



# OSHA NOTICE

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

---

**DIRECTIVE NUMBER:** 01-01 (CPL 2)

**EFFECTIVE DATE:** July 13, 2001

**SUBJECT:** Site Specific Targeting 2001 (SST-01)

---

## ABSTRACT

**Purpose:** This Notice replaces the September 8, 2000 Notice that revised OSHA's Site Specific Targeting 2000 inspection plan, with the Site Specific Targeting 2001 (SST-01) inspection plan.

**Scope:** OSHA-wide

**References:** OSHA Instruction CPL 2.25I, Scheduling System for Programmed Inspections, January 4, 1995;  
OSHA Instruction CPL 2.103, Field Inspection Reference Manual (FIRM), September 26, 1994.

**Cancellations:** OSHA Notice 00-05 (CPL 2), Site Specific Targeting 2000 (SST-MM) Revised, September 8, 2000

**Expiration Date:** Four months from the effective date, except as stated in Paragraph X.

**State Impact:** State Adoption Not Required, See Paragraph VI.

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

**Originating Office:** Directorate of Compliance Programs.

**Contact:** Helen Hoban Rogers (202-693-1867)  
Directorate of Compliance Programs  
200 Constitution Avenue, NW, N-3603  
Washington, DC 20210

By and Under the Authority of  
R. Davis Layne  
Acting Assistant Secretary

## **Executive Summary:**

OSHA Notice 00-05 (CPL 2), Site Specific Targeting 2000 (SST-MM) Revised, which was issued September 8, 2000, is cancelled, and this new Instruction is issued to replace it. This Instruction explains the site specific targeting inspection program for 2001.

Key terms are defined, the primary and supplemental targeting lists are described, scheduling and inspection procedures are provided, and information on IMIS coding is provided. Three appendices give information on the industry groups included in the OSHA 2000 Data Initiative, a checklist for compliance officers, and information for Area Offices on how to use the SST2001 software.

## **Significant Changes:**

This Instruction continues the site specific targeting program for 2001. This Instruction's significant changes are:

- Clarification that the U.S. Postal Service is to be treated as a private sector employer.
- Clarification of procedures concerning an establishment that is in a partnership program with OSHA.
- A change to better accommodate the four-month short run of this SST program: the cycle selection size has been reduced to between 5 and 25 establishments per cycle.
- Clarification of IMIS coding for unprogrammed inspections done in conjunction with an SST inspection.
- Revision of Appendix A to update description of the industry groups included in the OSHA 2000 Data Initiative.

## TABLE OF CONTENTS

I.	<u>Purpose.</u>	3
II.	<u>Scope.</u>	3
III.	<u>References.</u>	3
IV.	<u>Cancellation.</u>	3
V.	<u>Expiration Date.</u>	3
VI.	<u>Federal Program Change.</u>	3
VII.	<u>Action Information.</u>	4
VIII.	<u>Definitions.</u>	4
	A. <i><u>Data Initiative (a.k.a. Data Survey)</u></i>	4
	B. <i><u>Lost Workday Injury and Illness (LWDII) Rate</u></i>	5
	C. <i><u>Partnership</u></i>	5
IX.	<u>Description of the Site Specific Targeting 2001 (SST-01) Plan</u>	5
	A. <u>Primary Inspection List.</u>	5
	B. <u>Supplemental Inspection List.</u>	5
	C. <u>Establishments with Fewer than 40 Workers.</u>	6
	D. <u>Different SIC Code.</u>	6
X.	<u>Scheduling.</u>	6
	A. <u>Cycle Size.</u>	6
	B. <u>Inspection Priority.</u>	7
XI.	<u>Deletions.</u>	7

XII.	<u>Inspection Procedures.</u>	8
A.	<u>Scope.</u>	8
B.	<u>Citations</u>	8
C.	<u>Compliance Officers.</u>	8
D.	<u>Ownership.</u>	8
E.	<u>Recalculate LWDII.</u>	8
XIII.	<u>Relationship to Other Programs.</u>	9
A.	<u>Unprogrammed Inspections.</u>	9
B.	<u>National Emphasis Programs.</u>	9
C.	<u>Process Safety Management Inspections.</u>	10
D.	<u>Partnerships.</u>	10
XIV.	<u>Recording and Tracking.</u>	10
A.	<u>SST-Only Inspections</u>	10
B.	<u>SST Combined with Unprogrammed Inspections.</u>	10
C.	<u>SST Combined with NEP or LEP Inspections.</u>	10
XV.	<u>Dun's Number.</u>	10
APPENDIX A	Description of the Industry Groups Included in the OSHA 2000 Data Initiative	A-1
APPENDIX B	Compliance Officer Checklist	B-1
APPENDIX C	SST 2001 Web Site	C-1
INDEX		Index-1

