

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

**Raleigh, NC**

Field Information System

CPL 2 (04-02)

***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 2003. 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 Operations Manual and the appropriate OSH Division management person (District Supervisor, Bureau Chief, or Assistant Director), respectively.

Paragraphs in the CPL 2 (04-02) relating to Primary Inspections Lists (Para. X.A), assignment of a group of low rate establishments from high rate industries (App. D), Secondary Inspections Lists (Para. X.B.), Cycle Size (Para. XI.A), and Deletions (Para. XII) will not be used by OSHNC. 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.**

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  
7/26/04  
Date of Signature



# OSHA NOTICE

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

**DIRECTIVE NUMBER:** 04-02 (CPL 02)

**EFFECTIVE DATE:** April 19, 2004

**SUBJECT:** Site-Specific Targeting 2004 (SST-04)

---

## ABSTRACT

**Purpose:** This Notice implements OSHA's Site-Specific Targeting 2004 (SST-04) inspection plan, and replaces the October 20, 2003 Notice that implemented OSHA's revised Site-Specific Targeting 2003 (SST-03) inspection plan.

**Scope:** OSHA-wide

**References:** OSHA Instruction CPL 02-00-131, Recordkeeping Policies and Procedures Manual (RKM), January 1, 2002; OSHA Instruction CPL 02-00-025, Scheduling System for Programmed Inspections, January 4, 1995; OSHA Instruction CPL 02-00-103, Field Inspection Reference Manual (FIRM), September 26, 1994; OSHA Instruction CSP 02-00-022, State Plan Policies and Procedures Manual, March 21, 2001; and OSHA Instruction CSP 03-02-001, OSHA Strategic Partnerships for Worker Safety and Health, November 13, 1998.

**Cancellations:** OSHA Notice 03-09 (CPL 02), Site-Specific Targeting 2003 (SST-03), revised, October 20, 2003.

**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 paragraph XI.A.

**State Impact:** State adoption required in part, See paragraph VI.

**Action Offices:** National, Regional, and Area Offices

**Originating Office:** Directorate of Enforcement Programs

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

By and Under the Authority of

John L. Henshaw  
Assistant Secretary

## **Executive Summary**

This Notice cancels and replaces OSHA Notice 03-09 (CPL 02), Site-Specific Targeting 2003 (SST-03), revised, issued October 20, 2003. Except for construction inspections, this Notice explains OSHA's major site-specific targeting inspection program at this time.

This Notice defines key terms, describes the Primary and Secondary Inspection Lists, provides scheduling and inspection procedures, and gives information on IMIS coding. Four appendixes give information on the industry groups included in the 2003 OSHA Data Initiative, provide a checklist for compliance safety and health officers (CSHOs), instruct Area Offices on how to use the Inspection Targeting website, and provide a list of high rate industries.

## **Significant Changes**

- Increase the threshold DART rate and DAFWII case rate for the Primary Inspection List.
- Revise the criteria for selecting the 200 low-rate establishments from high-rate industries that are added to the Primary List.
- Add a provision concerning OSHA's Enhanced Enforcement Program (EEP).
- Add to the Primary Inspection List establishments that did not respond to the 2003 OSHA Data Initiative survey.
- Add a provision concerning deferrals of establishments that request an initial full-service OSHA consultation visit.
- Make it mandatory that compliance officers do a partial walkthrough for "records only" inspections.

## TABLE OF CONTENTS

ABSTRACT.....	ABSTRACT-1
TABLE OF CONTENTS.....	I
I. PURPOSE .. .....	1
II. SCOPE .. .....	1
III. REFERENCES.....	1
IV. CANCELLATIONS.....	2
V. EXPIRATION DATE .. .....	2
VI. FEDERAL PROGRAM CHANGE.....	2
VII. SIGNIFICANT CHANGES.....	4
VIII. ACTION INFORMATION.....	4
IX. DEFINITIONS.....	5
A. <i>DATA INITIATIVE (A.K.A. DATA SURVEY)</i> .....	5
B. <i> DAYS AWAY, RESTRICTED, OR TRANSFERRED (DART) RATE</i> .....	5
C. <i> DAYS AWAY FROM WORK INJURY AND ILLNESS (DAFWII) CASE RATE</i> .....	5
D. <i>ESTABLISHMENT</i> .....	6
E. <i> LOST WORKDAY INJURY AND ILLNESS (LWDII) RATE</i> .....	6
F. <i> PARTNERSHIP</i> .....	7
X. DESCRIPTION OF THE SITE-SPECIFIC TARGETING 2004 (SST-04) PLAN.....	7
A. PRIMARY INSPECTION LIST.....	7
B. SECONDARY INSPECTION LIST.....	8
C. ESTABLISHMENTS WITH FEWER THAN 40 WORKERS.....	8
D. DIFFERENT SIC CODE .. .....	8
E. DIFFERENT ADDRESS THAN ON ODI DATA SHEET.....	9
F. NURSING AND PERSONAL CARE FACILITIES.....	9
G. 2003 OSHA DATA SURVEY NON-RESPONDERS. .. .....	9
XI. SCHEUDLING .. .....	10

XII. DELETIONS.....	11
XIII. INSPECTION PROCEDURES.....	13
A. SCOPE .....	13
B. VERIFY SIC CODE.....	13
C. CITATIONS.....	14
D. RECORDKEEPING VIOLATIONS.....	14
E. COMPLIANCE OFFICERS (CSHOs).....	14
F. OWNERSHIP.....	14
G. CALCULATE LWDII, DART, AND DAFWII.....	15
XIV. RELATIONSHIP TO OTHER PROGRAMS.....	16
A. UNPROGRAMMED INSPECTIONS.....	16
B. SPECIAL EMPHASIS PROGRAMS .....	16
C. PROCESS SAFETY MANAGEMENT INSPECTIONS .....	17
D. PARTNERSHIPS .....	17
XV. RECORDING AND TRACKING.....	17
XVI. DUN & BRADSTREET'S NUMBER.....	18
APPENDIX A .....	A-1
APPENDIX B .....	B-1
APPENDIX C .....	C-1
APPENDIX D .....	D-1
INDEX .....	INDEX-1

