

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

Raleigh, NC

Field Information System

CPL 02 (13-01)

Subject: Site Specific Targeting

A. Discussion.

This federal instruction describes OSHA's Site Specific Targeting plan for inspections, with a revised site-specific targeting plan for the year 2011. The CPL provides basic information about the OSHA Date Initiative (ODI). The most current version of North Carolina OPN 124 provides state-specific guidance for targeting employers for inspection.

B. Action.

References to the Field Information Reference Manual (FIRM) and Regional Administrator will mean the North Carolina Field Operations Manual and the appropriate OSH Division management person (district supervisor, bureau chief, or assistant director), respectively.

CSHO's will conduct only comprehensive safety inspections. Health inspections will be limited to certain situations, referrals, etc. (Para. XIII.A.1). The OSH Division will **not** use sections in this directive relating to Primary Inspections Lists (Para. X.A.1.) assignment of a group of low rate establishments from high rate industries, non-responders to the ODI survey (para.X.B.2), Secondary Inspections Lists (Para. X.B.), Cycle Size (Para. XI.B), Use of SST software (Para. XI.C.), Deletions (Para. XII.) and Previous Inspection within 36 months (XII.A). Other provisions of 13-01 (CPL-02), January 4, 2013, including a provision to clarify procedures when an establishment is an office only site (Para. X.I) and Appendix B "Compliance Officer Checklist" are to be followed by the OSH Division.

OSH Division employees will use this CPL in conjunction with the most current version of OPN 124 as guidance when targeting employers for inspection and when conducting inspections of employers targeted under this program.

C. Effective Date.

CPL 02 (11-03) is canceled. This CPL is effective on the date of signature. It will remain in effect until revised or canceled by the director.

Signed on Original
Anne Weaver
Bureau Chief

Signed on Original
Allen McNeely
Director

01/24/13
Date of Signature



OSHA NOTICE

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

DIRECTIVE NUMBER: 13-01 (CPL 02) **EFFECTIVE DATE:** January 4, 2013
SUBJECT: Site-Specific Targeting 2012 (SST-12)

ABSTRACT

Purpose: This Notice implements OSHA's *Site-Specific Targeting 2012 (SST-12)* inspection plan, and replaces the September 9, 2011 Notice that implemented OSHA's *Site-Specific Targeting 2011 (SST-11)* inspection plan. This program does not include construction worksites.

Scope: OSHA-wide.

References: OSHA Instruction CPL 02-00-135, *Recordkeeping Policies and Procedures Manual (RKM)*, December 30, 2004; OSHA Instruction CPL 02-00-025, *Scheduling System for Programmed Inspections*, January 4, 1995; OSHA Instruction CPL 02-00-150, *Field Operations Manual (FOM)*, April 22, 2011; OSHA Instruction CSP 01-00-002, *State Plan Policies and Procedures Manual*, March 21, 2001; and OSHA Instruction CSP 03-02-002, *OSHA Strategic Partnership Program for Worker Safety and Health*, December 9, 2004 (effective February 10, 2005).

Cancellations: OSHA Notice 10-06 (CPL 02), *Site-Specific Targeting 2011 (SST-11)*, September 9, 2011.

Expiration Date: One year from the effective date, unless replaced earlier by a new Notice. Upon the expiration or replacement of this Notice, inspection cycles already underway must be completed as provided in section XI.B., fourth paragraph.

State Impact: Notice of Intent and Equivalency required. State Plan documentation of its current general industry targeting system required if not current. See paragraph VII.B, *Federal Program Change*.

Action Offices: National, Regional, and Area Offices.

Originating Office: Directorate of Enforcement Programs

Contact: Directorate of Enforcement Programs
Office of General Industry Enforcement
200 Constitution Avenue, NW, N3119
Washington, DC 20210
202-693-1850

By and Under the Authority of

David Michaels, PhD, MPH
Assistant Secretary

Executive Summary

This Notice cancels and replaces OSHA Notice 10-06 (CPL 02), *Site-Specific Targeting 2011 (SST-11)*, issued September 9, 2011. Except for construction inspections, which are not conducted pursuant to the SST inspection plan, this Notice explains OSHA's major, current site-specific targeting inspection program.

This Notice defines key terms, describes the three inspection lists, provides scheduling and inspection procedures, and gives information on OSHA coding. Three appendices give information on the industry groups included in the 2011 OSHA Data Initiative (ODI), provide a checklist for compliance safety and health officers (CSHOs), and instruct Area Offices on how to use the Inspection Targeting website.

Significant Changes

- Uses CY 2010 injury and illness data to compile the targeting lists for the secondary list establishments.
- OSHA is working with the Office of the Assistant Secretary for Policy (ASP) on a study to measure recidivism rates of establishments that have been inspected. ASP developed the methodology of the Evaluation Study of the Impact of SST Inspections and OSHA agreed to implement the study under the SST-11, SST-12, and SST-13 programs. The study will provide insight into the effectiveness of the program.
OSHA's Office of Statistical Analysis has selected 2,250 establishments – randomly from both the SST-11 Primary and Secondary lists – for inspection pursuant to the Evaluation Study. These establishments were selected based on their CY 2009 injury and illness data (collected during the 2010 ODI). The SST-12 primary inspection lists for federal jurisdiction Area Offices will be comprised of 1,260 establishments selected as part of the Evaluation Study. All federal jurisdiction primary list establishments will be inspected under SST-12.
- Programmed inspections of Nursing and Personal Care establishments will be conducted under OSHA Directive CPL 03-00-016, National Emphasis Program – Nursing and Personal Care Facilities (NAICS 623110, 623210, and 623311).
- Incorporates policy changes to OSHA's Strategic Partnership Program for Worker Safety per OSPP Policy Memorandum #1: Removal and Clarification of OSPP Benefits that Impact the Agency's Enforcement Program dated July 27, 2012.

