



OSHA NOTICE

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

DIRECTIVE NUMBER: CSP 02-16-05

EFFECTIVE DATE: May 25, 2016

SUBJECT: FY 2017 On-site Consultation Cooperative Agreement Instructions

ABSTRACT

Purpose: This Notice provides instructions and forms that are necessary for preparing the FY 2017 On-site Consultation Cooperative Agreement Application. This Notice also serves as a reference tool for managing the administration of FY 2017 On-site Consultation Cooperative Agreements.

Scope: This Notice applies to all states and U.S. Territories that operate an On-site Consultation Project under Section 21(d) of the Occupational Safety and Health Act of 1970 (OSH Act).

References: OSHA Instruction CSP 02-00-003, Consultation Policies and Procedures Manual (CPPM); 29 Code of Federal Regulations (CFR) Part 1908, Cooperative Agreements; Occupational Safety and Health Administration Annual Operating Plan for FY2016; OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200; and DOL Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Exceptions) 2 CFR Part 2900.

Cancellations: None.

Expiration Date: This Notice expires on September 30, 2017.

State Impact: On-site Consultation Projects operating Cooperative Agreements under Section 21(d) of the OSH Act of 1970 are required to follow the instructions outlined in this Notice.

Action Offices: National, Regional, and State Offices.

Originating Office: Directorate of Cooperative and State Programs (DCSP).

Contact: Office of Small Business Assistance (OSBA)
Directorate of Cooperative and State Programs
USDOL-OSHA
Frances Perkins Building, Room N-3660
200 Constitution Avenue, N.W.
Washington, DC 20210
(202) 693-2220

By and Under the Authority of

David Michaels, Ph.D., MPH
Assistant Secretary

Executive Summary

This Notice provides instructions and forms that are necessary for preparing the FY 2017 On-site Consultation Cooperative Agreement Application.

Significant Changes

The significant changes are as follows:

- 1) Appendix A includes a version number in the footer section to ensure that the current version is submitted with the application.
- 2) The OSHA Restrictions and Conditions in Appendix A includes two new items (#56 and #57) which requires the grantee to:
 - a. (#56) Ensure that all visits are coded as accurately and completely as possible in OIS, including information involving Emphasis Codes and Strategic Codes.
 - b. (#57) Understand that participating in blended course work offered by the OSHA Training Institute requires its students to receive automatic email course notifications at their official work issued email addresses.
- 3) The due date for all bills to Consultation Projects has changed from September 15th to September 1st of each fiscal year (Appendix A, pages 24 (#s 33 & 34) and 27 (#53)).
- 4) The Organizational Chart must clearly indicate the percent of time each staff is on the grant and in position(s) shown in the chart (Appendix C).
- 5) The “Number of Personnel” column has been eliminated from Staffing Chart (Appendix D).
- 6) Clear guidance is provided in Appendix E requiring results listed in the “Anticipated Impact of On-site Consultation Activities” column to be directly *attributable* to strategies and activities in the table.
- 7) To be consistent with data entry in OSHA Information System (OIS)’s On-site Consultation application, Appendix F-1 (Projected Program Activities for Federal states and states adopting emphasis industries, hazards, and measures identical to OSHA’s) is revised with additional fields. Also, some lines previously included in this chart have been removed for clarity. The definitions now include guidance on how to code activities associated with each emphasis area in OIS.
- 8) Appendix I (Annual Training Plan) includes revisions to provide clarity on training costs requirements including:
 - a. The total entered in the “Training Cost Charged to Grant (100% Fed Eligible)” column must agree with the amount reported on the OSHA 110 – Line 2 and SF-424A.

- b. The total amount reported in Appendix I “Total Charged to Grant” column will be charged to the grant and entered into Appendix N or Appendix O, as appropriate.

TABLE OF CONTENTS

I. <u>Purpose</u>	1
II. <u>Scope</u>	1
III. <u>References</u>	1
IV. <u>Expiration Date</u>	1
V. <u>Action Information</u>	1
A. <u>Responsible Offices</u>	1
B. <u>Action Offices</u>	1
VI. <u>State Impact</u>	3
VII. <u>Significant Changes</u>	3
VIII. <u>Required Application Components</u>	4
A. <u>Consultation Annual Project Plan (CAPP)</u>	4
B. <u>Financial Documents</u>	4
IX. <u>Application Format and Submission</u>	6
X. <u>Submission Deadline</u>	7
XI. <u>Approval Notification</u>	7
XII. <u>Regional Administrator’s Review of Application</u>	7
A. <u>Consultation Annual Project Plan (CAPP)</u>	7
B. <u>Financial Documents</u>	7
XIII. <u>National Office Review</u>	8
A. <u>Directorate of Cooperative and State Programs</u>	8
B. <u>Directorate of Administrative Programs</u>	8

APPENDICES

- Appendix A:** Cooperative Agreement for OSHA On-site Consultation under Sections 21(c) and 21(d) of the Occupational Safety and Health Act of 1970
- Appendix B:** Checklist and Recommended Order of Required Documents for the Federal On-site Consultation Cooperative Agreement
- Appendix C:** Checklist of Required Components of the CAPP
- Appendix D:** Staffing Chart
- Appendix E:** Operational Descriptions by Strategies, Activities and Outcomes
- Appendix F:** Projected Program Activities
- Appendix G:** Equipment Inventory
- Appendix H:** Equipment Procurement Request
- Appendix I:** Annual Training Plan
- Appendix J:** Accompanied Visit Plan FY 2017
- Appendix K:** FY 2016 Final Base Award Levels
- Appendix L:** Cooperative Agreement Form OSHA-110
- Appendix M:** Application for Federal Assistance and Budget Information for Non-Construction Programs (SF-424 and SF-424A)
- Appendix N:** Supporting Details of Anticipated Costs - Part A: Consultation
- Appendix O:** Supporting Details of Anticipated Costs - Part B: Administration
- Appendix P:** IT and OSHANET Information
- Appendix Q:** Standard Operating Procedures for the Purchase of Computer Software or Equipment by On-site Consultation Projects
- Appendix R:** Summary of OSHA's Policy for Federal Reimbursement of Costs Associated with Required, Approved, and Eligible Training and Travel
- Appendix S:** Regional Administrators Recommendation Memorandum Template
- Appendix T:** Financial and Program Application Checklists

On-site Consultation Cooperative Agreement Application for FY 2017

- I. Purpose. This Notice provides instructions and forms that are necessary for preparing an FY 2017 On-site Consultation Cooperative Agreement Application.
- II. Scope. This Notice applies to all states and U.S. Territories that operate an On-site Consultation Project under Section 21(d) of the Occupational Safety and Health Act of 1970 (OSH Act).
- III. References.
 - A. OSHA Instruction CSP 02-00-003, Consultation Policies and Procedures Manual (CPPM).
 - B. 29 Code of Federal Regulations (CFR) Part 1908, Cooperative Agreements.
 - C. Occupational Safety and Health Administration Annual Operating Plan for FY2016
 - D. 2 CFR Part 200, OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).
 - E. 2 CFR Part 2900, DOL Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance Exceptions).
- IV. Expiration Date. This Notice expires on September 30, 2017.
- V. Action Information.
 - A. Responsible Offices. Directorate of Cooperative and State Programs (DCSP), Office of Small Business Assistance (OSBA) and Directorate of Administrative Programs (DAP).
 - B. Action Offices.
 1. National Office. The National Office is responsible for the review and approval of Cooperative Agreement applications that satisfactorily meet all federally required financial, operational, and policy requirements.
 - a. DCSP. OSBA is responsible for administering the program aspects of the On-site Consultation Program, reviewing all components of the Cooperative Agreement Application and identifying any program deficiencies that need to be rectified before granting approval.
 - b. DAP. The Division of Grants Management within DAP is responsible for reviewing all financial documents for accuracy, posting funding award levels in the Payment Management System, transmitting the award letters to each recipient, and administering the financial aspects of the Cooperative Agreement.

2. Regional Offices. Throughout the application and review process, the Regional Administrator (RA) remains the point of contact with the Project.
 - a. The Regional Office will provide assistance and negotiate the proposed Consultation Project activity levels with the On-site Consultation Project Manager.
 - b. Each Regional Consultation Project Officer should coordinate with the National Office personnel assigned to review the Consultation Annual Project Plan (CAPP) for Projects under their jurisdiction to resolve all issues prior to authorizing the state's submission of the electronic grant application package.
 - c. The RA must assure that the Project's application submission meets all requirements and contains all properly completed forms and documents required by these instructions. The RA must ensure that the Project's application submission is reviewed against the checklist in **Appendix T**.
 - d. Once the electronic package is submitted to Grants.gov, the RA will notify the Project if a revised application package needs to be submitted in Grants.gov.
 - e. By August 15, 2016, the RA must submit a memorandum to the Directors of DAP and DCSP for each Cooperative Agreement application within their jurisdiction, reflecting recommendations for approval or disapproval of the application package. The memorandum should be based on the Region's review of the final electronic application package submitted by the Project via Grants.gov. See **Appendix S** for a sample template to be used for the memorandum. It must identify each State and the corresponding Grants.gov and DOL E-Grants application numbers, and must reflect the Region's assessment of any unresolved issues in the application. The Regional Office may submit a separate memorandum for each application, or it may submit one memorandum for all states in the region. If an appropriate state response has not been received prior to processing in the National Office, specific suggested language should also be included for any restrictions to be placed in the Cooperative Agreement award letter.
 - f. Once the final version approved by the Regional Office has been recommended for approval to the National Office, the RA will submit any subsequent replacement pages to the National Office via email.
3. States. On-site Consultation Project Managers are responsible for facilitating discussions with the Regional Office regarding the content of the CAPP.

- a. On-site Consultation Project Managers are responsible for completing and submitting the draft On-site Consultation Agreement Application to the Regional Office for review no later than July 15, 2016. This can be submitted via email.
- b. Once the draft application package has been reviewed and approved by the Region, the Consultation Project must submit the application package electronically on Grants.gov no later than August 1, 2016.
- c. The Consultation projects should submit revised application packages or replacement pages only at the direction of the Regional Office. Documents should not be submitted in Grants.gov unless the Regional Office has directed the Consultation Project to do so.
- d. The Consultation projects must ensure that they submit on Grants.gov the version approved by the Regional Office.

VI. State Impact. States and U.S. Territories operating Cooperative Agreements under Section 21(d) of the OSH Act are required to follow the instructions outlined in this Notice.

VII. Significant Changes.

The significant changes from the FY 2016 Cooperative Agreement Instructions are as follows:

- 1) Appendix A includes a version number in the footer section to ensure that the current version is submitted with the application.
- 2) The OSHA Restrictions and Conditions in Appendix A includes two new items (#56 and #57) which requires the grantee to:
 - a. (#56) Ensure that all visits are coded as accurately and completely as possible in OIS, including information involving Emphasis Codes and Strategic Codes.
 - b. (#57) Understand that participating in blended course work offered by the OSHA Training Institute requires its students to receive automatic email course notifications at their official work issued email addresses.
- 3) The due date for all bills to Consultation Projects has changed from September 15th to September 1st of each fiscal year (Appendix A, pages 24 (#s 33 & 34) and 27 (#53)).
- 4) The Organizational Chart must clearly indicate the percent of time each staff is on the grant and in position(s) shown in the chart (Appendix C).
- 5) The “Number of Personnel” column has been eliminated from Staffing Chart (Appendix D).
- 6) Clear guidance is provided in Appendix E requiring results listed in the “Anticipated Impact of On-site Consultation Activities” column to be directly *attributable* to strategies and activities in the table.

- 7) To be consistent with data entry in OSHA Information System (OIS)'s On-site Consultation application, Appendix F-1 (Projected Program Activities for Federal states and states adopting emphasis industries, hazards, and measures identical to OSHA's) is revised with additional fields. Also, some lines previously included in this chart have been removed for clarity. The definitions for the projected program areas of emphasis have also been updated and now include guidance on how to code activities associated with each emphasis area in OIS.
- 8) Appendix I (Annual Training Plan) includes revisions to provide clarity on training costs requirements including:
 - a. The total entered in the "Training Cost Charged to Grant (100% Fed Eligible)" column must agree with the amount reported on the OSHA 110 – Line 2 and SF-424A.
 - b. The total amount reported in the "Total Charged to Grant" column will be charged to the grant and entered into Appendix N or Appendix O, as appropriate.

VIII. Required Application Components. On-site Consultation Project Managers must ensure that all required application components are completed, approved by their RA, and submitted via Grants.gov on or before the application due date. A checklist of the required documents for the Agreement application package is provided in Appendix B.

In addition to the agreement itself (Appendix A), the On-site Consultation Cooperative Agreement Application package consists of the following components:

- A. Consultation Annual Project Plan (CAPP). The CAPP describes in detail how an On-site Consultation Project's activities will support the OSHA Annual Operating Plan during the forthcoming year.
 1. The CAPP must address each area of emphasis in the OSHA Annual Operating Plan that the Project Manager in consultation with the Regional representative(s) will undertake, outlining both strategies and expected results. See Appendix E for operational description by strategy, activities and outcomes.
 2. The CAPP must include: (a) an organizational chart, (b) staffing chart, (c) a description of any changes in the On-site Consultation Project's status, (d) a detailed operational description identifying the year's strategies, activities and their intended outcomes, (e) a projected program activities chart, (f) a description of strategy and targets for promoting On-site Consultation and the On-site Consultation Program's Safety and Health Achievement Recognition Program (SHARP), and (g) a detailed description of any changes to a Project's Internal Quality Assurance Program. See Appendix B for a checklist of required documents.
 3. The On-site Consultation Project Manager should send a draft CAPP and financial documents to the Regional Office to facilitate a preliminary discussion. This discussion should take place not later than July 1, 2016. Further discussions or negotiations regarding the content of the CAPP must be

managed to ensure consensus and submission of the CAPP on or before the designated deadline.

- B. Financial Documents. Each application must include a prepared Cooperative Agreement (Form OSHA-110), Application for Federal Assistance and Budget Information Non-Construction Programs (SF-424 and SF-424A) and supporting details of anticipated costs. Accuracy of the financial documents is critical for the timely approval of the Cooperative Agreement.

A copy of the Cooperative Agreement Form OSHA-110 is available on the Consultation Limited Access Page and in Appendix L. The Application for Federal Assistance and Budget Information for Non-Construction Programs (SF-424 and SF-424A) is available on the Grants.gov website. However, as a courtesy, links to these documents are provided in Appendix M of this Notice. Please note that the links to the fillable SF-424 and SF-424A forms are provided to assist in preparing the draft application. The actual documents must be completed by accessing the application package found on Grants.gov.

The following information provides guidance for completing the required financial documentation.

1. Funding Levels. All amounts entered in the Cooperative Agreement (Form OSHA-110), the Application for Federal Assistance (SF-424) and the related worksheet(s) must be based on the FY 2016 enacted base award levels. Any change in FY 2017 funding for On-site Consultation will be processed through a Cooperative Agreement amendment. States unable to provide the required matching funds for the FY 2016 award level should complete the application to reflect the award level which it can match.
2. Administrative Cap. The 25 percent ceiling on administrative costs remains in effect. This requires that no more than 25 percent of the total funding amount be budgeted toward administrative costs. Any deviation from this restriction requires prior approval from the Directors of DCSP and DAP.
3. Salary Target. Each project must devote a minimum of 50 percent of the grant amount toward consultant salaries and fringe benefits. Project Managers unable to meet this target must provide a written explanation of the reason they cannot meet this goal.
4. Computer Purchases. Consultation Projects must consult and obtain approval from DCSP prior to purchasing computers using Section 21(d) funds, whether or not such computers are connected to the OSHA system. Computers must conform to particular OSHA hardware and software requirements and specifications. It is the responsibility of the On-site Consultation Project Manager to contact DCSP 60 or more days in advance of the purchase of new computer equipment to ensure that the latest requirements and specifications are met. For OSHANet Rules of Behavior, please see the Help Desk page on the OSHA Intranet page.

Appendix Q provides the standard operating procedures for the purchase of computer software and equipment.

5. Computer Security. All system users (OSHANet, Extranet, and other OSHA applications) must adhere to Federal, Department of Labor (DOL), and OSHA computer security policies, procedures, and processes. All system users (OSHANet, Extranet, and other OSHA applications) must annually sign Rules of Behavior for each system accessed. All OSHA system users must complete the USDOL Annual Computer Security Awareness Training (CSAT) and federally mandated or DOL-required computer security training to be specified, within the required time frame.
6. Minimum Staffing. At least four professional, full-time equivalents (FTEs)—two full-time safety specialists and two full-time industrial hygienists or their equivalents—must be included in each Project’s personnel plan. All of the Project’s consultants must be employed at least 50 percent of their time in the On-site Consultation Program and must spend at least 50 percent of their time engaged in On-site Consultation Program activity. **Any deviation from this minimum must receive prior written approval from the Director of DCSP and is effective only for the fiscal year for which it is approved.** If you anticipate requiring this approval, please coordinate with your Region as early as possible.
7. OSHA Restrictions and Conditions. The state designees’ signatures on these documents certify that the recipient will be in compliance with the assurances and certifications, lobbying restrictions, and OSHA-specific restrictions and conditions. Potential consequences for noncompliance with any of the grant conditions may be found in 2 CFR 200 and 2 CFR 2900.

IX. Application Format and Submission. Once the Regional Office has reviewed and approved the completed draft grant application package, all Cooperative Agreement applications must be submitted electronically using the Grants.gov system.

- A. Before submitting an application, States must ensure that their registration information is accurate and up-to-date in Grants.gov and with System for Award Management (SAM). States must maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the SAM database, the applicant is required to review and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate and complete. The Organization Registration Checklist may be found under Applicant Resources at:
<http://www.grants.gov/web/grants/applicants/applicant-resources.html>.
- B. Applications will be accepted in Grants.gov beginning July 1, 2016 for the performance period beginning October 1, 2016 and ending September 30, 2017.
- C. The deadline for electronic application submission is August 1, 2016.