- I. Purpose. This Notice implements OSHA's Site-Specific Targeting 2004 (SST-04) inspection plan, and replaces the October 20, 2003 Notice that implemented OSHA's revised Site-Specific Targeting 2003 (SST-03) inspection plan.
- II. Scope. This Notice applies OSHA-wide.
- III. References.
  - A. 29 CFR Part 1904, Recording and Reporting Occupational Injuries and Illness.
  - B. 29 CFR Part 1908, Consultation Agreements.
  - C. Revisions to the Voluntary Protection Programs to Provide Safe and Healthful Working Conditions, *Federal Register*, December 8, 2003 (68 FR 68475).
  - D. Occupational Injuries and Illnesses; Recording and Reporting Requirements, *Federal Register*, January 19, 2001 (66 FR 5915).
  - E. OSHA Directives.
    - CPL 02-00-131, Recordkeeping Policies and Procedures Manual (RKM), January 1, 2002.
    - CPL 02-00-051, Enforcement and Limitations under the Appropriations Act, May 28, 1998.
    - CPL 02-00-025, Scheduling System for Programmed Inspections, January 4, 1995.
    - CPL 02-00-103, Field Inspection Reference Manual (FIRM), September 26, 1994.
    - CPL 02-02-045, Process Safety Management of Highly Hazardous Chemicals--Compliance Guidelines and Enforcement Procedures, September 28, 1992.
    - CSP 01-00-002 (formerly STP 2-0.22B), State Plan Policies and Procedures Manual, March 21, 2001
    - CSP 03-02-001 (formerly TED 8-0.2), OSHA Strategic Partnerships for Worker Safety and Health, November 13, 1998

- [CSP 02-00-001](#) (formerly TED 3.6), Consultation Policies and Procedures Manual, August 6, 2001

F. Log Data Collection System Procedures Manual, Version 8.0: 2002 Log Data Collection Initiative

G. Bureau of Labor Statistics (BLS), Table 1. Incidence Rates of Nonfatal Occupational Injuries and Illnesses by Industry and Selected Case Types, 2002

H. Memorandum of September 30, 2003 from Deputy Assistant Secretary R. Davis Layne to Regional Administrators entitled “Interim Implementation of OSHA’s Enhanced Enforcement Policy (EEP).”

IV. Cancellations. OSHA Notice 03-09 (CPL 02), Site-Specific Targeting 2003 (SST-03), revised, dated October 20, 2003 is cancelled.

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 paragraph XI.A.

VI. Federal Program Change. This Notice describes a federal OSHA program change for which state adoption is required in part. The site-specific targeting inspection plan described in this Notice is not required to be adopted by states; however, states are required to have their own inspection targeting systems (a “core inspection policy”), which must be documented in their State Plans. The State’s targeting system must include the elements of the plan described in paragraph VI.B., below.

A. State Targeting Systems.

1. Targeting options available to states:

Use an existing state-developed high hazard inspection targeting system based on available state data.

Use an existing high hazard inspection targeting system based on OSHA Instruction CPL 02-00-025, which is based on Bureau of Labor Statistics (BLS) injury/illness rate data. (The Office of Statistical Analysis will continue to make these state-specific lists available to a state annually, upon specific request.)

Use the targeting inspection plan set out in this Notice. The plan is based on establishment-specific employer DART and DAFWII data obtained through the

2003 Data Initiative. (The Office of Statistical Analysis will provide a Data Initiative list of high-rate employers within the state and criteria for inspection categories, upon specific request.)

2. If a state adopts or develops a different inspection scheduling system from that indicated in its response to the April 15, 1999 two-way memorandum on scheduling, the state must notify the Regional Administrator of the change and provide a plan supplement describing its inspection targeting program, if it differs from the Federal system outlined in this Notice.

**B. Required Changes.**

1. In accordance with CSP 02-00-001, the Consultation Policies and Procedures Manual (Chapter I, Section IV.B), States must establish a recognition and exemption program and adopt compliance policies and procedures related to the implementation of the Occupational Safety and Health Administration Compliance Assistance Authorization Act of 1998, which amended the Occupational Safety and Health Act of 1970, and 29 CFR Part 1908, as amended on October 26, 2000. As related to inspection targeting, these include:

Discretionary authority for deleting applicants working toward exemption program participation (comparable to pre-SHARP) from targeted inspection lists (§1908.7(b)(4)(i)(A)). See paragraph XII.F., of this Notice.

Deletions for State recognition and exemption program participants (comparable to SHARP) from targeted inspection lists (§1908.7(b)(4)(i)(B)). See paragraphs XII.D., of this Notice.

2. Within 6 months of the date of issuance of this Notice, States must update their inspection targeting systems to reflect the possible deletions of establishments in those programs comparable to pre-SHARP, and deletions of those programs comparable to SHARP, as described in paragraph XII of this Notice. If the State change is identical to the Federal procedures in this Notice, the State must submit documentation to that effect to the Regional Administrator. If the State change differs from the Federal procedures, the State must submit a plan supplement including the change document, documentation that the change has been implemented and distributed to appropriate staff, and a list of significant differences with a statement of how the State's change is at least as effective as OSHA's procedures. State submissions should also reflect any other changes made to the State's targeting system, such as those discussed in section C, below.

C. Discretionary Changes.

1. States may, but are not required to, defer an inspection or assign lower priority, for up to 90 days, to establishments which have requested a full-service consultation visit and that visit has been scheduled. See paragraph XI.B.2. of this Notice.
2. States adopting procedures comparable to OSHA's Enhanced Enforcement Program (EEP) should make appropriate revisions to their targeting systems as discussed in third paragraph of X.B. of this Notice.

