

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

Raleigh, North Carolina

Field Information System

Operational Procedure Notice 124O

Subject: Site Specific Targeting of Inspection Assignments

A. Purpose.

This Operational Procedure Notice (OPN) establishes and implements a site specific special emphasis inspection program as authorized by North Carolina General Statute 95-136.1 to target for inspection those employers with a high rate of recordable work related illnesses or injuries. Specifically, those employers with high Days Away from Work Injury and Illness (DAFWII) Case Rate as well as the Days Away, Restricted, or Transferred (or DART) Case Rates as reported through the OSHA Data Initiative and further defined by this OPN, are those which may be targeted for inspection.

B. Scope.

This OPN applies to all assignments included in this special emphasis inspection program and is effective until canceled by the Director.

C. Discussion.

OSHNC has elected to adopt the inspection targeting plan established by Federal OSHA Directive CPL 2 "Site Specific Targeting". The plan is based on establishment-specific employer DART and DAFWII data obtained through the OSHA Data Initiative. The OSHA Data Initiative (a.k.a. Data Survey or ODI) is a nationwide collection of establishment-specific injury and illness data from employers. OSHNC collects data on certain private sector employers within North Carolina. This targeting program uses data from the Data Initiative and parallels the Federal OSHA SST program set forth in OSHA's Directive CPL 02 (07-03). The Federal OSHA Directive is on file as 07-03 (CPL 02) May 14, 2007.

D. Objectives.

This special emphasis inspection program has been initiated to target for inspection, specific private sector work sites where the DAFWII or DART rate is high.

E. Inspection Procedures.

1. Procedures and guidelines for inspection, administration of the SST program by OSHNC, and IMIS data entry are set forth in the OSHA Directive 07-03 (CPL 02), May 14, 2007. Some differences will exist, however. The SST program administrator will supply the assignments to the East and West Compliance Bureaus via the OSH Targeting System webpage (SST Assignments). CSHO's will conduct only comprehensive safety inspections. Health inspections will be limited to certain situations, referrals, etc. (para XV.A). Consequently, sections in the OSHA Directive relating to Primary Inspections Lists (para.XII.A. 1) assignment of a group of low rate establishments from high rate industries (App. D), Non-Responders to the ODI Survey (para.XII.A.4), Secondary Inspections Lists

(para.XII.B.), Cycle Size (para.XIII.A), and Deletions (para.XIV) will not be used by OSHNC. **Other provisions of the 07-03 (CPL-02) May 14, 2007 including a provision to clarify procedures when an establishment is an Office Only site (para. XII.J) and Appendix B "Compliance Officer Checklist" are to be followed by OSHNC.**

2. Inspections conducted under this plan will be **comprehensive programmed safety inspections** as defined by the Compliance Operations Manual. **A cross trained Health Officer shall conduct a comprehensive safety and health inspection when resources are limited. The Health Officer shall mark the inspection type as a comprehensive health inspection. CSHOs shall conduct the inspection in accordance with the procedures described within this document and in other guidance documents.** Targeted inspections under this inspection program shall receive the highest inspections priority among all other general industry programmed inspections. Programmed Inspections under other OSHNC initiatives including Health Hazards, Long Term Care, Logging and Tree Felling Fatality Reduction, Wood Products, Furniture and Related Products Injury Reduction, Construction Fatality Reduction and Fatality Site Reinspections carry inspection priority equal to SST inspections. Compliance Bureau management shall determine the appropriate strategy for meeting inspection activity levels in each area of strategic focus. Consultation deferrals shall apply to sites selected for inspection under this OPN.
3. Once an inspection is planned, the Supervisor should insure the development of an intervention strategy to address those safety and health problem areas identified through review of employer specific data included in the ODI and IMIS databases.
4. **Since these sites are targeted for a safety only inspection and if the CSHO determines that both safety and health hazards are present, referrals should be made if necessary.**
5. Establishments that have received a **comprehensive safety and health inspection** within the previous two years should be deleted from the inspection list.

F. **Calculation of DART and DAFWII.**

1. During inspections under this notice, the OSHA-300 logs for 2004, 2005 and 2006 will be reviewed. The CSHO will calculate the DART rate for 2004, 2005 and 2006 and record on the OSHA-1 Form. Also, the DAFWII case rate will be calculated for all three years. (See OSHA Directive 07-03, CPL 02, May 14, 2007 for additional guidelines).

NOTE: The OSHA-300 Logs for 2007 (and 2008) when applicable) may also be reviewed for possible injuries and illnesses occurring during the year, but are not to be substituted for the calculations below.

2. The DART rate (calculated by the compliance officer) is to be compared to the DART rate (2005) reported by the employer to the OSHA 2006 Data Initiative data collection. CPL 02 contains a full discussion of the targeting program upon which this OPN is based. Consult the USDOL OSHA Directive 07-03 (CPL 02) May 14, 2007 for an example of DART calculations and additional details. A recalculation will not be performed if, for any reason, the relevant records are not available.

