

**FY 2019 Comprehensive
Federal Annual Monitoring Evaluation (FAME) Report**

**State of Illinois
Illinois Department of Labor
Illinois OSHA**



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I. Executive Summary

The purpose of this Federal Annual Monitoring Evaluation (FAME) Report is to assess the State Plan's performance for Fiscal Year (FY) 2019 and its progress in resolving outstanding findings from previous FAME reports. This report assesses the current performance of the Illinois Department of Labor (IDOL) – Occupational Safety and Health Division 23(g) compliance program.

FY 2019 witnessed continuous improvement and progress by Illinois OSHA towards achieving a high level of overall program performance. The IDOL – Illinois OSHA Five-Year Strategic Plan identifies three fundamental strategic goals to reduce workplace injuries, illnesses, and fatalities in state and local government worksites throughout Illinois. To achieve these objectives, the State Plan established 13 individual performance goals that contain a focused strategy with detailed activity measures and performance indicators.

While Illinois OSHA achieved continuous improvement in most areas, the State Plan's performance triggered the further review levels (FRLs) for several of the FY 2019 State Activity Mandated Measures (SAMM). These SAMM measures are identified and discussed in detail throughout the FAME report.

The State Plan failed to meet their overall projected inspection goal of 700 inspections. The program conducted 241 inspections, representing only 34% of their FY 2019 goal. Staffing vacancies continued to affect the State Plan's ability to be successful in this area. Although the State Plan committed to meeting their planned inspection goals through increased staffing and filling vacancies during FY 2019 and FY 2020, their success has been limited.

The State Plan made progress in addressing the previous four findings and four observations from the FY 2018 Follow-up FAME Report. Two findings were completed, one remains open, and one was converted to an observation. Two observations were closed, one is continued, and one is converted to a finding. During the FY 2019 FAME assessment, four new observations were identified. The observations address fatality investigation summary forms, whistleblower complaint processing, deficiencies with whistleblower case file management, and a concern with employee interview documentation that was converted from a previous finding.

Appendix A describes the new and continued findings and recommendations. Appendix B describes observations subject to continued monitoring and the related federal monitoring plan. Appendix C describes the status of previous findings with associated completed corrective actions.

II. State Plan Background

A. Background

Illinois Department of Labor (IDOL)–Illinois OSHA operates a state and local government only OSHA State Plan. The Illinois State Plan was approved as a Developmental Plan on September 1, 2009. In January of 2020, Ms. Brandy Lozosky took over as the new Division Manager, administering the Illinois State Plan under Mr. Michael D. Kleinik, Director of the Illinois Department of Labor. During the entire period covered by this report, Mr. Ben Noven served as the Director of the Illinois OSHA State Plan. Illinois OSHA affects state and local governments by enforcing safety and health standards, providing consultation services, investigating occupational safety and health whistleblower discrimination complaints, adopting OSHA standards, and providing outreach services.

Since approval as a Developmental Plan on September 1, 2009, Illinois OSHA has requested multiple extensions to complete its developmental steps. The difficulties preventing Illinois OSHA from successfully moving forward have been largely related to their vacant positions, which in turn leads to repeated deobligation of grant funding. Working with OSHA, IDOL implemented a plan to fill the remaining vacancies through FY 2020 in an effort to allow the program to move forward out of the developmental stage.

The Illinois OSHA FY 2019 grant included full-time equivalent (FTE) staffing of 19.75 positions. The State Plan's expected staffing level includes a Division Manager, two Assistant Enforcement Managers, two Administrative Assistants, 10 Safety Inspectors, four Industrial Hygienists, a State Plan Coordinator, and a Marketing/OIS Coordinator. Several of these positions split time between the 23(g) enforcement and the 21(d) consultation programs as well as the whistleblower discrimination program support.

The FY 2019 grant included funding totaling \$3,054,200. The State Plan deobligated \$661,000 in grant money during FY 2019 due to vacancies and the inability to fill vacant positions.

B. New Issues

None.

III. Assessment of State Plan Progress and Performance

A. Data and Methodology

OSHA has established a two-year cycle for the FAME process. FY 2019 is a comprehensive year and as such, OSHA was required to conduct an on-site evaluation and case file review. A four-person team, which included a whistleblower investigator, was assembled to conduct a full on-site case file review. The case file review was conducted at the Illinois State Plan office during the timeframe of January 7 – 9, 2020. A total of 77 safety, health, and whistleblower inspection case files were reviewed. A total of 20 complaints were evaluated, including 15 non-formal complaint inquiry inspection files and five non-jurisdictional fatality notification files. All fatality cases closed during the review period were selected. All other safety and health inspection files were randomly selected from closed inspections conducted during the evaluation period (October 1, 2018 through September 30, 2019). The selected population included:

- Eight (8) fatality case files
- Thirteen (13) un-programmed inspection case files
 - Eleven (11) safety and two (2) health files
- Thirty-two (32) programmed inspection case files
 - Twenty-nine (29) safety and three (3) health files
- Twenty (20) non-formal complaint inquiry investigation files
 - Fifteen (15) non-formal complaint inquiry files and five (5) non-jurisdictional fatality notifications; and
- Four (4) closed whistleblower case files
 - Additionally, twenty-three (23) whistleblower complaints received by Illinois OSHA were reviewed.

The analyses and conclusions described in this report are based on information obtained from a variety of monitoring sources, including the:

- State Activity Mandated Measures Report (Appendix D)
- State Information Report
- Mandated Activities Report for Consultation
- State OSHA Annual Report (Appendix E)
- State Plan Annual Performance Plan
- State Plan Grant Application
- Quarterly monitoring meetings between OSHA and the State Plan
- Full case file review

Each State Activity Mandated Measure (SAMM) has an agreed-upon Further Review Level (FRL), which can be either a single number, or a range of numbers above and below the national average. State Plan SAMM data that falls outside the FRL triggers a closer look at the underlying performance of the mandatory activity. Appendix D presents the State Plan's FY 2019 State Activity Mandated Measure Report and includes the FRL for each measure.

Throughout the entire process, Illinois OSHA was cooperative, shared information, and ensured staff was available to discuss cases, policies, and procedures. Illinois OSHA staff members were eager to work with the evaluation team.

B. Review of State Plan Performance

1. PROGRAM ADMINISTRATION

The Illinois OSHA program administration aligns closely with federal initiatives. The plan serves as a mechanism for communicating a shared set of expectations regarding the results that Illinois OSHA expects to achieve and the strategies that it will use to achieve them. Illinois OSHA will adjust the plan as circumstances necessitate, use it to develop the annual grant application and performance plan, report on progress in annual performance reports, and monitor program accountability for achieving goals and outcomes.

a) Training

Illinois OSHA follows OSHA's policy and guidelines for implementing competency-based training programs for compliance personnel (TED 01-00-019 Mandatory Training Program for OSHA Compliance Personnel). New compliance personnel attend, at a minimum, two initial courses in their first year and six courses specific to their job classification by the end of their third year. The staff attends the required training at the OSHA Training Institute (OTI), located in Arlington Heights, Illinois. Additionally, other opportunities outside of the organization are made available when it would improve staff knowledge and performance.

b) OSHA Information System (OIS)

Illinois OSHA strives to operate as paperless a program as possible, with the use of OIS integral to the process. Complaint and fatality intakes, assignments, case file processing, and many other operations are performed in OIS.

In FY 2019, Illinois OSHA received 414 complaints, fatality/catastrophe reports, and referrals. Of these, 72 resulted in on-site inspections and 169 were processed as non-

formal complaints via the inquiry process. (Source: UPA Auditing report dated December 31, 2019)

A multi-employer worksite involving an employee fatality and two hospitalizations was found with OIS entry errors related to the four files associated with the event. The errors included the inspection type, inspection scope, related activities, and proper inspection linkage in the inspection report and investigation report. Illinois OSHA is encouraged to work with OSHA to clarify and correct OIS entry concerns to ensure Illinois OSHA's activities are reflected appropriately.

During the previous FAME review, a concern with inaccurate date information being entered into OIS was addressed through Observation FY 2018-OB-01. In August of 2018, the State Plan took corrective action by conducting employee training and implementing processes to audit their non-formal inquiries to ensure accurate date information was being entered into OIS. The FY 2019 FAME review included evaluating the non-formal inquiry complaints to verify the corrective action was effective. All 15 of the complaints evaluated the processing dates corresponded between OIS and the case files. As a result, Observation FY 2018-OB-01 is closed.

c) State Internal Evaluation Program (SIEP) Report

During the developmental period, the State Plan did not develop a SIEP in FY 2019.

d) Staffing

Illinois OSHA continues to struggle to fill staff vacancies. Staffing vacancies affect the State Plan's ability to achieve their targeting and programmed inspection goals established in their FY 2019 grant. Consequently, Illinois OSHA repeatedly is forced to adjust their inspection goals based on the number of trained and available investigators and support staff. See the "Targeting and Programmed Inspection" section below for a detailed discussion. The vacancies also result in significant dollar amounts being "de-obligated" on an annual basis. De-obligation is the process whereby a state voluntarily returns federal funds previously awarded to the State Plan because they are either unable/unwilling to contribute the required match amount or they are unable/unwilling to carry out the full activities mandated by the grant.

In response to concerns expressed by OSHA about the staff vacancies and the related de-obligations, IDOL provided a letter assuring OSHA of their ability and determination to fill the vacancies and address OSHA's concerns. IDOL stated that during FY 2019, ten positions would be filled, including six enforcement positions. Unfortunately, Illinois

OSHA fell short of that goal and was only able to hire four enforcement positions during FY 2019. Illinois OSHA indicated the remainder of the vacancies will be filled in FY 2020, resulting in a fully staffed program. In response, OSHA and the State Plan agreed to scheduled monthly calls to provide opportunity for updates on their progress in this area.

The State Plan continued to work closely with the Illinois Department of Central Management Services (CMS) Bureau of Personnel Division of Examining and participated in a pilot plan focused on hard to fill positions. The goal of the pilot program is to fill positions within 40 days from the date of posting. Illinois OSHA also developed new recruiting strategies in an effort to get the most qualified candidates for these positions. Through these efforts, both of the enforcement managers were successfully hired in record time.

At the start of FY 2019, the State Plan had 13 open positions: seven safety and two health investigators; two enforcement managers; one marketing/OIS coordinator; and one administrative assistant position. During the year, progress was made with the hiring of an enforcement manager and three safety inspectors. Illinois OSHA also experienced a loss of one health inspector during the year, leaving them with only one health inspector on staff for several months during FY 2019. At the close of FY 2019, 10 positions were vacant, including one enforcement manager; four safety and three health inspectors; one marketing/OIS coordinator; and one administrative assistant. As the State Plan completed the year, several positions were in the process of being filled, to include the second enforcement manager, one safety inspector, and one health inspector.

STAFFING						
		FY 15	FY 16	FY 17	FY 18	FY 19
Safety	Benchmark	10	10	10	10	10
	Positions Allocated	10	10	10	10	10
	Positions Filled	8	9	4	3	6
	Vacancies	2	1	6	7	4
	% Of Allocations Filled	80%	90%	40%	30%	60%
Health	Benchmark	4	4	4	4	4
	Positions Allocated	4	4	4	4	4
	Positions Filled	2	3	2	2	1
	Vacancies	2	1	2	2	3
	% Of Allocations Filled	50%	75%	50%	50%	25%

2. ENFORCEMENT

Illinois OSHA enforces safety and health standards only in state and local government workplaces. In FY 2019, Illinois OSHA conducted 241 inspections: 224 safety and 17

health, with no denials of entry in inspections. (Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #4 and #7) Of those, 154 were programmed and 87 were unprogrammed, which consists of complaints, referrals, follow-up, injury, and fatality inspections. The total number of inspections was a 39% increase from FY 2018. (Source: Inspection Summary Report dated December 13, 2019)

Illinois OSHA issued serious, willful, and repeat violations in 167 of their inspections, with another two inspections having other-than-serious citations issued. The State Plan issued 404 serious, willful, repeat, unclassified (SWRU) violations, 37 other-than-serious (OTS) violations, and 34 hazard alert letters used to inform the employer of potential hazards that do not meet criteria for citation issuance. (Source: Inspection Summary Report dated December 13, 2019)

As a part of the FY 2019 assessment, a random sample of 53 safety and health inspection files were selected and evaluated to verify the corrective action taken by the State Plan in response to Observation FY 2018-OB-02 to ensure proper inspection opening conference processes were being followed. In all 53 inspections files reviewed, there were no concerns associated with the inspection opening conference process. As a result, Observation FY 2018-OB-02 is closed.

a) Complaints

During FY 2019, Illinois OSHA received 208 complaints, of which 35 (17%) were formal and 173 (83%) were non-formal. (Source: UPA Auditing report dated December 31, 2019) The average number of days to initiate a complaint inspection in FY 2019 was 5.27 days for all (both safety and health) complaints. This is below the negotiated standard of five days for safety and 10 days for health complaints. All complaint items were addressed in the 12 complaint inspections reviewed. The average number of days to initiate a complaint investigation was 2.45, below the negotiated standard of three days. The State Plan received one imminent danger complaint that was initiated within one day. (Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #1a and 2a)

During the previous FAME review, Finding FY 2018-01 related to adequate abatement evidence for the State Plan's non-formal inquiry processes. In August of 2018, the State Plan took corrective action by conducting employee training and implementing processes to audit their non-formal inquiries to ensure their processing procedures were being followed. The FY 2019 FAME on-site case file review included evaluating 15 of the non-formal inquiry complaints to verify the corrective action was effective for this issue.

All 15 of the complaints evaluated had adequate abatement evidence included and as a result, Finding FY 2018-01 is closed.

b) Fatalities

Illinois OSHA had 28 fatalities reported during FY 2019. The State Plan appropriately screened out 20 as not OSHA covered and/or having no jurisdiction. The eight remaining fatalities were inspected with all of them being closed, finalized, and available during the on-site review. All eight of the fatality cases reviewed were responded to within one day. These files were generally well documented with hazards identified and citations issued appropriately. Contact and involvement of families of victims, including notification of enforcement action, was well documented with copies of the next-of-kin letters found in all but one of the files.