VII. Significant Changes.

- A. The threshold DART rate and DAFWII case rate is increased for the Primary Inspection List. For this SST plan the Primary List will include those establishments with a DART rate at or above 15.0, **or** a DAFWII case rate at or above 10.0. Only one of these criteria needs to be met for an establishment to be included on the Primary List. See paragraph X.A.
- B. The criteria for selecting the 200 low-rate establishments from high-rate industries, which will be added to the Primary List, are revised. See X.A., first paragraph after examples.
- C. A provision is added concerning OSHA's Enhanced Enforcement Program (EEP) and what deletion and deferral criteria will apply to those establishments that are moved from the Secondary Inspection List to the Primary Inspection List. See X.B., third paragraph.
- D. Establishments that did not respond to the 2003 OSHA Data Initiative survey are added to the Primary Inspection List. See paragraph X.G.
- E. Establishments that request an initial full-service consultation visit from the OSHA Consultation Program may be deferred for 90 days. See paragraph XI.B.2.
- F. Compliance officers are required to do a partial walkthrough for "records only" inspections. See XIII.G., last paragraph.

VIII. 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, VPP Managers, Partnership Coordinators/Managers, Compliance Assistance Coordinator, and Compliance Assistance Specialists.

IX. Definitions.

A. Data Initiative (a.k.a. Data Survey): The Data Initiative 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 Data Initiative is OSHA’s Annual Survey that is referred to in 29 Code of Federal Regulations 1904.41

Note: The **2002** injury and illness data that was collected by the **2003** Data Initiative is used in the **2004** Site-Specific Targeting program.

B. 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 transfer; 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 workers, worked 645,089 hours at the worksite. 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  $(22 \div 645,089) \times (200,000) = 6.8$ .*

Note: The DART rate will eventually replace the Lost Workday Injury and Illness (LWDII) rate. For the SST-04 the DART rate will be used for the 2002 and 2003 data. See paragraph XIII.G.

C. 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 (or Columns 3 and 10 from the OSHA-200 Log).

For example from the OSHA-300 Log: *Employees of an establishment, including management, temporary, and leased workers, worked 452,680 hours at the worksite. 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  $(25 \div 452,680) \times (200,000) = 11.0$ .*

For example from the OSHA-200 Log: *Employees of an establishment, including management, temporary, and leased workers, worked 452,680 hours at the worksite. There were 25 injury and illness cases involving days away from work from the OSHA-200 Log (total of column 3 plus column 10). The DAFWII case rate would be  $(25 \div 452,680) \times (200,000) = 11.0$ .*

D. *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 purposes of this Notice, the term *Establishment* does not include construction worksites.

For a more detailed definition of *Establishment* see Chapter 2, paragraph VII.B. of CPL 02-00-131, Recordkeeping Policies and Procedures Manual.

E. *Lost Workday Injury and Illness (LWDII) Rate*: The LWDII rate, used with the 2001 data (see paragraph XIII.G.), includes cases involving days away from work and restricted work activity and is calculated based on  $(N \div EH) \times (200,000)$  where N is the number of lost work day injuries and illnesses combined; EH is the total number of hours worked by all workers during the calendar year; and 200,000 is the base hours worked for 100 full-time equivalent workers.

For example: *Employees of an establishment, including management, temporary, and leased workers, worked 645,089 hours at the worksite. There were 22 lost workday injuries and illnesses from the OSHA-200 (totals in columns 2 and 9). The LWDII rate would be  $(22 \div 645,089) \times (200,000) = 6.8$ .*

Note: The DART rate will eventually replace the LWDII rate, but for the SST-04 program the LWDII rate will be used for the 2001 data.

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 03-02-001, and for which there is a signed partnership agreement.

X. Description of the Site-Specific Targeting 2004 (SST-04) Plan.

A. **Primary Inspection List**. The SST-04 plan selects for inspection individual worksites (except construction), as identified through the 2003 Data Initiative survey. The national DART rate for private industry for 2002 was 2.8, and the DAFWII case rate for private industry was 1.6. See X.F. regarding nursing and personal care facilities.

The SST-04 plan initially selects for inspection all worksites with a DART rate at or above 15.0, **or** a DAFWII case rate at or above 10.0 (only one of these criteria must be met). This is approximately 4,000 sites.

*Examples: An establishment with a 12.0 DART rate and a DAFWII case rate of 10.0, will be included on the Primary List.*

*An establishment with a 15.0 DART rate, and a DAFWII case rate of 8.0, will be included on the Primary List.*

*An establishment with a 16.0 DART rate, and a DAFWII case rate of 10.0, will be included on the Primary List.*

*An establishment with a 13.0 DART rate, and a DAFWII case rate of 8.0, will **not** be included on the Primary List.*

In order to review the actual degree of compliance with OSHA requirements by establishments that report low DART **and** DAFWII rates, 200 low rate establishments, with 200 employees or more, will be randomly selected and added to the Primary List. These establishments will have DART rates between 0.0 and 4.0 **and** DAFWII case rates between 0.0 and 2.0. The establishments are selected from industries (i.e. SICs) that have DART rates of 8.0 or greater, **or** DAFWII case rates of 4.0 or greater, as reported by the Bureau of Labor Statistics (BLS), in Table 1. Incidence Rates of Nonfatal Occupational Injuries and Illnesses by Industry and Selected Case Types, 2002. (See Appendix D for a list of these high rate industries.) The 200 establishments selected will be identified on the Area Offices' inspection lists by two asterisks (\*\*).

For SIC 0783, Ornamental Shrub and Tree Services, 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) all currently active sites where employees are performing ornamental shrub or tree services, and then choose one worksite to inspect.

See also paragraphs X.F. and X.G. for additional establishments on the Primary Inspection List.

