

**VOSH PROGRAM DIRECTIVE:** 14-035

**ISSUED:** 03 June 2014

**SUBJECT:** National Emphasis Program – Site-Specific Targeting

**Purpose** This Directive transmits to field personnel policies and procedures for implementing VOSH’s National Emphasis Program for *Site-Specific Targeting 2012 (SST)* inspection plan. **This National Emphasis Program does not include construction worksites.**

*This Program Directive is an internal guideline, not a statutory or regulatory rule, and is intended to provide instructions to VOSH personnel regarding internal operation of the Virginia Occupational Safety and Health Program and is solely for the benefit of the program. This document is not subject to the Virginia Register Act or the Administrative Process Act; it does not have general application and is not being enforced as having the force of law.*

**Scope** This Directive applies VOSH-wide.

**Reference** OSHA Instruction 13-01 (CPL 02) (04 January 2013); Occupational Safety and Health provisions of Title 40.1 of the Code of Virginia; and 29 CFR Part 1908, Consultation Agreements

**Cancellation** VOSH Program Directive 02-035 (15 March 2014)

**Effective Date** 03 June 2014

**Action** Directors shall ensure that procedures established in this Directive are adhered to for implementing the Site Specific Targeting inspection plan.

C. Ray Davenport  
Commissioner

Distribution: Commissioner of Labor and Industry  
Assistant Commissioner  
VOSH Directors and Managers  
Legal Support & IMIS Support Staffs

Cooperative Programs Manager  
VOSH Compliance & Cooperative Programs Staffs  
OSHA Region III & Norfolk Area Offices

When the guidelines, as set forth in this Program Directive, are applied to the Department of Labor and Industry and/or to Virginia employers, the following federal terms if, and where they are used, shall be considered to read as below:

<u>Federal Terms</u>	<u>VOSH Equivalent</u>
OSHA	VOSH
Federal Agency	State Agency
Agency	Department
Regional Administrator	Assistant Commissioner
Area Director	Regional Director VOSH Program Director
Area Office/Regional Office	Regional Office
Regional Solicitor	Attorney General or VOSH Office of Legal Support (OLS)
Office of Statistics	VOSH Research and Analysis
29 CFR	VOSH Standard
Compliance Safety and Health Officer (CSHO) and/or Industrial Hygienist	CSHO

**OSHA Directives:**

*CPL 02-00-025, Scheduling System for Programmed Inspections (01/04/95)*

*CPL 02-00-150, OSHA Field Operations Manual (FOM) (4/22/11)*

*CPL 02-00-051, Enforcement and Limitations Under the Appropriations Act (05/28/98)*

*CPL 03-00-016, National Emphasis Program Nursing and Residential Care Facilities (06/1/13)*

*CPL 02-00-135, Recordkeeping Policies and Procedures Manual (RKM) (12/30/04)*

*CPL 02-00-149, Severe Violator Enforcement Program (SVEP) (06/18/10)*

*CPL 02-02-045, Process Safety Management of Highly Hazardous Chemicals – Compliance and Enforcement Procedures (09/13/94)*

*CPL 10-05 (CPL 02), PSM Covered Chemical Facilities National Emphasis Program (04/08/10)*

*CSP 02-00-002, Consultation Policies and Procedures Manual (01/18/08)*

**VOSH Program Directives:**

*02-051A, Scheduling System for Programmed Inspections (02/22/90) or its successor*

*02-001G, VOSH Field Operation Manual (FOM) (10//01/13) or its successor*

*02-003M, VOSH Procedures to Comply with OSHA Enforcement Exemptions and Limitations Under the Federal Appropriations Act (06/01/13) or its successor*

*02-106, Nursing and Residential Care Facilities, Inspection Procedures (06/01/13) or its successor*

*09-104, Recordkeeping Policies and Procedures Manual (RKM)( 08/01/12) or its successor*

*02-024A, Severe Violator Enforcement Program (SVEP) (09/01/13) or its successor*

*02-054A, Process Safety Management of Highly Hazardous Chemicals – Compliance Guidance and Enforcement Procedures (08/01/99) or its successor*

*14-411, Process Safety Management (PSM) Covered Chemical Facilities National Emphasis (NEP) (08/01/12) or its successor*

*03-001B, VOSH Consultation Policies and Procedures Manual (10/01/08) or its successor*

## I. Background of VOSH's Programmed Inspection Programs

VOSH's National Emphasis Program for Site-Specific Targeting (SST) is a programmed inspection plan for non-construction industry workplaces that have 20 or more employees. The SST plan is based on the data received from the prior year's OSHA Data Initiative (ODI) survey. The ODI survey and the SST program help VOSH achieve its goal of reducing the number of injuries and illnesses that occur at individual workplaces by directing enforcement resources to specific workplaces where the highest rate of injuries and illness have occurred.

In addition, VOSH implements both national and local "emphasis" inspection programs to target high-risk hazards and industries. VOSH currently has eleven (11) other National Emphasis Programs (NEPs) focusing on amputations, lead, crystalline silica, primary metals, trenching/excavations, process safety management covered chemical facilities, hexavalent chromium, combustible dust, diacetyl, isocyanates, and injury and illness recordkeeping.

VOSH also currently has ten Local Emphasis Programs (LEPs) focusing on first reports of injuries and illnesses, fall hazards, scaffolding, public workshops, logging and sawmills, reverse signal operation and heavy equipment generally, overhead high voltage line safety, tree trimming operations, asbestos, and public sector wastewater treatment facilities.

## II. Summary

### A. Development of the SST Inspection Lists.

Through the application of industry and establishment-size criteria, VOSH focuses its data collection on establishments that have experienced and/or are most likely to be experiencing elevated rates and numbers of occupational injuries and illnesses. Specifically, VOSH collects injury and illness data through the ODI survey from larger establishments (20 or more employees) in historically high-rate industries. This is a multi-year process. For example, the **2011** injury and illness data that was collected by the **2012** ODI is used in the **2012** inspection SST program. Refer to Appendix A of this Directive for the list of industries upon which the **2012** ODI survey was focused.