One fatality resulted in a multi-employer inspection (four employers) worksite involving an employee fatality and two hospitalizations. OIS was found with coding errors related to the four inspection files connected with the event. The fatality and injuries were associated with two of the four employers on the site. It is extremely unusual for the State Plan to conduct multi-employer inspections and the investigator made multiple coding errors and entered separate Investigation Summary forms for each inspection, rather than one investigation summary associated with the single Fatality/Catastrophe Report recorded for the incident. This resulted in OIS over reporting the number of fatality inspections the State Plan had conducted. OIS reports reflect 11 fatality inspections for the year instead of eight. When rare and unusual inspection circumstances arise throughout the year, the State Plan is encouraged to work with OSHA to clarify and correct any entry or coding concerns associated with the activities to ensure they are reflected appropriately in OSHA's information system.

All eight of the fatality files reviewed had Investigation Summary forms completed for each of the fatalities. Eight out of the eight (100%) investigation summary abstracts, which describes what happened to the victim, lacked sufficient detail and information needed to provide a clear representation of the fatal incident and the factual circumstances surrounding the event. The Illinois OSHA FOM, Chapter 10, Paragraph II, I, 2, subparagraph c, states, "The narrative must comprehensively describe the characteristics of the worksite; the employer and its relationship with other employers, if relevant; the employee task/activity being performed; the related equipment used; and other pertinent information in enough detail to provide a third party reader of the narrative with a mental picture of the fatal incident and the factual circumstances surrounding the event."

The information contained in the investigation summary abstracts provides general information for both internal use and for external reporting and presentations. The abstract information should provide a clear and understandable summary of the incident in a standard format, which helps to facilitate research on accidents, injuries, and deaths. The information is used in the development of future regulatory standards and is OSHA's only source of accurate information regarding fatalities and catastrophes.

Observation FY 2019-OB-01: In eight (100%) of the fatality inspections reviewed, the investigation summary form narrative lacked sufficient detail and information needed to provide a clear representation of the fatal incident and the factual circumstances surrounding the event.

Federal Monitoring Plan FY 2019-OB-01: OSHA will review and discuss fatality investigation summary forms on all new fatality investigations with the State Plan during quarterly monitoring meetings.

c) Targeting and Programmed Inspections

The FRL for the planned vs. actual inspections – safety/health is based on the number negotiated by OSHA and the State Plan through the grant application. Illinois OSHA established a projected goal of 700 inspections: 500 safety and 200 health. The range of acceptable number of inspections conducted is +/- 5% of the projected 500 safety inspections (475 to 525) and +/- 5% of the projected 200 health inspections (190 to 210). Illinois OSHA completed 224 safety and 17 health inspections for a total of 241 inspections. Illinois OSHA achieved 34% of their total projected inspection goal in FY 2019. The State Plan achieved only 45% of their goal for safety inspections and just 9% of their goal for health inspections, which is substantially lower than the FRL and a continued cause for concern. (Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #7)

Staffing vacancies continued to affect the State Plan's ability to achieve their targeting and programmed inspection goals established in the FY 2019 grant. Due to the considerable number of vacancies and their inability to fill those vacant positions, Illinois OSHA internally adjusts the projected inspection goal repeatedly during the year. The State Plan tracks their inspection goals based on the actual number of full-time equivalents (FTEs) on hand and the weeks they were available and fit for duty, in terms of necessary training, to conduct the inspections. The calculations are based on the number of inspections each FTE inspector is projected to complete on a weekly and monthly basis and the actual number of inspectors available to conduct inspections.

As previously discussed, IDOL committed to achieving success in meeting their planned inspection goals by increasing staff and filling vacancies during FY 2019 and FY 2020. In FY 2019, limited progress was made with the hiring of an enforcement manager and three safety inspectors. Illinois OSHA also experienced a loss of one health inspector, leaving them with only one for a significant part of FY 2019. With the limited hiring success, the State Plan completed 67 more inspections in FY 2019 than FY 2018, a 39% increase. In the first quarter of FY 2020, the second enforcement manager position, one safety inspector position, and one health inspector position was filled. There are currently five inspector positions vacant, including three safety and two health.

The State Plan's inability to achieve their projected inspection goals is a concern that has directly affected Illinois OSHA's completion of their developmental steps. This issue was elevated to a Finding in FY 2017 and has been monitored closely for several years. Due to the significant impact of this issue, OSHA and the State Plan agreed to monitor this finding and the State Plan's continued efforts monthly, in addition to the regular quarterly meetings.

Finding FY 2019-01 (FY 2018-02): Illinois OSHA conducted only 45% of the planned safety inspections (224 of 500) and 9% of health inspections (17 of 200).

Recommendation FY 2019-01: Illinois OSHA should establish a method and strategy for developing the planned inspection goals based on staffing and resources, establishing the projected number of inspections to be conducted, and a tracking system to ensure the planned inspection goals are achieved.

Of the 53 inspections reviewed during the FY 2019 assessment, 32 were programmed inspections. As a developmental program, Illinois OSHA created a Site-Specific Targeting (SST) plan titled the Program Planned Inspection (PPI) program. Illinois OSHA uses the PPI program to help target and prioritize inspections for high hazard state and local government employer establishments. Illinois OSHA's high hazard inspection targeting system is based on OSHA Instruction CPL 02-00-025, *Scheduling System for Programmed Inspections* (January 4, 1995), which is based on Bureau of Labor Statistics (BLS) injury/illness rate data. The BLS data and the PPI program helped Illinois OSHA meet activity measures and achieve its goal of reducing the number of injuries and illnesses that occur at state and local government employer establishments by directing enforcement resources to those establishments where the highest rate of injury and illness has occurred. The state and local government occupations identified include:

- State Support Activities for Transportation (NAICS 488)
- State Nursing and Residential Care Facilities (NAICS 623)

- Local Fire Protection (NAICS 92216)
- Departments of Public Works (NAICS 926120)
- Water and Sewage Treatment Facilities (NAICS 2213)

Illinois OSHA was successful in achieving the FY 2019 Strategic Goal #1, *Improve workplace safety and health for all public-sector employees as evidenced by fewer hazards, reduced exposures and fewer injuries, illnesses and deaths*. Illinois OSHA was successful in all five established annual performance goals associated with their programmed inspections and targeting of the high hazard state and local government occupation goals. The State Plan met or exceeded almost every performance indicator and activity measure in all of these areas. For a detailed discussion, please review Appendix E – FY 2019 State OSHA Annual Report (SOAR) Summary of Annual Performance Plan Results section.

The State Plan's above average number of violations per inspection for SWRU and below average number of violations per inspection for OTS indicates the State Plan is utilizing their resources to effectively target high hazard worksites. The FRL for the average number of violations per inspection with violations by violation type is 1.79 +/- 20% for SWRU violations, and 0.97 +/- 20% for OTS violations. The range of acceptable data not requiring further review is from 1.43 to 2.15 for SWRU violations, and from 0.78 to 1.16 for other-than-serious (OTS). The Illinois State Plan's average number of violations per inspection for SWRU is 2.24, slightly above the FRL range. The average number of violations per inspection for OTS is 0.21, below the FRL. (Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #5) Since these values fell outside the SAMM Further Review Level, this issue was evaluated during the on-site case file review, which showed an acceptable level of performance for Illinois.

The State Plan's average number of SWRU violations per inspection is slightly above the upper FLR range, indicating that the State Plan is regularly identifying, citing and properly classifying serious hazards found during the inspections. This was confirmed during the on-site case file review. In five of the 35 files (14%) with citations, violations may have been classified incorrectly. There were 16 instances out of 441 (4%) citations issued where there appeared to be a need for further evaluation concerning additional potential hazards identified that could have been addressed through the citation process.

Illinois continues to focus their enforcement energies and time spent during the on-site inspections identifying and addressing serious hazards. The State Plan's percent in compliance rates, 27.05% for safety and 56.25% for health, indicate that hazards are being addressed and are not being overlooked. (Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #9)

The State Plan's percent in compliance rate (56.25%) for health cases is above the FLR rate and reviewed as a part of the on-site case file review. The further review level for the percent of inspections in compliance is based on a three-year national average. The range of acceptable data not requiring further review is from 24.24% to 36.36% for safety and from 28.90% to 43.35% for health. The high health in compliance rate was influenced by two factors. The first is the limited number of health cases completed by the State Plan. While the concerns related to the State Plan's planned vs. actual inspections conducted have been discussed, the limited number of total health files conducted will negatively impact the low number of in compliance cases significantly. The second factor influencing the in compliance rate for health cases is that the Illinois OSHA State Plan covers state and local government workplaces only. State and local government workplaces historically have not had the same level of health hazards and exposure types and frequencies as private industry workplaces, such as paint and coating manufacturing; plastics material; cut stone and stone product manufacturing; or brick, stone, and related construction manufacturing, due to the nature of the work involved.

d) Citations and Penalties

In Illinois OSHA's FOM, Chapters 5 and 6 contain the requirements and policies for citations and penalties, respectively. The citations and penalties proposed for issuance are reviewed at multiple levels in the State Plan's management system prior to issuance.

During FY 2019, Illinois OSHA investigators conducted 241 inspections with 441 violations cited. With an average lapse time of 55.34 days for safety inspections and 58.70 days for health inspections, Illinois OSHA is within the FRL for both safety and health inspections. The FRL for the average lapse time is +/- 20% of the two-year national average. The range of acceptable data not requiring further review is from 38.08 to 57.13 for safety, and from 45.78 to 68.68 for health inspections. (Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #11) Seventy percent (70%) of the inspections resulted in violations and 85.1% of those violations were classified as serious, willful, or repeat. (Source: Inspection Summary Report dated December 13, 2019)

The 53 FY 2019 case files reviewed were evaluated to determine the success of the State Plan to address several previous observations associated with inspection citations. These include Observation FY 2018-OB-03: Adequate documentation of the information required to support the violations was lacking and Observation FY 2018-OB-04 - The severity and probability information lacked clarity for the condition addressed in the citation. As a result of the on-site case file review, Observation FY 2018-OB-03 is being elevated to a finding and Observation FY 2018-OB-04 will continue as an observation.

In FY 2018, Observation FY 2018-OB-03 addressed a lack of adequate documentation of the information required to support the violations in 33% of the files reviewed as required by the Illinois OSHA FOM, Chapter 3, Paragraph VII, C, titled, “Record All Facts Pertinent to a Violation.” The FY 2019 case file review evaluated 35 inspections with citations and found 27 out of 35 (77%) did not have adequate evidence to support all of the violations. While the State Plan showed improvement in areas associated with the evidence gathered and documented in the field, 21 inspections out of 35 (60%) lacked clear employee exposure and 18 inspections out of 35 (50%) lacked clear information associated with employer knowledge.

In 23 of the 35 (66%) files that contained violations, there were concerns with the severity and probability justification in the violations. The severity and probability information was contained in each of the violations, but the information lacked specificity and clarity as to how it was directly associated with the condition addressed in the violation as required by the Illinois OSHA FOM, Chapter 6, Paragraph III, A, “Severity Assessment” and B, “Probability Assessment.” However, the concerns rose to the level of impacting a serious classification in only five of the 23 files (22%). Severity and probability concerns were previously addressed in Observation FY 2018-OB-04. While there has been some improvement in this area, the severity and probability justification will remain an observation to allow for continued monitoring of this issue.

Finding FY 2019-02 (FY 2018-OB-03): Twenty-seven of the 35 (77%) files with violations did not contain adequate documentation of the information required to support the violations in accordance with Illinois OSHA FOM, Chapter 3, Paragraph VII, C, titled, “Record All Facts Pertinent to a Violation.”

Recommendation FY 2019-02: Ensure case files contain all of the necessary information required to support the violations issued in accordance with the Illinois FOM.

Observation FY 2019-OB-02 (FY 2018-OB-04): Twenty-three of the 35 (66%) files reviewed lacked specificity and clarity in the severity and probability information as to how it was directly associated with the condition addressed in the violation.

Federal Monitoring Plan FY 2019-OB-02: OSHA will review and discuss fatality investigation summary forms on all new fatality investigations with the State Plan during quarterly monitoring meetings.

e) Abatement

Illinois OSHA has continued to focus on proper abatement periods, adequate verification and evidence, and proper utilization of the Petition for Modification of Abatement date (PMA) process. Illinois OSHA has a PMA processing form to ensure all PMA requests document the interim worker protection during the abatement period. Follow-up inspections are conducted when appropriate.

Of the 53 case files reviewed, 35 inspections issued citations needing abatement. Two of the 35 files (6%) had abatement times that appeared to be excessive. The State Plan investigators make every effort to get on-site abatement at the time of the inspection and the employers efforts are documented and noted in the file as corrected during the inspection. In five of the 35 files (14%), the abatement evidence was not clear or was not found. While this does not rise to a concern level that would warrant a finding or observation at this time, OSHA recommends the State Plan continues to audit and evaluate their abatement processes to ensure adequate abatement evidence has been provided by the employer.

f) Worker and Union Involvement

Illinois OSHA's regulations and written procedures for worker and union involvement are equivalent to federal regulations and procedures. During the opening conference, inspectors are required to verify if workers at the facility are represented by a union. Local union contact information, including names, addresses, and phone numbers, was included in the files. If an "authorized union representative" was not available, any worker at the site, who was a member of the union, was asked to participate in the inspection. The State Plan achieved 100% in SAMM #13 – percent of initial inspections with worker walk around representation or worker interview. (Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #13)

During the review, 53 case files were reviewed, and 26 files represented work sites that had a Union present at the site. In all cases, the State Plan ensured that the union or other labor representatives participated in the inspection process. Of the 26 files, 16 had citations or hazard alert letters issued and in five instances, the diary sheet in the file was not updated to indicate that a copy of the citations had been sent to the employer. Illinois FOM Chapter 5, Section XI. Citations, Paragraph B (2) Issuing citations pg. 5-13 reads "Citations shall be mailed to employee representatives after the Certified Mail Receipt card is received." It is important to record properly the efforts Illinois OSHA makes to keep all parties aware of the outcome of the inspection visit.

