

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

Raleigh, NC

Administrative Information System

Administrative Procedure Notice 24D

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 specialist (AS) and administrative associates (AA). 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.

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 AS I; they are separated by category and are filed alphabetically by the AS I. 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
 - iv. Closed inspection files bottom drawers
- b. Closed complaint and referral investigation files prior to March 1, 2016 are in labeled boxes stored in the office and are managed by the AS I
- c. Paperless complaint and referral investigation files (open and closed) are maintained by the AS I in the Osha Express.
- 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 AS I, 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 AS I send's 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 AS I.
- e. Paperless complaint and referral investigation files (open and closed) are maintained by the AA II in the Osha Express.
- f. Closed complaint and referral investigation files prior to March 1, 2016 are stored alphabetically by federal fiscal year in the rotary file cabinet. The AA II 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 AS 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 AA II 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 AA II.
- d. Closed inspection files are stored alphabetically in the Lektriever by the AA II and are filed by federal fiscal year.
- e. Complaint and referral investigation files, prior to March 1, 2016 are filed by federal fiscal year and maintained by the AA II.
- f. Paperless complaint and referral investigation files (open and closed) are maintained by the AA II in the Osha Express.
- g. Files should only be removed from a file storage area (closed, collections, complaints, referrals, etc.) by the AA II, 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 AA II 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 AS I maintain these files.
- e. Closed complaint and referral investigation files prior to March 1, 2016 are kept in lateral files in the file room and filed in alphabetical order by federal fiscal year. The AS I maintain these files.
- f. Paperless complaint and referral investigation files (open and closed) are maintained by the AS I in the Osha Express
- g. Files removed by any office staff from the closed file area or the open files area maintained by the AS I 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 AS I 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 AA II maintains these files and sends all required paperwork for the collection process to the Financial Services Division. The file is then placed alphabetically in a filing cabinet maintained by the AA II.
- c. Closed inspection files are stored alphabetically by federal fiscal year in the filing system and are maintained by the AS I.
- d. Paperless complaint and referral investigation files (open and closed) are maintained by the AA II in the Osha Express.
- e. Closed complaint and referral investigation files prior to March 1, 2016 are stored alphabetically by federal fiscal year in the main filing system area in the back and managed by the AA II.
- 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 AS 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. Open inspections and contested files are maintained by the CSHO.
- b. Collection files: The AA II 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 II.
- c. Closed inspection files are stored alphabetically by federal fiscal year in lateral file cabinets and are maintained by the AA II and AS I.

- d. Open complaint and referral investigation files are maintained in a lateral file cabinet in ASH and maintained by the AS I for each CSHO.
- e. Closed complaint and referral investigation files are stored alphabetically by federal fiscal year in a lateral file cabinet in the ASH area and managed by the AA II and AS I.
- f. Paperless complaint and referral investigation files (open and closed) are maintained by the AA II in the Osha Express
- g. 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	Administrative Specialist I	828-299-8232
Charlotte	Yvonne Thomas	Administrative Specialist I	704-665-6815
	Doris Gilliam	Administrative Associate II	704-665-4341
Raleigh	Denise McIntosh	Administrative Specialist I	919-779-8505
	Angela Woods	Administrative Associate II	919-779-8570
	Caitlin Wood	Administrative Associate II	919-779-8580
Raleigh ASH	Carla Cuevas	Administrative Specialist I	919-707-7812
Raleigh ASH	Martina Gonzales	Administrative Specialist II	919-707-7811
Wilmington	Judy Durham	Administrative Specialist I	910-251-2678
Winston- Salem	Deidre Duncan	Administrative Specialist I	336-776-4427
	Sherry Phillips	Administrative Associate II	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.

Jackie Spangler
 Jackie Spangler
 Program Coordinator

Signed on Original
 Kevin Beauregard
 Director

10/9/2018
 Date of Signature