***NOTE: Use of the SST inspection List will continue until all high rate establishments on the list have been inspected or otherwise eliminated from inspections. The national average DART rate for private industry in 2011 was 3.5. Although the VOSH Program generally considers any DART rate above 3.5 to indicate a potentially hazardous worksite, for purposes of this NEP, high rate establishments are defined as having a DART rate of 7.0 or higher.***

**B. Standard Industrial Classification (SIC) and North American Industry Classification System (NAICS) Codes.**

- The SIC codes as well as the NAICS codes are referenced in this Directive. Eventually the NAICS codes will replace the obsolete SIC codes, but during the years of the transition, one or the other, and sometimes both, will be used.
- Beginning with calendar year 2003, injury and illness data published by the Bureau of Labor Statistics (BLS) uses the NAICS codes. BLS data referenced in this Directive use NAICS codes.
- Coverage of VOSH's injury and illness recordkeeping rule is defined by SIC in 16VAC25-85-1904.2. In turn, the ODI survey is based on the coverage of the recordkeeping rule. This is why Appendix A of this Directive uses SIC codes. Until VOSH amends the coverage of its recordkeeping rule to reflect data published under the NAICS coding system, this Directive will use both the NAICS and SIC codes.

Whenever possible, OSHA's Office of Statistical Analysis (OSA) will provide VOSH with both the SIC and NAICS codes for individual establishments for inspection under this NEP.

**C. Definitions**

**"Comprehensive Inspection"**.

A comprehensive inspection is a substantially complete and thorough inspection of all potentially hazardous areas of the establishment. An inspection may be deemed comprehensive even though, as a result of the exercise of professional judgment, not all potentially hazardous conditions or practices within those areas are inspected. See VOSH FOM.

**"OSHA Data Initiative (ODI)"**.

The ODI is a statewide collection of establishment-specific injury and illness data that collects data from establishments by using the "OSHA Work-Related Injury and Illness Data Collection Form."

**"Days Away, Restricted, or Transferred (DART) Rate"**.

The DART rate includes cases involving days away from work, restricted work activity, and transfers to another job. It is calculated based on  $(N \div EH) \times (200,000)$  where N is the number of cases involving days away and/or restricted work activity, and/or job transfers; EH is the total number of hours worked by all employees during the calendar year; and

200,000 is the base number of hours worked for 100 full-time equivalent employees.

For example: *Employees of an establishment, including management, temporary, and leased employees, worked 645,089 hours at the workplace. There were 22 injury and illness cases involving days away and/or restricted work activity and/or job transfer from the OSHA-300 Log (total of column H plus column I). The DART rate would be  $(22 \div 645,089) \times (200,000) = 6.8$ .*

“Days Away from Work Injury and Illness (DAFWII) Case Rate”.

The DAFWII case rate is the number of cases that involve days away from work per 100 full-time equivalent employees. Cases that involve only temporary transfers to another job or restricted work are not included. It is calculated based on  $(N \div EH) \times (200,000)$  where N is the number of cases involving days away from work; EH is the total number of hours worked by all employees during the calendar year; and 200,000 is the base number of hours worked for 100 full-time equivalent employees. **NOTE: The DART and DAFWII rates are differentiated by the makeup of N in the calculation formula. For the DAFWII rate, N is equal to the total of Column H from the OSHA-300 Log.**

For example, from the OSHA-300 Log: *Employees of an establishment, including management, temporary, and leased employees, worked 452,680 hours at the workplace. There were 25 injury and illness cases involving days away from work from the OSHA-300 Log (total of column H). The DAFWII case rate would be  $(25 \div 452,680) \times (200,000) = 11.0$ .*

“Establishment”.

An establishment is a single physical location where business is conducted or where services or industrial operations are performed. For activities where employees do not work at a single physical location, such as transportation, communications, electric, gas, sanitary services, and similar operations, the establishment is represented by main or branch offices, terminals, stations, etc., that either supervise such activities or are the base from which personnel carry out these activities. For a more detailed definition of “Establishment,” see 16VAC25-85-1904.46 and Chapter 2, paragraph VII.B of VOSH PD 09-104, *Recordkeeping Policies and Procedures Manual* (08/01/12). **For purposes of this Directive, the term “Establishment” does not include construction worksites.**

**D. Description of the Site-Specific Targeting 2012 (SST) Plan.**

1. Primary Inspection List.

Selection of primary list establishments for VOSH will be based on CY 2010 establishment specific injury and illness rates. The primary inspection list includes all establishments with a DART rate at or above 7.0, which are considered high rate establishments.

2. Nursing and Personal Care Facilities.

Programmed inspections of Nursing and Personal Care establishments will be conducted under VOSH Directive 02-106, Nursing and Residential Care Facilities, Inspection Procedures (June 1, 2013).

3. Industries without Permanent Workplaces.

For industries like SIC 0783, Ornamental Shrub and Tree Services, which do not have permanent workplaces, the establishment list will normally, only identify the employer's central office. The Regional Office will, so far as possible, determine, e.g., by visiting the central office, which worksites are available based on the type of work scheduled for each worksite and the length of time remaining to complete the work, and then choose one worksite to inspect by using a random number table. This will apply to such establishments on all SST inspection lists.

4. Establishments with Fewer than 20 Employees

If an establishment to be inspected under the SST-12 plan has fewer than 20 employees at the time the CSHO arrives on site to begin the inspection, the inspection will still be conducted, provided that the establishment has more than 10 employees **and** either its calculated DART rate or DAFWII case rate is at or above twice the private sector 2010 national incidence rates (that is, DART = **3.6**; DAFWII = **2.2**), or records are not available. See paragraph II.G.8, for more details on calculating DART and DAFWII rates. Also, inspect if the establishment has over 11 employees and is on the high-hazard inspection list. If, however, the establishment has had 10 or fewer employees at all times during the previous twelve months at the time of the inspection, the CSHO will not conduct an SST inspection.

5. Different SIC/NAICS Codes.

If an establishment on any of the inspection lists is found to have a SIC code not on the ODI SIC code list (Appendix A), proceed with the inspection if the establishment has a calculated DART rate or DAFWII case rate at or above twice the private sector 2010 national incidence rates (that is, DART = **3.6**; DAFWII = **2.2**). Enter the correct NAICS code on the VOSH-1. If injury and illness records are not available, proceed with the inspection unless the establishment's correct SIC/NAICS code exempts the establishment from recordkeeping. If the establishment is exempt from recordkeeping, do not conduct an inspection.