TABLE OF CONTENTS

I. PURPOSE.....	1
II SCOPE.....	1
III. REFERENCES.....	1
IV. CANCELLATIONS	2
V. EXPIRATION DATE.....	2
VI. ACTION INFORMATION	2
A. RESPONSIBLE OFFICE.....	2
B. ACTION OFFICES	2
C. INFORMATION OFFICES.....	2
VII. STATE PLAN IMPACT	3
VIII. BACKGROUND.	5
A. OSHA’S PROGRAMMED INSPECTION PROGRAMS	5
B. CREATING THE SST INSPECTION LISTS.....	5
D. SIC AND NAICS CODES	5
IX. DEFINITIONS	6
A. COMPREHENSIVE INSPECTION.....	6
B. DATA INITIATIVE.....	6
C. DAYS AWAY, RESTRICTED, OR TRANSFERRED (DART) RATE	6
D. DAYS AWAY FROM WORK INJURY AND ILLNESS (DAFWII) CASE RATE	7
E. ESTABLISHMENT	7
F. PARTNERSHIP.....	8
X. DESCRIPTION OF THE SITE-SPECIFIC TARGETING 2012 (SST-12) PLAN	8
A. PRIMARY INSPECTION LIST	8
B. SECONDARY INSPECTION LIST	9
C. TERTIARY INSPECTION LIST	10
D. INDUSTRIES WITHOUT PERMANENT WORKPLACES	10
E. ESTABLISHMENTS WITH FEWER THAN 20 EMPLOYEES.....	10
F. DIFFERENT SIC/NAICS CODES	11
G. DIFFERENT ADDRESS THAN ON ODI DATA SHEET	11
H. TWO OR MORE ESTABLISHMENTS IN ODI DATA.....	11
I. OFFICE-ONLY SITES	12
XI. SCHEDULING	13
A. MAINTAINING INSPECTION LISTS/CYCLES AND DOCUMENTATION	13
B. CYCLE SIZE.....	14
C. USE OF SST SOFTWARE.....	14
D. DEFERRALS	14
E. INSPECTION PRIORITY	16
XII. DELETIONS	17
A. PREVIOUS INSPECTIONS	17
B. PUBLIC SECTOR EMPLOYERS	18

C. PARTNERSHIPS	18
D. VPP OR SHARP	18
E. OFFICE-ONLY	19
XIII. INSPECTION PROCEDURES.....	19
A. SCOPE	19
B. VERIFY SIC/NAICS CODE.....	21
C. CITATIONS	21
D. COMPLIANCE OFFICERS	21
E. OWNERSHIP	22
F. CALCULATE DART AND DAFWII	23
XIV. RELATIONSHIP TO OTHER PROGRAMS	24
A. UNPROGRAMMED INSPECTIONS	24
B. EMPHASIS PROGRAMS	24
C. PROCESS SAFETY MANAGEMENT INSPECTIONS.....	25
XV. RECORDING AND TRACKING	25
A. SST-ONLY INSPECTIONS	25
B. SST COMBINED WITH UNPROGRAMMED INSPECTIONS.....	26
C. SST COMBINED WITH EMPHASIS PROGRAM INSPECTIONS.....	26
D. SST COMBINED WITH UNPROGRAMMED AND OTHER PROGRAMMED INSPECTIONS	26
F. STRATEGIC MANAGEMENT PLAN.....	26
XVI. DUN & BRADSTREET’S NUMBER.....	26
APPENDIX A – DESCRIPTION OF INDUSTRY GROUPS INCLUDED IN THE 2011 ODI	A-1
APPENDIX B – COMPLIANCE OFFICER CHECKLIST	B-1
APPENDIX C – SST WEBSITE	C-1

I. Purpose.

This Notice implements OSHA's *Site-Specific Targeting 2012 (SST-12)* inspection plan, and replaces the September 9, 2011 Notice that implemented OSHA's *Site-Specific Targeting 2011 (SST-11)* inspection plan. This program does not include construction worksites.

II. Scope.

This Notice applies OSHA-wide.

III. References.

- A. Occupational Safety and Health Act of 1970, 29 U.S.C. 651.
- B. [29 CFR Part 1904, Recording and Reporting Occupational Injuries and Illnesses.](#)
- C. [29 CFR Part 1908, Consultation Agreements.](#)
- D. [Revisions to the Voluntary Protection Programs to Provide Safe and Healthful Working Conditions](#), *Federal Register*, January 9, 2009 (74 FR 927).
- E. [Agency Information Collection Activities; Announcement of OMB Approval](#), *Federal Register*, April 23, 2004 (69 FR 22096).
- F. [OSPP Policy Memorandum #1: Renewal and Clarification of OSPP Benefits that Impact the Agency's Enforcement Program](#); July 27, 2012.
- G. OSHA Directives.
 - [ADM 03-01-005](#), *OSHA Compliance Records*, August 3, 1998.
 - [CPL 02-00-025](#), *Scheduling System for Programmed Inspections*, January 4, 1995.
 - [CPL 02-00-051](#), *Enforcement and Limitations under the Appropriations Act*, May 28, 1998.
 - [CPL 02-00-150](#), *Field Operations Manual (FOM)*, April 22, 2011.
 - [CPL 03-00-016](#), *Nursing and Residential Care Facilities (NAICS 623110, 623210 and 623311)*, April 5, 2012

- [CPL 02-00-135](#), *Recordkeeping Policies and Procedures Manual (RKM)*, December 30, 2004.
- [CPL 02-00-149](#), *Severe Violator Enforcement Program (SVEP)*, June 18, 2010.
- [CPL 02-02-045](#), *Process Safety Management of Highly Hazardous Chemicals-- Compliance Guidelines and Enforcement Procedures*, September 13, 1994.
- [CPL 10-05 \(CPL 02\)](#), *PSM Covered Chemical Facilities National Emphasis Program*, July 8, 2010.
- [CSP 01-00-002](#), *State Plan Policies and Procedures Manual*, March 21, 2001.
- [CSP 02-00-002](#), *Consultation Policies and Procedures Manual*, January 18, 2008.
- [CSP 03-01-003](#), *Voluntary Protection Programs (VPP): Policies and Procedures Manual*, April 18, 2008.
- [CSP 03-02-002](#), *OSHA Strategic Partnership Program for Worker Safety and Health*, December 9, 2004 (effective February 10, 2005).

IV. Cancellations.

OSHA Notice 10-06 (CPL 02), *Site-Specific Targeting 2011 (SST-11)*, dated September 9, 2011.

V. Expiration Date.

This Notice will terminate one year from the effective date, unless replaced earlier by a new Notice. Upon the expiration or replacement of this Notice, inspection cycles already underway must be completed as provided in section XI.B., fourth paragraph.

