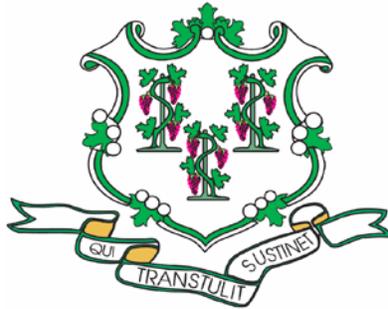


FY 2016 Follow-up Federal Annual Monitoring and Evaluation (FAME) Report

**State of Connecticut
Division of Occupational Safety and Health (CONN-OSHA)**



Evaluation Period: October 1, 2015 – September 30, 2016

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I. Executive Summary

A. State Plan Activities, Trends, and Progress

The purpose of this report is to assess the Connecticut Division of Occupational Safety and Health's (CONN-OSHA) activities for the previous year fiscal year (FY) 2016 and its progress in resolving outstanding recommendations from the FY 2015 Comprehensive Federal Annual Monitoring and Evaluation Report (FAME).

In FY 2016, CONN-OSHA continued to perform satisfactorily on most metrics and meet most annual performance goals. Staffing remained constant, both at the managerial level and in terms of compliance safety and health officers (CSHO) and consultants. However, CONN-OSHA was affected by the state's budgetary deficit, as were other state agencies. For example, travel costs were closely monitored, and some training was curtailed. Despite this situation, CONN-OSHA was able to operate effectively, and the staff was able to travel to conferences and also complete some technical courses.

In terms of recommendations that were made in the FY 2015 Comprehensive FAME, the finding that CONN-OSHA did not meet the further review level in State Activity Mandated Measures (SAMM) #11 (average lapse time) has been converted to an observation. Over the past few years, CONN-OSHA has had high lapse times, but in FY 2016, the State Plan met the further review level for safety cases, and came within striking distance of meeting the further review level for health cases. There were no other findings in the FY 2015 Comprehensive FAME, and OSHA did not make any new findings in FY 2016.

Two of the three observations in the FY 2015 FAME report have been closed. One of the observations related to case documentation deficiencies and the other pertained to lengthy abatement periods. The third observation, which pertained to declining enrollment in compliance assistance training for local government workers, has been continued. Other than the finding discussed above that was converted to an observation, there are no new observations in this report.

FY 2016 drew to a close with no new issues having emerged that needed to be addressed by the enforcement program or the whistleblower protection program. On the contrary, CONN-OSHA ended the year with some notable accomplishments: the goals for inspections and consultation visits were met; the amount of penalties collected in FY 2016 was more than triple the amount collected in FY 2015; and CONN-OSHA issued 10 willful in FY 2016, which was more than in any year since 1995. These are all indications that CONN-OSHA was successful in assuring safe and healthful working conditions, but perhaps the best sign of all is that in FY 2016, there were no work-related fatalities in Connecticut's state and local government workforce.

B. State Plan Introduction

CONN-OSHA became operational on January 4, 1974, and covered both the private and state and local government sectors. It operated effectively in that manner until 1977, when the Connecticut State Labor Council sponsored a bill in the state legislature to restrict the enforcement of Connecticut's safety and health program to state and local government only. The bill was subsequently enacted with an effective date of June 30, 1978. CONN-OSHA's previously existing approved 18(b) plan, which covered both the private and state and local government sectors, was withdrawn on October 2, 1978, and was officially converted to a State and Local Government Only (SLG) State Plan on November 3, 1978.

In August 1986, CONN-OSHA was officially recognized by the U.S. Department of Labor as having completed all structural and developmental aspects of its approved SLG State Plan, and has the distinction of being the first SLG plan in the nation. CONN-OSHA is administered by the State of Connecticut, Department of Labor, under the leadership of the Commissioner of Labor. The program's staff operates out of the state office building located in Wethersfield, Connecticut. CONN-OSHA enforces safety and health standards in state and local government workplaces, provides consultation services to these workplaces, adopts standards, and provides outreach services to the state and local government workforce. OSHA conducts private sector enforcement in Connecticut.

