

Hawaii Voluntary Protection Program Policies and Procedures Manual



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Hana Po`okela

A Hawaiian term meaning - “Excellent Work”.

Polynesian voyaging canoes were made by skilled craftsmen, using only hand tools and ancient construction methods. The Polynesians sailed thousands of miles of open ocean without modern navigational devices, trusting their canoe, the wind, waves, seabirds, sun and stars to take them to new civilizations. Using the voyaging canoe, they discovered and inhabited widely scattered places in the Pacific Ocean, such as the Hawaiian Islands. One such canoe was named Hokule`a, meaning “Star of Gladness”. To the ancient Hawaiians, a bright star in the Herdsman constellation, known by astronomers as Arcturus, was the “Star of Gladness”. Hokule`a signified the joyful ending of a long journey.

It is in the spirit of Hokule`a that the Hawaii Occupational Safety and Health Division recognizes rigorous and detailed attention to workplace safety and health with the Hana Po`okela Star Award of Excellence.

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Hawaii Voluntary Protection Program (HVPP)

I. Program Overview

A. Objective. HVPP is a recognition program which provides incentives and support to smaller, high-hazard employers to work with their employees to develop, implement and continuously improve the effectiveness of their workplace safety and health programs and also includes larger employers who are willing to develop exemplary safety and health programs and mentor others to achieve similar results. HVPP is a program of the Hawaii Occupational Safety and Health Division (HIOSH) and is administered by the HIOSH Consultation and Training Branch (HIOSH C&T).

B. Background. To explore the feasibility of motivating and assisting employers to voluntarily make their workplaces safe and healthful rather than relying primarily on enforcement, OSHA conducted a test on the impact of granting employers an exemption from programmed OSHA inspections when they successfully corrected all serious hazards and established an effective safety and health program.

An evaluation of the experimental program convinced OSHA that a special program recognizing exemplary achievements by employers in the area of workplace safety and health will:

1. Result in greater voluntary safety and health efforts by employers and thereby, improve worker protection through non-adversarial means.
2. Lead to better allocation of OSHA's resources by minimizing the duplication by enforcement of work already completed by consultation staff.
3. Enable OSHA enforcement personnel to concentrate on workplaces that are not presently working with a consultant to control or eliminate hazards and establish an effective safety and health program.

C. Recognition. To promote effective safety and health program management and to provide model programs for others to follow, HVPP recognizes employers who have exemplary workplace safety and health programs that result in immediate and long-term prevention of job-related injuries and illnesses. This is achieved by:

1. Encouraging employers to use HIOSH Consultation and Training Branch (HIOSH C&T) services and to involve their employees in establishing fully effective safety and health programs.
2. Providing for public recognition of employers and employees who have met

specified conditions and have worked together successfully to establish exemplary safety and health programs. The Director of the Department of Labor and Industrial Relations (DLIR) or the Administrator of the Hawaii Occupational Safety and Health Division (HIOSH) will award an employer an HVPP Certificate of Recognition.

D. Exemption from HIOSH General Schedule Inspections. HVPP provides an additional incentive for employers to establish effective programs by removing their company's name from HIOSH's Programmed Inspection Schedule.

.II Program Eligibility.

Employers desiring to pursue the process leading to **HVPP Star Program** approval must meet the following criteria:

A. General. Be a single, fixed worksite. Multiple work sites under common management will normally be evaluated and approved separately. Separate general industry work sites under the immediate direction or control of the same manager may be considered as one work site, i.e., refuse collection and landfill departments of a small municipality could be considered one work site, while in a very large municipality they would be considered separate establishments. Total employment will still be calculated as described in paragraph II(B).

B. Size. Employ not more than 100 employees at the site and not more than 250 total employees at all sites controlled statewide. For the initial start-up of the HVPP program, priority for entry into the program will be given to small employers of 1 to 60 employees. Larger establishments that demonstrate commitment to workplace safety and health beyond the requirements of HIOSH standards and mobile work sites, such as logging and construction, may be eligible for the **HVPP Star-Mentor Program**.