VI. Action Information.

- A. Responsible Office. Directorate of Enforcement Programs (DEP).
- B. Action Offices. National, Regional, and Area Offices.
- C. Information Offices. State Plan states, OSHA Training Institute, Consultation Project Managers, Voluntary Protection Program (VPP) Managers and Coordinators, OSHA Strategic Partnership Coordinators, Compliance Assistance Coordinator, and Compliance Assistance Specialists.

VII. State Plan Impact.

- A. Notice of Intent and Equivalency required. State Plan documentation of targeting system required.
- B. This Notice describes a Federal program change which establishes policies and procedures regarding general industry inspection targeting under the SST-12 plan. States with OSHA approved State Plans are required to have their own inspection targeting systems (a “core inspection policy”), which must be documented in their State Plans and revised as necessary to reflect current practices, and must include the elements of the plan described in section VII.C. These inspection policies and procedures must be at least as effective as Federal OSHA’s and must be made available for review. States are required to notify OSHA whether they intend to adopt policies and procedures identical to SST-12 or adopt or maintain different policies and procedures for targeting of general industry inspections.

If a state adopts or maintains policies and procedures that differ from Federal OSHA’s, the State may either post its new or existing different policies on its State Plan website and provide the link to OSHA or provide an electronic copy to OSHA and information on how the public may obtain a copy from the state. If the state adopts identical policies and procedures, it must provide the date of adoption to OSHA. OSHA will provide summary information on the state responses to this instruction on its website.

The state’s general industry inspection targeting system, including supporting documents such as directives or other guidance, must be documented in its State Plan. Whether or not the state adopts the current SST, if a state’s plan is not up-to-date in its documentation of its targeting procedures, the State must submit a plan change supplement, if different from the federal program, or documentation of adoption (such as a cover sheet or notice to staff), if identical.

C. State Targeting Systems.

Targeting options available to States:

- 1. Use a state-developed high hazard inspection targeting system based on available State data; or
- 2. Use a high hazard inspection targeting system based on OSHA Instruction [CPL 02-00-025](#), *Scheduling System for Programmed Inspections* (1/4/1995), which is based on Bureau of Labor Statistics (BLS) injury/illness rate data. The Office of Statistical Analysis (OSA) will make these

state-specific lists available to a State for 2012, upon request. This option may not be available in future years; or

3. Use OSHA's *Site-Specific Targeting 2012* inspection plan. The plan is based on establishment-specific employer Days Away, Restricted, or Transferred (DART) and Days Away from Work Injury and Illness (DAFWII) data obtained through the 2011 ODI. OSA will provide a list of high-rate employers within the state and criteria for inspection categories upon request.

D. Deletions and Deferrals.

1. In accordance with [CSP 02-00-002](#), the *Consultation Policies and Procedures Manual* (Chapter I, Section IV), states must have a recognition and exemption program and compliance policies and procedures related to the implementation of the Occupational Safety and Health Administration Compliance Assistance Authorization Act of 1998 and 29 CFR Part 1908, as amended on October 26, 2000 (65 FR 64281). As related to inspection targeting, these include:
 - a. Discretionary authority for deferring programmed inspections for employers working toward exemption program participation (comparable to pre-SHARP) from programmed inspection lists for up to 18 months (§1908.7(b)(4)(i)(A)). See paragraph XI.D.4 of this Notice.
 - b. Deletions for state recognition and exemption program participants (comparable to SHARP) from programmed inspection lists (§1908.7(b)(4)(i)(B)). See paragraph XII.D (*Deletions – VPP or SHARP*), of this Notice.
2. States may, but are not required to, defer an inspection or assign lower priority, for 90 days, to establishments that have requested a full-service comprehensive consultation visit for safety and health and that visit has been scheduled. See paragraph XI.D.2 (*Scheduling – Deferrals – OSHA On-Site Consultation Program*) of this Notice.
3. Any state that has not submitted a plan supplement concerning these deletions and deferrals or documentation of an identical plan change must submit this documentation not later than 30 days after the effective date of this Notice.

E. Release of Data.

ODI data are collected by the states for Federal OSHA under a 100% funded contract and shared with the states as a limited interagency disclosure. Therefore, Federal OSHA is responsible for any release of data to other parties. Any state receiving requests for these data should refer the requester to Federal OSHA.

VIII. Background.

A. OSHA's Programmed Inspection Programs.

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

In addition, OSHA implements both national and local "emphasis" inspection programs to target high-risk hazards and industries. OSHA currently has 11 National Emphasis Programs (NEPs) focusing on amputations, lead, crystalline silica, primary metals, shipbreaking, trenching/excavations, process safety management covered chemical facilities, hexavalent chromium, federal agencies, combustible dust, and nursing and residential care facilities. OSHA currently has approximately 140 Regional/Local Emphasis Programs (REPs/LEPs).

B. Creating the SST-12 Inspection Lists.

By applying industry and establishment-size criteria, OSHA focuses its data collection towards establishments that are most likely to be experiencing elevated rates and numbers of occupational injuries and illnesses. Specifically, OSHA collects injury and illness data through the ODI survey from 80,000 larger establishments (20 or more employees) in historically high-rate industries. See Appendix A for the list of industries on which the 2011 ODI survey was focused.

NOTE: The **2010** injury and illness data that was collected by the **2011** ODI is used in the **2012** SST program.

C. 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 Notice.

Eventually the NAICS codes will replace the 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 Notice use NAICS codes.

Coverage of OSHA's injury and illness recordkeeping rule (29 CFR Part 1904) is defined by SIC in §1904.2. In turn, the ODI survey is based on the coverage of the recordkeeping rule. This is why Appendix A of this Notice uses SIC codes. Until OSHA amends the coverage of its recordkeeping rule to reflect data published under the NAICS coding system, this Notice will use both the NAICS and SIC codes.

Whenever possible, OSHA's OSA will provide both the SIC and NAICS codes for individual establishments to the Area Offices.

IX. Definitions.

A. 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 paragraph III.A of Chapter 3 of the FOM, [CPL 02-00-150](#).

B. OSHA Data Initiative (ODI).

The ODI is a nationwide collection of establishment-specific injury and illness data from approximately 80,000 establishments. It collects data from establishments by using the "OSHA Work-Related Injury and Illness Data Collection Form." The ODI is OSHA's Annual Survey that is referred to in 29 CFR §1904.41.