The Connecticut Department of Labor operates a workplace retaliation program pursuant to the Connecticut Occupational Safety and Health Act of 1973 (Chapter 571, Section 31-367 through 31-385). The attorneys who administer the workplace retaliation program are employed by the Office of Program Policy (OPP), which is a separate division within the Connecticut Department of Labor. OPP has jurisdiction over workplace retaliation cases arising from state and local government workers in the State of Connecticut.

In FY 2016, CONN-OSHA was at full staffing, with two first line supervisors (the director and program manager), five CSHOs and three 23(g) consultants. Compliance assistance and administrative support positions were also considered to be fully staffed. The tables below show CONN-OSHA's funding levels from FY 2014 through FY 2016, the number of covered workers in FY 2016, and a snapshot of CONN-OSHA's staffing level as of July 1, 2016.

Funding History						
FY 2014 - FY 2016						
Source: DOL-E Grants/ Financial Close-out Forms						
Fiscal Year	Federal Funds Authorized (\$)	Federal Expenditure (\$)	State Match (\$)	100% State Funds (\$)	Total Funding (\$)	State Contribution (%)
2014	626,800	626,800	626,800	1,186,898	2,440,498	74
2015	629,700	629,700	629,700	1,255,717	2,515,117	75
2016	629,700	629,700	629,700	1,401,614	2,661,014	76

Covered Workers				
FY 2014 - FY 2016				
Source: State Plan Grant Applications				
Fiscal Year	State Government	Local Government	Volunteer Firefighters	Total
2014	64,500	157,100	10,000	231,600
2015	65,800	157,400	10,000	233,200
2016	70,100	155,300	10,000	235,400

Personnel on Board as of July 1, 2016		
Source: FY 2017 Grant Application		
CONN-OSHA's Positions	50/50 Funded Full-Time Equivalents (FTE)	100 % State Funded FTE
Manager/Supervisors (Admin.)	0.24	0.26
First Line Supervisors	0.48	0.52
Safety Compliance Officers	1.45	1.55
Health Compliance Officers	0.96	1.04
Whistleblower Investigator	0.00	0.00
State/Local Government Safety Consultants	0.48	0.52
State/Local Government Health Consultants	0.96	1.04
Compliance Assistance	0.77	0.83
Trainers	0.00	0.00
Clerical/Admin/Data System	0.72	0.78
Other (all positions not elsewhere counted)	0.36	0.39
Total State Plan FTE	6.44	6.91

C. Data and Methodology

OSHA has established a two-year cycle for the FAME process. This is the follow-up year, and as such, OSHA did not perform the level of case file review associated with a comprehensive FAME. This strategy allows the State Plan to focus on correcting deficiencies identified in the most recent comprehensive FAME.

In order to evaluate CONN-OSHA's progress in resolving the one and only finding in the FY 2015 Comprehensive FAME—which pertained to the program having high lapse times for safety and health cases—OSHA used the results from SAMM #11 (average lapse time) in the FY 2016 SAMM Report (Appendix D). Progress in evaluating the observations that were made in the previous FAME was based on information provided in the State OSHA Annual Report (SOAR) and quarterly discussions with the State Plan's managers.

In addition to SAMM #11, CONN-OSHA's performance on all other SAMMs was also evaluated, and OSHA used the SOAR, the FY 2016 Mandated Activities Report for Consultation (MARC), and data from the US Department of Labor, Bureau of Labor Statistics' (BLS) injury and illness reports to assess the State Plan's progress in achieving annual performance goals.

D. Findings and Observations

In the FY 2015 Comprehensive FAME, only one finding was made, which has been converted to an observation in this report. Of the three observations that were made in the previous FAME, two have been closed and one has been continued. Thus, there are two observations in this report and no findings.

Appendix A lists new and continued findings, however, there were no new findings in FY 2016; therefore, none are listed. Appendix B contains the observations subject to new and continued monitoring; and Appendix C lists the status of the finding and recommendation from the FY 2015 FAME.

II. Assessment of State Plan Performance

A. Major New Issues

None.