6. Different Address than on ODI Data Sheet.

- The ODI data sheet may show an address for an establishment that does not match the named establishment in a Regional Office's jurisdiction. The ODI address may be that of the employer's administrative office or some other facility with a different economic activity, or even the home address of the person completing the ODI survey.
- This may also occur when the establishment changes physical location - moves across the street or to the neighboring town - after it has submitted its ODI data.
- Whenever the address on the ODI data sheet differs from that of the establishment in the Regional Office's jurisdictional area, it must be checked to determine that the ODI survey data relates to the same establishment. If injury and illness data from the ODI data sheet pertains to the establishment site in the Regional Office's jurisdiction, then it will be inspected.
- See also VOSH Program Directive 02-050A, General Schedule Inspection Errors: Guidance for Inspection of Establishments (12/15/13)
- If such an address discrepancy is found, then the OSA must be informed (contact Dave Schmidt by e-mail or at 202/693-1886) so that its records can be corrected. OSA will also transfer the establishment to the proper Regional Office's inspection list, if appropriate. Field personnel should report any discrepancies to Headquarters which will, in turn, report the discrepancies to Mr. Schmidt at OSA.

7. Two or More Establishments in ODI Data.

a. General.

Whenever injury and illness data for two or more establishments at the same physical location of the same employer are included in the same ODI data sheet, and the employer is unable to separate the establishment-specific injury and illness data for each establishment within a reasonable amount of time, an inspection of both of the establishments will be conducted.

b. Selecting Establishments.

- If the employer is able to separate the establishment-specific injury and illness data for each of its establishments within a reasonable amount of time, an inspection of one or more of the establishments will be conducted, **if** the establishment's DART rate is at or above **3.6**, **or** the DAFWII case rate is at or above **2.2**.
- The establishment(s) selected for inspection will be based on their rate; the highest rate establishments will be inspected first.
- If more than one establishment is inspected, a VOSH-1 will be opened for each inspection.

c. Recordkeeping Rule.

- The recordkeeping regulation at §1904.40(a) states that once a request is made, an employer must provide the required recordkeeping records within four (4) business hours.
- Although the employer has four (4) hours to provide recordkeeping records, there is no requirement that compliance officers must wait until the records are provided before beginning the walkaround portion of the inspection. As soon as the opening conference is completed, the compliance officer(s) are to begin the walkaround portion of the inspection. *See VOSH FOM.*

d. Contact Office of Statistical Analysis (OSA)

If any of the establishments are not within the Regional/Branch Office's jurisdiction, contact the Division of Legal Support, VPP and BLS so the establishment(s) can be moved to the correct Regional/Branch Office's inspection list. If one of the establishments is an Office-Only site, see paragraph II.D.8., below.

8. Office-Only Sites.

The SST is not intended to include establishments that are only offices. Therefore, if a CSHO arrives at an establishment and discovers that there is only an office at the site, the CSHO should attempt to determine for what site or sites the ODI survey data was entered.

If the ODI data includes data for a site or sites in addition to an office, then an inspection of that site, at least one of several sites, will be conducted if it is within the Regional/Branch Office's jurisdiction. If the site(s) is not within the Regional/Branch Office's jurisdiction, contact the Division of Legal Support, VPP and BLS so the establishment can be moved to the correct Regional/Branch Office's inspection list.

OSA must also be contacted if an Office-Only site is found or if the Office site data includes data from other site(s) (see paragraph II.D.6., above). This is necessary so that the site can be removed from, or updated on, future ODI surveys. The OSA is also available to assist with any ODI data survey issues that may arise.

***NOTE: Recordkeeping rule 16VAC25-85-1904.30 requires an employer to keep a separate OSHA-300 Log for each establishment that is expected to be in operation for one year or longer.***

#### **E. Scheduling.**

The VOSH Safety Director will provide each Regional/Branch Office with access to software and databases containing the establishments on the Primary Inspection List of high rate establishments for its coverage area.

##### **1. Maintaining Inspection Lists/Cycles and Documentation.**

The Regional Safety/Health Director is responsible for maintaining documentation necessary to demonstrate that the SST inspections have been properly utilized in accordance with the requirements of this Directive, including adequate documentation on all deletions, deferrals or other modifications (modifications such as rationale for inspections to be expanded to cover health hazards based either (a) on the prior inspection history of the establishment, or (b) on current knowledge concerning the industry in which an establishment is classified). All such inspection lists and documentation must be maintained in the Regional Office for a period of three (3) years after all the inspections conducted under this SST plan are closed.

##### **2. Scheduling Inspections.**

Primary inspection lists are sorted in descending order by DART rate, and will generally be assigned and inspected in descending order, with the exception that an establishment may be chosen out of order to assure efficient use of inspection resources. For instance, a high rate establishment may be assigned out of order where, due to lengthy travel to the site is involved, multiple types of inspections

(e.g., a complaint inspection and a high rate establishment inspection in the same travel area) may be assigned to the same CSHO. All of the establishments in a Regional/Branch Office list must be inspected (that is, the inspection must be initiated) before any establishments in any future SST list may be inspected, unless the work site is deleted or deferred in accordance with this Directive. In addition, any list begun but not yet completed by the expiration date of this Directive must be completed, even if the inspections for the remaining establishments in the list are initiated after the expiration date.

3. Deferrals.

a. OSHA On-Site Consultation Program.

Deferrals on the SST inspection list will be handled in the same manner as other general schedule planned inspections, refer to VOSH FOM, Chapter 3.H.

b. VPP Applicant.

When the Regional Safety/Health Director receives notification from the VPP Manager that a VPP on-site review has been scheduled, the applicant will be removed from any programmed inspection list for the duration of VPP participation, unless the site chooses otherwise (see paragraph II.F.3., *Deletions - VPP or SHARP*).

c. Pre-SHARP.