C. Unionized Sites. Sites with employees organized into one or more collective bargaining units must obtain a signed statement indicating that the collective bargaining agent(s) supports or has no objection to HVPP participation.

D. Operating History. Have at least three (3) years operating history. Thirty-six (36) months of operating time are necessary to establish a proven track record for improving the incidence rate for cases involving days away from work and restricted work activity, and the total recordable case incidence rate. See the most recent version of the Bureau of Labor Statistics (BLS) publications, "Occupational Injuries and Illnesses in the U.S. by Industry" or the "Survey of Occupational Injuries and Illness," for more information on current injury and incidence rates and rate calculations. The three-year operating history will be waived for mobile work sites. However all other qualifying criteria must be met. Construction sites must have been in operation for at least 12 months preceding the application.

E. HIOSH History. An applicant's history must include no open investigations, no pending or contested citations, no notices under appeal at the time of the application, and no affirmed willful violations during the prior 36 months. Within the same period, any HIOSH inspections, abatements, or any other interaction with HIOSH must indicate good faith attempts to improve worker safety and health.

F. Injury/Illness Experience.

1. Two rates reflecting the experience of the most recent 3 calendar years must be below the most recent specific industry national or state average, whichever is lower, for nonfatal injuries and illnesses (at the most precise level available, either three or four digits) published by the Bureau of Labor Statistics (BLS). These rates are:
 - a. The 3-year total recordable case incidence rate (a single rate that reflects 3 years of total recordable injuries and illnesses), and
 - b. The 3-year incidence rate for cases involving days away from work and restricted work activity (previously referred to as the lost workday case incidence rate).
2. Some applicants, usually smaller worksites with limited numbers of employees and/or hours worked, may use an alternative method for calculating incidence rates. The alternative method allows the employer to use the best 3 out of the most recent 4 years' injury/illness experience.
 - a. To determine whether the employer qualifies for the alternative calculation method, do the following:
 - Using the most recent employment statistics (hours worked in the most recent calendar year), calculate a hypothetical total recordable case incidence rate for the employer assuming that the employer had two cases during the year;
 - Compare that hypothetical rate to the most recently published BLS combined injury/illness total recordable case incidence rate for the industry; and
 - If the hypothetical rate (based on two cases) is equal to or higher than the national average for the firm's industry, the employer qualifies for the alternative calculation method.
 - b. If the employer qualifies for the alternative calculation method, the best 3 of the last 4 calendar years may be used to calculate both 3-year rates (specified in (1)(a) and (1)(b) above) for the employer.
3. The construction applicant, at the time of approval, must meet the following criteria:
 - a. The site for which HVPP application is being made must have been in operation for at least 12 months.
 - b. The applicant's total recordable case incidence rate and its incidence rate for cases involving days away from work and restricted work activity, from site

inception until time of application, must include all workers of all subcontractors and must be below the national average for the type of construction at the site according to the most appropriate and representative SIC code. The site's SIC code is determined by the type of construction project, not individual trades.

Note: Employers on the current HIOSH's Cooperative Compliance Program (HICCP) list will not be eligible for participation in the HVPP.

III. Program Requirements.

A. Employer Responsibilities. Employers requesting initial participation in HVPP must agree to the following:

1. A full-service consultation survey of all conditions and operations at the establishment, including a complete safety and health program review.

Note: A full-service survey is one that addresses all existing and potential safety and health hazards. To accomplish this, the HVPP Director may need to assign more than one HIOSH consultant, i.e., safety, health and other disciplines, to perform the initial on-site survey. The consultants then must work with the employer to correct all hazards identified, both safety and health, and address their continued control by implementing the elements of an effective safety and health program.

The initial on-site survey will be part of the HVPP program review process, which involves a team review consisting of the following positions:

- HVPP Team Leader
- HIOSH Safety Consultant
- HIOSH Health Consultant
- Other technical experts or specialists (process safety, ergonomics, workplace violence, etc), as needed, may be assigned to assist the team. (See flow chart at Appendix H.)