B. Assessment of State Plan Progress in Achieving Annual Performance Goals

Based on SAMM #7 (inspections), CONN-OSHA conducted 295 inspections (216 safety and 79 health) in FY 2016, and achieved 128 percent of the goal of 230 inspections. The table below shows that CONN-OSHA conducted more inspections in FY 2016 than in either of the two previous fiscal years. In FY 2015, a few CSHOs had to take medical leave, and this hampered

the program’s ability to meet the goal for inspections, but with a full slate of CSHOs on board for the entire year in FY 2016, CONN-OSHA was able to exceed the goal for inspections by a wide margin.

Inspections Projected v. Actual FY 2014 – FY 2016			
Fiscal Year	Projected	Actual	Percent
2014	230	236	103
2015	230	187	81
2016	230	295	128

As for consultation, CONN-OSHA also fared well in FY 2016, by conducting 144 of 130 visits projected (111 percent). Looking back to FY 2014, the program hit a high point in FY 2016, in terms of the number of visits conducted.¹

23(g) Consultation Visits Projected v. Actual FY 2014 – FY 2016			
Fiscal Year	Projected	Actual	Percent
2014	90	102	113
2015	130	123	95
2016	130	144	111

FY 2016 was the second year of CONN-OSHA’s current five-year strategic plan, which extends through the end of FY 2019. Under this plan, CONN-OSHA has three broad-based goals: 1.) Improve workplace safety and health by reducing hazards, injuries, illnesses, and fatalities; 2.) Promote safety and health through compliance assistance, cooperative programs, and strong leadership; and 3.) Maximize effectiveness by strengthening internal capabilities.

In support of the broad-based strategic plan goals, CONN-OSHA plans to reduce each targeted industry’s baseline days away, restrictions, and transfers (DART) rate by a total of five percent by the end of the five-year plan. Therefore, in FY 2016, CONN-OSHA planned to achieve a two percent reduction in each targeted industry’s baseline DART rate. By the end of FY 2017, the goal is to achieve a three percent reduction in the baseline rates, etc.

In FY 2016, CONN-OSHA partially met the annual performance goal of reducing the DART rate in each targeted industry by two percent from the baseline, as shown in the table below.²

¹ CONN-OSHA projected fewer consultation visits in FY 2014, due to a vacant consultant’s position, which lasted for part of that year.

² Small changes in injuries and illnesses have a dramatic effect on DART rates from year to year because so few state and local government worksites are surveyed by the BLS in Connecticut. In the past, CONN-OSHA’s statistics unit has supplemented the BLS data with injury and illness data gathered from additional worksites. However, at

Targeted High Hazard Industries (State)				Targeted High Hazard Industries (Local Government)			
	2013 Baseline DART	2015 DART	Percent Change		2013 Baseline DART	2015 DART	Percent Change
Hospitals	5.7	5.6	(1.8)	Public works (street and highway maintenance and repair)	11.1	12.6	14.0
Nursing and residential care facilities	16.0	6.8	(58.0)	Water, sewage and other systems	8.5	5.1	(42)
Highway maintenance and repair operations	11.1	12.6	14.0	Waste management and remediation services*	2.3	Not available	

* In 2015, the injury and illness data obtained by the BLS survey for waste management and remediation services was not statistically reliable.

CONN-OSHA also met most of the sub-goals that were aligned with meeting the annual goal for DART rates and the three broader strategic goals. For example, goals for inspections and consultation visits in targeted industries and maintaining Alliances and emergency management were all met in FY 2016. However, the goals for training state and local government workers on specified safety and health topics were not met, and neither was the goal related to having each staff member complete professional development training.

Strategic Goal #1: Improve workplace safety and health for all workers, by reducing hazards, exposures to hazards, injuries, illnesses, and fatalities.

Annual Performance Goal 1.1: Reduce the 2013 DART rate by two percent in each of the six targeted industries. (To avoid repetition, the extent to which CONN-OSHA met the annual goal for DART rate reductions has been discussed above.)

Annual Performance Goal 1.1(a): Conduct 60 inspections and 20 consultation visits at worksites in these industries.

Result: The goal was met.

Discussion: CONN-OSHA exceeded goals for inspections and consultation visits in the most hazardous industries. The State Plan conducted 110 inspections and 50 consultation visits in the targeted industries.

this time, CONN-OSHA does not have the funding and resources needed to supplement the BLS data on an annual basis. Therefore, the State Plan must rely solely on BLS data to analyze annual performance on DART rates.