B. Secondary Inspection List. If an Area Office completes its inspections of all establishments with DART rates at or above 15.0, **or** DAFWII case rates at or above 10.0 (i.e., the Primary Inspection List in X.A., above) before the expiration of this SST program, it may obtain additional establishments from the Secondary Inspection List. See X.F. regarding nursing and personal care facilities.

The Secondary List will contain those establishments not on the Primary List and reporting DART rates of 8.0 or greater but less than 15.0, **or** a DAFWII case rate of 4.0 or greater but less than 10.0. Only one of these criteria must be met. These establishments will be inspected using the procedures in this Notice.

An establishment on the Secondary Inspection List that is moved to the Primary List under OSHA's Enhanced Enforcement Policy (EEP) (see Memorandum of September 30, 2003, referenced at III.H., or any superceding document) will be scheduled for inspection under the procedures set forth in paragraph XI, below. However, these establishments will not be deleted under paragraph XII, unless they are VPP or SHARP sites, or in the process of applying for VPP, or in pre-SHARP status. An establishment participating in an OSHA strategic partnership (OSP) may be deferred in accordance with paragraph XI.B.1., below.

C. Establishments with Fewer than 40 Workers. If an establishment to be inspected under the SST-04 plan has fewer than 40 workers 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 workers and either its calculated DART rate is at or above 8.0, **or** its DAFWII case rate is at or above 4.0, or records are not available. See XIII.G., below for more details on calculating DART and DAFWII rates.

D. Different SIC Code. If an establishment on the Primary or the Secondary Inspection List (including those identified by \*\*\* referred to in paragraph X.G.) is found to have a SIC code not on the Data Initiative SIC code list (Appendix A), proceed with the inspection if the establishment has a calculated DART rate at or above 8.0, **or** a DAFWII case rate at or above 4.0. Enter the correct SIC code on the OSHA-1. If injury and illness records are not available for the CSHO to make a determination, proceed with the inspection.

If the establishment is a low rate establishment [described in first paragraph after the examples in X.A.; those identified by two asterisks (\*\*)], but its correct SIC code is not on the high rate industries list in Appendix D, proceed with the inspection only if it has a calculated DART rate at or above 8.0, **or** a DAFWII case rate at or above 4.0. Enter the correct SIC code on the OSHA-1. If injury and illness records are not available for the CSHO to make a determination, proceed with the inspection

E. Different Address than on ODI data sheet. Occasionally the ODI data sheet will 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 of a different SIC activity of the employer, or even the home address of the person completing the ODI survey.

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 Office of Statistical Analysis must be informed so that its records can be corrected.

F. Nursing and Personal Care Facilities. For the SST-04 plan, establishments in SIC Codes 8051, 8052, and 8059 will be added to the Primary Inspection List. Only the highest 50% rated establishments in these three SIC Codes with either a DART rate at or above 15.0 **or** a DAFWII case rate at or above 10.0 are included in the Primary List. No establishments in these three SIC Codes are added to the Secondary List.

Inspections in SIC Codes 8051, 8052, and 8059 will focus primarily on the hazards which are prevalent in these industries, specifically ergonomic stressors relating to resident handling; exposure to blood and other potentially infectious materials; exposure to tuberculosis; and slips, trips, and falls. As detailed in the FIRM, when additional hazards come to the attention of the compliance officer, the scope of the inspection may be expanded to include those hazards.

G. 2003 OSHA Data Survey Non-Responders. Establishments that did not provide rate information in accordance with the 2003 OSHA Data Initiative survey by March 3, 2004 have been added to the Primary Inspection List. The establishments selected will be identified on the Area Offices' inspection lists by three asterisks (\*\*\*) and will not be deleted from the list. See X.D., first paragraph.

XI. Scheduling. The National Office 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 X.B., the National Office will also provide each Area Office with a Secondary Inspection List. The software and databases will be available on the SST website. Only OSHA National Office, Regional Offices, Area Offices, and State Plan states will be able to access this website.

A. Cycle Size. Inspection cycles for the Primary and Secondary Inspection Lists will be generated using the SST software that randomly selects the establishments. See Appendix C. 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.

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 before any establishments in a new cycle may be inspected. The exceptions are provided in OSHA Instruction CPL 02-00-025, at paragraph B.1.b.(1)(e)1, which lists when carryovers will be allowed. In addition, the establishments in any cycle begun but not yet completed by the expiration date of this Notice must be inspected even if the inspection is initiated after the expiration date.

B. Deferrals.

1. OSHA Strategic Partnerships (OSP). An establishment participating in an OSP in accordance with OSHA Instruction CSP 03-02-001, and for which there is a signed agreement, may be carried over to a future cycle to allow the SST inspection to be deferred for six months from the signing of the partnership agreement or an establishment's subsequent entry into the partnership. The Regional Partnership Coordinator/Manager will be contacted if there are questions regarding a specific workplace. See also Deletions at XII.C., and Scope at XIII. A., second paragraph.
2. OSHA Consultation Program. An establishment that has requested an initial full-service consultation visit from the OSHA Consultation Program, **and** that visit has been scheduled by the State Consultation

Program, may be deferred from the SST inspection for 90 days from the date of notification by the State Consultation Program to the Area Office. No extension of the deferral beyond the 90 days is possible, unless the consultation visit is “in progress,” which begins at the opening conference of the consultation visit. See 29 CFR 1908.7(b)(1).

C. Inspection Priority. Normally the first inspection priority for Area Offices is to conduct unprogrammed inspections, and the inspection priorities as described in the FIRM (OSHA Instruction CPL 02-00-103) will be followed, with the following additional guidance:

1. Area Offices that have started but not completed a cycle of inspections from the SST-03 plan must normally complete that cycle before moving to inspections under the SST-04 plan, but see XI.A., fourth paragraph, regarding carryovers. Any remaining cycles under SST-03 that have not been started will not be used.
2. All establishments on the SST-04 Primary Inspection List must be inspected unless, in view of resource considerations, the Regional Administrator has received special approval (generally in advance) from the Deputy Assistant Secretary to conduct a smaller number of inspections. Approval will normally require the Area Office to complete all inspections in the current cycle.