2. Involve employees in the development, operation, and improvement of all elements of the workplace safety and health program and in the decisions that affect their safety and health. Allowing HIOSH consultants to interview employees will be a key part of this process. In the evaluation of Star and Star-Mentor applications, an adequate number of employees will be interviewed so that the evaluation team is satisfied that the employer's program meets all requirements.
3. Partner with the HIOSH Consultation and Training Branch for a period of approximately one year from the date of the initial on-site survey, during which time the employer will strive to:
 - a. Correct all identified safety and health hazards and provide the HVPP Director with written confirmation that all hazards have been corrected.
 - b. Implement all elements of an effective safety and health program.
 - c. Maintain the incidence rate for cases involving days away from work and

restricted work activity, and the total recordable case incidence rate of the establishment below the national or state average whichever is lower for their industry, for the latest three (3) full, consecutive years.

In addition to using the services of the HIOSH Consultation and Training Branch during the initial evaluation period, the applicant may use private sector Certified Safety & Health Professionals (CSHP) to assist in the correction of identified hazards and to improve their safety and health program.

4. Consult in advance with the HIOSH Consultation and Training Branch on any changes in working conditions or work processes which might introduce new hazards into the workplace.
5. Contact the HVPP Director at the end of the initial evaluation period and request a second full-service, on-site survey.
 - a. The second on-site survey will be conducted to verify that all of the requirements for HVPP approval have been met (all hazards corrected, all elements of the safety and health program in place and operating effectively, and that the employer's incidence rates are below the national or state average whichever is lower for their industry).
 - b. If verification is made during the second on-site survey, that all requirements have been met, the employer may then be recommended by the HVPP Director to receive the HVPP Certificate of Recognition.
6. A flow chart visually shows the sequence of activities from request to participate, to award of certificate. (See Appendix H.)

B. Employers With Existing Exemplary Programs.

1. Employers who meet all of the eligibility and qualifying criteria for HVPP may be recommended for final approval. Such employers will have exemplary safety and health programs, with no existing workplace hazards. They have succeeded in making safety policies and programs an integral part of their organizational fabric and actively strive for a zero accident culture.
2. The following criteria must be met by such an employer:
 - a. The company must demonstrate that their incidence rates are currently below the national or state average whichever is lower for their industry, and that the rates have been maintained below this level during the period of three

consecutive years immediately preceding the date of the initial consultation on-site survey. Mobile work sites need not meet the three year requirement. Construction sites must have been in operation for at least 12 months.

- b. All other HVPP requirements must be met.
 - (1) If any minor safety and/or health hazards are identified in the initial visit, all such hazards must be corrected and correction must be verified in writing by the employer prior to HVPP approval.
 - (2) All elements of a fully effective safety and health program must be in place and functioning.
 - (3) Program elements must be observed by the consultant, and their effectiveness must be fully documented on the OSHA Form 33, Safety and Health Program Assessment Worksheet.

C. Star-Mentor Program Applicants.

- 1. Some employers may meet most of the requirements described previously and still not be eligible because of their size. These employers have much to contribute to other employers since their good injury experience most likely is due to conscientious effort and effective program implementation. These employers can offer safety program assistance based on actual program success, and not just theory. It would be counterproductive to workers' safety and health to exempt them from HVPP eligibility.

HIOSH will benefit from these programs, also, due to the higher-quality applications submitted by work sites that are working with a mentor. The program also assists HIOSH in its goal of worker protection and the expansion of safety and health program management expertise.

Star-Mentor applicants will receive the same benefits (awards and recognition) as Star applicants.

- 2. Employers not otherwise eligible to enter the Star Program may elect to apply for the Star-Mentor Program. Star-Mentor employers must have incidence rates below the national or state average whichever is lower for their industry at the time of application. The Star-Mentor status provides the qualifying employer all of the incentives of the HVPP program. In return, the Star-Mentor employer agrees to assist at least one (1) other employer per year to establish their programs to become eligible for entry into the HVPP.