C. 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 $(22 \div 645,089) \times (200,000) = 6.8$.*

D. 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 $(25 \div 452,680) \times (200,000) = 11.0$.*

E. 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 29 CFR 1904.46 and Chapter 2, paragraph VII.B of [CPL 02-00-135](#), *Recordkeeping Policies and Procedures Manual*.

For purposes of this Notice, the term “Establishment” does not include construction worksites.

F. Partnership.

In this Notice, “Partnership” refers only to those agreements in which establishments participate in an OSHA Strategic Partnership (OSP) in accordance with OSHA Instruction [CSP 03-02-002](#), *OSHA Strategic Partnership Program for Worker Safety and Health* (2/10/2005), and for which there is a signed partnership agreement.

X. Description of the Site-Specific Targeting 2012 (SST-12) Plan.

A. Primary Inspection List.

1. OSHA is working with the Office of the Assistant Secretary for Policy (ASP) on a study to measure recidivism rates of establishments that have been inspected. ASP developed the methodology of the Evaluation Study of the Impact of SST Inspections and OSHA agreed to implement the study under the SST-11, SST-12, and SST-13 programs. The study will provide insight into the effectiveness of the program.

OSHA’s Office of Statistical Analysis has selected 2,250 establishments – randomly from both the SST-11 Primary and Secondary lists – for inspection pursuant to the Evaluation Study. These establishments were selected based on their CY 2009 injury and illness data (collected during the 2010 ODI). The SST-12 primary inspection lists for federal jurisdiction Area Offices will be comprised of 1,260 establishments selected as part of the Evaluation Study.

2. All federal jurisdiction primary list establishments will be inspected under SST-12.
3. State Plan State Selection Criteria.

Selection of primary list establishments for participating State Plan states will be based on CY 2010 establishment specific injury and illness rates. The SST-12 plan initially selects for inspecting all establishments with the following DART and DAFWII case rates:

a. Manufacturing Establishments

Manufacturing establishments with a DART rate at or above 7.0 or a DAFWII case rate at or above 5.0 (only one of these criteria must be met).

b. Non-manufacturing Establishments

Non-manufacturing establishments (except for Nursing and Personal Care Facilities) with a DART rate at or above 15.0 or a DAFWII rate at or above 14.0 (only one of these criteria must be met).

B. Secondary Inspection List.

1. Selection Criteria

If an Area Office completes its inspections of all establishments on its Primary Inspection List before the expiration of this SST program, it may obtain additional establishments from its Secondary Inspection List.

The Secondary Inspection List will contain establishments with the following CY 2010 DART and DAFWII case rates, and will be inspected using the procedures of this Notice:

a. Manufacturing Establishments.

Establishments reporting DART rates of 5.0 or greater, or a DAFWII case rate of 4.0 or greater. Only one of these criteria must be met.

b. Non-manufacturing Establishments (not including Nursing and Personal Care Facilities).

Establishments reporting DART rates of 7.0 or greater, or a DAFWII case rate of 5.0 or greater. Only one of these criteria must be met.

c. Nursing and Personal Care Facilities.

Programmed inspections of Nursing and Personal Care establishments shall be conducted under OSHA Directive CPL 03-00-016, National Emphasis Program – Nursing and Personal Care Facilities (NAICS 623110, 623210, and 623311).

2. 2011 OSHA Data Survey Non-responders.

A random sample of establishments that did not provide rate information in accordance with the 2011 ODI Survey by May 2012, have been added to

the Secondary Inspection list by OSA in Washington, DC. Inclusion of non-responders is intended to discourage employers from not responding to the ODI in order to avoid inspection. The establishments selected will be identified on the Area Offices' inspections lists by three asterisks (***) and will not be deleted from the list. See paragraph X.G, Different SIC/NAICS Codes. If the company has gone out of business, moved, changed name, etc., OSA must be notified so that the information can be updated for the next ODI survey. Contact Dave Schmidt by e-mail or at 202/693-1886. If it is found that an establishment consists of only an office, see paragraph X.I, *Office-Only Sites*.

C. Tertiary Inspection List.

If an Area Office completes its inspections of all establishments on its Primary and Secondary Inspection Lists before the expiration of this SST program, it may obtain additional establishments by contacting OSA; Dave Schmidt by email or at 202/693-1886.

The threshold rates will vary with each Area Office. OSA will randomly select and provide each Area Office with the number of establishments specifically requested by that Area Office. No establishments with a DART rate of 3.6 or lower and a DAFWII case rate of 2.2 or lower will be included.

D. 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 Area 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.

E. 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 XIII.G, below, for more details on calculating DART and DAFWII rates. If 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.

F. Different SIC/NAICS Codes.

If an establishment on any of the inspection lists (including a non-responder establishment identified by three asterisks *** as stated in paragraph X.B.2) 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 OSHA-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.

See also, paragraph XIII.B, *Verify SIC/NAICS Codes*.

G. 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 an Area 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 Area 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 Area Office's jurisdiction, then it will be inspected. 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 Area Office's inspection list, if appropriate. See also paragraph X.I, *Office-Only Sites*.

H. Two or More Establishments in ODI Data.

1. General.

Whenever injury and illness data for two or more establishments 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 at least one of the establishments will be conducted.

2. 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, an OSHA-1 will be opened for each inspection.

3. 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 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 FOM (OSHA Instruction [CPL 02-00-150](#)), Chapter 3, paragraph V.A.6.

4. Contact Office of Statistical Analysis (OSA)

If any of the establishments are not within the Area Office's jurisdiction, contact the OSA, Dave Schmidt by e-mail or at 202/693-1886, so OSA can move the establishment(s) to the correct Area Office's inspection list. If one of the establishments is an Office-Only site, see paragraph X.I.

I. 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 Area Office's jurisdiction. If the site(s) is not within the Area Office's jurisdiction, contact OSA, Dave Schmidt by e-mail or at 202/693-1886, so OSA can move the establishment to the correct Area 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). 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 §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.

XI. Scheduling.

The National Office in Washington, DC, will provide each Area Office with access to software and databases containing the establishments on the Primary Inspection List for its coverage area. As discussed in paragraphs X.B and X.C, the National Office will also provide each Area Office with a Secondary and a Tertiary Inspection List. The software and databases for the primary and secondary lists will be available on the SST website. Only the OSHA National Office, Regional Offices, Area Offices, and State Plan states will be able to access this website.