- D. The website to download the Grants.gov application package is:
<http://www.grants.gov/web/grants/applicants/download-application-package.html>.
For 21(d) applicants, the Funding Opportunity Number is **OSHA-21D-2017-001**.
- E. Grants.gov requires completion of forms SF-424 and SF-424A online. All other documents in the OSHA grant applications must be submitted as attachments. Applicants will submit the SF-424 and SF-424A reflecting Section 21(d) funding along with the required documents. For documents requiring signatures, applicants should submit a scanned, signed copy as an attachment for the electronic grant application.
- F. Acceptable formats for document attachments submitted as part of a Grants.gov application are Microsoft Office and Adobe Reader (PDF). Attachments are limited to 15 documents in Grants.gov. The preferred method for attachments is to scan all documents into one Adobe Reader file that can be attached to the Grants.gov application. Documents may also be attached as individual files in the specified formats - Microsoft Office or Adobe Reader.
- G. File attachment names should be no longer than 50 characters to avoid submission and processing errors. Applicants are limited to using the following characters in all attachment filenames: A-Z, a-z, 0-9, underscore (_), hyphen (-), parenthesis (()), curly brackets ({}), square brackets ([]), tilde (~), exclamation point (!), comma (,), dollar sign (\$), percent sign (%), plus sign (+), equal sign (=), space and period. While Grants.gov may accept more characters, DOL E-Grants will not accept characters other than what is listed. Use the appropriate characters to ensure that OSHA staff can view the file attachments.
- H. If an application requires replacement pages or corrections after it has been recommended to the National Office for approval, the National and Regional Offices will coordinate the submission of replacement pages with the applicant.
- X. Submission Deadline. Complete Cooperative Agreement **draft** applications, including CAPPs and financial documents, are due to the Regional Office no later than **July 15, 2016**. Complete Cooperative Agreement applications, including CAPPs and financial documents, are due in Grants.gov on or before **August 1, 2016**. The RA must work with the Projects to review the entire application offline before the final package is submitted via Grants.gov.
- XI. Approval Notification. The Office of Management and Budget (OMB) Super Circular requires that Cooperative Agreement awards be made at least 10 days prior to the beginning of the Cooperative Agreement period. Final Cooperative Agreement approval letters are to be expected by September 20, 2016.
- XII. Regional Administrator's Review of Application. The RA is responsible for conducting a review of the CAPP with the National Office. By August 15, 2016, the RA must transmit a memorandum containing an assessment of the Cooperative Agreement Application. The memorandum should be based on the Region's review of the final application submitted via Grants.gov. For each Project, the memorandum must identify the State, the Grants.gov and DOL E-Grants application number of the application package that the National Office should review.

In reviewing the application, the RA will pay particular attention to the following components:

A. Consultation Annual Project Plan (CAPP)

1. The RA will review the CAPP to ensure that the plan submitted by the Project Manager conforms to the previously agreed upon plan elements. The RA will be particularly sensitive to issues that have been discussed during the quarterly meetings and ensure that they are addressed satisfactorily.
2. The RA should encourage and support the Project Manager in the marketing of the On-site Consultation Program by combining resources, where possible, to ensure that employers in the state are familiar with services provided by the On-site Consultation Program.

B. Financial Documents

1. The RA should ensure that the Project has budgeted for four full-time professional positions – two safety specialists and two industrial hygienists – and that all safety and health staff spend a minimum of 50 percent of their time working on consultation activities. A transmittal memorandum with detailed explanation(s) and a copy of DCSP approval of deviation(s) must be provided if the Project budget does not meet personnel and staffing requirements.
2. The RA should ensure that the Cooperative Agreement Form OSHA-110, Application for Federal Assistance (SF-424), Budget Information for Non-Construction Programs (SF-424A), supporting details of anticipated costs and related financial documents are complete and accurate.

XIII. National Office Review.

- A. DCSP. OSBA staff will review and discuss any deficiencies in each CAPP with the Regional Consultation Project Officer. Additionally, DCSP will administer the program aspects of the Cooperative Agreement.
- B. DAP. The Division of Grants Management staff will review and discuss any financial deficiencies with Regional financial staff. Additionally, DAP will post funding award levels in the Payment Management System and administer the financial aspects of the Cooperative Agreement.

APPENDIX A

Cooperative Agreement for OSHA On-site Consultation under Sections 21(c) and 21(d) of the Occupational Safety and Health Act of 1970

Between the State/Commonwealth/Jurisdiction of _____ and the Occupational Safety and Health Administration (OSHA), United States Department of Labor.

I. AUTHORITY AND PARTIES TO AGREEMENT

- A. Pursuant to Sections 21(c) and 21(d) of the Occupational Safety and Health Act of 1970 (the Act), it is hereby agreed that the Assistant Secretary of Labor for Occupational Safety and Health (Assistant Secretary) and the _____ (the State)—which affirms that it has been authorized by the Governor to enter into this agreement with full power to perform the obligations hereunder and to receive and expend Federal funds as well as state funds as required herein—will execute all provisions of this agreement.
- B. Nothing herein shall preclude the Assistant Secretary from exercising Federal responsibility and authority under the Act or preclude the State from exercising its responsibility and authority under state law when not in conflict with the Federal Act and the terms of this agreement.

II. AGREEMENT TERMS

- A. Either party may terminate this agreement upon 30 days' notice to the other party.
- B. It is agreed by both parties that substantive work and costs incurred under this Agreement will be managed and scheduled in a manner to assure adequate program coverage and activity throughout the entire 12-month performance period, without the necessity of requesting a budget modification to increase the amount of Federal funds authorized.
- C. This Agreement incorporates the following documents, which the State has agreed to submit.
1. Application for Federal Assistance (SF-424)
 2. Budget Information for Non-Construction Programs (SF-424A)
 3. Cooperative Agreement (Form OSHA-110)
 4. Assurances and Certifications, Lobbying Restrictions, and OSHA Restrictions and Conditions
 5. Complete and Current Equipment List
 6. Approved On-site Consultation Equipment Procurement Listing
 7. Performance Projections
 8. Annual Training Plan
 9. Accompanied Visit Plan
 10. Supporting Details of Anticipated Costs

- D. Any and all substantive modifications to the conditions and terms stated in this agreement shall be reduced to writing as amendments, numbered and signed by both principal parties to this agreement.

III. PURPOSE AND SCOPE

- A. The State shall provide consultation services, including training and education, whereby employers, particularly those with smaller businesses and with high-hazard workplaces (as defined or approved by OSHA), receive assistance in:
 - 1. Identifying any safety and health hazards in their workplaces,
 - 2. Controlling or eliminating these hazards successfully,
 - 3. Establishing or improving a workplace safety and health program, and
 - 4. Understanding all requirements of applicable Federal (or State) law and implementing regulations.
- B. The statewide project operated under this agreement shall conform fully with the requirements in the Code of Federal Regulations (29 CFR 1908), all related formal directives issued by the Assistant Secretary, and the appendices attached to this agreement.

IV. REIMBURSEMENT

The Assistant Secretary will reimburse the Project either 90 or 100 percent of the allowable costs for the following required training, out-of-State travel expenses, conferences, and/or meetings as outlined in Appendix R of this Cooperative Agreement.

V. ALLOCATION OF COSTS

The Supporting Details of Anticipated Costs that itemizes the costs by category (Consultation and Administration) and object class shall be submitted with the application (a sample outline is provided in Appendices N and O of this Notice). The Supporting Details of Anticipated Costs should correspond to and be easily traceable to the information on the Application for Federal Assistance and Budget Information for Non-Construction Programs (SF-424 and SF-424A). In order to ensure uniformity and comparability among agreement submissions, Consultation and Administration costs shall be determined and set forth as follows:

- A. **Consultation.** Consultation costs consist of all direct costs associated with the immediate delivery of consultative services to employers and employees. Costs include but are not limited to: the salaries and fringe benefits of On-site Consultation staff engaged in promotion, scheduling, visit preparation, hazard identification, program assistance, training and education, off-site assistance, report preparation, correction verification and similar authorized consultative activities; and related materials, supplies, equipment and staff training. They also include the consultation portion of total computer costs. Computer costs should be distributed between consultation and administration in the proportion to which computer services support each function. On-site Consultation staff include safety consultants, health consultants, consultant trainees and consultant trainers who meet the

minimum qualifications defined in 29 CFR 1908.8(b). Also included are costs of immediate first-level consultant supervisors, except those costs associated with accompanied visit activity. Additionally, costs of direct clerical support to consultants and first-level consultant supervisors are charged to On-site Consultation.

- B. **Administration.** Administrative costs consist of all direct costs and indirect costs associated with the management and support of the On-site Consultation Program. These costs include but are not limited to: the salaries and fringe benefits of personnel engaged in executive, fiscal, data collection, personnel, legal, audit, procurement, data processing, communications, maintenance, related materials, supplies, equipment and staff training. They also include the administration portion of total computer costs (computer costs should be distributed between consultation and administration in the proportion to which computer services support each function). In addition, administrative costs extend to the salaries and fringe benefits of direct program management positions such as project directors, program monitors and program review officers, and costs of direct clerical support to these positions.

- C. **Anticipated Costs.** The chart below should be used as a framework to correctly itemize anticipated costs within the appropriate category. The anticipated costs are to be listed under the categories below and charged as follows:

Anticipated Cost	Consultation	Administration
POSITIONS COVERED:	<u>Salaries of positions for:</u> <ol style="list-style-type: none"> 1. Safety supervisor (S/S); 2. Safety consultant (S); 3. Safety consultant trainee (TS); 4. Industrial hygiene supervisor (H/S); 5. Industrial hygiene consultant (H); 6. Industrial hygiene consultant trainee (TH); 7. Direct clerical support (SEC). 	<u>Salaries of positions for:</u> <ol style="list-style-type: none"> 1. Management (MGT); 2. Direct clerical support (SEC).
PERSONNEL:	<u>Salaries for positions listed in Consultation:</u> For consultants and first-level consultant supervisors who also serve in a managerial capacity for the project, salary costs shall be distributed between Administration and Consultation in proportion to the percent of time spent in performing: <ol style="list-style-type: none"> 1. Program management; 2. Consultant and/or; 3. Consultant supervisory activities. Salaries reflecting: <ol style="list-style-type: none"> 1. (a) Consultant time should be listed separately from salaries reflecting (b) time providing first-level supervision to consultants; 2. Salaries of clerical staff that provide direct support to consultants and consultant supervisors. 	<u>Salaries for positions listed in Administration:</u> For management personnel who also serve as consultants and/or consultant supervisors, salary costs must be distributed between Administration and Consultation in proportion to the percentage of time spent in performing: <ol style="list-style-type: none"> 1. Program management; 2. Consultant duties, and/or; 3. Supervision of consultants.
FRINGE BENEFITS	<u>Fringe benefits for positions listed in Consultation:</u> Costs include payments for: <ol style="list-style-type: none"> 1. Retirement; 2. Social Security; 	<u>Fringe benefits for positions listed in Administration:</u> Costs include payments for: <ol style="list-style-type: none"> 1. Retirement; 2. Social Security;

Anticipated Cost	Consultation	Administration
	<p>3. Workers' compensation; 4. Life insurance; 5. Medical insurance; 6. Etc.</p> <p>Note: Include the cost formula for each fringe benefit.</p> <p>For consultants, first-level consultants, and first-level consultant supervisors who also serve in a managerial capacity for the project, fringe benefit costs shall be distributed between Administration and Consultation in proportion to the percent of time spent in performing:</p> <ol style="list-style-type: none"> 1. Program management; 2. Consultant and/or; 3. Consultant supervisory activities. <p>Fringe benefits reflecting (a) consultant time should be listed separately from fringe benefits reflecting (b) time providing first-level supervision to consultants and fringe benefits of clerical staff that provide direct support to consultants and consultant supervisors.</p>	<p>3. Workers' compensation; 4. Life insurance; 5. Medical insurance; 6. Etc.</p> <p>Note: Include the cost formula for each fringe benefit.</p> <p>For management personnel who also serve as consultants and/or first-level consultant supervisors, fringe benefit costs shall be distributed between Administration and Consultation in proportion to the percentage of time spent in performing:</p> <ol style="list-style-type: none"> 1. Program management; 2. Consultant duties, and/or; 3. Supervision of consultants.
<p>CERTIFICATION COSTS: Contact Anthony Towey at Towey.Anthony@dol.gov with questions regarding certification.</p>	<p>For Consultants seeking professional certification in safety or health, Cooperative Agreement funds may be used to pay for the costs associated with a professional certification examination <u>preparation course</u> approved by the project manager, including travel and per diem.</p> <p>Additionally, if needed, a Project Manager may use Cooperative Agreement funds to pay for the costs associated with <u>applying for and taking a professional certification</u></p>	<p>For Project Managers seeking professional certification in safety or health, Cooperative Agreement funds may be used to pay for the costs associated with a professional certification examination <u>preparation course</u> approved by the employee's supervisor, including travel and per diem.</p> <p>Additionally, if needed, Cooperative Agreement funds may be used to pay for the costs associated with <u>applying for and taking a professional certification examination,</u></p>

Anticipated Cost	Consultation	Administration
	<p>examination, including travel and per diem.</p> <p>Project Managers may not use Cooperative Agreement funds to:</p> <ol style="list-style-type: none"> 1. Pay for costs associated with a second preparation course for those Consultants who fail on their first attempt at a professional certification examination. <p>However, a Project Manager may use Cooperative Agreement funds to pay for:</p> <ol style="list-style-type: none"> 1. The travel and/or per diem related to taking the professional certification examination a second time, and; 2. If needed, costs associated with taking the professional certification examination a second time. <p>For those Consultants who fail to pass a professional certification examination on their second attempt, Project Managers may not use Cooperative Agreement funds to pay for any additional costs related to that employee seeking that specific professional certification.</p> <p>Project Managers may not use Cooperative Agreement funds to pay for any costs associated with:</p> <ol style="list-style-type: none"> 1. Seeking professional certification from any certifying organization that is not accredited by 	<p>including travel and per diem.</p> <p>Cooperative Agreement funds may not be used to:</p> <ol style="list-style-type: none"> 1. Pay for costs associated with a second preparation course for those Managers who fail on their first attempt at a professional certification examination. <p>However, Cooperative Agreement funds may be used to pay for:</p> <ol style="list-style-type: none"> 1. The travel and/or per diem related to taking the professional certification examination a second time, and; 2. If needed, costs associated with taking of the professional certification examination a second time. <p>For those Managers who fail to pass a professional certification examination on their second attempt, Cooperative Agreement funds may not be used to pay for any additional costs related to that employee seeking that specific professional certification.</p> <p>Project Managers may not use Cooperative Agreement funds to pay for any costs associated with:</p> <ol style="list-style-type: none"> 1. Seeking professional certification from any certifying organization that is not accredited by a nationally recognized accrediting organization; 2. Additionally, Project

Anticipated Cost	Consultation	Administration
	<p>a nationally recognized accrediting organization;</p> <p>2. Additionally, Project Managers are not authorized to pay annual maintenance fees for maintaining professional certifications from Cooperative Agreement funds.</p> <p>Project Managers may use 100 percent federal funds for employee preparation or certification. The Cooperative Agreement cannot pay for certification costs that exceed the percent of time for which that employee is dedicated to the Cooperative Agreement. For example:</p> <ol style="list-style-type: none"> 1. If a safety professional is dedicated at 0.5 FTE, then 50 percent of the cost of the examination preparation or examination fees may be charged to the Cooperative Agreement. 	<p>Managers are not authorized to pay annual maintenance fees for maintaining professional certifications from Cooperative Agreement funds.</p> <p>Projects may use 100 percent federal funds for Managerial preparation or certification. The Cooperative Agreement cannot pay for certification costs that exceed the percent of time for which that Manager is dedicated to the Cooperative Agreement. For example:</p> <ol style="list-style-type: none"> 1. If a Manager is dedicated at 0.5 FTE, then 50 percent of the cost of the examination preparation or examination fees may be charged to the Cooperative Agreement.
TRAVEL	<p>Travel for positions listed in Consultation:</p> <p>Costs shall include travel required to conduct:</p> <ol style="list-style-type: none"> 1. On-site consultation visits; 2. Off-site assistance; 3. Travel to OTI courses; 4. Promotional visits; 5. Regional and national On-site Consultation Program meetings. This travel should be limited to Managers, Supervisors and Subject Matter Experts. 	<p>Travel for positions listed in Administration:</p> <p>Costs shall include travel required to attend:</p> <ol style="list-style-type: none"> 1. Safety and health conferences (subject to the restrictions in Section V.B., above); 2. Regional and national On-site Consultation Program meetings, and; 3. Professional development/training courses. <p>Note:</p> <ol style="list-style-type: none"> 1. Appropriate supporting details for out-of-state

Anticipated Cost	Consultation	Administration
	<p>Note:</p> <ol style="list-style-type: none"> 1. Intra-agency travel, such as that related to flexi-place programs, must have prior approval from the RA. 2. Appropriate supporting details for out-of-state travel (per diem, airfare, registration fees, miscellaneous, etc.) must be reported in the Annual Training Plan. 3. Deviations from the Annual Training Plan involving out-of-state travel to courses and/or locations other than those proposed must be approved in writing by the RA prior to the actual travel. 4. Travel for the purpose of performing accompanied visits shall be charged to Administration. 5. Federal funds must be used for Training expenses in accordance with instructions in Appendix R. <p>Attendance at professional development conferences such as the following are not considered OSHA-required training and, therefore, may not be funded with 100% Federal funds.</p> <ol style="list-style-type: none"> 1. Voluntary Protection Program Participants' Association (VPPPA); 2. American Industrial Hygiene Association (AIHA); 3. American Society of Safety Engineers (ASSE); and, 	<p>travel (per diem, airfare, registration fees, miscellaneous, etc.) must be reported in the Annual Training Plan.</p> <ol style="list-style-type: none"> 2. Deviations from this plan involving out-of-state travel to courses and/or locations other than those proposed must be approved in writing by the RA prior to the actual travel. <p>Annual On-site Consultation Training Conference: Attendance at the Annual On-site Consultation Training Conference is required for all Project Managers and, to the extent that funds are available, for the safety/health supervisors and senior consultants. The conference is considered required Federal travel and, therefore, may be funded 100% with Federal funds. The cost of travel for all participants to the Annual On-site Training Conference must be charged to Administration. It is expected that all Consultation Project Managers attend the On-site Consultation Training Conference for the duration of the conference, unless otherwise approved by the National Office.</p> <p>Attendance at any of the following are considered required training and may be funded 100% with Federal funds:</p> <ol style="list-style-type: none"> 1. OSHA Course #1500; 2. OSHA Course #1330; 3. Attendance at Regional Consultation Program

Anticipated Cost	Consultation	Administration
	<p data-bbox="618 176 976 243">4. National Safety Council (NSC).</p> <p data-bbox="570 285 940 459">Attendance at any of the following are considered required training and may be funded 100% with Federal funds:</p> <ol data-bbox="634 470 984 753" style="list-style-type: none"> 1. OSHA Course #1500; 2. OSHA Course #1330; 3. Attendance at Regional Consultation Program meetings (for SMEs); 4. Travel Associated with OSHCON Board for SMEs. <p data-bbox="570 800 951 974">Attendance at any of the following are considered approved training and may be funded 100% with Federal funds:</p> <ol data-bbox="618 984 984 1121" style="list-style-type: none"> 1. All relevant OTI courses 2. Additional training courses at RA's discretion. <p data-bbox="570 1167 987 1488">A Project Manager may use Cooperative Agreement funds to provide an opportunity for each professional safety or health employee to attend a professional development conference of three-to-five day's duration generally once every two years.</p> <p data-bbox="570 1535 987 1921">However, the percentage of Cooperative Agreement funds used to pay for the individual's attendance at such a conference or other training may not exceed the percentage of time for which that employee is dedicated to the Cooperative Agreement. For example, if a consultant dedicated at 0.5 FTE attends a conference (e.g., ASSE) that is</p>	<p data-bbox="1110 176 1414 281">meetings (for Project Managers, senior supervisors, and SMEs);</p> <p data-bbox="1062 291 1411 354">4. Travel Associated with OSHCON Board</p> <p data-bbox="1013 401 1398 575">Attendance at any of the following are considered approved training and may be funded 100% with Federal funds:</p> <ol data-bbox="1062 585 1430 722" style="list-style-type: none"> 1. All relevant OTI courses 2. Additional training courses at RA's discretion.