3. Employers choosing the Star-Mentor option will assist small employers in their geographic area to meet the eligibility requirements for entry into the HVPP. The employers to be mentored will be selected by HIOSH from a list of applications and viable prospective applicants maintained by the HVPP Director. Consideration will be given to the compatibility of the employers before they are selected to work together.
4. Mentoring must consist of at least the following:
 - a. Regularly scheduled meetings between the mentoring employer and the mentee.
 - b. Assistance with all the elements the employer will need to implement an effective safety and health program specific to the mentored employer's work site.
 - c. Adequate education and training in the area of hazard identification, evaluation and control, so that the mentored employer can become reasonably self-sufficient in recognition and control of hazards long after the mentoring program is completed.
 - d. Actual in-plant or on-site tours for the purpose of hazard recognition, identification and recommendations for hazard elimination.
 - e. The mentoring employer serving as a resource, as needed, for questions on the safety and health program, hazard recognition or control, safety and health training, HVPP application or application process, etc. They will also share techniques they have developed to communicate the benefits of HVPP participation to management and labor.
 - f. Assist the mentee with the HVPP application so that it will be more likely to contain all the proper elements.
5. Mentors are not expected to do the following:
 - a. Create a safety and health system or specific programs at the mentee work site.
 - b. Ensure mentee is in compliance with HIOSH standards.
 - c. Organize safety committees at mentee's facility.
 - d. Convince any HVPP skeptics at mentee work site.

- e. Investigate any incidents at mentee work site.
 - f. Resolve any labor-management issues at mentee facility.
 - g. Charge a fee for any services provided under paragraph III.C., except as necessary to cover the cost of materials and supplies, etc. This will not preclude the recovery of fees for items that go beyond what is required in paragraph III.C..
6. Mentees shall be responsible for the following:
- a. Review of their own safety and health systems to identify areas where they need assistance.
 - b. Provide updates or feedback to the mentoring employer and HVPP Director on program progress.
 - c. Agree to address issues identified through the mentoring program.
7. Employers in the mentoring program will not be allowed to mentor other divisions, subsidiaries or other companies owned by the same management or corporation.
8. The mentoring employer must be very explicit in explaining to the mentee that all advice and suggestions made are recommendations only, and it is the mentee's responsibility to determine the appropriateness of the recommendations for his/her particular operation. The mentored employer must also be alert to ensure the recommendations made are consistent with all standards, codes, rules, regulations, etc., and that the implementation of the recommendations will resolve a safety or health issue and will not create or increase any hazard.
9. Employers entering the mentoring program must notify the HVPP Director of any real or potential possibilities for conflict of interest, or issues that might not be in the best interest of the employer being mentored, or HIOSH. Mentoring employers will also avoid any part of an operation involving any trade secret or confidential information, or where trade-secret or confidential information might reasonably be expected.
10. The following criteria must also be met by the mentoring employer:
- a. The mentoring employer must demonstrate that his/her LWDI rate and IIR are currently below the national or state average whichever is lower for his/her industry and that the rates have been maintained below this level during the period of three (3) full, consecutive years immediately preceding

the date of the initial consultation on-site survey. Mentoring employers from mobile work sites (construction, etc.) must also demonstrate the stipulated rates and periods for their organization.

- b. All other HVPP requirements must be met:
 - (1) Any safety and/or health hazards identified must be corrected and correction must be verified in writing by the mentoring employer.
 - (2) All elements of a fully effective safety and health program must be in place and operating.
 - (3) Program elements must be observed by a consultant and their effectiveness must be fully documented on the OSHA Form 33, Safety and Health Program Assessment Worksheet.

D. Posting of Notice of Application. All applicants must post a copy of the Employer Notice of Application to Participate in HVPP. (See Appendix C.)

E. Posting of Hazard List. All applicants must post (upon receipt) the list of hazards identified by the consultant to provide greater protection for employees during the correction process.

F. Submission of LWDI and IIRs. All applicants must provide the HVPP Director with their incidence rates for the previous year by January 31 for each year that they continue in the program.

G. HIOSH Consultation Program Responsibilities.

- 1. Upon application receipt, the HVPP Director will perform a preliminary review of the application to pinpoint any major deficiencies and to notify the applicant that the identified deficiencies must be rectified prior to application acceptance and further processing. In addition, the HVPP Director will determine whether the application has sufficient merit to warrant an on-site survey to be conducted by the HVPP team.
- 2. It is the responsibility of the HVPP Director to ensure that all of the requirements for HVPP have been met by the employer prior to forwarding a request to the HIOSH Administrator to issue an HVPP certificate.
- 3. The HVPP Director will assure that priority will be given to employers applying for entry into HVPP based on:
 - a. Resources committed to their program.