- I. Purpose. This Notice replaces OSHA Notice 00-05 (CPL 2), issued September 8, 2000, that revised OSHA's Site Specific Targeting 2000 inspection plan, with the Site Specific Targeting 2001 (SST-01) inspection plan.
- II. Scope. This Notice applies OSHA-wide.
- III. References.
- A Title 29 Code of Federal Regulations Part 1904;
  - B Occupational Injuries and Illnesses; Recording and Reporting Requirements, 66 *Federal Register* 5915, January 19, 2001;
  - C OSHA Instruction CPL 2.25I, Scheduling System for Programmed Inspections, January 4, 1995;
  - D OSHA Instruction CPL 2.103, Field Inspection Reference Manual (FIRM), September 26, 1994;
  - E OSHA Instruction CPL 2.111, Citation Policy for Paperwork and Written Program Requirement Violations, November 27, 1995;
  - F OSHA Instruction CPL 2-2.45A, Process Safety Management of Highly Hazardous Chemicals--Compliance Guidelines and Enforcement Procedures, September 28, 1992;
  - G OSHA Instruction, STP 2-0.22B, State Plan Policies and Procedures Manual (SPM), March 21, 2001;
  - H OSHA Instruction, TED 8-0.2, OSHA Strategic Partnerships for Worker Safety and Health, November 13, 1998;
  - I Log Data Collection System Procedures Manual, Version 5.0: 1999 Log Data Collection Initiative.
- IV. Cancellation. OSHA Notice 00-05 (CPL 2), Site Specific Targeting 2000 (SST-MM) Revised, September 8, 2000, is canceled.
- V. Expiration Date. This Notice will terminate four months from the effective date, except for any scheduling cycles that need to be completed (see Paragraph X).
- VI. Federal Program Change. This Notice describes a Federal OSHA program change for which State adoption is not required.

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 Plan supplements.

- A. There are a number of options available to States.
1. Use an existing State-developed high hazard inspection targeting system based on available State data.
  2. Use an existing high hazard inspection targeting system based on OSHA Instruction CPL 2.25I, which is based on Bureau of Labor Statistics (BLS) injury/illness rate data. (The Office of Statistics will continue to make these State-specific lists available to a State annually, upon specific request.)
  3. Use the targeting inspection plan set out in this Notice. The plan is based on establishment-specific employer LWDII data obtained through the 2000 Data Initiative. (The Office of Statistics will provide a Data Initiative list of high-rate employers within the State and criteria for inspection categories, upon specific request.)
- B. The two-way memorandum transmitting OSHA Notice 99-3 (CPL 2; April 19, 1999) asked States to indicate which of the above scheduling options they were following, and to notify the Regional Administrator if the State adopted a different scheduling system (and submit a plan supplement when appropriate). If the State is continuing to follow the option indicated in its response to that memorandum, no action is necessary. If a State adopts or develops a different inspection scheduling system from that indicated in its response to the April 19, 1999 Notice, the State must notify the Regional Administrator of the change and provide the necessary plan supplement describing its inspection targeting program.

VII. Action Information.

- A. Responsible Office. Directorate of Compliance Programs (DCP).
- B. Action Offices. National, Regional and Area Offices.
- C. Information Offices. State Plan States, Consultation Project Managers.

VIII. 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 Occupational Injury and Illness Data Collection Form." The Data Initiative is OSHA's Annual Survey Form that is referred to in 29 Code of Federal Regulations 1904.17

(§1904.41 in the new Recordkeeping rule published in the *Federal Register* on January 19, 2001).

**Note:** The **1999** injury and illness data that was collected by the **2000** Data Initiative is used in the **2001** Site Specific Targeting program.