Anticipated Cost	Consultation	Administration
	<p>approved at the 90% funding level, then no more than 50% of 90% (i.e., 45%) of the cost of attending the conference may be charged to the Cooperative Agreement.</p> <p>Part-time staff who are on the 21(d) Cooperative Agreement 100 percent of their time will be reimbursed for travel and training the same as full-time staff.</p> <p>Note: Costs associated with attendance and travel to professional development conferences by individuals in positions that are not funded by the Cooperative Agreement may not be allocated to the Cooperative Agreement.</p>	
EQUIPMENT	<p>Includes the costs of consultant technical equipment having:</p> <ol style="list-style-type: none"> 1. A useful life of more than one year and; 2. A unit acquisition cost of \$5,000 or more; 3. Except as defined in Special Provision VI.B. <p>All equipment so defined shall be listed in the Equipment Procurement Request. See 2 CFR 200 and 2 CFR 2900.</p>	<p>Includes the costs of office equipment and machinery having:</p> <ol style="list-style-type: none"> 1. A useful life of more than one year and; 2. A unit acquisition cost of \$5,000 or more; 3. Except as defined in the Special Provision VI.B. <p>All equipment so defined shall be listed in the Equipment Procurement Request.</p>
SUPPLIES	<p>Includes the costs of all tangible consultant technical property and materials other than equipment as defined above.</p> <p>Note: Please itemize and describe all supply costs.</p>	<p>Includes the costs of all tangible office property and desktop materials other than equipment as defined in this section.</p> <p>Note: Please itemize and describe all supply costs.</p>
CONTRACTS	<p>Includes the costs of contracts with all sources, whether non-state government, state government or private sources, for the provision of services associated with consultant field</p>	<p>Includes the costs of contracts with all sources, whether non-state government, state government or private sources, for the provision of administrative support services</p>

Anticipated Cost	Consultation	Administration
	<p>activities (e.g., occupational health consultation, laboratory sample analysis in states having a Plan approved under Section 18 of the Act, and consultant health monitoring and medical examinations).</p> <p>Note: The detail for laboratory sample analysis costs shall include the number of samples projected for the fiscal year.</p>	<p>(e.g., service contracts for maintenance of office equipment, leasing of photocopiers, fiscal services, etc.).</p>
<p>OTHER COSTS/CHARGES</p>	<p>Other costs and charges include:</p> <ol style="list-style-type: none"> 1. Equipment calibration and repair services for equipment that cannot be serviced by the OSHA Cincinnati Technical Center (list all equipment); 2. Non-travel costs of required or approved training for consultants (limited to tuition fees, registration fees, textbooks, course materials, etc.) and; 3. Costs of all other miscellaneous consultative items that are not allocated above. <p>Miscellaneous costs include but are not limited to:</p> <ol style="list-style-type: none"> 1. The proportion of rent and utilities; 2. Communications and data processing; 3. Postage, freight, etc. associated with the delivery of consultative services by On-site Consultation staff; 4. Subscriptions to safety and health journals and training aids; 5. Instructional programs and promotional 	<p>Other cost and charges includes:</p> <ol style="list-style-type: none"> 1. Non-travel costs of required or approved training for management personnel (limited to tuition fees, registration fees, textbooks, course materials, etc.) and; 2. Costs of all other miscellaneous administrative items that are not allocated above. <p>These costs include but are not limited to:</p> <ol style="list-style-type: none"> 1. The proportion of rent and utilities; 2. Communications and data processing; 3. Postage, freight, etc., associated with the management of the On-site Consultation Program by administrative staff.

Anticipated Cost	Consultation	Administration
	<p>materials which are used by on-site consultants to perform consultation activities.</p> <p>Note: Consultants are required to conduct marketing activities, and the On-site Consultation Projects may create items to assist in the marketing and promotion of the On-site Consultation Program. Acceptable items include but are not limited to: brochures, CDs, and small items with the individual logo of the On-site Consultation Program (e.g., sticky pads, pens, bookmarks, etc.)</p>	
TOTAL DIRECT CHARGES	The total of all direct costs for Consultation.	The total of all direct costs for Administration.
INDIRECT CHARGES	N/A	Includes charges based on an approved indirect cost rate agreement for the grant period.

VI. SPECIAL PROVISIONS

- A. A listing of approved positions is contained in **Staffing Chart** (Appendix D) for this Agreement. Key personnel include the project manager, supervisors, and consultants. The RA must approve any changes in these positions in advance.
- B. Computer equipment (hardware and software), regardless of unit cost, requires prior written approval of DCSP in consultation with DAP and must be listed in the **Equipment Procurement Listing** (Appendix H).
- C. Unless a State has made special provisions for such, substantive programmatic work may not be transferred to another agency (sub-recipient) under this agreement.
- D. The laboratory designated by OSHA to provide analysis of samples for all projects shall be:

WISCONSIN OCCUPATIONAL HEALTH LABORATORY
2601 Agriculture Drive
Madison, Wisconsin 53718
Telephone: (608) 224-6216
Fax: (608) 224-6213
Contact: Mr. Steve Strebel

- E. The federal cost principles applicable to this project are OMB 2 CFR 200 and DOL 2 CFR 2900.
- F. Financial reporting forms required of all projects and their frequencies of submission are:
1. The Federal Financial Report (FFR) SF-425 is due 30 days after the end of each Federal fiscal quarter with the closeout report due 90 days after the end of the performance period. All reports will be electronically submitted via the DOL E-Grants System to report the status of all funds awarded. The Region will review the reports once submitted in the DOL E-Grants system.
 - a) **Quarterly Reporting.** Recipients who have accounting systems that prohibit them from meeting the OMB requirements on the submission of financial reports, as outlined in this section, must have written approval from the RA to establish an alternative schedule for submission of financial reports. The approved state-specific schedule must also be submitted to the National Office for inclusion in the official file.
 - b) **Closeout Reporting.** All agreements must be closed 90 days after the end of the performance period (generally December 29) using the DOL E-Grants system for electronic transmittal. Once a grant reaches the end of the 90-day closeout period, the Payment Management System (PMS) will no longer allow a recipient to draw down funds unless one of the following occurs:
 - i. The recipient has requested and is approved for a closeout extension that has been entered in PMS; or
 - ii. The awarding agency approves PMS to process the payment request. (In this instance, OSHA will contact the recipient to request a valid justification for payment approval.)
 - c) **Closeout Extensions.** Recipients unable to close within the 90-day period are required to request a closeout extension in writing by **December 1**, providing an explanation of why they cannot close out in a timely manner. An interim (preliminary) Federal Financial Report (covering October - December) is due on December 31, even when a closeout extension has been approved. All closeout extensions must be coordinated in advance with the Regional Office and transmitted to the National Office for inclusion in the official file, and the National Office must approve any extensions beyond February 28.
 2. **Cooperative Agreement (Form OSHA-110)** must accompany the Application for Federal Assistance (SF-424). This is the only time that this form is completed.

3. *Cooperative Agreement Amendment (Form OSHA-113)* may be required to amend the Cooperative Agreement as a result of Congressional action.
 4. *Other* performance reports and copies of forms that may be required for program management purposes will be distributed as necessary.
- G. Unless different instructions are provided by the Director of DCSP or through the OSHA Directives system, all reports required under this agreement and all requests for agreement modification shall be delivered (or mailed) to the RA.
 - H. It is agreed that OSHA may unilaterally modify this agreement whenever necessary to conform to new regulations, new applications, or official interpretations of Department of Labor or Office of Management and Budget regulations.
 - I. Approval of this agreement is contingent upon Congressional action on the Department of Labor's appropriation for FY 2017.
 - J. It is hereby certified by the State that matching state funds are or will be available during the tenure of this agreement.
 - K. In no case shall the State be liable for more than 10 percent of actual expenditures (exclusive of 100 percent Federal funds or any State overmatch funds) under this agreement.
 - L. Where appropriate, restrictions to the agreement may be added by the Assistant Secretary to ensure that the recipient fully complies with specific terms and conditions of the Cooperative Agreement, Department of Labor administrative requirements set forth at 2 CFR 2900, or provisions set forth in 29 CFR 1908. These include the enforcement provisions found in 2 CFR 200. When a Cooperative Agreement is approved subject to the inclusion of one or more restrictions, it is hereby understood by the recipient that such approval is granted contingent upon meeting the conditions specified within the prescribed time frame.
 - M. Recipients shall prepare their agreement packages for the maximum amount they can match within the authorized amount. If a recipient is unable to match the authorized award, the award amount will be reduced to reflect the amount the recipient is able to match. **These reductions will carry over into subsequent years.** Additionally, any increases/decreases will be based on executed award amounts, not proposed funding levels.
 - N. OSHA Information System (OIS) - Training. Training for all OIS users was completed in FY 2013. Training for new OIS users will be coordinated through the Consultation Project Manager.
 - O. Connectivity. As OIS is a web-based system accessible via OSHANet, Non-OSHANet users will access OIS via the OSHA eAuthentication portal. Non-OSHANet users will need access to the Internet, preferably by high-speed

connection, e.g., T1 lines, in order to enter and retrieve data interactively. States not on OSHANet should include plans and appropriate funding in their grant for upgrading their Internet connectivity.

- P. To maximize use of the new OIS features and enhanced capabilities, and to address the increasing role of video, the following is recommended for incorporation into the State's Information Technology (IT) capabilities:
1. Network Bandwidth capacity of at least 1.544 MB (e.g., T-1 Line or higher);
 2. Compliance with Federal and Department of Labor IT Security Requirements (e.g., Desktop/Mobile encryption); and
 3. Compliance with the OSHA Desktop/Mobile hardware/software configuration.
- Q. States must continue to designate individual(s) to assist OSHA with OIS training for newly-hired staff and for retraining or additional training of existing staff.
- R. Marketing the On-site Consultation Program. As marketing the On-site Consultation Program is a requirement, small items used to assist in the marketing of the program may be purchased. Acceptable items include but are not limited to: brochures, CDs, and small items with the individual logo of the On-site Consultation Program (e.g., sticky pads, pens, bookmarks, etc.).
- S. State Emergency Response. If a State On-site Consultation Program has an agreement with the Regional Administrator to use On-site Consultation resources to provide assistance during state emergencies outside those activities authorized under this Cooperative Agreement or OSHA Directive "National Emergency Management Plan" (HSO 01-00-001), then the State must identify the terms of the agreement (an operational description by strategy, activities, and anticipated outcome) within Appendix E of this agreement. The Regional Administrator's approval is required before On-site Consultation resources are expended in response to state emergencies.

OPTIONAL INSERT(S) TO THE COOPERATIVE AGREEMENT

Below are formats for "Additional Special Provisions" which, if appropriate, would be inserted in the Agreement following Section VI.R.

- I. Provisions below pertain to Items VI.C-D of the Agreement:

Substantive programmatic work is being transferred to another agency (sub-recipient) under this Agreement, as follows:

Scope of transfer:

Agency name:

Address:

Telephone number: ()

Contact person:

II. For some States, the following provision applies (insert "Safety" or "Health" as appropriate):

This Agreement covers consultation for _____ only; a separate agreement between OSHA and the State will cover _____.

Assurances and Certifications Non-Construction Programs

Note: Some of these assurances may not be applicable to your project. If you have questions, please contact the awarding agency. Some Federal awarding agencies may require applicants to certify to additional assurances. If this is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accord with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of the Office of Personnel Management's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352), which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) Title VI of the Civil

Rights Act of 1964 (42 U.S.C. 2000d) and Section 188 of the Workforce Investment Act of 1998 (P.L. 105-220), as it relates to the prohibition against national origin discrimination for persons with limited English proficiency (pursuant to Executive Order 13166 issued August 11, 2000); (j) any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made; and (k) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply with Executive Orders 12876, 12900, 12928, and 13021 by strongly encouraging contractors to provide subcontracting opportunities to Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities.
8. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of federal participation in purchases.
9. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
10. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally-assisted construction sub-agreements.
11. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance, if the total cost of insurable construction and acquisition is \$10,000 or more.
12. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains in accord with EO 11988; (e) assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of federal actions to state (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

13. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.), related to protecting components or potential components of the national wild and scenic rivers system.
14. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
15. Will comply with the National Research Act (P.L. 93-348), regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
16. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by this award of assistance.
17. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 (P.L. 98-502), the Single Audit Act Amendments of 1996 (P.L. 104-156), and OMB Uniform Guidance 2 CFR 200 and DOL 2 CFR 2900.
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.
20. Will comply with the requirements of the Federal Funding Accountability and Transparency Act (2 CFR Part 170) and the Universal Identifier and Central Contractor Registration (2 CFR Subtitle A, Chapter I and Part 25).
21. In accord with Section 516 of the 1989 Department of Labor Appropriation Act, the grantee agrees that when issuing statements, press releases, requests for proposals, bid solicitations or other documents describing the grant project or program, the grantee shall clearly state the percentage of the total costs of the program or project which will be or is being financed with federal money.
22. In accord with the Drug-Free Workplace Act of 1988, the grantee certifies that it will provide a drug-free workplace by:
 - a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - b. Establishing a drug-free awareness program to inform employees about:

- i. The dangers of drug abuse in the workplace;
 - ii. The grantee's policy of maintaining a drug-free workplace;
 - iii. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - iv. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- d. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - i. Abide by the terms of the statement; and
 - ii. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- e. Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- f. Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - i. Taking appropriate personnel action against such an employee, up to and including termination; or
 - ii. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;
- g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

Lobbying Certification

A. The undersigned certifies, to the best of his or her knowledge and belief, that:

No federal appropriated funds have been paid or will be paid by or on behalf of the undersigned to any person for influencing or attempting to influence an officer or an employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal award, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal award, grant, loan, or cooperative agreement.

B. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal grant, the undersigned shall complete and

submit Standard Form-LLL, "Disclosure of Lobbying Activity," in accord with its instructions.

- C. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants) and that all sub-recipients shall certify and disclose accordingly.
- D. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure.
- E. Section 18 of the "Lobbying Disclosure Act of 1995," signed by the President on December 19, 1995, requires that any organization described in Section 501(c)(4) of the Internal Revenue Code of 1986 which engages in lobbying activities shall not be eligible for the receipt of Federal funds constituting an award, grant or loan.

- 1) **This is to certify that we are _____/are not _____ an IRS 501(c)(4) entity.**
- 2) **As an IRS (501(c)(4) entity, we have _____/have not _____ engaged in lobbying activities.**

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

OSHA Restrictions and Conditions

As the duly authorized representative of the applicant, I certify that the applicant:

1. Takes responsibility for encouraging employers to request consultative assistance and shall publicize the availability of its consultative service and the scope of the service that will be provided.
2. Explains to employers that the employer receiving On-site Consultation services remains under statutory obligation to provide safe and healthful working conditions to their employees.
3. Explains to employers that no referrals will be made to OSHA enforcement unless the employer fails to eliminate a serious hazard identified by a consultant.
4. Explains to the employer the requirements for participation in the Safety and Health Achievement Recognition Program (SHARP).
5. Explains to employers requirements for attainment of Pre-SHARP status.
6. Assigns priority in scheduling to requests from businesses with the most hazardous operations, with primary attention to smaller businesses. Preference is given to the smaller businesses that are in high-hazard industries or that have the most hazardous conditions at issue in the request.
7. Prepares appropriately for visits, including making the appropriate provisions for the personal safety and health of the consultant(s) conducting the visit or activity.
8. Conducts an initial on-site visit consisting of an opening conference, an examination of those aspects of the employer's safety and health program that relate to the scope of the visit, a hazard survey, and a closing conference.
9. Retains the right to confer with employees during an on-site visit.
10. During the opening conference, explains the relationship between On-site Consultation and enforcement and also explains the employer's obligation to protect employees if certain hazardous conditions are identified.
11. Focuses on-site activity primarily on those areas, conditions, or hazards within the requested scope of the visit.
12. During on-site activity, advises the employer of the employer's obligations and responsibilities under applicable Federal or State law and implementing regulations.
13. When identifying hazards, indicates to the employer, using the consultant's best judgment, whether the situation would be classified as a serious or other-than-serious hazard.

14. Informs the employer that the employer is obligated to take immediate action to eliminate hazards that pose an imminent danger.
15. Establishes a time frame for the correction of each hazard identified during on-site activity, provides the employer with a "List of Hazards," and advises the employer to post the "List" until the hazard is corrected or for three days, whichever is longer.
16. Ensures that employers who have been granted extensions for the correction of serious hazards demonstrate having made a good-faith effort to correct the hazard within the established time frame; show evidence that correction has not been completed because of factors beyond the employer's control; and show evidence that the employer is taking all available interim steps to safeguard the employees against the hazard(s) during the correction period. All assurances regarding the correction of serious hazards must be in writing.
17. Informs the employer that the employer's failure to correct an identified serious hazard within the established time frame (or extension of the time frame) results in notification of the appropriate OSHA enforcement authority.
18. Ensures that the appropriate OSHA enforcement authority is notified if an employer fails to take the action necessary to correct a serious hazard within the established time frame or any extensions granted.
19. Prepares and sends to the employer a written report containing substantive findings or recommendations.
20. Preserves the confidentiality of information which identifies employers who have requested the services of the On-site Consultation Program as well as information pertaining to and/or obtained during an on-site visit, such as the employer's written report.
21. Preserves the confidentiality of information pertaining to commercial or trade secrets that may have been obtained during an on-site visit.
22. Conducts consultative activity independently of any OSHA enforcement activity.
23. Does not provide to OSHA the identity of, or files pertaining to, employers requesting On-site Consultation Program services for any compliance inspection or scheduling activity, except in cases where the employer has failed to eliminate an imminent danger, failed to correct or eliminate a serious hazard, or where the employer has elected to participate in SHARP or a cooperative program that permits an exemption or deferral from enforcement inspections.
24. Assures that On-site Consultation visits already in progress have priority over OSHA compliance inspections except in the case of imminent danger, fatality/catastrophe investigations, complaint investigations, referrals, or other investigations deemed critical by the Assistant Secretary.

