

The logo is a square with a yellow border and a maroon background. It features a central graphic of a five-pointed star surrounded by three concentric, diamond-shaped outlines. The text is arranged in three lines: 'OSHA' at the top, 'PERFORMANCE REPORT' in the middle, and 'FY 1996' at the bottom.

OSHA

**PERFORMANCE
REPORT
FY 1996**



APRIL 1997

**OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION
OFFICE OF STATISTICS
ROOM N-3507
200 CONSTITUTION AVENUE
WASHINGTON, DC 20210**

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REPORT EVALUATION FORM

FOREWORD

This document contains the FY 1996 performance report developed by the Occupational Safety and Health Administration (OSHA). It represents OSHA's continuing effort to implement a performance measurement system that focuses on monitoring results and measuring the impact of OSHA activities.

The document is OSHA's third pilot project report submitted under the Government Performance and Results Act (GPRA) of 1993. GPRA directs Federal pilot agencies to submit annual performance reports that review their success in achieving performance goals for the fiscal year. OSHA was one of 77 Federal agency programs that initially volunteered for piloting in performance measurement in fiscal years 1994 through 1996.

This document consists of two parts. Part One addresses specific issues related to the overall performance and operation of OSHA in FY 1996. Part Two presents in detail the data and analysis for each of the performance measures. This section provides a description of each measure, relevant definitions, analysis of the data, and supporting figures and tables. A glossary and report evaluation form complete the document.

OSHA's Office of Statistics (OSTAT) developed and compiled this report. The Office of Data Management Systems (OMDS) provided data from the Integrated Management Information System (IMIS). Numerous offices also provided manual data on their respective program areas. Many offices responded to questions about their program data and provided background information. States and consultation projects submitted clarifications and refinements of data reported in manual and other systems. The Voluntary Protection Program Participants Association (VPPPA) provided data on the company mentoring program.

For more information related to this report, please contact Edna Vance in OSHA's Office of Statistics at (202) 219-4882.

ACKNOWLEDGMENTS

Appreciation is expressed to the following offices for their assistance in developing this document:

Directorate of Safety Standards for providing impact information on OSHA's trenching/excavation standard.

Directorate of Federal–State Operations and the States for providing data on formal training and Voluntary Protection Program (VPP) activity.

Directorate of Compliance Programs for providing data on Corporate Settlement Agreements and information on Cooperative Compliance Program activity.

Directorate of Administrative Programs for providing information on goal achievement.

Directorate of Policy for providing data on regulatory activity.

Office of Management Data Systems for assembling data for performance measures (indicators) supported by the Integrated Management Information System (IMIS).

Office of Reinvention for providing information on the redesigned area office project.

Region I for providing data and other information on the Maine 200 Program.

Region V for providing data and other information on the Wisconsin 200 Program.

Voluntary Protection Program Participants Association (VPPPA) for providing information on the activities of the VPP Mentoring Program.

EXECUTIVE SUMMARY

The Government Performance and Results Act (GPRA) of 1993 requires Federal agencies to submit to the Office of Management and Budget (OMB) a strategic plan for program activities and directs each agency to prepare an annual performance plan and to submit an annual performance report that reviews its success in achieving performance goals for the fiscal year.

OSHA was one of 77 Federal agency programs that initially volunteered for piloting in performance measurement in fiscal years 1994 through 1996. This document comprises OSHA's FY 1996 pilot project performance report submitted under GPRA.

Part One addresses issues related to the overall performance and operations of OSHA in FY 1996. Highlights are summarized below.

- **Performance plan.** OSHA's mission in FY 1996 remained the same, "to assure as far as possible every man and woman in the Nation safe and healthful working conditions." As set forth in OSHA's FY 1996 performance plan, the Agency's operations throughout the fiscal year were guided by three strategic goals: 1) to use commonsense approaches to eliminate hazards through offering partnerships or traditional enforcement; 2) to implement commonsense regulations and other alternative approaches to address emerging and priority health and safety issues; and 3) to get the job done by focusing program and delivery systems, using internal and external partnerships, to achieve results.
- **Performance results.** OSHA completed or made progress on a majority of its program objectives in FY 1996. Work restrictions and budget uncertainties caused by external factors affected the accomplishment of the goals and objectives to a significant degree. Performance indicators were limited to those for which data were available.
- **Performance measurement system evolution.** The Agency's performance measurement system tracks milestones in action plans for each of the goals and objectives and monitors progress in completing the steps necessary to achieve the goals. As the Agency continued to implement operational revisions, the relationship of Agency goals to the achievement of the Agency's mission continued to improve. Developmental efforts to improve results measurement continued.
- **Program evaluations.** In FY 1996, OSHA began developing evaluation criteria for a number of OSHA programs, including the Voluntary Protection Program (VPP) and Cooperative Compliance Program (CCP). VPP performance evaluation measures will be implemented in FY 1997. A CCP evaluation manual will be completed in FY 1997.

Part Two presents a detailed analysis of OSHA's FY 1996 Agency performance measures or indicators. These indicators reflect the experience of Federal OSHA and its State partners that administer State programs under the Occupational Safety and Health Act. The Agency used three types of measures to monitor results and measure impact.

Primary outcomes or impacts reflect the success of Agency activities in preventing or reducing workplace injuries, illnesses, and fatalities. Primary outcomes represent the extent to which the Agency achieves its mission. The key element in performance measurement is linking activities and intermediate outcomes to the changes in adverse events. Primary outcomes addressed in this report are:

- Change in Magnitude of Occupational Injuries and Illnesses
- Change in Trenching/Excavation Fatalities—Revised Excavation Standard
- Change in Injury/Illness Rate—Maine 200 Program
- Change in Injury/Illness Rate—Wisconsin 200 Program

Intermediate outcomes are the results of individual activities or programs that contribute to Agency primary outcomes. This category captures the short-term results of activities. Intermediate outcomes reflect desirable changes in the workplace environment or in Agency responsiveness that are related to long-term changes in the types, numbers, and rates of workplace injuries, illnesses, and fatalities. Intermediate outcomes addressed in this report are:

- Significant Hazard Identification—Programmed Inspections
- Significant Hazard Identification—Consultation Visits
- Hazard Abatement Time—Programmed and Nonprogrammed Inspections
- Hazard Abatement Time—Consultation Visits
- Complaint Response Time
- Consultation Response Time
- Cost Per Person Trained—Targeted Training Grant Program
- Evaluation Score on Courses Offered—OSHA Training Institute and Education Centers
- Negotiated Rulemaking

Activities include the services or products that OSHA's programs provided or actions that converted resources to Agency services or products. This report expands the types of interventions counted beyond inspections to better reflect the range of activities directed toward occupational safety and health promotion; however, it does not reflect our efforts to provide all the activities of the new OSHA. Under development are new data collection mechanisms to capture our efforts to provide

more compliance assistance and leveraged activities. Activities addressed in this report are:

- Onsite Intervention Activities
- Offsite Intervention Activities
- Leveraged Intervention Activities

For the intermediate outcome and activity measures, the report includes not only FY 1996 data, but also data from FY 1994 and FY 1995 for comparison. The primary outcomes data on changes in injuries, illnesses, and fatalities reflect interventions by various programs implemented in the early 1990s. Impact data must be tracked over time as the full results may not be visible for years.

The data and analysis for each measure are briefly summarized below.

PRIMARY OUTCOME MEASURES

- Change in Magnitude of Occupational Injuries and Illnesses

This measure is the change in the total injury and illness rate in industries in which OSHA intervention (inspections and consultation visits) was greatest. It addresses the following question about OSHA's performance: What impact do OSHA onsite interventions have on workplace injuries and illnesses?

Average total injury and illness rates declined from 1989–1990 to 1993–1994 in those industries in which onsite OSHA intervention (inspections and consultations) was greatest during 1991 and 1992. The average decline in the total injury and illness rates was 23.3 percent for the manufacturing industries with the highest number of establishments receiving onsite interventions, 16.3 percent for the construction industries with the highest number of establishments receiving onsite interventions, 13.0 percent for the manufacturing industries with the highest average annual rate of inspection penetration, and 22.8 percent for the manufacturing industries with the highest average annual rate of consultation penetration. (Penetration is the proportion of establishments in an SIC code receiving onsite OSHA inspections or consultation visits.) Those industries with the highest number of establishments receiving onsite interventions and those industries with the highest average annual penetration rate are, in general, industries with injury and illness rates well above the national average. This reflects OSHA's commitment to effect change in the most dangerous industries.

- Change in Trenching/Excavation Fatalities—Revised Excavation Standard

This measure is the change in the number of employees killed in trenching/excavation operations since April 1987 and January 1990, the effective dates of OSHA's

proposed and final revised excavation standard. It addresses the following question about OSHA's performance: What impact has the revised standard had on fatalities in trenching/ excavation operations?

Since the effective date of OSHA's revised excavation standard, the number of employees killed in trenching/excavation operations has decreased 22 percent, from 31 in 1990 to 24 in 1996. Since the revised standard was proposed, excavation fatalities have declined 45 percent, from 44 in 1987 to 24 in 1996.

■ Change in Injury/Illness Rates—Maine 200 Program

This measure is the change in the injury/illness rate experienced by companies participating in the OSHA cooperative pilot program in the State of Maine from 1993 through 1996. It addresses the following question about OSHA's performance: What impact has OSHA's cooperative compliance effort had on the injury/illness rates of the companies participating in the Maine 200 program?

There was an overall decline from 1991 to 1996 in average total injury/illness rates of those companies participating in the Maine 200 program. Annual average incidence rates declined 30 percent, from 11.25 in 1991 (reference year) to 7.86 in 1996, for those companies graduating from the Maine 200 program. (1991 was selected as the reference year because companies were initially contacted throughout 1992 and they likely began to implement changes in that year.) Fifty-four percent (100) of the companies met all program criteria and graduated from the Maine 200 program. Graduate companies experienced a 12 percent decline in average incidence rates from 1993 (year the program launched) to 1996. For graduate companies accepted into the program in 1993, average rates declined 22 percent from 1992 to 1996. Graduate companies accepted into the program in 1994 experienced a 13 percent decline in average rates from 1993 to 1996.

■ Change in Injury/Illness Rates—Wisconsin 200 Program

This measure is the change in the injury/illness rate experienced by companies participating in the Wisconsin 200 program. It addresses the following question about OSHA's performance: What impact does the Wisconsin 200 program have on workplace fatalities, injuries, and illnesses?

Companies participating in the Wisconsin 200 program significantly reduced their workers' compensation injury/illness rates, by an average of 29.5 percent in FY 1995 and 35 percent in FY 1996. In FY 1995, 80 percent of the employers in the program reduced their injury/illness rates, and 105 companies dropped off the Wisconsin 200 list due to their reduction in lost workday injuries/illnesses. In FY 1996, 86 percent of the companies on the first OSHA 200 list achieved reductions in workers' compensation injury/illness rates. The rates of the top

50 establishments where inspections were conducted were reduced by 40 percent. Employers on the second Wisconsin 200 list averaged a 24 percent reduction after one year; 79 percent of these employers reduced their rates. More than half the companies improved so much that they were no longer included in the Wisconsin 200 program.

INTERMEDIATE OUTCOME MEASURES

■ Significant Hazard Identification—Programmed Inspections

This measure is the percentage of programmed inspections that result in the identification of significant hazards. It addresses the following questions about OSHA's performance: Is OSHA directing its onsite interventions to the right places? Does OSHA focus its efforts effectively and efficiently once it identifies or reaches targets (industry, establishments, or occupation group)?

OSHA found significant hazards in FY 1996 at nearly half the establishments targeted for inspection. More than 60 percent of programmed inspections in manufacturing establishments identified significant hazards.

■ Significant Hazard Identification—Consultation Visits

This measure is the percentage of consultation hazard survey visits that result in the identification of significant hazards. It addresses the following questions about OSHA's performance: Is OSHA directing its onsite interventions to the right places? Does OSHA focus its efforts effectively and efficiently once it identifies or reaches targets (industry, establishments, or occupation group)?

Most employers who requested consultative assistance in FY 1996 had significant hazards. In FY 1996, 74.6 percent of OSHA's consultation hazard survey visits resulted in the identification of significant hazards.

■ Hazard Abatement Time—Programmed and Nonprogrammed Inspections

This measure is the median time (in workdays) for hazard abatement for inspections. It addresses the following question about OSHA's performance: Does OSHA get timely results with inspections once hazards are identified?

From FY 1994 to FY 1996, hazards identified during inspections by OSHA were assigned a decreasing number of workdays for abatement. In FY 1996, OSHA compliance staff assigned a median time of 34 workdays for the abatement of the hazards identified, down from a median time of 37 workdays in FY 1994.

■ Hazard Abatement Time—Consultation Visits

This measure is the median time (in workdays) for hazard abatement for consultation visits. It addresses the following question about OSHA's performance: Does OSHA get timely results with consultation visits once hazards are identified?

From FY 1995 to FY 1996, the number of days assigned for the abatement of hazards identified during consultation visits by OSHA remained constant. In FY 1996, OSHA consultation projects assigned a median time of 41 workdays for the abatement of the hazards identified during onsite visits.

■ Complaint Response Time

This measure is the median time (in workdays) taken to respond to complaints. It addresses the following question about OSHA's performance: How timely are the services OSHA provides to its customers?

Complainants who filed reports of unsafe or unhealthful working conditions in FY 1996 received a quicker response from OSHA than those who filed in FY 1994 and FY 1995. In FY 1996, OSHA's median time to respond to complaints was 3 workdays. The median time to respond to complaints decreased by 2 workdays from FY 1994 to FY 1995 and by another 2 workdays from FY 1995 to FY 1996.

■ Consultation Response Time

This measure is the median time (in workdays) taken to respond to requests from smaller employers in high-hazard industries and operations. It addresses the following question about OSHA's performance: How timely are the services OSHA provides to its customers?

Smaller employers who requested consultative assistance in FY 1996 received a quicker response from OSHA than those who requested assistance in FY 1994 and FY 1995. The median complaint response time was cut by more than half from FY 1994 to FY 1996 (from 7 to 3 workdays).

■ Cost Per Person Trained—Targeted Training Grant Program

This measure is the average cost per person trained through OSHA's targeted training grant program. It addresses the following question about OSHA's performance: Does OSHA focus its efforts effectively and efficiently once it identifies or reaches targets (industry, establishments, or occupation group)?

Targeted training cost less per person in FY 1996 than in FY 1995. In FY 1996, the average cost per person trained through the OSHA targeted training grant program was \$96.35, which is nearly 20 percent lower (in per person cost).

- Evaluation Score on Courses Offered—OSHA Training Institute and Education Centers

This measure is the average evaluation score (as a percentage of the maximum) on courses offered by the OSHA Training Institute and Education Centers. It addresses the following question about OSHA's performance: How satisfied are OSHA's customers with the services provided?

Students who attended OSHA courses in FY 1996 were very satisfied with the training provided. In FY 1996, the average evaluation score on courses offered (using a scale of 1 to 5) was 4.2 (very good), compared to 4.0 in FY 1994 and FY 1995.

- Negotiated Rulemaking

This measure is the percentage of rulemaking activity on the regulatory agenda undertaken as negotiated rulemaking. It addresses the following question about OSHA's performance: To what extent does OSHA involve its stakeholders in major initiatives?

A higher percentage of OSHA's regulatory agenda involved negotiated rulemaking in FY 1996 than in FY 1994 and FY 1995. In FY 1996, 30 percent of actions on OSHA's regulatory agenda were undertaken as negotiated (3 of 10 rulemaking activities), an increase over 3 percent in FY 1995 (1 of 31 rulemaking activities).

ACTIVITY MEASURES

- Onsite Intervention Activities

This measure tracks onsite interventions by type and addresses the following question about OSHA's performance: What services does OSHA provide?

OSHA onsite interventions for FY 1996 reflect a range of program activities. For the fiscal year, OSHA conducted 107,878 onsite interventions. Inspections accounted for 75.3 percent of the interventions, consultation visits 24.6 percent, and Voluntary Protection Program (VPP) pre-approvals and evaluations 0.1 percent. The number of onsite interventions declined each year from FY 1994 to FY 1996 in all areas except VPP. The number of

onsite interventions may continue to fluctuate as OSHA implements operational changes.

■ Offsite Intervention Activities

This measure tracks offsite interventions by type and addresses the following question about OSHA's performance: What services does OSHA provide?

OSHA provided a broad range of offsite activities in FY 1996. The types of offsite intervention activities conducted in FY 1996 were complaint investigations (89 percent), discrimination investigations (9.1 percent), referrals handled by letter (1.2 percent), and Voluntary Protection Program (VPP) annual reviews (0.7 percent). From FY 1994 to FY 1996, offsite interventions in all program areas fluctuated, with total activity increasing 17 percent from FY 1994 to FY 1995 and falling 2.5 percent from FY 1995 to FY 1996.

■ Leveraged Intervention Activities

This measure tracks leveraged interventions by type and addresses the following question about OSHA's performance: What services does OSHA provide?

A leveraging program or activity is one that has the potential to reach or impact safety or health at new or additional establishments/worksites or of employers/employees with minimal additional OSHA involvement and/or expenditure of resources. The FY 1996 report discusses four program activities with leveraging qualities: Voluntary Protection Program (VPP) Mentoring Program, Corporate Settlement Agreements (CSAs), formal training, and standards and regulations.

VPP Mentoring Program. Employers approved for participation in the VPP are encouraged to help other companies make safety and health program improvements and reduce on-the-job injuries and illnesses. In FY 1996, 52 VPP participant companies provided assistance to 67 potential VPP worksites, up from 37 companies and 35 worksites in FY 1995. In FY 1996, these actions affected 93,754 employees at the mentored worksites.

Corporate Settlement Agreements (CSAs). CSAs are OSHA settlement agreements with inspected employers, in which they agree to extend the terms and conditions of citations issued for the inspected site to other company sites in exchange for OSHA not pursuing related legal action. A percentage of worksites covered by each agreement receive annual monitoring inspections. While the number of monitoring inspections declined from FY 1995 to FY 1996, the number of CSAs increased, causing a similar increase in the number of worksites

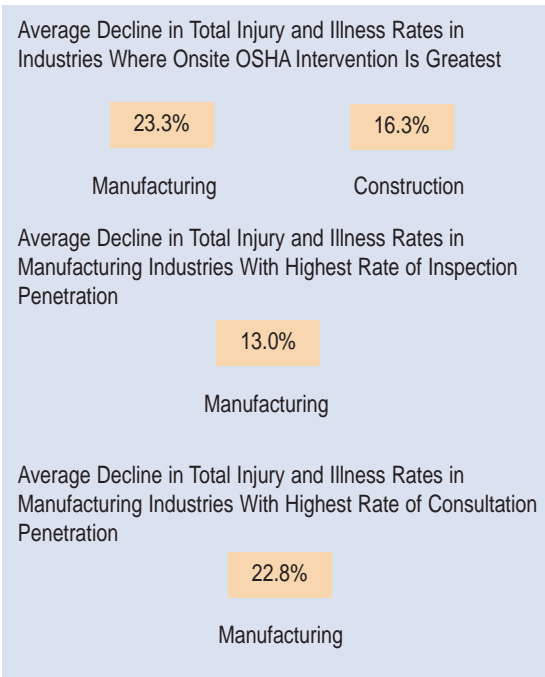
covered (from 566 to 1,029) and the number of employees covered (from 127,400 to 383,000) in FY 1996.

Training. OSHA offers formal training on a variety of safety and health subjects to private sector employers and employees, OSHA compliance staff, other Federal agency personnel, State employees, etc. In FY 1996, Federal and State OSHA conducted 10,666 formal training sessions, more than double the 5,104 offered in FY 1995. This training reached 133,779 persons, 4,749 of whom were trained as potential trainers. Almost 80 percent of those trained were private sector employers and employees.

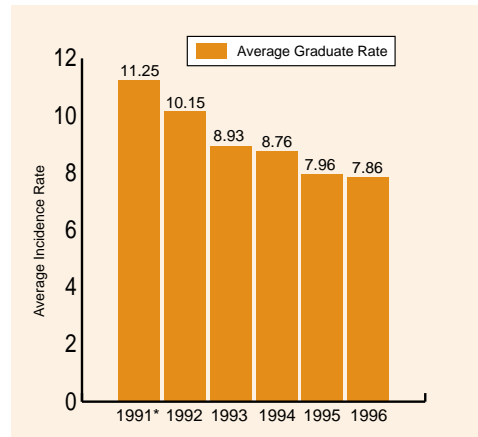
Standards and Regulations. OSHA proposed or promulgated 20 safety or health standards and regulations during the last three fiscal years. Five of these standards were issued in FY 1996, 3 in FY 1995, and 12 in FY 1994. In FY 1996, regulatory actions affected 1,225,732 establishments and 7,657,322 employees. In FY 1995, proposed or final rules affected 669,936 establishments and 4,922,100 workers, compared to 7,967,126 establishments and 94,258,058 workers in FY 1994.