- B. *Lost Workday Injury and Illness (LWDII) Rate:* This includes cases involving days away from work and restricted work activity and is calculated based on  $(N/EH) \times (200,000)$  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 for 100 full-time equivalent workers. For example:

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

- C. *Partnership:* In this Notice *partnership* refers only to those agreements in which establishments participate in a partnership with OSHA in accordance with OSHA Instruction TED 8-0.2, and for which there is a signed partnership agreement.

IX. Description of the Site Specific Targeting 2001 (SST-01) Plan.

- A. Primary Inspection List. The SST-01 plan selects for inspection individual worksites (except construction), as identified through the 2000 Data Initiative. The national average LWDII rate for private industry for 1999 was 3.0. The SST-01 plan initially selects for inspection all worksites with a LWDII rate at or above 14.0 (approximately 4,000 sites).

This year there is no limitation on the number of inspections for nursing homes. Nursing homes with a LWDII rate at or above 14.0 are to be inspected.

- B. Supplemental Inspection List. If an Area Office will complete its inspections of all establishments with LWDII rates at or above 14.0 (i.e., the Primary Inspection List in IX. A., above) before the expiration of this SST program, it should obtain additional establishments from those establishments reporting an LWDII rate of 8.0 or greater but less than 14.0 in the 2000 Data Initiative. These establishments will be inspected using the procedures in this Notice.

The supplemental list will be available from the SST website. Establishments on the supplemental list will be available for inclusion in a cycle after all establish-

ments in the primary list have been selected for a cycle.

- C. Establishments with Fewer than 40 Workers. If an establishment to be inspected under the SST-01 plan has fewer than 40 workers at the time the compliance officer arrives on site to begin the inspection, the inspection will still be conducted, provided that the establishment has more than ten workers and either its LWDII rate is at or above 8.0 or records are not available. See XII. E., below for more details.
  - D. Different SIC Code. If the establishment on the Primary or the Supplemental Inspection List is found to have a SIC code not in the Data Initiative SIC code list (Appendix A), verify the SIC code, and proceed with inspection based on high rate. Enter the correct SIC code on the OSHA 1.
- X. 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 IX.B., the National Office will also provide each Area Office with a Supplemental Inspection List. Software and databases will be available on the SST website.
- A. Cycle Size. Inspection cycles for the Primary and the Supplemental Inspection Lists will be generated using the SST2001 software. See Appendix C. Area Offices will base their determination of cycle size (i.e., 5 to 25 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 25 would provide the Area Office with more efficient use of staff, the office should 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 SST2001 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 2.25I, at paragraph B.1.b.(1)(e)1, which lists when carry overs will be allowed.

In addition to the carryovers allowed in OSHA Instruction CPL 2.25I, an establishment participating in a partnership in accordance with OSHA Instruction TED 8-0.2 and for which there is a signed agreement, may be carried over to a future



cycle to allow the SST inspection to be deferred up to six months from the signing of the partnership agreement.

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. Inspection Priority. Normally inspection priorities as described in the FIRM (OSHA Instruction CPL 2.103) will be followed, with the following additional guidance:

1. The first inspection priority for Area Offices is to conduct unprogrammed inspections.
2. Area Offices that have started but not completed a cycle of inspections from OSHA Notice 00-05 (the SST-MM revised plan) must normally complete that cycle before moving to inspections under the SST-01 plan, but see X.A. regarding carry overs. Any remaining cycles under OSHA Notice 00-05, which have not been started, will not be used.
3. The Supplemental Inspection List does not have to be completed before the expiration date of this Notice, but any cycle created from the Supplemental List that has been started must be completed even if the inspections are initiated after the expiration date, unless prior approval has been received from the Deputy Assistant Secretary. See X.A.
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.

XI. Deletions. Area Offices will be responsible for making appropriate deletions to the inspection list, such as for establishments that are no longer in business, in accordance with CPL 2.25I at B.1.b.(1)(b)6.d., except for criteria H# and S#.

Establishments that have received a **comprehensive safety and health inspection** after January 1, 1999 will be deleted from the inspection list. See also XII.A.

If any public sector employers (i.e., Federal, State, or local government), except the U.S. Postal Service, appear on the Primary Inspection List or the Supplemental Inspection List, they are to be deleted. **Remember:** The OSH Act was amended in 1998 in order to treat the U.S. Postal Service as a private sector employer.