A. Maintaining Inspection Lists/Cycles and Documentation.

The Area Director is responsible for maintaining documentation necessary to demonstrate that the SST inspection lists and cycles have been properly utilized in accordance with the requirements of this Notice, 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, cycles and documentation must be maintained in the Area Office for a period of three years after all the inspections conducted under this SST plan are closed. See paragraph B.1.b.(1)(c).3 in [CPL 02-00-025](#), *Scheduling System for Programmed Inspections* (1/4/1995) and Appendix D, *Compliance Records Disposition Schedule*, in ADM 03-01-005, *OSHA Compliance Records*

(8/3/1998). See also last two paragraphs in XIII.A.2, *Inspection Procedures -- Scope -- Health Inspections*, regarding necessary documentation.

B. Cycle Size.

Inspection cycles for the Primary and Secondary Inspection Lists must be generated by using the SST software (see Appendix C) that randomly selects the establishments. Area Offices will base their determination of cycle size (i.e., 5 to 50 establishments) on considerations of available resources and geographic range of the office. Larger cycle sizes will allow greater flexibility and efficiency of scheduling, but once begun, the cycle must be completed. If a cycle larger than 50 would provide the Area Office with more efficient use of staff, the office will request Regional Office approval for a larger cycle size. Within a cycle, the establishments may be scheduled and inspected in any order that makes efficient use of available resources.

After the inspection has been opened, use the “Update” function of the SST application to enter the OSHA-1 number in the activity ID field.

When a cycle is completed, the Area Office may generate a new cycle using the SST software (see Appendix C).

All of the establishments in a cycle must be inspected (that is, the inspection must be initiated) before any establishments in a new cycle may be inspected. The exceptions are provided in OSHA Instruction CPL 02-00-025, Scheduling System for Programmed Inspections (1/4/1995), at paragraph B.1.b.(1)(e).1, which lists permissible carryovers from one cycle to another cycle. In addition, any cycle begun but not yet completed by the expiration date of this Notice must be completed, even if the inspections for the remaining establishments in the cycle are initiated after the expiration date.

C. Use of SST Software.

Each Area Office must use the “Create” function of the SST web-based application to create cycles from the SST inspections lists, and must also use the application to update the inspection lists regarding deletions and conducted inspections. Area Offices are not to create cycles manually.

D. Deferrals.

1. OSHA On-Site Consultation Program.

- a. 90-Day Deferral. An establishment that has requested an initial full-service comprehensive consultation visit for safety and health from the OSHA Consultation Program may be deferred from the SST inspection for 90 calendar days from the date of notification by the State Consultation Program to the Regional Office, providing that the visit has been scheduled by the State Consultation Program. See Chapter 7, II.C of [CSP 02-00-002](#), *Consultation Policies and Procedures Manual*.
- b. “In Progress” Deferral. No extension of the deferral beyond the 90 calendar days is possible unless the consultation visit is “in progress,” which begins at the opening conference of the consultation visit. If an establishment currently has a consultation visit “in progress,” that site shall receive a deferral for all hazards covered by the consultation visit. Such deferral will continue from the beginning of the opening conference through the end of the correction due dates and any extensions thereof. See 29 CFR 1908.7(b)(1) for a definition of an on-site consultation visit “*in progress*.”

2. VPP Applicant.

When the Area 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 a period of up to 75 days prior to commencement of the scheduled VPP on-site review. The Applicant workplace will be removed from any programmed inspection list for the duration of VPP participation, unless the site chooses otherwise (see paragraph XII.D, *Deletions – VPP or SHARP*). See *Federal Register* (74 FR 927), which is referenced in paragraph III.D.

3. Pre-SHARP.

If an establishment is in pre-SHARP status, that is, in the process of meeting the criteria of the OSHA 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 [CSP 02-00-002](#), *Consultation Policies and Procedures Manual*, Chapter 8, paragraph III.

E. Inspection Priority.

Normally, the first inspection priority for Area Offices is to conduct unprogrammed inspections, and the inspection priorities as described in the *FOM* (OSHA Instruction [CPL 02-00-150](#)), or its successor, will be followed with the following additional procedures:

1. Area Offices that have started but not completed a cycle of inspections from the SST-11 plan must normally complete that cycle before moving to inspections under the SST-12 plan. See [CPL 02-00-025](#), *Scheduling System for Programmed Inspections*, at paragraph B.1.b.(1)(e).1 that lists permissible carryovers from one cycle to another cycle.
2. All establishments on the SST-12 Primary Inspection List must be inspected unless, in view of resource considerations, such as agency emphasis programs, the **Regional Administrator** authorizes the Area Director to conduct a smaller number of inspections because this year's primary list is selected to support ASP's study evaluation. Regional Administrators shall only provide such authorization under limited circumstances. Such authorization will normally require the Area Office to complete all inspections in the current cycle. The Regional Administrators shall submit their yearly goals in the annual performance plan which states how many SST inspections will be conducted by the Region.

Regional Administrators must notify the Directorate of Enforcement Programs of the adjustment in projected SST inspections, and send a memorandum **before the end of the fiscal year** to the Deputy Assistant Secretary, through the Director of the Directorate of Enforcement Programs, stating the reason why the number of inspections on the Area Offices' primary lists had to be reduced.

3. All Federal offices having jurisdiction over sites in State Plan states are expected to inspect all establishments (i.e., U.S. Post Offices, ship and boat building and repairing sites over which Federal OSHA has jurisdiction) on their Primary List, and as many on their Secondary List as resources permit. With regard to establishments that are in SIC code 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.
4. The Secondary List does not have to be completed before the expiration date of this Notice.

5. Area Offices will continue to conduct other programmed inspections under national emphasis programs, or under regional/local emphasis/initiative programs, as the Area Office and Regional goals dictate.

XII. Deletions.

Area Offices will be responsible for making appropriate deletions, as stated below, from the inspection cycle. In addition, deletions will also include those establishments, such as those no longer in business, in accordance with [CPL 02-00-025](#), *Scheduling System for Programmed Inspections*, at B.1.b.(1)(b) 6.d., except criteria H# (Health inspection) and S# (Safety inspection) at B.1.b.(1)(b)6.d. will not be used.

Deletion criteria for Previous Inspections, Public Sector Employers, VPP, or SHARP establishments may be applied to establishments either prior to creating a cycle or after a cycle is created. However, if applicable, deletion criteria for Partnership establishments must be applied after a cycle is created.