PRIMARY OUTCOME MEASURES— GRAPHIC PRESENTATION

CHANGE IN MAGNITUDE OF OCCUPATIONAL INJURIES AND ILLNESSES—1989-1990 TO 1993-1994

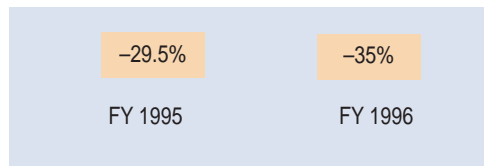


CHANGES IN INJURY/ILLNESS RATES—MAINE 200 PROGRAM

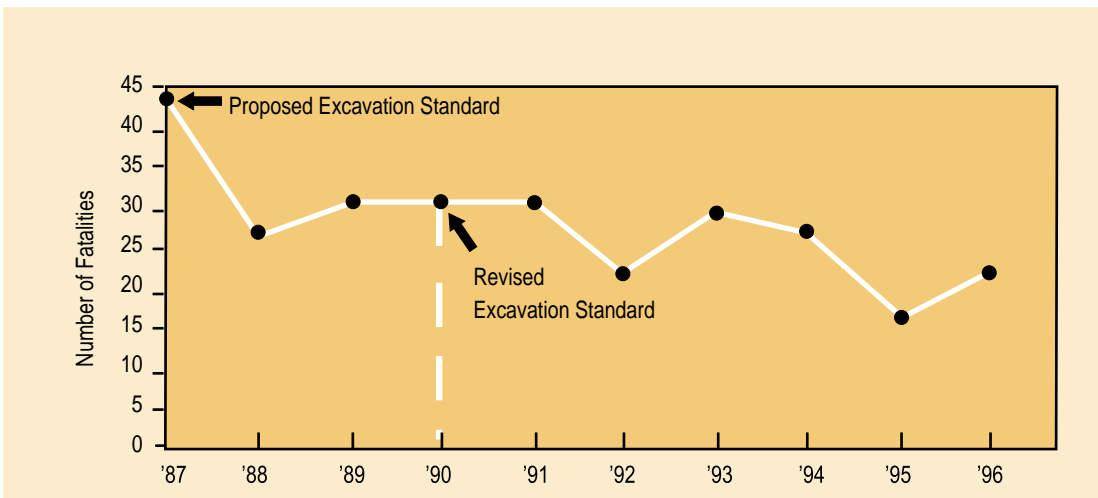


*1991 was selected as the reference year because companies were initially contacted throughout 1992 and they likely began to implement changes in that year.

CHANGES IN INJURY/ILLNESS RATES—WISCONSIN 200 PROGRAM

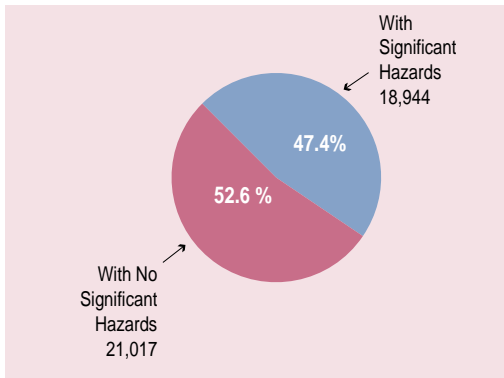


CHANGE IN TRENCHING/EXCAVATION FATALITIES—REVISED EXCAVATION STANDARD

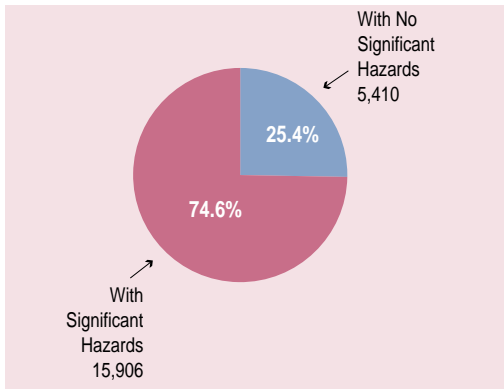


INTERMEDIATE OUTCOME MEASURES— GRAPHIC PRESENTATION

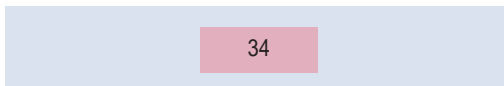
**PERCENT OF PROGRAMMED
INSPECTIONS WITH SIGNIFICANT
HAZARDS—FY 1996**



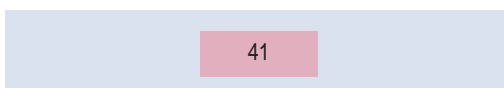
**PERCENT OF CONSULTATION VISITS
WITH SIGNIFICANT HAZARDS—
FY 1996**



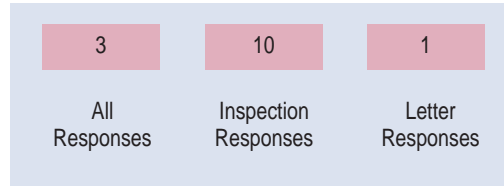
**MEDIAN WORKDAYS ASSIGNED FOR
HAZARD ABATEMENT FOR
INSPECTIONS—FY 1996**



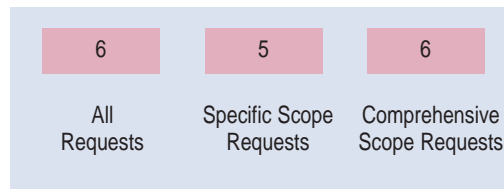
**MEDIAN WORKDAYS ASSIGNED FOR
HAZARD ABATEMENT FOR
CONSULTATION VISITS—FY 1996**



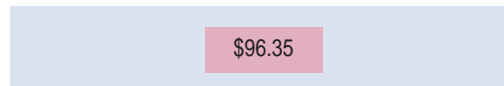
**MEDIAN WORKDAYS TO RESPOND TO
COMPLAINTS—FY 1996**



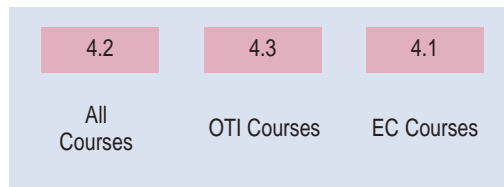
**MEDIAN WORKDAYS TO RESPOND TO
CONSULTATION REQUESTS FROM
SMALLER EMPLOYERS IN HIGH-
HAZARD INDUSTRIES AND
OPERATIONS—FY 1996**



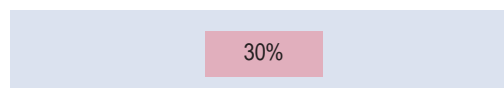
**AVERAGE COST PER PERSON
TRAINED THROUGH THE TARGETED
TRAINING GRANT PROGRAM—
FY 1996**



**AVERAGE EVALUATION SCORE (MAXI-
MUM=5) ON COURSES OFFERED BY
THE TRAINING INSTITUTE AND
EDUCATION CENTERS—FY 1996**

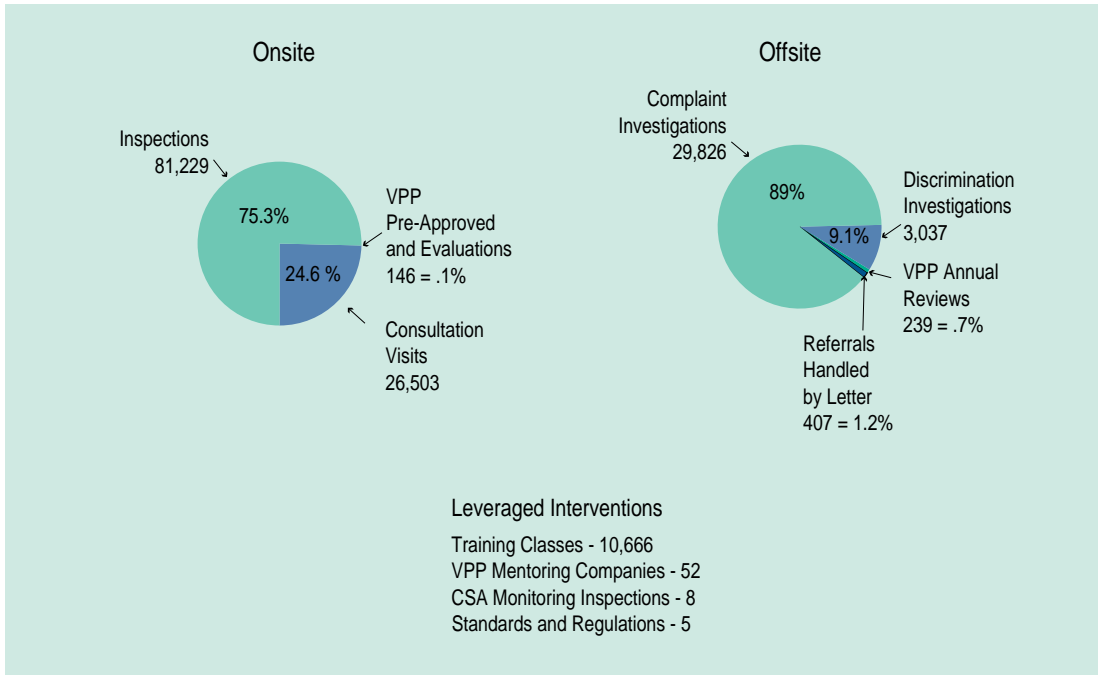


**PERCENT OF RULEMAKING ACTIONS
ON REGULATORY AGENDA
UNDERTAKEN AS NEGOTIATED—
FY 1996**



ACTIVITY MEASURES—GRAPHIC PRESENTATION

NUMBER AND PERCENT DISTRIBUTION OF ONSITE, OFFSITE, AND LEVERAGED INTERVENTIONS—FY 1996





**PART
ONE**

**OVERVIEW OF
PERFORMANCE
ISSUES**

OVERVIEW OF PERFORMANCE ISSUES

The Government Performance and Results Act (GPRA) requires Federal agencies to submit to the Office of Management and Budget (OMB) a strategic plan for program activities and directs each agency to prepare an annual performance plan and to submit an annual performance report that reviews its success in achieving performance goals for the fiscal year. The purposes of GPRA are to:

- Systematically hold Federal agencies accountable for achieving program results.
- Initiate program performance reform through a series of pilot projects.
- Help Federal managers improve service delivery.
- Improve Congressional decision-making by providing more objective information on Federal programs and spending
- Improve internal management of the federal government.

This section (Part One) of OSHA's performance report addresses specific issues related to OSHA's performance in carrying out the requirements of the GPRA—the annual performance plan, performance results, the performance measurement system, and program evaluations. Part Two provides a more detailed description and analysis of the Agency's indicators.

PERFORMANCE PLAN

OSHA's mission in FY 1996 remained the same, "to assure so far as possible every working man and woman in the Nation safe and healthful working conditions." The President's reaffirmation of this mission and OSHA's purpose in May 1995 set the stage for the Agency's FY 1996 planning process.

As set forth in OSHA's FY 1996 performance plan, the Agency's operations throughout the fiscal year were guided by three strategic goals: 1) to use **commonsense approaches** to eliminate hazards through offering partnerships or traditional enforcement; 2) to implement **commonsense regulations** and other alternative approaches to address emerging and priority health and safety issues; and 3) to **get the job done** by focusing program and delivery systems, using internal and external partnerships, to achieve results. These strategic goals were based on several underlying principles:

- Recognizing the importance to effective safety and health programs of employer commitment, meaningful employee involvement, and hazard control strategies based on primary prevention.
- Acknowledging the benefit of leveraging strategic public-private partnerships and the value of accessible and usable safety and health services, resources, and information.
- Realizing that while becoming a performance-oriented, data-driven organization, OSHA must protect the health of all American workers, including small and unorganized groups of workers, who are especially vulnerable.

OSHA's objectives described the actions and activities the Agency would undertake to move forward strategically in addressing the inherent dangers of America's workplaces. Completion of these actions and activities was predicated on internal and external stability; that is, that FTE and budget allocations would remain constant and economic and workforce fluctuations would be minimal.

Achieving the goals and objectives presented a number of challenges for the Agency: how to better target the Agency's limited resources to workplaces where employees are at the greatest risk of injury, illness, or death; how to better focus incentives and cooperative programs to leverage Agency and other resources to achieve the greatest impact on worker safety and health; and how to better address new and emerging hazards through partnership and user-friendly standards and regulations.

Measuring OSHA's performance in FY 1996 was dependent on the availability of data. The FY 1996 performance indicators reflect Agency activity (activity measures), the short-term results of these activities (intermediate outcome measures), and the longer-term impact of these activities (primary outcome measures).

PERFORMANCE RESULTS

OSHA completed or made progress on a majority of its program objectives in FY 1996. A detailed description of these accomplishments appears in Appendix A (pages 7 to 16).

OSHA's ability to accomplish its goals and objectives in FY 1996 was affected, to a significant degree, by work restrictions and budget uncertainties caused by external factors. OSHA revised its objectives several times during the year. While some of these revisions were the result of internal Agency decisions, the shutdown of the Federal government and proposals to significantly reduce OSHA's budget had a greater causal effect. Nonetheless, the Agency succeeded in completing or making progress on a majority of the revised objectives discussed in Appendix A.

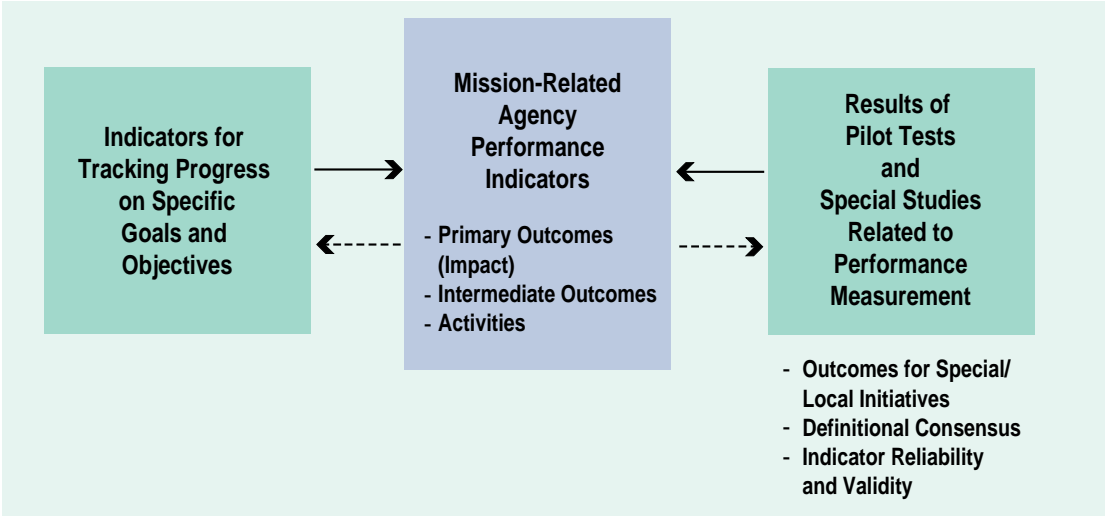
OSHA's performance indicators were predicated on data being available. The candidate performance indicators in OSHA's FY 1996 performance plan reflected carry-

over indicators from FY 1995 and new indicators that proposed to begin to measure the “new OSHA.” The FY 1995 indicators were based on existing data; the new indicators required the establishment of new data systems. Sufficient data were not available at the end of the year to present the new indicators in the FY 1996 report; therefore, the results of OSHA’s performance are limited to those indicators where data were available. A detailed description and analysis of these indicators (also referred to as “performance measures” in this report) is found in Part Two.

PERFORMANCE MEASUREMENT SYSTEM EVOLUTION

The Agency’s performance measurement system (Figure 1) tracks milestones in action plans for each of the goals and objectives and monitors progress in completing the steps necessary to achieve the goals. The mission-related Agency performance indicators address questions about the effectiveness, efficiency, responsiveness, and impact of the Agency’s various programs and initiatives. As the Agency completes its operational revisions, the goals will relate more directly to achievement of the mission. As a result, the goals tracking and Agency performance indicators will tend to converge. Finally, pilot tests and special studies represent developmental work related to performance measurement and system improvement. Although the Agency has already made some improvement in measuring results, the developmental efforts continue.

FIGURE 1. COMPONENTS OF OSHA’S PERFORMANCE MEASUREMENT SYSTEM.



PROGRAM EVALUATIONS

In FY 1996, OSHA began developing evaluation criteria for a number of OSHA programs, including the Voluntary Protection Programs (VPP) and Cooperative Compliance Programs (CCP).

VPP performance evaluation measures were designed in FY 1996 and will be implemented in FY 1997. Evaluation criteria will include the number of sites that implemented effective safety and health programs; injuries avoided at VPP sites; and lost workday cases avoided at VPP sites. A strategy for evaluating the leveraging aspect of the VPP will also be developed in FY 1997.

In FY 1996, work was begun on developing a framework for evaluating Cooperative Compliance Programs. A draft manual is expected in the spring of FY 1997, with the final document to be completed by the end of the fiscal year. The manual is intended to provide general field guidance in establishing, monitoring, and evaluating CCPs covering the seven core elements: data driven, partnership, enforcement, effective safety and health programs, leverage, measurable impact, and outreach.

CONTRIBUTIONS BY NON-FEDERAL PARTIES

OSHA staff prepared the FY 1996 performance measurement report in its entirety.

Data from several non-Federal parties are included in the performance report. Specifications for data used in the Agency indicators were refined after the initial performance measurement report was compiled. State submissions were clarifications and refinements of data already being reported from manual or other systems. Lack of comparability was identified as an issue related to training and Voluntary Protection Program activities. In addition, Education Center course evaluation scores were obtained, as well as targeted grant training costs. The Voluntary Protection Program Participants Association (VPPPA) provided data on the company mentoring program.

APPENDIX A

AGENCY GOALS, OBJECTIVES, AND RELATED PERFORMANCE INDICATORS AND SUMMARY OF ACHIEVEMENTS—FY 1996

GOAL 1: COMMONSENSE ENFORCEMENT

Eliminate hazards through offering partnerships or traditional enforcement

GOAL 1 OBJECTIVES

- Implement in all Federal enforcement States incentive programs that use worksite-specific injury and illness data to encourage proactive safety and health programs (Maine 200 type). Encourage States with approved plans to develop and adopt similar programs, with a target of 50 percent State participation by September 30, 1996.
- Direct resources to significant hazards and serious violators by directing enforcement to the most hazardous industries through pilot projects, national and local emphasis programs, and targeted Federal agency inspections.
- Direct resources to significant construction hazards (including silica, lead, and trenching) and serious violators by using a combination of national and local emphasis programs.
- Form partnerships to address safety and health issues of the health care industry by designing a service sector program, piloting the program, and tracking impact by the fourth quarter of FY 1996.
- Increase the use of incentives to encourage and recognize employers with effective safety and health programs.
- Implement strategies to promote worker participation in efforts to achieve a safe and healthful workplace.
- Promote comprehensive safety and health programs (CSHPs) through partnership, consultation, training and education, and voluntary protection, improving processes and leveraging resources to expand their effective implementation in high-hazard industries and small businesses.

GOAL 1 ACHIEVEMENTS

In FY 1996, the Agency made notable progress in its efforts to eliminate serious hazards that threatened the lives and health of America's workers.

- Cooperative Compliance Programs (CCPs) offer employers with a high number of injuries and illnesses a choice of partnering with OSHA to make safety and health improvements or being subject to traditional OSHA enforcement. This approach, among other things, resulted in significantly more hazards being identified and abated in FY 1996. In that year, OSHA approved CCPs for 29 Federal States; by year's end 11 programs had been implemented. Delays in implementation were attributable to OSHA's decision to give stakeholders an additional opportunity to provide input on individual proposed programs. Implementation of CCPs in all Federal enforcement States is expected in early CY 1997. Also, six State plan States implemented programs meeting five or more of the seven core CCP elements; at year's end five other States were developing programs. In all, 48 percent of the State plan States had implemented or initiated development of CCPs during the year. Negotiations and marketing efforts to encourage State participation will continue in FY 1997.
- In FY 1996, OSHA took a number of steps to address significant hazards and serious violators, especially in the construction industry. Early revision and implementation of the Agency's complaint-handling policy freed some resources for directed enforcement. OSHA also developed and implemented Special Emphasis Programs (SEPs) to address serious problems with silica and lead and implemented a trenching SEP as well. By the end of the year, a SEP addressing general industry machine-guarding had been developed and was in final clearance. During the year, the Agency also targeted and inspected 96.4 percent of Federal agency locations with twice the average Federal lost-time case rate.
- Special attention was given to health issues in the health care industry in FY 1996. Early in the year, OSHA held stakeholder meetings and established a nursing home task force. Training for OSHA compliance officers and consultation consultants was developed and delivered with key stakeholder participation; a training manual was also published. A targeted enforcement strategy was under review at year's end. Outreach seminars were scheduled for targeted States through mid-October; over 2,500 people had attended by the end of the year, and a total of more than 4,600 attendees are expected. OSHA's program for addressing health care issues was officially announced by the Secretary of Labor on August 8 and presented to Veterans Administration safety and health professionals; a presentation to the AAHSA annual conference is scheduled for FY 1997.
- In FY 1995, OSHA completed development of the Program Evaluation Profile (PEP) form, a tool for evaluating employer safety and health programs. OSHA

believes that effective employer safety and health programs are key to the prevention of injuries and illnesses on the job. The PEP was field tested in FY 1996. Completed as well was a revision of a companion penalty system, which will reward employers who have implemented effective safety and health programs. The revised penalty structure and data system form (OSHA 1-b) were also piloted during the year.

- A number of strategies to increase worker participation in efforts to achieve a safe and healthful workplace were in various stages in FY 1996. OSHA believes that employee involvement is key to an effective safety and health program. OSHA's PEP form includes this factor as a important element in evaluating the effectiveness of an employer's program. The issue of employee involvement with regard to settlement policy revisions was still under consideration at year's end. An option paper on employee involvement in the consultation process was under review as well, and discussions continued with the Occupational Safety and Health Consultation Program Association (OSHCON).
- OSHA continued to promote comprehensive safety and health programs through partnership, consultation, training and education, and voluntary protection. In FY 1996, OSHA and representatives of the roofing industry signed a partnership agreement to address industry-related safety and health issues, including employer safety and health programs. A hazard verification protocol was developed, and a steering committee was organized and met before the end of the year. In partnership with the Voluntary Protection Program Participants Association, OSHA revised its Voluntary Protection Program (VPP) corporate strategy. The VPP promotes effective employer safety and health programs as a tool to reduce workplace injuries, illnesses, and fatalities. The Targeted Training Grantees, in concert with OSHA, implemented newly approved training programs, and the Train-the-Trainer outreach program continued; training is one element of an effective safety and health program. Additionally, with orientation and training materials already completed for the last of three courses to be transferred to OTI Education Centers, OSHA updated training curriculum modules and developed a draft partnership directive. Finally, through a grant with the University of Alabama, OSHA began an effort to expand safety and health program training for all consultation program consultants.