Employee interviews are an important part of any inspection and proper documentation of any interview is essential. The Illinois FOM, Chapter 3, Paragraph VII Walk-around Inspection, requires that employees will be interviewed and that inspectors will document interview statements in a thorough and accurate manner. During the previous FAME report, Finding FY 2018-03, related to employee interviews not being conducted or properly documented, was identified. At that time, 18 of the 55 files (33%) did not indicate and/or identify the identity of the employee being interviewed; eight files (15%) were found to have no employee interviews; and 10 (18%) had no documented interviews. In August of 2018, the State Plan took corrective action by conducting employee training and implemented processes for enforcement managers to ensure interviews were being conducted and documented properly.

During the review, 53 case files were evaluated to determine the success of the State Plan in addressing Finding FY 2018-03. The State Plan has made some improvement in this area. In all 53 cases (100%), the inspection report and narrative identified that employee interviews had been conducted. In 20 of the 53 (38%) files, there were no clear field interview notes, or a separate documented employee statement, reflecting the interview in the file. In two files, management personnel interviewed were misidentified as hourly employees. With improvements made in this area, Finding FY 2018-03 is being converted to an observation.

Observation FY 2019-OB-03 (FY 2018-03): Twenty of the 53 (38%) files reviewed, employee interviews were not properly documented.

Federal Monitoring Plan FY 2019-OB-03: OSHA will discuss and evaluate Illinois OSHA's internal audits conducted in this area during quarterly monitoring meetings.

3. REVIEW PROCEDURES

a) Informal Conferences

Illinois OSHA's procedures for conducting informal conferences closely align with OSHA's and are outlined in Chapter 7, Post-Citation Procedures and Abatement Verification of the Illinois FOM. As a state and local government state plan, Illinois OSHA does a limited number of informal conferences a year, including four in FY 2019. Employers are given 15 working days to request and participate in an informal conference.

As a part of the FY 2019 on-site review, each of the four informal conferences were reviewed. All of the files contained extensive meeting notes and documentation associated with the meeting and all actions taken. The employer's arguments and

presented evidence was recorded along with the actions taken by the management team. Modifications to the citations, including changes to penalties and classifications, were well documented and were appropriate for the circumstances. Follow-up activities associated with the informal conferences were also well documented.

Illinois OSHA is a state and local government state plan and penalties are not issued for first sanction serious citations. Penalties are issued for repeat and willful citations and during FY 2019, Illinois OSHA issued repeat violations for a total penalty of \$9,500. The Illinois State Plan's percent penalty retained is 100%, which exceeds the FRL, but is not a concern as this is a positive indicator. The FRL for the percent penalty retained is +/- 15% of the two-year national average of 66.38%, which equals a range of 56.42% to 76.33%. Source: Appendix D – FY 2019 State Mandated Measures (SAMM) Report, SAMM #12) The Illinois State Plan's high percent penalty retained is attributed to three factors. First, the State Plan only conducts enforcement inspections for public entities. While the Illinois Occupational Safety & Health Act (IOSHA) (820 ILCS 219/85) provides the Director of Labor statutory authority to propose civil penalties for violations of the act, the issuance of penalties is used on a very limited basis. Secondly, the State Plan internal guidance states penalties are issued only where repeat and willful violations are being proposed. The State Plan's position is that penalties are not designed as punishment for violations, but rather the penalty amounts are to serve as an effective deterrent to the most severe violators. Finally, in FY 2019, the State Plan issued penalties to four different employers. Maintaining 100% of the civil penalties reflects the importance Illinois OSHA places on protecting public employees, especially those who place themselves in extremely dangerous situations to maintain the safety of the public.

The contest process is outlined in the Illinois FOM, Chapter 7, Paragraph I, B. When an employer files a Notice of Intent to Contest, the Division Manager forwards the case to the Chief Administrative Law Judge (ALJ), at which time the case is considered to be in litigation. The Illinois Legal Division becomes involved and any action relating to the contested case must first have the concurrence of the Legal Division. Attempts are then made to reach a settlement prior to hearing.

In FY 2019, Illinois OSHA had one inspection contested. In the single contested case, the employer presented an affirmative defense and, after consultation with the Illinois Legal Division, the citation was withdrawn. Based on the information collected during the inspection and the additional evidence provided by the employer during the contest period, the citation withdrawal was consistent with OSHA precedent.

4. STANDARDS AND FEDERAL PROGRAM CHANGES (FPCs) ADOPTION

a) Standards Adoption

The Illinois Occupational Safety & Health Act (IOSHA) (820 ILCS 219/25) adopted all OSHA standards which the United States Secretary of Labor had promulgated or modified in accordance with the federal Occupational Safety and Health Act of 1970 and which were in effect on January 1, 2015. The Illinois OSH Act also established a policy that all OSHA standards, which the United States Secretary of Labor promulgates or modifies, would automatically become adopted within 6 months after their federal promulgation date.

During FY 2019, two applicable standards were required to be adopted by the State of Illinois. Illinois OSHA, as a state and local government state plan, is not required to adopt the 2019 annual adjustment to civil penalties. The Illinois Occupational Safety & Health Act provides the statutory authority to propose civil penalties for violations of the act for state and local government agencies. The following table describes Illinois OSHA's intent to adopt the standards along with effective dates.

**Table X
Status of FY 2019 Federal Standards Adoption**

Standard:	Response Due Date:	State Plan Response Date:	Intent to Adopt:	Adopt Identical:	Adoption Due Date:	State Plan Adoption Date:
Final Rule on the Standards Improvement Project - Phase IV 1904,1910,1915,1926 (5/14/2019)	7/13/2019	7-2-2019	Yes	Yes	11/14/2019	7-2-2019
Final Rule on the Implementation of the 2019 Annual Adjustment to Civil Penalties for Inflation 29 CFR 1902,1903 (1/23/2019)	3/23/2019	2/1/2019	Yes	No	7/23/2019	8/1/2019
Final Rule on Crane Operator Certification Requirements 29 CFR Part 1926 (11/9/2018)	1/9/2019	1/7/2019	Yes	Yes	5/9/2019	1/7/2019

b) Federal Program Change (FPC) Adoption

All FPC responses were submitted timely. For those FPCs that the state did not adopt, the topics were not adopted due to the state having a pre-existing directive that addressed the issues. To access these documents, please visit <https://www2.illinois.gov/idol/Laws-Rules/safety/Pages/default.aspx>. For specific information on the state's policy as it relates to these items, please contact Illinois OSHA at (217) 782-9386.

Table Y
Status of FY 2019 Federal Program Change (FPC) Adoption

FPC Directive/Subject:	Response Due Date:	State Plan Response Date:	Intent to Adopt:	Adopt Identical:	Adoption Due Date:	State Plan Adoption Date:
<i>Adoption Required</i>						
National Emphasis Program on Trenching and Excavation CPL 02-00-161 (10/1/2018)	11/30/2018	10/30/2018	Yes	Yes	4/1/2019	10-01-18
<i>Equivalency Required</i>						
Confined and Enclosed Spaces and Other Dangerous Atmospheres in Shipyard Employment CPL 02-01-061 (5/22/2019)	7/21/2019	6/24/2019	Yes	Yes	11/22/2019	6/24/2019
Shipyard Employment "Tool Bag" Directive CPL 02-00-162 (5/22/2019)	7/21/2019	6/24/2019	Yes	Yes	11/22/2019	6/24/2019
Enforcement Guidance for Personal Protective Equipment (PPE) in Shipyard Employment CPL 02-01-060 (5/22/2019)	7/21/2019	6/24/2019	Yes	Yes	11/22/2019	6/24/2019
Site-Specific Targeting 2016 (SST-16) CPL 02-18-01 (10/16/2018)	12/15/2018	12-4-2018	No	No	n/a adoption not required	N/A
<i>Adoption Encouraged</i>						
Alternative Dispute Resolution (ADR) Processes for Whistleblower Protection Programs CPL 02-03-008 (2/4/2019)	4/5/2019	3-8-2019	No	No	n/a adoption not required	N/A

5. VARIANCES

With the creation of the Illinois Occupational Safety and Health Act [820 ILCS 219] in January 2015, the State Plan implemented administrative rules providing for the granting of temporary or permanent variances. During FY 2019, there were no variance requests received or variances granted.

6. STATE AND LOCAL GOVERNMENT WORKER PROGRAM

Illinois OSHA is a state and local government only plan; 100% of the 241 inspections were in state and local government. While penalties are not issued for first sanction serious citations, penalties are issued for repeat and willful citations. During FY 2019, Illinois OSHA issued repeat violations with a total penalty of \$9,500.

7. WHISTLEBLOWER PROGRAM

In FY 2019, the Illinois OSHA Whistleblower Protection Program was operated under contract by the Illinois Department of Labor Conciliation and Mediation Division (CONMED). The CONMED Division enforces a number of existing Illinois whistleblower protection laws and in September of 2017, Illinois OSHA and CONMED executed a memorandum of understanding (MOU) to include the investigation of Illinois OSHA whistleblower complaints with those already being conducted by CONMED. During FY 2019, CONMED utilized a rotation of supervisors and investigators to conduct duties of the Whistleblower Program. CONMED rotated four different investigators, three of which conducted full field investigations.

Procedurally, the State Plan Whistleblower Program utilizes the Illinois Department of Labor Whistleblower Investigation Manual (Illinois WIM), effective July 1, 2017, which adheres to OSHA's Whistleblower Investigations Manual (WIM), CPL 02-03-005. These manuals provide guidelines for the investigation and disposition of discrimination complaints. Intakes are received by the State Plan via phone, mail, or email. Additionally, there is a website for individuals to file online complaints. All complaints are forwarded to CONMED in Chicago, where a supervisor assigns the complaint to an investigator for screening.

a) Review Process

For the FY 2019 review, 21 whistleblower intakes and four completed case files were evaluated utilizing the policies and procedures that CONMED utilizes, which are contained in the OSHA Whistleblower Investigations Manual.

b) WebIMIS Reports

A review of the Whistleblower State Plan Investigation Data report for the review period indicated that of the five completed cases, none were withdrawn, three (60%) were dismissed, and two (40%) were found to have merit and resulted in settlement. None of the cases were completed timely, but had an average completion time of 159 calendar days.

During FY 2019, Illinois OSHA received 31 complaints. Of those complaints, 24 (73%) were administratively closed and nine were docketed. Of the docketed complaints three were dismissed, two settled and four remained open as of the end of FY 2019.

c) Complaint Intake and Screening

The intake files were arranged in an order that was easily recognizable and nearly all information was accurate when compared to the Whistleblower Application, Integrated Management Information System (WebIMIS) entries.

Nineteen of the 21 intakes (90%) were accurately screened for the proper elements. In one instance, the complaint was closed citing no protected activity, even though the complainant had engaged in a protected activity.

On average, it took the State Plan 44 days to screen a complaint from the date of filing. In two out of the 31 complaints (6%), the complainants were not contacted when the cases were screened. In almost all cases, complaints were screened within five business days of the complaint being filed. In eight out of the 31 (26%) instances, there was no documentation supporting how the closing letters were sent to the complainants. In four of the 24 (17%) administratively closed intakes, a memo to file was not created to document the interview of the complainants and why the complaint was closed. The memo is required per the Illinois WIM, Chapter II (B)(2), which states “If the complaint will not proceed to an investigation, the whistleblower investigator will write a brief memo to the case file stating the reason why the case has been administratively closed”.

In two of nine docketed cases (22%), the complaints were closed without contacting the complainant to hold a closing conference or allow the complainant the opportunity to provide a rebuttal. Per the WIM, CPL 02-03-007 Chapter 4, “For recommendations to dismiss, the RA or his or her designee must issue Secretary’s Findings to the complainant, with a copy to the respondent. The letter must include the rationale for the decision and the necessary information regarding the parties’ rights to object or to appeal, as appropriate under the various whistleblower statutes.” And per the Illinois WIM, Chapter II (E)(1)(k)(2)(a), “the investigator must contact the complainant in order to provide him or her with the opportunity to present any additional evidence deemed relevant. This closing conference may be conducted with the complainant in person or by telephone.”

Observation FY 2019-OB-04: Complaints were not properly processed in accordance with the established policies. In four of the 24 (17%) administratively closed intakes, a

memo to file was not created to document the interview of the complainant and why the complaint was closed. In two of the nine (22%) docketed cases the complaint was closed without contacting the complainant to hold a closing conference or to allow the complainant the opportunity to provide a rebuttal.

Federal Monitoring Plan FY 2019-OB-04: OSHA will discuss and evaluate Illinois OSHA's internal audits conducted in this area during quarterly monitoring meetings.

d) Report of Investigation (ROI)

CONMED prepares a Report of Investigation when the complaint resulted in a full field investigation. Supervisors review all investigation files, sign and date the ROIs and closing letters. Complaints that are closed for settlement are closed in accordance with the streamlined procedures allowing a case summary to be used in lieu of the ROI. The ROI used by CONMED follows the criteria provided in the WIM.

One of four (25%) case file determinations was not supported by the evidence. Two of the ROIs could have gone further in their analysis and testing of the respondent's defense. In two of the four (50%) cases, no closing conference was held with complainants, and one case file was lacking a rebuttal from the complainant. In two case files, supervisors did not sign the ROIs and nothing in the files supported that the supervisor reviewed the files. One case file was dismissed as non-merit, even though no interviews were conducted and a proper rebuttal was not done with the complainant.

e) Secretary's Findings

Illinois OSHA utilizes a Secretary's Findings similar to that contained in the WIM, but this document is titled the "Director's Findings." The Director's Findings provide the respective party their right to appeal the State Plan determination.

