombudsman annually evaluates enforcement activities and rates each agency's responsiveness to small business. If you wish to comment on the enforcement actions of MSHA, you may call 1-888-REG-FAIR (1-888-734-3247), or write the Ombudsman at Small Business Administration, Office of the National Ombudsman, 409 3rd Street, SW MC 2120, Washington, DC 20418. Please note, however, that your right to file a comment with the Ombudsman is in addition to any other rights you may have, including the right to contest citations and proposed penalties and obtain a hearing before the Federal Mine Safety and Health Review Commission.

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District South Central Field Office Little Rock Mine ID [REDACTED] Date [REDACTED]

Mine Citation/Order

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



Section I--Violation Data

1. Date	Mo Da Yr	2. Time (24 Hr. Clock)		3. Citation/Order Number	
4. Served To			5. Operator		
6. Mine			7. Mine ID		
8. Condition or Practice					8a. Written Notice (103g) <input type="checkbox"/>

In areas where flying or falling materials generated from the operation of screens, crushers, or conveyors present a hazard, guards, shields, or other devices that provide protection against such flying or falling materials shall be provided to protect persons. There was build up of material above the beams at #1 and #2 platform. The beams were approximately 12ft high, over walkways, and had approximately 1-2ft of harden material built up on them. This condition exposes employees to serious injuries if the material was to fall on someone when traveling.

See Continuation Form (MSHA Form 7000-3a)

9. Violation	A. Health <input type="checkbox"/> Safety <input type="checkbox"/> Other <input type="checkbox"/>	B. Section of Act	C. Part/Section of Title 30 CFR		
				57.14110	

Section II--Inspector's Evaluation

10. Gravity:					
A. Injury or illness (has) (is): No Likelihood <input type="checkbox"/> Unlikely <input type="checkbox"/> Reasonably Likely <input checked="" type="checkbox"/> Highly Likely <input type="checkbox"/> Occurred <input type="checkbox"/>					
B. Injury or illness could reasonably be expected to be: No Lost Workdays <input type="checkbox"/> Lost Workdays Or Restricted Duty <input type="checkbox"/> Permanently Disabling <input checked="" type="checkbox"/> Fatal <input type="checkbox"/>					
C. Significant and Substantial: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>				D. Number of Persons Affected: 001	
11. Negligence (check one) A. None <input type="checkbox"/> B. Low <input type="checkbox"/> C. Moderate <input checked="" type="checkbox"/> D. High <input type="checkbox"/> E. Reckless Disregard <input type="checkbox"/>					
12. Type of Action 104a			13. Type of Issuance (check one) Citation <input checked="" type="checkbox"/> Order <input type="checkbox"/> Safeguard <input type="checkbox"/> Written Notice <input type="checkbox"/>		
14. Initial Action A. Citation <input type="checkbox"/> B. Order <input type="checkbox"/> C. Safeguard <input type="checkbox"/> D. Written Notice <input type="checkbox"/>				E. Citation/Order Number	
15. Area or Equipment				F. Dated Mo Da Yr	

16. Termination Due	A. Date Mo Da Yr	B. Time (24 Hr. Clock)			
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Section III--Termination Action

17. Action to Terminate					
18. Terminate					
A. Date Mo Da Yr		B. Time (24 Hr. Clock)			

Section IV--Automated System Data

19. Type of Inspection (activity code)	E01	20. Event Number	[REDACTED]	21. Primary or Mill	M
22. AR Name				23. AR Number	

MSHA Form 7000-3, Apr 08 (revised) In accordance with the provisions of the Small Business Regulatory Enforcement Fairness Act of 1996, the Small Business Administration has established a National Small Business and Agriculture Regulatory Ombudsman and 10 Regional Fairness Boards to receive comments from small businesses about federal agency enforcement actions. The Ombudsman annually evaluates enforcement activities and rates each agency's responsiveness to small business. If you wish to comment on the enforcement actions of MSHA, you may call 1-888-REG-FAIR (1-888-734-3247), or write the Ombudsman at Small Business Administration, Office of the National Ombudsman, 409 3rd Street, SW MC 2120, Washington, DC 20418. Please note, however, that your right to file a comment with the Ombudsman is in addition to any other rights you may have, including the right to contest citations and proposed penalties and obtain a hearing before the Federal Mine Safety and Health Review Commission.

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**Attachment E – Examples of Citations Issued During Previous E01 Inspections**  
No Issues were identified during this review

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Attachment F – South Central District Corrective Action Plan

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District South Central Field Office Little Rock Mine ID [REDACTED] Date [REDACTED]

MEMORANDUM FOR: TED SMITH  
Supervisor, Office of Accountability  
Mine Safety and Health Administration

FROM: MICHAEL A. DAVIS [REDACTED]  
District Manager,  
Metal/Nonmetal South Central District

SUBJECT: Proposed Corrective Action Plan

This memo is a response to the audit conducted by your office [REDACTED] at the Little Rock, AR field office and the [REDACTED]. This memo addresses the proposed corrective action for one deficiency outlined in your Office of Accountability audit.

**Deficiency No. 1:**

Audit Checklist item # 1 – Policy and Procedures not being followed

1. ATF's forms are not always completed for mines that have no violations pertaining to explosive storage. ATF forms are not being filed as part of the inspection report. The form is being forwarded to ATF.

**Proposed Corrective Action :**

Training will be conducted during the next staff meeting in all South Central District field offices. The training will be given to all inspectors on the completion of ATF form 5030.5. The training will include 1) inspectors will complete an ATF form 5030.5 at all mines with explosive magazines whether or not violations have been cited 2) the ATF form 5030.5 will be either mailed or electronically sent to the local AFT office and 3) a copy of the completed ATF form 5030.5 will be filed with the inspection/investigation report.

A copy of the inspector sign in sheet will be emailed to the district office.

**ROOT CAUSE:**

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Training/Supervisor Oversight: A copy of the inspector training sign in sheet from each field office will be email to the Assistant District Manager.

The inspectors were not always completing, mailing and filing a copy of the ATF Form 5030.5.

As outlined in attachment F- Audit Checklist item # 1

**OFFICE RESPONSIBLE FOR IMPLEMENTING:**

The Field office Supervisor will be responsible for providing the required training.

The Assistant District Manager for Enforcement will assure that all training in the district has been completed.

All district inspectors will be retrained in the completion of the ATF Form 5030.5, the ATF notification process and the MSHA filing requirement.

**TIMEFRAME FOR COMPLETION:**

The deficiencies will be corrected by July 1, 2014.

**METHOD FOR DETERMINING SUCCESS:**

The Assistant District Manager will follow up with all district field offices to confirm the inspector training has been completed.