GOAL 1 RELATED PERFORMANCE INDICATORS

- Percent of programmed inspections that result in the identification of significant hazards.
- Percent of initial consultation visits that result in the identification of significant hazards.
- Median time (in workdays) for hazard abatement for inspections.

- Median time (in workdays) for hazard abatement for consultation visits.
- Median time to respond to requests from smaller employers in high-hazard industries and operations.
- Average cost per person trained through the targeted training grant program.
- Average evaluation score (as a percentage of the maximum) on courses offered by the OSHA Training Institute and Education Centers.

For data on each of these performance indicators, see Part Two of this report.

GOAL 2: COMMONSENSE REGULATION

Implement a commonsense strategy, developed in partnership with stakeholders, for rulemaking and alternative approaches to emerging and priority safety and health issues.

GOAL 2 OBJECTIVES

- Publish proposed safety and health program rule by September 1996.
- By December 1, 1995, develop and begin to implement a plan to address recommendations made in the Eliminating and Improving Regulations report.
- Issue three final health standards, one final safety standard, and a final regulation on abatement verification. Propose one additional health and one additional safety standard.
- To the extent possible, work with business and labor to address the issues of ergonomics through a balanced strategy that includes training and education, consultation, labor and industry partnerships, technical assistance, regulatory approaches, and sensible enforcement/litigation strategy.
- Work with the National Advisory Committee on Occupational Safety and Health (NACOSH) as it develops recommendations for OSHA to improve hazard communication and worker right-to-know protections. Review NACOSH recommendations by September 1996 and implement as appropriate.
- Initiate and propose one or more negotiated rulemakings to facilitate consensus-based standards.
- By April 1996, initiate implementation of Priority Planning Process recommendations and incorporate them into existing Agency activities.
- Make regulations and interpretations more user-friendly by:

- Issuing a FR Notice proposal to rewrite four 6(a) standards in plain language.
- Releasing compliance documents simultaneously with the effective date of final standards as listed in the President's Regulatory Agenda.
- Publishing all outreach and training materials with final standards promulgation.

GOAL 2 ACHIEVEMENTS

OSHA continued to address safety and health issues through rulemaking and other alternative approaches.

- A proposed safety and health program rule was still under development in FY 1996. Although a draft of the regulatory text of the rule was nearly complete by the end of the year, OSHA recognized the need to obtain greater stakeholder involvement, including small business involvement required by SBREFA. Work on this rule will continue in FY 1997 with additional meetings with stakeholders and small businesses. In addition, other proposals are under consideration. A report from the Maritime Advisory Committee on Occupational Safety and Health recommends a shipyard safety and health program standard, and a report from the Advisory Committee on Construction Safety and Health recommends a construction safety and health standard. The preamble of the latter report is under development.
- OSHA took a number of actions in FY 1996 to address recommendations in the report Eliminating and Improving Regulations. The Agency published a "Miscellaneous Changes to General Industry and Construction Standards" proposal that would reduce regulatory requirements while maintaining employee protections. OSHA also published a final rule clarifying and reorganizing standards provisions and deleting 275 CFR pages, and a Federal Register Notice eliminating 645 additional CFR pages in the construction and shipyard industries. Finally, OSHA published a Federal Register proposal to eliminate 13 pages and reinvent 185 pages of obsolete and duplicative regulations.
- OSHA succeeded in meeting part of its goal to issue final and proposed standards and regulations in FY 1996 to address selected hazards or hazardous conditions. Unanticipated delays in the standards promulgation process resulted in no final or proposed health standards being published during the year. A final methylene chloride regulation, delayed by the need to accommodate SBREFA requirements, was approved by OMB pending final revisions; publication is expected in early FY 1997. A final butadiene regulation was delayed by process slippage, but by the end of the fiscal year was ready for submission for departmental clearance. Publication is expected early in FY 1997. A final abatement verification rule is undergoing extensive review for compliance with paperwork reduction requirements; now ready for DOL clearance, publication is expected in mid-FY 1997. Finally, a proposed tuberculosis regulation is undergoing

extensive OMB analysis, including SBREFA review. On the safety side, the Agency published final rules for grain-handling facilities, general industry personal protective equipment, shipyard personal protective equipment, and scaffolds in construction, and proposed rules for recordkeeping, powered industrial trucks—construction, and grain-handling facilities.

- OSHA made some progress in FY 1996 in addressing ergonomic concerns. Over the course of the year, more than 6,000 employers and employees were trained in ergonomic safety through OSHA's Targeted Training Grant Program. The Agency continued to develop a comprehensive strategy to address ergonomic issues; the strategy is being refined, with release expected early in FY 1997, possibly to coincide with a joint OSHA-NIOSH conference planned for January 1997.
- An OSHA objective in 1996 was to review anticipated recommendations on hazard communication and worker right-to-know protections from the National Advisory Committee on Occupational Safety and Health (NACOSH). OSHA has been working with NACOSH, and the final recommendations are expected early in FY 1997. OSHA will review and respond to the NACOSH report, and, if and where appropriate, issue task orders to initiate implementation of selected recommendations.
- During the year, OSHA initiated negotiations with the Maritime Advisory Committee on Occupational Safety and Health to develop a revised fire protection standard for shipyards. In negotiation with the Steel Erection Committee, OSHA drafted a proposed steel erection standard. Completing work on the steel erection proposal will require reauthorization of the committee.
- In FY 1996, OSHA initiated implementation of a number of recommendations from the Priority Planning Process. The Agency published "Violence in the Workplace" guidelines for health care and social service workers, and issued for comment "Violence in the Workplace" guidelines for night retail establishments. OSHA also initiated a "Permissible Exposure Limits" air contaminants update; developed and implemented a silica SEP; published a technical manual chapter on hazardous drugs; and formed a standards advisory committee to cooperatively address metalworking fluids.
- OSHA undertook a number of actions to make its regulations and interpretations more user-friendly. Four 6(a) standards were identified for plain-language rewrite. A Federal Register proposal to rewrite the access/egress rule in plain English was proposed; the flammable/combustible liquids rule was redrafted; and the dip tanks and spray-finishing rules were redrafted and are awaiting publication. Publication of flammable/combustible liquids, dip tanks, and spray-finishing rules is expected early in FY 1997, with a means of egress rule to follow. Compliance directives were issued by standards' effective dates for grain-handling facilities, general industry PPE, shipyard PPE, and scaffolds in construction.

Maritime PPE training materials were completed, and scaffolding materials are in clearance.

GOAL 2 RELATED PERFORMANCE INDICATOR

- Percent of rulemaking activity on the regulatory agenda undertaken as negotiated rulemaking.

For data on this performance indicator, see Part Two of this report.

GOAL 3: RESULTS—GETTING THE JOB DONE

Focus OSHA programs and service delivery systems using internal and external partnerships to achieve results

GOAL 3 OBJECTIVES

- Continue development and implementation of a results-oriented performance measurement system during FY 1996.
- Submit by October 1, 1995, a plan to increase the skills and expertise of OSHA employees.
- By September 30, 1996, establish a total of at least 17 redesigned area offices.
- Increase the involvement of OSHA's State partners in:
 - Identifying and recognizing innovations through the development of at least three pilot performance agreements each with State programs and consultation projects by June 1996.
 - Developing and implementing national safety and health policies by continuing to facilitate State involvement through improved communication mechanisms, including conference calls, e-mail, and participation in meetings.
- By October 1995, develop and implement a plan that will ensure a diverse workforce.
- Expand implementation of successful process improvement projects such as FOIA, debt collection, time utilization, and phone/fax complaint handling.
- Collect and expand the use of worksite-specific data to target Agency interventions, as well as to measure OSHA impact and meet the requirements of GPRA.
- Implement the Information Resources Management (IRM) Plan.
- Develop an operational plan by November 1, 1995, for electronically disseminating safety and health information to the public.

- Develop by January 1, 1996, strategies to institutionalize customer feedback as a measure of customer satisfaction in redesigned offices.

GOAL 3 ACHIEVEMENTS

OSHA's motto in FY 1996, "Getting the Job Done" through internal and external partnerships, produced notable results.

Following are some of the results OSHA achieved in FY 1996:

- OSHA revised its performance measurement implementation approach in FY 1996 and developed and transmitted to OMB its FY 1995 Performance Measurement Report.
- The Agency completed a strategic plan for employee development.
- By the end of the year, 17 Federal area offices had been reengineered, institutionalizing, among other things, a problem-solving approach that addresses significant workplace safety and health problems. OSHA's redesign process received a Vice Presidential Hammer Award at a June 13 White House ceremony.
- OSHA took a number of steps throughout the year to increase the involvement of its State partners. Performance agreements were signed with three States—Michigan, Oregon, and Wyoming; additional agreements are under discussion. Pilot consultation performance agreements with 10 States in Regions I and III were approved and implemented (the Oregon State plan performance agreement includes the consultation effort); a Region IV pilot was developed. A limited-access Internet home page was introduced, and computer systems are being upgraded for State e-mail connectivity. In addition, the Occupational Safety and Health State Plan Association (OSHSPA) participated in the penalty revision task force, the respirator review team, the safety and health program stakeholder meeting, the OSHA-55/OSHA-31 data form task force, the settlement agreement task force, the Chemical Accident Investigation task force, and the FY 1997 OSHA goals process. Issues-specific workshops were also sponsored during regularly held OSHSPA meetings.
- An EEO plan was prepared and issued in FY 1996. Outreach was conducted with professional and community groups, and a faculty exchange relationship was developed with Howard University. Memorandum of Understanding (MOU) commitments were fulfilled through a pilot Howard University faculty exchange and the use of HACU/HBCU summer interns.
- Process improvement initiatives continued in FY 1996. A new Freedom of Information Act (FOIA) process template was initially adopted as part of the redesign area office roll-out. Analysis of the debt collection process was completed and a report prepared. The OSHA-55/31 (activity data and time form) was implemented to capture information on nonenforcement interventions and

to provide data for performance measurement. A reengineered phone/fax, other-than-formal, complaint-handling process was implemented with standardized performance measurements; a reengineered formal complaint-handling process is being piloted. OSHA's "Safety Pays" concept and expert system were institutionalized.

- OSHA implemented a system to collect and compile data on occupational injuries and illnesses for individual establishments in certain private-sector industries in FY 1996 (OSHA Data Initiative). The purpose of the system is to provide data for OSHA's enforcement and compliance assistance programs, as well as to assess the results of the Agency's efforts to reduce occupational injuries, illnesses, and fatalities. The overall response rate for data collection was 92 percent. The Establishment Data System, a system that integrates Bureau of Labor Statistics (BLS) Annual Survey Data with the employer log and employment data, and that provides Compliance Safety Officers with software to use the OSHA-collected injury, illness, and employment data, was developed. The Agency planned for FY 1997 data collection with area office and State plan-specific components and for integration in FY 1997 of worksite-specific data with OSHA Integrated Management System data.
- Despite many Information Resources Management (IRM) accomplishments in FY 1996, projects required to fully implement the plan were delayed due to resource uncertainty. However, a Strategic IRM Plan Summary was completed, approved by the departmental Information Technology Center, and published on the Internet under the Office of Administration and Management's (OASAM) Web page as part of the department's Strategic IRM Plan for FY 1995–FY 2000. PCs and upgrades were completed in OSHA national, regional, and area offices, and a new Internet server was installed with a secured access section for OSHA users. The modernization of OSHA's Salt Lake Technical Center computer was launched: hardware and software were purchased, delivered, and tested; the migration of databases and supporting programs was begun; Internet firewall hardware was installed; millennium 20/20 data reduction software was installed and lab users trained; OCIS menus and programs were developed for the Alpha; and the dialup script to OSHA family NCR computers and PCs was revised. OSHA national office LAN architecture and platform were finalized, most hardware and software purchases completed, and a prototype implemented; national office e-mail was expanded beyond prototype offices. Field LAN/WAN hardware and software were purchased, most developmental work was completed, and the project was undergoing testing at year's end; a pilot deployment was planned for early in FY 1997, contingent upon the installation of telecommunications lines. In support of OSHA's partners, e-mail was distributed to all State consultation program sites, State 18(b) sites, and enforcement offices with upgraded NCR equipment.

- Work on electronically disseminating OSHA information continued in FY 1996, especially via the Internet. While a preliminary operational plan was completed, budget and organizational issues precluded completion of major planning steps prior to FY 1997.
- A strategy for institutionalizing customer feedback in redesigned area offices was developed. The Agency also reported on its accomplishments under the FY 1996 Public Service Standards and published a FY 1997 “Pledge to Customers.” The OMB-approved complaint response survey was distributed to redesigned area offices, and pretested surveys were submitted for OMB clearance. The Agency also tracked public interest in Agency activities through Web page activity.

GOAL 3 RELATED PERFORMANCE INDICATOR

- Median time (in workdays) to respond to complaints.

For data on this performance indicator, see Part Two of this report.

INTRODUCTION

This part contains a detailed analysis of OSHA's FY 1996 Agency performance measures or indicators. OSHA used three types of measures to monitor results and measure impact:

Primary outcomes or **impacts** reflect the success of Agency activities in preventing or reducing workplace injuries, illnesses, and fatalities. Primary outcomes represent the extent to which OSHA achieves its mission. The key element in performance measurement is linking Agency activities and intermediate outcomes (described below) to changes in adverse events. The primary outcomes addressed in this document are:

- Change in Magnitude of Occupational Injuries and Illnesses
- Change in Trenching/Excavation Fatalities—Revised Excavation Standard
- Change in Injury/Illness Rate—Maine 200 Program
- Change in Injury/Illness Rate—Wisconsin 200 Program
- GRIP (Getting Results and Improving Performance) Success Stories

Intermediate outcomes are the results of individual activities or programs that contribute to Agency primary outcomes. This category captures the short-term results of activities. Intermediate outcomes reflect desirable changes in the workplace environment or in Agency responsiveness that are related to long-term changes in the types, numbers, and rates of workplace injuries, illnesses, and fatalities. The intermediate outcomes addressed in this report are:

- Significant Hazard Identification— Programmed Inspections
- Significant Hazard Identification—Consultation Visits
- Hazard Abatement Time—Programmed and Nonprogrammed Inspections
- Hazard Abatement Time—Consultation Visits
- Complaint Response Time
- Consultation Response Time
- Cost Per Person Trained—Targeted Training Grant Program
- Evaluation Score on Courses Offered—OSHA Training Institute and Education Centers
- Negotiated Rulemaking

Activities include the services or products that OSHA's programs provided or actions that converted resources to Agency services or products. The results of these activities become measures of the effectiveness, efficiency, and responsiveness of OSHA programs (intermediate outcomes) and the extent to which OSHA prevents or reduces workplace injuries, illnesses, and fatalities (primary outcomes).

The activities addressed in this document are:

- Onsite Intervention Activities
- Offsite Intervention Activities
- Leveraged Intervention Activities

Part Two presents data and analysis for each of the performance indicators that OSHA measured in FY 1996. It provides a description of each measure, relevant definitions, analysis of the data, and supporting figures. Tables containing more detailed data follow the analyses in each of the three performance measure sections.



**PART
TWO**

**PERFORMANCE
MEASUREMENT**

**PRIMARY
OUTCOME
MEASURES**

INTRODUCTION

This section presents the data for and analyses of OSHA's primary outcome measures for FY 1996. Primary outcomes are the prevention or reduction of workplace injuries, illnesses, and fatalities resulting from Agency activities.

The primary outcome measures analyzed in this report demonstrate the impact of OSHA programs and activities on workplace safety. They are:

- Change in magnitude of occupational injuries and illnesses
- Change in trenching/excavation fatalities since implementation of the revised excavation standard
- Change in Injury/Illness Rates—Maine 200 Program
- Change in Injury/Illness Rates—Wisconsin 200 Program

A description of each measure, relevant definitions, data analysis, data issues, and anticipated changes are presented on pages 25 through 36. The tables on pages 41 through 49 present in greater detail the data for the first two measures.

Finally, this section briefly summarizes five “success stories” from OSHA's reengineered Federal field offices using the Getting Results and Improving Performance (GRIP) model.

1

CHANGE IN MAGNITUDE OF OCCUPATIONAL INJURIES AND ILLNESSES

DESCRIPTION OF MEASURE

This measure is the change in the total injury and illness rate in industries in which OSHA intervention (inspections and consultation visits) was greatest. It addresses the following question about OSHA's performance: What impact do OSHA onsite interventions have on workplace injuries and illnesses?

DEFINITIONS

Injury/illness rates: Estimated rates from the Bureau of Labor Statistics Annual Survey of all cases of work-related occupational injuries and illnesses, including cases with days away from work and cases with restricted work activity.

Onsite interventions: OSHA inspections and consultation visits.

Concentration: Number of establishments in an SIC receiving onsite OSHA inspections and consultation visits.

Inspection penetration: Proportion of establishments in an SIC receiving onsite OSHA inspections.

Consultation penetration: Proportion of establishments in an SIC receiving OSHA consultation visits.

Percent change in injury/illness rates: $[(\text{post-intervention rate} - \text{pre-intervention rate}) / \text{pre-intervention rate}] \times 100$.

ANALYSIS

Average total injury and illness rates declined from 1989–1990 to 1993–1994 in those industries in which onsite OSHA intervention (inspections and consultation visits) was greatest during 1991 and 1992.

The average decline in the total injury and illness rates was 23.3 percent for the manufacturing industries with the highest concentration of onsite interventions, 16.3

percent for the construction industries with the highest concentration of onsite interventions, 13.0 percent for the manufacturing industries with the highest average annual rate of inspection penetration, and 22.8 percent for the manufacturing industries with the highest average annual rate of consultation penetration. Those industries with the highest concentration of onsite intervention and those industries with the highest average annual penetration rate are, in general, industries with injury and illness rates well above the national average. This reflects OSHA's commitment to effect change in the most dangerous industries.

Comparing changes in workplace injury and illness rates in those industries experiencing the highest degree of onsite OSHA interventions provides a measure of OSHA impact. One measure of onsite OSHA intervention is concentration of onsite interventions, which is the number of inspections and consultations visits conducted within an industry.

The number of establishments inspected or receiving consultation visits in each manufacturing industry (SIC) was calculated for 1991 and 1992. To evaluate outcomes in 1993 and 1994, industries were rank ordered by the total number of inspections and consultation visits. Similarly, the number of establishments or sites inspected or receiving consultation visits in each construction industry (SIC) was calculated for 1991 and 1992, and industries were rank ordered by the total number of inspections and consultation interventions. The average total injury and illness rate for 1989 and 1990 combined was compared to the average total injury and illness rate for 1993 and 1994 combined. These averages were then used to calculate the percent change in total injury and illness rates before and after intervention.

Both manufacturing and construction industries (SICs) with the highest concentration of onsite interventions experienced a pattern of declining injury and illness rates. All eight of the manufacturing industries with the highest concentration of onsite interventions experienced declines in average total injury and illness rates, and seven of the eight construction industries with the highest concentration of onsite intervention experienced declines in average total injury and illness rates.

Penetration of onsite interventions, an alternative measure of onsite OSHA intervention, was also analyzed (see the tables on pages 47 to 48). Penetration of onsite interventions is the proportion of establishments within an industry that were inspected or received consultation visits.

The proportion of establishments inspected in each manufacturing industry (SIC) was estimated for 1991 and 1992 using establishment data from Dun and Bradstreet. To evaluate outcomes in 1993 and 1994, industries were rank ordered by the average estimated proportion (number of establishments inspected/number of establishments in the SIC). Similarly, the proportion of establishments receiving consultation visits in each manufacturing industry (SIC) was estimated for 1991 and 1992, and industries were rank ordered by the average estimated proportion. The average total

PART TWO: OSHA PERFORMANCE MEASUREMENT

AVERAGE INJURY/ILLNESS RATES BEFORE AND AFTER OSHA ONSITE INTERVENTIONS

MANUFACTURING INDUSTRIES WITH THE HIGHEST NUMBER OF ONSITE INTERVENTIONS—
CY 1990-1991

SIC	Rates '89-'90 vs Rates '93-'94
Logging (SIC 2410)	18.5/10.0
Plastics Products, NEC (SIC 3089)	17.2/13.5
Sawmills and Planing Mills (SIC 2421)	18.2/13.1
Industrial Machinery (SIC 3599)	12.9/11.4
Motor Vehicle Parts & Accessories (SIC 3714)	19.6/14.9
Fabricated Structural Metals (SIC 3441)	24.0/18.0
Sheet Metal (SIC 3444)	19.2/16.4
Electroplating (SIC 3471)	15.7/13.2

CONSTRUCTION INDUSTRIES WITH THE HIGHEST NUMBER OF ONSITE INTERVENTIONS—
CY 1990-1991

SIC	Rates '89-'90 vs Rates '93-'94
Non-residential Building (SIC 154)	16.4/11.6
Misc. Special Trade (SIC 179)	15.2/11.8
Masonry, Stone & Plaster (SIC 174)	16.6/13.5
Plumbing, Heating & Air Cond. (SIC 171)	15.7/13.4
Heavy Constr. except Highway (SIC 162)	13.7/10.2
Electrical Work (SIC 173)	13.3/11.0
Residential Building Constr. (SIC 152)	11.3/10.5
Carpentry & Floor Work (SIC 176)	13.1/13.7

injury and illness rate for 1989 and 1990 combined was compared to average total injury and illness rate for 1993 and 1994 combined.