25. Terminates on-site visits in response to imminent danger, fatality/catastrophe investigations, complaint investigations or other investigations deemed critical by the Assistant Secretary.
26. Does not conduct On-site Consultation visits while OSHA enforcement inspections are “in Progress.” On-site consultations shall take place only with regard to those citation items which have become final orders.
27. Explains to the employer that requirements pertaining to serious hazards apply equally to other-than-serious hazards for participation in SHARP.
28. Uses consultants who are employees of the state and are qualified under state requirements for employment in the field of occupational safety and health.
29. Applies minimum requirements for consultants that include the ability to recognize hazards and assess employee exposure and risk, knowledge of OSHA standards, knowledge of hazard correction techniques and practices, knowledge of workplace safety and health program requirements, skill in effective written and oral communication, and any additional degrees or experience required by the Assistant Secretary.
30. Maintains an organized system for monitoring the performance of consultants.
31. Organizes and compiles information relating to the training conducted by consultants, including the type of training, the identity of individuals conducting such training, how often such training is offered, and makes such information available to the Regional Administrator upon request. This should include information related to both training visits and compliance assistance.
32. Submits narrative reports and compiles and submits data, such as Integrated Management Information System (IMIS) data, or data from its successor the OSHA Information System (OIS), that is needed for monitoring and evaluation purposes, as required, to the Regional Administrator.
33. Agrees to pay OSHA for mainframe processing services, telecommunications and other services provided through IMIS, or its successor, the OIS, based on quarterly bills. The fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 1st. Any adjustments between actual charges and estimates will be made in the first quarter of the following fiscal year, as necessary.
34. Agrees to adhere to all requirements for OSHANet participation (including hardware and software specifications) and to pay OSHA for requested services provided, including telecommunications charges, an annual service fee for operation and maintenance costs, software licenses, set-up of sites, servers, inappropriate use investigations, retrieval of information related to e-discovery requirements, and annual user fees for remote access. States must maintain an appropriate maintenance and repair contract for their OSHANet network equipment (server/backup unit/router/power supply) after the initial warranty period expires. (For items billed

- quarterly, the fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 1st. Any adjustments between actual charges and estimates will be made in the first quarter of the following fiscal year, as necessary.)
35. Consults with the Directorate of Administrative Programs and any other designated official prior to expending Federal or State matching funds for the purchase of any data processing/computer equipment or software that will be used to connect to OSHA systems (locally or remotely) or otherwise provide information to OSHA to assure that equipment and software meet the current requirements necessary to run or operate OSHA applications even if not participating in OSHANet. Desktop or laptop computers and software that will be used to access OSHA systems, including the CSHO and On-site Consultation PC Applications, Whistleblower application, and new web-based and other applications as deployed, etc., must meet the minimum OSHA specifications. Current hardware and software specifications are posted on the IT Help Desk page on the OSHA Intranet/Limited Access Page and are available in Appendix P.
 36. Agrees that all new desktop and laptop computers conform with the Directorate of Administrative Programs standard desktop/laptop configurations, operating system and Microsoft products (currently Windows 7).
 37. Agrees that all desktops and laptops that connect to the OSHANet must be configured with the OSHA image. Software that is not part of the OSHA standard image must be approved by the Directorate of Administrative Programs prior to purchase and once received must be approved for installation.
 38. If not participating in OSHANet, assures, in order to protect sensitive information, including Personally Identifiable Information, and to meet Office of Management and Budget (OMB) and Department of Labor requirements, that encryption software meeting the requirements of the NIST Federal Information Processing Standards (FIPS) 140-2 has been installed on all computers/devices that access OSHA systems, and its use required by all users. This must include full disk encryption of all mobile computers and file-level encryption of data downloaded from OSHA information systems to portable storage devices.
 39. If participating in OSHANet submits a consolidated monthly report of staff separations and hires from each State IT person or other designated staff by the 15th of each month for the previous month to OSHA at HIRETERM@DOL.GOV. This will allow the Directorate of Administrative Programs to perform the required audit of new and deleted accounts from the system and ensure that all required account request documentation has been received. State recipients that participate in the OSHA IMIS system or the OIS are also required to provide the same monthly reports.

40. If participating in OSHANet and the OSHA IMIS system or the OIS submits an account request form with the signed security training form if a new account is requested. Upon separation, an account deletion form for each application is required to be submitted the same day of departure. The form should clearly mark the account(s) to be deleted (i.e., Citrix, OSHANet, IMIS, OIS, etc.) and faxed to the OSHA IT Help Desk at 202-693-1617 (fax).
41. Agrees that all system users (OSHANet and other OSHA applications) must adhere to Federal, Department of Labor (DOL), and OSHA computer security and inventory of Federal Government assets issued (i.e., tokens) policies and procedures.
42. Agrees that all OSHA system users will complete the DOL Information System Security Awareness (ISSA) Training and any other federally mandated or DOL-required computer security training to be specified, within the time frame prescribed by the Directorate of Administrative Programs.
43. Agrees that all users of the OSHANet and other OSHA applications will adhere to the Rules of Behavior, which can be found at Appendix P.
44. Agrees to all agency requirements for use of Extranet accounts, including assignment of an approving official in each state for all new accounts, review by the approving officials to ensure the validity of all accounts every 6 months, and requirements for passwords for individual accounts.
45. Understands that all desktops, laptops and servers connected to the OSHANet are subject to an annual software audit to ensure compliance with Executive Order 13103, "Computer Software Piracy," the U.S. Copyright Act, Title 17 U.S.C., Department of Labor software management and acceptable use policy, and vendor software license agreements. If an audit is run, all supporting documentation and required corrections must be provided to close all audit findings within the specified time frame.
46. Understands that no Section 21(d) or matching state funds may be expended for the purchase of internal peripherals or other modifications, except replacement parts, in conjunction with the NCR equipment, without prior approval from the Directorate of Administrative Programs. States must maintain an appropriate maintenance and repair contract for their NCR equipment, until OIS is fully implemented.
47. Understands that no legal liability on the part of OSHA arises until the appropriation is made available within OSHA to fund the obligation. Will not begin grant activities under the FY 2017 grant until appropriations availability is indicated in the award notification letter.
48. Will not expend any 21(d) or matching state funds from this agreement to fund activities or provide services to farms with ten or fewer employees where there has been no temporary labor camp in the previous twelve months. (Only State Plan states may conduct visits on these farms, provided that 100 percent state funds are used, and the State has an accounting system in place to assure that no Section 21(d) or matching funds are expended on these activities.)

49. Will not expend any 21(d) or matching state funds from this agreement to fund the purchase of equipment and/or to support programmatic efforts under the jurisdiction of and/or funded by another Federal agency.
50. Will ensure that any funding provided by another Federal agency related to safety and health training and/or equipment will not undermine 21(d) On-site Consultation activity.
51. States are encouraged to promote safety or health professional certification of their employees by a nationally recognized accrediting organization. Cooperative Agreement funds may be used to pay for the costs associated with a professional certification preparation course and the examination, including travel and per diem. No Section 21(d) or matching state funds may be expended for costs associated with a second or subsequent attempt to obtain certification by employees who fail on their first attempt, except for the cost of the examination itself and related travel and/or per diem for a second attempt only. Certification costs cannot exceed the percentage of time for which an employee is dedicated to the cooperative agreement.
52. Will not expend 21(d) or matching state funds for annual fees associated with maintaining professional certifications.
53. Agrees to pay OSHA for costs associated with the conduct of OSHA Training Institute (OTI) training courses conducted for the state at the state's request. The state will pay for travel and per diem for OTI instructors, shipping charges, consultant trainer fees, equipment rental and training facility rental. All bills must be paid upon receipt but no later than September 1st. Any adjustments between actual charges and estimates will be made in the first quarter of the following fiscal year, as necessary.
54. Agrees to allow and require their consultants to attend mandated training, including training that may only be offered out-of-state.
55. Agrees to comply with monitoring requirements contained in 29 CFR 1908, the Consultation Policies and Procedures Manual, or in the Cooperative Agreement (including Mandated Activities Report for Consultation (MARC) requirements) and understands that failure to do so may result in noncompliance with the OSHA cooperative agreement.
56. Will ensure that all visits are coded as accurately and completely as possible in OIS, including information involving Emphasis Codes and Strategic Codes (refer to codes provided in Appendix F). OSHA recognizes that a few On-site Consultation Projects are transitioning to OIS. These Projects will come into compliance with this Condition when the transition is complete.

57. The grantee understands that participation in blended course work (a course that is a combination of web-based training and instructor led training offered through the OSHA Training Institute (OTI)) requires the grantee and its students to be able to receive automatic email course notifications from OSHA's third party web-based training hosting service (CourseMill) at their official work issued email addresses.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

APPENDIX B
Checklist and Recommended Order of Required Documents
for the Federal On-site Consultation Cooperative Agreement

Mandatory Forms (must be electronically completed in Grants.gov)

- Application for Federal Assistance (SF-424)
- Budget Information - Non-Construction Programs (SF-424A)

Mandatory Attachments (may be scanned into one Adobe Acrobat file or submitted individually).

(OSHA prefers that the entire application be submitted as a single document, but if that is not possible, be aware that no more than 15 attachments can be submitted with the application.)

The Consultation Annual Project Plan (CAPP):

- Overview of the On-site Consultation Project
 - Organizational Chart
 - Staffing Chart
 - Changes in Project's Status (if any)
- Operational Description by Annual Performance Goal
- Projected Program Activities
- Strategy and Targets for the Safety and Health Achievement Recognition Program
- Changes to the Internal Quality Assurance Program

The Cooperative Agreement for OSHA On-site Consultation:

Cooperative Agreement for OSHA On-site Consultation under Sections 21(c) and 21(d) of the *Occupational Safety and Health Act of 1970*, including:

- Assurances and Certifications: Non-Construction Programs
- Lobbying Certifications
- OSHA Restrictions and Conditions
- Equipment Inventory
- Approved On-site Consultation Equipment Procurement Listing
- Training Plan
- Accompanied Visit Plan

Other Financial Forms:

- Cooperative Agreement (Form OSHA-110)
- Supporting Details of Anticipated Costs
 - Consultation
 - Administration

APPENDIX C
Checklist of Required Components of the CAPP

<input type="checkbox"/>	<p>Organizational Chart. Include names of staff members and their disciplines, and indicate percent of time each staff is on the grant and percent of time in position(s) shown.</p>
<input type="checkbox"/>	<p>Staffing Chart and Safety and Health Certification Chart. (See Appendix D). The chart must contain the number of full and part-time staff employed by the On-site Consultation Project, expressed in full-time equivalents (FTEs), for each category of staff. All projects must have the equivalent of two safety and two health professionals, in addition to managerial and support personnel. The numbers in the chart in Appendix D are examples only. The certification chart should include staff names and list all safety and health certifications.</p>
<input type="checkbox"/>	<p>Description of any changes in the On-site Consultation Project's status. <u>Change(s) in Project's Status.</u> Any changes in the status of the Project, such as the organizational unit within which the On-site Consultation Project is located or the structure of the unit or organization must be provided.</p>
<input type="checkbox"/>	<p>Detailed operational description identifying the year's strategies, activities, and their intended outcomes. List and discuss <i>each</i> of the applicable OSHA Annual Operating Plan areas of emphasis to be supported by the Project, local emphasis programs and special initiatives, including a description of each of the following elements:</p> <ol style="list-style-type: none"> 1. <u>Strategies.</u> Describe the specific strategies that will be used to target results for that performance goal (for example, developing and promoting a Web-based chat room for discussion of safety and health program issues, or partnering with other state agencies to promote training around the state). 2. <u>Activities.</u> List the type and projected number of activities. These should correspond to the activities listed in the Projected Activity Chart. 3. <u>Impact.</u> Describe the anticipated impact of performing the activities described. Anticipated impacts must be directly <i>attributable</i> to strategies and activities stated. <p>The tabular format in Appendix E contains the categories of all required information.</p>
<input type="checkbox"/>	<p>Projected Program Activities Chart. Estimate the total number of On-site Consultation activities to be performed during the year covered by the project plan, broken out by annual performance goal. Include the following information:</p> <ol style="list-style-type: none"> 1. Visits 2. Combined Total Visits 3. Safety and Health Achievement Recognition Program (SHARP) 4. Pre-SHARPs 5. Compliance Assistance/Other Non-Visit Related Activities 6. Industries, Hazards and Measure Statistics <p><u>Appendix F-1</u> Contains the categories of all <u>required</u> information for 21(d) projects in federal jurisdiction states and State Plans adopting the federal emphasis industries, hazards and measures.</p> <p><u>Appendix F-2</u> Contains categories of all <u>required</u> information for 21(d) Projects in State-Plan states with state emphasis industries, hazards, and measures.</p>
<input type="checkbox"/>	<p>Description of the On-site Consultation Project's strategy and targeted industries for marketing On-site Consultation services and SHARP.</p>
<input type="checkbox"/>	<p>Detailed description of changes to its Internal Quality Assurance program.</p>

**APPENDIX D-1
Staffing Chart (Sample)**

ON-SITE CONSULTATION PROJECT STAFF CATEGORY	NUMBER OF 21(d) STAFF	
	FILLED FTE POSITIONS ***	VACANT FTE POSITIONS **
1. Managerial Staff	0.75	0
2. Supervisors	0.5	0.5
3. Consultants–Safety	1.50*	0.5
4. Consultants–Health	2.00	0
5. 100% State-Funded Consultants – Safety	0.50	0
6. 100% State-Funded Consultants – Health	0.50	0
7. Clerical/Data Systems Support	2.00	0
8. Marketing Staff	0.25	0
9. Trainers	1.00	0
10. Other (identify)	0.25	0
TOTALS	9.25	1.0

* Prior approval received from Director of DCSP.

** Positions vacant at the time of application submission.

*** Occupational Safety and Health Professionals should be represented in this column as the percentage of time they are dedicated to each discipline (e.g., safety or health). Report only occupied positions at the time of application submission.

APPENDIX D-2
Safety and Health Certifications Chart (Sample)

Staff Name	Safety and Health Certifications
Ex: Joe Smith	Certified Safety Professional, Certified Industrial Hygienist

APPENDIX E
Operational Descriptions by Strategies, Activities, and Outcomes

The current OSHA Operating Plan may be accessed at <http://www.labornet.dol.gov/workplaceresources/policies/Strategic-Plan>

Federal Area of Emphasis Statement	On-site Consultation Strategy	Description of Planned On-site Consultation Activities	Anticipated Impact of On-site Consultation Activities¹
<p>Area of Emphasis</p> <p style="text-align: center;">EXAMPLE:</p> <p>Reduce occupational hazards through direct interventions.</p>	<p>EXAMPLE:</p> <p>1.1. Improve targeting to maximize the impact of direct interventions.</p> <p>a. Annually analyze data to identify best targets for direct interventions.</p> <p>b. Annually communicate priorities and effective intervention approaches.</p> <p>1.2. Reduce hazards by intervening at targeted worksites.</p> <p>a. Provide on-site consultation services to high-hazard worksites.</p> <p>1.3 Improve effectiveness of direct interventions.</p> <p>a) Analyze results and effectiveness of direct interventions to determine their impact on fatality, injury and illness rates.</p> <p>b) Identify and implement adjustments, including targeting new areas that will increase impact of direct intervention activities.</p>	<p>Activity 1 ...</p> <p style="text-align: center;">EXAMPLE:</p> <p>Provide information here on # of visits; will eventually be looking for # of hazards abated, if available.</p> <p>Activity 2 ...</p>	<p>Result 1</p> <p style="text-align: center;">EXAMPLE:</p> <p>Reduction of occupational hazards through direct interventions.</p> <p>Result 2</p>
Area of Emphasis		Activity 1... Activity 2...	Result 1 Result 2
Area of Emphasis			
Local Emphasis Program			
Special Initiative			

¹ Anticipated impacts listed in this column must be directly *attributable* to strategies and activities stated for Emphasis Area. A decrease statewide in the number of fatalities, injuries or occupational illnesses reported by the state cannot be directly attributed to Consultation efforts and must not be listed here as an anticipated impact.

Appendix F-1 PROJECTED PROGRAM ACTIVITIES

Consultation Federal States and States that have adopted emphasis industries, hazards, and measures identical to OSHA's.

(NAME OF STATE) FY 2017 OPERATING PLAN

ACTIVITY & AREAS OF EMPHASIS	Safety	Health	Both ←	Total
1. Total Visits (Initial, Training/Education, and Follow-up)				
a. Agriculture				
b. Construction				
c. General Industry				
d. Manufacturing				
e. Maritime				
2. Visits Related to Emphasis Industries	Safety	Health	Both	Total
a. Nursing and Residential Care Facilities				
b. Residential Building Construction				
c. Commercial & Institutional Building Construction				
d. Highway, Street & Bridge Construction				
e. Site Preparation (Demolition)				
f. Power and Communication Line and Related Structures				
g. Primary Metals Industries				
h. PSM Covered Chemical Facilities				
i. Shipbreaking				
j. Poultry Processing and Slaughtering				
Total Visits Related to Emphasis Industries				
3. Visits Related to Emphasis Safety and Health Hazards	Safety	Health	Both	Total
a. Lead				
b. Crystalline Silica				
c. Combustible Dust				
d. Hexavalent Chromium				
e. Trenching				

This column reports the number of projected Consultation visits in which one consultant conducts a combined Safety and Health visit.

f. Isocyanates				
g. Manufacturing Amputations				
h. Confined Spaces				
i. Other LEPs (Construction and Non-Construction)				
4. Activities Related to Agency Measures	Safety	Health	Both	Total
a. Activities related to fatalities in the construction industry associated with the four leading causes of workplace death – falls, electrocutions, caught-in/between, and struck-by.				
b. Activities related to fatalities in general industry associated with the four leading causes of workplace death – falls, electrocutions, caught-in/between, and struck-by.				
c. Number of hazards abated associated with hearing loss in construction and manufacturing.				
d. Number of hazards abated associated with illnesses in general industry and construction.				
e. Number of hazards abated associated with workplace amputations.				
f. Number of employees removed from hazards through voluntary requests from employers participating in the Consultation program.				
SHARP and Pre-SHARP / Compliance Assistance Activities Projections				
5. Total Current SHARP Sites (at time of application)				
5a. Projected New SHARP sites in FY 2017				
5b. Projected SHARP Renewals in FY 2017				
6. Projected Total SHARP sites at end of FY 2017				
7. Total Projected Pre-SHARP sites in FY 2017				
8. Total Projected Compliance Assistance Activities				

3i. Estimate the number of visits in support of other Regional and Area Office LEPs.

10. Estimate the number of Compliance Assistance Activities, especially speeches, presentations, and off-site (non-visit related) training.

Definitions for the FY 2017 Operating Plan Projected Program Activities Areas of Emphasis

Please note that if a change occurs to the NAICS listings during the fiscal year, contact your Regional Administrator for guidance. Also, please ensure that codes representing strategic codes, standards, and emphasis areas are entered accurately in OIS.

When entering the codes in OIS, please pay particular attention to the coding since OIS will not automatically count visits in emphasis industries and areas. Manual addition of related codes is required by the project in order for the visit to be counted in the CAPP report.

2. Emphasis Industries

a) NAICS 622 (Hospitals) 623110, 623210 and 623311 Nursing and Residential Care Facilities

OSHA guidance for inspections conducted in inpatient healthcare settings, issued June 25, 2015, targets NAICS major groups 622 (hospitals) and 623110, 623210 and 623311 (nursing and residential care facilities). The specific hazards being addressed include ergonomic stressors in patient or resident handling, bloodborne pathogens, tuberculosis, workplace violence, and slips, trips and falls.

Coding in OIS: If any consultation activity meeting the definitions of this healthcare initiative and NAICS 622, 623110, 623210 or 623311, the OIS Additional Code: "N-03-Nursing-Hosp" should be selected at the Request level (if known), Visit level, and the Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Hospitals and Nursing and Residential Care Facilities for either Federal or State Plan jurisdiction. Note that additional coding for ergonomic activity must be consistent with the existing field guidance for OIS coding.

b) NAICS 23611 Residential Building Construction

This industry comprises establishments primarily responsible for the construction or remodeling and renovation of single-family and multifamily residential buildings. Included in this industry are residential housing general contractors (i.e., new construction, remodeling or renovating existing residential structures), operative builders and remodelers of residential structures, residential project construction management firms, and residential design-build firms.

Operations related to jobs that fall into other industry classifications, such as sub-contractors and construction services, are listed in the table "NAICS codes applying to residential building construction; commercial and institutional building construction; highway, street, and bridge construction; site preparation (demolition); and power and communication line and related structures construction (communication towers)" at the end of this section.