One complaint was dismissed as non-merit; however, the closing letter issued was the same letter that is issued for an administratively closed intake. In this instance, a Director's Findings letter should have been used that would have documented the dismissal of the complaint and explained the complainant's right to an appeal. Docketed cases are not closed the same route as administratively closed cases.

f) Settlements

One settlement case was reviewed. The file contained a fully executed copy of the agreement as well as closing letters to the complainant and the respondent. The file contained information regarding how the remedy was determined and agreed to.

g) Case File Management

Three of the four case files had minor organization concerns identified that were not in accordance with the Whistleblower Investigations Manual. The investigator had placed the administrative and evidentiary materials on the wrong side of the file.

Two of the four (50%) case files and two of the 24 (8%) administratively closed intakes did not contain an activity or telephone log as required by the WIM, Chapter 3, "All telephone calls made, messages received, and exchange of written or electronic correspondence during the course of an investigation must be accurately documented in the activity/telephone log." Similar guidance is contained in the Illinois WIM, Chapter II (G)(2)(f), "Case Activity-Telephone log."

During the previous FAME review Finding FY 2018-04 related to medical records that were not identified and sequestered in the case file. In August of 2018, the State Plan took corrective action by conducting employee training and implementing processes to audit the whistleblower files on a regular basis. The four case files and 21 intakes were reviewed with no reoccurrences being identified, and as a result Finding FY 2018-04 is closed.

Observation FY 2019-OB-05: Two of the four (50%) files and two of the 24 (8%) administratively closed intakes did not contain an activity or telephone log as required by the Whistleblower Investigations Manual (WIM), CPL 02-03-005, Chapter 3 and the Illinois Department of Labor Whistleblower Investigation Manual Chapter II (G)(2)(f).

Federal Monitoring Plan FY 2019-OB-05: OSHA will discuss and evaluate Illinois OSHA's internal audits conducted in this area during quarterly monitoring meetings.

h) Timeliness

On average, it took the State Plan 44 days to screen a complaint from the date of filing. In all instances but two, the complainants were contacted and cases were screened within five business days of the complaint being filed.

For docketed cases, it took CONMED an average of 159 days to complete a case. The longest open case was 227 days and the shortest was 98. The Occupational Safety and Health Act of 1970 (OSH Act) states the complainant shall be notified of the case determination within 90 days. However, 29 CFR 1977.16 indicates the deadline is a goal to strive to meet, not a requirement, as delays will occur. Illinois OSHA has experienced continued improvement in the completion time from a high in 2017 of 345 calendar days down to 258 days in 2018 down to a current average of 159 days.

i) Program Management

Dates and information in the case files reviewed were compared to the entries made into the Whistleblower Application, WebIMIS. CONMED entries into WebIMIS include investigation information, party information, determination date and the adverse action date under additional information. All of the reviewed cases and intakes were properly documented in WebIMIS.

j) Resources

CONMED rotated four different investigators, three of which conducted full field investigations. Two of the investigators have attended at least one Whistleblower course, while the four other investigators are scheduled to attend a Whistleblower course in FY 2020. CONMED investigators have also had field on-the-job training with OSHA whistleblower investigators. OSHA has conducted multiple hours of training and assistance to the Illinois CONMED investigative group.

8. COMPLAINT ABOUT STATE PROGRAM ADMINISTRATION (CASPA)

No CASPAs were received regarding Illinois OSHA during FY 2019.

9. VOLUNTARY COMPLIANCE PROGRAM

Illinois OSHA created a Safety and Health Achievement Recognition Program (SHARP) for small state and local government employers in FY 2015, which continued through FY 2019. Illinois OSHA's Annual Performance Goal # 2.2 established a goal to include and award SHARP recognition to five new state and local government employers by FY 2020. In FY 2019, SHARP recognition was awarded to one site. The State Plan is on target to achieve the FY 2020 goal. (Source – FY 2019 State OSHA Annual Report (SOAR))

10. STATE AND LOCAL GOVERNMENT 23(g) ON-SITE CONSULTATION PROGRAM

Illinois OSHA provides consultation services to state and local government employers through the sharing of 21(d) Consultation Program employees. In the annual performance plan for FY 2019, the State Plan 23(g) On-Site Consultation Program projected 15 state and local government consultation visits. In FY 2019, the State Plan conducted 27 total visits, exceeding their goal for the year. The visits consisted of 23 first time initial visits and 26 of the 27 (96%) initial visits were in high hazard establishments. The consultants conferred with employees on all 27 visits. The visits resulted in 68 serious hazards being identified, with 100% of the hazards being corrected in a timely manner. (Source: IL FY 2019 EOY CNS Metrics Report dated November 12, 2019)

Appendix A – New and Continued Findings and Recommendations

FY 2019 Illinois Comprehensive FAME Report

FY 2019-#	Finding	Recommendation	FY 2018-# or FY 2018-OB-#
FY 2019-01	Illinois OSHA conducted only 45% of their planned safety inspections (224 of 500) and 9% of health inspections (17 of 200).	Illinois OSHA should establish a method and strategy for developing the planned inspection goals based on staffing and resources, establishing the projected number of inspections to be conducted and a tracking system to ensure the planned inspection goals are achieved.	FY 2018-02
FY 2019-02	Twenty-seven of the 35 (77%) files with violations, did not contain adequate documentation of the information required to support the violations in accordance with Illinois OSHA FOM, Chapter 3, Paragraph VII, C.	Ensure case files contain all of the necessary information required to support the violations issued in accordance with the Illinois FOM.	FY 2018-OB-03

Appendix B – Observations Subject to New and Continued Monitoring
 FY 2019 Illinois State Plan FAME Report

Observation # FY 2019-OB-#	Observation # FY 2018-OB-# or FY 2018-#	Observation	Federal Monitoring Plan	Current Status
FY 2019-OB-01		In eight (100%) of the fatality inspections reviewed, the investigation summary form narrative lacked sufficient detail and information needed to provide a clear representation of the fatal incident and the factual circumstances surrounding the event.	OSHA will review and discuss fatality investigation summary forms on all new fatality investigations with the State Plan during quarterly monitoring meetings.	New
FY 2019-OB-02	FY 2018-OB-04	Twenty-three of the 35 (66%) files reviewed lacked specificity and clarity in the severity and probability information as to how it was directly associated with the condition addressed in the violation.	OSHA will discuss and evaluate Illinois OSHA’s internal audits conducted in this area during quarterly monitoring meetings.	Continued
FY 2019-OB-03	FY 2018-03	Twenty of the 53 (38%) files reviewed, employee interviews were not properly documented.	OSHA will discuss and evaluate Illinois OSHA’s internal audits conducted in this area during quarterly monitoring meetings.	New
FY 2019-OB-04		Complaints were not properly processed in accordance with the established policies. In four of the 24 (17%) administratively closed intakes, a memo to file was not created to document the interview of the complainant and why the complaint was closed. In two of the nine (22%) docketed cases, the complaint was closed without contacting the complainant to hold a closing conference or to allow the complainant the opportunity to provide a rebuttal.	OSHA will discuss and evaluate Illinois OSHA’s internal audits conducted in this area during quarterly monitoring meetings.	New
FY 2019-OB-05		Two of the four (50%) files and two of the 24 (8%) administratively closed intakes did not contain an activity or telephone log as required by the Whistleblower Investigations Manual (WIM), CPL 02-03-005, Chapter 3 and the Illinois Department of Labor Whistleblower Investigation Manual Chapter II (G)(2)(f).	OSHA will discuss and evaluate Illinois OSHA’s internal audits conducted in this area during quarterly monitoring meetings.	New
	FY 2018-OB-01	In six (30%) of the inquiry complaints reviewed, processing dates entered into OIS did not correspond with case file dates annotated in the case file diary sheets.		Closed

Appendix B – Observations Subject to New and Continued Monitoring
 FY 2019 Illinois State Plan FAME Report

	FY 2018-OB-02	In 17 (31%) of the files reviewed, the inspection opening conference process was not followed as outlined in the Illinois OSHA FOM Chapter 3, Paragraph V, Opening Conference.		Closed
	FY 2018-OB-03	Adequate documentation of the information required to support the violations was not included in 33% (18 of 55) of the files reviewed.	A limited scope review of selected case files will be done to determine if this item was addressed during the next FAME.	Converted to Finding

Appendix C - Status of FY 2018 Findings and Recommendations

FY 2019 Illinois Comprehensive FAME Report

FY 2018-#	Finding	Recommendation	State Plan Response/ Corrective Action	Completion Date (if Applicable)	Current Status (and Date if Not Completed)
FY 2018-01	Inquiry procedures associated with adequate abatement evidence (30% of the files reviewed) were not adhered to in accordance with Chapter 9 of the Illinois OSHA FOM.	Illinois OSHA should ensure inquiry processing procedures are followed, to include appropriate information needed to answer an inquiry from an employer, as outlined in Chapter 9, Paragraph G of the Illinois Field Operations Manual (FOM).	Conducted employee training and reviewed the processing procedures outlined in Chapter 9, Paragraph G of the Illinois OSHA FOM.	August 30, 2018	Completed
FY 2018-02	Illinois OSHA conducted only 31% of the planned safety inspections (157 of 500) and 8% of health inspections (17 of 200).	Illinois OSHA should establish a method and strategy for developing the planned inspection goals based on staffing and resources, establishing the projected number of inspections to be conducted and a tracking system to ensure the planned inspection goals are achieved.	The Illinois Department of Labor has hired three new CSHOs in FY 2019 and has posted job announcements for three more CSHOs. With the addition of six new enforcement staff members, the number of inspections conducted is expected to increase. Progress on inspection goals will continue to be monitored monthly.	Not Completed	Open
FY 2018-03	In 33% (18 of 55) of the files reviewed, employee interviews were not conducted or properly documented as required by Chapter 3 of the Illinois OSHA FOM.	Illinois OSHA should ensure employee interview procedures are followed, to include appropriate documentation of the employee interviews, as outlined in Chapter 3, Paragraph VII of the Illinois OSHA FOM.	Conducted employee training and reviewed the processing procedures outlined in Chapter 3, Paragraph VII of the Illinois OSHA FOM.	August 30, 2018	Converted to Observation

Appendix C - Status of FY 2018 Findings and Recommendations

FY 2019 Illinois Comprehensive FAME Report

FY 2018-04	In 40% (two of five) of the files reviewed, medical records were not identified and sequestered as required per the WIM, CPL 02-03-007 Chapter 3.	Illinois OSHA must provide staff with appropriate training on the rules of agency practice and procedure concerning OSHA access to employee medical records in OSHA Instruction CPL 02-02-072 and ensure employee medical records are identified and sequestered per the WIM, CPL 02-03-007 Ch. 3.	Conducted training for the IDOL Conciliation and Mediation Division and OSHA's Whistleblower Program staff. The training included a review of OSHA Instruction CPL 02-02-072 and WIM, CPL 02-003-007 Chapter 3. Periodic audits of the whistleblower files will be done to ensure proper handling and sequestering of medical files.	August 15, 2019	Completed
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Appendix D - FY 2019 State Activity Mandated Measures (SAMM) Report

FY 2019 Illinois Comprehensive FAME Report

U.S. Department of Labor				
Occupational Safety and Health Administration State Plan Activity Mandated Measures (SAMMs)				
State Plan: Illinois – ILLINOIS OSHA			FY 2019	
SAMM Number	SAMM Name	State Plan Data	Further Review Level	Notes
1a	Average number of work days to initiate complaint inspections (state formula)	5.27	5 days for safety; 10 days for health	The further review level is negotiated by OSHA and the State Plan.
1b	Average number of work days to initiate complaint inspections (federal formula)	2.41	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)	2.45	TBD	The further review level is negotiated by OSHA and the State Plan.
2b	Average number of work days to initiate complaint investigations (federal formula)	0.52	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)	100%	100%	The further review level is fixed for all State Plans.
4	Number of denials where entry not obtained	0	0	The further review level is fixed for all State Plans.

Appendix D - FY 2019 State Activity Mandated Measures (SAMM) Report

FY 2019 Illinois Comprehensive FAME Report

5	Average number of violations per inspection with violations by violation type	SWRU: 2.24	+/- 20% of SWRU: 1.79	The further review level is based on a three-year national average. The range of acceptable data not requiring further review is from 1.43 to 2.15 for SWRU and from 0.78 to 1.16 for OTS.
		Other: 0.21	+/- 20% of Other: 0.97	
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: 224	+/- 5% of S: 500	The further review level is based on a number negotiated by OSHA and the State Plan through the grant application. The range of acceptable data not requiring further review is from 475 to 525 for safety and from 190 to 210 for health.
		H: 17	+/- 5% of H: 200	
8	Average current serious penalty in private sector - total (1 to greater than 250 workers)	N/A	+/- 25% of \$2,871.96	N/A – This is a State and Local Government State Plan. The further review level is based on a three-year national average.
	a. Average current serious penalty in private sector (1-25 workers)	N/A	+/- 25% of \$1,915.86	N/A – This is a State and Local Government State Plan. The further review level is based on a three-year national average.
	b. Average current serious penalty in private sector (26-100 workers)	N/A	+/- 25% of \$3,390.30	N/A – This is a State and Local Government State Plan. The further review level is based on a three-year national average.
	c. Average current serious penalty in private sector (101-250 workers)	N/A	+/- 25% of \$4,803.09	N/A – This is a State and Local Government State Plan. The further review level is based on a three-year national average.

