



# OSHA NOTICE

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

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**DIRECTIVE NUMBER:** 02-02 (CPL 2)

**EFFECTIVE DATE:** April 15, 2002

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**SUBJECT:** Site-Specific Targeting 2002 (SST-02)

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## ABSTRACT

- Purpose:** This Notice implements OSHA's Site-Specific Targeting 2002 (SST-02) inspection plan, and replaces the July 13, 2001 Notice that implemented the Site-Specific Targeting 2001 (SST-01) inspection plan.
- Scope:** OSHA-wide.
- References:** OSHA Instruction CPL 0-2.131, Recordkeeping Policies and Procedures Manual (RKM), January 1, 2002; 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; OSHA Instruction, STP 2-0.22B, State Plan Policies and Procedures Manual, March 21, 2001; and OSHA Instruction, TED 8-0.2, OSHA Strategic Partnerships for Worker Safety and Health, November 13, 1998.
- Cancellations:** OSHA Notice 01-01 (CPL 2), Site-Specific Targeting 2001 (SST-01), July 13, 2001; Memorandum dated October 26, 2001 from Assistant Secretary John L. Henshaw to the Regional Administrators and State Plan Designees regarding the Site-Specific Targeting 2001 (SST-01): Extension; Memorandum dated February 14, 2002 from Assistant Secretary John L. Henshaw to the Regional Administrators and State Plan Designees regarding the Site-Specific Targeting 2001 (SST-01): Second Extension.
- Expiration Date:** April 15, 2003, unless replaced earlier by a new Notice. Upon the expiration or replacement of this Notice, inspection cycles already underway shall be completed as provided in Paragraph XI.
- State Impact:** State Adoption Not Required, See Paragraph VI.
- Action Offices:** National, Regional, and Area Offices.

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

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By and Under the Authority of

John L. Henshaw  
Assistant Secretary

### **Executive Summary:**

OSHA Notice 01-01 (CPL 2), Site-Specific Targeting 2001 (SST-01), which was issued July 13, 2001, is cancelled, and this new Notice is issued to replace it. Except for construction inspections, this Notice explains OSHA's major site-specific targeting inspection program at this time.

Key terms are defined, the primary and secondary targeting lists are described, scheduling and inspection procedures are provided, and information on IMIS coding is given. Four appendixes give information on the industry groups included in the OSHA 2001 Data Initiative; a checklist for compliance safety and health officers (CSHOs); information for Area Offices on how to use the SST2002 software; and a list of industries with an LWDII rate of 8.0 or greater.

### **Significant Changes:**

This Notice continues OSHA's site-specific targeting inspection program for 2002. This Notice's significant changes are:

- Addition of a definition for the *DART rate*.
- Addition of a definition for *Establishment*.
- Addition of a new group of establishments in high rate industries to the Primary Inspection List.
- Removal of nursing and personal care facility SICs from this SST plan.
- Explanation of when to calculate the DART rate or the combined LWDII-DART rate for new ownership.
- Revision of Appendix A to update the industry groups included in the OSHA 2001 Data Initiative.

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- I     Purpose. This Notice implements OSHA’s Site-Specific Targeting 2002 (SST-02) inspection plan, and replaces OSHA Notice 01-01 (CPL 2), issued July 13, 2001, which implemented the Site-Specific Targeting 2001 (SST-01) inspection plan that was extended by memoranda dated October 26, 2001 and February 14, 2002.
- 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, published in the *Federal Register* on January 19, 2001 (66 FR 5915).
  - C.     OSHA Instruction CPL 2-0.131, Recordkeeping Policies and Procedures Manual (RKM), January 1, 2002.
  - D.     OSHA Instruction CPL 2-0.51J, Enforcement and Limitations under the Appropriations Act, May 28, 1998.
  - E.     OSHA Instruction CPL 2.25I, Scheduling System for Programmed Inspections, January 4, 1995.
  - F.     OSHA Instruction CPL 2.103, Field Inspection Reference Manual (FIRM), September 26, 1994.
  - G.     OSHA Instruction CPL 2-2.45A, Process Safety Management of Highly Hazardous Chemicals--Compliance Guidelines and Enforcement Procedures, September 28, 1992.
  - H.     OSHA Instruction, STP 2-0.22B, State Plan Policies and Procedures Manual, March 21, 2001.
  - I.     OSHA Instruction, TED 8-0.2, OSHA Strategic Partnerships for Worker Safety and Health, November 13, 1998.
  - J.     Log Data Collection System Procedures Manual, Version 6.0: 2000 Log Data Collection Initiative.
  - K.     Bureau of Labor Statistics (BLS), Table 1. Incidence Rates of Nonfatal Occupational Injuries and Illnesses by Industry and Selected Case Types, 2000.