Because Partnership establishments have not met the same rigorous safety and health requirements of VPP and SHARP establishments, they are not to be deleted until the cycle is created.

A. 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
- Establishment in SIC code 805 received an inspection that focused on ergonomic stressors relating to resident handling; exposure to blood and other potentially infectious material; exposure to tuberculosis; and slips, trips, and falls.

The comprehensive safety inspection need not have been initiated by an SST inspection. See also paragraph XIII.A., *Scope*.

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 is considered to have 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 OSHA-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 conducted by a cross-trained CSHO, there will be one OSHA-1 and one opening conference date.

B. Public Sector Employers.

If any public sector employers (i.e., Federal, State, or local government) appear on the Primary, Secondary, or Tertiary Inspection Lists, they are to be deleted.

NOTE: The OSH Act was amended in 1998 to treat the U.S. Postal Service as a private sector employer.

C. Partnerships.

As outlined in the OSPP Policy Memorandum #1: *Removal and Clarification of OSPP Benefits that Impact the Agency’s Enforcement Program* dated July 27, 2012, an establishment proposing a new or renewed OSP in accordance with OSHA Instruction CSP 03-02-002, *OSHA Strategic Partnership for Worker and Health* will no longer have a programmed inspection deferral or deletion provision.. Only worksites qualifying for VPP or SHARP are eligible for this benefit.

Further, an establishment currently participating in an OSP prior to the effective date of the memo dated July 27, 2012, in accordance with CSP 03-02-002, and for which there is a signed agreement, may be deleted from the SST inspections lists in accordance with paragraph XIV.B.5.a.i, of CSP 03-02-002, *OSHA Strategic Partnership Program for Worker Safety and Health*, and paragraph XII.A, *Deletions – Previous Inspections*, of this Notice.

D. VPP or SHARP.

1. If an establishment is an approved participant in VPP it is to be deleted

from the inspection lists.

2. If the establishment is in SHARP, it is to be deleted from OSHA's SST inspection lists for a period established by the On-Site Consultation Project and approved by the Regional Administrator. See paragraph IV.H.2. of Chapter 7 of [CSP 02-00-002](#), *Consultation Policies and Procedures Manual*.

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 approved by the Regional Administrator has not already expired. If the deletion period has expired, the CSHO may proceed with the inspection.

E. Office-Only.

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

XIII. Inspection Procedures.

A. Scope.

1. Inspections under SST-12.

Inspections conducted under this plan will be comprehensive safety inspections.

Health inspections under this plan will be limited to:

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

(b) Inspections expanded by the Area Director based on prior inspection history of the employer. See paragraph XIII.2.

NOTE: The above health inspections conducted in accordance with this Notice are also to be coded as an SST-12 inspection. See Recording and Tracking paragraphs XV.A. and B.

2. Health Inspections.

When an Area 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 Area Director must fully explain and document his/her rationale for the expanded inspection.

In assessing prior inspection history, the Area Director will consider the employer's OSHA inspection/violation history maintained in OSHA's Integrated Management Information System (IMIS) or the OSHA Information System (OIS) for the period three years prior to creating the inspection cycle. The Area Director will consider the potential that similar hazards may be present. For example, upon review of the employer's injury and illness records, the CSHO identifies a number of work-related cases, such as but not limited to hearing loss, needle sticks, respiratory ailments, etc.

Inspections will be conducted in accordance with the procedures described in the *FOM* (OSHA Instruction [CPL 02-00-150](#)) or its successor, 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 OSHA-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 XI.A, *Maintaining Inspection Lists/Cycles and Documentation*.

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. See also the last paragraph of XII.A.

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 cross-trained IH is asked by the area 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. Nursing and Personal Care Facilities (SIC code 805).

Programmed inspections of Nursing and Personal Care establishments shall be conducted under CPL 03-00-016, National Emphasis Program – Nursing and Personal Care Facilities (NAICS 623110, 623210, and 623311).

5. Residential Care Facilities (SIC code 8361).

Programmed inspections of Nursing and Personal Care establishments shall be conducted under CPL 03-00-016, National Emphasis Program – Nursing and Personal Care Facilities (NAICS 623110, 623210, and 623311).

6. Partnerships.

An SST inspection at any partnership site will normally be a comprehensive safety inspection, in accord with the OSPP Policy Memorandum #1: *Removal and Clarification of OSPP Benefits that Impact the Agency’s Enforcement Program* dated July 27, 2012.

B. 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 X.F, *Different SIC/NAICS Codes*.

C. Citations.

Violations will be cited and penalties proposed in accordance with the *FOM* (OSHA Instruction [CPL 02-00-150](#)), and other pertinent policy and procedure documents.

D. Compliance Officers.

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

E. Ownership.

1. Under New Ownership for Less than Six Months.

If the establishment has changed ownership after December 31, 2010, and has been under new ownership for less than six months, go to paragraph XIII.G., *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.

2. Under New Ownership for Six Months or More.

If the establishment changed ownership after December 31, 2010, and has been under new ownership for six 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.

3. 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.

4. Recalculating the Rate.

This Notice is projected to expire in late-2013. The period of new ownership, therefore, could range between 6 months and 2½ years. If the new ownership is for a period of 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 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.

5. IMIS/OIS and DUNS Number.

In establishments where the ownership has changed, CSHOs must enter into the IMIS/OIS, the Dun & Bradstreet, Data Universal Numbering System (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 (see paragraph XVI.).

F. Calculate DART and DAFWII.

During inspections under this Notice, 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.

All non-responder establishments referred to in paragraph X.B.2. will receive at least a comprehensive safety inspection regardless of the CSHO-calculated DART and DAFWII rates. If the establishment is Office-Only, see paragraph X.I. The non-responder establishments will be identified on the Area Offices' inspection lists by three asterisks (***). If they have a different SIC/NAICS code, see paragraphs X.F, *Different SIC/NAICS Codes* and XIII.B, *Verify SIC/NAICS Codes*.

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.

XIV. Relationship to Other Programs.

A. Unprogrammed Inspections.

Unprogrammed inspections will be conducted according to OSHA's *FOM* ([CPL 02-00-150](#)) or other pertinent policy and procedure documents. If the occasion for an unprogrammed (e.g., complaint, catastrophe, or fatality) inspection arises with respect to an establishment that is also in the current inspection cycle to receive a programmed inspection under the SST-11 plan, the two inspections may be conducted either concurrently or separately. See paragraph XV.B. of this Notice.