If an establishment is in pre-SHARP status, that is, in the process of meeting the criteria of the VOSH Consultation Safety and Health Achievement Recognition Program (SHARP), the inspection may be deferred for up to 18 months while the employer is working to achieve recognition and exemption status. See 29 CFR 1908.7(b)(4)(i)(A) and *VOSH PD 03-001B, Consultation Policies and Procedures Manual (10/01/08), or its successor*.

4. Inspection Priority.

Normally, the first inspection priority for Regional/Branch Offices is to conduct unprogrammed inspections, and the inspection priorities as described in the VOSH FOM will be followed with the following additional procedures:

- a. Sites will be selected from the SST inspection list and the VOSH General Schedule to maximize efficient use of inspection resources.

- b. All establishments on the SST-12 Primary Inspection List will be inspected, unless the work site is deleted or deferred in accordance with this directive.
- c. Regional/Branch Offices will continue to conduct other programmed inspections under national and local emphasis programs, as the Regional goals dictate.

**F. Deletions.**

Regional Offices will be responsible for making appropriate deletions, as stated below, from the inspection list. In addition, deletions will also include those establishments, such as those no longer in business.

Deletion criteria for Previous Inspections, Public Sector Employers, VPP, or SHARP establishments may be applied to establishments either prior to creating the list or after the list is created.

1. Previous Inspections.

Establishments will be deleted from the inspection list if, within 36 months of the creation of the current inspection cycle, one of the following conditions is met:

- Establishment received a comprehensive safety inspection;
- Establishment qualified for a “records only” inspection; or

The SST software keeps track of the opening conference date entered for establishments that are deleted because of prior comprehensive inspections within the last 36 months. Once the 36-month period passes, the software will make that establishment available again for selection.

For deletion purposes, the date when an establishment received a comprehensive safety inspection will be the opening conference date, not the closing conference date or the citation issuance date. For example, if the opening conference date occurred within the previous 36 months of the creation of the current inspection cycle, the establishment will be deleted from the list for SST-12 inspections.

If the inspection is a “joint inspection,” conducted by both a safety CSHO and a health CSHO, there will be two VOSH-1s. The two CSHOs may hold joint or separate opening conferences. Therefore, there may be one opening date for the safety inspection and a different opening date for the health inspection for the same employer under the same SST inspection plan. If the inspection is con-

ducted by a cross-trained CSHO, there will be one VOSH-1 and one opening conference date.

2. Public Sector Employers.

If any public sector employers, i.e., State or local government, appear on the inspection list, they are to be inspected.

3. VPP or SHARP.

a. If an establishment is an approved participant in VPP, it is to be deleted from the inspection lists.

b. If the establishment is in SHARP, it is to be deleted from VOSH's SST inspection lists for a period established by the Director of Cooperative Programs. See paragraph IV.H.2. of Chapter 7 of VOSH PD 03-001B, *Consultation Policies and Procedures Manual* (10/01/08).

If the CSHO discovers that the establishment to be inspected is an On-Site Consultation SHARP site and, therefore, may qualify for deletion, exit the worksite without conducting an inspection if the deletion period has not already expired. If the deletion period has expired, the CSHO may proceed with the inspection.

4. Office-Only.

See above as to when an establishment is to be deleted if the establishment injury and illness data is only for an office.

G. Inspection Procedures.

1. Scope.

a. Inspections under SST-12.

Inspections conducted under this plan will be comprehensive safety inspections.

b. Health inspections under this plan will be limited to:

(i) CSHO referrals (i.e., when a CSHO on site sees a potential health hazard); or

- (ii) Inspections expanded by the Regional Safety Director based on prior inspection history of the employer. See VOSH FOM.
- (iii) Inspections in nursing and residential care facilities covered by VOSH Program Directive 02-106, Nursing and Residential Care Facilities, Inspection Procedures.

***NOTE: The above health inspections conducted in accordance with this Directive are also to be coded as an SST-12 inspection. See Recording and Tracking: Database Entry Coding, paragraph II.I, below.***

2. Health Inspections.

When a Regional Safety Director orders an SST inspection to be expanded to cover health hazards at a particular establishment based on the prior inspection history of the employer, the Regional Safety Director must fully explain and document the rationale for the expanded inspection (*see VOSH FOM*).

Inspections will be conducted in accordance with the procedures described in the VOSH FOM, and in other pertinent OSHA policy and procedure documents.

Documentation is necessary to describe the rationale for expanding the SST inspection to include health hazards/issues. This is to ensure that the expansion was based on objective and neutral criteria.

Documentation specific to a particular case file is to be maintained in the case file, i.e., on the VOSH-1 narrative or as a separate memorandum. Since this documentation also describes a modification to the SST inspection scope, it must also be maintained along with the inspection lists. (*See paragraph II.E.1., Maintaining Inspection Lists/Cycles and Documentation, above.*)

3. Both Safety and Health Inspection Conducted.

If both a safety and health inspection are conducted, such inspections may be conducted either as one combined safety and health inspection by a cross-trained CSHO (as established through specific training or demonstrated ability), or as separate safety and health inspections, or as joint safety and health inspections

When an SST inspection is assigned to a cross-trained Industrial Hygienist (IH), the inspection (comprehensive safety) is counted as a health inspection. If the crossed-trained IH is asked by the Regional Safety Director to do a health inspection at an SST site, the inspection is also counted as a health inspection. In addition, if the cross-trained IH does both a combined safety and health inspection at an SST site, it is counted as a health inspection because IMIS/OIS can only count an inspection as either "Health" or "Safety," but not both.

4. Verify SIC/NAICS Codes.

At the opening conference, verify the establishment's SIC/NAICS code. As needed, establish what activities occur at the workplace before determining the appropriate SIC/NAICS code. (See paragraph II.D.5., *Different SIC/NAICS Codes.*)

5. Citations.

Violations will be cited and penalties proposed in accordance with the VOSH FOM, and other pertinent policy and procedure documents.

6. Compliance Officers.

For a checklist of items that compliance officers (CSHOs) need to accomplish on SST inspections, refer to Appendix B.

7. Ownership.

a. Under New Ownership for Less than Six (6) Months.