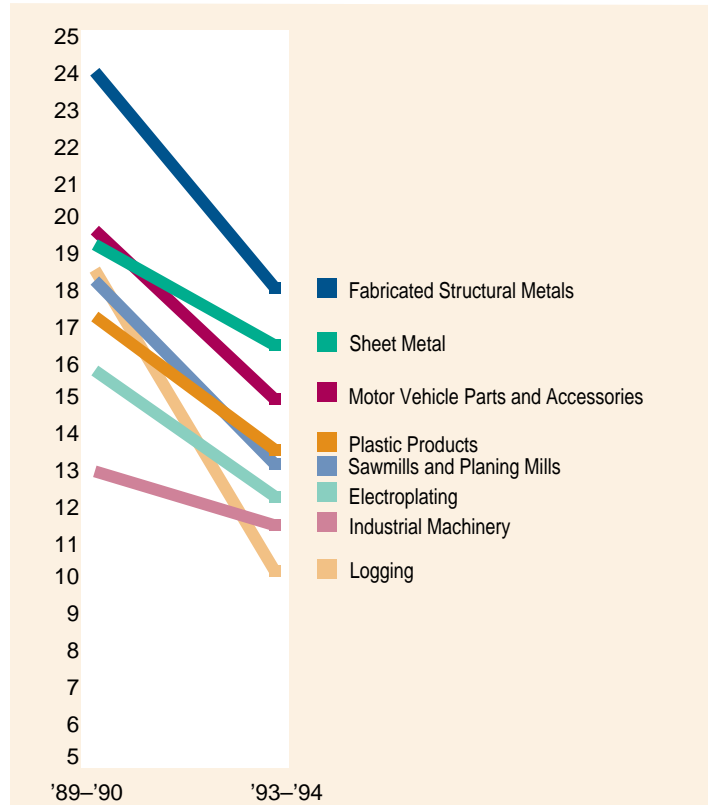
The manufacturing industries with the highest average annual rates of inspection penetration experienced patterns of declining injury and illness rates. Six of the seven industries for which all necessary data were available experienced declines in average total injury and illness rates. Six of the seven manufacturing industries with the highest average annual rates of consultation penetration for which all necessary data were available also experienced patterns of declining injury and illness rates.

An underlying assumption in this analysis is that industries experiencing the greatest onsite intervention should experience a greater decline in injury and illness rates than those industries in which fewer establishments have been inspected or have received consultation. For 1989 and 1990, the average total injury and illness rate for all industries combined was 8.7 per 100 full-time employees. In 1993 and 1994, the average total injury and illness rate for all industries combined was 7.8 per 100 full-time employees. This pattern contrasts with

a greater decrease for the industries with the most onsite intervention. While the association observed in these data does not demonstrate causality, the consistency of response across industries lends weight to the hypothesis that OSHA interventions significantly affect total injury and illness rates.

For more detailed data on this performance measure, see the tables on pages 45 to 48.

AVERAGE PERCENT CHANGE IN INJURY/ILLNESS RATES BEFORE (CY 1989-1990) AND AFTER (CY 1993-1994) INTERVENTION—MANUFACTURING



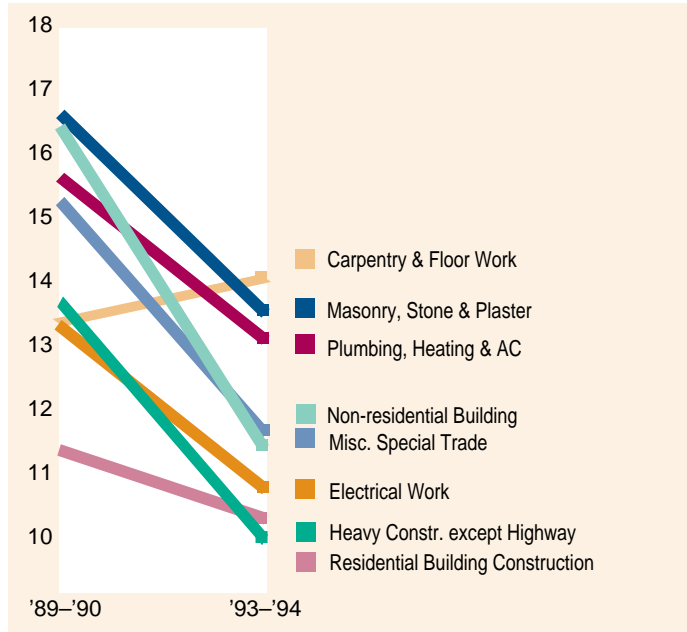
DATA ISSUES

The construction SICs reflect a mixture of type of construction (e.g., general residential building contractors, general nonresidential building contractors, etc.) as well as a variety of special trades (masonry, stone, and plaster; plumbing, heating, and air conditioning; etc.) As a result, the comparison of rates in these SICs may not be as meaningful as the ranked comparisons in manufacturing.

Analysis of penetration rates must be limited to manufacturing because of the difficulty estimating the number of establishments or sites in construction.

Estimates of total injury and illness rates should be more robust for industries with many establishments (i.e., many employees) than for industries with few establishments (i.e., few employees). Small changes in the number of injuries and illnesses in industries with few establishments may result in large changes in the total average injury and illness rates, whereas the rates in industries with many establishments should be far less sensitive to small fluctuations in numbers of injuries and illnesses.

AVERAGE PERCENT CHANGE IN INJURY/ILLNESS RATES BEFORE (CY 1989-1990) AND AFTER (CY 1993-1994) INTERVENTION—CONSTRUCTION



ANTICIPATED CHANGES

The analysis will be updated with 1995 BLS data. Industries will be re-ranked based on the number of onsite interventions in 1992 and 1993.

2

CHANGE IN TRENCHING/ EXCAVATION FATALITIES— REVISED EXCAVATION STANDARD

DESCRIPTION OF MEASURE

This measure is the change in the number of employees killed in trenching/excavation operations since April 1987 and January 1990, the effective dates of OSHA's proposed and final revised excavation standard. It addresses the following question about OSHA's performance: What impact has the revised standard had on fatalities in trenching/excavation operations?

DEFINITIONS

Excavations: Open hollows made in the earth's surface, including trenches. A trench is a narrow excavation, usually less than 15 feet wide.

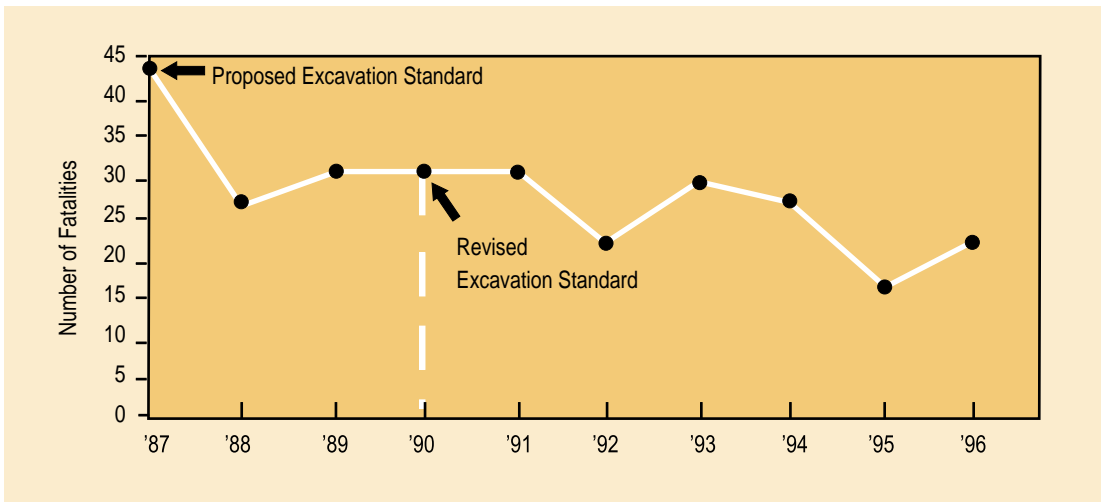
OSHA excavation standard: Covers all open excavations made in the earth's surface.

ANALYSIS

The number of employees killed in trenching/excavation operations has decreased since the effective dates of OSHA's revised excavation standard.

In excavation operations, the leading killer is cave-in accidents, which are primarily caused by a lack of proper shoring, sloping, or shielding in unstable soil. The revised excavation standard covered all open excavations made in the earth's surface, established different sloping and shoring requirements for various soil types, and required employers to use competent persons to analyze soils. The standard also focused on performance criteria rather than specifications to allow employers more flexibility in providing protection for employees. Following promulgation of the standard, OSHA conducted outreach and training to help employers with compliance. To assist in the prevention of cave-ins, OSHA also implemented a special program that required compliance officers to stop and inspect all open, active excavations observed in the course of their workday.

TRENCHING FATALITIES (FEDERAL & STATE)—FY 1987—FY 1996



Information from OSHA’s inspection database indicates the effectiveness of the revised excavation standard. The standard was proposed in April 1987, finalized in October 1989, and effective in January 1990. Since the revised standard was proposed, excavation fatalities have declined 45 percent, from 44 in 1987 to 24 in 1996. Since the effective date of the revised standard, the number of fatalities has fallen 22 percent, from 31 in 1990 to 24 in 1996.

For more detailed data on this performance measure, see the table on page 49.

DATA ISSUES

These data reflect trenching/excavation fatalities investigated by Federal and State OSHA. Deaths resulting from injuries sustained during trenching/excavation operations and occurring at a later date away from the worksite (i.e., hospital or home) may not be reflected in these data.

ANTICIPATED CHANGES

OSHA will continue to monitor the impact of the excavation standard on workplace injuries and fatalities.

3

CHANGE IN INJURY/ILLNESS RATES—MAINE 200 PROGRAM

DESCRIPTION OF MEASURE

This measure is the change in the injury/illness rate experienced by companies participating in the OSHA cooperative pilot program in the State of Maine from 1993 through 1996. It addresses the following question about OSHA's performance: What impact has OSHA's cooperative compliance effort had on the injury/illness rates of the companies participating in the Maine 200 program?

DEFINITIONS

Average rate: Average injury/illness rate for companies graduating from the Maine 200 program.

Incidence rate: Lost workday case incidence rate—calculation based on the employer's OSHA 200 Log and Summary of Occupational Injuries and Illnesses for those cases that resulted in the worker either being restricted or taking time off work (columns 2 + 9 x 200,000 divided by total hours worked).

Graduate: A participant company of the Maine 200 program that has graduated from the program, i.e., met all program criteria, abated all identified hazards, focused on preventing/reducing injuries and illnesses, and implemented an effective site-specific safety and health program at worksites.

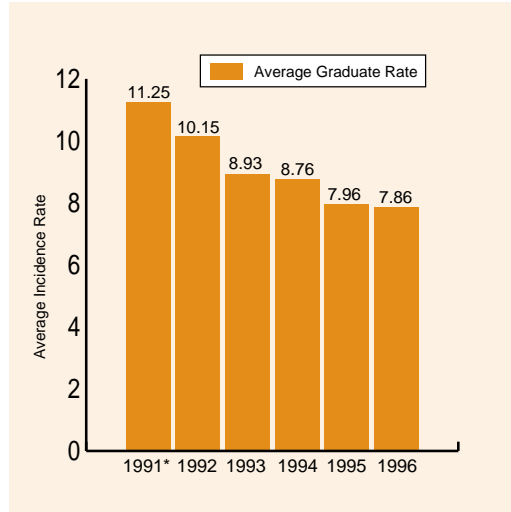
ANALYSIS

There was an overall decline from 1991 to 1996 in the average total injury/illness rates of those companies that graduated from the Maine 200 program. Targeted firms were those having the highest number of workers' compensation claims in 1991.

Maine 200 targeted firms were given a choice of participating in the pilot program officially launched in 1993 or being subject to traditional OSHA enforcement. Those firms choosing to participate agreed to meet program criteria and regularly submit site-specific data to OSHA for monitoring performance.

Overall, annual average incidence rates declined 30 percent, from 11.25 in 1991 (reference year*) to 7.86 in 1996, for those companies graduating from the Maine 200 program. Fifty-four percent (100) of the companies (representing some 800 worksites and just under 50,000 employees) met all program criteria and graduated from the Maine 200 program. Graduate companies experienced a 12 percent decline in average incidence rates from 1993 (year the program officially launched) to 1996. For graduate companies accepted into the program in 1993, average rates declined 22 percent from 1992 to 1996. Graduate companies accepted into the program in 1994 experienced a 13 percent decline in average rates from 1993 to 1996.

AVERAGE INCIDENCE RATE OF MAINE 200 GRADUATE COMPANIES—FY 1991-1996



*1991 was selected as the reference year because companies were initially contacted throughout 1992 and they likely began to implement changes in that year.

DATA ISSUES

The OSHA Bangor Area Office provided the Maine 200 incidence rate information from its office database. The data entered into the database were voluntarily provided by participating companies. One hundred eighty-four companies representing 1,245 worksites voluntarily participated after being notified by OSHA that they were targeted for the compliance program because they were among companies having the highest number of workers' compensation cases. Fifty-four percent of the participating companies (100 companies representing some 800 worksites and just under 50,000 employees) graduated from the program. The average injury/illness rates of these employers was calculated using the total of the incidence rates for all companies graduating from the program.

4

CHANGE IN INJURY/ILLNESS RATES—WISCONSIN 200 PROGRAM

DESCRIPTION OF MEASURE

This measure is the change in the injury/illness rate experienced by companies participating in the Wisconsin 200 program. It addresses the following question about OSHA's performance: What impact does the Wisconsin 200 program have on workplace fatalities, injuries, and illnesses?

ANALYSIS

Companies participating in the Wisconsin 200 program significantly reduced their workers' compensation injury/illness rates, by an average of 29.5 percent in FY 1995 and 35 percent in FY 1996.

The Wisconsin 200 program targets the 200 manufacturing firms in the State that have the highest rate of serious workplace injuries and illnesses, based on site-specific workers' compensation data. Establishments on the Wisconsin 200 list receive information and training prior to inspections to encourage them to implement a safety and health program. After an inspection takes place, OSHA provides recommendations on how the firm can improve its health and safety program, and the firm incorporates these recommendations into an action plan.

In FY 1995, outreach for the program consisted of notification to all the original 200 companies of their inclusion in the program, 22 training sessions attended by 84 companies, several meetings with stakeholders prior to finalizing the program, 15 Wisconsin 200 seminars, and responses to numerous telephone inquiries about the program. In FY 1996, outreach activities included 21 orientation sessions attended by 55 companies and 43 employee representatives, mailings to 305 employers, and a training session for the Pulp and Paper Manufacturers Association attended by 90 employers from throughout the midwest.

In FY 1995, a total of 88 inspections were conducted at 44 firms. A total of 816 violations were cited, with 18,711 employees exposed to the violations cited. All the companies cited (27) submitted action plans based on informal conferences. Two companies that were not cited also voluntarily joined the program and submitted

action plans. In FY 1996, a total of 55 inspections were conducted at the same number of firms. A total of 747 violations were cited, with 11,803 employees exposed to the violations cited. Aside from two contested cases, only one employer refused to submit an action plan. In both FY 1995 and FY 1996, more than half the violations cited were serious, willful, or repeat violations.

In FY 1995, 80 percent of the employers in the program reduced their injury/illness rates, and 105 companies dropped off the Wisconsin 200 list due to their reduction in lost workday injuries/illnesses. In FY 1996, 86 percent of the companies on the first OSHA 200 list achieved reductions in workers' compensation injury/illness rates. The rates of the top 50 establishments where inspections were conducted were reduced by 40 percent. Employers on the second Wisconsin 200 list averaged a 24 percent reduction after one year; 79 percent of these employers reduced their rates. More than half the companies improved so much that they were no longer included in the Wisconsin 200 program.

WISCONSIN 200 PROGRAM EVALUATION

	FY 1995	FY 1996
Number of establishments visited	44	55
Changes to fatality rates	Data not available*	Data not available*
Average change in workers' compensation injury/illness rates	-29.5%	-35%
Number of inspections	88	55
Number of hazards abated (number of violations cited)	816	747
Number of employees removed from risk (number exposed to standard violated)	18,771	11,803
Number of workers covered by inspection	16,354	15,150
Number of violations per inspection	6.8	8.9
Percent of serious, willful, and repeat violations	58.8%	51%
Average serious penalty	\$596	\$532
Average penalty per inspection	\$3,454	\$2,527

*There have been no fatalities in Wisconsin 200 companies since the beginning of the program.

GRIP (GETTING RESULTS AND IMPROVING PERFORMANCE) SUCCESS STORIES

In FY 1994, OSHA began an effort to enhance the performance of its Federal field offices through reengineering. The Agency's model for changing the way these offices conduct business addressed four major operational components: strategy, processes, organization, and measurement. The model was based on the premise that all OSHA staff are responsible for accomplishing the organization's mission of reducing workplace injuries, illnesses, and fatalities, while also enforcing OSHA regulations.

In FY 1995, five Federal area offices were operating under OSHA's reengineered format. In FY 1996, the number increased to 17. One means of achieving impact in the reengineered area offices is the use of problem-solving, which gives the field staff the ability to identify critical safety and health problems, develop solutions, implement plans, and measure and be held accountable for results. The number of success stories is increasing rapidly. Below is a sampling of strategic initiatives reported for FY 1996. They represent solutions to local safety and health problems that OSHA believes will become long-term measures of the Agency's impact on injuries, illnesses, and fatalities in America's workplaces.

COWTOWN PROJECT

The Fort Worth area office identified industries in its jurisdiction with lost workday injury/illness rates among the highest in the nation. Using this information, the office entered into partnerships with several of the most hazardous of these industries (such as meat processing, iron and steel foundries, and motor vehicles and accessories) to help employers reduce workplace injuries and illnesses by maintaining effective safety and health management programs. **In the first year of the program, nearly half of the participating companies reduced their injury and illness rates by more than 25 percent.**

OIL AND GAS INTERVENTION

The Wichita area office and the Overland Park district office, which together as "Team Kansas" cover the entire state, entered into a strategic partnership with oil and gas industry employers in their jurisdiction to address the historically high number of fatal accidents in that industry. OSHA's Team Kansas worked with participat-

ing employers and their insurance companies to improve their safety and health management programs. Prior to the initiative, the oil and gas industry in the State reported an average of 3 deaths a year (63 fatalities/catastrophes from January 1, 1980, to July 30, 1995). In the year before the project was implemented (in September 1995), five oil and gas employees were killed at work. In the 17-month period since the program began, no fatalities have been reported.

HIGHWAY WORKERS

The Parsippany area office had to deal with the tragic aftermath of an accident in which three New Jersey highway construction workers were killed by a passenger truck that crossed over a barrier protecting the work zone. Research by the Laborers' Safety and Health Fund of North America reinforced a growing body of evidence that highway construction work is extremely dangerous. OSHA, realizing it could not solve the problem alone, formed a partnership with the New Jersey Department of Transportation, the New Jersey State Police, Laborers International, and Local 472. This coalition implemented a five-part strategy to make New Jersey highway construction work the safest in the country. The coalition's strategy included: safety awareness training for a new State police traffic-safety unit; a choice for contractors between partnership or traditional enforcement; data collection from State police reports to track hazard trends among highway contractors and educate the various partners; intervention and enforcement by State troopers against offending contractors; and inclusion of permanent contract language requiring contractors to commit to safety practices in order to bid for State-funded highway work.

State troopers have reported making eight and a half times as many safety and health interventions as before. A total of 1,766 hazards have been identified and fixed, thereby removing 1,147 employees from risk. The hazards corrected included unsafe lane closure, inadequate crew protection, and unsafe site-vehicle operation. Many of those hazards also exposed the driving public to risks. Based on this initial success, the State not only added 20 officers to the 25 originally assigned to the project, but also decided to expand the collaborative effort to county and local police. A combined total of 545 State, county, and local police officers will be trained and ready to intervene if necessary in hazardous situations at highway construction sites. A number of other States and localities have asked the New Jersey State Police for help in instituting similar programs.

ROOFERS

The St. Louis area office was aware that many roofers were being seriously injured in falls while working on residential projects in the St. Louis area. OSHA addressed the problem by entering into a partnership with the local unions, roofing associations, and suppliers of roofing materials and fall protection. The goal was to reduce

the high incidence of injuries due to falls from residential roofs. The St. Louis office assisted local contractors in developing practical fall protection plans and conducted hazard-assessment training for the contractors' labor unions and safety and health committees. Within six months, roofing injuries, as reported by the two contractor associations (and confirmed by their unions), declined 70 percent, from 61 in 1995 to 17 in 1996. Of those 17 injuries, only 9 resulted in lost work time.

PULP AND PAPER MILLS

The Savannah area office worked with employers in the pulp and paper mill industry to improve health and safety programs and to find and fix hazards. For many years, this industry had appeared on the high-hazard list. The area office entered into a collaborative partnership with labor and business that involved participation by some employees and active assistance from OSHA. As a result of this partnership, employees, who were trained by OSHA, participated in self-inspections at which 453 violations were found and 255 corrected to date, with only 320 hours of OSHA staff time required. In contrast, OSHA inspections at other pulp and paper mills in the previous 4 years resulted in finding and correcting 159 violations, but required 7,180 hours of OSHA staff time. The strategic partnership resulted in more than a 35-fold increase in hazards abated per hour of staff work. At Tenneco Company, labor and management, working together, have found 1,100 hazards and have already corrected 850. Before OSHA's intervention, there were virtually no relations between the union representing the workers and the company. As a result of this initiative, labor is now a partner in the company's safety operations.

**PRIMARY
OUTCOME
MEASURES**

**TABLES
AND RELATED
DEFINITIONS**

DEFINITIONS

Concentration: Number of establishments in an SIC receiving onsite OSHA inspections and consultation visits.

Consultation penetration: Proportion of establishments in an SIC receiving OSHA consultation visits.

Excavations: Open hollows made in the earth's surface, including trenches. A trench is a narrow excavation, usually less than 15 feet wide.

Injury/illness rates: Estimated rates from the Bureau of Labor Statistics Annual Survey of all cases of work-related occupational injuries and illnesses, including cases with days away from work and cases with restricted work activity.

Inspection penetration: Proportion of establishments in an SIC receiving onsite OSHA inspections.

Onsite interventions: OSHA inspections and consultation visits.

OSHA excavation standard: Covers all open excavations made in the earth's surface.

Percent change in injury/illness rates: $[(\text{post-intervention rate} - \text{pre-intervention rate}) / \text{pre-intervention rate}] \times 100$.