Annual Performance Goal 1.1(b): Include an article on preventing fatalities in each issue of the *CONN-OSHA Quarterly*.

Result: The goal was met.

Discussion: The training topics on fatality prevention related to electrocutions, firefighter safety, the use of tractors equipped with boom arm mowers, and hazards related to chippers, cutters and other types of machinery.

Strategic Goal #2: Promote a safety and health culture through compliance assistance, cooperative programs, and strong leadership.

Annual Performance Goal 2.1: Reduce the 2013 DART rate by two percent in each of the targeted industries. (See previous discussion.)

Annual Performance Goal 2.1(a): Conduct training courses on each of the selected topics (confined space, lockout/tagout, material handling and ergonomics, safe driving, trenching and excavation, work zone safety, and workplace violence) at targeted state and local government worksites.

Result: The goal was not met.

Discussion: For state workers, CONN-OSHA conducted at least one training class on each of the topics above, except for work zone safety. However, CONN-OSHA conducted courses on only two topics (confined space and workplace violence) for local government workers. Many local government agencies appear to be taking the training provided by a risk management organization, which services more than 75 percent of Connecticut's cities and towns.³ This organization provides much of the same training offered by CONN-OSHA, in both instructor-led and online formats. As discussed later, CONN-OSHA is looking for ways to boost enrollment in its training program for local government workers, and may offer training on OSHA's rule that requires employers to electronically submit injury and illness data.⁴ See Observation FY 2016-OB-02.

Annual Performance Goal: 2.1(b): Maintain or renew current Alliances that share and promote CONN-OSHA's goal of reducing injuries and illnesses. Participate in training and outreach with Alliance partners to improve their safety and health awareness.

Result: The goal was met.

³ This particular agency provides insurance, workers compensation, loss control products, and several training programs that are free of charge to its membership.

⁴ Under a final rule that became effective January 1, 2017, OSHA revised its requirements for recording and submitting records of workplace injuries and illnesses to require that some of this recorded information be submitted to OSHA electronically. State Plan states must adopt requirements that are substantially identical to the requirements in this final rule within six months after publication of this final rule (i.e., by November 14, 2016).

Discussion: CONN-OSHA successfully renewed all active Alliances in FY 2016. However, during that year, two Alliances became inactive due to circumstances beyond the control of CONN-OSHA. For example, one organization lost interest in the Alliance after the retirement of a few employees who were mainly responsible for keeping the Alliance active. CONN-OSHA was also a participant in another Alliance that was maintained primarily by OSHA, but became inactive.

Annual Performance Goal 2.1 (c): Promote effective safety and health management systems by involving workers in 100 percent of all inspections and consultation visits.

Result: The goal was met.

Discussion: SAMM #13 (percent of initial inspections with worker walk around representation or worker interview) shows that CONN-OSHA met the further review level of 100 percent. MARC #3 (percent of visits where the consultant conferred with workers) indicates that workers were involved in 100 percent of all initial, follow-up, and training and education visits with compliance assistance only.

Strategic Goal 3: Maximize CONN-OSHA's effectiveness and efficiency by strengthening its capabilities and infrastructure.

Annual Performance Goal 3.1: Reduce the 2013 DART rate by two percent in each of the targeted industries. (See previous discussion.)

Annual Performance Goal 3.1(a): Each field staff will complete safety and/or health training annually.

Result: The goal was met.

Discussion: In FY 2016, all field staff (CSHOs and consultants) completed at least one safety and or health course at either the OSHA Training Institute (OTI) or an OTI Education Center. The list of the courses completed by each staff member is provided in the SOAR.

Annual Performance Goal 3.1 (b): Each field staff member will complete at least one professional development course annually.

Result: The goal was not met.

Discussion: The professional development courses are offered free-of-charge to state workers by Connecticut's Department of Administrative Services. These classes provide training on writing techniques, personnel management, and Excel, Word, and PowerPoint, etc. State workers are permitted to take one course per year, but due to budgetary limitations in Connecticut, none of these courses were offered in FY 2016.

Annual Performance Goal 3.1 (c): Strengthen the emergency management plan by actively participating in at least 85 percent of the Connecticut Emergency Management System's meetings.

Result: The goal was met.