If the establishment has changed ownership after December 31, 2010, and has been under new ownership for less than six (6) months, go to paragraph II.G.8., *Calculate DART and DAFWII*. If the CSHO is unable to calculate the DART or DAFWII rates because the new owner does not have records from the previous owner, continue with the inspection.

b. Under New Ownership for Six (6) Months or More.

If the establishment changed ownership after December 31, 2010, and has been under new ownership for six (6) months or more, recalculate the rate for the period of new ownership. If the DART rate **or** the DAFWII case rate is at or above twice the private sector 2010 national incidence rates, continue with the inspection. If the recalculated DART rate **and** the DAFWII case rate are below twice the private sector rates (that is, if DART is less than 3.6; DAFWII is less than 2.2), classify the inspection as a "records only" inspection and conduct a partial walkthrough inspection, as required in the next paragraph, before exiting the facility.

c. For "Records Only" Inspections.

For "records only" inspections, a partial walkthrough **must** be conducted to interview employees in order to verify the establishment's injury and

illness experience. Any serious violations that are observed in plain view and in the vicinity or brought to the attention of the CSHO must be investigated and may be cited.

d. Recalculating the Rate.

If the new ownership is for a period of six (6) months or more but less than one year, recalculate the DART and DAFWII rate for the entire period of new ownership. If the new ownership is for a period of greater than one year, recalculate the rate for the preceding twelve (12) months of new ownership from the date of inspection. When calculating the DART for the period of the new ownership, be sure that both N (number of cases involving days away from work, days of restricted work, or job transfer) and EH (total number of hours worked by all employees during the calendar year) are for the same period of time.

8. Calculate DART and DAFWII.

During inspections under this Directive, the OSHA-300 Logs for 2009, 2010, and 2011 will be reviewed. The CSHO will calculate the DART rate and the DAFWII case rate for each of those years.

***NOTE: The OSHA-300 Logs for 2012 (and 2013 when applicable) may also be reviewed for possible injuries and illnesses occurring during the year, but are not to be substituted for the calculations below.***

The CSHO-calculated DART rate for 2009 will be compared to the DART rate reported by the employer in the 2010 ODI for the primary list. However, the CSHO-calculated DART rate for 2010 will be compared to the DART rate reported by the employer in the 2011 ODI for the secondary list. Calculations will not be performed if, for any reason, the relevant records are not available. CSHOs will check OSHA-301 Forms, or equivalent, as they deem appropriate to confirm the OSHA-300 Forms.

**For reference:** Twice the private sector 2010 national incidence rates: for DART rate  $1.8 \times 2.0 = 3.6$ ; or DAFWII case rate  $2 \times 1.1 = 2.2$ .

**FIRST:** If records are not available to make this determination, proceed with the inspection.

**SECOND:** If any two of the CSHO-calculated 2009, 2010, or 2011 DART rates are at or above **3.6**, proceed with the inspection.

**THIRD:** If any two of the above DART rates are below **3.6**, but any two of the CSHO-calculated DAFWII case rates are at or above **2.2**, proceed with the inspection.

**FOURTH:** If for any two of the above three years the DART rates are below **3.6**, **and** the DAFWII case rates for the **same** two years are below **2.2**, then do a records review (not a records audit, which requires the use of an audit software program) for the most current year in which the establishment's DART and DAFWII rates fall below twice the private sector 2010 national incidence rates. Then, recalculate the DART and DAFWII for that most current year, and if the DART is below **3.6**, **and** the DAFWII is below 2.2, classify the inspection as a "records only" inspection and conduct a partial walkthrough inspection before exiting the facility [as required by the last paragraph in this section]. If, however, either the DART rate is at or above 3.6, **or** the DAFWII case rate is at or above 2.2, proceed with the SST inspection.

For "records only" inspections, a partial walkthrough **must** be conducted to interview employees in order to verify the establishment's injury and illness experience. Any serious violations that are observed in plain view in the vicinity or brought to the attention of the CSHO must be investigated and may be cited.

#### **H. Relationship to Other Programs.**

##### **1. Unprogrammed Inspections.**

Unprogrammed inspections will be conducted according to VOSH's FOM or other pertinent policy and procedure documents. If the occasion for an unprogrammed inspection, e.g., complaint, catastrophe, or fatality, arises with respect to an establishment that is also in the current inspection cycle to receive a programmed inspection under the SST-12 plan, the two inspections should normally be conducted concurrently to save inspection resources and limit disruption to the establishment.

##### **2. Emphasis Programs.**

Some establishments may be selected for inspection under the SST plan and also under one or more other VOSH initiatives (Emphasis Programs). Programs based upon specific hazards, such as amputations, combustible dust, crystalline silica, or lead, or specific industries, such as logging, shipyards, shipbreaking, and petroleum refinery process, can be run concurrently with the SST plan. Whenever an establishment is scheduled for inspection on the current cycle of the SST plan and on the current cycle of an Emphasis Program, both inspections may be scheduled at the same time. CSHOs will apply all applicable VOSH codes, i.e., NEP, LEP, Strategic, Optional Information, to the inspection. The employer's DUNS

number must also be recorded for each inspection since it is important for tracking. See paragraph *Recording & Tracking - SST Combined with Emphasis Program Inspections*, of this directive.

In the case of an establishment scheduled for inspection under both SST and an Emphasis Program, an inspection limited in scope to the safety and health issues targeted by the Emphasis Program may be conducted even though all CSHO-calculated rates for the establishment are found to be below the SST inspection thresholds.

3. Process Safety Management Inspections.

Inspections conducted under the SST plan will address process safety management where §1910.119 applies to the establishment being inspected. Such inspections must be a comprehensive safety inspection. For policies and procedures on inspections for policies and procedures on inspections at PSM-covered chemical facilities, see VOSH PD 14-411, *PSM-Covered Chemical Facilities National Emphasis Program*, issued on July 8, 2010 (08/01/12).

***NOTE: Inspections under the Chemical NEP may be done concurrently with SST inspections.***

I. Recording and Tracking: Database Entry Coding.

The majority of inspections conducted under this NEP will be “comprehensive” inspections and, in such cases, should be coded as such.

1. Planned/Targeted Inspections. NEP inspections of firms that are planned or targeted as a result of this NEP inspection type will be coded as follows:

a. SST-Only Inspections.

