

**North Carolina Department of Labor
Occupational Safety and Health Division**

Raleigh, NC

Administrative Information System

Administrative Procedure Notice 24B

Subject: OSH File Management

A. Purpose.

This APN describes and establishes responsibilities for file management in each OSH field office.

B. Field Office Procedures.

The NC OSH Division has five Compliance Bureau field offices and an Agricultural Safety and Health Bureau office with processing assistants, office assistants and system administrators. In each field office admin staff employee(s) are responsible for file management in their respective offices. File management includes, open files, contested files, files to budget, closed files and complaint files.

1. Asheville.

- a. The following inspection file types are kept in a lateral file cabinet in the back area of the office and managed by the office assistant IV; they are separated by category and are filed alphabetically by the Office Assistant IV. The drawer is labeled according to the type of file in the drawer. Files are placed in the cabinet as follows: Open files top drawer left side. Contested files top drawer, center. Collection files top drawer, right side.
- b. Closed complaint files for the current federal fiscal year are kept at the front desk area in a black file cabinet labeled Closed Complaint Files and are managed by the Office Assistant IV.
- c. Open complaint files handled by "D" letters are kept at the front desk and are managed by the Office Assistant IV.
- d. Closed complaint files for prior federal fiscal years are in labeled boxes stored in the office and are managed by the Office Assistant IV.
- e. Files removed by any office staff from the closed file area or the open files area must have an Out Card filled out by the CSHO or Supervisor and placed in the location of the file that is being removed. When the file is returned to the Office Assistant IV, it is documented on the Out Card by the Office Assistant IV.

2. Charlotte.

- a. Open inspection files are kept by the CSHO in their individual work area.
- b. Contested files are kept by the CSHO in their individual work area.
- c. Collection files are kept in the file storage area marked clearly as Collections. Collection files are maintained by the Information Processing

Assistant who sends all required paperwork for the collection process to the Budget Division.

- d. Closed inspection files are stored alphabetically by federal fiscal year in the file storage area and maintained by the Information Processing Assistant.
- e. Complaint files (open and closed) are maintained by the Office Assistant.
- f. Closed complaint files are stored alphabetically by federal fiscal year in the closed files filing system. The Office Assistant is responsible for the closed complaint files.
- g. Files requested by any office staff from the file storage area must have an Out Card filled out by the employee removing the file. Files should only be removed from a file storage area by the Information Processing Assistant or any other admin staff in their absence. The Out Card is placed in the location of the file that is removed. The file is returned to the Information Processing Assistant who will log it back in and refile it.
- h. Payment plan files are kept in the file storage area and marked clearly Payment Plans. They will be maintained by the Information Processing Assistant. Once all violations have been abated and the only item that remains for the file to be closed are monies owed, the file will be given to the Information Processing Assistant to file and maintain.

3. **Raleigh.**

- a. Open inspection files are kept by the CSHO in their individual work area.
- b. Contested files are kept by the CSHO in their individual work area along with the copy/purple file.
- c. Collection file are maintained by the Processing Assistant III who sends all required paperwork for the collection process to the Budget Division. The file is then placed alphabetically in a filing cabinet maintained by the Processing Assistant III.
- d. Closed inspection files are maintained alphabetically in the Lektriever by the Office Assistant III.
- e. Complaint files are filed by federal fiscal year and maintained by the Processing Assistant III.
- f. Files should only be removed from a file storage area (closed, collections, complaints, referrals, etc.) by the Office Assistant III, or any other admin staff in her absence, and an Out Card must be completed. The Out Card is completed by the admin staff pulling the file and the person's name requesting the file is noted on the Out Card and then placed in the location of the file that is removed. When the file is returned, the employee should give the file to the Office Assistant III or other admin staff to be filed back in the proper area and the Out Card should be updated appropriately.