B. Emphasis Programs.

An establishment that is on the Primary List may be moved to the current inspection cycle if it is also on any Emphasis Program inspection list (that is, any Special, National, Regional or Local Emphasis Program). If an Area Office has finished their Primary List and is working off its Secondary List, the establishment can be added to the current cycle of their Secondary List. Contact OSA to have the establishment placed in the current SST cycle.

Some establishments may be selected for inspection under the SST-12 plan and also under one or more other OSHA 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-12 plan. Whenever an establishment is scheduled for inspection on the current cycle of the SST-12 plan and on the current cycle of an Emphasis Program, both inspections may be scheduled at the same time. CSHOs will apply all applicable OSHA 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 XV.C., *Recording & Tracking – SST Combined with Emphasis Program Inspections*, of this Notice.

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-12 inspection thresholds.

C. Process Safety Management Inspections.

Inspections conducted under the SST plan will address process safety management where 29 CFR 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 the OSHA Instruction, [CSP](#), *PSM-Covered Chemical Facilities National Emphasis Program*, issued on July 8, 2010. **NOTE:** Inspections under the Chemical NEP may be done concurrently with SST inspections.

XV. Recording and Tracking.

A. SST-Only Inspections.

The OSHA-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 Notice as mentioned in paragraph XIII.A.1., *Inspection Procedures – Scope*, are also to be coded as SST inspections. See also, NOTE for paragraph XV.B., below.

B. SST Combined with Unprogrammed Inspections.

For all unprogrammed inspections conducted in conjunction with an SST inspection, the OSHA-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 XIII.A.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, REPs and LEPs conducted in conjunction with an SST inspection, the OSHA-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 OSHA 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 OSHA-1 Form must be marked “unprogrammed.”

E. 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).

XVI. 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

Approximately 80,000 establishments were surveyed in the 2011 ODI that collected 2010 injury and illness data. Establishments with 20 or more employees in the following industries were included in the data collection.

SIC INDUSTRY

0181 ORNAMENTAL NURSERY PRODUCTS
0182 FOOD CROPS GROWN UNDER COVER

0211 BEEF CATTLE FEEDLOTS
0212 BEEF CATTLE, EXCEPT FEEDLOTS
0213 HOGS
0214 SHEEP & GOATS
0219 GENERAL LIVESTOCK, NEC
0241 DAIRY FARMS
0251 BROILER, FRYER, & ROASTER CHICKENS
0252 CHICKEN EGGS
0253 TURKEYS & TURKEY EGGS
0254 POULTRY HATCHERIES
0259 POULTRY & EGGS, NEC
0271 FUR-BEARING ANIMALS & RABBITS
0272 HORSES & OTHER EQUINES
0273 ANIMAL AQUACULTURE
0279 ANIMAL SPECIALTIES, NEC
0291 GENERAL FARMS, PRIMARILY ANIMAL

0783 ORNAMENTAL SHRUB & TREE SERVICES
15-17 CONSTRUCTION (NOT IN SCOPE OF SST-12)
20-39 MANUFACTURING

4212 LOCAL TRUCKING WITHOUT STORAGE
4213 TRUCKING, EXCEPT LOCAL
4214 LOCAL TRUCKING WITH STORAGE
4215 COURIER SERVICES, EXCEPT BY AIR
4221 FARM PRODUCT WAREHOUSING & STORAGE
4222 REFRIGERATED WAREHOUSING & STORAGE
4225 GENERAL WAREHOUSING & STORAGE

4226 SPECIAL WAREHOUSING & STORAGE, NEC
 4231 TRUCKING TERMINAL FACILITIES

 4311 U.S. POSTAL SERVICE

 4491 MARINE CARGO HANDLING
 4492 TOWING & TUGBOAT SERVICE
 4493 MARINAS
 4499 WATER TRANSPORTATION SERVICES, NEC

 4512 AIR TRANSPORTATION, SCHEDULED
 4513 AIR COURIER SERVICES
 4581 AIRPORTS, FLYING FIELDS, & SERVICES

 4783 PACKING & CRATING

 4953 REFUSE SYSTEMS

 5012 AUTOMOBILES & OTHER MOTOR VEHICLES
 5013 MOTOR VEHICLE SUPPLIES & NEW PARTS
 5014 TIRES & TUBES
 5015 MOTOR VEHICLE PARTS, USED
 5031 LUMBER, PLYWOOD & MILLWORK
 5032 BRICK, STONE, & RELATED MATERIALS
 5033 ROOFING, SIDING, & INSULATION
 5039 CONSTRUCTION MATERIALS, NEC
 5051 METALS SERVICE CENTERS & OFFICES
 5052 COAL & OTHER MINERALS & ORES
 5093 SCRAP & WASTE MATERIALS

 5141 GROCERIES, GENERAL LINE
 5142 PACKAGED FROZEN FOODS
 5143 DAIRY PRODUCTS EXC. DRIED OR CANNED
 5144 POULTRY & POULTRY PRODUCTS
 5145 CONFECTIONERY
 5146 FISH & SEAFOODS
 5147 MEATS & MEAT PRODUCTS
 5148 FRESH FRUITS & VEGETABLES
 5149 GROCERIES & RELATED PRODUCTS, NEC
 5181 BEER & ALE
 5182 WINE & DISTILLED BEVERAGES

 5211 LUMBER & OTHER BUILDING MATERIALS

5311 DEPARTMENT STORES

8051 SKILLED NURSING CARE FACILITIES

8052 INTERMEDIATE CARE FACILITIES

8059 NURSING & PERSONAL CARE, NEC

8062 GENERAL MEDICAL & SURGICAL HOSPITALS

8063 PSYCHIATRIC HOSPITALS

8069 SPECIALTY HOSPITALS, EXC PSYCHIATRIC

OSHA's collection of information regarding occupational injuries and illnesses has been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995. The data collection requested occupational injury and illness data and employment and hours worked data from selected employers in the above Standard Industrial Classifications (SICs).

In addition, OSHA collected data from establishments that were visited by OSHA and are required to maintain the OSHA Log. Information was also collected from public sector establishments in certain State Plan states. See *Federal Register*, May 22, 2006 (Vol. 71, No. 98, pp. 29355-29356).