- b. Potential for the biggest impact on safety and health.
 - c. Potential for impacting other employers (other high-hazard employers believing that compliance is possible or recognizing the benefits of entry into the program).
 - d. The amount of commitment of the highest company official on site to be involved in the application and in all conferences.
3. The HVPP Team Leader will assist the HVPP Director with overall responsibility of program administration including but not limited to:
- Marketing of the program.
 - Providing assistance in the initial selection of employers into the program based on predetermined criteria contained elsewhere in this chapter.
 - Acquisition and review of written materials from the selected employer prior to the first on-site survey.
 - Receiving and reviewing the initial OSHA Form 200 for injury and illness trends.
 - Conducting an analysis of the employer's safety and health program with emphasis on upper and middle management roles and responsibilities.
 - Coordinating and compiling all other information collected by the staff, including the written report to the employer.
 - Collecting progress reports relating to the employer's safety and health program corrective actions instituted as a result of the consultation assessment.
 - Coordinating the second on-site survey, upon request or before the one-year interval, when the determination of certification will be made.
 - Reviewing requests for continued HVPP participation by employers.
 - Using experience modification ratings for this assessment.
 - Maintaining the HVPP log of applicants who become certified. (See Appendix J.)
4. The safety consultant will be responsible for conducting the comprehensive survey of the employer's work site. The term "comprehensive" means a review of the processes and tasks performed on the work site. It does not mean that the consultant is required to evaluate every piece of equipment or process in the facility. For example, if the employer has multiple pieces of the same equipment, the consultant will review one or more of the units for hazards (e.g., grounding, guarding, lockout/tagout, personal protective equipment, etc.), establish corrective dates for the hazard(s) noted and, in addition, will require the employer to do similar evaluations of the remaining units or his/her own so all equipment will be made safe. Time frames for these evaluations will be explained to the employer and corrections will be

verified by the safety consultant.

5. The health consultant will be responsible for conducting a comprehensive health survey of the employer's work site. The term "comprehensive" means a review of the processes and tasks performed on the work site. It does not mean that the consultant is required to measure or assess every hazardous substance, physical hazard or infectious agent possible in the facility. The time required to do such monitoring would be prohibitive. The health consultant will perform limited monitoring, note hazards discovered and establish correction dates with the employer. For those operations not monitored, the health consultant will explain how the employer can perform such monitoring on his/her own or by utilization of outside resources such as the insurance carrier or private industrial hygiene consultation firms. Time frames for completion of the "self-monitoring" tasks will be explained to the employer and correction will be verified by the health consultant. The goal is to also educate the employer on the process of assessing health hazards. The health consultant will sample for the most prevalent chemicals.
6. The safety consultants and health consultants will be responsible for assisting the HVPP applicant with the development of an effective labor-management safety committee, since the primary goal here is to educate the employer and help the employer become more self-sufficient in his/her efforts to assure a safe and healthy workplace. In addition, the consultants will address the labor-management safety committee member selection, roles, responsibilities and training.
7. The safety consultants and health consultants may be required to conduct employer and/or employee training. Training sessions may relate to the HVPP program concept or may be related to the specific training needs identified during the on-site survey. The consultants may also make referrals for training to available training resources outside HIOSH, in order to achieve desired results.
8. Each HVPP team member participating in the applicant review process will prepare a written report, which will be labeled as "preliminary". The report will be sent to the HVPP Team Leader for incorporation into the final "comprehensive" report, which will be sent to the employer by the HVPP Director upon completion by the HVPP Team Leader. The report will focus on strengths and areas for improvement related to the safety and health program [see IV(C)(3) & (4).]
9. Each HVPP team member participating in the applicant review process will be responsible for conducting all interviews as necessary for his/her portion of the comprehensive review. When possible, employee interviews shall be coordinated so as to minimize redundancy and disruption of the work site. All HVPP team members may also be called upon to assist with other interviews, in addition to those conducted in their specific part of the comprehensive review.