Discussion: CONN-OSHA participated in 100 percent of the Connecticut Emergency Management System's meetings. A complete list of meetings attended in FY 2016 is included in the SOAR.

C. Highlights from the State Activity Mandated Measures (SAMM)

Data from the FY 2016 SAMM Report was reviewed for deficiencies and notable changes. In FY 2016, there were no significant changes in year-over-year trending with regard to CONN-OSHA's results for SAMM measures.

CONN-OSHA's progress in completing the corrective action for the finding related to SAMM #11 (average lapse times) is discussed below.

III. Assessment of State Plan Corrective Actions

The corrective action for SAMM #11 (average lapse times) has been partially completed (the program met the further review level for safety, but not for health); therefore, OSHA is converting this finding to an observation, to help ensure completion. Of the three observations that were made in the previous FAME, two have been closed; these observations pertained to case documentation deficiencies and lengthy abatement periods. The observation related to declining enrollment in training programs for local government workers has been continued.

Finding FY 2015-01 (Observation FY 2016-OB-01): SAMM #11 (average lapse time) - CONN-OSHA's average lapse time of 85.79 days for safety cases did not meet the further review level of +/- 20% of 42.78 days. The program's average lapse time of 74.12 days for health cases did not meet the further review level of +/- 20% of 53.48 days.

Status: Converted to Observation. In FY 2016, CONN-OSHA's average lapse times for both safety and health continued to trend downward, and the average lapse time of 51.32 days for safety met the further review level of +/- 20% of 45.16 days.

To meet the further review level, CONN-OSHA's manager has been monitoring the status of cases that have been open for more than 20 days. Although CONN-OSHA did not meet the further review level for health cases, the fact that the average lapse time for these cases has declined steadily over the past four fiscal years strongly indicates that the program's corrective action has been effective. OSHA will continue to monitor CONN-OSHA's performance on this SAMM until the further review level is consistently met.

SAMM #11 (Average Lapse Time) FY 2013 – FY 2016								
	FY 2013		FY 2014		FY 2015		FY 2016	
	Lapse time (average days)	Further review level (+/- 20 %)	Lapse time (average days)	Further review level (+/- 20 %)	Lapse time (average days)	Further review level (+/- 20 %)	Lapse time (average days)	Further review level (+/- 20 %)
Safety	74.89	43.4	44.95	43.4	85.79	42.78	51.32	45.16
Health	108.62	57.05	83.34	57.05	74.12	53.48	72.00	57.28

Observation FY 2015-OB-01: In 8 of 25 cases that were not in compliance (NIC) (32 percent), the CSHO assigned 30-day abatement periods, rather than assigning the shortest interval within which the employer can reasonably be expected to abate the hazard (as directed by CONN-OSHA’s Field Operations Manual (FOM), Chapter 5).

Status: Closed. Through quarterly discussions with the State Plan’s manager, OSHA confirmed that the State Plan requires the CSHO to assign the shortest interval within which the employer can reasonably be expected to abate the hazard. The manager also discusses abatement periods during periodic staff meetings, and reviews case files to ensure that this policy is being followed. Therefore, this observation is closed.

Observation FY 2015-OB-02: Some case files were missing at least one type of documentation that is prescribed by CONN-OSHA’s FOM, such as notes documenting the informal conference, the OSHA Information System (OIS) Narrative (OSHA 1-A Form), and documentation of the employer’s knowledge of the hazardous condition, etc.

Status: Closed. CONN-OSHA’s managers have confirmed that they have met with staff to discuss the importance of case documentation, and they are also reviewing case files to ensure compliance with the CONN-OSHA FOM

Observation FY 2015-OB-03 (Observation FY 2016-OB-02): The number of local government participants in CONN-OSHA’s outreach program has been trending downward since FY 2013.

Status: Continued. Several cities and towns are opting to take the occupational safety and health training courses that are provided by an outside organization. In order to recruit more training participants from local government, CONN-OSHA is looking for ways to partner with this particular organization, and others as well. CONN-OSHA may also be offering a series of classes on the provisions that require employers to electronically submit injury and illness data. To help promote this training, the classes will be advertised on the website and in the *CONN-OSHA Quarterly*. During quarterly discussions, OSHA will continue to monitor CONN-OSHA’s progress in increasing the enrollment of local government workers.