Appendix D - FY 2019 State Activity Mandated Measures (SAMM) Report

FY 2019 Illinois Comprehensive FAME Report

	d. Average current serious penalty in private sector (greater than 250 workers)	N/A	+/- 25% of \$5,938.59	N/A – This is a State and Local Government State Plan. The further review level is based on a three-year national average.
9	Percent in compliance	S: 27.05%	+/- 20% of S: 30.30%	The further review level is based on a three-year national average. The range of acceptable data not requiring further review is from 24.24% to 36.36% for safety and from 28.90% to 43.35% for health.
		H: 56.25%	+/- 20% of H: 36.12%	
10	Percent of work-related fatalities responded to in one workday	100%	100%	The further review level is fixed for all State Plans.
11	Average lapse time	S: 55.34	+/- 20% of S: 47.61	The further review level is based on a three-year national average. The range of acceptable data not requiring further review is from 38.08 to 57.13 for safety and from 45.78 to 68.68 for health.
		H: 58.70	+/- 20% of H: 57.23	
12	Percent penalty retained	100%	+/- 15% of 66.38%	The further review level is based on a three-year national average. The range of acceptable data not requiring further review is from 56.42% to 76.33%.
13	Percent of initial inspections with worker walk around representation or worker interview	100%	100%	The further review level is fixed for all State Plans.
14	Percent of 11(c) investigations completed within 90 days	0%	100%	The further review level is fixed for all State Plans.
15	Percent of 11(c) complaints that are meritorious	40%	+/- 20% of 23%	The further review level is based on a three-year national average. The range of acceptable data not requiring further review is from 18.40% to 27.60%.
16	Average number of calendar days to complete an 11(c) investigation	159	90	The further review level is fixed for all State Plans.

Appendix D - FY 2019 State Activity Mandated Measures (SAMM) Report

FY 2019 Illinois Comprehensive FAME Report

17	Percent of enforcement presence	N/A	+/- 25% of 1.23%	N/A – This is a State and Local Government State Plan and is not held to this SAMM. The further review level is based on a three-year national average.
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NOTE: The national averages in this report are three-year rolling averages. Unless otherwise noted, the data contained in this Appendix D is pulled from the State Activity Mandated Measures (SAMM) Report in OIS and the State Plan WebIMIS report run on November 12, 2019, as part of OSHA's official end-of-year data run.

Appendix E - FY 2017 State OSHA Annual Report (SOAR)

FY 2017 Illinois Comprehensive FAME Report

ILLINOIS DEPARTMENT OF LABOR

STATE OF ILLINOIS

ILLINOIS OSHA

FY 2019 State OSHA Annual Report (SOAR)

October 1, 2018 through September 30, 2019

Michael D. Kleinik
Director

JB Pritzker
Governor



DECEMBER 2019

**ILLINOIS DEPARTMENT OF LABOR STATE PLAN FY 2019 STATE OSHA ANNUAL
REPORT**

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EXECUTIVE SUMMARY

The Illinois Department of Labor (IDOL) Illinois OSHA Division submits this State OSHA Annual Report (SOAR) to the Federal Occupational Safety and Health Administration (OSHA) for evaluation of the State program. The SOAR covers activity from October 1, 2018 through September 30, 2019. This submission is in accordance with the State Plan Policies and Procedures Manual dated September 22, 2015.

During FY 2019, Illinois OSHA continued to improve processes, policies and procedures to ensure that the program met performance goals. The following summary of Illinois OSHA's FY 2019 Annual Performance Goals details Illinois OSHA's progress toward meeting all grant requirements and fostering safe and healthful workplaces for all Illinois public-sector employees.

STATE PLAN OVERVIEW

IDOL – Illinois OSHA operates a public-sector-only OSHA developmental state program. The Director of Illinois OSHA administers the Illinois State Plan under the leadership of the Director of IDOL. Illinois OSHA enforces safety and health standards in public-sector workplaces, provides public-sector consultation services, investigates public-sector occupational safety and health whistleblower complaints, adopts “at least as effective as Federal OSHA standards” and provides public-sector outreach services. In Illinois, the U.S. Department of Labor, Occupational Safety and Health Administration enforces private-sector safety and health standards.

Safety and health inspectors conduct public-sector enforcement activities. Each inspector conducts Programmed Planned Inspections (PPIs), responds to worker complaints and investigates serious accidents, including fatalities. Illinois OSHA ensures employee participation and offers compliance assistance throughout every inspection. A strong enforcement presence establishes an effective deterrent for public-sector employers who fail to meet their occupational safety and health responsibilities.

Consultation services, partnerships, and alliances enable state and local government employers to initiate a proactive approach to improving their safety and health management programs and eliminate hazards in their workplaces. Illinois OSHA consultants assist Illinois public-sector employers in establishing quality safety and health programs, preventing occupational deaths, injuries and illnesses, identifying and eliminating workplace hazards and interpreting the Illinois Occupational Safety and Health Act and OSHA standards. The consultants note any workplace hazards without issuing citations, penalties or enforcement actions. Illinois OSHA created a Safety and Health Achievement Recognition Program (SHARP) for small public-sector employers in FY 2015, which will continue through FY 2020.

Illinois OSHA’s Whistleblower Investigation Program is parallel to section 11(c) of the OSH Act, with policies and procedures for occupational safety and health whistleblower protection at least as effective as the Federal 11(c) policies. Illinois OSHA and the IDOL Conciliation and Mediation Division (Con/Med) executed a memorandum of understanding (MOU) to allow Con/Med Labor Conciliators to handle Illinois OSHA whistleblower complaints. The Labor Conciliators bring expertise in whistleblower complaint investigations pursuant to other acts under their enforcement authority. This MOU allows uninterrupted service to all whistleblower complainants and allows Illinois OSHA inspectors to remain focused on safety and health inspections. The MOU does not affect the legal authority to investigate workplace retaliation or whistleblower complaints under state law. The Illinois State Plan and all its regulations remain in effect.

SUMMARY OF ANNUAL PERFORMANCE PLAN RESULTS

Strategic Goal #1: Improve workplace safety and health for all public-sector employees as evidenced by fewer hazards, reduced exposures and fewer injuries, illnesses and deaths.																	
Annual Performance Goal # 1.1	Reduce the number of worker injuries and illnesses by focusing statewide attention and resources on the most prevalent types of injuries and illnesses in the most hazardous public-sector occupations and workplaces.																
Strategy	Decrease injury and illness rates in state, county and/or local agencies in the specific NAICS segments by two percent by FY 2020. 1.1 State Support Activities for Transportation (NAICS 488) OSHA Directive: CPL 02-01-054, Inspection and Citation Guidance for Roadway and Highway Construction Work Zones																
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	Activity Measure: <ul style="list-style-type: none"> • 15 inspections conducted in targeted NAICS • 1 public-sector consultation visit conducted in targeted NAICS • 1 outreach/training and education seminar conducted in targeted NAICS • 75 marketing materials distributed Intermediate Outcome Measures: <ul style="list-style-type: none"> • Each year, track and document targeted NAICS BLS total recordable case data. Evaluate decrease in total recordable cases by 0.4% each year. Primary Outcome Measures: <ul style="list-style-type: none"> • Decrease injury and illness rates (total recordable cases) in state, county and/or local agencies in the specific NAICS segments by 2% by FY 2020. 																
FY 2019 Results	<ul style="list-style-type: none"> • 15 inspections conducted • 2 public-sector consultation visits conducted • 1 outreach/training and education seminars conducted • 721 outreach materials distributed 																
Conclusion	Illinois OSHA met all activity measures for FY 2019. Averaged 2015, 2016, 2017 & 2018 BLS data revealed an 8% increase in total recordable cases. <table border="1" style="margin: 10px auto; border-collapse: collapse; text-align: center;"> <tr> <td style="padding: 5px;">BASELINE</td> <td style="padding: 5px;">FY 2020 TARGET</td> </tr> <tr> <td style="padding: 5px;">7.3 Total Recordable Cases (TRC) (averaged BLS 2009-2012 for NAICS 488)</td> <td style="padding: 5px;">2% Reduction in TRC</td> </tr> </table> <table border="1" style="margin: 10px auto; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="padding: 5px;">FY 2016 RESULTS</th> <th style="padding: 5px;">FY 2017 RESULTS</th> <th style="padding: 5px;">FY 2018 RESULTS</th> <th style="padding: 5px;">FY 2019 RESULTS</th> <th style="padding: 5px;">AVG</th> <th style="padding: 5px;">OVERALL % CHANGE</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">7.7 2015 TRC BLS Data</td> <td style="padding: 5px;">6.6 2016 TRC BLS Data</td> <td style="padding: 5px;">8.9 2017 TRC BLS Data*</td> <td style="padding: 5px;">8.4 2018 TRC BLS Data*</td> <td style="padding: 5px;">7.9</td> <td style="padding: 5px;">8% Increase in TRC</td> </tr> </tbody> </table>	BASELINE	FY 2020 TARGET	7.3 Total Recordable Cases (TRC) (averaged BLS 2009-2012 for NAICS 488)	2% Reduction in TRC	FY 2016 RESULTS	FY 2017 RESULTS	FY 2018 RESULTS	FY 2019 RESULTS	AVG	OVERALL % CHANGE	7.7 2015 TRC BLS Data	6.6 2016 TRC BLS Data	8.9 2017 TRC BLS Data*	8.4 2018 TRC BLS Data*	7.9	8% Increase in TRC
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*2017 & 2018 BLS data for this NAICS did not meet BLS standard publication data criteria.

SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 1.2	Reduce the number of worker injuries and illnesses by focusing statewide attention and resources on the most prevalent types of injuries and illnesses in the most hazardous public occupations and workplaces.																
Strategy	<p>Decrease injury and illness rates in state, county and/or local agencies in the specific NAICS segments by two percent by FY 2020.</p> <p>1.2 State Nursing and Residential Care Facilities (NAICS 623)</p> <p>OSHA Directive: CPL 02-01-052, Enforcement Procedures for Investigating or Inspecting Workplace Violence Incidents</p>																
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	<p>Activity Measure:</p> <ul style="list-style-type: none"> • 1 inspection conducted in targeted NAICS • 42 marketing materials distributed <p>Intermediate Outcome Measures:</p> <ul style="list-style-type: none"> • Each year, track and document targeted NAICS BLS total recordable case data. Evaluate decrease in total recordable cases by 0.4% each year. <p>Primary Outcome Measures:</p> <ul style="list-style-type: none"> • Decrease injury and illness rates (total recordable cases) in state, county and/or local agencies in the specific NAICS segments by 2% by FY 2020. 																
FY 2019 Results	<ul style="list-style-type: none"> • 2 inspections conducted • 44 marketing materials were distributed 																
Conclusion	<p>Illinois OSHA met activity measures for FY 2019.</p> <p>Averaged 2015, 2016, 2017 & 2018 BLS data revealed an 8% reduction in total recordable cases.</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <tr> <td style="text-align: center;">BASELINE</td> <td style="text-align: center;">FY 2020 TARGET</td> </tr> <tr> <td style="text-align: center;">13.2 Total Recordable Cases (TRC) (averaged BLS 2009-2012 for NAICS 623)</td> <td style="text-align: center;">2% Reduction in TRC</td> </tr> </table> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="text-align: center;">FY 2016 RESULTS</th> <th style="text-align: center;">FY 2017 RESULTS</th> <th style="text-align: center;">FY 2018 RESULTS</th> <th style="text-align: center;">FY 2019 RESULTS</th> <th style="text-align: center;">AVG</th> <th style="text-align: center;">OVERALL % CHANGE</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">12 2015 TRC BLS Data</td> <td style="text-align: center;">13.7 2016 TRC BLS Data</td> <td style="text-align: center;">10.9 2017 TRC BLS Data</td> <td style="text-align: center;">11.9 2018 TRC BLS Data</td> <td style="text-align: center;">12.1</td> <td style="text-align: center;">8% Reduction in TRC</td> </tr> </tbody> </table>	BASELINE	FY 2020 TARGET	13.2 Total Recordable Cases (TRC) (averaged BLS 2009-2012 for NAICS 623)	2% Reduction in TRC	FY 2016 RESULTS	FY 2017 RESULTS	FY 2018 RESULTS	FY 2019 RESULTS	AVG	OVERALL % CHANGE	12 2015 TRC BLS Data	13.7 2016 TRC BLS Data	10.9 2017 TRC BLS Data	11.9 2018 TRC BLS Data	12.1	8% Reduction in TRC
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SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 1.3	Reduce the number of worker injuries and illnesses by focusing statewide attention and resources on the most prevalent types of injuries and illnesses in the most hazardous public occupations and workplaces.																
Strategy	Decrease injury and illness rates in state, county and/or local agencies in the specific NAICS segments by two percent by FY 2020. 1.3 Local Fire Protection (NAICS 92216)																
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	<p>Activity Measure:</p> <ul style="list-style-type: none"> • 65 inspections conducted in targeted NAICS • 2 public-sector consultation visits conducted in targeted NAICS • 1 outreach/training and education seminar conducted in targeted NAICS • 75 marketing materials distributed • 1 alliance/partnership established <p>Intermediate Outcome Measures:</p> <ul style="list-style-type: none"> • Each year, track and document targeted NAICS BLS total recordable case data. Evaluate decrease in total recordable cases by 0.4% each year. <p>Primary Outcome Measures:</p> <ul style="list-style-type: none"> • Decrease injury and illness rates (total recordable cases) in state, county and/or local agencies in the specific NAICS segments by 2% by FY 2020. 																
FY 2019 Results	<ul style="list-style-type: none"> • 75 inspections conducted • 6 public-sector consultation visits conducted • 3 outreach/training and education seminars conducted • 3,446 marketing materials distributed • 1 alliance established 																
Conclusion	<p>Illinois OSHA met the activity measures for FY 2019.</p> <p>Averaged 2015, 2016, 2017 & 2018 BLS data revealed a 2% reduction in total recordable cases.</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center;"> <tr> <td style="padding: 5px;">BASELINE</td> <td style="padding: 5px;">FY 2020 TARGET</td> </tr> <tr> <td style="padding: 5px;">10.6 Total Recordable Cases (TRC) <small>(averaged BLS 2009-2012 for NAICS 92216)</small></td> <td style="padding: 5px;">2% Reduction in TRC</td> </tr> </table> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center; width: 80%;"> <thead> <tr> <th style="padding: 5px;">FY 2016 RESULTS</th> <th style="padding: 5px;">FY 2017 RESULTS</th> <th style="padding: 5px;">FY 2018 RESULTS</th> <th style="padding: 5px;">FY 2019 RESULTS</th> <th style="padding: 5px;">AVG</th> <th style="padding: 5px;">OVERALL % CHANGE</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">9.5 2015 TRC BLS Data</td> <td style="padding: 5px;">9.5 2016 TRC BLS Data</td> <td style="padding: 5px;">11.8 2017 TRC BLS Data*</td> <td style="padding: 5px;">10.5 2018 TRC BLS Data</td> <td style="padding: 5px;">10.3</td> <td style="padding: 5px;">2% Reduction in TRC</td> </tr> </tbody> </table> <p style="font-size: small; margin-top: 5px;">*2017 and 2018 BLS data for this NAICS did not meet BLS standard publication data criteria.</p>	BASELINE	FY 2020 TARGET	10.6 Total Recordable Cases (TRC) <small>(averaged BLS 2009-2012 for NAICS 92216)</small>	2% Reduction in TRC	FY 2016 RESULTS	FY 2017 RESULTS	FY 2018 RESULTS	FY 2019 RESULTS	AVG	OVERALL % CHANGE	9.5 2015 TRC BLS Data	9.5 2016 TRC BLS Data	11.8 2017 TRC BLS Data*	10.5 2018 TRC BLS Data	10.3	2% Reduction in TRC
BASELINE	FY 2020 TARGET																
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SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 1.4	Reduce the number of worker injuries and illnesses by focusing statewide attention and resources on the most prevalent types of injuries and illnesses in the most hazardous public occupations and workplaces.																
Strategy	<p>Decrease injury and illness rates in state, county and/or local agencies in the specific NAICS segments by two percent by FY 2020.</p> <p>1.4 Departments of Public Works (NAICS 926120)</p>																
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	<p>Activity Measures:</p> <ul style="list-style-type: none"> • 65 inspections conducted in targeted NAICS • 2 public-sector consultation visits conducted in targeted NAICS • 1 outreach/training and education seminar conducted in targeted NAICS • 75 marketing materials distributed <p>Intermediate Outcome Measures:</p> <ul style="list-style-type: none"> • Each year, track and document targeted NAICS BLS total recordable case data. Evaluate decrease in total recordable cases by 0.4% each year. <p>Primary Outcome Measures:</p> <ul style="list-style-type: none"> • Decrease injury and illness rates (total recordable cases) in state, county and/or local agencies in the specific NAICS segments by 2% by FY 2020. 																
FY 2019 Results	<ul style="list-style-type: none"> • 77 inspections conducted • 8 public-sector consultation visits conducted • 1 outreach/training and education seminars conducted • 3,649 marketing materials distributed 																
Conclusion	<p>Illinois OSHA met most of the activity measures for FY 2019.</p> <p>Averaged 2015, 2016, 2017 & 2018 BLS data revealed a 14% reduction in total recordable cases.</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center;"> <tr> <td style="padding: 5px;">BASELINE</td> <td style="padding: 5px;">FY 2020 TARGET</td> </tr> <tr> <td style="padding: 5px;">7.7 Total Recordable Cases (TRC) <small>(averaged BLS 2009-2012 for NAICS 926120)</small></td> <td style="padding: 5px;">2% Reduction in TRC</td> </tr> </table> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="padding: 5px;">FY 2016 RESULTS</th> <th style="padding: 5px;">FY 2017 RESULTS</th> <th style="padding: 5px;">FY 2018 RESULTS</th> <th style="padding: 5px;">FY 2019 RESULTS</th> <th style="padding: 5px;">AVG</th> <th style="padding: 5px;">OVERALL % CHANGE</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">7.0 2015 TRC BLS Data</td> <td style="padding: 5px;">6.4 2016 TRC BLS Data</td> <td style="padding: 5px;">6.5 2017 TRC BLS Data</td> <td style="padding: 5px;">6.5 2018 TRC BLS Data</td> <td style="padding: 5px;">6.6</td> <td style="padding: 5px;">14% Reduction in TRC</td> </tr> </tbody> </table>	BASELINE	FY 2020 TARGET	7.7 Total Recordable Cases (TRC) <small>(averaged BLS 2009-2012 for NAICS 926120)</small>	2% Reduction in TRC	FY 2016 RESULTS	FY 2017 RESULTS	FY 2018 RESULTS	FY 2019 RESULTS	AVG	OVERALL % CHANGE	7.0 2015 TRC BLS Data	6.4 2016 TRC BLS Data	6.5 2017 TRC BLS Data	6.5 2018 TRC BLS Data	6.6	14% Reduction in TRC
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SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 1.5	Reduce the number of worker injuries and illnesses by focusing statewide attention and resources on the most prevalent types of injuries and illnesses in the most hazardous public occupations and workplaces.																
Strategy	<p>Decrease injury and illness rates in state, county and/or local agencies in the specific NAICS segments by two percent by FY 2020.</p> <p>1.5 Water and Sewage Treatment Facilities (NAICS 2213)</p>																
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	<p>Activity Measure:</p> <ul style="list-style-type: none"> • 26 inspections conducted in targeted NAICS • 1 public-sector consultation visit conducted in targeted NAICS • 75 marketing materials distributed <p>Intermediate Outcome Measures:</p> <ul style="list-style-type: none"> • Each year, track and document targeted NAICS BLS total recordable case data. Evaluate decrease in total recordable cases by 0.4% each year. <p>Primary Outcome Measures:</p> <ul style="list-style-type: none"> • Decrease injury and illness rates (total recordable cases) in state, county and/or local agencies in the specific NAICS segments by 2% by FY 2020. 																
FY 2019 Results	<ul style="list-style-type: none"> • 39 inspections conducted • 2 public-sector consultation visits conducted • 1,351 marketing materials distributed 																
Conclusion	<p>Illinois OSHA met all activity measures for FY 2019.</p> <p>Averaged 2015, 2016, 2017 & 2018 BLS data revealed an 8% reduction in total recordable cases</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <tr> <td style="text-align: center;">BASELINE</td> <td style="text-align: center;">FY 2020 TARGET</td> </tr> <tr> <td style="text-align: center;">6.2 Total Recordable Cases (TRC) <small>(averaged BLS 2009-2012 for NAICS 2213)</small></td> <td style="text-align: center;">2% Reduction in TRC</td> </tr> </table> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="text-align: center;">FY 2016 RESULTS</th> <th style="text-align: center;">FY 2017 RESULTS</th> <th style="text-align: center;">FY 2018 RESULTS</th> <th style="text-align: center;">FY 2019 RESULTS</th> <th style="text-align: center;">AVG</th> <th style="text-align: center;">OVERALL % CHANGE</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">6.2 2015 TRC BLS Data</td> <td style="text-align: center;">5.3 2016 TRC BLS Data</td> <td style="text-align: center;">5.4 2017 TRC BLS Data</td> <td style="text-align: center;">5.8 2018 TRC BLS Data</td> <td style="text-align: center;">5.7</td> <td style="text-align: center;">8% Reduction in TRC</td> </tr> </tbody> </table>	BASELINE	FY 2020 TARGET	6.2 Total Recordable Cases (TRC) <small>(averaged BLS 2009-2012 for NAICS 2213)</small>	2% Reduction in TRC	FY 2016 RESULTS	FY 2017 RESULTS	FY 2018 RESULTS	FY 2019 RESULTS	AVG	OVERALL % CHANGE	6.2 2015 TRC BLS Data	5.3 2016 TRC BLS Data	5.4 2017 TRC BLS Data	5.8 2018 TRC BLS Data	5.7	8% Reduction in TRC
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SUMMARY OF ANNUAL PERFORMANCE GOALS

Strategic Goal #2 To promote safety and health values in public-sector workplaces in Illinois.																	
Annual Performance Goal # 2.1	To promote public-sector employer and employee awareness of, commitment to, and active participation in safety and health.																
Strategy	Performance Goal 2.1 2.1 100% of Illinois OSHA activities will include employee involvement.																
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	Activity Measures: <u>Enforcement</u> <ul style="list-style-type: none"> • 700 inspections conducted • 700 inspections conducted where employees were conferred with <u>Consultation</u> <ul style="list-style-type: none"> • 15 public-sector consultation visits conducted • 15 public-sector consultation visits conducted where employees were conferred with • 3 compliance assistance activities (outreach, seminars, etc.) where employees were targeted/involved Intermediate Outcome Measures: <ul style="list-style-type: none"> • Use OSHA’s OIS database management system to track and verify 100% of Illinois OSHA activities will include employee involvement. 																
FY 2019 Results	<u>Enforcement</u> <ul style="list-style-type: none"> • 241 inspections conducted. • 241 (100%) inspections conducted where employees were consulted with <u>Consultation</u> <ul style="list-style-type: none"> • 27 public-sector visits conducted • 27 (100%) public-sector visits conducted where employees were consulted with • 11 compliance assistance activities where employees were targeted/involved 																
Conclusion	Illinois OSHA met this performance goal for FY 2019. <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="padding: 5px;">BASELINE</th> <th style="padding: 5px;">FY 2019 TARGET</th> <th style="padding: 5px;">FY 2019 RESULTS</th> <th style="padding: 5px;">% MET</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px; text-align: left;">100% of Illinois OSHA Enforcement and Consultation activities will include employee involvement.</td> <td style="padding: 5px;">241 Inspections conducted</td> <td style="padding: 5px;">241 Inspections included employee involvement</td> <td style="padding: 5px;">100%</td> </tr> <tr> <td style="padding: 5px;"></td> <td style="padding: 5px;">27 Consultations conducted</td> <td style="padding: 5px;">27 Consultations included employee involvement</td> <td style="padding: 5px;">100%</td> </tr> <tr> <td style="padding: 5px;"></td> <td style="padding: 5px;">11 Compliance assistance activities</td> <td style="padding: 5px;">11 Compliance assistance activities included employee involvement</td> <td style="padding: 5px;">100%</td> </tr> </tbody> </table>	BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET	100% of Illinois OSHA Enforcement and Consultation activities will include employee involvement.	241 Inspections conducted	241 Inspections included employee involvement	100%		27 Consultations conducted	27 Consultations included employee involvement	100%		11 Compliance assistance activities	11 Compliance assistance activities included employee involvement	100%
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SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 2.2	To promote public-sector employer and employee awareness of, commitment to, and active participation in safety and health.								
Strategy	Performance Goal 2.2 2.2 Award Safety and Health Achievement Recognition (SHARP) to five new public-sector worksites by FY 2020. Recognize other outstanding contributions to worker safety and health.								
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	Activity Measures: <ul style="list-style-type: none"> • One new public-sector Safety and Health Achievement Recognitions awarded Intermediate Outcome Measures: <ul style="list-style-type: none"> • Two new public-sector Safety and Health Achievement Recognitions awarded in FY 2019 & FY 2020. Primary Outcome Measures: <ul style="list-style-type: none"> • Award Safety and Health Achievement Recognitions to five new public-sector worksites by 2020. 								
FY 2019 Results	One new public-sector SHARP were awarded.								
Conclusion	Illinois OSHA met this performance goal for FY 2019. <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;">BASELINE</th> <th style="text-align: center;">FY 2019 TARGET</th> <th style="text-align: center;">FY 2019 RESULTS</th> <th style="text-align: center;">% MET</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Award Safety and Health Achievement Recognition (SHARP) to one new public-sector worksites per year.</td> <td style="text-align: center;">1</td> <td style="text-align: center;">1</td> <td style="text-align: center;">100%</td> </tr> </tbody> </table>	BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET	Award Safety and Health Achievement Recognition (SHARP) to one new public-sector worksites per year.	1	1	100%
BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET						
Award Safety and Health Achievement Recognition (SHARP) to one new public-sector worksites per year.	1	1	100%						

SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 2.3	To promote public-sector employer and employee awareness of, commitment to, and active participation in safety and health.										
Strategy	Performance Goal 2.3 2.3 100% of Illinois OSHA’s public-sector initial consultation visits will include site-specific recommendations to improve the safety and health program management system at that facility.										
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	Activity Measures: Consultation Activities <ul style="list-style-type: none"> • 15 public-sector consultation visits conducted will include site specific recommendations to improve safety and health program management systems Intermediate Outcome Measures: <ul style="list-style-type: none"> • Use OSHA’s OIS Database Management system to track and verify 100% of Illinois OSHA’s public-sector consultation visits will include site-specific recommendations to improve the safety and health program management system at that facility. Primary Outcome Measures: <ul style="list-style-type: none"> • 100% of Illinois OSHA’s public-sector consultation visits will include site-specific recommendations to improve the safety and health program management system at that facility. 										
FY 2019 Results	<ul style="list-style-type: none"> • 27 public-sector consultation visits conducted • 100% of public-sector initial consultation visits conducted included site-specific recommendations to improve safety and health program management systems. 										
Conclusion	Illinois OSHA met this performance goal for FY 2019. <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;">BASELINE</th> <th style="text-align: center;">FY 2019 TARGET</th> <th style="text-align: center;">FY 2019 RESULTS</th> <th style="text-align: center;">% MET</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">100% of public-sector consultation visits conducted included site-specific recommendations to improve safety and health program management.</td> <td style="text-align: center;">27 consultation visits conducted</td> <td style="text-align: center;">27 consultation visits included site-specific recommendations</td> <td style="text-align: center;">100%</td> </tr> </tbody> </table>			BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET	100% of public-sector consultation visits conducted included site-specific recommendations to improve safety and health program management.	27 consultation visits conducted	27 consultation visits included site-specific recommendations	100%
BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET								
100% of public-sector consultation visits conducted included site-specific recommendations to improve safety and health program management.	27 consultation visits conducted	27 consultation visits included site-specific recommendations	100%								

SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 2.4	To promote public-sector employer and employee awareness of, commitment to, and active participation in safety and health.								
Strategy	Performance Goal 2.4 2.4 Conduct compliance assistance activities for high-hazard industry organizations/groups concerning the hazards of relevant National Emphasis Programs (NEPs) and OSHA Directives and promoting Illinois OSHA’s On-Site Consultation services.								
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	Activity Measures: <u>Consultation Activities</u> <ul style="list-style-type: none"> • Number of activities for high-hazard industry groups where NEPs and OSHA Directives and public-sector consultation services are promoted including 488, 926120, 2213, 92216. Intermediate Outcome Measures: <ul style="list-style-type: none"> • Use OSHA’s OIS database management system to track compliance assistance activities for high-hazard industry organizations/groups concerning the hazards of relevant NEPs and OSHA Directives and promoting Illinois OSHA’s On-Site Consultation services. Increase compliance assistance activities by a minimum of one each year. Primary Outcome Measures: <ul style="list-style-type: none"> • Conduct compliance assistance activities for high-hazard industry organizations/groups concerning the hazards of relevant NEPs and OSHA Directives and promoting Illinois OSHA’s On-Site Consultation services. Increase compliance assistance activities by a minimum of one each year for 								
FY 2019 Results	Ten compliance assistance activities performed (see detailed list on page 20).								
Conclusion	Illinois OSHA met this performance goal for FY 2019. <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: left;">BASELINE</th> <th style="text-align: center;">FY 2019 TARGET</th> <th style="text-align: center;">FY 2019 RESULTS</th> <th style="text-align: center;">% MET</th> </tr> </thead> <tbody> <tr> <td style="text-align: left;"> Illinois OSHA will use FY 2015 as a baseline and will increase compliance assistance activities by a minimum of one each year for a total of 12 by FY 2020. FY 2015 = 7 FY 2016 = 8 FY 2017 = 9 FY 2018 = 10 FY 2019 = 11 </td> <td style="text-align: center; vertical-align: middle;">11</td> <td style="text-align: center; vertical-align: middle;">11</td> <td style="text-align: center; vertical-align: middle;">100%</td> </tr> </tbody> </table>	BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET	Illinois OSHA will use FY 2015 as a baseline and will increase compliance assistance activities by a minimum of one each year for a total of 12 by FY 2020. FY 2015 = 7 FY 2016 = 8 FY 2017 = 9 FY 2018 = 10 FY 2019 = 11	11	11	100%
BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET						
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SUMMARY OF ANNUAL PERFORMANCE GOALS

<p>Strategic Goal #3 To generate public confidence through excellence in the development and delivery of Illinois OSHA’s programs and services.</p>	
<p>Annual Performance Goal # 3.1</p>	<p>Respond to legal mandates (adoptions) so that Illinois public-sector workers are provided full protection under the Occupational Safety and Health Act. Increase and improve the number of frontline contacts with appropriate agencies, organizations and services that involve the public sector.</p>
<p>Strategy</p>	<p>Performance Goal 3.1</p> <p>3.1 Investigate 100% of events that result in the death or in-patient hospitalization of one or more employees or an employee’s amputation or an employee’s loss of an eye, as a result of a work-related incident of a public-sector employee within 24 hours.</p>
<p>Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)</p>	<p>Activity Measures:</p> <ul style="list-style-type: none"> • Number of fatalities, in-patient hospitalizations, amputations, or loss of eye(s) as a result of a work-related incident. • Number of fatalities, in-patient hospitalizations, amputations, or loss of eye(s) as a result of a work-related incidents investigated within one working day of notification. • Number of fatalities, in-patient hospitalizations, amputations, or loss of eye(s) as a result of a work-related incidents that are under NEPs. <p>Intermediate Outcome Measures:</p> <ul style="list-style-type: none"> • Use OSHA’s OIS database management system to track 100% of events that result in the death or in-patient hospitalization of one or more employees or an employee’s amputation or an employee’s loss of an eye, as a result of a work-related incident of a public-sector employee are investigated within 24 hours. <p>Primary Outcome Measures:</p> <ul style="list-style-type: none"> • Investigate 100% of events that result in the death or in-patient hospitalization of one or more employees or an employee’s amputation or an employee’s loss of an eye, as a result of a work-related incident of a public-sector employee
<p>FY 2019 Results</p>	<p>Through a partnership with the Illinois Emergency Management Agency (IEMA), Illinois OSHA offers a 24-hour, seven days per week answering service which affords Illinois OSHA the ability to respond expeditiously to fatal events or catastrophes at all times.</p> <ul style="list-style-type: none"> • 30 fatalities/catastrophes received • 30 fatalities/catastrophes investigated within one working day of notification.

SUMMARY OF ANNUAL PERFORMANCE GOALS

Conclusion	Illinois OSHA met this performance goal for FY 2019.			
	BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET
	Initiate inspections of fatal incidents and catastrophes within one working day of notification.	30 FAT/CATs received	30 FAT/CATs investigated within one day.	100% Within one working day

SUMMARY OF ANNUAL PERFORMANCE GOALS

<p>Annual Performance Goal # 3.2</p>	<p>Respond to legal mandates (adoptions) so that Illinois public-sector workers are provided full protection under the Occupational Safety and Health Act. Increase and improve the number of frontline contacts with appropriate agencies, organizations and services that involve the public sector.</p>
<p>Strategy</p>	<p>Performance Goal 3.2</p> <p>3.2 A. Safety – Initiate 100% of safety complaint inspections within five days of notification.</p> <p>B. Health – Initiate 95% of health complaint inspections within five days of notification, excluding indoor air quality and sanitation issues.</p>
<p>Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)</p>	<p>Activity Measures</p> <p><u>Safety</u></p> <ul style="list-style-type: none"> • Number of safety complaints received • Number of safety complaint inspections initiated within five days • Number of safety complaints under NEPs <p><u>Health</u></p> <ul style="list-style-type: none"> • Number of health complaints received (non-indoor air quality or sanitation) • Number of health complaint inspections (non-indoor air quality or sanitation) initiated within five days. <p>Intermediate Outcome Measures:</p> <ul style="list-style-type: none"> • Use OSHA’s OIS database management system to track 100% of safety complaint inspections and 95% of health complaint inspections are initiated within five days of notification. <p>Primary Outcome Measures:</p> <ul style="list-style-type: none"> • Safety – Initiate 100% of safety complaint inspections within five days of notification. • Health – Initiate 95% of health complaint inspections within five days of notification, excluding indoor air quality and sanitation issues.
<p>FY 2019 Results</p>	<p>In FY 2019, a total of 195 safety and health complaints were received, 37 of them warranted an inspection.</p> <p><u>Safety</u></p> <ul style="list-style-type: none"> • 83 safety complaints received • 21 of the 83 safety complaints received warranted an inspection. In FY 2019 it took an average of 5 days to initiate an inspection. <p><u>Health</u></p> <ul style="list-style-type: none"> • 112 health complaints received • 16 of the 112 health complaints received warranted an inspection. In FY 2019 it took an average of 5.27 days to initiate an inspection.

SUMMARY OF ANNUAL PERFORMANCE GOALS

Conclusion	Illinois OSHA met this performance goal for FY 2019.			
	BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET
	Safety – Initiate 100% of safety complaint inspections within five days of notification.	21 Safety complaints received	21 Investigated within an average of 5 days.	100% Investigated within five days
	Health – Initiate 95% of health complaint inspections within five days of notification, excluding indoor air quality and sanitation issues.	16 Health complaints received	16 Investigated within an average of 5.27 days	95% Investigated within five days

SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 3.3	Respond to legal mandates (adoptions) so that Illinois public-sector workers are provided full protection under the Occupational Safety and Health Act. Increase and improve the number of frontline contacts with appropriate agencies, organizations and services that involve the public sector.								
Strategy	Performance Goal 3.3 3.3 To survey customer satisfaction rates for public-sector consultation visits and ensure that 90% of the services are rated four or higher on a scale of one to five, with five being the most effective. This shows the effectiveness of the program and services from the consumer perspective.								
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	Activity Measures <ul style="list-style-type: none"> • Number of public-sector consultation visits conducted • Number of survey responses received where employer rated the consultation visit as highly effective (score of four or higher, on a scale of one to five with five being the most effective). Intermediate Outcome Measures: <ul style="list-style-type: none"> • Consultation Supervisors will send public-sector employers a survey after each consultation visit. All surveys received will be reviewed by the Supervisor to verify a score of four or higher, on a scale of one to five with five being the most effective has been achieved. Primary Outcome Measures: <ul style="list-style-type: none"> • To survey customer satisfaction rates for consultation visits in the public sector and ensure that 90% of the services are rated four or higher on a scale of one to five, with five being the most effective. This shows the effectiveness of the program and services from the consumer perspective. 								
FY 2019 Results	<ul style="list-style-type: none"> • 27 public-sector consultation visits conducted • 27 public-sector surveys sent. Five were returned and all had a score of four or higher 								
Conclusion	Illinois OSHA met this performance goal for FY 2019. <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;">BASELINE</th> <th style="text-align: center;">FY 2019 TARGET</th> <th style="text-align: center;">FY 2019 RESULTS</th> <th style="text-align: center;">% MET</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Customer satisfaction surveys for consultation visits in the public sector are rated four or higher.</td> <td style="text-align: center;">5 consultation surveys received</td> <td style="text-align: center;">5 scored four or higher</td> <td style="text-align: center;">100% scored four or higher</td> </tr> </tbody> </table>	BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET	Customer satisfaction surveys for consultation visits in the public sector are rated four or higher.	5 consultation surveys received	5 scored four or higher	100% scored four or higher
BASELINE	FY 2019 TARGET	FY 2019 RESULTS	% MET						
Customer satisfaction surveys for consultation visits in the public sector are rated four or higher.	5 consultation surveys received	5 scored four or higher	100% scored four or higher						

SUMMARY OF ANNUAL PERFORMANCE GOALS

Annual Performance Goal # 3.4	Respond to legal mandates (adoptions) so that Illinois public-sector-workers are provided full protection under the Occupational Safety and Health Act. Increase and improve the number of frontline contacts with appropriate agencies, organizations and services that involve the public sector.								
Strategy	Performance Goal 3.4 3.4 Each year, increase the number of compliance assistance activities (i.e. direct mailings, advertising, newsletters, etc.) conducted or distributed in the public sector.								
Performance Indicator(s) (including activity, intermediate outcome, and primary outcome measures)	Activity Measures <ul style="list-style-type: none"> Number of compliance assistance activities conducted/distributed (i.e. direct mailings, hazard alerts, newsletters) Intermediate Outcome Measures: <ul style="list-style-type: none"> Use OSHA’s OIS database management system to track compliance assistance activities. Increase compliance assistance activities by a minimum of one each year. Primary Outcome Measures: <ul style="list-style-type: none"> Each year, maintain and/or exceed the number of compliance assistance activities (i.e. direct mailings, advertising, newsletters, etc.) conducted or distributed in the public sector. Increase compliance assistance activities by a minimum of one each year for a total of 12 activities by FY 2020. 								
FY 2019 Results	Ten compliance assistance activities performed (see detailed list on page 20).								
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PROGRESS TOWARD STRATEGIC PLAN ACCOMPLISHMENTS

The strategic plan identifies three fundamental goals to reduce workplace injuries, illnesses and fatalities in Illinois public-sector worksites.

- Improve workplace safety and health for all public-sector employees as evidenced by fewer hazards, reduced exposures and fewer injuries, illnesses and deaths.
- Promote safety and health values in Illinois public-sector workplaces.
- Generate public confidence through excellence in the development and delivery of Illinois OSHA programs and services.

The FY 2019 activities that were conducted toward meeting our strategic plan goals are described below.

Strategic Efforts to Achieve Goal #1:

Improve workplace safety and health for all public-sector employees as evidenced by fewer hazards, reduced exposures and fewer injuries, illnesses and deaths.

- Illinois OSHA's strategy for improving workplace safety and health for all public-sector employees as evidenced by fewer hazards, reduced exposures and fewer injuries, illnesses and deaths is based on addressing specific areas that have the greatest impact on the overall rates. The areas of emphasis in the current Site-Specific Targeting (SST) plan include:
 - State Support Activities for Transportation (NAICS 488)
 - State Nursing and Residential Care Facilities (NAICS 623)
 - Local Fire Protection (NAICS 92216)
 - Departments of Public Works (NAICS 926120)
 - Water and Sewage Treatment Facilities (NAICS 2213)

Illinois OSHA uses a high-hazard inspection targeting system based on OSHA Instruction CPL 02-00-025, *Scheduling System for Programmed Inspections* (January 4, 1995), which is based on Bureau of Labor Statistics (BLS) injury/illness rate data. The BLS data and the SST plan helped Illinois OSHA meet activity measures and achieve its goal of reducing the number of injuries and illnesses that occur at public-sector employer establishments by directing enforcement resources to those establishments where the highest rate of injury and illness has occurred.

- Illinois OSHA maintained a strong enforcement presence as an effective deterrent for employers who fail to meet their safety and health responsibilities by conducting comprehensive inspections at locations identified through a Programmed Planned Inspection (PPI) list, based off the SST plan.
- Inspectors encouraged public-sector employers to use consultation services to ensure they are performing these tasks in a safe and compliant manner.
- Outreach materials were distributed, and compliance assistance conducted to assist with abatement and to raise awareness levels of hazardous conditions in the workplace.
- Illinois OSHA aligned with the Illinois Fire Service Institute and Federal OSHA to promote the "Stand-Up for Grain Safety Week" from March 25-29, 2019.
- Averaged 2015, 2016, 2017 and 2018 BLS data revealed IL OSHA is on track to decrease injury and illness rates (total recordable cases) in state, county and/or local agencies in the specific NAICS segments by 2% by FY 2020.

