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BOP 4.09.06
DOCUMENT TITLE: **Case File Management**
Effective Date:
Approval Authority: **Bureau Chief**

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A.   PURPOSE

This Bureau Operating Procedure (BOP) defines standards and guidelines for receipt, management and retrieval of closed Occupational Safety and Health (OSH) investigative case files. These standards ensure the maintenance and retrieval of OSH investigative files.

B.   SCOPE

This procedure applies to the retention and retrieval of OSH case file information from 1973 to present. This process is conducted by the Statistical Research Assistant II, Statistical Research Assistant I's (2), and the Processing Assistant V.

C. DEFINITIONS

1.   **Archiving** - Storing documents of historical interest.
2.   **CFTS** – Close File Tracking System use for the transfer of closed files from all field offices to PSIM and tracking location and current status of all archived closed files.
3.   **Confidentiality** - Information within OSH investigative files produced by a CSHO are confidential according to general statutes and departmental policies and cannot be released unredacted to anyone outside of the OSH Division, except by court order or approval by the Commissioner of Labor or the Deputy Commissioner of the OSH Division.
4.   **Microfiche -** A sheet of microfilm preserving text and photos in reduced form.
5.   **Microfilm** - Film on which printed materials are photographed at greatly reduced size.
6.   **OnBase** - Computer system that stores all digital copies of all original closed files and disclosures that have been digitally imaged for permanent archiving.
7.   **Out Card** - A copy of a written request for file information that is placed where a file has been removed from the shelf. It serves as notice that the file has been removed and for what purpose.
8.   **PSIM** - Planning, Statistics, and Information Management Bureau.
9.   **Records Retention Schedule** - Written policy governing the retention and disposition of closed OSH case files in accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina.

D. RESPONSIBILITIES AND AUTHORITIES

1. Bureau Chief - Has the overall responsibility and authority for the correct process of archiving OSH investigative files.
2.   Processing Assistant V - Has the responsibility for the closed OSH case files in the Planning, Statistics & Information Management Bureau of the OSH Division.
3. Statistical Research Assistant II and Statistical Research Assistant I's (2) - Responsible for public requests for disclosures.
4. Statistical Research Assistant II – Has the responsibility and authority for maintaining and troubleshooting the CFTS. Responsible for ensuring the quality control of the system.

E. REQUIREMENTS

1. 1. Receipt of closed files utilizing the CFTS - Processing Assistant V shall receive and store OSH closed case files on a space available basis.
2. Archiving and disposition of files - Bureau will follow State Records Retention Schedule.

   a) File requests from internal requestors for files not available in OnBase should contain the company name and case file number.
   b) Internal requestors should specify if the entire file is to be "checked out" or copies of certain documents made.
   c) Hard copy files are pulled for internal requestors once a day by Processing Assistant V.
   d) Microfilm and microfiche files not available in OnBase require a minimum of one week to retrieve. A one week turnaround is also necessary for copies of files and or for copies of certain documents from within a file.
   e) Processing Assistant V will confirm receipt of internal requests and advise on status of availability and delivery.

F. ACTION STEPS

1. Processing Assistant V will receive OSH closed investigative files using the CFTS and store them on a space available basis. Space will be determined through quarterly assessments.
2. Processing Assistant V will review email written requests to clarify as necessary what the customer requires.
3. Internal requestors may contact the Processing Assistant V by email, fax or letter to make a written request.
4. Processing Assistant V will enter the request and keep track of the status of all the internal requests in the Internal request log located in the F drive.
5. Public requests for disclosures will be referred to the Statistical Research Assistant II and Statistical Research Assistant I's (2).
6. Status of file will be checked using available resources.
7. Internal requestors may contact the field offices directly for further information regarding open files.

8. Closed files for public requests will be located and copied by the Processing Assistant V in support of the disclosure process.
9. An Out Card will replace hard copy files pulled. DOL personnel may receive a copy of an unexpunged case file by interoffice or regular mail or may pick up the original hard copy file.
10. After a closed case file is returned, the Processing Assistant V will pull Out Card and file investigative file folder.

G. QUALITY RECORDS

1. ***Retention and Disposition of Records – according to State Records Retention Schedule**
2. ***Closed case files are confidential information. Please refer to the PSIM Confidentiality Policy 4.09.07**

    a. *Closed OSH Investigative Case Files on hard copy, microfilm, microfiche and OnBase (digital copy).
    b. Written Customer Request
    c. Completed Requests for Files-Out Card
    d. Close File Tracking System

H. DOCUMENT CONTROL

The content of this BOP is the responsibility of the Bureau Chief. Requests for interpretation of the provisions of this procedure and suggestions for changes should be addressed to the Bureau Quality/Document Coordinator. This procedure is maintained electronically.

I. REFERENCES

1. State Record Retention Policy

J. ATTACHMENTS

1. Out Card

Attachments are controlled by the Statistical Research Assistant I on 2nd Floor of the ORB. (PSIM 4.05 Document and Data Control)

K. REVISIONS
1. Clarification of requirements for internal file requests (06/18/03).
2. Reviewed April 2013.
3. Reviewed January 2014.
4. June 2015 (Added definition for CFTS – Closed File Tracking System and the OnBase system).