

North Carolina Department of Labor
Occupational Safety and Health Division
Bureau of Compliance

Field Operations Manual
Definitions



Definitions

Action Request - A form used to define an observed or potential problem, opportunity for improvement, complaint, or other nonconformity and provide the control mechanism for resolution.

Action Request Log – A log of all action requests received and the status of the action request. The bureau documentation coordinator maintains this log.

Administrative Support Staff (admin staff) – Refers to the district office administrative staff.

Bureau documentation coordinator - Individual assigned the responsibility for the managing documents affecting the quality system.

Case File - A group of forms, information, and completed documents prepared by the CSHO as a result of a compliance inspection.

Case File Summary - A tracking form used to note dates and activities related to the inspection case file.

Citation or Settlement Authorization Form – A form used to obtain approval on significant cases (bureau chief, assistant director and/or director approval, as required by APN 16).

Complaint Desk - The complaint desk is staffed by CSHOs and is the central intake point for OSH complaints. The complaint desk is staffed by complaint intake officers.

Compliance Officer (CSHO) – A safety, health or ASH compliance officer.

Complaint – Refers to an alleged workplace safety or health hazard (s) brought to the attention of an OSH Division by an employee, an employee representative or other non-referral source. Formal and non-formal complaints are identified in the FOM.

Controlled Document- A document reflecting accurate and up to date information so that current policies are utilized by employees

Corrective action - An action that remedies or eliminates errors or mistakes. This action also includes addressing the cause of the problem and confirming that a solution is found. Corrective action is a proactive approach that does not always wait for an internal assessment or external audit to uncover errors or mistakes.

Customer Complaint Log - A document used to record a complaint received from the customer and any action taken in response to that complaint.

District Supervisor – A supervisor managing a geographical district that is staffed by CSHOs.

Employee Development Plan - A written plan developed by a supervisor and an employee to further develop the employee's skills during an upcoming evaluation cycle.

Ergonomics Record Review Checklist – This form is used during ergonomics inspections.

Ergonomics Letter to Employer – This letter is issued by the district supervisor after an ergonomics inspection.

Federal Fiscal Year (FFY) - A year measured from October 1st to September 30th (i.e. October 1, 2013 to September 30, 2014 is one federal fiscal year—FFY 2014).

Field Information System (FIS) - The FIS is a dynamic series of documents that provides information, policies and guidance to the OSH Division staff in the conduct of their daily work. The documents may be developed by the OSH Division or they may be federal OSHA documents adopted for application to North Carolina workplaces. The FIS includes procedures that OSH Division compliance programs must follow and is maintained electronically as part of the One Stop Shop.

Field Operations Manual (FOM) - Refers to the compliance Field Operations Manual, which is an electronically maintained document that is part of the FIS. It defines the activities and procedures that OSH Division employees are expected to follow.

Final Order – The point when a case file is finalized which is determined by one of the following: fifteen working days after the employer has received citations and failed to request an informal conference or contest, an informal settlement agreement is signed, fifteen working days after receipt of informal conference results and an employer has failed to contest, or having all contested items resolved through a formal hearing process.

Green Card – The card received from the U.S. Postal Service verifying delivery of certified mail, such as citations or letters.

Hazard Alert Letter – A hazard alert letter is sent to the employer as required by certain OSH policies/documents to address hazards and make recommendations for correction (such as National Emphasis Programs).

Informal Conference (IFC) - A meeting held between the OSH Division, an employer (and possibly employee representatives) after citations have been issued, to discuss pertinent inspection issues.

Informal Conference Notes Form – This form will be used to record the details of informal conferences.

Informal Settlement Agreement (ISA) - An agreement between the OSH Division and the employer reached after citations are issued and prior to contestment (usually reached during an informal conference).

Integrated Management Information Systems (IMIS) manual - The federal OSHA forms documentation manual.