Strategic Efforts to Achieve Goal #2:

To promote safety and health values in Illinois public-sector workplaces.

- An employee representative participated 100% of the time at all inspections and consultation visits.
- Public-sector SHARP was promoted at all public-sector consultation visits.
- 100% of public-sector employers participating in an initial Illinois OSHA On-Site Consultation visit were provided with site-specific recommendations to improve their safety and health program management system.
- In FY 2019, Illinois OSHA performed 11 compliance assistance activities.
 - January 28, 2019 Southern Illinois Occupational Safety and Health (SIOOSH) Day: program promotion as exhibitor.
 - February 8, 2019 notified all State and Local Government agencies reminding them of the Electronic Reporting Requirements.
 - February 27, 2019 Downstate Illinois Occupational Safety and Health (DIOOSH) Day: program promotion as exhibitor and presented Robert Luginbuhl, from Oberlander Electric, Peoria, IL with the 8th Annual Governor's Safety and Health Award for an individual.
 - March 25, 2019 Grain Stand Down with Illinois Fire Service Institute and Federal OSHA.
 - April 9-11, 2019 Trenching Safety Conference.
 - April 26, 2019 Decatur Trades & Labor Assembly, AFL-CIO Workers Memorial Day 2019
 - May 20, 2019 Mailed Fire Department Outreach Letter to 37 Will & Kankakee County Fired Departments and Fire Districts.
 - June 28, 2019 Fire Districts Conference, IL OSHA Presented" Who's on First & What Rules Apply"

- July 9, 2019 Workplace Violence press release; <https://www2.illinois.gov/idol/News/Documents/WorkplaceViolence.pdf>
- July 24, 2019 OSHA Poster press release; <http://wlds.com/news/illinois-employers-required-to-keep-osh-a-poster-displayed-in-worksite/>
- September 18, 2019 Chicagoland Safety Conference: program promotion as exhibitor.

Strategic Efforts to Achieve Goal #3

Generate public confidence through excellence in the development and delivery of Illinois OSHA programs and services.

- Through a partnership with the Illinois Emergency Management Agency (IEMA), Illinois OSHA offers a 24-hour, seven days per week answering service which affords Illinois OSHA the ability to respond to fatal events or catastrophes expeditiously at any time.
- Using the OSHA Information System (OIS), Illinois OSHA tracks all complaints and referrals to ensure timely assignment and prioritization of imminent danger situations.
- Illinois OSHA public-sector consultation surveys track customer satisfaction and ensure that 90% of the services are rated four or higher on a scale of one to five with five being the most effective.
- On February 8, 2019, Illinois OSHA notified all State and Local Government agencies reminding them of the Electronic Reporting Requirements.

MANDATED ACTIVITIES

Activities mandated under the OSHA state plan program are considered core elements of Illinois OSHA’s occupational safety and health program. The core elements outlined in the OSH Act (29 CFR 1902) and 29 CFR 1956 for public-sector-only plans are as follows:

- Prohibition against advanced notice.
- Employee access to hazard and exposure information.
- Safeguards to protect employer trade secrets.
- Employer recordkeeping.
- Legal procedures for compulsory process and right of entry.
- Posting of employee protections and rights.
- Right of employee representative to participate in walk-around.
- Right of an employee to review decision not to inspect (following a complaint).

Mandated activities are tracked on a quarterly basis using the State Activities Measures (SAMM) Report in OIS which compares state activity data to an established reference point. (See FY 2019 SAMM Report)

23(g) State Plans Projected Program Activities

	FY 2019 Projections*		FY 2019 Actuals	
	Safety	Health	Safety	Health
Public-Sector Inspections	500	200	224	17
Public-Sector Consultations	13	7	18	9

**This assumes a fully staffed and fully trained staff, with 40 available work weeks in the year, and an average of 1.25 inspections per week per Safety/Health Inspector and is based on previous work experience and history.*

In FY 2019 Illinois OSHA filled three Public Safety Inspector and one Regional Enforcement Manager positions which increased program activities and surpassed FY 2018 actuals by 67 inspections.

23(g) Compliance Assistance

	FY 2019 Projections		FY 2019 Actuals	
	New	Total	New	Total
SHARP participants-Public Sector	1	1	1	1
Outreach Participants		**8,000		9,064

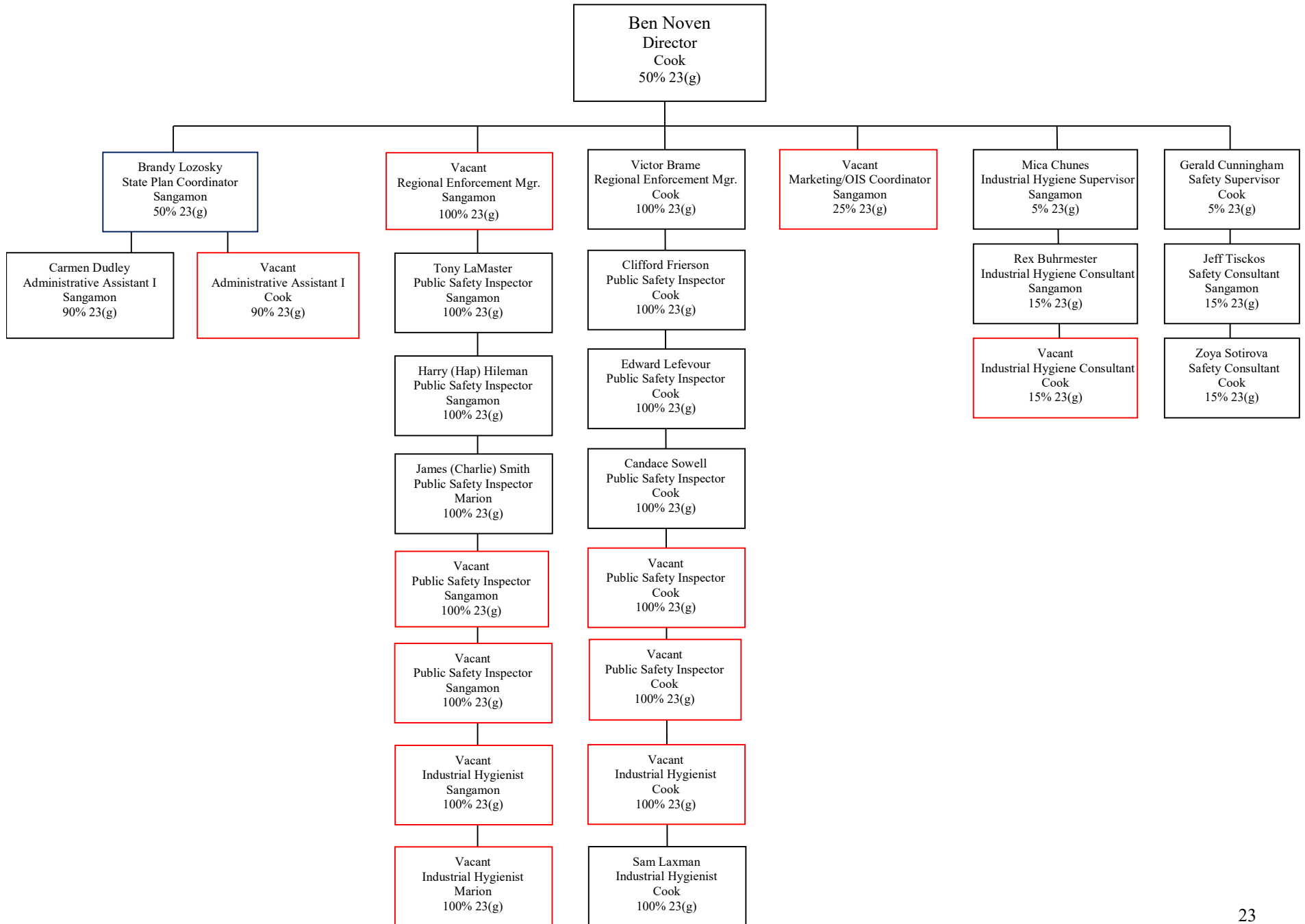
***Outreach participants are the total number of trainees/participants anticipated to be affected by state outreach activities during the period, such as formal training, workshops, seminars, speeches, conferences, and informal worksite training.*

Illinois OSHA met 34% of the fully-staffed and fully-trained year-to-date projection of 700.

The Illinois On-Site Consultation Project exceeded the projected public-sector consultation goal of 15 consultations by performing 27 consultations.

Illinois OSHA’s outreach activities in FY 2019 such as formal training, workshops, seminars, speeches, conferences and informal worksite training resulted in 9,064 trainee/participants.

23(g) ORGANIZATIONAL CHART



FY 2019 SAMM REPORT
 ILLINOIS OSHA MANDATED ACTIVITIES
 OCTOBER 1, 2018 – SEPTEMBER 30, 2019

SAMM #	Measure	RIDs Selected	All State Plan RIDs	All Federal RIDs	National	
1A	Time to Initiate Complaint Inspections STATE formula (Average Number of Work Days to Initiate Complaint Inspections)	195	66608	60338	126,946	
		5.27	7.25	7.79	7.50	
		37	9188	7744	16,926	
1B	Time to Initiate Complaint Inspections FEDERAL formula (Average Number of Work Days to Initiate Complaint Inspections)	89	40,721	21,227	61,948	
		2.41	4.43	2.74	3.66	
		37	9,188	7,744	16,926	
2A	Time to Initiate Complaint Investigations STATE formula (Average Number of Work Days to Initiate Complaint Investigations)	247	87064	13655	100,719	
		2.45	5.10	0.74	2.84	
		101	17058	18421	35,479	
2B	Time to Initiate Complaint Investigations FEDERAL formula (Average Number of Work Days to Initiate Complaint Investigations)	53	34,530	3,668	38,198	
		0.52	2.02	0.20	1.08	
		101	17,058	18,421	35,479	
3	Timely Response to Imminent Danger Complaints and Referrals (Percent of Complaints and Referrals of Imminent Danger Responded to within 1 Day)	1	777	600	1,377	
		100.00%	98.60%	95.69%	97.31%	
		1	788	627	1,415	
4	Number of Denials where entry not obtained	0	1	6	7	
5	Average Number of Violations per Inspection with Violations by Violation Type	SWRU	404	45836	42109	87,945
			2.24	1.69	1.89	1.779650727
			180	27169	22248	49,417
		OTS	37	38301	8420	46,721
			0.21	1.41	0.38	0.945443876
			180	27169	22248	49,417
6	Percent of Total Inspections in Public Sector	241	5,045	32	5,077	
		100.00%	12.06%	0.10%	6.75%	
		241	41,849	33,401	75,250	
7	Inspections	Safety	224	32,554	27,890	60,444
		Health	17	9,295	5,511	14,806

FY 2019 SAMM REPORT
 ILLINOIS OSHA MANDATED ACTIVITIES
 OCTOBER 1, 2018 – SEPTEMBER 30, 2019

8	Average Current Penalty per Serious Violation (Private Sector)	Total (1 to greater than 250 Employees)	\$0.00	\$79,004,836.25	\$136,381,544.68	\$215,386,380.93
			\$0.00	\$2,352.10	\$3,813.06	\$3,105.52
			0	33,589	35,767	69,356
		a. 1-25 Employees	\$0.00	\$27,855,890.40	\$58,941,762.86	\$86,797,653.26
			\$0.00	\$1,372.21	\$2,580.19	\$2,011.81
			0	20,300	22,844	43,144
		b. 26-100 Employees	\$0.00	\$17,221,156.55	\$29,080,525.83	\$46,301,682.38
			\$0.00	\$2,685.77	\$4,697.98	\$3,674.15
			0	6,412	6,190	12,602
		c. 101-250 Employees	\$0.00	\$12,066,771.15	\$16,337,763.33	\$28,404,534.48
			\$0.00	\$4,588.13	\$6,252.49	\$5,417.61
			0	2,630	2,613	5,243
d. Greater than 250 Employees	\$0.00	\$21,861,018.15	\$32,021,492.66	\$53,882,510.81		
	\$0.00	\$5,147.40	\$7,772.21	\$6,439.88		
	0	4,247	4,120	8,367		
9	Percent In Compliance	Safety	56	9,195	6,420	15,615
			27.05%	32.51%	27.54%	30.27%
			207	28,284	23,309	51,593
		Health	9	2,814	1,426	4,240
			56.25%	36.83%	32.93%	35.42%
			16	7,640	4,330	11,970
10	Percent of Work Related Fatalities Responded to in 1 Work Day	5	627	857	1,484	
		100.00%	97.06%	98.73%	98.08%	
		5	646	868	1,513	

FY 2019 SAMM REPORT
 ILLINOIS OSHA MANDATED ACTIVITIES
 OCTOBER 1, 2018 – SEPTEMBER 30, 2019

11	Average Lapse Time	Safety	9,352	1,077,495	952,209	2,029,704
			55.34	49.45	49.25	49.35330448
			169	21,791	19,335	41,126
		Health	587	333,765	220,096	553,861
			58.70	58.03	62.44	59.70259782
			10	5,752	3,525	9,277
12	Penalty Retention Percent Penalty Retained	\$10,500.00	\$75,931,485.19	\$154,534,025.22	\$230,465,510.41	
		100.00%	74.24%	65.36%	68.04%	
		\$10,500.00	\$102,279,012.25	\$236,419,857.10	\$338,698,869.35	
13	Percent of Initial Inspections with Employee Walk around Representation or Employee Interview	241	41,331	32,437	73,768	
		100.00%	98.76%	97.11%	98.03%	
		241	41,849	33,401	75,250	

ADJUSTMENTS

Deobligation

The program deobligated \$661,000 during the FY 2019 grant. The deobligation was timely and there were no lapsed funds.