

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

**Raleigh, NC**

Administrative Information System

Administrative Procedure Notice 24A

**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:
  - i. Open files --top drawer, left side
  - ii. Contested files -- top drawer, center
  - iii. Collection files (budget) --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 stored alphabetically in an open file rotary cabinet that everyone has access to. The systems administrator is responsible for these files.

- b. Contested files are kept in a separate file cabinet and the systems administrator maintains these files.
- c. Collection files are kept in the open rotary file cabinet. The CSHO's are responsible for these files.
- d. Closed inspection files are stored alphabetically by federal fiscal year in the rotary cabinet filing system and maintained by the systems administrator.
- 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 removed by any office staff from the closed file area or the open files area must have an "Out Card" filled out by the employee removing the file. The Out Card is placed in the location of the file that is removed. The file is returned to the systems administrator who removes and initials the Out Card and replaces it with the file.

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.
- 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 removed by any office staff from the closed file area or the open files 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 removed. When the file is returned, the employee who removed the file must document it on the "Out Card" and return the file to the Lektriever.

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 kept in the CSHO's designated lateral file in alphabetical order.
- 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 IV 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 removed by any office staff from the closed file area or the open files area maintained by the office assistant IV must have an "Out Card" filled out by the employee removing file from the file room. The Out Card is placed in the location of the file that is removed. The file is returned to the office assistant IV who removes and initials the Out Card and replaces it with the file.

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 in ASH area.

- b. Collection files: The administrative assistant maintains these files and sends all required paperwork for the collection process to the Budget Division. The file is then placed alphabetically in a lateral filing cabinet and maintained by the administrative assistant.
- c. Closed inspection files are stored alphabetically by federal fiscal year in lateral file cabinet and are maintained by the administrative assistant.
- d. Complaint files are maintained in the open lateral file cabinet in ASH and maintained by the processing assistant IV.
- e. Closed complaint files are stored alphabetically by federal fiscal year in lateral file cabinet in ASH area and managed by the administrative assistant.
- f. Files removed by any office staff from the closed file area maintained by the office assistant IV 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 IV 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	Vicki Curlee	Systems Administrator	704-665-6815
	Doris Gilliam	Office Assistant III	704-665-4341
Raleigh	Melinda Boyette	Systems Administrator	919-779-8505
	Angela Woods	Office Assistant III	919-779-8570
	Anita Henderson	Processing Assistant III	919-779-8580
Raleigh - ASH	Trenda Smith	Office Assistant IV	919-807-2931
Wilmington	Judy Durham	Office Assistant IV	910-251-2678
Winston-Salem	Deidre Duncan	Systems Administrator	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

10/21/2013

Date of Signature