IV Cancellations.

- A. OSHA Notice 01-01 (CPL 2), Site-Specific Targeting 2001 (SST-01) Revised, July 13, 2001.
- B. Memorandum dated October 26, 2001 from Assistant Secretary John L. Henshaw to the Regional Administrators and State Plan Designees regarding the Site-Specific Targeting 2001 (SST-01): Extension.
- C. Memorandum dated February 14, 2002 from Assistant Secretary John L. Henshaw to the Regional Administrators and State Plan Designees regarding the Site-Specific Targeting 2001 (SST-01): Second Extension.

V Expiration Date. This Notice will terminate April 15, 2003, unless replaced earlier by a new Notice. Upon the expiration or replacement of this Notice, inspection cycles already underway shall be completed as provided in Paragraph XI.

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 2001 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 dated April 15, 1999 asked States to indicate which of the above scheduling options they were following, and to notify the Regional Administrator if a State adopted a different scheduling system (and submit a plan

supplement when appropriate). If a 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 15, 1999 two-way memorandum, the State must notify the Regional Administrator of the change and provide the necessary plan supplement describing its inspection targeting program.

## VII Significant Changes

- A. A definition for *Days Away, Restricted, or Transferred (DART) Rate* has been added. This term is explained in the instructions for the new OSHA-300 form for use under OSHA's new recordkeeping rule.
- B. A definition for *Establishment* has been added. This term is found in OSHA's new recordkeeping rule, and OSHA Instruction CPL 2-0.131, Recordkeeping Policies and Procedures Manual (RKM), has been added.
- C. A new group of low rate establishments from high rate industries (i.e., with an industry average LWDII rate of 8.0 or greater) has been added to the Primary Inspection List, and a new Appendix D has been added listing the industries in SIC code order. See X.A.
- D. No nursing or personal care facilities (SIC Codes 8051, 8052, 8059) will be inspected under this SST plan. OSHA will be implementing a separate National Emphasis Program (NEP) that will address hazards in this industry. See X.A.
- E. An explanation has been added regarding when to calculate the DART rate or the combined LWDII-DART rate for establishments under new ownership. See XIII.E.
- F. Appendix A has been revised to update the description of the industry groups included in the OSHA 2001 Data Initiative.

## VIII Action Information.

- A. Responsible Office. Directorate of Compliance Programs (DCP).
- B. Action Offices. National, Regional, and Area Offices.
- C. Information Offices. State Plan States, OSHA Training Institute, Consultation Project Managers, VPP Managers, Partnership Coordinators, 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 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 1904.41

Note: The **2000** injury and illness data that was collected by the **2001** Data Initiative is used in the **2002** Site-Specific Targeting program.

- B. Days Away, Restricted, or Transferred (DART) Rate: This 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 for 100 full-time equivalent employees.

For example: *Employees of an establishment (XYZ Company) worked 645,089 hours at this XYZ company. 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, but for the SST-02 program the DART rate will only be used in some circumstances in new ownership cases. See XIII.E. below.

- C. 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 construction; transportation; communications, electric, gas and sanitary services; and similar operations; the establishment is represented by main or branch offices, terminals, stations, etc. that either supervise such activities or are the base from which personnel carry out these activities.

For a more detailed definition of *Establishment* see Chapter 2, paragraph VII.B. of CPL 2-0.131, Recordkeeping Policies and Procedures Manual.

- D. Lost Workday Injury and Illness (LWDII) Rate: This includes cases involving days away from work and restricted work activity and is calculated based on  $(N \div EH) \times (200,000)$  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 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  $(22 \div 645,089) \times (200,000) = 6.8$ .*

- E. 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.

