

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

Raleigh, NC

Administrative Information System

Administrative Procedure Notice 24C

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 administrative assistants (AA) processing assistants (PA), office assistants (OA) and information processing assistants (IPA). 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, complaint and referral investigation files.

On March 1, 2016 all field offices began the new paperless processing for all complaint and referral investigations. All processes for complaint and referral investigations in this APN reference original hard copies only prior to 03/01/2016. For paperless processing and further information on these changes, please see Chapter XVI in the FOM.

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 OA IV; they are separated by category and are filed alphabetically by the OA IV. The drawer is labeled according to the type of file in the drawer. Files are placed in the cabinet as follows:
 - i. Open inspection files top drawer, left side
 - ii. Contested files top drawer, center
 - iii. Collection files (budget) top drawer, right side
 - iiii. Closed inspection files bottom drawers
- b. Open complaint and referral investigation files are kept at the front desk and are managed by the OA IV.
- c. Closed complaint and referral investigation files for prior federal fiscal years are in labeled boxes stored in the office and are managed by the OA IV.
- d. 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 OA IV, it is documented on the "Out Card".

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 open rotary file cabinet and filed alphabetically by federal fiscal year. The CSHO's are responsible for these files. The OA III 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 rotary cabinet filing system and maintained by the IPA I.
- e. Complaint and referral investigation files (open and closed) are maintained by the OA III.
- f. Closed complaint and referral investigation files are stored alphabetically by federal fiscal year in the rotary file cabinet. The OA III is responsible for the closed complaint and referral 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 IPA I 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 along with the copy/purple file.
- c. Collection files are maintained by the PA 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 PA III.
- d. Closed inspection files are stored alphabetically in the Lektriever by the OA III and are filed by federal fiscal year.
- e. Complaint and referral investigation files (open and closed) are filed by federal fiscal year and maintained by the PA III.
- f. Files should only be removed from a file storage area (closed, collections, complaints, referrals, etc.) by the OA 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 entering the date, and the person's name requesting the file. The "Out Card" is then placed in the location of the file that is removed. When the file is returned, the employee should give the file to the OA 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 kept in the CSHO's designated lateral file in alphabetical order in the file room.
- c. Collection files are kept in the CSHO's designated file cabinet and filed alphabetically by the fiscal 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 federal fiscal year. The OA IV maintains these files.
- e. Open complaint and referral investigation files are kept and maintained by the OA IV in the file room in a lateral file until closed.
- f. Closed complaint and referral investigation files are kept in lateral files in the file room and filed in alphabetical order by federal fiscal year. The OA 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 OA 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 OA 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 OA III.
- c. Closed inspection files are stored alphabetically by federal fiscal year in the filing system and are maintained by the IPA I.
- d. Open complaint and referral investigation files are maintained by the OA III.
- e. Closed complaint and referral investigation files are stored alphabetically by federal fiscal year in the main filing system area in the back and managed by the OA III.
- f. Files should only be removed by the admin staff from the closed file area. The admin staff must have an "Out Card" filled out by the csho. The "Out

Card” should include the date, inspection #, name of company, and who the file is being checked out to. The “Out Card” is placed in the location of the file that is being removed. The file is returned to the IPA I 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 the ASH area.
- b. Collection files: The AA 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 AA.
- c. Closed inspection files are stored alphabetically by federal fiscal year in lateral file cabinet and are maintained by the AA and OA IV.
- d. Open complaint and referral investigation files are maintained in the open lateral file cabinet in ASH and maintained by the OA IV for each csho.
- e. Closed complaint and referral investigation files are stored alphabetically by federal fiscal year in lateral file cabinet in ASH area and managed by the AA and or OA IV.
- 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. Employee who removes file, returns file to cabinet and removes the “Out Card”.

- 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	Office Assistant IV	919-807-2931
Raleigh- ASH	Martina Gonzales	Administrative Assistant	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

APN 24C cont'd.

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

Jackie Spangler

Jackie Spangler
Administrative Assistant II

Allen McNeely
Director

Date of Signature