Appendix A – New and Continued Findings and Recommendations

FY 2016 CONN-OSHA Follow-up FAME Report

FY 20XX-#	Finding	Recommendation	FY 20XX-# or FY 20XX-OB-#
	None		

Appendix B – Observations Subject to New and Continued Monitoring

FY 2016 CONN-OSHA Follow-up FAME Report

Observation # FY 20XX-OB-#	Observation# FY 20XX-OB-# or FY 20XX-#	Observation	Federal Monitoring Plan	Current Status
FY 2016-OB-01	FY 2015-01	SAMM #11 (average lapse time) - CONN-OSHA's average lapse time of 72.00 days for health cases did not meet the further level of +/- 20 % of 57.28 days.	During quarterly meetings, OSHA will monitor CONN-OSHA's lapse time for health cases to ensure that the further review is consistently met.	New
	FY 2015-OB-01	In 8 of 25 cases that were not in compliance (NIC) (32 percent), the CSHO assigned 30-day abatement periods, rather than assigning the shortest interval within which the employer can reasonably be expected to abate the hazard (as directed by CONN-OSHA's Field Operations Manual (FOM), Chapter 5).	Through quarterly discussions with the State Plan's manager, OSHA confirmed that the State Plan requires the CSHO to assign the shortest interval within which the employer can reasonably be expected to abate the hazard. The manager also discusses abatement periods during periodic staff meetings, and reviews case files to ensure that this policy is being followed. Therefore, this observation is closed.	Closed
	FY 2015-OB-02	Some case files were missing at least one type of documentation that is prescribed by CONN-OSHA's FOM, such as notes documenting the informal conference, the OSHA Information System (OIS) Narrative (OSHA 1-A Form), and documentation of the employer's knowledge of the hazardous condition, etc.	CONN-OSHA's managers have confirmed that they have met with staff to discuss the importance of case documentation, and they are also reviewing case files to ensure compliance with the CONN-OSHA FOM.	Closed
FY 2016-OB-02	FY 2015-OB-03	The number of local government participants in CONN-OSHA's outreach program has been trending downward since FY 2013.	OSHA will monitor CONN-OSHA's efforts to increase the number of local government workers who participate in its training courses.	Continued

Appendix C - Status of FY 2015 Findings and Recommendations

FY 2016 CONN-OSHA Follow-up FAME Report

FY 20XX-#	Finding	Recommendation	State Plan Response/Corrective Action	Completion Date	Current Status and Date
FY 2015-01	SAMM #11 (average lapse time) - CONN-OSHA's average lapse time of 85.79 days for safety cases did not meet the further review level of +/- 20% of 42.78 days. The program's average lapse time of 74.12 days for health cases did not meet the further review level of +/- 20% of 53.48 days.	Review policies and procedures to eliminate the problems that are causing the program to have high lapse times.	The CONN-OSHA manager will review all active cases with the CSHOs on a weekly basis. Any case that has been open for more than 20 days will be tracked by both the manager and the CSHO to ensure that lapse time does not exceed the further review level range in SAMM #11.	Not completed	Converted to Observation

Appendix D - FY 2016 State Activity Mandated Measures (SAMM) Report

FY 2016 CONN-OSHA Follow-up FAME Report

Fiscal Year 2016 is the first year since the transition from the NCR (OSHA's legacy data system) began that all State Plan enforcement data has been captured in OSHA's Information System (OIS). All State Plan and federal whistleblower data continues to be captured in OSHA's WebIMIS System. Unless otherwise noted, the data contained in this Appendix D is pulled from the State Activity Mandated Measures (SAMM) Report and State Plan WebIMIS report run on November 14, 2016, as part of OSHA's official end-of-year data runs. The further review levels for SAMMs 5, 8, 9, 11, 12, 15, and 17 have been negotiated to rely on a three-year national average. However, due to the recent transition to OIS, the further review levels for these SAMMs will rely on a one-year national average for one more year.