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 the Primary List, and as many on the Secondary List as resources permit. With regard to establishments that are in SIC codes 3731 and 3732, the federal office, in coordination with the state plan, must determine whether the state, OSHA, or both have jurisdiction over the establishment.

3. The Secondary Inspection List does not have to be completed before the expiration date of this Notice.
4. Area Offices will continue to conduct other programmed inspections under national emphasis programs, or under local emphasis/initiative programs as the Area Office and Regional goals dictate.

XII. Deletions. Area Offices will be responsible for making appropriate deletions from the inspection list, such as for establishments that are no longer in business, in accordance with CPL 02-00-025 at B.1.b.(1)(b)6.d., except for criteria H# and S#.

A. Previous Inspections. Establishments that received a **comprehensive safety and health inspection** (or establishments in SIC Codes 8051, 8052, and 8059 that have received a focused inspection as described in paragraph X.F.) within the previous 24 months of the creation of the current inspection cycle, will be deleted from the inspection list. The comprehensive inspection need not have been initiated by an SST inspection. See also Scope at XIII.A.

For deletion purposes, the date when an establishment is considered to have received a comprehensive safety and health 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 24 months of the creation of the current inspection cycle, the establishment will be deleted from the list for SST-04 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), except the U.S. Postal Service, appear on the Primary or Secondary Inspection Lists, they are to be deleted. **Remember:** The OSH Act was amended in 1998 to treat the U.S. Postal Service as a private sector employer.

C. Partnerships. If an establishment is participating in an OSHA Strategic Partnership, it may be deleted from the SST inspections lists in accordance with paragraph IX.J.1. of CSP 03-02-001, or any superceding document. See also Deferrals at XI.B.1., and Scope at XIII.A., second paragraph.

D. VPP or SHARP. If the establishment is an approved participant in OSHA’s Voluntary Protection Programs (VPP), or in OSHA Consultation’s Safety and Health Achievement Recognition Program (SHARP), it is to be deleted from the inspection list. This also includes any low rate establishments referred to in the first paragraph after examples in X.A. that are VPP or SHARP sites.

E. VPP Applicant. If an establishment is in the process of applying for OSHA’s Voluntary Protection Programs (VPP), the Area Director, upon receiving notification from the VPP Manager that a VPP onsite review has been scheduled, will delete any programmed inspection. The applicant worksite will be removed no more than 75 calendar days prior to the commencement of its scheduled pre-

approval onsite review and continue until official denial, applicant withdrawal, or, if approved to the VPP, subsequent cessation of active participation in the VPP. See Federal Register (68 FR 68475), which is referenced in paragraph III.C., above.

- F. **Pre-SHARP**. If an establishment is in pre-SHARP status, that is, in the process of meeting the criteria of an OSHA Consultation Safety and Health Achievement Recognition Program (SHARP), it may be deleted while the employer is working to achieve recognition and exemption status. See 29 CFR 1908.7(b)(4)(i)(A) and CSP 02-00-001, Chapter 7, paragraph II.
- G. **Enhanced Enforcement Program (EEP) Inspections**. As stated in third paragraph of X.B., above, establishments on the Secondary Inspection List that are moved to the Primary List in accordance with the EEP, will not be deleted unless they are VPP or SHARP sites, or in the process of applying for VPP, or in pre-SHARP status. An establishment participating in an OSHA strategic partnership (OSP) may be deferred in accordance with paragraph XI.B.1., below.

### **XIII. Inspection Procedures**

- A. **Scope**. Inspections conducted under this plan will be **comprehensive** programmed safety and health inspections as defined by the FIRM (OSHA Instruction CPL 02-00-103) and conducted in accordance with the procedures described there and in other guidance documents, except as provided in paragraph X.F. for nursing and personal care facilities. If, however, an establishment has had **either** a comprehensive safety **or** health inspection within the prior 24 months of the creation of the current inspection cycle, then only the other comprehensive inspection need be done and the CSHO may make a safety or a health referral for hazards observed. For scope purposes the date when an establishment is considered to have received a comprehensive safety or health inspection will be the *opening conference date*. For example, if the opening conference date for a safety inspection occurred within the previous 24 months of the creation of the current inspection cycle, the establishment will then receive only a health inspection, and vice versa.

An SST inspection at any partnership site will normally be a comprehensive safety and health inspection. At the Area Director's discretion the SST inspection instead may concentrate on the hazards jointly identified and targeted by OSHA and the partnership. See also Deferrals at XI.B.1., and Deletions at XII.C.

- B. **Verify SIC Code**. At the opening conference verify the establishment's SIC code. As needed, establish what activities occur at the workplace before determining the appropriate SIC code. See X.D., above, regarding different SIC Code.

If the establishment is a low rate establishment (described in first paragraph after examples in X.A. with \*\*), but its correct SIC code is **not** on the industries SIC code list in Appendix D, conduct the inspection only if it has a DART rate at or above 8.0, or a DAFWII case rate at or above 4.0. If injury and illness records are not available continue with the inspection.