Cross-References. Establishments primarily engaged in –

- Performing specialized construction work on houses and other residential buildings, generally on a subcontract basis -- are classified in Subsector 238, Specialty Trade Contractors;
- Performing manufactured (mobile) home setup and tie-down work -- are classified in Industry 238990 All Other Specialty Trade Contractors; and

- Constructing and leasing residential buildings on their own account -- are classified in Industry 531110 Lessors of Residential Buildings and Dwellings.

The following link has more information on Residential Construction <http://www.census.gov/cgi-bin/sssd/naics/naicsrch?code=23611&search=2007>.

Coding in OIS: If any consultation activity is associated with Residential Construction, then the OIS Federal Strategic Initiative Program code: “RESIDENTIAL CONSTR” should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Residential Building Construction for either Federal or State Plan jurisdiction.

c) NAICS 23622 Commercial and Institutional Building Construction

This industry comprises establishments primarily responsible for the construction (including new work, additions, alterations, maintenance, and repairs) of commercial and institutional buildings and related structures, such as stadiums, grain elevators, and indoor swimming pools. This industry includes establishments responsible for the on-site assembly of modular or prefabricated commercial and institutional buildings. Included in this industry are commercial and institutional building general contractors, commercial and institutional building operative builders, commercial and institutional building design-build firms, and commercial and institutional building project construction management firms.

Operations related to jobs that fall into other industry classifications, such as sub-contractors and construction services are listed in the table “NAICS codes applying to residential building construction; commercial and institutional building construction; highway, street, and bridge construction; site preparation (demolition); and power and communication line and related structures construction (communication towers)” at the end of this section.

Cross-References. Establishments primarily engaged in –

- Constructing structures that are integral parts of utility systems (e.g., storage tanks, pumping stations) or are used to produce products for these systems (e.g., power plants, refineries) -- are classified in Industry Group 2371 Utility System Construction, based on type of construction project;
- Performing specialized construction work on commercial and institutional buildings generally on a subcontract basis -- are classified in Subsector 238, Specialty Trade Contractors; and
- Constructing buildings on their own account for rent or lease -- are classified in Industry Group 5311 Lessors of Real Estate.

The following link has more information on Commercial and Institutional Building Construction <http://www.census.gov/cgi-bin/sssd/naics/naicsrch?code=23622&search=2007>.

Coding in OIS: If any consultation activity is associated with this emphasis program, then the OIS Federal Strategic Initiative Program code: “COMMERCIAL CONSTR” should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Commercial and Institutional Building Construction for either Federal or State Plan jurisdiction.

d) NAICS 237310 Highway, Street, and Bridge Construction

This industry comprises establishments primarily engaged in the construction of highways (including elevated), streets, roads, airport runways, public sidewalks, or bridges. The work performed may include new work, reconstruction, rehabilitation, and repairs. Specialty trade contractors are included in this group if they are engaged in activities primarily related to highway, street, and bridge construction (e.g., installing guardrails on highways).

Operations related to jobs that fall into other industry classifications such as sub-contractors and construction services listed in the table “NAICS codes applying to residential building construction; commercial and institutional building construction; highway, street, and bridge construction; site preparation (demolition); and power and communication line and related structures construction (communication towers)” at the end of this section.

Cross-References. Establishments primarily engaged in —

- Constructing tunnels -- are classified in Industry 237990 Other Heavy and Civil Engineering Construction;
- Highway lighting and signal installation -- are classified in Industry 238210 Electrical Contractors;
- Painting bridges -- are classified in Industry 238320 Painting and Wall Covering Contractors; and
- Constructing parking lots and private driveways and sidewalks, or erecting billboards -- are classified in Industry 238990 All Other Specialty Trade Contractors.

The following link has more information on Highway, Street, and Bridge Construction

<http://www.census.gov/cgi-bin/sssd/naics/naicsrch?code=237310&search=2007>.

Coding in OIS: If any consultation activity is associated with this emphasis program and NAICS listed for Highway, Street, and Bridge Construction above, then the OIS Federal Strategic Initiative Program code: “HWY STREET BRIDGE CONSTR” should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Highway, Street, and Bridge Construction for either Federal or State Plan jurisdiction.

e) NAICS 238910 Site Preparation (Demolition)

This industry comprises establishments primarily engaged in site preparation activities, such as excavating and grading, demolition of buildings and other structures, and septic system installation. Earth moving and land clearing for all types of sites (e.g., building, nonbuilding, mining) are included in this industry. Establishments primarily engaged in construction equipment rental with operator (except cranes) are also included.

Operations related to jobs that fall into other industry classifications, such as sub-contractors and construction services, are listed in the table “NAICS codes applying to residential building construction; commercial and institutional building construction; highway, street, and bridge construction; site preparation (demolition); and power and communication line and related structures construction (communication towers)” at the end of this section.

Cross-References. Establishments primarily engaged in--

- Earth retention or underwater trenching--are classified in Industry 237990, Other Heavy and Civil Engineering Construction;
- Crane rental with operator--are classified in Industry 238990, All Other Specialty Trade Contractors;
- Overburden removal as an activity prior to mineral removal from quarries or open pit mines--are classified in Sector 21, Mining, Quarrying, and Oil and Gas Extraction;
- Drilling oil and gas field water intake wells--are classified in U.S. Industry 213111, Drilling Oil and Gas Wells;
- Dismantling tanks in oil fields--are classified in U.S. Industry 213112, Support Activities for Oil and Gas Operations;
- Construction equipment rental without an operator--are classified in U.S. Industry 532412, Construction, Mining, and Forestry Machinery and Equipment Rental and Leasing;
- Tree and brush trimming for overhead utility lines--are classified in Industry 561730, Landscaping Services; and
- Nuclear power plant decommissioning and environmental remediation work, such as the removal of underground steel tanks for hazardous materials--are classified in Industry 562910, Remediation Services.

The following link has more information on Site Preparation

<http://www.census.gov/cgi-bin/sssd/naics/naicsrch?code=238910&search=2007>

Coding in OIS: If any consultation activity is associated with this emphasis program and NAICS listed for Site Preparation above and below, then OIS will pull the Activity (Request, Visit, Compliance Assistance Activity) into the appropriate CNS reports. Add any additional codes for related Regional or local emphasis programs in Site Preparation (Demolition) for either Federal or State Plan jurisdiction.

f) NAICS 237130 Power and Communication Line and Related Structures Construction (Communication Towers)

This industry comprises establishments primarily engaged in the construction of power lines and towers, power plants, and radio, television, and telecommunications transmitting/receiving towers. The work performed may include new work, reconstruction, rehabilitation, and repairs. Specialty trade contractors are included in this group if they are engaged in activities primarily related to power and communication line and related structures construction. All structures (including buildings) that are integral parts of power and communication networks (e.g., transmitting towers, substations, and power plants) are included.

Operations related to jobs that fall into other industry classifications, such as sub-contractors and construction services, are listed in the table “NAICS codes applying to residential building construction; commercial and institutional building construction; highway, street, and bridge construction; site preparation (demolition); and power and communication line and related structures construction (communication towers)” at the end of this section.

Cross-References. Establishments primarily engaged in--

- Constructing hydroelectric generating facilities--are classified in Industry 237990, Other Heavy and Civil Engineering Construction;
- Constructing broadcast studios and similar nonresidential buildings--are classified in Industry 236220, Commercial and Institutional Building Construction;

- Performing electrical work within buildings--are classified in Industry 238210, Electrical Contractors and Other Wiring Installation Contractors;
- Line slashing or cutting (except maintenance)--are classified in Industry 238910, Site Preparation Contractors;
- Installing and maintaining communication transmission lines performed by telecommunications companies--are classified in Subsector 517, Telecommunications;
- Locating underground utility lines prior to digging--are classified in Industry 561990, All Other Support Services; and
- Tree and brush trimming for overhead utility lines--are classified in Industry 561730, Landscaping Services.

The following link has more information on Communication Towers

<http://www.census.gov/cgi-bin/sssd/naics/naicsrch?code=237130&search=2007>

Coding in OIS: If any consultation activity is associated with this emphasis program and falls under the NAICS listed for Communication Towers above and below, then OIS will pull the Activity (Request, Visit, Compliance Assistance Activity) into the appropriate CNS reports. Add any additional codes for related Regional or local emphasis programs in Power and Communication Line and Related Structures Construction for either Federal or State Plan jurisdiction.

NAICS codes applying to residential building construction; commercial and institutional building construction; highway, street, and bridge construction; site preparation (demolition); and power and communication line and related structures construction (communication towers)

NAICS	Industry	SIC
221122	Electric power distribution	4911, 4931, 4939
221210	Natural gas distribution	4923, 4924, 4925, 4932, 4939
221300	Water, sewage, and other systems	4971, 4941
236115	New single-family housing construction (except operative builders)	1521
236116	New multifamily housing construction (except operative builders)	1522
236117	New housing operative builders	1531
236118	Residential remodelers	1521, 1522, 1531
236210	Industrial building construction	1531, 1541, 1629
236220	Commercial and institutional building construction	1531, 1541, 1542
237110	Water and sewer line and related structures construction	1623, 1629, 1781
237120	Oil and gas pipeline and related structures construction	1389, 1623
237130	Power and communication line and related structures construction	1623
237210	Land subdivision	6552
237310	Highway, street, and bridge construction	1611, 1622
237990	Other heavy and civil engineering construction	1629
238110	Poured concrete foundation and structure contractors	1711

NAICS codes applying to residential building construction; commercial and institutional building construction; highway, street, and bridge construction; site preparation (demolition); and power and communication line and related structures construction (communication towers)

NAICS	Industry	SIC
238120	Structural steel and precast concrete contractors	1791
238130	Framing contractors	1751
238140	Masonry contractors	1741, 1771
238150	Glass and glazing contractors	1793
238160	Roofing contractors	1761
238170	Siding contractors	1761
238190	Other foundation, structure, and building exterior contractors	1791
238210	Electrical contractors	1711, 1731
238220	Plumbing, heating, and air-conditioning contractors	1711
238290	Other building equipment contractors	1796
238310	Drywall and insulation contractors	1742
238320	Painting and wall covering contractors	1721
238330	Flooring contractors	1752
238340	Tile and terrazzo contractors	1743
238350	Finish carpentry contractors	1751
238390	Other building finishing contractors	1799
238910	Site preparation contractors	1794, 1795
238990	All other specialty trade contractors	1799

g) Primary Metals Industries

From May 19, 2011, until September 30, 2014, this was a three-year NEP with required inspection goals. As of October 20, 2014, this NEP was revised to have no expiration date and no required programmed inspection goals, but retaining the prior NEP's same inspection procedures, citation guidance, and outreach information. Previous inspections of primary metal establishments have resulted in citations for overexposures to a wide variety of health hazards, including chemical exposures in foundry operations, as well as physical stressors such as noise and heat. This emphasis area will continue to heighten health and safety awareness within these targeted industries such as iron foundries and establishments that manufacture nails, insulated wires and cables, steel piping, and copper and aluminum products. For more information related to this emphasis area, please review CPL-03-00-018.

NAICS codes applying to Primary Metal Industries

SIC	Industry	NAICS
3312	Steel Works, Blast Furnaces (including Coke Ovens), and Rolling Mills	324199, 331111, 331221
3313	Electrometallurgical Products Except Steel	331112
3316	Cold-Rolled Steel Sheet, Strip and Bars	331221
3317	Steel Pipe and Tubes	331210
3321	Gray and Ductile Iron Foundries	331511
3322	Malleable Iron Foundries	331511

3325	Steel Foundries, Not Elsewhere Classified	331513
3331	Primary Smelting and Refining of Copper	331411
3334	Primary Production of Aluminum	331312
3339	Primary Smelting and Refining of Nonferrous Metals, Except Copper and Aluminum	331419
3341	Secondary Smelting and Refining of Nonferrous Metals	331314, 331423, 331492
3351	Rolling, Drawing and Extruding of Copper	331421
3354	Aluminum Extruded Products	331316
3366	Copper Foundries	331525
3365	Aluminum Foundries	331524
3369	Nonferrous Foundries Except Aluminum and Copper	331528

Coding in OIS: In accordance with the Primary Metals NEP, if the Visit is associated with any of the above NAICS, the OIS NEP code PMETALS should be selected at the Request level (if known), the Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Primary Metal Industries for either Federal or State Plan jurisdiction.

h) PSM-Covered Chemical Facilities

OSHA will modify the National Emphasis Program (NEP) for inspecting facilities with highly hazardous chemicals (HHCs) in amounts at or greater than the threshold quantities listed in 29 CFR 1910.119. The NEP will include Petroleum Refineries (NAICS 32411). Programmed inspections will be conducted in facilities that are known to OSHA as having a risk of catastrophic releases. Unprogrammed inspections will take place in PSM-covered Chemical Facilities as described in the Instruction.

Coding in OIS: In accordance with the PSM-Covered Chemical NEP, if any consultation activity is associated with this emphasis program and the facility has highly hazardous chemicals, the OIS NEP code CHEMNEP should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in PSM-Covered Chemical Facilities for either Federal or State Plan jurisdiction.

i) Shipbreaking

OSHA issued a National Emphasis Program to direct Inspections of Shipbreaking operations related to 20 identified hazards and workplace activities on November 4, 2010. The applicable OSHA standards and Shipyard Employment eTool on Shipbreaking are referenced in the Directive to assist the Consultants. In addition, Consultants may use Appendix A, in the Shipyard “Tool Bag” directive, to cross-reference and apply a 29 CFR Part 1910 standard when a 29 CFR Part 1915 standard does not address a recognized hazard in shipyard employment. For more information related to this emphasis area, please review CPL 03-00-012.

Coding in OIS: In accordance with the Shipbreaking NEP, if any consultation activity is associated with this emphasis program (as defined in CPL-03-00-012), the OIS NEP code BreakSHP should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Shipbreaking for either Federal or State Plan jurisdiction.

j) Poultry Slaughtering and Poultry Processing Establishments

On October 28, 2015, OSHA issued guidance for inspections conducted in poultry slaughtering and processing establishments (NAICS 311615, Poultry Processing). Accordingly, OSHA activity should focus on the following hazards: Ergonomics/Musculoskeletal Disorders; Personal Protection Equipment (PPE)/Payment for PPE; Lockout/Tagout – Electrical; Machine Guarding; Slips, Trips, and Falls; Process Safety Management – Ammonia; Chemical hazards – Ammonia, Chlorine, Hydrogen Peroxide, Peracetic Acid, Carbon Dioxide; Occupational Noise; Egress and blocked exits; and Sanitation and cleanup operations. These hazards shall be addressed in addition to other hazards that may be the subject of the on-site visit.

Coding in OIS: For all consultation activity at establishments under NAICS Code 311615, the OIS Additional Code “N-02-POULTRY14” should be selected at the Request level (if known), Visit Level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in poultry for either Federal or State Plan jurisdiction. Coding for ergonomic enforcement activity must also be consistent with existing field guidance for OIS coding.

3. Emphasis Safety and Health Hazards

a) Lead

OSHA issued a National Emphasis Program for Lead (CPL 03-00-009) on August 14, 2008, to reduce occupational illnesses and employee exposures to lead. In addition to the industries listed in the table below, certain establishments from the following industries should also be considered (see OSHA Memorandum, *Expanded Targeting of Establishments Under the Lead NEP*, November 25, 2013):

- De-leaders – SIC 8999 / NAICS 541620, 562910
- Cleaning Contractors (at firing ranges) – SIC 7349 / NAICS 561720
- Small Arms/Ammo – SIC 3482, 3483, 3484 / NAICS 332992, 332993, 332994
- Electronic Waste Recycling – SIC 5093 / NAICS 562920
- Landscaping Services (at firing ranges) – SIC 0782 / NAICS 561730

Industries in the Lead National Emphasis Program

SIC	Industry	NAICS
1521	GC Single Family Residential Construction	236115, 236118
1522	GC Other Residential Construction	236116
1541	GC Non Residential Construction	236210, 236220
1622	Bridge Tunnel Construction	237310
1629	Heavy Construction, NEC	237990
1721	Painting & Paper Hanging	238320
1791	Steel Erection	238120
1795	Wrecking and Demolition Work	238910
1799	Special Trade Contractors NEC	237990, 238190, 238390, 238990
2816	Manufacturing: Inorganic Pigments	325130, 325180
2819	Manufacturing: Inorganic Chemicals NEC	325130, 325180, 325998

Industries in the Lead National Emphasis Program

SIC	Industry	NAICS
2821	Plastics Materials, Synthetic Resins, & Non-Vulcanizable Elastomers	325211
2851	Mfr of Paints, Varnishes, Lacquers, Enamels	325510
3053	Mfr of Gaskets, Packing and Sealing Devices	339991
3211	Manufacturing: Flat Glass	327211
3229	Manufacturing: Pressed & Blown Glass Products	327212
3231	Mfr of Glass Products Made of Purchased Glass	327215
3312	Steel Works-Blast Furnaces	331110
3331	Primary Smelting of Copper	331410
3339	Primary Smelting of Non-Ferrous Metals	331410
3341	Secondary Smelting of Non-Ferrous Metals	331314, 331420, 331492
3351	Rolling, Drawing, Extruding of Copper	331420
3356	Rolling of Non-Ferrous Metals Except Cu and AL	331491
3366	Copper Foundries	331529
3369	Non-Ferrous Foundries Except Cu and AL	331529
3399	Primary Metal Products, NEC	331110, 331221, 331314, 331420
3489	Ordinance & Accessories, NEC	332994
3491	Manufacture of Industrial Valves	332911
3492	Manufacture of Fluid Power Valves	332912
3568	Mechanical Power Transmission Equipment	333613
3675	Manufacture of Electronic Capacitors	334416
3691	Storage Batteries	335911
3692	Primary Batteries	335912
3713	Manufacture of Truck/Bus Bodies	336211
3715	Manufacture of Truck Trailers	336212
5093	Scrap and Waste Materials	423930, 425110, 424120
7532	Automotive Repair & Painting	811121
7539	Automotive Repair Shops NEC	811118, 811198
7997	Membership Sports & Recreation Clubs	713910, 713940
7999	Misc. Sports, Recreation & Amusement, NEC	713990

Coding in OIS: In accordance with the Lead NEP, if any consultation activity is associated with this emphasis program (as defined in CPL-03-00-009, where there is a potential employee exposure to lead) the OIS NEP code and the Federal Strategic Initiative Program code LEAD should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Lead for either Federal or State Plan jurisdiction.

b) Crystalline Silica

OSHA issued a Crystalline Silica National Emphasis Program (CPL 03-00-007) on January 24, 2008, to significantly reduce or eliminate employee overexposures to crystalline silica and to control the health hazards associated with such exposures. In addition to the industries listed in the table below, field offices

were directed to add to their Silica NEP targeting lists certain establishments from the following industries (see [OSHA Memorandum](#), *Silica exposures during hydraulic fracturing*, February 12, 2013):

- Drilling Oil and Gas Wells - SIC 1381 / NAICS 213111
- Oil and Gas Field Exploration Services - SIC 1382 / NAICS 213112
- Oil and Gas Field Services, Not Elsewhere Classified - SIC 1389 / NAICS 213112