**INTERMEDIATE
OUTCOME
MEASURES**

INTRODUCTION

This section presents the data for and analyses of OSHA's nine intermediate outcome measures for FY 1996 and includes data from FY 1995 and FY 1994 for comparison. This category captures the short-term results of OSHA programs and activities. Intermediate outcomes reflect desirable changes in the workplace environment that are related to primary outcomes—long-term changes in the types, numbers, and rates of workplace injuries, illnesses, and fatalities.

The intermediate outcome measures analyzed in this report are:

- Percentage of programmed inspections that identified significant hazards
- Percentage of consultation visits that identified significant hazards
- Median time (in workdays) for hazard abatement for inspections
- Median time (in workdays) for hazard abatement for consultations
- Median time (in workdays) to respond to complaints
- Median time (in workdays) to respond to consultation requests from smaller employers in high-hazard industries and operations
- Average cost per person trained through OSHA's targeted training grant program
- Average evaluation score on courses offered by the OSHA Training Institute and Education Centers
- Percentage of rulemaking actions on the regulatory agenda undertaken as negotiated rulemaking

A description of each measure, relevant definitions, data analysis, data issues, and anticipated changes are presented on pages 55 through 87. The tables on pages 89 through 151 present the FY 1994 to FY 1996 data for each measure in greater detail.

5

SIGNIFICANT HAZARD IDENTIFICATION—PROGRAMMED INSPECTIONS

DESCRIPTION OF MEASURE

This measure is the percentage of programmed inspections that result in the identification of significant hazards. It addresses the following questions about OSHA's performance: Is OSHA directing its onsite interventions to the right places? Does OSHA focus its efforts effectively and efficiently once it identifies or reaches targets (industry, establishments, or occupation group)?

DEFINITIONS

Programmed inspections (OSHA): Planned inspections to establishments in high-hazard industries or construction worksites identified on OSHA inspection targeting lists. For safety, Federal OSHA lists are based on the industries with the highest injury/illness rates according to the Bureau of Labor Statistics Annual Survey. For health, Federal OSHA lists are based on industries with the highest number of serious health violations per inspection. Construction inspection lists provide randomly selected active worksites. State plan States may use lists based on alternative data sources, such as workers' compensation claims data.

Significant hazards (inspections): Serious hazards likely to kill, injure, or make workers ill, and willful and repeat violations. Excluded are violations related to the OSHA poster, recordkeeping, and hazard communications requirements.

ANALYSIS

OSHA found significant hazards in FY 1996 at nearly half the establishments targeted for inspection. More than 60 percent of programmed inspections in manufacturing establishments identified significant hazards.

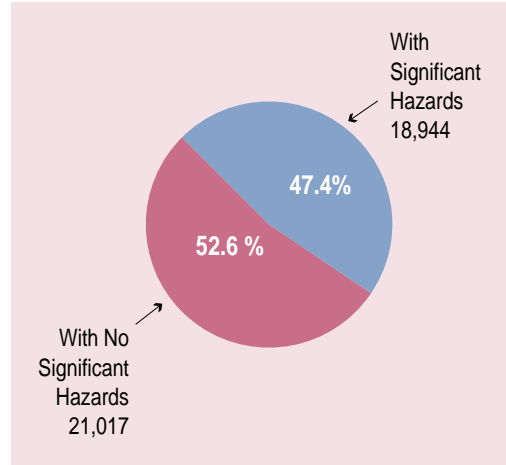
In FY 1996, 47.4 percent of OSHA's programmed inspections identified significant hazards. The FY 1996 result represents a decrease of 5 percentage points from FY 1995 (52 percent) and of 3 points from FY 1994 (50 percent).

On a quarterly basis, the percentage of inspections with significant hazards remained relatively stable (48 percent in quarters one, two, and three, and 46 percent in quarter four).

From FY 1994 to FY 1996, programmed inspections in the manufacturing sector yielded a higher percentage of significant hazards (75, 71, and 62 percent, respectively) than in either construction (44, 47, and 44 percent) or all other industries (41, 43, and 39 percent).

In the same three years, safety inspections in manufacturing were more likely to result in the identification of significant hazards (75, 74, and 65 percent) than health inspections (71, 61, and 52 percent; see tables on pages 95 to 101). Employers with fewer than 50 employees had the lowest percentage of inspections with significant hazards (45 to 49 percent range) of any size group. The range for all other size groups was 62 to 71 percent.

PERCENT OF PROGRAMMED INSPECTIONS WITH SIGNIFICANT HAZARDS—FY 1996



NUMBER AND PERCENT OF PROGRAMMED INSPECTIONS WITH SIGNIFICANT HAZARDS BY QUARTER—FY 1996

Programmed Inspections	Qtr 1	Qtr 2	Qtr 3	Qtr 4
% with Significant Hazards	48%	48%	48%	46%
# with Significant Hazards	4,040	4,869	5,607	4,428
# with No Significant Hazard	4,292	5,378	6,113	5,234

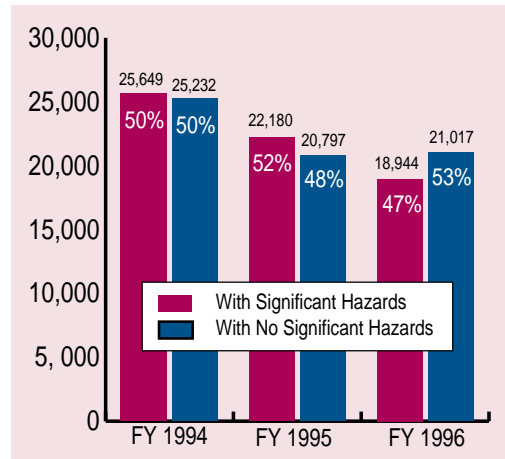
Analysis of Federal and State OSHA activity levels from FY 1994 to FY 1996 shows that Federal OSHA experienced a higher percentage of inspections with significant hazards (59, 57, and 50 percent, respectively) than State OSHA (45, 49, and 46 percent, respectively). Other related information appears in Data Issues below.

In 1994, Federal OSHA began an effort to change the way its field offices conduct business. The focus was on new approaches to improving workplace safety and health, improvements to existing processes, and an organizational structure to support change. Seventeen of the 67 area offices are now operating under the new “redesign” office format. In FY 1996, 49 percent of programmed inspections conducted by the redesign offices resulted in the identification of significant hazards.

In FY 1995, the Agency also embarked on a new strategy in construction to improve the effectiveness of its inspection time and to recognize employers who were doing a good job. Based on an evaluation of the employer’s safety and health program, inspections were limited to those hazards that are the leading cause of construction fatalities. In FY 1996, 31 percent of construction-focused (limited scope) inspections resulted in the identification of significant hazards.

For more detailed data on this performance measure, see the tables on pages 95 to 101.

NUMBER AND PERCENT OF PROGRAMMED INSPECTIONS WITH SIGNIFICANT HAZARDS—FY 1994–FY 1996



DATA ISSUES

The programmed inspection data are from the OSHA Integrated Management Information System (IMIS) and include both Federal and State activity. Violations of the OSHA poster, recordkeeping, and hazard communications requirements are excluded from the Federal OSHA inspection counts and from the activity counts of those States with the same standards numbers as the Federal.

The identification and exclusion of some State data on violations related to the OSHA poster, recordkeeping, and hazard communications requirements could change the ratio of inspections with significant hazards to inspections with no significant hazards.

Willful and repeat violations may include hazards initially classified as other-than-serious.

The significant hazards definition (“serious hazards likely to kill, injure, or make workers ill, and willful and repeat violations”) is difficult to apply across programs. Consultation, for example, does not classify hazards identified as willful and repeat.

ANTICIPATED CHANGES

Federal OSHA high-hazard lists for programmed inspections are based on industry data. An OSHA data initiative currently underway is collecting OSHA logs from employers in high-hazard industries. Beginning in FY 1997, these data will allow OSHA to conduct establishment-specific targeting based on firm injury and illness rates.

The FY 1996 performance measure for targeting was based on available data. A candidate performance measure proposes to use percentage of establishments with lost workday injury (LWDI) rates above the national or industry average as a measure of targeting effectiveness.

6

SIGNIFICANT HAZARD IDENTIFICATION—CONSULTATION VISITS

DESCRIPTION OF MEASURE

This measure is the percentage of consultation visits that result in the identification of significant hazards. It addresses the following questions about OSHA's performance: Is OSHA directing its onsite interventions to the right places? Does OSHA focus its efforts effectively and efficiently once it identifies or reaches targets (industry, establishments, or occupation group)?

DEFINITIONS

Consultation program: A Federal program mandated by Congress to provide technical advice and assistance to small employers in the identification, correction, and prevention of workplace hazards. The program is administered by the States under agreement with Federal OSHA.

Consultation visit (initial hazard survey): The first visit to a worksite to assist an employer in the identification, correction, and prevention of workplace hazards.

7(c)(1) consultation programs: Programs funded 90 percent by Federal OSHA and 10 percent by the States administering the programs.

23(g) consultation programs: Programs funded 50 percent by Federal OSHA and 50 percent by the States administering the programs.

Significant hazards (consultation visits): Serious hazards and imminent-danger situations likely to kill, injure, or make workers ill. Excluded are hazards related to the OSHA poster and hazard communications requirements.

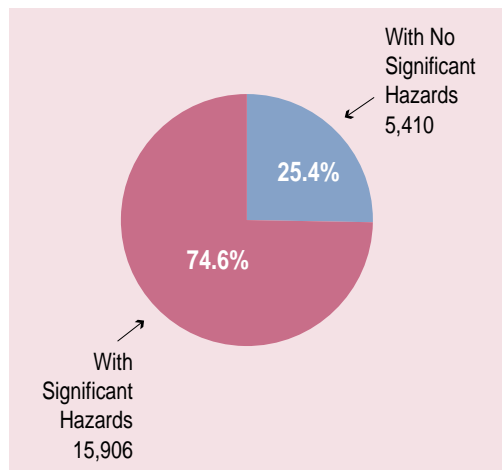
ANALYSIS

Most employers who requested consultative assistance in FY 1996 had significant hazards.

OSHA offers small employers free consultative technical assistance in hazard identification, correction, and prevention. Employers must request the service to receive it; however, through promotional programs OSHA targets high-risk employers for assistance. In FY 1996, 74.6 percent of OSHA's consultation hazard survey visits resulted in the identification of significant hazards.

On a quarterly basis, the percentage of visits identifying significant hazards decreased moderately (78 percent in quarter one, 76 percent in quarter two, 75 percent in quarter three, and 70 percent in quarter four). The percentage of visits with significant hazards in FY 1996 (74.6 percent) was somewhat lower than in FY 1994 and FY 1995 (80 percent in both years).

PERCENT OF CONSULTATION VISITS WITH SIGNIFICANT HAZARDS—FY 1996



NUMBER AND PERCENT OF CONSULTATION VISITS WITH SIGNIFICANT HAZARDS BY QUARTER—FY 1996

Consultation Visits	Qtr 1	Qtr 2	Qtr 3	Qtr 4
% with Significant Hazards	78%	76%	75%	70%
# with Significant Hazards	3,895	4,247	4,387	3,377
# with No Significant Hazards	1,126	1,346	1,472	1,466

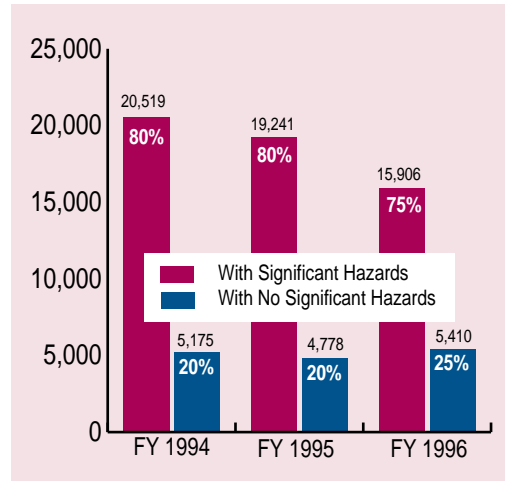
Among industry groups (manufacturing, construction, all other industries), the percentage of visits identifying significant hazards was fairly evenly distributed over the three-year period (FY 1994 to FY 1996), although it was about 5 to 6 percentage points lower in all industry groups in FY 1996 (see tables on pages 103 to 108). More safety visits than health visits resulted in the identification of significant hazards. In all three fiscal years, visits to employers with 500 or more employees were least likely to result in the identification of significant hazards.

In FY 1996, 78 percent of the visits conducted by consultation programs operating under 7(c)(1) OSHA grant agreements resulted in the identification of significant hazards, compared to 62 percent for programs operating under 23(g) agreements; the results are similar to those reported in FY 1994 and FY 1995. The percentage of visits identifying significant hazards was fairly consistent across industry groups (manufacturing, construction, all other industries) for both programs in FY 1995 and

FY 1996. For both programs, more safety visits than health visits identified significant hazards. Visits to establishments with more than 499 employees were least likely to identify significant hazards.

For more detailed data on this performance measure, see the tables on pages 103 to 108.

NUMBER AND PERCENT OF CONSULTATION VISITS WITH SIGNIFICANT HAZARDS—FY 1994–FY 1996



DATA ISSUES

The consultation visit data are from the OSHA Integrated Management Information System (IMIS) and include consultation visits conducted under Federal 7(c)(1) and 23(g) grant agreements with the States. These data reflect consultation visits in private sector and public sector (State and local) establishments. Hazards related to the OSHA poster and hazard communications requirements are excluded from the counts of 7(c)(1) consultation programs in Federal OSHA States and from 23(g) programs in State plan States with the same standards numbers as the Federal.

The identification and exclusion of some State data on hazards related to the OSHA poster and hazard communications requirements could change the ratio of consultation visits with significant hazards to consultation visits with no significant hazards.

ANTICIPATED CHANGES

This measure will be carried forward.

7

HAZARD ABATEMENT TIME— PROGRAMMED AND NONPROGRAMMED INSPECTIONS

DESCRIPTION OF MEASURE

This measure is the median time (in workdays) for hazard abatement for inspections. It addresses the following question about OSHA's performance: Does OSHA get timely results with inspections once hazards are identified?

DEFINITIONS

Inspection hazard abatement time: Number of workdays assigned by OSHA for the abatement of hazards (all classifications) identified during an inspection.

Inspections (type): OSHA programmed inspections (targeted inspections) and non-programmed inspections (complaint, followup, and referral inspections; accident and criminal investigations).

Abatement time calculation (inspections): Opening conference date to abatement date on citation.

Median time (abatement): Number of workdays assigned for the abatement of 50 percent of the hazards identified. Half the values in the population (days assigned for abatement) exceed the median time and half fall below.

ANALYSIS

From FY 1994 to FY 1996, hazards identified during inspections by OSHA were assigned a decreasing number of workdays for abatement.

In FY 1996, OSHA compliance staff assigned up to 34 workdays for the abatement of 50 percent of the hazards identified. On a quar-

MEDIAN TIME ASSIGNED FOR HAZARD ABATEMENT FOR INSPECTIONS — FY 1994–FY 1996

	1994	1995	1996
Inspections	37	35	34
	Median Time Assigned (in workdays)		

terly basis, they assigned fewer workdays in quarter four (30 workdays) than in quarter one (36 workdays). The median time assigned gradually decreased from FY 1994 to FY 1996 (37, 35, and 34 workdays, respectively).

MEDIAN TIME ASSIGNED FOR HAZARD ABATEMENT FOR INSPECTIONS BY QUARTER — FY 1996

Inspections (Programmed and Nonprogrammed)	Qtr 1	Qtr 2	Qtr 3	Qtr 4
Median Time Assigned for Hazard Abatement (in workdays)	36	33	31	30

In FY 1996, the median abatement time assigned was lowest for the construction industry (25 workdays) and highest for manufacturing (41 workdays). The pattern was the same in FY 1994 and FY 1995 (see tables on pages 109 to 115). There were differences between the median abatement times assigned for health hazards and safety hazards. In FY 1996, the median abatement time assigned for health hazards was 12 workdays higher than for safety hazards.

An analysis of the actual abatement time assigned (as opposed to the median abatement time assigned) shows that 44 percent of all hazards identified were assigned fewer than 31 workdays for abatement in FY 1996, 43 percent in FY 1995, and 38 percent in FY 1994. The percentage of hazards assigned more than 90 workdays for abatement decreased by 3 points from FY 1994 to FY 1995 (from 10 percent to 7 percent) and remained the same from FY 1995 to FY 1996.

There was no difference between the median abatement time assigned by Federal OSHA and State OSHA in FY 1996 (34 workdays). The FY 1996 median time represents a decrease over FY 1994 and FY 1995 for both programs. Forty-five percent (45 percent) of the hazards identified by Federal OSHA in FY 1996 were assigned fewer than 31 workdays for abatement, compared to 43 percent in FY 1995 and 37 percent in FY 1994. The percentages for State OSHA were 44, 43, and 39 percent, respectively, for the same periods. For Federal OSHA, 9 percent of the hazards identified were assigned more than 90 workdays for abatement in FY 1996 (up from 7 percent in FY 1995), while for State OSHA, 6 percent were assigned more than 90 days (down from 7 percent in FY 1995).

In FY 1996, Federal OSHA’s 17 “redesign” area offices assigned up to 30 workdays for the abatement of 50 percent of hazards identified. Federal OSHA began a reengineering effort in 1994 to change the way its field offices conduct business. Seventeen of the 67 area offices were operating under this new format in FY 1996.

For more detailed data on this performance measure, see the tables on pages 113 to 119.

DATA ISSUES

Hazard abatement time data are from the OSHA Integrated Management Information System (IMIS) and include Federal and State activity. These data reflect time assigned for the abatement of hazards, not actual time to abate.

ANTICIPATED CHANGES

Performance measures for FY 1996 were based on available data. A candidate measure proposes to measure actual time to abate for hazards identified during inspections instead of abatement time assigned; however, OSHA would have to institute collection of data on actual abatement time.

8

HAZARD ABATEMENT TIME— CONSULTATION VISITS

DESCRIPTION OF MEASURE

This measure is the median time (in workdays) for hazard abatement for consultation visits. It addresses the following question about OSHA's performance: Does OSHA get timely results with consultation visits once hazards are identified?

DEFINITIONS

Consultation hazard abatement time: Number of workdays assigned by the State OSHA program for the abatement of serious hazards identified during an onsite consultation visit.

Consultation visit: An employer-requested visit to a worksite by a State consultant to provide technical advice on and assistance in the identification, correction, and prevention of workplace hazards.

Abatement time calculation (consultation visits): Opening visit (conference) date to correction date/abatement date on Hazard Record data form.

Median time (abatement): Number of workdays assigned for the abatement of 50 percent of the hazards identified. Half the values in the population (days assigned for abatement) exceed the median time and half fall below.

ANALYSIS

From FY 1995 to FY 1996, the number of days assigned for abatement of hazards identified during consultation visits by OSHA remained constant.

In FY 1996, OSHA consultation programs assigned up to 41 workdays (median time) for the abatement of 50 percent of the hazards identified during onsite visits. On a quarterly

MEDIAN TIME ASSIGNED FOR HAZARD ABATEMENT FOR CONSULTATION VISITS—FY 1994—FY 1996

	1994	1995	1996
Consultation Visits	36	41	41

Median Time Assigned
(in workdays)

basis, the number of workdays assigned (median time) decreased by 6 workdays from quarter one (41 workdays) to quarter four (35 workdays). The median time assigned

MEDIAN TIME ASSIGNED FOR HAZARD ABATEMENT FOR CONSULTATION VISITS BY QUARTER—FY 1996

Consultation Visits	Qtr 1	Qtr 2	Qtr 3	Qtr 4
Median Time Assigned for Hazard Abatement (in workdays)	41	40	41	35

increased by 5 workdays from FY 1994 to FY 1995 and stayed the same from FY 1995 to FY 1996.

From FY 1994 to FY 1996, the lowest median times assigned for hazard abatement (23 to 25 workdays) were in the construction industry, while the highest median times (42 to 45 workdays) were assigned to hazards identified in manufacturing (see tables on pages 117 to 122). In the same period, the median time assigned for the abatement of health hazards ranged from 44 to 46 workdays and for safety hazards from 34 to 36 workdays.

Comparing the actual time (as opposed to the median time) assigned to abate shows that the percentage of hazards assigned 0 workdays decreased from 4 percent in FY 1994 to 2 percent in FY 1995 and remained at 2 percent in FY 1996. The same pattern occurs in the percentage of hazards assigned 1 to 30 workdays for abatement (36, 31, and 31 percent, respectively). The percentage of hazards assigned more than 90 workdays for abatement was relatively constant, increasing from 12 to 13 percent from FY 1994 to FY 1995 and then dropping back to 12 percent in FY 1996.

From FY 1994 to FY 1996, the median times assigned by consultation programs operating under 7(c)(1) grant agreements were slightly lower (35 to 41 workdays) than for programs operating under 23(g) grants (40 to 46 workdays). For both programs, the lowest median times assigned were in construction. For actual time assigned in FY 1996, the two programs differed significantly in the percentage of hazards assigned 31 to 50 workdays and more than 90 workdays for abatement—23 and 21 percent, respectively, for 23(g) programs, compared to 33 and 11 percent for 7(c)(1) programs.

For more detailed data on this performance measure, see the tables on pages 121 to 126.

DATA ISSUES

Hazard abatement data for consultation visits came from the OSHA Integrated Management Information System (IMIS) and include State consultation activity conducted under 7(c)(1) and 23(g) OSHA grant agreements.

Consultation abatement time is not comparable to abatement time assigned for hazards identified during inspections. Consultation time does not include abatement time for other-than-serious hazards. Current OSHA regulations require employers receiving consultative assistance to correct only serious hazards and imminent-danger situations. Inspection data include abatement time assigned for serious and other-than-serious hazards.

ANTICIPATED CHANGES

Performance measures for FY 1996 were based on available data. A candidate measure proposes using actual time to abate instead of abatement time assigned; however, OSHA would have to institute collection of data on actual abatement time.