- C. Citations. Violations will be cited and penalties proposed in accordance with the FIRM (OSHA Instruction CPL 02-00-103) and other guidance documents.
- D. Recordkeeping Violations. Whenever OSHA recordkeeping violations are identified, appropriate citations and penalties will be proposed, and supporting documentation will be provided, in accordance with guidance in the FIRM and the Recordkeeping Manual (CPL 02-00-131)
  - 1. Recordkeeping violations found on the OSHA-300 Log. If the CSHO identifies recordkeeping violations on the OSHA-300 Log, the Area Director will issue citations in accordance with CPL 02-00-131, Chapter 2, paragraph II.B.
  - 2. No copies of the OSHA-200 Log. If an employer is unable to produce copies of the OSHA-200 Log, the employer may be cited under 29 CFR 1904.44 for failing to retain copies of the OSHA-200 Log for the previous five years.
  - 3. Recordkeeping violations found on the OSHA-200 Log. If, upon review of an employer's OSHA-200 Log, the CSHO discovers an unrecorded case, no citations will be issued for failure to record the case on the OSHA-200.
- E. Compliance Officers (CSHOs). Inspections under the plan 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.
- F. Ownership. If the establishment has changed ownership after December 31, 2002, and has been under new ownership for less than six months, go to XIII.G. If you are unable to calculate LWDII or DART or DAFWII rates because new owner does not have records from previous owner, continue with the inspection.

If the establishment changed ownership after December 31, 2002, and has been under new ownership for six months or more, recalculate the rate for the period of new ownership. If the recalculated DART rate is below 8.0, **and** the DAFWII case rate is below 4.0, do not continue with the inspection. If the DART rate is at or above 8.0, **or** the DAFWII case rate is at or above 4.0, continue with the inspection. (When calculating the DART for the period of the new ownership, which may be less than a year, be sure both N and EH are for the new ownership period.)

In establishments where the ownership has changed, CSHOs must enter into the IMIS 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 (see paragraph XVI).

G. Calculate LWDII, DART, and DAFWII. During inspections under this Notice, the OSHA-200 Log for 2001, and the OSHA-300 Logs for 2002 and 2003 will be reviewed. The CSHO will calculate the LWDII rate for 2001, and the DART rate for 2002 and 2003. Also, the DAFWII case rate will be calculated for all three years.

The CSHO-calculated DART rate for 2002 will be compared to the DART rate reported by the employer in the OSHA 2003 Data Initiative data collection. Calculations will not be performed if, for any reason, the relevant records are not available. CSHOs will check OSHA-101/301 Forms, or equivalent, as they deem appropriate to validate the OSHA-200/300 Forms.

**FIRST:** If records are not available for CSHOs to make this determination, proceed with the comprehensive safety and health inspection.

**SECOND:** If the establishment's CSHO-calculated 2002 or 2003 DART rate is at or above 8.0 for either year, proceed with the inspection.

**THIRD:** If the above DART rates are both below 8.0, but the DAFWII case rate is at or above 4.0 for either 2002 or 2003, proceed with the inspection.

**FOURTH:** If the establishment's CSHO-calculated DART rates are less than 8.0 for both 2002 and 2003, **and** the DAFWII case rates for both years are less than 4.0, do a records review (not a records audit which requires the use of an audit software program) for 2003 only, and then recalculate the establishment's DART and DAFWII rates for 2003. If the DART rate for 2003 is below 8.0, **and** the DAFWII case rate is below 4.0, classify the inspection as a "records only" inspection and conduct a partial walkthrough inspection, as required by the last paragraph in this section, before exiting the facility. If either the DART rate is at

or above 8.0, **or** the DAFWII case rate is at or above 4.0, proceed with the inspection.

All low rate establishments referred to in first paragraph after examples in X.A. will receive a comprehensive safety and health inspection regardless of their CSHO-calculated LWDII, DART and DAFWII rates. The 200 establishments selected will be identified on the Area Offices' inspection lists by two asterisks (\*\*). If different SIC code, see paragraphs X.D., and XIII.B.

All non-responder establishments referred to in paragraph X.G. will receive a comprehensive safety and health inspection regardless of the CSHO-calculated LWDII, DART and DAFWII rates. The non-responder establishments selected will be identified on the Area Offices' inspection lists by three asterisks (\*\*\*). If different SIC code, see paragraphs X.D., and XIII.B.

If recordkeeping violations are discovered, see paragraph XIII.D., above, for when citations can be issued.

For "records only" inspections, a partial walkthrough **will** be conducted to interview workers in order to confirm and verify the injury and illness experience. Any serious violations that are observed 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 the FIRM (OSHA Instruction CPL 02-00-103) or other guidance documents. If the occasion for an unprogrammed (e.g., complaint, fatality) inspection arises with respect to an establishment that is also in the current inspection cycle to receive a programmed inspection under the SST-04 plan, the two inspections may be conducted either concurrently or separately. See also XV.B.
- B. **Special Emphasis Programs.** Some establishments may be selected for inspection under the SST-04 plan and also under one or more other OSHA initiatives (National Emphasis (NEP) or Local Emphasis (LEP) Programs). Programs based upon particular hazards (such as silica, lead, or amputations) or on particular industries (such as logging, scrap yards, or shipyards) can be run concurrently with the SST-04 plan; however, the SST-04 plan inspections have priority.

Whenever an establishment is scheduled for inspection on the current cycle of the SST-04 plan and on the current cycle of an NEP/LEP plan, the inspections may be scheduled at the same time. CSHOs will apply all applicable IMIS codes to the

inspection. The employer's DUNS number must also be recorded for each inspection since it is important for tracking. See also XV.C.

In the case of an establishment scheduled for inspection under both SST and a NEP/LEP, an inspection limited in scope to the safety and health issues targeted by the NEP/LEP program, may be conducted even though all CSHO-calculated rates for the establishment are found to be below the SST-04 inspection thresholds.

- C. Process Safety Management Inspections. Inspections conducted under the SST plan will address process safety management if 29 CFR 1910.119 applies to the establishment being inspected. Such inspections must be comprehensive safety and health inspections regardless of whether the establishment's SIC code is one of those specified in OSHA Instruction CPL 02-02-045; however, they will not normally be Program-Quality-Verification (PQV) inspections as defined by that instruction.
- D. Partnerships. If an OSHA Strategic Partnership verification inspection is scheduled close in time to an inspection under this SST plan, the two inspections may be conducted concurrently or separately.