Industries in the Crystalline Silica National Emphasis Program

SIC	Industry	NAICS
1521	General Contractors-Single-Family Houses	236115, 236118
1522	General Contractors-Residential Buildings Other Than Single-Family	236115, 236118
1541	General Contractors-Industrial Buildings and Warehouses	236210, 236220
1611	Highway and Street Construction, Except Elevated Highways	237310
1622	Bridge, Tunnel, and Elevated Highway Construction	237310, 237990
1623	Water, Sewer, Pipeline, and Communications and Power Line Construction	237110, 237120, 237130
1629	Heavy Construction, NEC	236210, 237110, 237120, 237130, 237990
1721	Painting and Paper Hanging	237310, 238320
1741	Masonry, Stone Setting, and Other Stone Work	238140
1742	Plastering, Drywall, Acoustical, and Insulation Work	238310
1761	Roofing, Siding, and Sheet Metal Work	238160, 238170, 238390
1771	Concrete Work	238110, 238140, 238990
1794	Excavation Work	238910
1795	Wrecking and Demolition Work	238910
1799	Special Trade Contractors, NEC	236220, 237990, 238150, 238190, 238290
3251	Brick and Structural Clay Tile	327121, 327331
3253	Ceramic Wall and Floor Tile	327122
3255	Clay Refractories	327124
3261	Vitreous China Plumbing Fixtures and China and Earthenware Fittings and Bathroom Accessories	327111
3262	Vitreous China Table and Kitchen Articles	327112
3264	Porcelain Electrical Supplies	327113
3269	Pottery Products, NEC	327112
3271	Concrete Block and Brick	327331
3272	Concrete Products, Except Block and Bricks	327332, 327390
3273	Ready-Mixed Concrete	327320
3281	Cut Stone and Stone Products	327991
3291	Abrasive Products	327910, 332999
3299	Nonmetallic Mineral Products, NEC	327112, 327420, 327999

Industries in the Crystalline Silica National Emphasis Program

SIC	Industry	NAICS
3312	Steel Works, Blast Furnaces (Including Coke Ovens), and Rolling Mills	324199, 331111, 331221
3321	Gray and Ductile Iron Foundries	331511
3322	Malleable Iron Foundries	331511
3325	Steel Foundries, NEC	331513
3334	Primary Production of Aluminum	331312
3365	Aluminum Foundries	331524
3366	Copper Foundries	331525
3369	Nonferrous Foundries, Except Aluminum and Copper	331528
3431	Enameled Iron and Metal Sanitary Ware	332998
3441	Fabricated and Structural Metal	332312
3443	Fabricated Plate Work (Boiler Shops)	332313, 332410, 332420
3444	Sheet Metal Work	332321, 332322, 332439, 333415
3471	Electroplating, Polishing, Anodizing, and Coloring	332813
3479	Coating, Engraving, and Allied Services, NEC	332812, 339911, 339912, 339914
3531	Construction Machinery and Equipment	333120, 333923, 336510
3599	Industrial and Commercial Machinery and Equipment	332710, 332813, 332999, 333319, 333999, 334519, 336399
3715	Truck Trailers	336212
5032	Brick, Stone, and Related Construction Materials	423320, 425110, 425120, 444190
7532	Top, Body, and Upholstery Repair Shops and Paint Shops	811121

Coding in OIS: In accordance with the Crystalline Silica NEP, if any consultation activity is associated with this emphasis program (as defined in CPL-03-00-007), the OIS NEP code and the Federal Strategic Initiative Program code SILICA should be selected at the Request level (if known), Visit level and Compliance Assistance Activity level. In addition, for situations where crystalline silica is used as the abrasive media when abrasive blasting, the Additional code N-02-ABRASIVE should be selected. Add any additional codes for related Regional or local emphasis programs in Crystalline Silica for either Federal or State Plan jurisdiction.

c) Combustible Dust

OSHA reissued a Combustible Dust National Emphasis Program (03-00-008) on March 11, 2008, to inspect facilities that generate or handle combustible dusts that pose a deflagration/explosion or other fire hazard. Some industries that handle combustible dusts include agriculture, chemicals, textiles, forest and furniture products, wastewater treatment, metal processing, paper products, pharmaceuticals, and recycling operations (metal, paper, flour, sugar, and plastic). The NEP expanded an earlier Combustible Dust National Emphasis Program to focus on industries with more frequent and high-consequence dust

incidents. The revised NEP focuses on 64 industries, shown in the two tables below. OSHA has determined that all sugar refineries (beet and sugarcane) in the Federal jurisdiction shall be inspected under this NEP.

Industries in the Combustible Dust National Emphasis Program with more frequent and/or high consequence combustible dust explosions/fires

SIC	Industry	NAICS
2046	Wet Corn Milling	311221
4911	Electric Services -- Establishments engaged in the generation, transmission, and/or distribution of electric energy for sale	221112
2041	Flour and Other Grain Mill Products	311211
2493	Reconstituted Wood Products	321219
2899	Chemicals and Chemical Preparations, Not Elsewhere Classified	325510, 325998
2099	Prepared foods and miscellaneous food specialties, not elsewhere classified	311212
3471	Electroplating, Plating, Polishing, Anodizing, and Coloring	332813
3341	Secondary Smelting and Refining of Nonferrous Metals	331314
2834	Pharmaceutical Preparations	325412
2499	Wood Products, Not Elsewhere Classified	321920, 321219
2421	Sawmills and Planning Mills, General	321113
2062	Cane Sugar Refining	311312
2063	Beet Sugar (Establishments primarily engaged in manufacturing sugar from sugar beets)	311313
3061	Molded, Extruded, and Lathe-Cut Mechanical Rubber Goods	326291
3714	Motor Vehicle Parts and Accessories	336322
3365	Aluminum Foundries	331524
0723	Crop Preparation Services for Market, Except Cotton Ginning	115114, 115111
2052	Fresh cookies, crackers, pretzels, and similar "dry" bakery products	311821
2087	Flavoring extracts, syrups, powders, and related products, Not Elsewhere Classified	311930
2221	Broadwoven Fabric Mills, Manmade Fiber and Silk	313210
2262	Finishers of Broadwoven Fabrics of Manmade Fiber and Silk	313311
2299	Textile Goods, Not Elsewhere Classified	313111
2431	Millwork	321911
2434	Wood Kitchen Cabinets	337110
2439	Structural Wood Members, Not Elsewhere Classified	321213, 321214
2452	Prefabricated Wood Buildings and Components	321992
2511	Wood Household Furniture, Except Upholstered	337122
2591	Drapery Hardware and Window Blinds and Shades	337920
2819	Industrial Inorganic Chemicals, Not Elsewhere Classified	325188, 325998, 331311
2821	Plastic Materials, Synthetic Resins, and Nonvulcanizable Elastomers	325211
2823	Cellulosic Manmade Fibers	325221
2841	Soap and Other Detergents, Except Specialty Cleaners	325611
2851	Paints, Varnishes, Lacquers, Enamels, and Allied Products	325510

Industries in the Combustible Dust National Emphasis Program with more frequent and/or high consequence combustible dust explosions/fires

SIC	Industry	NAICS
2861	Gum and Wood Chemicals	325191
3011	Tires and Inner Tubes	326211
3069	Fabricated Rubber Products, Not Elsewhere Classified	326299
3081	Unsupported Plastics Film and Sheet	326113
3082	Unsupported Plastics Profile Shapes	326121
3086	Plastics Foam Products	326140, 326150
3087	Custom Compounding of Purchased Plastics Resins	325991
3089	Plastics Products, Not Elsewhere Classified	326199
3291	Abrasive Products	327910
3313	Alumina and Aluminum Production and Processing	331312
3334	Primary Production of Aluminum	331312
3354	Aluminum Extruded Products	331316
3363	Aluminum Die-Castings	331521
3369	Nonferrous Foundries, Except Aluminum and Copper	331528
3398	Metal Heat Treating	332811
3441	Metal Cans	332431
3469	Metal Stampings, Not Elsewhere Classified	332116
3479	Coating, Engraving, and Allied Services, Not Elsewhere Classified	332812
3496	Miscellaneous Fabricated Wire Products	332618
3499	Fabricated Metal Products, Not Elsewhere Classified	332999
3548	Electric and Gas Welding and Soldering Equipment	335129
3644	Noncurrent-Carrying Wiring Devices	335932
3761	Guided Missiles and Space Vehicles	336414
3799	Transportation Equipment, Not Elsewhere Classified	333924
3995	Burial Caskets	339995
3999	Manufacturing Industries, Not Elsewhere Classified	321999, 325998, 326199
4221	Farm product warehousing and storage	493130
4952	Sanitary treatment facilities.	221320
4953	Refuse Systems	562920
5093	Scrap and waste materials	423930
5162	Plastics materials and basic forms and shapes	424610

Coding in OIS: In accordance with the Combustible Dust NEP, if any consultation activity is associated with this emphasis program (as defined in CPL-03-00-008), the OIS NEP code DUSTEXPL should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Combustible Dust for either Federal or State Plan jurisdiction.

d) Hexavalent Chromium

OSHA issued the National Emphasis Program - Hexavalent Chromium directive (CPL 02-02-076) on February 23, 2010, to identify and reduce or eliminate the health hazards associated with occupational exposure to hexavalent chromium and other toxic substances often found in conjunction with hexavalent chromium.

Industry Sector	SIC	SIC Title	NAICS	NAICS Title
Electroplating	3471	Metal Plating and Finishing	332813	Electroplating, Plating, Polishing, Anodizing, and Coloring
Painting (General Industry)	3721	Aircraft	336411	Aircraft Manufacturing
Maritime	3731	Ship Building and Repairing	336611	Ship Building and Repairing
Maritime	3732	Boat Building and Repairing	336612	Boat Building and Repairing
Chromate Pigment Producers	2816	Inorganic Pigments	325131	Inorganic Dye and Pigment Manufacturing
Chromium Catalyst Producers	2819	Industrial Inorganic Chemicals, NEC	325188	Industrial Inorganic Chemicals Not Otherwise Classified, which includes catalyst production
Plastic Colorant Producers	2821	Plastics Materials and Resin	325211	Plastics Materials and Resin Manufacturing
Steel Mills	3312	Iron and Steel Mills	331111	Iron and Steel Mills
Iron and Sheet Foundries	332	Iron and Steel Foundries	33151	Ferrous Metal Foundries
Chromium Dye Producers	2819	Industrial Inorganic Chemicals, NEC	325131	Chrome Colors and Other Inorganic Pigments
Superalloy Producers	3341	Secondary Smelting and Refining of Nonferrous Metals	331492	Secondary Smelting, Refining, and Alloying of Nonferrous Metals (except copper and aluminum)

Coding in OIS: In accordance with the Hexavalent Chromium NEP, if any consultation activity is associated with this emphasis program (as defined in CPL-02-02-076), the OIS NEP code CHROME6 should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Hexavalent Chromium for either Federal or State Plan jurisdiction.

e) Trenching

Activities where trenching exists.

Coding in OIS: If any consultation activity includes trenching and excavation operations, the TRENCH NEP code should be selected, and the Federal Strategic Initiative Program code TRENCHING should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Trenching for either Federal or State Plan jurisdiction.

f) Isocyanates

This instruction combines enforcement and outreach efforts to raise awareness of employers, workers, and safety and health professionals to identify and reduce or eliminate the incidence of adverse health effects associated with occupational exposure to Isocyanates.

Industries in the Isocyanates National Emphasis Program: General Industry/Maritime

SIC	SIC Title	NAICS 2007	NAICS Title
2299	Textile goods, Not Elsewhere Classified	313230	Nonwoven Fabric Mills
2599	Furniture and Fixtures, Not Elsewhere Classified	339950	Sign Manufacturing
2851	Paints, Varnishes, Lacquers, Enamels, and Allied Products	325510	Paint and Coating Manufacturing
3089	Plastics Products, NEC	337215	Showcase, Partition, Shelving, and Locker Manufacturing
3281	Cut Stone and Stone Products	327991	Cut Stone and Stone Product Manufacturing
3442	Millwork/Metal Window and Door Manufacturing	332321	Wood or Metal framed windows and Doors, Manufacturing
3499	Fabricated Metal Products, Not Elsewhere Classified	332999	All Other Miscellaneous Fabricated Metal Product Manufacturing
3721	Aircraft and Parts	336411	Aircraft Manufacturing
3732	Boat Building and Repairing (boat building)	336612	Boat Building
3792	Travel Trailers and Campers	336214	Travel Trailer and Camper Manufacturing
7532	Top, Body, and Upholstery Repair Shops and Paint Shops	811121	Automotive Body, Paint, and Interior Repair and Maintenance

Industries in the Isocyanates National Emphasis Program: Construction

SIC	SIC Title	NAICS 2007	NAICS Title
1721	Painting and Paper Hanging	238230	Painting and Wall Covering Contractors
1742	Plastering, Drywall, Acoustical, and Insulation Work	238310	Drywall and Insulation Contractors
1752	Floor Laying and Other Floor Work, NEC	238330	Flooring Contractors
1793	Glass and Glazing Work	238150	Glass and Glazing Contractors
1799	Special Trade Contractors, NEC	238150	Glass and Glazing Contractors

Coding in OIS: In accordance with the Isocyanates NEP, if any consultation activity is associated with this emphasis program (as defined in CPL-03-00-017), the OIS NEP code ISOCYAN8 should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Isocyanates for either Federal or State Plan jurisdiction.

g) Manufacturing Amputations

Activities in the following NAICS codes only, where there is a potential exposure to an amputation hazard from working with power presses, saws, slicers, or shears. OSHA issued an updated NEP on Amputations (CPL 03-00-019) on August 13, 2015.

2012 NAICS	2012 NAICS US Title
311411	Frozen Fruit, Juice, and Vegetable Manufacturing
311412	Frozen Specialty Food Manufacturing
311511	Fluid Milk Manufacturing
311512	Creamery Butter Manufacturing
311513	Cheese Manufacturing
311514	Dry, Condensed, and Evaporated Dairy Product Manufacturing
311611	Animal (except Poultry) Slaughtering
311612	Meat Processed from Carcasses
311613	Rendering and Meat Byproduct Processing
311615	Poultry Processing
311811	Retail Bakeries
311812	Commercial Bakeries
311813	Frozen Cakes, Pies, and Other Pastries Manufacturing
311991	Perishable Prepared Food Manufacturing
311999	All Other Miscellaneous Food Manufacturing
321113	Sawmills
321114	Wood Preservation
321911	Wood Window and Door Manufacturing
321912	Cut Stock, Resawing Lumber, and Planing
321918	Other Millwork (including Flooring)
321920	Wood Container and Pallet Manufacturing
322211	Corrugated and Solid Fiber Box Manufacturing
322212	Folding Paperboard Box Manufacturing
322219	Other Paperboard Container Manufacturing
322220	Paper Bag and Coated and Treated Paper Manufacturing
323111	Commercial Printing (except Screen and Books)
323113	Commercial Screen Printing
323117	Books Printing
326111	Plastics Bag and Pouch Manufacturing
326112	Plastics Packaging Film and Sheet (including Laminated) Manufacturing
326113	Unlaminated Plastics Film and Sheet (except Packaging) Manufacturing
326150	Urethane and Other Foam Product (except Polystyrene) Manufacturing
326160	Plastics Bottle Manufacturing
327320	Ready-Mix Concrete Manufacturing
327390	Other Concrete Product Manufacturing

331491	Nonferrous Metal (except Copper and Aluminum) Rolling, Drawing, and Extruding
331492	Secondary Smelting, Refining, and Alloying of Nonferrous Metal (except Copper)
332111	Iron and Steel Forging
332112	Nonferrous Forging
332114	Custom Roll Forming
332117	Powder Metallurgy Part Manufacturing
332119	Metal Crown, Closure, and Other Metal Stamping (except Automotive)
332311	Prefabricated Metal Building and Component Manufacturing
332312	Fabricated Structural Metal Manufacturing
332313	Plate Work Manufacturing
332321	Metal Window and Door Manufacturing
332322	Sheet Metal Work Manufacturing
332323	Ornamental and Architectural Metal Work Manufacturing
332710	Machine Shops
332991	Ball and Roller Bearing Manufacturing
332992	Small Arms Ammunition Manufacturing
332993	Ammunition (except Small Arms) Manufacturing
332994	Small Arms, Ordnance, and Ordnance Accessories Manufacturing
332996	Fabricated Pipe and Pipe Fitting Manufacturing
332999	All Other Miscellaneous Fabricated Metal Product Manufacturing
333111	Farm Machinery and Equipment Manufacturing
333112	Lawn and Garden Tractor and Home Lawn and Garden Equipment Manufacturing
333611	Turbine and Turbine Generator Set Units Manufacturing
333612	Speed Changer, Industrial High-Speed Drive, and Gear Manufacturing
333613	Mechanical Power Transmission Equipment Manufacturing
333618	Other Engine Equipment Manufacturing
334510	Electromedical and Electrotherapeutic Apparatus Manufacturing
334511	Search, Detection, Navigation, Guidance, Aeronautical, and Nautical System and Instrument Manufacturing
334512	Automatic Environmental Control Manufacturing for Residential, Commercial, and Appliance Use
334513	Instruments and Related Products Manufacturing for Measuring, Displaying, and Controlling Industrial Process Variables
334514	Totalizing Fluid Meter and Counting Device Manufacturing
334515	Instrument Manufacturing for Measuring and Testing Electricity and Electrical Signals
334516	Analytical Laboratory Instrument Manufacturing
334517	Irradiation Apparatus Manufacturing
334519	Other Measuring and Controlling Device Manufacturing
336211	Motor Vehicle Body Manufacturing

336212	Truck Trailer Manufacturing
336213	Motor Home Manufacturing
336214	Travel Trailer and Camper Manufacturing
337110	Wood Kitchen Cabinet and Countertop Manufacturing
337121	Upholstered Household Furniture Manufacturing
337122	Nonupholstered Wood Household Furniture Manufacturing
337124	Metal Household Furniture Manufacturing
337125	Household Furniture (except Wood and Metal) Manufacturing
337127	Institutional Furniture Manufacturing

Coding in OIS: In accordance with the Amputations NEP, if any consultation activity is associated with this emphasis program (as defined in CPL-03-00-019), the OIS NEP code AMPUTATE should be selected for all the NAICS codes listed above, and the OIS Federal Strategic Initiative code AMPUTATIONS should be selected at the Request level (if known), Visit level, and Compliance Assistance Activity level. Add any additional codes for related Regional or local emphasis programs in Manufacturing Amputations for either Federal or State Plan jurisdiction.

h) Confined Spaces

OSHA published Subpart AA, Confined Spaces in Construction in FY 2015 with an effective date of August 3, 2015. While there is a temporary enforcement policy for residential construction only, the standard is in full effect for all other types of construction. Confined spaces can present hazards in many forms in all types of construction work. Small construction businesses may need assistance understanding the rule and its requirements. This rule will apply to all 23 series NAICS codes.

4. Agency Measures:

Fatality Measures

- a) Fatalities in the construction industry associated with the four leading causes of workplace death – falls, electrocutions, caught-in/between, and struck-by.
- b) Fatalities in general industry associated with the four leading causes of workplace death – falls, electrocutions, caught-in/between, and struck-by.