X Description of the Site-Specific Targeting 2002 (SST-02) Plan.

- A. Primary Inspection List. The SST-02 plan selects for inspection individual work-sites (except construction), as identified through the 2001 Data Initiative. The national average LWDII rate for private industry for 2000 was 3.0. The SST-02 plan initially selects for inspection all worksites with a LWDII rate at or above 14.0 (approximately 3,000 sites).

In order to review the actual degree of compliance with OSHA requirements by establishments that report low LWDII rates, 200 low rate establishments will be randomly selected and added to the Primary list. The establishments will be selected from the approximately 900 which have LWDII rates between 0.0 and 8.0, and which industries (i.e., SIC) have average LWDII rates of 8.0 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, 2000. (See Appendix D for a list of these industries.) The 200 establishments selected will be identified on the Area Offices inspection lists by two asterisks (\*\*).

No nursing or personal care facilities (SIC Codes 8051, 8052, 8059) will be inspected under this SST plan. OSHA will be implementing a separate National Emphasis Program (NEP) that will address hazards in this industry.

For SIC 0783, Ornamental Shrub and Tree Services, the establishment list will normally only identify the employer's central office. The Area Office should then, 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. Then choose one worksite to inspect.

- B. Secondary Inspection List. If an Area Office completes its inspections of all establishments with LWDII rates at or above 14.0 (i.e., the Primary Inspection List in X.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 2001 Data Initiative. These establishments will be inspected using the procedures in this Notice.

- C. Establishments with Fewer than 40 Workers. If an establishment to be inspected under the SST-02 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 recalculated LWDII rate is at or above 8.0 or records are not available. See XIII.F., below for more details.
- D. Different SIC Code. If the establishment on the Primary or the Secondary Inspection List 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 recalculated LWDII rate at or above 8.0. Enter the correct SIC code on the OSHA-1.

If the establishment is a low rate establishment (described in X.A.), but its correct SIC code is not on the industries SIC code list in Appendix D, proceed with the inspection only if it has a recalculated LWDII rate at or above 8.0. Enter the correct SIC code on the OSHA-1.

- 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 Regional Offices and Area Offices will be able to access this website.

- A. Cycle Size. Inspection cycles for the Primary and the Secondary Inspection Lists will be generated using the SST2002 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 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 SST2002 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 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.

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. The Regional Partnership Coordinator should be contacted if there are questions regarding a specific workplace. Also see Deletions at XII.

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 defer any programmed inspection. This deferral should commence no more than 75 days prior to the scheduled VPP onsite review and continue until a decision concerning VPP participation has been made (see TED 8.1a. Chapter 2, paragraphs B.3.b. and D.12.b). Also see Deletions at XII.

- B. 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 2.103) will be followed, with the following additional guidance:
1. Area Offices that have started but not completed a cycle of inspections from OSHA Notice 01-01 (the SST-01 revised plan) must normally complete that cycle before moving to inspections under the SST-02 plan, but see XI.A. regarding carryovers. Any remaining cycles under OSHA Notice 01-01 that have not been started will not be used.
  2. All establishments on the SST-02 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, or this Notice is replaced before all the establishments on the list are inspected. Approval will normally require the Area Office to complete all inspections in the current cycle.
  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 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, 2000 will be deleted from the inspection list. See also XIII.A.

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 in order to treat the U.S. Postal Service as a private sector employer.

If, after January 1, 2000, 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. The Regional Partnership Coordinator should be contacted if there are questions regarding a specific workplace.

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 X.A. that are VPP or SHARP sites.

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 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, 2000, then only the other comprehensive inspection need be done, and the CSHO 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. 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.
- C. Citations. Violations will be cited according to the FIRM (OSHA Instruction CPL 2.103) and other guidance documents.
- D. 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.

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

- E. Ownership. If the establishment changed ownership since December 31, 2000 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 (or DART 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 – or 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.)

If all of the new ownership period occurred under the new recordkeeping rule (after January 1, 2002), calculate the DART rate based on OSHA-300 data.

If part of the new ownership period occurred under the old recordkeeping rule and part under the new recordkeeping rule, follow the instructions in the next paragraph for computing a combined LWDII-DART rate.