## XV. Recording and Tracking.

- A. SST-Only Inspections. 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 "SSTARG04" recorded in Item 25d (the SST inspections are being coded under the NEP for ease of tracking).
- B. SST Combined with Unprogrammed Inspections. For all unprogrammed inspections conducted in conjunction with an SST inspection, the OSHA-1 Forms 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 "SSTARG04" recorded in Item 25d.
- C. SST Combined with NEP or LEP Inspections. For all programmed inspections such as NEPs 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 "SSTARG04" recorded in Item 25d along with all NEP and LEP IMIS codes applicable to the inspection.

Note: If an SST inspection is combined with an unprogrammed (e.g., complaint) inspection and a programmed inspection, such as an LEP, Item 24 must be marked "unprogrammed."

XVI. Dun & Bradstreet's Number. The Data Universal Numbering System (DUNS) number, which is a required entry for all SST inspections, must be recorded in the appropriate field on the Establishment Detail Screen. 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. 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 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 ODI 2003**

Approximately 80,000 establishments were surveyed in the 2003 OSHA Data Initiative (ODI) that collected 2002 injury and illness data. Establishments with 40 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

#### **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 MOTER VEHICLES

5013 MOTOR VEHICLES 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 EX. DRIED & 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 employer in the above Standard Industrial Classifications (SICs).

In addition, OSHA collected data from establishments that were visited by OSHA after October 1, 1997 and are required to maintain the OSHA Log. Information was also collected from Public Sector establishments in certain State Plan States. See Federal Register, June 16, 2003 (Volume 68, Number 115).

For further information concerning the OSHA Data Initiative, contact Joseph J. DuBois, 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) 693-1875.

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

## APPENDIX B

### Compliance Officer Checklist

#### **ON-SITE:**

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

If the CSHO discovers that the establishment is either a Voluntary Protection Programs (VPP) site or a consultation SHARP site, exit the site without conducting an inspection. These sites must be deleted from the inspection list. See XII.D.

If an establishment is a Voluntary Protection Programs applicant and a VPP onsite review been scheduled, it will be deleted. See XII.E.

If an establishment is in pre-SHARP status, it may be deleted. See XII.F.

##### **Enhanced Enforcement Program (EEP)**

Establishments moved from Secondary to Primary List under EEP will not be deleted under paragraph XII, unless it is a VPP site, a SHARP site, or in the process of applying for VPP, or in pre-SHARP status. See paragraph XII.G.

Establishments participating in an OSHA strategic partnership (OSP) may be deferred in accordance with paragraph XI.B.1.

Establishments that have requested an initial full-service consultation visit, and that visit has been scheduled, may be deferred in accordance with paragraph XI.B.2.

##### **Verify SIC Code**

If the establishment's SIC code is not on Data Initiative SIC code list (Appendix A), verify the SIC code, and proceed with the inspection if injury and illness records are not available, or if high rate. Enter the correct SIC code on the OSHA-1.

If the establishment is a low rate establishment (described in first paragraph after examples in X.A.), but its correct SIC code is **not** on the industries SIC code list in Appendix D, conduct the inspection only if it has a DART rate at or above 8.0 or a DAFWII case rate at or above 4.0.

See paragraphs X.D. and XIII.B.

## **Employment**

If the establishment has fewer than 40 employees, proceed with the inspection **as long as** there are more than 10 employees, **and** its DART rate is at or above 8.0, **or** its DAFWII case rate is at or above 4.0, **or** if records are not available. See paragraph X.C.

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

If the establishment is in SIC codes 3731 or 3732 (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 second paragraph at XI.C.2.

## **Ownership**

If the establishment changed ownership since December 31, 2002, recalculate the rate for the period of new ownership (if at least six months). See paragraph XIII.F.

If the recalculated DART is below 8.0, **and** the DAFWII is below 4.0, do not continue with the inspection.

If the DART is at or above 8.0, **or** the DAFWII is at or above 4.0, continue with the inspection. (When calculating the DART for the period of the new ownership, which may be less than a year, be sure both N and EH are for the new ownership period.)

In establishments where the ownership has changed, enter into the IMIS 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.

## **Calculate LWDII Rate and DAFWII Case Rate**

Review OSHA-200 Log for 2001, and the OSHA-300 Logs for 2002 and 2003. The LWDII (or DART) for all three years is to be calculated and recorded. See paragraph XIII.G.

The CSHO-calculated DART for 2002 is to be compared to the DART reported by employer on the OSHA 2003 Data Initiative data collection.

Calculations are not to be performed if, for any reason, the relevant records are not available. CSHOs will check OSHA-101/301 Forms as they deem appropriate to validate the OSHA-200/300 Logs.

- If records are not available, proceed with inspection.

- If the 2002 and 2003 DART rates are at or above 8.0 for either year, proceed with inspection.
- If the above DART rates are both below 8.0, but the DAFWII case rates are at or above 4.0 for either year, proceed with inspection.
- If the DART rates for 2002 and 2003 are below 8.0 for each year, **and** the DAFWII case rates for both years are below 4.0, then do a records review for 2003 and recalculate the DART and DAFWII for 2003. If the DART for 2003 is below 8.0, **and** the DAFWII is below 4.0, classify the inspection as a “records only.” **But**, if either the DART is at or above 8.0, **or** the DAFWII is at or above 4.0, proceed with inspection.
- **Remember:** All low rate establishments referred to in first paragraph after examples in X.A. will receive a comprehensive safety and health inspection regardless of their calculated LWDII, DART, and DAFWII rates. The 200 establishments selected will be identified on the Area Offices’ inspection lists by two asterisks (\*\*).
- For “records only” inspections: A partial walk through **will** be conducted to interview workers in order to confirm and verify the injury and illness experience. Any recordkeeping violations, in addition to any serious violations that are observed in the vicinity or brought to the attention of the CSHO, must be investigated and may be cited.
- To determine which recordkeeping violations can be cited, see paragraph XIII.D.