If, after January 1, 1999, an establishment that is implementing an OSHA Strategic

Partnership (see TED 8-0.2) has had an OSHA strategic partnership verification inspection, it may be deleted from the SST inspection list, if the partnership agreement targets

all of the most serious hazards prevailing at the establishment, and the verification inspection addressed these targeted hazards.

## XII. 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 2.103) and conducted in accordance with the procedures described there and in other guidance documents. If, however, an establishment has had **either** a comprehensive safety **or** health inspection since January 1, 1999, then only the other comprehensive inspection need be done, and the Compliance Officer may make a safety or a health referral for hazards observed.

An SST inspection at any partnership site will normally be a comprehensive safety and health inspection. An Area Director has discretion to conduct a limited inspection focused on hazards targeted by the partnership agreement if all of the most serious hazards prevailing at the partnering workplace are identified as targets of the partnership.

- B. Citations. Violations will be cited according to the FIRM (OSHA Instruction CPL 2.103) and other guidance documents.
- C. Compliance Officers. Inspections under the plan may be conducted either as one combined safety and health inspection by a cross-trained compliance officer (as established through specific training or demonstrated ability), or as separate safety and health inspections, or as joint safety and health inspections.

For a checklist of items that compliance officers need to accomplish on inspections please refer to Appendix B.

- D. Ownership. If the establishment changed ownership since December 31, 1999 and has been under new ownership for more than six months, recalculate the rate for the period of new ownership. If the recalculated LWDII rate is below 8.0, do not conduct the inspection. If it is at or above 8.0, conduct the inspection. (When calculating the LWDII 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 facilities where the ownership has changed, compliance officers must enter into the IMIS the Dun & Bradstreet (Dun's) number of the new owner in the appropriate field on the Establishment Detail Screen (see XV).

- E. Recalculate LWDII. During inspections under this Notice, the OSHA 200 logs for 1998, 1999, and 2000 will be reviewed. The LWDII rate for all three years will be recalculated and recorded on the OSHA-1 Form. The LWDII rate for 1999 (calculated by the compliance officer) will be compared to the LWDII rate reported by the employer to the OSHA 2000 Data Initiative data collection. (See paragraph VIII.B., above, for an example of LWDII calculations.) A recalculation will not be performed if, for any reason, the relevant records are not immediately available. Compliance officers will check OSHA-101 Forms, or equivalent, as they deem appropriate to validate the OSHA-200 Forms.

If records are not available for compliance officers to make this determination, the workplace comprehensive safety and health inspection will proceed.

If the establishment's recalculated rate for 1999 is below 14.0, but the 1999 or 2000 LWDII rate is at or above 8.0, proceed with the inspection.

If the establishment's recalculated rate using the establishment's records is less than 8.0 for both 1999 and 2000, do a records review (not a records audit which requires the use of an audit software program) for 2000 only, and then recalculate the establishment's LWDII rate for 2000. Classify the inspection as a "records only" inspection and exit the facility if the rate for both years is below 8.0.

If recordkeeping violations are discovered, they must be cited in accordance with OSHA Instruction CPL 2.111. A partial walkthrough may 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 compliance officer must be investigated and may be cited.

### XIII. Relationship to Other Programs.

- A. Unprogrammed Inspections. Unprogrammed inspections will be conducted according to the FIRM (OSHA Instruction CPL 2.103) 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-01 plan, the two inspections may be conducted either concurrently or separately. See XIV.B.
- B. National Emphasis Programs. Some establishments may be selected for inspection under the SST-01 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 or scrap yards) can be run concurrently with the SST-01 plan; however, the SST-01 plan inspections have priority. Whenever an establishment is scheduled for inspection on the current cycle of the SST-01 plan and on the current cycle of an NEP/LEP plan, the inspections should be scheduled at the same time. Compliance officers will apply all applicable IMIS codes to the inspection. The employer's Dun's number must also be recorded for each inspection since it is important for tracking. See XIV.C.

- C. Process Safety Management Inspections. Inspections conducted under the site specific targeting 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 2-2.45A; however, they will not normally be Program-Quality-Verification (PQV) inspections as defined by that instruction.
- D. Partnerships. If an OSPP verification inspection is scheduled close in time to an inspection under this SST plan, the two inspections may be conducted concurrently or separately.