Appendix D - FY 2016 State Activity Mandated Measures (SAMM) Report

FY 2016 CONN-OSHA Follow-up FAME Report

U.S. Department of Labor				
Occupational Safety and Health Administration State Plan Activity Mandated Measures (SAMMs)				
State Plan: Connecticut – CONN-OSHA			FY 2016	
SAMM Number	SAMM Name	State Plan Data	Further Review Level	Notes
1a	Average number of work days to initiate complaint inspections (state formula)	3.03	5	Further review level is negotiated by OSHA and the State Plan.
1b	Average number of work days to initiate complaint inspections (federal formula)	2.51	N/A	This measure is for informational purposes only and is not a mandated measure.
2a	Average number of work days to initiate complaint investigations (state formula)	0.00	1	Further review level is negotiated by OSHA and the State Plan.
2b	Average number of work days to initiate complaint investigations (federal formula)	0.00	N/A	This measure is for informational purposes only and is not a mandated measure.
3	Percent of complaints and referrals responded to within one workday (imminent danger)	N/A	100%	N/A – The State Plan did not receive any imminent danger complaints and referrals in FY 2016. Further review level is fixed for all State Plans.
4	Number of denials where entry not obtained	0	0	Further review level is fixed for all State Plans.
5	Average number of violations per inspection	SWRU: 1.56	+/- 20% of SWRU: 1.87	Further review level is based on a one-year national rate.

Appendix D - FY 2016 State Activity Mandated Measures (SAMM) Report

FY 2016 CONN-OSHA Follow-up FAME Report

	with violations by violation type	Other: 2.08	+/- 20% of Other: .99	
6	Percent of total inspections in state and local government workplaces	100%	100%	Since this is a State and Local Government State Plan, all inspections are in state and local government workplaces.
7	Planned v. actual inspections – safety/health	S: 216	+/- 5% of S: 150	Further review level is based on a number negotiated by OSHA and the State Plan through the grant application.
		H: 79	+/- 5% of H: 80	
8	Average current serious penalty in private sector - total (1 to greater than 250 workers)	N/A	+/- 25% of \$2,279.03	N/A – This is a State and Local Government State Plan. Further review level is based on a one-year national rate.
	a. Average current serious penalty in private sector (1-25 workers)	N/A	+/- 25% of \$1,558.96	N/A – This is a State and Local Government State Plan. Further review level is based on a one-year national rate.
	b. Average current serious penalty in private sector (26-100 workers)	N/A	+/- 25% of \$2,549.14	N/A – This is a State and Local Government State Plan. Further review level is based on a one-year national rate.
	c. Average current serious penalty in private sector (101-250 workers)	N/A	+/- 25% of \$3,494.20	N/A – This is a State and Local Government State Plan. Further review level is based on a one-year national rate.
	d. Average current serious penalty in private sector (greater than 250 workers)	N/A	+/- 25% of \$4,436.04	N/A – This is a State and Local Government State Plan. Further review level is based on a one-year national rate.
9	Percent in compliance	S: 17.21%	+/- 20% of S: 28.85%	Further review level is based on a one-year national rate.
		H: 34.33%	+/- 20% of H: 35.68%	

Appendix D - FY 2016 State Activity Mandated Measures (SAMM) Report

FY 2016 CONN-OSHA Follow-up FAME Report

10	Percent of work-related fatalities responded to in one workday	N/A	100%	N/A – The State Plan did not have any work-related fatalities in FY 2016. Further review level is fixed for all State Plans.
11	Average lapse time	S: 51.32	+/- 20% of S: 45.16	Further review level is based on a one-year national rate.
		H: 72.00	+/- 20% of H: 57.28	
12	Percent penalty retained	62.34%	+/- 15% of 69.86%	Further review level is based on a one-year national rate.
13	Percent of initial inspections with worker walk around representation or worker interview	100%	100%	Further review level is fixed for all State Plans.
14	Percent of 11(c) investigations completed within 90 days	0%	100%	Further review level is fixed for all State Plans.
15	Percent of 11(c) complaints that are meritorious	50%	+/- 20% of 24%	Further review level is based on a three-year national average.
16	Average number of calendar days to complete an 11(c) investigation	1,583	90	Further review level is fixed for all State Plans.
17	Percent of enforcement presence	N/A	+/- 25% of 1.26%	N/A – This is a State and Local Government State Plan and is not held to this SAMM. Further review level is based on a one-year national rate.