**IMIS:**

**Record the DUNS Number**

Press F5 in Item 8 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. See paragraph XVI.

**Enter Inspection Type**

*SST-Only Inspections* = Programmed Planned

*SST combined with Unprogrammed Inspections* = Unprogrammed

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

*SST Combined with Unprogrammed and other Programmed* = Unprogrammed

**Enter Inspection Classification**

*Inspection classification:*      NEP = **SSTARG04**

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

In Item(s) 25c and 25d when a SST-04 inspection was conducted and the inspection also meets the protocol for other program(s).

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

In Item 25f, (e.g., amputation, ergonomics, lead, and silica).

## APPENDIX C

### **SST2004 Web Site**

Enter Web site 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 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 establishment from those available.

The establishments selected will be displayed next. There are three branches from this page. The lower right corner of the page has a print cycle button which will open a window with the establishments listed in a format for printing.

The DUNS # and Name columns are highlighted in blue. Clicking on the name of the establishment will send you to the IMIS 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.

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

## APPENDIX D

### List of High Rate Industries

The following industries have an industry DART rate of 8.0 or greater, **or** a DAFWII case rate of 4.0 or greater as stated in Bureau of Labor Statistics (BLS) Annual Survey 2002.

Industry	SIC	DART	DAWII
Meat packing plants	2011	10.3	2
Bottled and canned soft drinks	2086	8	4
Structural wood members, nec	2439	8	4.5
Mobile homes	2451	8.4	3.2
Prefabricated wood buildings	2452	6.7	4.2
Public building & related furniture	2531	8.5	2.6
Leather tanning and finishing	3111	8.4	2.6
Steel wire and related products	3315	7.1	4
Malleable iron foundries	3322	9.5	2.2
Aluminum die-castings	3363	9.7	3.6
Aluminum foundries	3365	7.7	4.2
Fabricated structural metal	3441	7.4	4.4
Iron and steel forgings	3462	7	4.2
Automatic vending machines	3581	7.8	4.1
Motor vehicles and car bodies	3711	8.9	2.1
Ship building and repairing	3731	9.3	3.7
Burial caskets	3995	6.3	4.8
Intercity and rural bus transportation	4131	6.1	4.7
Terminal maintenance facilities	4231	5.7	5.2
Air transportation, scheduled	451	8.8	5.8
Nursing and personal care facilities	805	7.6	4.1

DART = Days Away from work, Restricted, or Transferred rate for CY 2002.

DAFWII = Days Away From Work Injury and Illness case rate for CY 2002.

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

## INDEX

Area Directors.....	9
BLS .....	2, 6, D-1
Bureau of Labor Statistics .....	2, 6, A-3, D-1
Carryovers.....	8, 9
Checklist .....	Abstract-3, 11, B-1
Citations.....	11, 13
Construction.....	Abstract-3, 6, A-1, A-2
Consultation.....	4, B-1
CPL 2.103 .....	Abstract-1, 1, 8, 10, 11, 13
CPL 2.25I.....	Abstract-1, 1, 2, 8, 9
CPL 2-2.45A.....	1, 13
CSHO.....	7, 10-13, B-1-3
Cycle size.....	8
DAFWII.....	Abstract-3, 2, 3, 5-7, 11-13, B-1, B-2, D-1
DART .....	Abstract-3, 3-5, 11-13, B-1, B-2
Data Initiative .....	Abstract-3, 2-4, 6, 7, 12, B-2
Data survey .....	4
Deferral .....	9
Definitions .....	3, 4
Deletions.....	2, 3, 8, 9, B-1
Department stores .....	A-2, A-3
DUNS number .....	12-14, B-2, B-3
Establishment-specific.....	2, 4
Expiration date.....	Abstract-1, 2, 8, 9
Fatalities.....	A-3
Federal Program Change .....	2
Field Inspection Reference Manual .....	Abstract-1, 1
FIRM.....	Abstract-1, 1, 8, 10, 11, 13
Focused.....	10
Hospitals .....	A-2, A-3
IMIS .....	Abstract-3, 12-14, B-2, B-3, C-1
Inspection priority.....	8
Inspection Procedures .....	Abstract-3, 10
Lead .....	13, B-3
Log Data Collection Initiative .....	1
LWDII rate.....	3, 5-7, 11, 12, A-3, B-1, B-2, D-1
Nursing care facilities .....	A-2
OSHA-1 .....	7, 10, 14, B-1

OSHA-101 .....	12, B-2
OSHA-200 log .....	5, 11
Ownership .....	11, 12, 14, B-1-3
Partnership .....	4, 6, 9, 11, 14
Priority .....	8, 13
Process Safety Management .....	1, 13
Program-Quality-Verification (PQV) .....	13
Purpose .....	Abstract-1, 1
Recording .....	1, 14
Recordkeeping .....	Abstract-1, 1, 5, 11, 13, B-3
References .....	Abstract-1, 1
Regional Administrators .....	Abstract-1, 2
Regional Office .....	8
Scheduling .....	Abstract-1, Abstract-3, 1, 3, 7, 8
Scope .....	Abstract-1, 1, 10
Secondary Inspection List .....	7, 9
SHARP .....	10, B-1
SIC code .....	3, 7, 11, 13, B-1
Silica .....	13, B-3
Software .....	7, 8, 12
SST .....	Abstract-1, Abstract-3, 1-10, 13, 14, B-3
State Plan .....	Abstract-1, Abstract-3, 1-4, 7, 9, B-1
Strategic management plan .....	A-3, B-3
TED 8-0.2 .....	Abstract-1, 1, 6, 8, 10
Tracking .....	13, 14
U.S. Postal Service .....	10, A-2
Unprogrammed inspections .....	8, 13, 14, B-3
VPP .....	1, 4, 8, 10, B-1