For further information concerning the ODI, contact the Directorate of Evaluation and Analysis, Office of Statistical Analysis, Occupational Safety and Health Administration, U.S. Department of Labor, Room N3507, 200 Constitution Avenue, NW, Washington, DC 20210, telephone (202) 693-1886.

Source: OSHA, Directorate of Evaluation and Analysis, Office of Statistical Analysis.

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. See paragraph XII.D.1.

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 Regional Administrator. See paragraph XII.D.2.

If an establishment is a VPP applicant, and a VPP on-site review has been scheduled for within 75 calendar days, programmed inspections will be deferred. See paragraph XI.D.3.

If an establishment is in pre-SHARP status, it may be deferred for up to 18 months. See paragraph XI.D.4.

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 from programmed inspections. See paragraph XI.D.2.

Strategic Partnership Sites

If the establishment is a participant in the OSHA Strategic Partnership Program, it may be deleted in accordance with CSP 03-02-002 paragraph XIV.B.5.a.i. and paragraph XII.C. of this Notice. The deletion may also be extended for one year pursuant to CSP 03-02-002 paragraph XIV.B.5.a.ii. Check with the Area Director. See paragraph XII.C.

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 X.F., *Different SIC/NAICS Codes* and XIII.B., *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** it 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. See paragraph X.E.

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. See paragraph XI.E.3.

Ownership

If the establishment changed ownership since December 31, 2010, and the period of new ownership is less than six months, go to paragraph XIII.E.1.

If the establishment changed ownership since December 31, 2010, and the period of new ownership is six months or more, recalculate the rate for the period of new ownership. See XIII.E.2.

If the period of new ownership is 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 years. See paragraph XIII.G.

OSHA-300 Logs for 2012 (and 2013 when applicable) may also 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 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 non-responder establishments referred to in paragraph X.B.2 will receive a comprehensive safety inspection regardless of their calculated DART and DAFWII rates. These establishments will be identified on the Area Offices’ inspection lists by three asterisks (***). NOTE: If Office-Only, see X.I.
- 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 XIII.A.1. 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 OSHA-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. See paragraph XVI.

APPENDIX C

SST Website

Enter Website with ID and password.

From the main page, select **Create**.

The next page will display the total number of establishments in your database and the total number of establishments that are available for selection in the next cycle. For the cycle selection, there are two steps.

Step 1 Enter a name for the cycle. This will allow you to return to the list of establishments chosen in this cycle.

Step 2 Enter the number required for this cycle.
Or
Enter the percent of those available that is required for this cycle.

Then click on the “create cycle” button and the cycle will be created by randomly selecting the desired number of establishments from those available.

The establishments selected will be displayed next. There are three branches from this page. The top of the list contains print and downloading functions.

The DUNS # and Name columns are highlighted in blue. Clicking on the name of the establishment will send you to the IMIS/OIS establishment search with this establishment name entered. Clicking on the DUNS # will open a page with other print options for more data on this establishment or the industry of the establishment.

For further assistance in using the SST web application, please utilize the Help function on the website or contact the Office of Statistical Analysis.

Source: OSHA, Directorate of Evaluation and Analysis, Office of Statistical Analysis.

INDEX

Area Director.....	14, 16, 17, 20, 21, B-1
Cancellations.....	2
Carryovers.....	14, 17
Checklist.....	23, B-1
Construction.....	1, 5, 8, 22, A-1, B-1
Consultation.....	1,2, 4, 15, 16, 19, 20, B-1
CPL 02-00-025.....	1, 3, 14, 17, 18
CPL 02-00-051.....	1
CPL 02-00-150.....	1, 6, 13, 21, 22, 25
CPL 02-00-135.....	2, 7
CPL 02-02-045.....	2, 26
CPL 10-05 (CPL 02).....	2, 26
CSP 01-00-002.....	2
CSP 02-00-002.....	2, 4, 16, 20
CSP 03-01-003.....	2
CSP 03-02-002.....	2, 8, 15, 19, B-1
Cycle Size.....	14
DAFWII.....	4, 7, 9, 10, 11, 12, 23, 24, 25, B-2 to B-4
DART.....	4, 6, 7, 9, 10, 11, 12, 23, 24, 25, B-2 to B-4
OSHA Data Initiative.....	4, 5, 6, 10, 11, 13, 24, A-1, A-3, B-2
Data Survey.....	10, 13
Deferrals.....	4, 14, 15, 16, 19
Definitions.....	6
Deletions.....	4, 8, 14, 15, 16, 17, 18, B-1
Different Address.....	11
Different SIC/NAICS Codes.....	10, 11, 22, 25, B-2
DUNS number.....	24, 26, 27, 28, B-3, B-5
Establishment.....	7
Evaluation Study.....	8
Expiration Date.....	2, 14, 15, 17
High-Rate Industries.....	5
IMIS.....	21, 24, B-3, B-4, C-1
Inspection Procedures.....	14, 20, 27
NAICS.....	6, 10, 11, 22, 25, B-2
Non-Responders.....	10
Nursing and Personal Care Facilities.....	9, 10, 21, 22
Office-Only.....	10, 12, 13, 20, 25, B-4
OIS.....	21, 24, B-3, B-4, C-1
Ownership.....	23, 24, 27, B-2, B-3, B-5
Partnership.....	2, 8, 15, 18, 19, 22, B-1
Pre-SHARP.....	4, 16, B-1

Primary Inspection List	8, 9, 13, 17
Process Safety Management Inspections	26
Public Sector Employers	18, 19
Purpose.....	1
Recording.....	1, 20, 26
Recordkeeping	2, 6, 7, 11, 12, 12, 25, B-4
References	1
Regional Administrator.....	17, 19, 20, 21
Scheduling.....	1, 3, 4, 13, 14, 17, 18
Scope.....	1, 14, 15, 18, 19, 20, 21, 22, 26, 27
Secondary Inspection List	9, 10, 14
Selection Criteria	9
SHARP.....	4, 15, 16, 18, 19, B-1
SIC	6, 10, 11, 17, 18, 21, 22, 25, A-1, A-3, B-2
SST software	14, 15, 18
Tertiary Inspection List	10, 13, 19
Tracking	20, 26
Unprogrammed Inspections	16, 25, 27, B-4
VPP	2, 4, 15, 16, 18, 19, B-1
VPP Applicant	16, B-1