

<i>Planning, Statistics and Information Management - Bureau Operating Procedures</i>	<i>Effective - October 1, 2011</i>	<i>Revisions: 4 - 6/30/15</i>
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## **BOP 4.09.07**

**Document Title:** **PSIM Confidentiality Policy**

**Effective Date:** **October 1, 2011**

**Approval Authority:** **Bureau Chief**

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### **A. PURPOSE**

This establishes a procedure for confidentiality issues within the services of the Planning, Statistics and Information Management Bureau (PSIM), which include: Public Sector Injury and Illness Survey, OSH Targeting System, and Disclosure of Case Files. This procedure defines guidelines for confidentiality set forth by the Occupational Safety and Health Administration (OSHA). The OSHNC Division of the North Carolina Department of Labor and applicable N.C. General Statutes and guidelines referenced in the division's Field Information System (FIS), Chapters XIII and XVI.

### **B. SCOPE**

This procedure applies to PSIM Bureau personnel involved in the production of services requiring confidential guidelines and standards.

### **C. DEFINITIONS**

- A. Confidentiality** - PSIM Bureau pledge to abide with the legal obligation to Federal OSHA and OSHNC Division confidentiality policies and procedures. Protection of individual and employer identifiers reported to PSIM for production of its services.
- B. DES UI Files** - Database of the Division of Employment Security containing employer sites by unemployment insurance information.
- C. OSHNC** - Occupational Safety and Health Division of the North Carolina Department of Labor.
- D. OSTAT** - Organization responsible for providing injury and illness data, industry rankings, DART rates, etc.

## **E. RESPONSIBILITIES AND AUTHORITIES**

1. PSIM Bureau Chief - Responsible for the overall processing of PSIM services and confidentiality issues for each individual service.
2. Statistical Research Assistant III (Targeting System Administrator) - Responsible for confidentiality of the OSH Targeting System and the OSH Establishment Databases of employers in North Carolina, which serves as the source of selection for the majority of the targeting schedules.
3. Statistical Research Assistant II (Statistical and Historical Document Coordinator) - Responsible for confidentiality for the Public Sector Survey for OSHNC.
4. Statistical Research Assistant II (Statistical and Historical Document Coordinator and Statistical Research Assistant I's (2) (Statistical and Historical Document Processor) - Responsible for the confidentiality of the disclosure process of OSHNC case files (inspection and investigative files). Responsible for confidentiality of the Disclosure Tracking Logs.
5. Processing Assistant V (Information Processing Archivist) - Responsible for the confidentiality of the maintenance and retrieval of OSHNC case files.

## **F. REQUIREMENTS**

1. OSH Targeting System - PSIM shall keep all targeting schedules in safekeeping on the intranet, except when being used by authorized PSIM personnel. This includes the OSH Establishment Databases.
2. Disclosure files and tracking logs shall be kept in safekeeping. Disclosure files will be locked in the fileroom except when being used by authorized PSIM personnel.
3. PSIM will not publish or share personal and employer identifiers, medical records, other confidential information (as referenced in the FOM/FIS, Chapters III, VIII, IX, XIII and XVI), witness statements, complainant names, etc. with unauthorized persons, organizations, or other public agencies.
4. DES Database - This database of North Carolina employers is password protected via the targeting webpage for security purposes and as a result of a signed confidentiality agreement.
5. Targeting Web Page - Site containing all targeting schedules, which is password protected for security purposes.

## **G. ACTION STEPS**

Confidentiality action steps are included in: **BOP 4.09 Process Control**. Process control includes: **OSH Targeting System BOP 4.09.04; Disclosure Process BOP 4.09.05 and Case File Management (CLOSED FILES) BOP 4.09.06**.

## **G. QUALITY RECORDS**

1. Targeting System Files
2. Case Files/Disclosure Files
3. OSH Establishment Databases (DES Database)

## **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. OSHA Act of 1970 (Public Law 91-596)
2. OSHNC Field Information System/Field Operations Manual
3. NCGS 95-136
4. State Record Retention Policies for the Compliance Bureau; Agricultural Safety and Health Bureau; and Planning, Statistics and Information Management Bureau.

## **J. ATTACHMENTS**

None

## **K. REVISIONS**

1. Reviewed April 2013.
2. Reviewed January 2014.
3. June 2015 (Removed reference to ODI Database and ODI Survey Records, Site Specific Targeting (SST).