The VOSH-1 Form must be marked as “programmed planned” in Item 24. In addition, the “NEP” box is to be checked and the value “**SSTARG12**” recorded in Item 25d (the SST inspections are being coded under the NEP for ease of tracking).

***NOTE: Any health inspections conducted in accordance with this Directive as mentioned in paragraph II.G.1, Inspection Procedures - Scope, are also to be coded as SST inspections.***

b. SST Combined with Unprogrammed Inspections.

For all unprogrammed inspections conducted in conjunction with an SST inspection, the VOSH-1 Form must be marked as “unprogrammed” in Item 24 with the appropriate unprogrammed activity identified. In addition, the “NEP” box is to be checked and the value “**SSTARG12**” recorded in Item 25d.

***NOTE: Health inspections that are referrals, as mentioned in paragraph II.G.1, Inspection Procedures – Scope, are “unprogrammed.” However, these inspections are also to be coded as SST inspections; the SST codes, e.g., “SSTARG12”, will not be rejected.***

c. SST Combined with Emphasis Program Inspections.

For all emphasis program inspections, such as NEPs and LEPs, conducted in conjunction with an SST inspection, the VOSH-1 forms must be marked as “programmed planned” in Item 24. In addition, the “NEP” box is to be checked and the value “**SSTARG12**” recorded in Item 25d, along with all NEP and LEP VOSH codes applicable to the inspection.

d. SST Combined with Unprogrammed and Other Programmed Inspections.

If an SST inspection is combined with an unprogrammed, e.g., complaint, catastrophe, or fatality, inspection and a programmed inspection, such as an NEP or LEP, Item 24 of the VOSH-1 Form must be marked “unprogrammed.”

2. **Referral Inspections.** Inspections that are conducted as a referral and inspected during the current inspection cycle under this NEP will be coded as “Programmed Related” and then classification coded as an NEP specifically “**SSTARG12**”. Where “Program Related” inspections are conducted, they will be so indicated on the VOSH-1.

3. **Complaint Inspections.** Inspections under this NEP that are conducted as a result of a complaint or fatality/catastrophe will be coded as “**Unprogrammed Related**” and then classification coded as an NEP specifically indicating “**SSTARG12**”.

The new “**SSTARG12**” code applies to the following enforcement forms: VOSH-1, OSHA-7, OSHA-36, OSHA-90 and OSHA-55.

Whenever a consultation visit is made in response to this NEP, the Consultation Request form and Visit form are to be completed with the NEP code “**SSTARG12**” on Form-20 and Form-30.

4. **Strategic Management Plan.**

Enter all applicable Strategic Management Plan hazard/industry codes in Item 25f of the Strategic Plan Activity, e.g., amputations, combustible dust, lead, silica.

J. **Dun & Bradstreet's Number.**

The DUNS number, which is a required entry for all SST inspections, must be recorded in the appropriate field on the Establishment Detail Screen of the NCR system. In establishments where ownership has changed, enter the DUNS number for the new owner. If the new owner does not have a new DUNS number, enter the old DUNS number. Since the DUNS number is site-sensitive, the old number will give some useful data. The field on the Establishment Detail Screen can be accessed by pressing F5 in Item 8 of the OSHA-1 Form to access establishment processing. Once establishment processing is completed, the DUNS number will appear in Item 9b.

## APPENDIX A

**Description of Industry Groups Included in the 2011 ODI.** Establishments with 20 or more employees in the following industries were surveyed in the 2011 ODI that collected 2010 injury and illness data.

<b>SIC</b>	<b>SIC Description</b>
0181	Ornamental floriculture and nursery products
0783	Ornamental Shrub and Tree Services
0921	Fish Hatcheries and Preserves
1611	Highway and Street Construction
1622	Bridge, Tunnel, and Elevated Highway
1623	Water, Sewer, and Utility Lines
1629	Heavy Construction, Nec
1711	Plumbing, Heating, Air-conditioning
1731	Electrical Work
1771	Concrete Work
1781	Water Well Drilling
1793	Glass and Glazing Work
1795	Wrecking and Demolition Work
1799	Special Trade Contractors, Nec
2041	Flour and Other Grain Mill Products
2111	Cigarettes
2131	Chewing and Smoking Tobacco
2299	Textile Goods, Nec
2394	Canvas and Related Products
2421	Sawmills & planing mills, general
2426	Hardwood Dimension and Flooring Mills
2431	Millwork
2434	Wood Kitchen Cabinets
2435	Hardwood Veneer and Plywood
2439	Structural Wood Members, Nec
2448	Wood Pallets and Skids
2449	Wood Containers, Nec
2452	Prefabricated Wood Buildings
2491	Wood Preserving
2493	Reconstituted Wood Products
2499	Wood Products, Nec
2511	Wood Household Furniture
2621	Paper Mills
2653	Corrugated and Solid Fiber Boxes
2671	Paper; Coated and Laminated Packaging
2673	Bags: Plastic, Laminated, and Coated

2679 Converted Paper Products, Nec  
2711 Newspapers  
2721 Periodicals  
2732 Book Printing  
2741 Miscellaneous Publishing  
2752 Commercial Printing, Lithographic  
2759 Commercial Printing, Nec  
2824 Organic Fibers, Noncellulosic  
2835 Diagnostic Substances  
3061 Mechanical Rubber Goods  
3088 Plastics Plumbing Fixtures  
3089 Plastics Products, Nec  
3231 Products of Purchased Glass  
3251 Brick and Structural Clay Tile  
3312 Blast Furnaces and Steel Mills  
3315 Steel Wire and Related Products  
3317 Steel Pipe and Tubes  
3321 Gray and Ductile Iron Foundries  
3325 Steel Foundries, Nec  
3339 Primary Nonferrous Metals, Nec  
3351 Copper Rolling and Drawing  
3354 Aluminum Extruded Products  
3357 Nonferrous Wiredrawing and Insulating  
3363 Aluminum Die-castings  
3365 Aluminum Foundries  
3366 Copper Foundries  
3411 Metal Cans  
3429 Hardware, Nec  
3432 Plumbing Fixture Fittings and Trim  
3433 Heating Equipment, Except Electric  
3441 Fabricated structural metal  
3442 Metal Doors, Sash, and Trim  
3443 Fabricated plate work (boiler shops)  
3444 Sheet metalwork  
3446 Architectural metal work  
3448 Prefabricated Metal Buildings  
3449 Miscellaneous Metalwork  
3451 Screw Machine Products  
3452 Bolts, Nuts, Rivets, and Washers  
3462 Iron and Steel Forgings  
3463 Nonferrous Forgings