XIV. 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 "SSTARG01" 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 "SSTARG01" 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 "SSTARG01" recorded in item 25d along with all NEP and LEP IMIS codes applicable to the inspection.

- XV. Dun's Number. The Dun's number, which is a required entry for all plan inspections, must be recorded in the appropriate field on the Establishment Detail Screen. This can be accessed by pressing F5 in Item 8 to access establishment processing. Once establishment processing is completed, the Dun's number will appear in Item 9b.

## APPENDIX A

### Description of the Industry Groups Included in the OSHA 2000 Data Initiative

Approximately 80,000 establishments were surveyed in the 2000 Data Initiative. 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 AND GOATS
0219	GENERAL LIVESTOCK, NEC
0251	BROILER, FRYER, AND ROASTER CHICKENS
0252	CHICKEN EGGS
0253	TURKEYS AND TURKEY EGGS
0254	POULTRY HATCHERIES
0259	POULTRY AND EGGS, NEC
0271	FUR-BEARING ANIMALS AND RABBITS
0272	HORSES AND OTHER EQUINES
0273	ANIMAL AQUACULTURE
0279	ANIMAL SPECIALTIES, NEC
0291	GENERAL FARMS, PRIMARILY ANIMAL
0723	CROP PREPARATION SERVICES FOR MARKET
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 AND STORAGE
4222	REFRIGERATED WAREHOUSING AND STORAGE
4225	GENERAL WAREHOUSING AND STORAGE
4226	SPECIAL WAREHOUSING AND STORAGE, NEC
4231	TRUCKING TERMINAL FACILITIES

4311	U.S. POSTAL SERVICE
4491	MARINE CARGO HANDLING
4492	TOWING AND TUGBOAT SERVICE
4493	MARINAS
4499	WATER TRANSPORTATION SERVICES, NEC
4512	AIR TRANSPORTATION, SCHEDULED
4513	AIR COURIER SERVICES
4581	AIRPORTS, FLYING FIELDS, & SERVICES
4783	PACKING AND CRATING
4953	REFUSE SYSTEMS
5051	METALS SERVICE CENTERS AND OFFICES
5052	COAL AND OTHER MINERALS AND ORES
5141	GROCERIES, GENERAL LINE
5142	PACKAGED FROZEN FOODS
5143	DAIRY PRODUCTS EX. DRIED AND CANNED
5144	POULTRY AND POULTRY PRODUCTS
5145	CONFECTIONERY
5146	FISH AND SEAFOODS
5147	MEATS AND MEAT PRODUCTS
5148	FRESH FRUITS AND VEGETABLES
5149	GROCERIES AND RELATED PRODUCTS, NEC
5181	BEER AND ALE
5182	WINE AND DISTILLED BEVERAGES
5211	LUMBER AND OTHER BUILDING MATERIALS
5311	DEPARTMENT STORES
8051	SKILLED NURSING CARE FACILITIES
8052	INTERMEDIATE CARE FACILITIES
8059	NURSING AND PERSONAL CARE, NEC
8062	GENERAL MEDICAL & SURGICAL HOSPITALS
8063	PSYCHIATRIC HOSPITALS
8069	SPECIALTY HOSPITALS, EXC PSYCHIATRIC

SICs with final digit of zero are three-digit SICs and include all four-digit SICs with the same first three digits.

**Note:** With certain exceptions, all of which are discussed below, these industries are those for which the Bureau of Labor Statistics reported industry-wide injury and illness rates 5.0 or above for 1996 or 1997 (the most current data available at the time the industries were selected for inclusion in the Data Initiative). The private industry LWDII rate for 1997 was 3.3. The exceptions are construction, mining, commercial sports, deep sea domestic transportation of freight, and industries in which many of the employers are state and local governments. Construction was excluded because construction workplaces are inspected pursuant to a separate administrative plan. Mining was excluded because most mining operations are subject to the Mine Safety and Health Act. Commercial sports were excluded because athletic injuries are largely beyond the scope of OSHA enforcement. Deep sea domestic transportation of freight was excluded because most operations are under the jurisdiction of the Coast Guard. Industries with high concentrations of state and local government employers were excluded because state and local governments are not subject to federal OSHA enforcement.