3. Compliance officers shall check OSHA 301 Forms, Form 19's (or equivalent), as they deem appropriate to validate the OSHA 300 Forms. If records are not available for compliance officers to make this determination, the workplace comprehensive safety and health inspection will proceed and appropriate citations under 29 CFR 1904 will be considered.
4. If any two of the CSHO-calculated 2004, 2005 or 2006 DART rates are at or above 4.8, proceed with the inspection. If any two of the DART rates are below 4.8, **but** any two of the CSHO-calculated DAFWII case rates are at or above **2.8**, proceed with the inspection. If for any two of the three years the DART rates are below 4.8, **and** the DAFWII case rates for the **same** two years are below 2.8, then do a records review for that most current year that falls below twice the private sector 2005 national incidence rates, and then recalculate the DART and DAFWII for that most current year. If the DART is below 4.8, **and** the DAFWII is below 2.8, classify the inspection as a "records only" inspection and conduct a partial walkthrough inspection. **If either the DART rate is at or above 4.8, or the DAFWII case rate is at or above 2.8, proceed with the inspection.**
5. If recordkeeping violations are discovered, they will be cited in accordance with OSHNC policy. 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 will be investigated and may be cited.

G. **Recording and Tracking.**

1. Recording and tracking of SST inspections will follow OSHA procedures set forth in Directive 07-03 (CPL 02) May 14, 2007. For all SST-only inspections, the OSHA-1 form must be marked as "programmed planned" in item 24. For all unprogrammed inspections conducted in conjunction with an SST inspection, the OSHA-1 form must be marked as "unprogrammed" in item 24 with the appropriate unprogrammed activity identified. For all programmed inspections such as NEPs and LEPs conducted in conjunction with an SST inspection, the OSHA-1 form must be marked as "programmed planned" in item 24. In addition, the "NEP" box is to be checked and the value "**SSTARG07**" recorded in item 25d for all of the above.
2. In addition, OSHNC will code the OSHA-1 in field 25f (Strategic Plan Activity) with the value "**SST**".
3. **Dun & Bradstreet's Number (DUNS)**, 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.

4. Conducting comprehensive inspections at employer sites selected for inspection on the basis of site specific data is a key strategic initiative of OSHNC. In addition, tracking improvement in injury and illness rates at these sites, reinspection of sites where improvements are needed and reporting employer results are an essential part of the SST program set forth in this OPN.

H. **Managing the inspection assignment list.**

1. All sites on the OSH Targeting System webpage (SST Assignment Cycle list) must be inspected prior to initiating inspections from subsequent OSHNC SST Assignment Cycle lists, unless otherwise determined by OSHNC management.
2. The Planning, Statistics and Information Management Bureau (PSIM) will provide each District Office with an inspection assignment list via the OSH Targeting System webpage (SST Assignment Cycle list) of eligible sites generated by a database supplied to OSHNC by Federal OSHA. This database contains all the establishments in the Data Initiative List for the State with the DART rate and DAFWII case rate at or above the Threshold DART as listed in Appendix A.
3. The SST Assignment cycle size (number of assignments on the SST assignment list) will be based on consideration of available resources, competing strategic priorities, geographic range of the office, and the number of employers in the SST database who are above the specified DART. Within a list, the establishments may be scheduled and inspected in any order that makes efficient use of available resources. When a list is completed, the District Office may request a new list through their respective Bureau Chief. **The old SST assignment list will remain on the targeting system if a new list is added for the same data collection year.** All of the establishments in a Cycle must either be inspected or removed from the list by the SST Program Administrator in the Planning, Statistics and Information Management Bureau before any establishments on a new list may be inspected.
4. District supervisors along with the Compliance Bureau Chiefs will be responsible for making recommendations regarding sites on a SST Assignment Cycle list that should be skipped or deleted from the current list of SST sites planned for inspection. For example, establishments that have received a recent comprehensive safety and health inspection (See Appendix A) may be skipped (deleted) from the current inspection assignment list/cycle. Notify the SST Program Administrator in the PSIM Bureau of sites that should be skipped or deleted and the reason for the requested deletion. All requested changes must be in writing.

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K. **Administration.**

The OSHNC Site Specific Targeting Program (SST) set forth in this operational procedure notice will be administered through the PSIM Bureau.

Signed on Original
Anne Weaver
Bureau Chief

Signed on Original
Allen McNeely
Director

5/14/07
Date of Signature

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Appendix A: Current Site Specific Targeting Plan Parameters

The following format will be used to confirm management authorization of site selection criteria.

SST Programmed Inspection Plan

This form is to be completed to confirm OSHNC management authorization for inspection site assignment selection criteria. Inspection site assignments are prepared for a time limited cycle and all assignment listings expire on the date provided on this form. Existing SST Assignment Cycle lists may be extended or cancelled by the Director. Such extensions will also be documented using this form.

Selection Criteria:

Primary List: Data Initiative Sites with a reported DART of greater than or equal to: **11.0** (Threshold DART) or DAFWII case rate at or above: **9.0** (Threshold DAFWII) for survey years: **2005**

Approximate number of sites available on the primary list for assignment with DART or DAFWII case rate at or above the threshold: **185**

Establishments that have received a comprehensive safety and health inspection within 24 months should be deleted from the inspection list. If an establishment has had only a comprehensive safety (alternatively, health) inspection within 24 months, then only a comprehensive health (alternatively, safety) inspection needs to be done, and the Compliance Officer may make a safety (alternatively, health) referral for any safety (alternatively, health) hazards observed. Inspections planned under SEP/LEP, accident, complaint or referral monitoring or follow-up procedures are not affected by this deferral.

The initial OSHNC SST plan targets individual worksites, as identified through the Data Initiative. The OSHNC SST plan initially targets those worksites with a DART or DAFWII case rate at or above the rate selected for the planning cycle as set forth on this form.

Planning, Statistics and Information Management Bureau will provide inspection assignment listings to Compliance Bureau managers via the OSH Targeting System web page.

Expiration Date:

Inspection assignments distributed under this authorization expire on: **6/30/08**.