3465 Automotive Stampings  
3469 Metal Stampings, Nec  
3471 Plating and Polishing  
3479 Metal coating and allied services  
3482 Small Arms Ammunition  
3483 Ammunition, Except For Small Arms, Nec  
3489 Ordnance and Accessories, Nec  
3491 Industrial Valves  
3494 Valves and Pipe Fittings, Nec  
3496 Miscellaneous Fabricated Wire Products  
3498 Fabricated Pipe and Fittings  
3499 Fabricated metal products, not elsewhere classified  
3531 Construction Machinery  
3532 Mining Machinery  
3535 Conveyors and Conveying Equipment  
3536 Hoists, Cranes, and Monorails  
3544 Special Dies, Tools, Jigs, and Fixtures  
3549 Metalworking Machinery, Nec  
3552 Textile Machinery  
3555 Printing Trades Machinery  
3556 Food Products Machinery  
3559 Special Industry Machinery, Nec  
3563 Air and Gas Compressors  
3564 Blowers and Fans  
3565 Packaging Machinery  
3568 Power Transmission Equipment, Nec  
3569 General Industrial Machinery,  
3577 Computer Peripheral Equipment, Nec  
3585 Refrigeration and Heating Equipment  
3593 Fluid Power Cylinders and Actuators  
3599 Industrial Machinery, Nec  
3612 Power, Distribution and Specialty Transformers  
3613 Switchgear and Switchboard Apparatus  
3621 Motors and generators  
3625 Relays and Industrial Controls  
3629 Electrical Industrial Apparatus  
3632 Household Refrigerators and Freezers  
3643 Current-carrying Wiring Devices  
3644 Noncurrent-carrying Wiring Devices  
3645 Residential Lighting Fixtures  
3646 Commercial Lighting Fixtures

3648 Lighting Equipment, Nec  
3651 Household Audio and Video Equipment  
3652 Prerecorded Records and Tapes  
3661 Telephone and telegraph apparatus  
3663 Radio & TV communications equipment  
3669 Communications equipment, nec  
3672 Printed Circuit Boards  
3674 Semiconductors and Related Devices  
3675 Electronic Capacitors  
3677 Electronic Coils and Transformers  
3678 Electronic Connectors  
3679 Electronic components, nec  
3694 Engine Electrical Equipment  
3695 Magnetic and Optical Recording Media  
3699 Electrical equipment & supplies, nec  
3711 Motor Vehicles and car Bodies  
3713 Truck and Bus Bodies  
3714 Motor vehicle parts and accessories  
3715 Truck Trailers  
3721 Aircraft  
3728 Aircraft parts and equipment, nec  
3731 Ship building and repairing  
3732 Boat building and repairing  
3743 Railroad Equipment  
3751 Motorcycles, Bicycles, and Parts  
3761 Guided Missiles and Space Vehicles  
3764 Space Propulsion Units and Parts  
3795 Tanks and Tank Components  
3812 Search and navigation equipment  
3822 Environmental Controls  
3823 Process Control Instruments  
3825 Instruments To Measure Electricity  
3826 Analytical Instruments  
3827 Optical Instruments and Lenses  
3829 Measuring and Controlling Devices, Nec  
3841 Surgical and medical instruments  
3842 Surgical Appliances and Supplies  
3844 X-ray Apparatus and Tubes  
3845 Electromedical Equipment  
3851 Ophthalmic Goods  
3861 Photographic Equipment and Supplies

3873 Watches, Clocks, Watchcases, and Parts  
3999 Manufacturing Industries, Nec  
4214 Local Trucking With Storage  
4221 Farm Product Warehousing and Storage  
4222 Refrigerated warehousing and storage  
4225 General warehousing and storage  
4226 Special warehousing and storage, nec  
4513 Air Courier Services  
4581 Airports, flying fields, & services  
4731 Freight Transportation Arrangement  
4783 Packing and Crating  
4789 Transportation Services, Nec  
4932 Gas and Other Services Combined  
4953 Refuse systems  
4959 Sanitary Services, Nec  
5012 Automobiles and Other Motor Vehicles  
5031 Lumber, Plywood, Millwork, Panels  
5032 Brick, stone, and related construction materials  
5033 Roofing, Siding, and Insulation  
5039 Construction materials, not elsewhere classified  
5047 Medical and Hospital Equipment  
5051 Metals service centers and offices  
5052 Coal and Other Minerals and Ores  
5064 Electrical Appliances, Television and Radio  
5072 Hardware  
5084 Industrial Machinery and Equipment  
5093 Scrap and waste materials  
5112 Stationery and Office Supplies  
5141 Groceries, General Line  
5143 Dairy Products, Except Dried or Canned  
5146 Fish and Seafoods  
5149 Groceries and Related Products, Nec  
5171 Petroleum Bulk Stations and Terminals  
5181 Beer and ale  
5182 Wine and Distilled Beverages  
5211 Lumber and other building materials  
7011 Hotels and Motels  
7363 Help Supply Services  
7532 Top and Body Repair and Paint Shops  
7692 Welding Repair  
7699 Repair Services, Nec

- 8051 Skilled nursing care facilities
- 8052 Intermediate care facilities
- 8059 Nursing and personal care, nec
- 8082 Home Health Care Services
- 8331 Job Training and Related Services
- 9111 Executive Offices
- 9511 Air, Water, and Solid Waste Management

## APPENDIX B

### Compliance Officer Checklist

#### **VPP and SHARP Sites**

If the CSHO discovers that the establishment is a Voluntary Protection Programs (VPP) site, exit the site without conducting an inspection. The site must be deleted from the inspection list.

If the CSHO discovers that the establishment is an On-site Consultation SHARP site, exit the site without conducting an inspection if it is still within the deletion period approved by the Assistant Commissioner.