Department Stores (SIC 5310) had a LWDII rate of 5.0 in 1996 and 4.8 in 1997, and Hospitals (8060) had a LWDII rate below 5.0 both years, but they were both included, because of the large number of injuries and illnesses in these industries. Because these industries contained too many establishments to permit their total inclusion while still limiting the survey to 80,000 establishments, approximately 1000 randomly selected establishments from each of Department Stores and Hospitals were included.

Two four-digit SICs included in the survey were in three-digit SICs with rates below 5.0. These were SIC 0783 (Ornamental Tree and Shrub Services) and SIC 5093 (Scrap and Waste Material). Even though the overall rates for the three-digit SICs were relatively low, SICs 0783 and 5093 were surveyed because the historically large number of fatalities in those industries made them of special concern to OSHA.

Also, for two three-digit SICs with rates above 5.0, OSHA surveyed only one four-digit component. These were SIC 4953 (Refuse Systems), which is within SIC 4950 (Sanitary Services), and SIC 4783 (Packing and Crating), which is within SIC 4780 (Miscellaneous Services Incident to Transportation). In the case of SIC 4950, SIC 4953 was included in the survey because of SIC 4950's high overall rate (7.1) and SIC 4953's high historical fatality rate, while SICs 4952 (Sewerage Systems) and 4959 (Sanitary Services, Not Elsewhere Classified) were excluded because they include a large percentage of public sector employers. In the case of SIC 4780, which had an overall rate of 5.6, SIC 4783 was included because OSHA believed it was the primary contributor to the industry's overall high rate.

Three industries, Trucking Terminal Facilities (SIC 4230); Airports, Flying Fields, & Services (SIC 4580); and Motor Vehicles, Parts, and Supplies (SIC 5010), had rates below 5.0 in 1997 but were above 5.0 in 1995. Only new establishments and those establishments with a rate of 7.0 or greater in the 1999 Data Initiative were included in the data collection.

2. All establishments in Logging (SIC 2411) with 11 or more employees. These establishments were surveyed to support OSHA's strategic plan, which has as one of its goals a 15% reduction in the historically high rates of injuries and fatalities in Logging by the year 2002.
3. Some establishments in Maryland, Hawaii, New Mexico, North Carolina, Nevada and Minnesota were surveyed for the sole use of those state plans in evaluating their programs.



## APPENDIX B

### Compliance Officer Checklist

#### ON-SITE:

##### Verify SIC Code.

If not on Data Initiative SIC code list (Appendix A), verify the SIC code, and proceed with the inspection based on high rate. Enter correct SIC code on OSHA 1.

##### Employment.

If the establishment has fewer than 40 employees, proceed with inspection **as long as** there are more than ten employees, **and** its LWDII rate is at or above 8.0, **or** if records are not available.

##### Ownership.

If the establishment changed ownership since December 31, 1999, recalculate the rate for the period of new ownership (if at least six months). If the recalculated LWDII is below 8.0, do not conduct the inspection. If it is at or above 8.0, conduct the inspection. (When calculating the LWDII 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.) See IMIS section below for Dun's number entry.

In facilities where the ownership has changed, enter into the IMIS the Dun & Bradstreet (Dun's) number of the new owner in the appropriate field on the Establishment Detail Screen.

##### Verify LWDII Rate.

Review the OSHA-200 logs for 1998, 1999, and 2000. The LWDII rate for all three years will be recalculated and recorded on the OSHA 1 Form. The LWDII rate for 1999 (calculated by CSHO) will be compared to the LWDII rate reported by the employer to the OSHA 2000 Data Initiative data collection. A recalculation will not be performed if, for any reason, the relevant records are not immediately available. Compliance officers will check OSHA-101 Forms as they deem appropriate to validate the OSHA-200 Forms.

- If the review confirms a 1999 rate or 2000 rate below 14.0, but at or above 8.0, proceed with the inspection.

- If the review confirms a rate less than 8.0 for each year, then do a records review for 2000 and recalculate the LWDII for 2000. Then classify the inspection as a “records only” inspection and exit the facility.
- For “records only” inspections: A partial walk through may 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.