Medical Record - For purposes of this procedure, medical record means a record concerning the health status of an employee which is made or maintained by the employer, a physician, nurse, or health care personnel, or technician, including: (1) medical and employment questionnaires or histories (including job description and occupational exposures); (2) the results of medical examinations (pre-employment, pre-assignment, periodic, or episodic) and laboratory tests (including chest and other x-ray examinations taken for the purposes of establishing a baseline or detecting occupational illness, and all biological monitoring not defined as an “employee exposure record” per 29 CFR 1910.1020); (3) medical opinions, diagnoses, progress notes, and recommendations; (4) first aid records; (5) description of treatments and prescriptions; (6) employee medical complaints, (7) EMS reports, and (8) Photographs or videos of autopsies.

Medical Records Administrator - The OSH employee at each field location designated to maintain a log of uses and transfers of all medical records for each applicable file.

Medical Records Coordinator - The OSH employee designated to ensure that the security procedures are being followed at each field location and to provide assistance and information regarding the rules to the Medical Records Administrators.

Medical Records Chain of Custody Form – The form the CSHO will complete and maintain as a part of their case file that tracks all activity related to medical records received for a specific employee.

Multi-employer Inspection Medical Records Retention Request Form – This form will be used to assure that medical records related to multiple case files are retained until all associated case-files are closed.

NCDOL A/R Deferred Revenue Process Flow Chart - This flow chart details the process, timelines, and key personnel responsible for handling penalty collections for OSH/ASH compliance inspections.

NCR System - NCR is an acronym for “National Cash Register”, which was the manufacturer of the federal computer system used by compliance officers for recording compliance activities and writing reports.

No Change Letter (NCL) - A letter issued by the district supervisor after an informal conference indicating no changes are warranted in the citation package.

Operational Procedure Notice (OPN) – Refers to an operating procedure related to a specific standard/topic. OPN’s are part of the FIS.

OPN 64 – Training plan that has been established for all compliance officers in training.

OSHA 1 - Inspection Activity Form. The form prepared for every compliance inspection that provides information on the employer, type of inspection and CSHO conducting inspection. Specific information can be found in the FOM and IMIS manuals.

OSHA-1B – A form utilized to record information related to a violation of OSH Division standards.

OSHA-7 – A complaint intake form used for gathering information from complainants.

OSHA-36 – The intake form for gathering information on fatalities, catastrophes, and accidents.

OSHA-90 - The intake form for gathering information from a referral source.

OSHA-91A - Air Sampling Report. This form is used in case file to record air-sampling data.

OSHA-92 - Noise Survey Report. This form is used in a case file to record noise measurement data.

OSHA-93 - Direct Reading Report. This form is used in a case file to record data from direct reading instruments.

OSHA-98 – A form used to record data from screening activities.

OSH/ASH Debt Collection Checklist – This checklist is used to notify the NCDOL Budget Division of companies that have not paid their penalties and to provide the Budget Division with information needed to pursue collection and other legal action.

OSH/ASH Penalty Collection Process – This flow chart details the process, timelines, and key personnel responsible for handling penalty collections for OSH/ASH compliance.

OSH/ASH Write-off Spreadsheet– This spreadsheet is used to notify the Budget Division of penalty reductions or write-offs.

OSH Division - The North Carolina Department of Labor, Occupational Safety and Health Division.

Payment Submission Spreadsheet – This spreadsheet is used daily to send any payments received in a field office to the Budget Division for deposit.

Position Descriptions – Written descriptions of the requirements and expected activity for each of the OSH compliance positions.

Preventive action - A review of operation(s) with information from management reviews, quality records, audit reports, action requests or customer complaints. The intention is to use analysis of data or root causes to prevent future non-conformities in written or unwritten practices or written procedures within the bureau's quality management system.

Processing Assistant – Administrative support position in the field office.

Records Retention and Disposition Schedule for the OSH Division - This is a written schedule for retention periods developed by the OSH Division and the North Carolina Department of Cultural Resources, Office of Archive and History, Division of Archives and Records, in accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina.

State Fiscal Year - A year measured from July 1st to June 30th (i.e. July 1, 2013 to June 30, 2014 is one state fiscal year—FY 2014).

State Plan Coordinator - an individual that reports directly to the OSH Director and who is responsible for coordinating State Plan activity with federal OSHA. The state plan coordinator conducts internal audits consistent with the state plan monitoring process and quality procedures.

Work Plan - A written plan developed by supervisors and employees combining what an employee will accomplish with the skills used to reach those results.