9

COMPLAINT RESPONSE TIME

DESCRIPTION OF MEASURE

This measure is the median time (in workdays) taken to respond to complaints. It addresses the following question about OSHA's performance: How timely are the services OSHA provides to its customers?

DEFINITIONS

Complaint: A notice from an employee, an employee representative, or other source of a hazard or a violation of the Occupational Safety and Health Act believed to exist in a workplace.

Complaint response time: Date complaint received to date of inspection or date complaint received to date of letter. The type of response is based on the Agency's first contact with the employer to resolve the complaint.

Median time (complaints): Number of workdays taken to respond to 50 percent of complaints received. Half the values in the population (days taken to respond) exceed the median time and half fall below.

ANALYSIS

Complainants who filed reports of unsafe or unhealthful working conditions in FY 1996 received a quicker response from OSHA than those who filed in FY 1994 and FY 1995.

Private sector employees, their representatives, or others may file with OSHA complaints of unsafe or unhealthful working conditions or violations of the Occupational Safety and Health Act. OSHA responds to

MEDIAN TIME ASSIGNED TO RESPOND TO COMPLAINTS BY QUARTER—FY 1996

Median Time to Respond (in workdays)	Qtr 1	Qtr 2	Qtr 3	Qtr 4
All Response Times	3	3	2	2
Inspection Response Time	10	10	10	10
Letter Response Time (Complaint Investigations)	1	1	1	1

these complaints with an inspection or a letter. In FY 1996, OSHA’s median time to respond to complaints was 3 workdays (10 workdays for inspections and 1 workday for letter responses or investigations).

Between quarters one and two of FY 1996, the median time to respond to complaints did not change (3 workdays), but it decreased to 2 workdays in the third and fourth quarters. Inspection response times and letter response times remained stable throughout the four quarters (10 workdays and 1 workday, respectively).

The median time to respond to complaints decreased by 2 workdays from FY 1994 to FY 1995 and by another 2 workdays from FY 1995 to FY 1996. Letter response time exhibited the same pattern (4, 3, and 1 workdays, respectively) for the same periods of time. Performance

**MEDIAN TIME TO RESPOND TO COMPLAINTS—
FY 1994–FY 1996**

	1994	1995	1996
All Response Times	7	5	3
Inspection Response Time	11	11	10
Letter Response Time (Complaint Investigations)	4	3	1

Median Time to Respond
(in workdays)

related to inspection responses remained the same from FY 1994 to FY 1995 but decreased by 1 workday from FY 1995 to FY 1996.

From FY 1994 to FY 1996 (see tables on pages 123 to 136), median response times were lowest for the construction industry (3, 2, and 1 workday, respectively) and highest for manufacturing (10, 6, and 3 workdays, respectively). Median times for safety complaints (2 to 6 workdays) were lower than for health complaints (3 to 8 workdays) and complaints classified as both safety and health (4 to 10 workdays) for the same periods.

Federal OSHA median response time gradually decreased from FY 1994 (5 workdays) to FY 1995 (3 workdays) to FY 1996 (1 workday). State OSHA median response time did not change from FY 1994 to FY 1995 (9 workdays) but decreased by 2 workdays from FY 1995 to FY 1996 (7 workdays). For both programs, the median time to respond to construction industry complaints was lower than for manufacturing.

Analysis of actual time to respond in FY 1996 shows that 49 percent of all complaints received responses in under 2 workdays, compared to 37 percent in FY 1995 and 29 percent in FY 1994. The downward shift largely results from improvements in letter response time. A total of 64 percent of the letter responses were completed within 2 workdays in FY 1996, compared to 49 percent and 38 percent in the preceding years.

For Federal OSHA’s “redesigned” area offices, the median response time for complaints was 1 workday in FY 1996. In 1994, Federal OSHA began an effort to change the way its field offices conduct business. Seventeen of Federal OSHA’s 67 field offices were operating under a new format in FY 1996 that focused activities toward workplaces with the greatest potential for worker injury or illness.

For more detailed data on this performance measure, see the tables on pages 123 to 136.

DATA ISSUES

Complaint response time data are from the OSHA Integrated Management Information System (IMIS).

ANTICIPATED CHANGES

The complaint response time measure will be carried forward.

10

CONSULTATION RESPONSE TIME

DESCRIPTION OF MEASURE

This measure is the median time (in workdays) taken to respond to requests from smaller employers in high-hazard industries and operations. It addresses the following question about OSHA's performance: How timely are the services OSHA provides to its customers?

DEFINITIONS

Consultation program: A Federal program mandated by Congress to provide technical advice and assistance to small employers in the identification, correction, and prevention of workplace hazards. The program is administered by the States under agreement with Federal OSHA.

7(c)(1) consultation programs: Programs funded 90 percent by Federal OSHA and 10 percent by the States administering the programs.

23(g) consultation program: Programs funded 50 percent by Federal OSHA and 50 percent by the States administering the programs.

Consultation request: A request from an employer for assistance in workplace safety and health hazard identification, abatement, and prevention.

Comprehensive scope request (consultation): A request from an employer for consultative assistance with safety and health conditions of the entire worksite.

Specific scope request (consultation): A request from an employer for consultative assistance with safety and health conditions of a specific operation(s) of the worksite.

Smaller employers (consultation): Employers with fewer than 250 employees at the worksite.

High-hazard industries (consultation): Industries on OSHA's FY 1996 High Hazard listing or an approved state listing.

High-hazard operations (consultation): Operations or processes generally recognized as hazardous in an otherwise nonhazardous industry (e.g., bindery in a publishing house).

Response time calculation (consultation): Time from date of request to date of visit or from requested visit date to date of visit.

Median time (consultations): Number of workdays taken to respond to 50 percent of the consultation requests received from smaller employers in high-hazard industries and operations. Half the values in the population (days taken to respond) exceed the median time and half fall below.

ANALYSIS

Smaller employers who requested consultative assistance in FY 1996 received a quicker response from OSHA than those who requested assistance in FY 1994 and FY 1995.

The OSHA Consultation Program provides free technical assistance to small employers upon request (employers with fewer than 500 employees) and gives priority to employers in high-hazard industries and operations who have fewer than 250 employees. Employers may request technical assistance with specific

operations (specific scope requests) or with the entire worksite (comprehensive scope requests). In FY 1996, OSHA’s median response time for requests from smaller employers in high-hazard industries and operations was 6 workdays (5 workdays for specific scope requests and 6 workdays for comprehensive scope requests).

The median response time for consultation requests decreased throughout FY 1996 (9, 5, 5, and 3 workdays in quarters one through four, respectively). There was a decrease in median response time for both specific scope requests (6, 7, 5, and 1 workdays) and comprehensive scope requests (10, 5, 6, and 4 workdays) across the quarters.

MEDIAN TIME TO RESPOND TO REQUESTS FROM SMALLER EMPLOYERS IN HIGH-HAZARD INDUSTRIES AND OPERATIONS—FY 1994-FY 1996

	1994	1995	1996
All Requests	11	10	6
Specific Scope Requests	7	5	5
Comprehensive Scope Requests	14	11	6

Median Time to Respond
(in workdays)

MEDIAN TIME TO RESPOND TO REQUESTS FROM SMALLER EMPLOYERS IN HIGH-HAZARD INDUSTRIES AND OPERATIONS BY QUARTER—FY 1996

Median Time to Respond (in workdays)	Qtr 1	Qtr 2	Qtr 3	Qtr 4
All Response Times	9	5	5	3
Specific Scope Requests	6	7	5	1
Comprehensive Scope Requests	10	5	6	4

The median response time decreased by 9 percent from FY 1994 to FY 1995 and decreased by 40 percent from FY 1995 to FY 1996. OSHA experienced similar changes in median response times for specific and comprehensive scope requests over these same periods. From FY 1994 to FY 1996, the median time to respond to requests from the manufacturing industry (20, 16, and 10 workdays, respectively) was higher than for construction (median value of 1 workday for each of the three years). The median times for all other industries were 13, 11, and 8 workdays in the three years.

Analysis of actual time to respond in FY 1996 shows that OSHA responded to 42 percent of the requests in 0 days, compared to 38 percent in FY 1995 and 37 percent in FY 1994. Over these same periods, 13 to 19 percent of requests took more than 60 workdays. For the three fiscal years, 15 to 16 percent more safety requests than health requests received responses in 0 workdays.

From FY 1994 to FY 1996, consultation programs operating under 23(g) grant agreements assigned median response times that were 7 to 10 workdays shorter than programs operating under 7(c)(1) grants (8 to 15 workdays). Both programs assigned the lowest median times to construction (1 workday). For actual time to respond in FY 1996, 7(c)(1) programs had a higher percentage of requests taking more than 60 workdays to respond (16 percent) than did 23(g) programs (9 percent).

For more detailed data on this performance measure, see the tables on pages 137 to 140.

DATA ISSUES

Data on consultation response time are from the OSHA Integrated Management Information System (IMIS) and include State consultation activity conducted under 7(c)(1) and 23(g) OSHA grant agreements.

ANTICIPATED CHANGES

The consultation request measure will be carried forward.

11

COST PER PERSON TRAINED— TARGETED TRAINING GRANT PROGRAM

DESCRIPTION OF MEASURE

This measure is the average cost per person trained through OSHA's targeted training grant program. It addresses the following question about OSHA's performance: Does OSHA focus its efforts effectively and efficiently once it identifies or reaches targets (industry, establishments, or occupation group)?

DEFINITIONS

Targeted training grant program: OSHA program that targets training to employers and employees in industries and establishments determined to have significant injuries or hazards.

Persons trained: Persons participating in training classes provided by an OSHA-funded targeted training grant program.

Program cost (training): OSHA's contribution to a targeted training grant program. The grantees contributed at least another 25 percent of the Federal amount.

Training grantees: Safety or health organizations, employer associations, labor organizations, and educational institutions.

ANALYSIS

Targeted training cost less per person in FY 1996 than in FY 1995.

Through grant agreements with safety and health organizations, employer associations, labor groups, and educational institutions, OSHA targets safety and health training and education to employers and employees who are in industries or establishments determined to have significant injuries or hazards. Many grantees have gained notable experience over the years. Through this experience, grantees might reduce training cost.

In FY 1996, the average cost per person trained through the OSHA targeted training grant program was \$96.35. This average was 19 percent lower than in FY 1995 and 37 percent

higher than in FY 1994. The significant jump between FY 1994 and later years reflects the timing of expenditures during the former 18-month grant period (see Data Issues below).

For more detailed data on this performance measure, see the tables on pages 141 to 143.

**AVERAGE COST PER PERSON TRAINED—
FY 1994—FY 1996**

	1994	1995	1996
Avg. Cost Per Person Trained	\$60.91	\$118.41	\$96.35
No. Persons Trained	9,897	18,602	23,507
OSHA Program Cost	\$602,872	\$2,202,667	\$2,264,949

**AVERAGE COST PER PERSON TRAINED
BY SUBJECT AREA—FY 1996**

Grant Subject Areas	Average Cost Per Person Trained
Construction	\$84.98
Ergonomics	\$65.64
Fall Protection	\$137.97
Lifting in Hospitals	\$76.20
Lockout/Tagout	\$314.28
Logging	\$79.05
Process Safety Management	\$182.08
Small Business	\$152.31

DATA ISSUES

Training cost data were assembled from individual office computer files and grantee reports. Data were not available to compare changes in costs for other training programs.

For performance measurement, training costs are assessed only on a fiscal year basis. Actual training cost can vary considerably from quarter to quarter.

The FY 1994 and FY 1995 grants were for 18 months. Large expenditures during the last 3 to 6 months of these grant agreements can affect the next year's average cost.

ANTICIPATED CHANGES

This measure will be reevaluated. Whether this measure should be expanded to reflect the costs of other OSHA training programs will be addressed. If carried over, an effort will be made to compare costs of other training to allow for a more meaningful interpretation.

12

EVALUATION SCORE ON COURSES OFFERED—OSHA TRAINING INSTITUTE AND EDUCATION CENTERS

DESCRIPTION OF MEASURE

This measure is the average evaluation score (as a percentage of the maximum) on courses offered by the OSHA Training Institute and Education Centers. It addresses the following question about OSHA's performance: How satisfied are OSHA's customers with the services provided?

DEFINITIONS

Evaluation score (training courses): A score ranging from 0 to 5 based on a maximum score of 5 points (5 = excellent, 4 = very good, 3 = good, 2 = adequate, 1 = deficient, 0 = not applicable).

Evaluation factors (training courses): Ten (10) objectives of each course.

OSHA Training Institute (OTI) courses: Courses 201/201A Hazardous Materials; 222/222A Respiratory Protection; 226 Confined Space Entry; 301 Excavation, Trenching, and Soil Mechanics; 308 Principles of Scaffolding; 309/309A Electrical Standards. These are 6 of the 82 courses offered.

Education Center (EC) courses: Courses 204A Machinery and Machine Guarding Standards; 500 Basic Instructor Course/OSHA Construction Standards; 501 OSHA Guide to Voluntary Compliance in Safety and Health; 510 Occupational Safety and Health Standards for the Construction Industry; 521 OSHA Guide to Voluntary Compliance in the Industrial Hygiene Area; 600 Collateral Duty Course for Other Federal Agencies.

ANALYSIS

Students who attended OSHA courses in FY 1996 were very satisfied with the training provided.

OSHA compliance officers and consultants, other Federal agency staff, State employees, and private sector employers and employees may take formal training at the OSHA Training Institute (OTI) and Education Centers (EC). Students who complete these courses rate each class against ten factors using a scale of 1 to 5. In FY 1996, the average evaluation score on courses offered (six OTI and all EC courses) was 4.2 (very good).

Scores on individual evaluation factors in FY 1996 were relatively consistent: 4.2 for communication, accomplishment, content, and relevance. The lowest scores were for effectiveness of laboratories/trips and audiovisuals (4.0); the highest score was for usefulness of binders/handouts (4.4).

The overall score for OTI and EC courses remained at 4.0 between FY 1994 and 1995 and increased to 4.2 in FY 1996. The OTI averages decreased from 1994 to 1995 (4.2 to 4.0) but increased to 4.3 in 1996. The EC scores showed an increase over the 3-year period (3.9 in FY 1994, 4.0 in FY 1995, and 4.1 in FY 1996).

For more detailed data on this performance measure, see the tables on pages 145 to 147.

AVERAGE EVALUATION SCORE ON COURSES OFFERED—FY 1994—FY 1996

	1994	1995	1996
All Courses	4.0	4.0	4.2
OTI Courses*	4.2	4.0	4.3
EC Courses	3.9	4.0	4.1
Overall Score			

* Data reflect 6 most frequently offered of 82 available courses.

AVERAGE EVALUATION SCORE ON COURSES OFFERED BY KEY FACTOR—FY 1996

Key Evaluation Factors	Score		
	All	OTI	ECs
Each course evaluated on:			
Communications	4.2	4.4	4.1
Accomplishment	4.2	4.3	4.1
Content	4.2	4.3	4.1
Relevance	4.2	4.3	4.2
Effectiveness (exercises/workshops)	4.1	4.2	4.0

DATA ISSUES

Training evaluation data were assembled from completed evaluation sheets using an office computer database program. For this report, only the most frequently offered of the 82 available courses at OTI are represented.

For performance measurement, training evaluation scores will be assessed on a fiscal year basis. The number of courses offered each quarter can vary significantly.

ANTICIPATED CHANGES

The inclusion of more OTI course evaluations in subsequent reports may change the evaluation score for OTI courses and the combined score for all courses.

This measure will be reevaluated. Whether this measure provides the best indicator of intermediate success, whether it should be expanded to include other OSHA training, and the issue of comparability will be addressed.

The content of this measure may change as OSHA begins to define its outreach program.

13

NEGOTIATED RULEMAKING

DESCRIPTION OF MEASURE

This measure is the percentage of rulemaking activity on the regulatory agenda undertaken as negotiated rulemaking. It addresses the following question about OSHA's performance: To what extent does OSHA involve its stakeholders in major initiatives?

DEFINITIONS

Negotiated rule: A standard or regulatory action developed in partnership with other interested parties (industry organizations, employee groups, other Federal agencies, etc.) as stipulated in the Negotiated Rulemaking Act or as prescribed by OSHA advisory committee procedures

Regulatory agenda: OSHA calendar of regulatory activity as published in the Federal Register in the fall for the coming year.

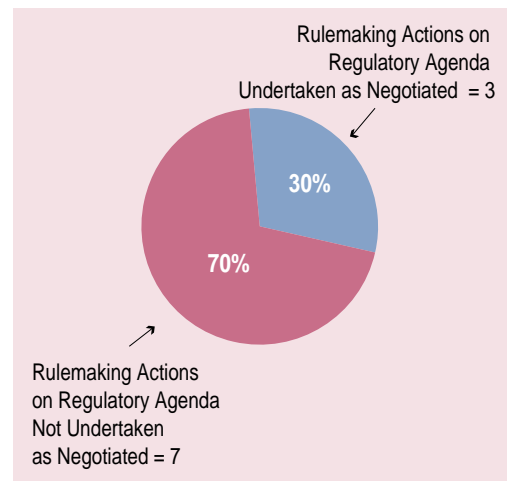
Undertaken (standard or regulation): Initiation of an official action in the rulemaking process, e.g., Federal Register notice announcing the formation of a negotiated rulemaking committee.

ANALYSIS

A higher percentage of OSHA's regulatory agenda involved negotiated rulemaking in FY 1996 than in FY 1994 and FY 1995.

Section 7(b) of the Occupational Safety and Health Act of 1970 gives OSHA the authority to use advisory committees in the development of standards and regulations. In FY 1990, Congress also passed the Negotiated Rulemaking Act to ensure that all Federal agencies had an available framework for conducting negotiated rulemaking. For this

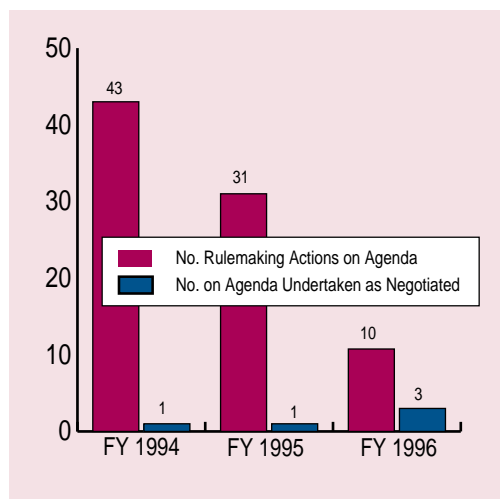
PERCENT OF RULEMAKING ACTIVITY ON REGULATORY AGENDA UNDERTAKEN AS NEGOTIATED RULEMAKING—FY 1996



performance measure, an OSHA negotiated rule is a standard or regulatory action developed in partnership with interested parties as stipulated in the Negotiated Rulemaking Act or as prescribed by OSHA advisory committee procedures. A rule is undertaken when the Agency initiates an official action in the rulemaking process.

In FY 1996, 30 percent of actions on OSHA’s regulatory agenda were undertaken as negotiated, an increase over 3 percent in FY 1995. Of the ten rulemaking activities on the regulatory agenda in FY 1996, three are being undertaken as negotiated: two proposed rules (steel erection and fire protection in shipyards) and one long-term action (metal removal fluids). In FY 1995, one of 31 actions was undertaken as negotiated (steel erection).

NUMBER OF RULEMAKING ACTIONS ON REGULATORY AGENDA UNDERTAKEN AS NEGOTIATED RULEMAKING—FY 1994—FY 1996



The negotiated rulemaking process provides an opportunity for industry organizations, employee groups, Federal agencies, and others to partner with OSHA in the drafting of safety and health standards and regulations. This process expands the role of interest groups by getting them involved earlier, at the developmental stage, rather than later, at the review and comment stage. This partnership is intended to increase acceptability and result in greater compliance.

Not all rules are candidates for negotiation. The Negotiated Rulemaking Act identifies seven criteria: a need for the rule; a limited number of identifiable interests that will be significantly affected by the rule; reasonable likelihood that a committee can be convened with a balanced representation of persons; reasonable likelihood that a committee will reach a consensus on the proposed rule within a fixed period of time; the negotiated procedure will not unreasonably delay the notice of proposed rulemaking and issuance of the final rule; the agency has adequate resources that can be committed; and the agency will use the consensus of the committee as the basis for the proposed rule. These criteria necessarily limit the number of regulatory actions that would be candidates for negotiation.

For more detailed data on this performance measure, see the tables on pages 149 to 151.

DATA ISSUES

These data were assembled from Federal Register notices, tracking reports, and correspondence.

The numerator for this performance measure is the number of negotiated rules on the regulatory agenda undertaken; the denominator is all rules on the regulatory agenda. Since not all rules on a given agenda are candidates for negotiation, the resulting percentage understates the Agency's performance.

Regulatory activity is dependent on adequate funds for research and development. For negotiated rules there is the added cost of coordinating the input of interested parties and providing a facilitator to mediate at committee hearings.

ANTICIPATED CHANGES

This measure will be reevaluated. Consideration will be given to revising the measure to more accurately reflect the intended scope—rulemaking proposals on the regulatory agenda that meet criteria for negotiation. The number of rules identified for negotiation will continue to be small because only a few of the proposed actions will meet the specified criteria.

**INTERMEDIATE
OUTCOME
MEASURES**

**TABLES
AND RELATED
DEFINITIONS**

DEFINITIONS

Abatement time calculation (inspections): Opening conference date to abatement date on citation.

Abatement time calculation (consultation visits): Opening visit (conference) date to correction date/abatement date on Hazard Record data form.

Complaint: A notice from an employee, an employee’s representative, or other source of a hazard or a violation of the Occupational Safety and Health Act believed to exist in a workplace.

Complaint response time: Date complaint received to date of inspection or date complaint received to date of letter. The type of response is based on the Agency’s first contact with the employer to resolve the complaint.

Comprehensive scope request (consultation): A request from an employer for consultative assistance with safety and health conditions of the entire worksite.