Falls: Activities where a potential injury from a fall from elevation exists. For performance measurement, fatalities with Investigation Victim Injury Cause = Fall (from elevation) on the Investigation form are counted as fall fatalities. Falls from elevation are injuries produced by impact between the injured person and the source of injury, when the motion-producing contact was generated by gravity, and the point of contact with the source of injury was lower than the surface supporting the person at the inception of the fall. The following are examples of falls that would be recorded:

- Falls from elevation to lower levels.
- Falls from ground level to a lower level (into storm drains, excavations, etc.).
- Falls through existing floor or roof openings (skylights, etc.).
- Falls through the floor or roof surface (floor or roof collapses).
- Jumps from structures and equipment.

Electrocutions: Activities where a potential injury from an electrical hazard exists. For performance measurement, fatalities with Investigation Victim Nature of Injury = Electric Shock on the Investigation form are counted as electrocution fatalities. Electrocutions are injuries resulting from contact with electricity, including lightning. Contact may be made directly from the power source to the person or indirectly, such as when a pipe being held contacts a power line. In instances where an electric shock initiates a chain of events that results in an impact injury, the resulting event should be used. For example, if an electric shock knocks a worker from a ladder, the event should be coded as a *Fall*.

Examples that would be recorded as *Electrocutions* include:

- Contact with overhead power lines;
- Contact with electrical wiring, transformers, equipment, etc.;
- Contact with buried power lines.

Caught-in/between: Activities where a potential injury from a caught-in/between hazard exists. For performance measurement, fatalities with Investigation Victim Injury Cause = Caught in or between on the Investigation are counted as caught-in/between fatalities. Caught-in/between injuries result from a person being squeezed, caught, crushed, pinched or compressed between two or more objects, or between parts of an object. This includes individuals who get caught or crushed in operating equipment, between other meshing objects, between a moving and stationary object, or between two or more moving objects. It also includes injuries from people trying to free themselves after being caught in an object or machine and from strangulation occurring when clothing is caught in running equipment. The key factor in making a determination between a *Caught-in/between* event and a *Struck-by* event is whether the impact of the object alone caused the injury. When the impact alone creates the injury, the event should be recorded as *Struck-by*. Also, when the source of injury is free-flying or falling, or collapsing material, the event should be recorded as *Struck-by*. When the injury is created more as a result of crushing injuries between objects, the event should be recorded as *Caught-in/between*.

Examples of events that should be classified as *Caught-in/between* include:

- Being pulled into or caught in machinery and equipment (this includes strangulation as the result of clothing caught in running machinery and equipment).
- Being compressed or crushed between rolling, sliding, or shifting objects such as semi-trailers and a dock wall, or between a truck frame and a hydraulic bed that is lowering.

Struck-by: Activities where a potential injury from being struck-by exists. For performance measurement, fatalities with Investigation Victim Injury Cause = Struck-by on the Investigation form are counted as struck-by fatalities. Struck-by injuries are produced by forcible contact or impact between the injured person and an object, piece of equipment, or falling material, when the motion producing the contact is primarily that of the object, equipment, or falling material, rather than the person. When the motion producing the contact is primarily that of the injured person, the event should be recorded as *Struck against*. Examples of accidents that should be recorded as *Struck-by* include:

- Struck by moving vehicle, machinery or equipment.
- Struck by materials that are falling, flying, swinging, slipping, etc.

c) Hearing Loss in Manufacturing and Construction: Violations of 1910.95, 1926.52, 1926.101

d) Illnesses in General Industry and Construction: Violations of:

PART 1910—OCCUPATIONAL SAFETY AND HEALTH STANDARDS

Subpart G—Occupational Health and Environmental Control

1910.94 Ventilation.

1910.97 Non-ionizing radiation.

Subpart H—Hazardous Materials

1910.120 Hazardous waste operations and emergency response.

Subpart I—Personal Protective Equipment

1910.132 General requirements.

1910.134 Respiratory protection.

1910.138 Hand protection.

Subpart Z—Toxic and Hazardous Substances

1910.1000 Air contaminants.

1910.1001 Asbestos.

1910.1002 Coal tar pitch volatiles; interpretation of term.

1910.1003 13 Carcinogens (4-Nitrobiphenyl, etc.).

1910.1004 Alpha-Naphthylamine.

1910.1006 Methyl chloromethyl ether.

1910.1007 3, 2—Dichlorobenzidine (and its salts).

1910.1008 bis-Chloromethyl ether.

1910.1009 beta-Naphthylamine.

1910.1010 Benzidine.

1910.1011 4-Aminodiphenyl.

1910.1012 Ethyleneimine.

1910.1013 beta-Propiolactone.

1910.1014 2-Acetylaminofluorene.

1910.1015 4-Dimethylaminoazobenzene.

1910.1016 N-Nitrosodimethylamine.

1910.1017 Vinyl chloride.

1910.1018 Inorganic arsenic.

1910.1025 Lead.

1910.1026 Chromium (VI).

1910.1027 Cadmium.

1910.1028 Benzene.

1910.1029 Coke oven emissions.

1910.1030 Bloodborne pathogens.

1910.1043 Cotton dust.

1910.1044 1, 2-dibromo-3-chloropropane.

1910.1045 Acrylonitrile.

1910.1047 Ethylene oxide.

1910.1048 Formaldehyde.

1910.1050 Methylenedianiline.

1910.1051 1, 3-Butadiene.
1910.1052 Methylene Chloride.
1910.1096 Ionizing radiation.
1910.1200 Hazard communication.
1910.1450 Occupational exposure to hazardous chemicals in laboratories.

PART 1926—SAFETY AND HEALTH REGULATIONS FOR CONSTRUCTION

Subpart C—General Safety and Health Provisions

1926.28 Personal protective equipment.

Subpart D—Occupational Health and Environmental Controls

1926.53 Ionizing radiation.
1926.54 Non-ionizing radiation.
1926.55 Gases, vapors, fumes, dusts, and mists.
1926.57 Ventilation.
1926.59 Hazard communication.
1926.60 Methylenedianiline.
1926.62 Lead.
1926.65 Hazardous waste operations and emergency response.

Subpart E—Personal Protective and Life Saving Equipment

1926.101 Hearing protection.
1926.103 Respiratory protection.

Subpart Z—Toxic and Hazardous Substances

1926.1101 Asbestos.
1926.1102 Coal tar pitch volatiles; interpretation of term.
1926.1103 13 carcinogens (4-Nitrobiphenyl, etc.).
1926.1104 alpha-Naphthylamine.
1926.1106 Methyl chloromethyl ether.
1926.1107 3, 3-Dichlorobenzidene (and its salts).
1926.1108 bis-Chloromethyl ether.
1926.1109 beta-Naphthylamine.
1926.1110 Benzidine.
1926.1111 4-Aminodiphenyl.
1926.1112 Ethyleneimine.
1926.1113 beta-Propiolactone.
1926.1114 2-Acetylaminofluorene.
1926.1115 4-Dimethylaminoazobenzene.
1926.1116 N-Nitrosodimethylamine.
1926.1117 Vinyl chloride.
1926.1118 Inorganic arsenic.
1926.1126 Chromium (VI).
1926.1127 Cadmium.
1926.1128 Benzene.

1926.1129 Coke oven emissions.
1926.1144 1,2-dibromo-3-chloropropane.
1926.1145 Acrylonitrile.
1926.1147 Ethylene oxide.
1926.1148 Formaldehyde.
1926.1152 Methylene chloride.

e) Workplace Amputations: Violations of:

1910.147 The Control of Hazardous Energy (LO/TO)
1910.212 General Requirements for all Machines
1910.213 Woodworking Machinery
1910.217 Mechanical Power Presses
1910.219 Mechanical Power-transmission Apparatus

Employees Removed from Risk: This number represents the total of employees exposed to hazards for each particular hazard instance. It is the equivalent of the total number of employees removed from risk found in the OIS *End of Year CNS Metrics Report*.

**Appendix F-2 PROJECTED PROGRAM ACTIVITIES
(NAME OF STATE): FY 2017 OPERATING PLAN**

This table is for Consultation Projects in State-Plan states that have not adopted Federal measures and goals. Replace the Emphasis Industries, Emphasis Hazards and Agency Measures as appropriate to your program.

ACTIVITY & AREAS OF EMPHASIS	Safety	Health	Both	Total
1. TOTAL VISITS				
a. Agriculture				
b. Construction				
c. General Industry				
d. Manufacturing				
e. Maritime				
2. Visits Related to Emphasis Industries	Safety	Health	Both	Total
a. Emphasis Industry 1				
b. Emphasis Industry 2				
c. Emphasis Industry 3 (etc.)				
d. Total Visits Related to Emphasis Industries				
3. Visits Related to Emphasis Safety and Health Hazards	Safety	Health	Both	Total
a. Emphasis Hazard 1				
b. Emphasis Hazard 2				
c. Emphasis Hazard 3 (etc.)				
4. Activities Related to Agency Measures	Safety	Health	Both	Total
a. Strategic Measure 1				
b. Strategic Measure 2				
c. Strategic Measure 3 (etc.)				
SHARP and Pre-SHARP / Compliance Assistance Activities Projections				
5. Total Current SHARP Sites (at time of application)				
5a. Projected New SHARP sites in FY 2017				
5b. Projected SHARP Renewals in FY 2017				
6. Projected Total SHARP sites at end of FY 2017				
7. Total Projected Pre-SHARP sites in FY 2017				
8. Total Projected Compliance Assistance Activities				

This column reports the number of projected Consultation visits in which one consultant conducts a combined Safety and Health visit.

APPENDIX G EQUIPMENT INVENTORY

A complete and current equipment inventory is required of each On-site Consultation Project. For this inventory, all capital equipment, general equipment (excluding furniture or office supplies), and special purpose equipment (as defined by OMB Circular Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) must be included. Therefore, the inventory should include all sampling equipment (pumps, dosimeters, sound level meters, octave band analyzers, etc.), computers (hardware and software), vehicles, etc. Do not include furniture or office supplies in the inventory. The inventory should include information regarding the description, manufacturer, model number, serial number (if applicable), location, condition, acquisition date and acquisition cost of each item of equipment.

The table below provides a sample format for the equipment inventory. *Projects can submit their inventories in a different format as long as the information requested is provided.*

EQUIPMENT/ ITEM DESCRIPTION	MANUFACTURER/ MODEL NUMBER	SERIAL NUMBER (if available)	ACQUISITION DATE (MM/DD/YYYY)	ACQUISITION COST (if available)	CONDITION

**APPENDIX H
EQUIPMENT PROCUREMENT REQUEST**

FY 2017

Federal Catalog # 17.504

State: _____

Date: _____

List all non-expendable personal property having a useful life of more than one year and a unit acquisition cost of \$5,000 or more, and all computer-related equipment that the grantee requests to purchase this grant year. Ref: OMB Circular Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

ITEM DESCRIPTION (INCLUDE BRAND AND MODEL)	QUANTITY		COST PER UNIT	TOTAL COST	NATIONAL OFFICE USE ONLY				
	ON HAND	FOR PURCHASE			APPROVED		TITLE TRANSFER		REMARKS
					YES	NO	YES	INITIALS	
<i>EXAMPLE: Laptop: Dell Latitude 630</i>	<i>4</i>	<i>2</i>	<i>\$2,300</i>	<i>\$4,600</i>					

NOTE: List equipment by category: technical, office/administrative. Equipment that was requested and approved - but not procured in the previous award year - *should be clearly identified.*

**APPENDIX I
ANNUAL TRAINING PLAN**

List Personnel by Name and Position (i.e., MGT, S/S, H/S, S, H, TS, TH, or SEC)	Training Activity & Location	Percent of Time on 21(d) Grant	Cost of Training (Include Per Diem, Airfare, Registration Fees, Misc., etc.)	Percent of Cost Allowable for Federal Funding	Training Cost Charged to Grant				Indicate by letter code the Competency Area that Training will Address*
					100% Fed Eligible ¹	90% Fed Allowable ²	10% State Allowable ³	Total Charged to Grant ⁴	
<i>EXAMPLE:</i> John Doe, S/S	OSHA 3095 Electrical Standards, OTI, Arlington Heights, IL	50	\$1,000	100	\$500	-	-	\$500	a,e,f
<i>EXAMPLE:</i> Jane Doe, S	ASSE Conference, Las Vegas, NV	100	\$1,000	90	-	\$900	\$100	\$1,000	a,e,f
<i>EXAMPLE:</i> Joe Doe, S	NSC Conference, Denver, CO	50	\$1,000	90	-	\$450	\$50	\$500	a,e,f
TOTAL									
					**				

***Competency Areas:**

- | | | |
|-------------------------------------------------------|-----------------------------------------------------|---------------------------------------|
| a. Recognition and Evaluation of Occupational Hazards | d. Provide Hazard Prevention and Control Assistance | g. Promote OSHA Consultation Services |
| b. Evaluate Safety and Health Management Systems | e. Manage Program Processes and Reports | h. OSHA Consultant Professionalism |
| c. Provide Occupational Safety and Health Training | f. Provide Off-site Technical Support | i. Other (specify) |

¹ Maximum dollar amount listed in this column is: **(Percent of Time on 21(d) Grant) x (Cost of Training) x (Percent of Cost Allowable for Federal Funding)**

² Federal portion of Allowable Training expenses that are eligible for 90% Federal Funding

³ State (Project) portion of Allowable Training expenses that are eligible for 90% Federal Funding

⁴ Amounts in this column will be State and Federal totals charged to the grant and entered into Appendix N or Appendix O, as appropriate.

NOTES:

1. Funds sufficient to cover travel requirements to conduct proposed training should be budgeted in Appendix N and Appendix O. These costs must be specific to the activities identified as determined by the location and duration of the training. The Annual Training Plan should list **all** training and travel that is eligible for 100% or 90% Federal funding and is subject to approval by the Director of the Office of Small Business Assistance.
2. ** “Training Cost Charged to Grant (100% Fed Eligible)” Total must agree with the amount reported on the OSHA 110 – Line 2 and SF-424A.
3. The Regional Administrator prior to the actual travel must approve deviations from this plan involving out-of-state travel to courses and/or locations other than those proposed in writing.
4. See Informal Training Requirements Memo, issued June 9, 2010, 21(d) On-site Consultation Training Policy and FY 2011 One-time Only Monies, issued November 29, 2010 for additional information on training requirements and Federal Reimbursement of Allowable Training and Travel Costs, issued April 2, 2014. These memos are located on the Consultation LAP (<http://intranet.osha.gov/dcsp/LAP/dcsp/consultation/index.html#!tab3>). Also, refer to Appendix R (*Summary of OSHA’s Policy for Federal Reimbursement of Costs Associated with Required, Approved, and Eligible Training and Travel*) for more information.
5. Travel for staff members attending the Annual On-site Consultation Training Conference should be included on this form.

APPENDIX J

Accompanied Visit Plan FY 2017

The plan for accompanied visits should state the policies which will govern activity for the fiscal year, rather than who will be accompanied by whom on specific visits.

Funds sufficient to cover travel for these activities should be budgeted in **Part B: Administration**, under Item c.2, Travel, unless the project indicates that travel is local and the costs are nominal.

**APPENDIX K
FY 2016 FINAL BASE AWARD LEVELS**

Recipient	FY 2016 Final Base Award Level
Alabama, University of	\$1,089,300
Alaska	\$662,600
Arizona	\$749,500
Arkansas	\$1,119,300
California	\$5,453,400
Colorado State U	\$1,034,300
Connecticut	\$1,133,200
Delaware	\$447,700
District of Columbia	\$478,700
Florida	\$2,316,500
Georgia Tech	\$1,353,100
Guam	\$272,800
Hawaii	\$465,700
Idaho (Boise State)	\$496,700
Illinois	\$1,893,700
Indiana	\$866,400
Iowa	\$752,500
Kansas	\$714,500
Louisiana	\$812,500
Maine	\$590,600
Maryland	\$927,400
Massachusetts	\$1,328,000
Michigan	\$1,639,900
Minnesota	\$1,017,300
Mississippi State U	\$693,500
Missouri	\$1,069,300
Montana	\$452,700

Recipient	FY 2016 Final Base Award Level
Nebraska	\$581,600
Nevada	\$612,600
New Hampshire	\$437,700
New Jersey	\$1,900,500
New Mexico	\$514,700
New York	\$3,638,600
North Carolina	\$1,503,000
North Dakota	\$417,700
Northern Mariana Islands	\$195,900
Ohio	\$1,653,900
Oklahoma	\$1,233,200
Oregon	\$471,700
Pennsylvania, IU	\$1,879,800
Rhode Island	\$465,700
South Carolina	\$770,100
South Dakota	\$535,600
Tennessee	\$1,035,300
Texas	\$2,739,200
Utah	\$628,600
Vermont	\$413,700
Virgin Islands	\$359,800
Virginia	\$1,101,300
West Virginia	\$479,700
Wisconsin	\$1,761,800
Wisconsin Laboratory	\$1,834,000
Wyoming	\$440,700

APPENDIX L
Cooperative Agreement Form OSHA-110

<p align="center">U.S. DEPARTMENT OF LABOR Occupational Safety and Health Administration</p> <p align="center">COOPERATIVE AGREEMENT</p> <p align="center">OSHA 21(d) ON-SITE CONSULTATION PROGRAM</p> <p>CFDA: 17.504 Consultation Agreements</p>	<p align="right">(1) Page 1 of 1</p> <p>Region: _____</p> <p>State: _____</p> <p>Grantee: _____</p> <p>Grant Number: <u>CS</u> _____</p> <p>Starting Date: October 1, 2016 Ending Date: September 30, 2017</p>												
<p>(2) Recipient</p> <p>Name: _____</p> <p>Address: _____</p> <p>_____ Recipient Liaison Representative</p> <p>_____ Area Code and Telephone Number</p>	<p>(3) U.S. Department of Labor</p> <p>_____ OSHA Liaison Representative</p> <p>_____ Area Code and Telephone Number</p>												
<p>(4) Authorized under P.L. 105-197, under Section 21(d)</p> <table style="width:100%; border: none;"> <tr> <td style="width: 60%;"></td> <td align="right" style="width: 40%;">Percent Total Funds (Nearest 0.1%)</td> </tr> <tr> <td>1. Federal Base Award Amount:</td> <td align="right">_____ %</td> </tr> <tr> <td>2. 100% Federal Funds for Travel and Training: (Please include in line 1)</td> <td align="right">_____ %</td> </tr> <tr> <td>3. Total Recipient Share:</td> <td align="right">_____ %</td> </tr> <tr> <td>4. Recipient 100% Funding: (Please include in line 3)</td> <td align="right">_____ %</td> </tr> <tr> <td>5. Total State and Federal Funds Allocated to This Agreement (Line 1 plus Line 3)</td> <td align="right">_____ %</td> </tr> </table> <p><u>Uniform Administrative Requirements, Cost Principles, and Audit Requirements:</u> 2 CFR Part 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements, Final Rule 2 CFR Part 2900: DOL Exceptions to 2 CFR Part 200</p> <div style="background-color: #e0e0e0; padding: 5px; border: 1px solid black;"> <p>Terms and Conditions of the Cooperative Agreement: This COOPERATIVE AGREEMENT includes the award notification letter as well as the entire grant application including all attachments, exhibits, enclosures, etc.</p> </div>			Percent Total Funds (Nearest 0.1%)	1. Federal Base Award Amount:	_____ %	2. 100% Federal Funds for Travel and Training: (Please include in line 1)	_____ %	3. Total Recipient Share:	_____ %	4. Recipient 100% Funding: (Please include in line 3)	_____ %	5. Total State and Federal Funds Allocated to This Agreement (Line 1 plus Line 3)	_____ %
	Percent Total Funds (Nearest 0.1%)												
1. Federal Base Award Amount:	_____ %												
2. 100% Federal Funds for Travel and Training: (Please include in line 1)	_____ %												
3. Total Recipient Share:	_____ %												
4. Recipient 100% Funding: (Please include in line 3)	_____ %												
5. Total State and Federal Funds Allocated to This Agreement (Line 1 plus Line 3)	_____ %												
<p>(5) Recipient Approval</p> <p>Signature _____ Date _____</p> <p>_____ [Type Name and Title]</p>	<p>(6) Federal Approval</p> <p>Signature _____ Date _____</p> <p>_____ Kimberly A. Locey, Director Administrative Programs</p>												