All participating HVPP team members will be responsible for the tracking and correction of all hazard items they observe on the on-site survey and for the notification to the HVPP Team Leader of the status of the hazard items.

10. During the period that the employer is working toward HVPP approval, the HVPP Director may schedule additional training and assistance visits at the site to help the employer meet HVPP requirements. These visits also will be scheduled if and when the HVPP Director is not confident that the employer has understood all of the requirements for HVPP. The purpose of the additional visits is to work with the employer to develop the elements of an effective safety and health program and to provide necessary employer and employee training.

As with all initial visits:

- a. Where verification of serious hazard correction is not satisfactory or timely, a follow-up visit must be conducted.
 - b. Follow-up visits will also be conducted when the identified serious hazards have been corrected.
 - c. During this period, there is no exemption from HIOSH programmed inspections. Procedures in the Field Operations Manual will be followed by HIOSH personnel, as with any inspections where there are conflicts or overlap.
11. On-site verification that all HVPP requirements have been met will take place in the second comprehensive visit, normally at least one year following the date of the initial on-site survey. At the time of this visit, all elements of an effective safety and health program must be in place and operating.
 - a. If new hazards are found, the HVPP Director must be confident, based on subsequent receipt of the employer's written assurance, that all hazards have been corrected and that the program will operate effectively. If the HVPP Director lacks full confidence in the employer's written assurance, a follow-up visit must be conducted to verify that all HVPP requirements have been met.
 - b. If the new hazards reflect significant deficiencies in the safety and health program, the company cannot be recommended for HVPP final approval. Final approval will be granted when all deficiencies have been corrected and the HVPP Director is confident that the program will operate effectively thereafter.

- c. Should hazards in the second visit be identified as hazards which remain uncorrected from the first on-site survey, these uncorrected serious hazards would constitute grounds for referral to the Enforcement Branch. This is especially true since the employer by this point would have provided written verification of “correction” sometime during the past year. In such cases, the employer will not be recommended for HVPP final approval and will not be allowed to continue in the HVPP process.

12. Removal from HIOSH General Schedule Inspection Lists:

- a. Programmed Inspection Schedule. Employers who meet the requirements for HVPP will have the names of their establishment removed from HIOSH Programmed Inspection Schedules for the duration of their participation. The exemption is open-ended, and will extend from the date of issuance of the HVPP Certification of Recognition by the HIOSH Administrator. The exemption will continue so long as the participating site:
 - Maintains its excellent safety and health program as evidenced by favorable evaluation by HIOSH every 30 to 60 months; and
 - Submits the annual information required, e.g., annual rates data and program evaluation

Note: In the construction industry, Star Program participation ends with the completion of construction work at the site.

- b. Inspections at HVPP Sites. At HVPP sites, HIOSH will continue to make inspections in the following categories:
 - (1) Imminent danger.
 - (2) Fatality/Catastrophe
 - (3) Property damage in excess of \$25,000
 - (4) Formal complaints.
 - (5) Referral from a safety compliance officer to a health compliance officer.
 - (6) Referral from a health compliance officer to a safety compliance officer.

Note: Referrals from other government agencies will be conveyed to the consultation branch for handling unless the HIOSH Administrator concludes that it reflects a hazard of sufficient urgency to require an inspection.

(7) Follow-up on previously-cited violations.

IV. HVPP Procedures.

A. Dissemination of Information on HVPP. The HVPP Director and consultants will inform employers about the opportunity to pursue HVPP. This information will be provided in at least one of the following ways: in publicity and promotion for the program; in response to inquiries on consultation services; and/or in the opening conference while providing on-site services. (See Appendix A for letter to be given potential HVPP candidates.)