Consultation hazard abatement time: Number of workdays assigned by the State OSHA program for the abatement of serious hazards identified during an onsite consultation visit.

Consultation program: A Federal program mandated by Congress to provide technical advice and assistance to small employers in the identification, correction, and prevention of workplace hazards. The program is administered by the States under agreement with Federal OSHA.

Consultation request: A request from an employer for assistance in workplace safety and health hazard identification, abatement, and prevention.

Consultation visit: An employer-requested visit to a worksite by a State consultant to provide technical advice on and assistance in the identification, correction, and prevention of workplace hazards.

Consultation visit (initial hazard survey): The first visit to a worksite to assist an employer in the identification, correction, and prevention of workplace hazards.

Education Center (EC) courses: Courses 204A Machinery and Machine Guarding Standards; 500 Basic Instructor Course/OSHA Construction Standards; 501 OSHA Guide to Voluntary Compliance in Safety and Health; 510 Occupational Safety and Health Standards for the Construction Industry; 521 OSHA Guide to Voluntary Compliance in the Industrial Hygiene Area; 600 Collateral Duty Course for Other Federal Agencies.

Evaluation factors (training courses): Ten (10) objectives of each course. See also “Evaluation score.”

Evaluation score (training courses): A score ranging from 0 to 5 based on a maximum score of 5 points (5 = excellent, 4 = very good, 3 = good, 2 = adequate, 1 = deficient, 0 = not applicable).

Federal OSHA: States and jurisdictions where Federal OSHA administers the Occupational Safety and Health Act.

Hazard communications requirement (OSHA): Requires employers to ensure that hazards of all chemicals produced and imported are evaluated and that information is transmitted to employees.

High-hazard industries (consultation): Industries on OSHA's FY 1996 High Hazard listing or an approved state listing.

High-hazard operations (consultation): Operations or processes generally recognized as hazardous in an otherwise nonhazardous industry (e.g., bindery in a publishing house).

Inspections (types): OSHA programmed inspections (targeted inspections) and nonprogrammed inspections (complaint, followup, and referral inspections; accident and criminal investigations).

Median time (abatement): Number of workdays assigned for the abatement of 50 percent of the hazards identified. Half the values in the population (days assigned for abatement) exceed the median time and half fall below.

Median time (complaints): Number of workdays taken to respond to 50 percent of complaints received. Half the values in the population (days taken to respond) exceed the median time and half fall below.

Median time (consultations): Number of workdays taken to respond to 50 percent of the consultation requests received from smaller employers in high hazard industries and operations. Half of the values in the population (days respond) exceed the median time and half fall below.

Negotiated rule: A standard or regulatory action developed in partnership with other interested parties (industry organizations, employee groups, other Federal agencies, etc.) as stipulated in the Negotiated Rulemaking Act or as prescribed by OSHA advisory committee procedures.

Nonredesigned area offices: OSHA field offices (50) that have not completed the area office redesign process. See also "Redesigned area offices."

OSHA Training Institute (OTI) courses: Courses 201/201A Hazardous Materials; 222/222A Respiratory Protection; 226 Confined Space Entry; 301 Excavation, Trenching, and Soil Mechanics; 308 Principles of Scaffolding; 309/309A Electrical Standards. These are 6 of the 82 courses offered.

Persons trained: Persons participating in training classes provided by an OSHA-funded targeted training grant program.

Poster requirement (OSHA): Requires employers to post and keep posted the OSHA Notice informing employees of the protections and obligations provided for in the Occupational Safety and Health Act.

Program cost (training): OSHA's contribution to a targeted training grant program. The grantees contributed at least another 25 percent of the Federal amount.

Programmed inspections (OSHA): Planned inspections to establishments in high-hazard industries or construction worksites identified on OSHA inspection targeting lists. For safety, Federal OSHA lists are based on the industries with the highest injury/illness rates according to the Bureau of Labor Statistics Annual Survey. For health, Federal OSHA lists are based on industries with the highest number of serious health violations per inspection. Construction inspection lists provide randomly selected active worksites. State plan States may use lists based on alternative data sources, such as workers' compensation claims data.

Recordkeeping requirement (OSHA): Requires employers covered under the Occupational Safety and Health Act to develop and maintain records of employee injuries and illnesses.

Redesigned area offices: OSHA field offices (17) that have gone through a redesign process to improve performance. See also "Nonredesigned area offices."

Regulatory agenda: OSHA calendar of regulatory activity as published in the Federal Register in the Fall for the coming year.

Response time calculation: Time from date of request to date of visit or from requested visit date to date of visit.

7(c)(1) consultation programs: Programs funded 90 percent by Federal OSHA and 10 percent by the States administering the programs.

Significant hazards (consultation visits): Serious hazards and imminent-danger situations likely to kill, injure, or make workers ill. Excluded are hazards related to the OSHA poster and hazard communications requirements.

Significant hazards (inspections): Serious hazards likely to kill, injure, or make workers ill, and willful and repeat violations. Excluded are violations related to the OSHA poster, recordkeeping, and hazard communications requirements.

Smaller employers (consultation): Employers with fewer than 250 employees at the worksite.

Specific scope request (consultation): A request from an employer for consultative assistance with safety and health conditions of a specific operation(s) of the worksite.

State OSHA: The States and jurisdictions operating their own safety and health programs, as provided for in the Occupational Safety and Health Act.

State plan State: A state operating its own safety and health program under Federal approval and monitoring, as stipulated by section 18e of the Occupational Safety and Health Act.

Targeted training grant program: An OSHA program that targets training to employers and employees in industries and establishments determined to have significant injuries or hazards.

Training grantees: Safety or health organizations, employer associations, labor organizations, and educational institutions.

23(g) consultation programs: Programs funded 50 percent by Federal OSHA and 50 percent by the States administering the programs.

Undertaken (standard or regulation): Initiation of official action in the rulemaking process, e.g., Federal Register notice announcing the formation of a negotiated rulemaking committee.

**ACTIVITY
MEASURES**

INTRODUCTION

This section presents the data for and analyses of OSHA's three activity measures for FY 1996 and includes data from FY 1995 and FY 1994 for comparison. Activities include the services or products provided by OSHA's programs. The results of these activities become measures of the effectiveness, efficiency, and responsiveness of OSHA programs (intermediate outcomes) and of the extent to which OSHA prevents or reduces workplace injuries, illnesses, and fatalities (primary outcomes).

The activity measures analyzed in this report are:

- Onsite intervention activities
- Offsite intervention activities
- Leveraged intervention activities

A description of each measure, relevant definitions, data analysis, data issues, and anticipated changes are presented on pages 157 through 168. The tables on pages 169 through 202 present in greater detail the FY 1994 to FY 1996 data for each measure.

14

ONSITE INTERVENTION ACTIVITIES

DESCRIPTION OF MEASURE

This measure tracks onsite interventions by type and addresses the following question about OSHA's performance: What services does OSHA provide?

DEFINITIONS

Onsite interventions: OSHA safety- or health-related activities conducted during normal operating hours at an employer's establishment to address workplace conditions.

Inspections (type): OSHA programmed inspections (targeted inspections) and non-programmed inspections (complaint, followup, and referral inspections; accident and criminal investigations).

Consultation visits: Initial hazard survey visits, training and assistance visits, and followup visits.

VPP evaluations: Onsite visits to determine advancement or continuation in the Voluntary Protection Program (VPP).

VPP pre-approvals: Onsite visits to determine worksite eligibility for the VPP.

ANALYSIS

OSHA conducts a range of onsite activities.

OSHA onsite interventions for FY 1996 reflect a range of programs. For the fiscal year, OSHA conducted 107,878 onsite interventions. Inspections accounted for 75.3 percent of the interventions, consultation visits 24.6 percent, and Voluntary Protection Program (VPP) pre-approvals and evaluations 0.1 percent.

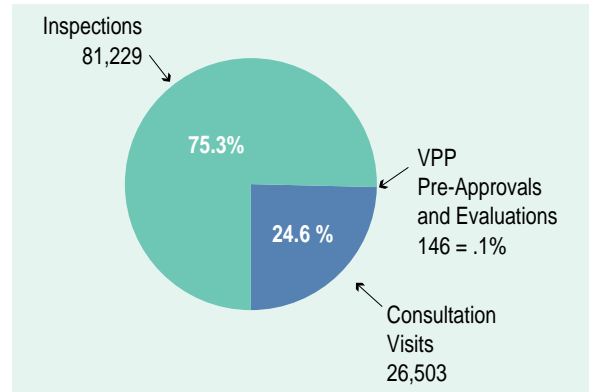
On a quarterly basis, the number of onsite activities in FY 1996 increased in the second (from 23,585 to 27,694) and third quarters (to 30,425) but declined in the fourth quarter (to 26,174). Inspections and consultation visits experienced similar fluctuating patterns, while VPP pre-approvals and evaluations increased in the fourth quarter.

The number of onsite interventions declined each year from FY 1994 to FY 1996 in all areas except VPP. OSHA conducted 134,383 interventions in FY 1994, 119,671 in FY 1995, and 107,878 in FY 1996, representing a 12 percent decrease in the first period and an 11 percent decrease in the second. Fewer inspections (-23,103) accounted for most of the decrease over the three years, although there was a larger drop in consultation visits between FY 1995 and FY 1996 than in the preceding period. In FY 1996 the number of VPP pre-approvals and evaluations increased, following a substantial decrease in FY 1995. The number of onsite interventions may continue to fluctuate as OSHA implements operational changes.

The distribution of onsite activities among industry groups remained constant during the three years at 30 percent manufacturing, 35 percent construction, and 35 percent all other industries.

Both Federal and State OSHA programs experienced decreased onsite activities in FY 1996. Federal OSHA activity dropped 20 percent from FY 1994 to FY 1995 and an additional 15 percent from FY 1995 to FY 1996. Fewer inspections (-5,120) and consultation visits (-3,138) accounted for the Federal decrease over the three years;

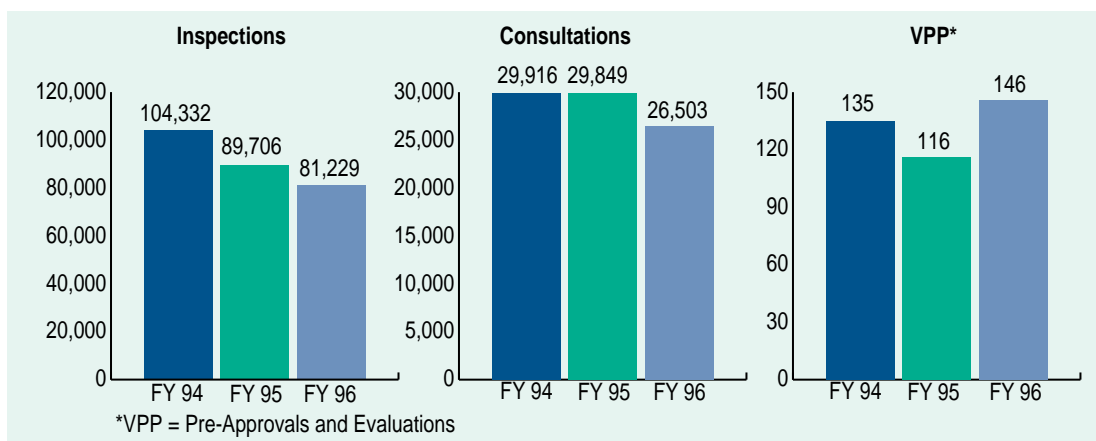
NUMBER AND PERCENT DISTRIBUTION OF ONSITE INTERVENTIONS—FY 1996



NUMBER OF ONSITE INTERVENTIONS BY QUARTER—FY 1996

Program	Qtr 1	Qtr 2	Qtr 3	Qtr 4
Inspections	17,329	20,594	23,186	20,120
Consultation Visits	6,228	7,063	7,209	6,003
VPP Pre-Approvals and Evaluations	28	37	30	51

NUMBER OF ONSITE INTERVENTIONS—FY 1994—FY 1996



the number of construction inspections fell 12 percent (-1,603) and manufacturing inspections fell 20 percent (-1,602). Federal VPP activity declined from FY 1994 to FY 1995 (from 129 to 104) but rebounded in FY 1996 (to 134). State OSHA experienced a gradual decline in activity from FY 1994 to FY 1996 (-2 percent FY 1994 to FY 1995, -6 percent FY 1995 to FY 1996), which appears in all areas except VPP. The number of State pre-approvals and evaluations doubled from FY 1994 to FY 1995 and did not change in FY 1996.

In FY 1995, the Agency embarked on a new strategy in construction to improve the effectiveness of its inspection time and to recognize employers who were doing a good job. Based on an evaluation of the employer's safety and health program, an inspection was limited to those hazards that are the leading cause of construction fatalities. In FY 1996, OSHA conducted 2,098 focused (limited scope) and 9,319 nonfocused inspections.

DATA ISSUES

Inspection and consultation visit data were obtained from the OSHA Integrated Management Information System (IMIS). No computerized mechanism currently exists for assembling VPP data. Efforts are underway to include Federal VPP activity data in the IMIS. States were asked to update and refine VPP activity data reported through a manual system. VPP collection mechanisms and comparability criteria will be reviewed.

The onsite intervention data do not reflect some activities. OSHA's Health Response Team (HRT) and Office of Construction and Engineering provided expert technical assistance during some inspections. During many consultation visits, consultants not only assisted employers with workplace hazards, but also provided training and help with safety and health program development. For this report, each inspection and

consultation visit is counted as one activity regardless of its nature or scope. Future reports will explore ways of capturing and reporting these additional activities and relating them to impact.

ANTICIPATED CHANGES

The onsite activity levels will continue to change as OSHA focuses attention and resources on implementing new concepts, approaches, and processes.

The onsite activity measure will be carried forward. We will be looking to improve the completeness and representativeness of the activity measures. Additional measures will attempt to address new activities, such as the formation of partnerships.

15

OFFSITE INTERVENTION ACTIVITIES

DESCRIPTION OF MEASURE

This measure tracks offsite interventions by type and addresses the following question about OSHA's performance: What services does OSHA provide?

DEFINITIONS

Offsite interventions: OSHA activities usually conducted at a location other than the employer's establishment to address issues related to worksite safety or health.

Complaint investigations: Investigations of oral or unsigned notices of unsafe or unhealthful working conditions from an employee or representative, and of notices from nonemployees.

Discrimination investigations: Investigations of alleged adverse actions taken against employees who have voiced concerns regarding unsafe or unhealthful working conditions at their places of employment.

Referrals handled by letter: Responses to reports of unsafe or unhealthful working conditions based on information from OSHA compliance officers, other Federal agencies, media or employer documentation, etc.

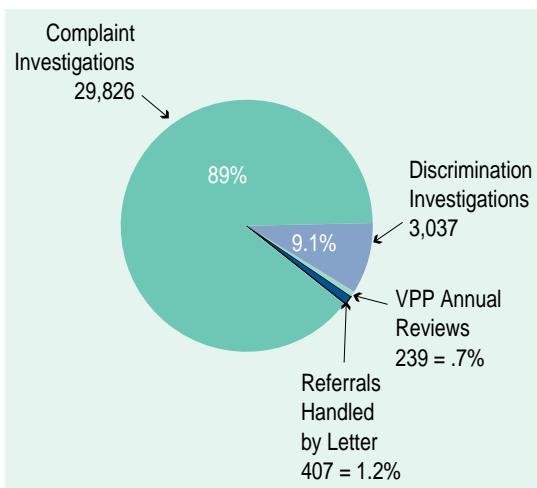
VPP (Voluntary Protection Program) annual reviews: Reviews of employer self-evaluation reports on worksite safety and health program and of worksite injury data for previous years.

ANALYSIS

OSHA provided a broad range of offsite activities in FY 1996.

NUMBER AND PERCENT DISTRIBUTION OF OFFSITE INTERVENTIONS—FY 1996

OSHA conducted four types of offsite intervention activities in FY 1996: complaint investigations (89 percent of all offsite activity), discrimination investigations (9.1 percent), referrals handled by letter (1.2 percent), and Voluntary Protection Program (VPP) annual reviews (0.7 percent). Most of these offsite activities support or are related to similar onsite activities, e.g., complaint inspections, referral inspections, and VPP pre-approvals and evaluations. In FY 1996 OSHA conducted 33,509 offsite interventions.



On a quarterly basis, the number of OSHA offsite interventions increased in the second quarter (from 7,333 to 8,988) but then declined slightly in the third (8,623) and fourth (8,565) quarters of FY 1996. Discrimination investigations exhibited the same pattern, while complaint investigations differed by showing a slight increase in the last quarter. By

contrast, referrals handled by letter increased in every quarter. All VPP annual reviews are scheduled and conducted during the second quarter only.

From FY 1994 to FY 1996 offsite interventions in all program areas fluctuated,

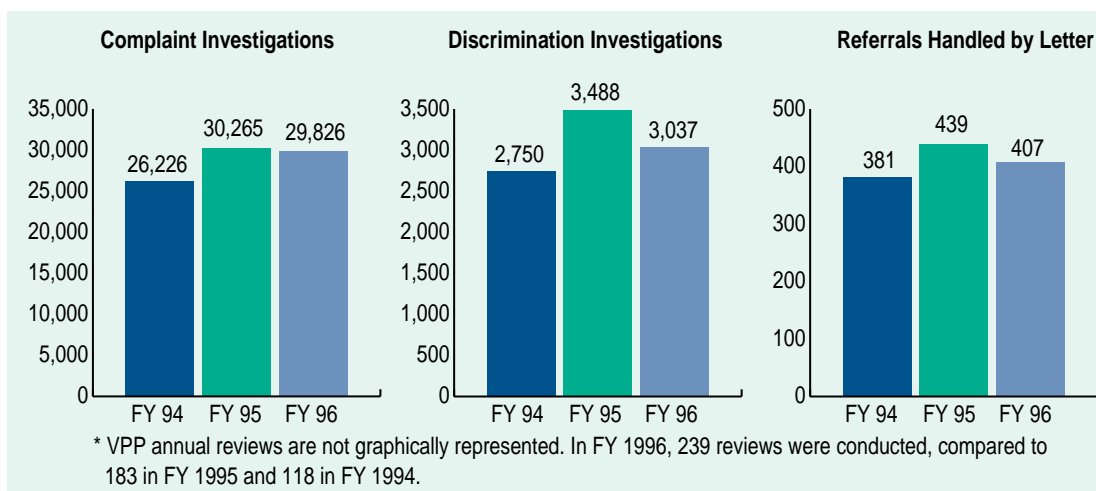
with total activity increasing 17 percent from FY 1994 to FY 1995 and falling 2.5 percent from FY 1995 to FY 1996.

NUMBER OF OFFSITE INTERVENTIONS BY QUARTER—FY 1996

Program	Qtr 1	Qtr 2	Qtr 3	Qtr 4
Complaint Investigations	6,545	7,837	7,713	7,731
Discrimination Investigations	706	813	808	710
Referrals Handled by Letter	82	99	102	124
VPP Annual Reviews	0	239	0	0

The distribution of offsite activities among industry groups remained constant in the three years, with manufacturing receiving 32 to 33 percent, construction 8 to 10 percent, and all other industries 58 to 59 percent. Generally, all industry groups experi-

NUMBER OF OFFSITE INTERVENTIONS—FY 1994–1996



enced an increase in offsite interventions from FY 1994 to FY 1995 and a slight decrease from FY 1995 to FY 1996 (see tables on pages 181 to 187).

While Federal OSHA offsite activity levels fluctuated during these years (21,363 in FY 1994, 24,364 in FY 1995, and 23,149 in FY 1996), State OSHA activity levels steadily increased (from 8,112 to 10,011 to 10,360). A 19 percent drop in the number of complaint investigations, a 6 percent drop in the number of discrimination investigations, and a 32 percent drop in referrals accounted for the Federal decline from FY 1994 to FY 1995. The greatest Federal change from FY 1994 to FY 1996 occurred in the number of VPP annual reviews, which increased 81 percent. The State OSHA increase occurs in all program areas except referrals. Over the three years, state complaint activity increased 27 percent, referrals decreased 8 percent, and discrimination investigations increased 44 percent. The States are continuing to establish recognized VPP programs.

DATA ISSUES

Data on complaint investigations, discrimination investigations, and referrals handled by letter were obtained from the OSHA Integrated Management Information System (IMIS). VPP data were manually assembled. Efforts are underway to include Federal VPP activity in the IMIS. States with recognized VPP programs were asked to update and refine activity data reported through a manual system. VPP collection mechanisms and comparability criteria will be reviewed.

ANTICIPATED CHANGES

The offsite activity measure will be carried forward. As OSHA begins to define its outreach efforts and establish appropriate data collection mechanisms, the number and types of offsite interventions reported should increase and expand.

16

LEVERAGED INTERVENTION ACTIVITIES

DESCRIPTION OF MEASURE

This measure tracks leveraged interventions by type and addresses the following question about OSHA's performance: What services does OSHA provide?

DEFINITIONS

Leveraging programs and activities: Programs or activities that have the potential to reach or impact safety and health at new or additional establishments/worksites or of employers/employees with minimal additional OSHA involvement and/or expenditure of resources.

Worksites/establishments impacted: Worksites/establishments identified as benefiting directly or indirectly from an action or activity.

Employers/employees impacted: Employers/employees identified as benefiting directly or indirectly from an action or activity.

VPP mentoring companies: Voluntary Protection Program participant companies that agree to assist nonparticipant companies in meeting the eligibility requirements of the VPP program.

Corporate Settlement Agreements (CSA): Agreements with employers to extend the terms and conditions of citations issued for the inspected site to other corporate sites.

Training classes/seminars: Formal training where a specific agenda, topic, and goal exist.

Potential trainers and persons trained: Private sector employers/employees, Federal personnel, State employees, and others completing the trainer classes (potential trainers); or employees, employers, and others completing any formal training class (persons trained).