APPENDIX M
Application for Federal Assistance and Budget Information for
Non-Construction Programs (SF-424 and SF-424A)

Forms SF-424 and SF-424A are available on Grants.gov. The links listed below are provided for informational purposes only to assist in preparing the draft application before submitting the application online. The actual application submitted to Grants.gov must use the mandatory forms found in the Funding Opportunity posted in Grants.gov:

http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf

<http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>

**APPENDIX N
SUPPORTING DETAILS OF ANTICIPATED COSTS**

PART A: CONSULTATION

A. PERSONNEL: (List all positions with salary charged to Consultation on chart N-2)		Total	
1. Consultant	Subtotal:		
2. Supervisory consultant/clerical	Subtotal:		
B. FRINGE BENEFITS: (List Cost Formula[s])		Total	
1. Consultant	Subtotal:		
2. Supervisory consultant/clerical	Subtotal:		
C. TRAVEL: (Describe 100% or 90% Travel in Training Plan)		Total	
1. Out-of-State (100% Federal)	Subtotal:		
Training			
Other (specify)			
2. Within State (90% Federal)	Subtotal:		
Training			
Promotion			
Consultative Visits			
Other (specify)			
D. EQUIPMENT: (tech/list in Equipment Listing)		Total	
E. SUPPLIES: (tech/itemize & describe)		Total	
F. CONTRACTS: (all sources)		Total	
1. Lab Analysis (include #samples)	Subtotal:		
2. Industrial Hygiene Services	Subtotal:		
3. Other (specify)	Subtotal:		
G. OTHER (items not covered elsewhere)		Total	
1. 100% non-travel costs of training as described in the training plan	Subtotal		
2. Other (itemize and describe)	Subtotal		
H. TOTAL OF DIRECT CHARGES: (A. through G.)		Total	

APPENDIX O
SUPPORTING DETAILS OF ANTICIPATED COSTS
PART B: ADMINISTRATION

A. PERSONNEL: (List all positions with salary charged to Administration on chart O-2.)	Total _____
B. FRINGE BENEFITS: (List Cost Formula[s])	Total _____
C. TRAVEL: (Describe 100% and 90% Travel in Training Plan)	Total _____
1. Out-of-State (100% Federal) Subtotal: _____	
Training _____	
Annual On-site Consultation _____	
Training Conference _____	
Other (specify) _____	
2. Within State (90% Federal) Subtotal: _____	
Training _____	
Promotion _____	
Accompanied visits _____	
Other (specify) _____	
D. EQUIPMENT: (office/list in Equipment Listing)	Total _____
E. SUPPLIES: (office/itemize & describe)	Total _____
F. CONTRACTS: (all sources)	Total _____
1. Computer Costs Subtotal _____	
2. Lease of office equipment Subtotal _____	
3. Service of office equipment Subtotal _____	
4. Other (specify) Subtotal _____	
G. OTHER (items not covered elsewhere)	Total _____
1. 100% non-travel costs of training as described in the training plan Subtotal _____	
2. Other (itemize and describe) Subtotal _____	
H. TOTAL OF DIRECT CHARGES: (A. through G.)	Total _____
I. INDIRECT CHARGES	Total _____
J. TOTAL ADMINISTRATION (H. plus I.)	Total _____

APPENDIX P

IT and OSHANET INFORMATION

For specific procedures on purchasing hardware and software, as well as OSHANet Rules of Behavior, please see the Help Desk page on the OSHA Intranet Page.

Appendix Q

Standard Operating Procedures for the Purchase of Computer Software and Equipment by On-site Consultation Projects

Requests to purchase information technology (IT) software, hardware, or both, must be approved by the Regional Administrator and the OSHA Directorate of Cooperative and State Programs (DCSP) before the item is purchased. If the IT equipment will be connected to the OSHANet, then OSHA's Office of Information Technology Solutions (OITS) approval is also required. If a project is not connected to the OSHANet, there is no approval necessary from OITS. If at some future time, the project wants to connect the software, hardware, or both, to the OSHANet, then Regional Administrator, DCSP, and OSHA's OITS approval will be needed before the connection to the agency's systems is completed.

Before requesting permission to purchase any IT equipment, determine if the item you wish to purchase is listed on the approved **OSHA Supported Hardware and/or OSHA Standard Image Software and Other Software webpages**. These lists can be found on the OSHA IT HELPDESK Intranet webpage.

Requests for purchasing software, hardware, or both, within the initial Annual On-site Consultation Cooperative Agreement Application must be noted in Appendix H of the grant application.

After the initial grant has been awarded or as part of a one-time only funding process, requests to purchase IT software, hardware, or both, an amended Annual On-site Consultation Cooperative Agreement, Appendix H, "Equipment Procurement Request." The amended Appendix H must be reviewed by the Region and sent to the National Office when the IT equipment request is made. If a Project is not connected to the OSHANet, there is no approval necessary from OSHA's Office of Information Technology Solutions before the project purchases software. However, the project is still required to obtain approval from the RPO and DCSP before purchasing the equipment.

Grant Process - Identifying IT Equipment Purchases as Part of the Annual On-site Consultation Cooperative Agreement Application, Amendment Process, or One-Time Only Grant Process

As required by the Annual On-site Consultation Cooperative Agreement Application, States must identify all projected technical equipment purchases during the grant year within Appendix H, "Equipment Procurement Request," of the application.

- (Step 1) Before noting the IT request in Appendix H, review the **OSHA Supported Hardware, OSHA Standard Image Software and Other Software** webpages to determine if the item you wish to purchase is on the lists of OSHA-approved hardware or software.
- a. If the item you wish to purchase is on the OSHA-approved lists, submit the request to the Regional Project Officer (RPO) as Annual On-site Consultation Cooperative Agreement Application, Appendix H, Equipment Procurement Request. In the "Item Description" column of the form, indicate that the item is on OSHA's approved list.

- b. If the desired item is not on the OSHA-approved lists, include that information in Appendix H, “Equipment Procurement Request.” In the “Item Description” column of the form, indicate that the item is not on OSHA’s approved list.
- c. States requesting items that are not on the OSHA-approved lists must also submit a **Request for Information Technology Services** form signed by the Designated State Official (DSO) responsible for approving IT equipment purchases as part of their grant application to the Region.

(Step 2) The Regional Office ensures that all of the IT items noted on Appendix H, Equipment Procurement Request, are on the OSHA-approved lists or that the State has noted that the item is not on the approved list. In the latter case, the RPO confirms that the Appendix H, Equipment Procurement Request, identifies the item as not on the OSHA-approved list and that a completed **Request for Information Technology Services** form is included in the Annual On-site Consultation Cooperative Agreement Application, Appendix H. The RPO forwards the completed application to the National Office for review and approval once Regional Administrator approval is obtained.

(Step 3) The National Office evaluates the Appendix H, Equipment Procurement Request, and if needed, the **Request for Information Technology Services**, in concert with its review of the Annual On-site Consultation Cooperative Agreement Application. The State and the Region will be notified via email of the approval of the IT equipment requested in Appendix H, Equipment Procurement Request.

(Step 4) When the State is ready to purchase the approved IT equipment, the State should follow the instructions in **purchasing equipment already approved**.

Purchasing Equipment already approved - Installing IT Equipment Approved During the Annual On-site Consultation Cooperative Agreement Application Process, One-Time Only Process or Amendment Process

If a Project is not connected to the OSHANet, there is no approval necessary from OSHA’s Office of Information Technology Solutions before they purchase their software. However, the project is still required to obtain approval from DCSP before purchasing the equipment.

(Step 1) The Consultation Project Manager contacts their RPO, who will ensure that the request is reasonable, based upon the grantee’s current technology needs and inventory.

(Step 2) The RPO ensures that the Consultation Project has noted this request within Appendix H, Equipment Procurement Request, of the Cooperative Agreement.

If the item is not listed on Appendix H, the RPO will ensure that an Appendix H is completed and forwarded to the National Office at the time the IT equipment request is made. (Note: No duplicate Appendix H is required if the IT Equipment

requested was identified on Appendix H and approved as part of the Cooperative Agreement Application process).

- (Step 3) Requester completes the **Software/Hardware Action Request Form**, available within the OSHA IT HELPDESK Intranet webpage – IT Acquisition & Installation Process. The requester should ensure that the form is signed by the Designated State Official (DSO) responsible for approving IT equipment purchases in that State. The completed form should be scanned and emailed to oshahwsrequest@dol.gov or to the Director of the Office of Small Business Assistance.
- (Step 4) OSHA’s Office of Information Technology Solutions will process the request and inform the requester and the Directorate of Cooperative and State Programs (DCSP) by email that they can install the requested hardware to the network for an OSHANet State, and DCSP will review and approve the requests for non-OSHANet States. DCSP will provide approvals on IT purchase requests via email from the DCSP Director.

Purchasing IT Equipment That Is NOT on the OSHA-Approved Lists during the Grant Year or as Part of a One-Time-Only Process

No On-site Consultation Project is authorized to purchase IT Equipment that is not on the OSHA-approved list WITHOUT prior approval from the DCSP Director.

- (Step 1) The grantee contacts their RPO, who will ensure that the request is reasonable, based upon their current technology needs and inventory.
- (Step 2) The RPO will ensure that an updated Appendix H, Equipment Procurement Request, is completed by the State and forwarded to the National Office.
- (Step 3) DCSP will review the request, confer with the Directorate of Administrative Programs as necessary and provide notification of the approval or disapproval of the request via email from the DCSP Director.
- (Step 4) If DCSP approval is given, the Project will complete a **Request for Information Technology Services Form**, available within the OSHA IT HELPDESK Intranet webpage – IT Acquisition & Installation Process. The requester should ensure that the form is signed by the Designated State Official (DSO) who is responsible for approving IT equipment purchases in that State. The completed form should be scanned and emailed to osharits@dol.gov. If the request is from an OSHANet State, OSHA’s Office of Information Technology Solutions will review and approve the request; if the State is not an OSHANet State, DCSP will review and approve the request.
- (Step 5) OSHA’s Office of Information Technology Solutions will process the request and inform the requester and notify DCSP by email granting permission to purchase the equipment.
- (Step 6) Once the requester has received notification to purchase the hardware and/or software equipment, the requester should complete the **Software/Hardware**

Action Request Form, available within the OSHA IT HELPDESK Intranet webpage – IT Acquisition & Installation Process. This form must be signed by the Designated State Official (DSO) responsible for approving IT software and equipment purchases in that State. The completed form should be scanned and emailed to oshahwsrequest@dol.gov.

Appendix R

Summary of OSHA's Policy for Federal Reimbursement of Costs Associated with Required, Approved, and Eligible Training and Travel

The following clarifies reimbursement for required, approved, and allowable training and travel expenses.

Required/Approved Training and Travel Reimbursed at 100% (Required Training, Out-of-State Travel, Conferences, and Meetings):

OSHA required training (eligible for 100% federal funding)

1. OSHA Course #1500: Introduction to On-site Consultation.
2. OSHA Course #1330: Consultation Systems Assessment Training.
3. Attendance to the Annual On-site Consultation Training Conference for Project Managers, supervisors, and senior consultants.
4. Attendance at Regional Consultation Program meetings for Program Managers, senior supervisors, and subject matter experts.
5. Travel associated with the OSHCON Board.

OSHA approved training (eligible for 100% federal funding)

1. OSHA Training Institute (OTI) courses related to Consultation.
2. RAs have the discretion to recognize additional approved training courses.
3. Costs associated with consultants seeking professional certification in safety or health

Note: The percentage of the funds used to pay for approved training may not exceed the percentage of time the employee is on/or dedicated to the grant.

Allowable Training and Travel Costs Eligible for 90% Reimbursement (Training, Out-of-State Travel, Conferences, and Meetings):

1. Costs associated with the delivery of consultation services.
2. Costs associated with related safety and health training not conducted by OTI
3. Participation at the following conferences: VPPPA; AIHA; ASSE; and NSC.
4. RAs have the discretion to recognize additional allowable training and travel that could be eligible for reimbursement with 90 percent federal funding.

Note: The percentage of funds used to pay for allowable training may not exceed the percentage of time the employee is on/or dedicated to the grant.

Part-time staff who are on the 21(d) Cooperative Agreement 100 percent of their time:

Part-time staff who are on the 21(d) Cooperative Agreement 100 percent of their time will be reimbursed for travel and training the same as full-time staff.

Appendix S
Regional Administrators Recommendation Memorandum Template

Date:

MEMORANDUM FOR: DOUGLAS J. KALINOWSKI
Director
Directorate of Cooperative and State Programs

KIMBERLY A. LOCEY
Director
Directorate of Administrative Programs

FROM: <Regional Administrator Name>
Regional Administrator

SUBJECT: FY 2017 21(d) Consultation Cooperative
Agreement Application

The Region has completed the review of FY 2017 application package(s) in Grants.gov and recommends the following for approval and final review by the National office.

State	DOL E-Grants Number	Grants.gov Number

The above application(s) has (have) been reviewed in accordance with the Financial and Program Application Checklist found in Appendix T of FY 2017 On-site Consultation Cooperative Agreement Application Instructions.

Appendix T
Financial and Program Application Checklists

Note: This is intended to be a guide and does not limit the items reviewed in the application package.

Financial Application Checklist

OSHA 110

- Is the correct version of the OSHA 110 included in the application?
- Is all the information on the OSHA 110 completed correctly? (Please note that the document number should be left blank and Sections 1, 2 and 3 must be correct.)
- Is the Form OSHA 110 signed & dated by the State designee (or its designated representative)?
- Has the Directorate of Administrative Programs (DAP) been informed of any changes to the state designee since the last application?
- Does the Federal award level agree with the award level provided in the instructions?
- Is the 100% Federal funding for 21(d) application identified in the Annual Training Plan?
- Is the State match calculated correctly?
- Does Line 1 plus Line 3 on the OSHA 110 for 21(d) equal Line 5?

SF-424/SF-424A

- Is all the information on the SF-424/SF-424A completed correctly?
- Is the CFDA number 17.504 for 21(d)?
- Do the totals in Section A of the SF-424A agree with the totals in Section B?
- Is Page 2 of the SF-424A complete and accurate?
- Is the administrative cost rate 25% or below the total grant/agreement?
- Are the administrative costs listed under Administration not Program?
- Is program income included? If so, is a description of the nature and source included in the application?
- Are indirect costs included on the SF-424A? If so, are the costs based on an approved indirect cost rate agreement?

Other Documents & Review Items

- Is the Supporting Details of Anticipated Costs (Appendices N, N-2, O, and O-2) included for 21(d) applications and are these costs traceable to the SF-424A?
- Do the dollar amounts on the OSHA 110/SF-424/SF-424A/Supporting Details of Cost all agree?
- Are the costs listed on Supporting Details of Cost allowable in accordance with the OMB Uniform Guidance?
- Are the costs shown in the correct object class categories and the correct budget categories – Program vs. Administration vs. 100% State funding?
- Is the Cooperative Agreement for 21(d) (Appendix A) completed?
- Does Appendix A for 21(d) have the state name on page 1 in both blanks?
- Does Appendix A for 21(d) have the signature, title, organization name and date on the last page?
- Is the correct version of the assurances and certifications signed and dated by the state designee (or its designated representative)?
- Is the correct version of the restrictions and conditions signed and dated by the State designee (or its designated representative)?
- Are all other forms (e.g., Equipment Inventory, Equipment Procurement Listing, Annual Training Plan, Personnel Funding Breakout Chart, etc.) requested in the application included and completed accurately?
- Does the Regional recommendation memorandum include the DOL E-Grants and Grants.gov numbers for the application package that should be reviewed?

Appendix T – Financial and Program Application Checklists

Program Application Checklist

Appendix B: Checklist and Recommended Order of Required Documents for the Federal On-site Consultation Cooperative Agreement

- All listed items included.

Appendix C: Checklist of Required Components of the CAPP

- All listed items included.

Overview of the On-site Consultation Project

Narrative includes:

- Explanation of how the Project markets SHARP.
- Includes changes to Internal Quality Assurance Program (or statement that it has not changed).
- Changes in Project Status (staffing changes and intention regarding any existing staffing vacancies).
- If Project does not meet 2+2-staffing requirement, includes letter from Region requesting approval.
- If projected visits are fewer than previous year, includes explanation.

Organizational Chart

- Organizational Chart includes names of staff members and their disciplines. Chart will indicate percent of time each staff is on the grant and percent of time in position shown in the Org. Chart.

Appendix D-1: Staffing Chart

- At least 2 Safety FTEs and 2 Health FTEs (if not, needs a 2+2 approval request from Region).
- “Number of FTEs” can include partial people; a person’s time on the grant never totals more than 1.0.
- “Number of Vacant Positions” can include partial vacant positions.

Appendix D-2: Safety and Health Certifications Chart

- Lists staff with professional certifications from nationally recognized accrediting organizations.

Appendix E: Operational Description by Strategy, Activities, and Outcomes

- Area of Emphasis and Initiatives entries reflect OSHA’s (or State’s) operating plan.
- Strategies, Planned Activities, and Anticipated Impacts provided for each entry in column 1.
- Anticipated impacts must be clearly *attributable* to strategies and activities stated for Emphasis Area.

Appendix F: Projected Program Activities

- For the industry types listed in Lines 1(a) – 1(e), projections are made for the number of Safety visits; Health visits; and the number visits in which one consultant conducts a combined Safety and Health visit (i.e., a “Both” visit).
- Each Consultation visit may only address 1 emphasis industry listed under Line 2.
- Each Consultation visit may address 1 or more emphasis hazards listed under Line 3.
- Each Consultation Activity may address 1 or more Agency Measures listed under Line 4.

Appendix G: Equipment Inventory

- Inventory listing includes all information requested in table in Appendix G.

Appendix H: Equipment Procurement Request

- All projected IT purchases for current fiscal year must be included.
- All purchases for current fiscal year that have a per-unit cost of \$5,000 or greater must be included.
- Must be included in grant application even if no reportable purchases are listed.

Appendix I: Annual Training Plan

- Included in required format.
- Per Appendix R, funding of training must not exceed the percentage of time staff is on the 21(d) grant.

Appendix J: Accompanied Visit Plan FY 2017

- Includes the policies governing the accompanied visit plan.