If an establishment is a VPP applicant, and a VPP on-site review has been scheduled, the programmed inspection will be deleted.

If an establishment is in pre-SHARP status, it may be deferred for up to 18 months.

#### **OSHA Consultation Program**

Establishments that have requested an initial full-service comprehensive consultation visit for safety and health, **and** that visit has been scheduled, the SST inspection may be deferred for 90 calendar days to allow for completion of the consultation visit. If a full-service safety and health visit has been conducted, the establishment shall be removed from the list.

#### **Verifying SIC/NAICS Codes & Different Codes**

At the opening conference, verify the establishment's SIC/NAICS code.

If the establishment's SIC is not on the ODI SIC list (Appendix A), proceed with the inspection if its DART rate is at or above 3.6, or its DAFWII rate is at or above 2.2.

See paragraphs II.D.5., *Different SIC/NAICS Codes*, and II. G.4., *Verify SIC/NAICS Codes*.

#### **Establishment with Fewer than 20 Employees**

If the establishment has fewer than 20 employees, proceed with the inspection **as long as** there are more than 10 employees, **and** the establishment has a DART rate at or above 3.6, **or** a DAFWII case rate at or above 2.2, **or** if injury and illness records are not available.

### **Federal Offices Having Jurisdiction over Establishments in State Plan States**

If the establishment is in SIC 373 (ship and boat building and repairing), the Federal office, in coordination with the State plan, must determine whether the State, OSHA, or both have jurisdiction over the establishment.

### **Ownership**

If the establishment changed ownership since December 31, 2010, and the period of new ownership is less than six(6) months, go to paragraph II.G.7.

If the establishment changed ownership since December 31, 2010, and the period of new ownership is six (6) months or more, recalculate the rate for the period of new ownership.

If the period of new ownership is six (6) months or more but less than one year, recalculate the DART and DAFWII rate for the entire period of new ownership. If the period of new ownership is greater than one year, recalculate the rate for the preceding 12 months.

If the DART rate is at or above 3.6 **or** the DAFWII rate is at or above 2.2, continue with the inspection.

If the recalculated DART rate is below 3.6, **and** the DAFWII rate is below 2.2, classify the inspection as “records only,” and do a partial walkthrough.

**Remember:** when calculating the DART rate for the period of the new ownership, which may be less than a year, be sure that both N (number of cases involving days away from work, days of restricted work activity, or job transfer) and EH (total number of hours worked by all employees during the calendar year) are for the new ownership period.

**Remember also:** In establishments where the ownership has changed, enter into IMIS/OIS the Dun & Bradstreet (DUNS) number of the new owner in the appropriate field on the Establishment Detail Screen. If the new owner does not have a new DUNS number, enter the old DUNS number.

### **Calculate DART Rate and DAFWII Case Rate**

Review the OSHA-300 Logs for 2009, 2010, and 2011. Calculate and record the DART rate and DAFWII case rate for each of the three (3) years.

OSHA-300 Logs for 2012 (and 2013 when applicable) may also to be reviewed for possible injuries and illnesses occurring during the year.

The CSHO-calculated DART rate for 2010 is to be compared to the DART rate reported by the employer on the 2010 ODI.

Calculations are not to be performed if, for any reason, the relevant records are not available. CSHOs will check OSHA-301 Forms as they deem appropriate to confirm the OSHA-300 Logs.

**For Reference:** Twice the private sector 2010 national incidence rates: for DART rate  $1.8 \times 2.0 = 3.6$ ; or DAFWII case rate  $2 \times 1.1 = 2.2$ .

- If records are not available, proceed with the inspection.
- If any two of the calculated DART rates are at or above 3.6, proceed with the inspection.
- If any two of the above DART rates are below 3.6, **but** any two of the DAFWII case rates are at or above 2.2, proceed with the inspection.
- If, for any two of the above three (3) years, the DART rates are below 3.6, **and** the DAFWII case rates for the **same** two years are below 2.2, then do a records review for the most current year that falls below twice the private sector rates, and then recalculate the DART and DAFWII rates for that most current year. If the DART rate is below 3.6, **and** the DAFWII rate is below 2.2, classify the inspection as a “records only.” **But**, if either the DART rate is at or above 3.6, **or** the DAFWII rate is at or above 2.2, proceed with the inspection.
- **Remember:** All “office-only sites” referred to in paragraph II.D.8. will receive a comprehensive safety inspection regardless of their calculated DART and DAFWII rates. These establishments will be identified on the Regional Offices’ inspection lists by three asterisks (\*\*\*) . NOTE: If Office-Only.
- For “records only” inspections: A partial walkthrough must be conducted to interview employees in order to verify the injury and illness experience. Any recordkeeping violations, in addition to any serious violations that are observed in plain view in the vicinity or brought to the attention of the CSHO, must be investigated and may be cited.

## IMIS/OIS

### Enter Inspection Type

*SST-Only Inspections* = Programmed Planned

*SST Combined with Unprogrammed Inspections* = Unprogrammed

**NOTE:** *Health inspections that are referrals, in accordance with II.G.2., are “unprogrammed,” but must also be coded as an SST inspection.*

*SST Combined with NEP or LEP Inspections = Programmed Planned*

*SST Combined with Unprogrammed and other Programmed = Unprogrammed*

**Enter all applicable Strategic Management Plan hazard/industry codes**

In Item 25.f. of the Strategic Plan Activity, e.g., amputations, ergonomics, lead, silica.

**Enter Inspection Classification**

*Inspection classification:*            NEP = **SSTARG12**

**Enter all applicable NEP and LEP Program codes**

In the OSHA-1 Form, Item(s) 25c and 25d when an SST-12 inspection is conducted and the inspection also meets the protocol for other program(s).

**Record the DUNS Number**

Press F5 in Item 8 of the VOSH-1 Form to access establishment processing and record the DUNS number in the appropriate field on the Establishment Detail Screen. Once establishment processing is completed, the DUNS number will appear in Item 9b. In establishments where ownership has changed, enter the DUNS number for the new owner. If the new owner does not have a new DUNS number, enter the old DUNS number.