Standards and regulations: Final and proposed safety or health rules issued by OSHA. (Estimated impact numbers obtained from the OSHA regulatory analysis process.)

ANALYSIS

The Agency Performance Measurement System attempts to reflect the changing direction of OSHA. In 1995, OSHA introduced leveraged interventions as a new activity category. A leveraging program or activity is one that has the potential to reach or impact safety and health at new or additional establishments/worksites or of employers/employees with minimal additional OSHA involvement and/or expenditure of resources. In FY 1996, four program activities with leveraging qualities made data available: Voluntary Protection Program (VPP) Mentoring Program, Corporate Settlement Agreements (CSAs), formal training, and standards and regulations. This analysis addresses the potential of each program as a leveraging tool.

NUMBER OF LEVERAGED INTERVENTIONS AND NUMBER OF WORKSITES/ ESTABLISHMENTS AND EMPLOYERS/EMPLOYEES IMPACTED—FY 1994—FY 1996

Program	FY 94	FY 95	FY 96
VPP Mentor Companies	8	36	52
Mentee Companies	8	35	67
Employees Impacted	3,921	71,000	93,754
CSA Monitoring Inspections	83	33	8
Worksites Impacted	1,518	566	1,029
Employees Impacted	380,600	127,400	383,000
Training Classes and Seminars	4,292	5,104	10,666
Potential Trainers	3,913	4,964	4,749
Persons Trained	121,799	143,977	133,779
Standards and Regulations	12	3	5
Establishments Impacted	7,967,126	669,936	1,225,732
Workers/Employees Impacted	94,258,058	4,922,100	7,657,322

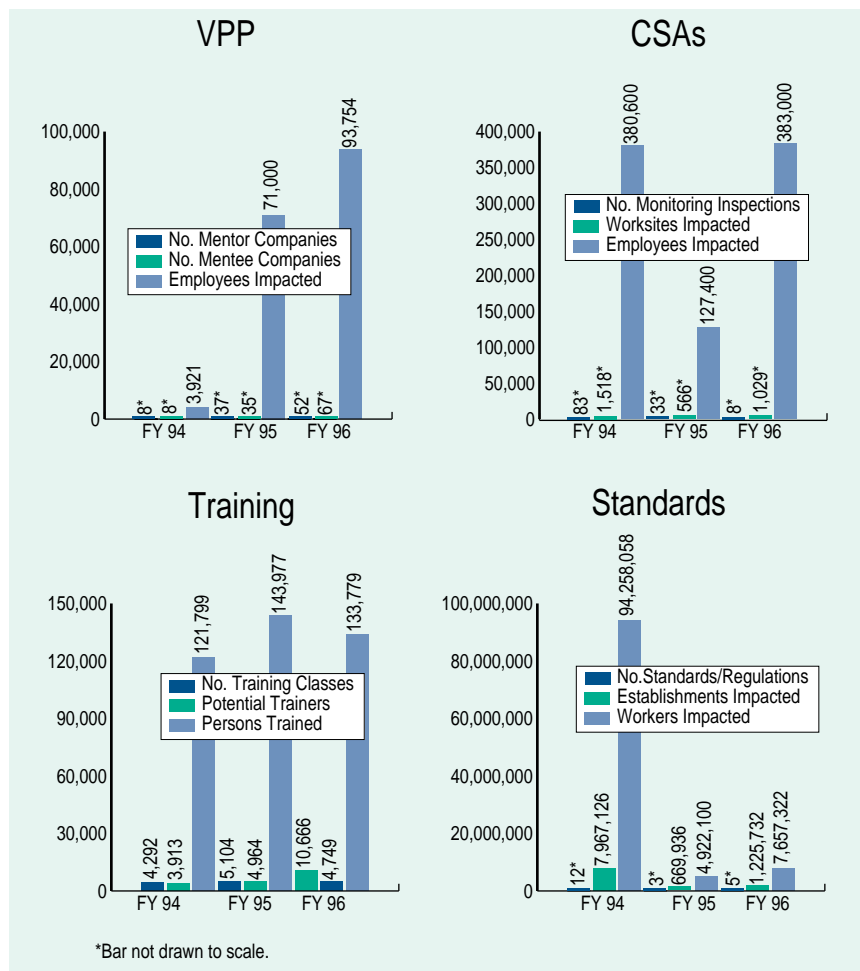
VPP Mentoring Program. Employers approved for participation in the VPP program are encouraged to help other companies make safety and health program improvements and reduce on-the-job injuries and illnesses. This mentoring process occurs without direct OSHA involvement, so each mentored company essentially doubles OSHA's reach. The process may also reduce significantly OSHA review time for those mentee companies that subsequently apply for participation in the VPP. In FY 1996, 52 VPP participant companies provided assistance to 67 potential VPP worksites, up from 37 companies and 35 worksites in FY 1995. In FY 1996, these actions affected 93,754 employees at the mentored worksites.

Corporate Settlement Agreements (CSAs). CSAs are OSHA settlement agreements with inspected employers, in which they agree to extend the terms and condi-

tions of citations issued for the inspected site to other company sites in exchange for OSHA not pursuing related legal action. The number of worksites covered by agreements and the number of employees at these sites are the leveraging qualities of this process. Agreements generally cover a period of 3 to 5 years. A percentage of worksites covered by each agreement receive annual monitoring inspections. While the number of monitoring inspections declined from FY 1995 to FY 1996 (from 33 to 8), the number of worksites covered by CSAs increased, causing a similar increase in the number of worksites covered (from 566 to 1,029) and the number of employees covered (from 127,400 to 383,000).

Training. OSHA offers formal training on a variety of safety and health subjects to private sector employers and employees, OSHA compliance staff, other Federal agency personnel, State employees, etc. This type of training enables OSHA to

NUMBER OF LEVERAGED INTERVENTIONS AND NUMBER OF WORKSITES/ESTABLISHMENTS AND EMPLOYERS/EMPLOYEES IMPACTED—FY 1994—FY 1996



reach significant numbers of people through a single class or seminar. The leveraging potential of this process is even greater when those who receive training as trainers subsequently instruct others. In FY 1996, Federal and State OSHA conducted 10,666 formal training sessions, more than double the 5,104 offered in FY 1995. This training reached 133,779 persons, 4,749 of whom were trained as potential trainers. Almost 80 percent of those trained were private sector employers and employees.

Standards and Regulations. Millions of private sector establishments are covered by the Occupational Safety and Health Act. OSHA has the responsibility of assuring the safety and health of workers in these establishments. Prescribing safe and healthful work practices and conditions is one way the Agency achieves its mission. OSHA proposed or promulgated 20 safety or health standards and regulations during the last three fiscal years. Five of these OSHA standards were issued in FY 1996, 3 in FY 1995, and 12 in FY 1994. In FY 1996, regulatory actions affected 1,225,732 establishments and 7,657,322 employees. In FY 1995, proposed or final rules affected 669,936 establishments and 4,922,100 workers, compared to 7,967,126 establishments and 94,258,058 workers in FY 1994.

DATA ISSUES

With few exceptions, the leveraging activity data were assembled from individual office reports and computer files. The VPP Mentoring Program data are from the Voluntary Protection Program Participant Association (VPPPA). CSA data are from the OSHA automated Integrated Management Information System (IMIS). The Federal training data were assembled from annual and quarterly reports and office computer files. State plan training data are currently reported each year in the grant agreements. The States were asked to confirm, update, and refine these data. Consultation training data are in the IMIS. Consultation Projects were asked to confirm, update, and refine these data. Information on standards and regulations was assembled from office tracking reports and economic analysis reports.

ANTICIPATED CHANGES

The leveraging aspects of all OSHA programs and activities are being reviewed. The results of this review may change how OSHA's leveraging activities are reported.

**ACTIVITY
MEASURES**

**TABLES
AND RELATED
DEFINITIONS**

DEFINITIONS

Complaint investigations: Investigations of oral or unsigned notices of unsafe or unhealthful working conditions from an employee or representative, and of notices from nonemployees.

Consultation visits: Initial hazard survey visits, training and assistance visits, and followup visits.

Corporate Settlement Agreements (CSA): Agreements with employers to extend the terms and conditions of citations issued for the inspected site to other corporate sites.

Discrimination investigations: Investigations of alleged adverse actions taken against employees who have voiced concerns regarding unsafe or unhealthful working conditions at their places of employment.

Employers/employees impacted: Employers/employees identified as benefiting directly or indirectly from an action or activity.

Focused inspection: A targeted inspection limited to hazards that are the leading cause of fatalities in the construction industry. For Federal OSHA, the basis for such inspections is an evaluation of the employer's safety and health program. State OSHA programs may use similar or different criteria to determine whether an inspection will be focused.

Inspections: OSHA programmed inspections (targeted inspections) and nonprogrammed inspections (complaint, followup, and referral inspections; accident and criminal investigations).

Leveraging programs and activities: Programs or activities that have the potential to reach or impact safety and health at new or additional establishments/work-sites or of employers/employees with minimal additional OSHA involvement and/or expenditure of resources.

Offsite interventions: OSHA activities usually conducted at a location other than the employer's establishment to address issues related to worksite safety or health.

Onsite interventions: OSHA safety- or health-related activities conducted during normal operating hours at an employers establishment to address workplace conditions.

Potential trainers and persons trained: Private sector employers/employees, Federal personnel, State employees, and others completing the trainer classes (potential trainers); or employees, employers, and others completing any formal training class (persons trained).

Referrals handled by letter: Responses to reports of unsafe or unhealthful working conditions based on information from OSHA compliance officers, other Federal agencies, media or employer documentation, etc.

Standards and regulations: Final and proposed safety or health rules issued by OSHA. (Estimated impact numbers obtained from the OSHA regulatory analysis process.)

Training classes/seminars: Formal training where a specific agenda, topic, and goal exist.

VPP (Voluntary Protection Program) annual reviews: Reviews of employer self-evaluation reports on worksite safety and health program and of worksite injury data for previous years.

VPP evaluations: Onsite visits to determine advancement or continuation in the VPP.

VPP mentoring companies: Voluntary Protection Program participant companies that agree to assist nonparticipant companies in meeting the eligibility requirements of the VPP program.

VPP pre-approvals: Onsite visits to determine worksite eligibility for the VPP.

Worksites/establishments impacted: Worksites/establishments identified as benefiting directly or indirectly from an action or activity.

GLOSSARY

GLOSSARY

Abatement time calculation (inspections): Opening conference date to abatement date on citation.

Abatement time calculation (consultation visits): Opening visit (conference) date to correction date/abatement date on Hazard Record data form.

Average rate (Maine 200): Average injury/illness rate for all companies participating in or graduating from the Maine 200 program.

Complaint: A notice from an employee, an employee representative, or other source of a hazard or a violation of the Occupational Safety and Health Act believed to exist in a workplace.

Complaint investigations: Investigations of oral or unsigned notices of unsafe or unhealthful working conditions from an employee or representative, and of notices from nonemployees.

Complaint response time: Date complaint received to date of inspection or date complaint received to date of letter. The type of response is based on the Agency's first contact with the employer to resolve the complaint.

Comprehensive scope request (consultation): A request from an employer for consultative assistance with safety and health conditions of the entire worksite.

Concentration: Number of establishments in an SIC receiving onsite OSHA inspections and consultation visits.

Consultation hazard abatement time: Number of workdays assigned by the State OSHA program for the abatement of serious hazards identified during an onsite consultation visit.

Consultation penetration: Proportion of establishments in an SIC receiving OSHA consultation visits.

Consultation program: A Federal program mandated by Congress to provide technical advice and assistance to small employers in the identification, correction, and prevention of workplace hazards. The program is administered by the States under agreement with Federal OSHA.

Consultation request: A request from an employer for assistance in workplace safety and health hazard identification, abatement, and prevention.

Consultation visit: An employer-requested visit to a worksite by a State consultant to provide technical advice on and assistance in the identification, correction, and prevention of workplace hazards.

Consultation visit (initial hazard survey): The first visit to a worksite to assist an employer in the identification, correction, and prevention workplace hazards.

Corporate Settlement Agreements (CSA): Agreements with employers to extend the terms and conditions of citations issued for the inspected site to other corporate sites.

Discrimination investigations: Investigations of alleged adverse actions taken against employees who have voiced concerns regarding unsafe or unhealthful working conditions at their places of employment.

Education Center (EC) courses: Courses 204A Machinery and Machine Guarding Standards; 500 Basic Instructor Course/OSHA Construction Standards; 501 OSHA Guide to Voluntary Compliance in Safety and Health; 510 Occupational Safety and Health Standards for the Construction Industry; 521 OSHA Guide to Voluntary Compliance in the Industrial Hygiene Area; 600 Collateral Duty Course for Other Federal Agencies.

Employers/employees impacted: Employers/employees identified as benefiting directly or indirectly from an action or activity.

Evaluation factors (training courses): Ten (10) objectives of each course. See also “Evaluation score.”

Evaluation score (training courses): A score ranging from 0 to 5 based on a maximum score of 5 points (5 = excellent, 4 = very good, 3 = good, 2 = adequate, 1 = deficient, 0 = not applicable).

Excavations: Open hollows made in the earth’s surface, including trenches. A trench is a narrow excavation, usually less than 15 feet wide.

Fall injury: Injury resulting from a fall from an elevation, platform, ladder, pile, stair, or roof, or from a fall into an opening or to a lower level.

Federal OSHA: States and jurisdiction where Federal OSHA administers the Occupational Safety and Health Act.

Focused inspection (construction): A targeted inspection limited to hazards that are the leading cause of fatalities in the construction industry. For Federal OSHA, the basis for such inspections is an evaluation of the employer’s safety and health program. State OSHA programs may use similar or different criteria to determine whether an inspection will be focused.

Graduate (Maine 200): A participant company of the Maine 200 program that has graduated from the program, i.e., met all program criteria, abated all identified hazards, focused on preventing/reducing injuries and illnesses, and implemented an effective site-specific safety and health program at worksites.

- Hazard communications requirement (OSHA):** Requires employers to post and keep posted the OSHA Notice informing employees of the protections and obligations provided for in the Occupational Safety and Health Act.
- High-hazard industries (consultation):** Industries on OSHA's FY 1996 High Hazard listing or an approved state listing.
- High-hazard operations (consultation):** Operations or processes generally recognized as hazardous in an otherwise nonhazardous industry (e.g., bindery in a publishing house).
- Incidence rate (Maine 200):** Lost workday case incidence rate—calculation based on the employer's OSHA 200 Log and Summary of Occupational Injuries and Illnesses for those cases that resulted in the worker either being restricted or taking time off work (columns 2 + 9 x 200,000 divided by total hours worked).
- Injury/illness rates:** Estimated rates from the Bureau of Labor Statistics Annual Survey of all cases of work-related occupational injuries and illnesses, including cases with days away from work and cases with restricted work activity.
- Inspection penetration:** Proportion of establishments in an SIC receiving onsite OSHA inspections.
- Inspections:** OSHA programmed inspections (targeted inspections) and nonprogrammed inspections (complaint, followup, and referral inspections; accident and criminal investigations).
- Leveraging programs and activities:** Programs or activities that have the potential to reach or impact safety and health at new or additional establishments/work-sites or of employers/employees with minimal additional OSHA involvement and/or expenditure of resources.
- Median time (abatement):** Number of workdays assigned for the abatement of 50 percent of the hazards identified. Half the values in the population (days assigned for abatement) exceed the median time and half fall below.
- Median time (complaints):** Number of workdays taken to respond to 50 percent of complaints received. Half the values in the population (days taken to respond) exceed the median time and half fall below.
- Median time (consultations):** Number of workdays taken to respond to 50 percent of the consultation requests received from smaller employers in high-hazard industries and operations. Half the values in the population (days taken to respond) exceed the median time and half fall below.
- Negotiated rule:** A standard or regulatory action developed in partnership with other interested parties (industry organizations, employee groups, other Federal agencies, etc.) as stipulated in the Negotiated Rulemaking Act or as prescribed by OSHA advisory committee procedures.

Nonredesigned area offices: OSHA field offices (50) that have not completed the area office redesign process. See also “Redesigned area offices.”

Offsite interventions: OSHA activities usually conducted at a location other than the employer’s establishment to address issues related to worksite safety or health.

Onsite interventions: OSHA safety- or health-related activities conducted during normal operating hours at an employer’s establishment to address workplace conditions.

OSHA excavation standard: Covers all open excavations made in the earth’s surface.

OSHA Training Institute (OTI) courses: Courses 201/201A Hazardous Materials; 222/222A Respiratory Protection; 226 Confined Space Entry; 301 Excavation, Trenching, and Soil Mechanics; 308 Principles of Scaffolding; 309/309A Electrical Standards. These are 6 of the 82 courses offered.

Percent change in injury/illness rates: $[(\text{post-intervention rate} - \text{pre-intervention rate})/\text{pre-intervention rate}] \times 100$.

Persons trained: Persons participating in training classes provided by an OSHA-funded targeted training grant program.

Poster requirement (OSHA): Requires employers to post and keep posted the OSHA Notice informing employees of the protections and obligations provided for in the Occupational Safety and Health Act.

Potential trainers and persons trained: Private sector employers/employees, Federal personnel, State employees, and others completing the trainer classes (potential trainers); or employees, employers, and others completing any formal training class (persons trained).

Program cost (training): OSHA’s contribution to a targeted training grant program. The grantees contributed at least another 25 percent of the Federal amount.

Programmed inspections (OSHA): Planned inspections to establishments in high-hazard industries or construction worksites identified on OSHA inspection targeting lists. For safety, Federal OSHA lists are based on the industries with the highest injury/illness rates according to the Bureau of Labor Statistics Annual Survey. For health, Federal OSHA lists are based on industries with the highest number of serious health violations per inspection. Construction inspection lists provide randomly selected active worksites. State plan States may use lists based on alternative data sources, such as workers’ compensation claims data.

Recordkeeping requirement (OSHA): Requires employers covered under the Occupational Safety and Health Act to develop and maintain records of employee injuries and illnesses.

- Redesigned area offices:** OSHA field offices (17) that have gone through a redesign process to improve performance. See also “Nonredesigned area offices.”
- Referrals handled by letter:** Responses to reports of unsafe or unhealthful working conditions based on information from OSHA compliance officers, other Federal agencies, media or employer documentation, etc.
- Regulatory agenda:** OSHA calendar of regulatory activity as published in the Federal Register in the fall for the coming year.
- Response time calculation (consultation):** Time from date of request to date of visit or from requested visit date to date of visit.
- (7)(c)(1) consultation programs:** Programs funded 90 percent by Federal OSHA and 10 percent by the States administering the programs.
- Significant hazards (consultation visits):** Serious hazards and imminent-danger situations likely to kill, injure, or make workers ill. Excluded are hazards related to the OSHA poster and hazard communications requirements.
- Significant hazards (inspections):** Serious hazards likely to kill, injure, or make workers ill and willful and repeat violations. Excluded are violations related to the OSHA poster, recordkeeping, and hazard communications requirements.
- Smaller employers (consultation):** Employers with fewer than 250 employees at the worksite.
- Specific scope request (consultation):** A request from an employer for consultative assistance with safety and health conditions of a specific operation(s) of the worksite.
- Standards and regulations:** Final and proposed safety or health rules issued by OSHA. (Estimated impact numbers obtained from the OSHA regulatory analysis process.)
- State OSHA:** The States and jurisdictions operating their own safety and health programs, as provided for in the Occupational Safety and Health Act.
- State plan State:** A State operating its own safety and health program under Federal approval and monitoring, as stipulated by section 18e of the Occupational Safety and Health Act.
- Targeted training grant program:** OSHA program that targets training to employers and employees in industries and establishments determined to have significant injuries or hazards.
- Training classes/seminars:** Formal training where a specific agenda, topic, and goal exist.

Training grantees: Safety or health organizations, employer associations, labor organizations, and educational institutions.

23(g) consultation programs: Programs funded 50 percent by Federal OSHA and 50 percent by the States administering the programs.

Undertaken (standard or regulation): Initiation of an official action in the rule-making process, e.g., Federal Register notice announcing the formation of a negotiated rulemaking committee.

VPP (Voluntary Protection Program) annual reviews: Reviews of employer self-evaluation reports on worksite safety and health program and of worksite injury data for previous years.

VPP evaluations: Onsite visits to determine advancement or continuation in the VPP.

VPP mentoring companies: Voluntary Protection Program participant companies that agree to assist nonparticipant companies in meeting the eligibility requirements of the VPP program.

VPP pre-approvals: Onsite visits to determine worksite eligibility for the VPP.

Worksites/establishments impacted: Worksites/establishments identified as benefiting directly or indirectly from an action or activity.

REPORT EVALUATION

Please answer the following general questions about the *OSHA Performance Measurement, Fiscal Year 1996 Report*. Your comments will help us improve the report for next year.

1. DID THE REPORT PROVIDE USEFUL INFORMATION? YES__ NO__

If yes, rate the sections of the report on the usefulness of the information provided, using a scale of 1 to 5 (5 = excellent, 4 = very good, 3 = good, 2 = adequate, 1 = deficient).

Executive Summary	___	Tables	___
Analyses	___	Table Definitions	___
Graphic presentations	___	Glossary	___

If no, explain why not and suggest improvements.

2. DID YOU FIND THE REPORT'S LAYOUT AND ORGANIZATION EASY TO FOLLOW? YES__ NO__

If not, what did you find unclear or difficult to follow?

3. WILL YOU USE THE INFORMATION IN THE REPORT? YES__ NO__

If yes, how will you use the information?

4. HOW CAN WE IMPROVE THE UTILITY/USEFULNESS OF THE REPORT FOR YOUR PURPOSES?

5. ARE THERE OTHER CATEGORIES OF INFORMATION THAT YOU WOULD LIKE INCLUDED IN FUTURE REPORTS? YES__ NO__

If yes, please describe.

6. DID ANY OF THE INFORMATION IN THE REPORT SEEM QUESTIONABLE OR INACCURATE? YES__ NO__

If yes, please describe and provide appropriate documentation.

Thank you for your suggestions.

Please return this form to:

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