## **IMIS:**

### **Record the Dun’s Number.**

Press F5 in Item 8 to access establishment processing and record the Dun’s number in the appropriate field on the Establishment Detail Screen. Once establishment processing is completed, the Dun’s number will appear in Item 9b.

### **Enter Inspection Type.**

*SST-Only Inspections* = Programmed Planned

*SST combined with Unprogrammed Inspections* = Unprogrammed

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

### **Enter Inspection Classification.**

*Inspection classification:* NEP = **SSTARG01**

### **Enter all applicable NEP, LEP and Experimental Programs codes.**

In Item(s) 25c and 25d when a SST-01 inspection was conducted and the inspection also meets the protocol for other program(s).

### **Enter all applicable Strategic Plan hazard/industry codes.**

In Item 25f, (e.g., amputation, silica, lead, logging, food processing, nursing homes, shipyards).

## APPENDIX C

### SST 2001 Web Site

Enter Web Site with id and password.

From the main page, select **Create**

The next page will display the total number of establishment 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.

Step1 Enter a name for the cycle. This will allow you to return to list of establishments chosen in this cycle.

Step2 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 sent 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.

## INDEX

Airports	A-2, A-4
BLS	4
Bureau of Labor Statistics	4, A-3
Cancellation	3
Carryovers	6
Checklist	Abstract-2, 8, B-1
Citations	8
Construction	5, A-3
Courier Services	A-1, A-2
CPL 2.103	Abstract-1, 3, 7-9
CPL 2.111	3, 9
CPL 2.25I	Abstract-1, 3, 4, 6, 7
CPL 2-2.45A	3, 10
Cycle size	6
Dairy	A-2
Data Initiative	Abstract-2, 4-6, 9, A-1, A-3, A-4, B-1
Data survey	4
Definitions	4
Deletions	7
Department stores	A-2, A-3
Dun's number	10, B-1, B-2
Establishment-specific	4
Experimental Programs	B-2
Expiration date	Abstract-1, 3, 7
Farms	A-1
Fatalities	A-3, A-4
Federal Program Change	3
Field Inspection Reference Manual	Abstract-1, 3
FIRM	Abstract-1, 3, 7-9
Focused	8
Groceries	A-2
Hospitals	A-2, A-3
IMIS	Abstract-2, 8, 10, B-1, B-2, C-1
Inspection priority	7
Inspection Procedures	Abstract-2, 8
Lead	9, B-2
Livestock	A-1
Logging	9, A-4, B-2
Lumber	A-2
LWDII rate	5, 6, 8, 9, A-3, B-1
Metals	A-2

Mining .....	A-3
Motor vehicles .....	A-4
Nursing care facilities .....	A-2
Office of Statistics .....	4
OSHA Notice 00-05 .....	Abstract-1-3, 7
OSHA-1 .....	9, 10
OSHA-101 .....	9, B-1
Ownership .....	8, B-1
Packing and crating .....	A-2, A-3
Partnership .....	Abstract-2, 5-8
Poultry .....	A-1, A-2
Priority .....	7, 9
Process Safety Management .....	3, 10
Program-Quality-Verification (PQV) .....	10
Purpose .....	Abstract-1, 3
Recording .....	3, 10
References .....	Abstract-1, 3
Refuse systems .....	A-2, A-3
Regional Office .....	6
Scheduling .....	Abstract-1-4, 6
Scope .....	Abstract-1, 3, 8, A-3
Scrap and waste .....	A-3
Scrap yards .....	9
SIC code .....	6, 10, B-1
Silica .....	9, B-2
Site specific targeting .....	Abstract-1-3, 5, 10
Software .....	Abstract-2, 6, 9
SST .....	Abstract-1-3, 5-10, B-2, C-1
SST-01 .....	Abstract-1, 3, 5-7, 9, B-2
SST-MM .....	Abstract-1-3, 7
State Plan .....	3, 4
Strategic plan .....	A-4, B-2
Supplemental Inspection List .....	5-7
TED 8-0.2 .....	3, 5-7
Tracking .....	10
Transportation .....	A-2, A-3
Trucking .....	A-1, A-4
U.S. Postal Service .....	Abstract-2, 7, A-2
Unprogrammed inspections .....	Abstract-2, 7, 9, 10, B-2
Warehousing and storage .....	A-1