4. **Wilmington.**

- a. Open inspection files are maintained by the CSHO in a designated lateral file cabinet in the file room in alphabetical order with all files that are currently open (mixed years).
- b. Contested files are maintained in a designated lateral file cabinet in the file room in alphabetical order and the copy/purple folder is kept in the CSHO's designated work area.
- c. Collection files are kept in the CSHO's designated file cabinet and filed alphabetically by the year that the file goes to collections for write off. These files are separate from other files.
- d. Closed inspection files are kept in a lateral file cabinet in the file room in alphabetical order by year. The Office Assistant IV maintains these files.
- e. Open complaint files are kept at the Office Assistant's desk until closed.
- f. Closed complaint files are kept in lateral files in the file room and filed in alphabetical order by federal fiscal year. The Office Assistant IV maintains these files.
- g. Files should only be removed from a file storage area (closed, collections, complaints, referrals, etc.) by the Office Assistant IV and an Out Card must be completed. The Out Card is completed by the admin staff pulling the file and the person's name requesting the file is noted on the Out Card and then placed in the location of the file that is removed. When the file is returned, the employee should give the file to the Office Assistant IV or other admin staff to be file back in the proper area and the Out Card should be updated appropriately.

5. **Winston-Salem.**

- a. Open inspection files and contested files are kept by the CSHO in their individual work areas.
- b. Collection files: The Office Assistant III maintains these files and sends all required paperwork for the collection process to the Budget Division. The file is then placed alphabetically in a filing cabinet maintained by the Office Assistant III.
- c. Closed inspection files are stored alphabetically by federal fiscal year in the filing system and are maintained by the Office Assistant III.
- d. Complaint files are maintained in the open lateral file cabinet in the Office Assistant's area by district supervisor.
- e. Closed complaint files are stored alphabetically by federal fiscal year in the main filing system area in the back and managed by the Office Assistant III.
- f. Files removed by any office staff from the closed file area maintained by the Office Assistant III must have an Out Card filled out by the employee who removes the file. The Out Card is placed in the location of the file that is being removed. The file is returned to the Office Assistant III who documents it on the Out Card and files it.

6. **Agricultural Safety and Health Bureau.**

- a. Open inspection files and contested files are stored alphabetically in lateral file cabinets for each CSHO in ASH area.
- b. Collection files are maintained by the Administrative Assistant who sends all required paperwork for the collection process to the Budget Division. The file is then placed alphabetically in a lateral file cabinet for each CSHO and maintained by the Administrative Assistant.
- c. Closed inspection files are stored alphabetically by federal fiscal year in lateral file cabinets and are maintained by the Administrative Assistant.
- d. Complaint files are maintained in the open lateral file cabinets and maintained by responsible staff.
- e. Closed complaint files are stored alphabetically by federal fiscal year in lateral file cabinets in ASH area and managed by the administrative staff.
- f. Files removed by any office staff from the closed file area are maintained by administrative staff and must have an Out Card filled out by the employee who removes the file. The Out Card is placed in the location of the file that is being removed. The file is returned to the administrative staff who documents it on the Out Card and files it.

C. **Responsible Staff.** The following table contains the responsible administrative staff in each field office.

Office Location	Admin Staff	Job Title	Phone Number
Asheville	Tena Clark	Office Assistant IV	828-299-8232
Charlotte	Yvonne Thomas	Information Processing Assistant I	704-665-6815
	Doris Gilliam	Office Assistant III	704-665-4341
Raleigh	Melinda Boyette	Information Processing Assistant I	919-779-8505
	Angela Woods	Office Assistant III	919-779-8570
	Anita Henderson	Processing Assistant III	919-779-8580
Raleigh - ASH	Trenda Smith Martina Gonzales	Office Assistant IV Administrative Assistant I	919-807-2931 919-807-2925
Wilmington	Judy Durham	Office Assistant IV	910-251-2678
Winston- Salem	Deidre Duncan	Information Processing Assistant I	336-776-4427
	Sherry Phillips	Office Assistant III	336-776-4428

- D. **Expiration.** This APN is effective on the date of signature. It will remain in effect until revised or canceled by the director.

Signed on Original
Jackie Spangler
Administrative Assistant II

Signed on Original
Allen McNeely
Director

February 18, 2016
Date of Signature