Calculate the combined LWDII-DART rate using for N the number of **cases** recorded in column 2 plus column 9 on the OSHA-200, and add the number of cases recorded in column H plus column I on the OSHA-300. Put this number in for N in the  $(N/EH) \times (200,000)$  formula. Be sure both N and EH are for the new ownership period.

In facilities where the ownership has changed, CSHOs can 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 XVI).

- F. Recalculate LWDII. During inspections under this Notice, the OSHA-200 logs for 1999, 2000, and 2001 will be reviewed. The CSHO will recalculate the

LWDII rates for all three years and recorded them on the OSHA-1 Form. The LWDII rate for 2000 (recalculated by the CSHO) will be compared to the LWDII rate reported by the employer in the OSHA 2001 Data Initiative data collection. (See paragraph IX.D., above, for an example of LWDII calculations.) A recalculation will not be performed if, for any reason, the relevant records are not immediately available. CSHOs will check OSHA-101 Forms, or equivalent, as they deem appropriate to validate the OSHA-200 Forms.

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

If the establishment's recalculated rate for 2000 is below 14.0, but the 2000 or 2001 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 2000 and 2001, do a records review (not a records audit which requires the use of an audit software program) for 2001 only, and then recalculate the establishment's LWDII rate for 2001. Classify the inspection as a "records only" inspection and exit the facility if the rate for 2001 is below 8.0.

All low rate establishments referred to in paragraph X.A. will receive a comprehensive safety and health inspection regardless of their recalculated LWDII rate. The 200 establishments selected will be identified on the Area Offices inspection lists by two asterisks (\*\*).

If recordkeeping violations are discovered, they must be cited in accordance with OSHA Instruction CPL 2-0.131. 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 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 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-02 plan, the two inspections may be conducted either concurrently or separately. See XV.B.
- B. National Emphasis Programs. Some establishments may be selected for inspection under the SST-02 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-02 plan; however, the SST-02 plan inspections have priority.

Whenever an establishment is scheduled for inspection on the current cycle of the SST-02 plan and on the current cycle of an NEP/LEP plan, the inspections should 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 XV.C.

- 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 2-2.45A; 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 "SSTARG02" 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 "SSTARG02" 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 "SSTARG02" recorded in item 25d along with all NEP and LEP IMIS codes applicable to the inspection.

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, however, 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 OSHA 2001 Data Initiative

1. Approximately 80,000 establishments were surveyed in the 2001 Data Initiative. Establishments with 40 or more employees in the following industries were included in the data collection.

**SIC INDUSTRY** [The industries listed below in **bold** are different from last year.]

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

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 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  
  
**5031 LUMBER, PLYWOOD AND MILLWORK**  
**5032 BRICK, STONE, & RELATED MATERIALS**  
**5033 ROOFING, SIDING, AND INSULATION**  
**5039 CONSTRUCTION MATERIALS, NEC**  
 5051 METALS SERVICE CENTERS AND OFFICES  
 5052 COAL AND OTHER MINERALS AND ORES  
 5093 SCRAP & WASTE MATERIALS  
  
 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

**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 in 1999 or at least one year from 1996 to 1998 (the most current data available at the time the industries were selected for inclusion in the Data Initiative). The private industry LWDII rate for 1999 was 3.0. 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.

All Manufacturing is included because of a significant OSHA presence in the manufacturing sector. Department Stores (SIC 5310) had a LWDII rate of 5.0 in 1996 and 4.8/4.9 in 1997-1999, and Hospitals (8060) had a LWDII rate around 4.0 for 1996-1999, 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 (6.0-7.1) 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 (5.5-5.9), SIC

4783 was included because OSHA believed it was the primary contributor to the industry's overall high rate.

Five industries, Horticultural Specialties (SIC 0180); Animal Specialties (SIC 0270); Public Warehousing and Storage (SIC 4220); Airports, Flying Fields, & Services (SIC 4580); and Lumber and Construction Materials (SIC 5030), had rates below 5.0 in 1999 but were above 5.0 in 1996-1998. 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.

Source: OSHA, Directorate of Information Technology, Office of Statistics

## APPENDIX B

### Compliance Officer Checklist

#### ON-SITE:

##### VPP and SHARP Sites.

If an establishment has applied for the Voluntary Protection Programs, it may be deferred. See XI.A.

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 should be deleted from the inspection list; see Deletions at XII.

##### 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 based on high rate. Enter the correct SIC code on the OSHA-1.

If the establishment is a low rate establishment (described 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 an LWDII rate at or above 8.0.

##### Employment.

If the establishment has fewer than 40 employees, proceed with the inspection **as long as** there are more than 10 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, 2000, 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 DUNS number entry.

If all of the new ownership period occurred under the new recordkeeping rule (after January 1, 2002), calculate the DART rate based on OSHA-300 data.

If part of the new ownership period occurred under the old recordkeeping rule and part under the new recordkeeping rule, follow the instructions in the next paragraph for computing a combined LWDII-DART rate.

Calculate the combined LWDII-DART rate using for N the number of **cases** recorded in column 2 plus column 9 on the OSHA-200, and add the number of cases recorded in column H plus column I on the OSHA-300. Put this number for N in the  $(N/EH) \times (200,000)$  formula.

In facilities 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.

### **Verify LWDII Rate.**

Review the OSHA-200 logs for 1999, 2000, and 2001. The LWDII rate for all three years will be recalculated and recorded on the OSHA-1 form. The LWDII rate for 2000 (recalculated by the CSHO) will be compared to the LWDII rate reported by the employer to the OSHA 2001 Data Initiative data collection. A recalculation will not be performed if, for any reason, the relevant records are not immediately available. CSHOs will check OSHA-101 forms as they deem appropriate to validate the OSHA-200 forms.

- If the review confirms a 2000 rate or 2001 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 2001. Then classify the inspection as a “records only” inspection and exit the facility.
- **Remember:** All low rate establishments referred to in paragraph X.A. will receive a comprehensive safety and health inspection regardless of their recalculated LWDII rate. The 200 establishments selected will be identified on the Area Offices inspection lists by two asterisks (\*\*).
- 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 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, however, the new owner does not have a new DUNS number, enter the old DUNS.

### **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 = **SSTARG02**

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

In Item(s) 25c and 25d when a SST-02 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 2002 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.

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.

## APPENDIX D

### List of Industries

The following industries have an industry average LWDII rate of 8.0 or greater as stated in Bureau of Labor Statistics (BLS), Incidence Rates of Nonfatal Occupational Injuries and Illnesses by Industry and Selected Case Types, 2000 BLS.

SIC Code	Industry	LWDII
2011	MEAT PACKING PLANTS	14.3
2013	SAUSAGES & OTHER PREPARED MEAT PRODUCTS	9.1
2015	POULTRY SLAUGHTERING & PROCESSING	8.6
2026	FLUID MILK	8.6
2086	BOTTLED & CANNED SOFT DRINKS & CARBONATED WATERS	9.3
2091	CANNED & CURED FISH & SEAFOODS	8.0
2451	MOBILE HOMES	9.3
2531	PUBLIC BUILDING & RELATED FURNITURE	9.5
3084	PLASTICS PIPES	9.6
3111	LEATHER TANNING & FINISHING	9.0
3272	CONCRETE PRODUCTS, EXCEPT BLOCK & BRICK	8.1
3321	GRAY & DUCTILE IRON FOUNDRIES	9.3
3322	MALLEABLE IRON FOUNDRIES	9.2
3325	STEEL FOUNDRIES, NEC	9.2
3365	ALUMINUM FOUNDRIES	9.9
3366	COPPER FOUNDRIES	8.5
3369	NONFERROUS FOUNDRIES, EXCEPT ALUMINUM & COPPER	8.5
3691	STORAGE BATTERIES	8.8
3711	MOTOR VEHICLES & PASSENGER CAR BODIES	10.5
3715	TRUCK TRAILERS	10.4
3731	SHIP BUILDING & REPAIRING	11.7
3792	TRAVEL TRAILERS & CAMPERS	10.0
3799	TRANSPORTATION EQUIPMENT, NEC	10.2
4512	AIR TRANSPORTATION, SCHEDULED	10.4
4513	AIR COURIER SERVICES	10.4

LWDII = Lost Workday Injury and Illness rate for CY 2000. Data for SIC Codes 4512 and 4513 are for the three digit industry SIC Code 451.

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