1. Consultation personnel will stress that the intent of HVPP is to:
 - a. Recognize the safety and health achievements of **exemplary** employers.
 - b. Require a commitment on the part of employers to work closely with their employees and the consultation branch to develop, implement, and continuously improve the workplace safety and health conditions of their work site through the development and implementation of an effective safety and health program.
2. Employers will be informed that in order to pursue HVPP they must undergo a full-service safety and health visit, and work with the consultation branch over approximately a one-year period (the subsequent year) to correct all hazards, develop and implement an effective safety and health program, and lower their incidence rates to below the national or state average whichever is lower for their industry.
3. The HVPP Director is responsible for responding to questions concerning HIOSH policy on HVPP. In addition, HIOSH staff will encourage employers who are interested in HVPP to contact the HIOSH Consultation and Training Branch.

B. Effect On Scheduling Requests.

1. Priorities. The priority accorded a consultation request generally will not be affected by the fact that it involves pursuit of HVPP, although an employer who meets the requirements of Section II of this chapter will generally fall into a high-priority category.
2. Re-evaluation. An employer may request re-evaluation of its HVPP status. Because of the employer's commitment to exceptional worker protection, the request for re-evaluation will be assigned high priority.
3. Concurrent Visits. Whenever a HVPP request is serviced, safety consultants and health consultants will, whenever schedules permit, make concurrent visits. If this is not possible, initiation of one visit will not be delayed more than 60 calendar days

following the starting date of the first.

- a. All consultation visits related to HVPP will operate in accordance with 29 CFR 1908, Consultation Agreements, the “Consultation Policies and Procedures Manual” (CPPM), and the approved Cooperative Agreement. Chapter VI of the CPPM provides specific procedures for on-site consultation.
 - b. Establishments pursuing H VPP approval will receive a full-service consultation survey covering all conditions and operations in the workplace.
 - c. A single safety or health consultant may cover both safety and health issues at a work site if the HVPP Director is confident that the consultant has the training and experience necessary for the specific site. This will normally include cross training in the discipline in which the consultant is not a specialist.
4. Expertise. The HVPP Director will take special care to ensure that consultants assigned to establishments pursuing HVPP approval have the expertise necessary to identify and evaluate hazards, to evaluate safety and health programs in those establishments, and to provide assistance in hazard correction and/or safety and health program improvement.

C. Procedure.

1. Opening Conference. In the opening conference, the consultant will review the employer’s request for consultation assistance. If the employer has previously expressed, or in the opening conference, expresses an interest in pursuing HVPP, the consultant will review the program requirements with the employer to ensure that the employer understands the commitment necessary to pursue HVPP.
2. Employee Participation. Employers electing to pursue HVPP must be committed to developing a comprehensive, written, and operational safety and health program that involves employees in significant ways that affect their safety and health.
3. Full-Service Survey. A full-service survey of the employer’s establishment must be conducted covering all operations, including a complete safety and health program review. All hazards identified will be discussed in light of how an effective safety and health program would address their continued correction and control. Using the OSHA Form 33, guidance found in the “HIOSH Handbook For Small Businesses,” and the “HIOSH Safety and Health Program Workbook”, the consultant will discuss the elements of an effective program with the employer.

- a. The employer will be informed that the consultant will remain available to work with the employer and employees to develop or improve any existing program or program elements.
- b. HVPP candidates must receive superior scores on the OSHA Form 33. It is anticipated that HVPP- approved sites will never receive less than a “3” on any indicator and that most scores will be “4s.” In addition, for each indicator, extensive documentation providing information on what evidence helped the consultant identify or verify program adequacy must be noted in the space provided on the OSHA Form 33 or elsewhere in the case file. This more rigorous level of documentation is warranted and necessary because employers receiving the HVPP final approval are expected to be models of excellence within the HIOSH program. Evidence of program achievements must be documented in detail.

Where an indicator does not apply to a particular situation for the employer, the circumstances of this event must be fully documented on the OSHA Form 33, describing why the indicator does not apply to the work site. Further documentation must also be included in the establishment’s case file to fully support the program indicators that remain applicable.

4. Written Report. After the consultant conducts the full-service survey, the employer will be advised that a written report explaining the findings of the visit and confirming any agreed on correction periods will be provided at a later date. The written report will reflect the consultant’s findings and recommendations for hazard correction, safety and health program improvements, and the action plan to which the employer agreed, in order to meet HVPP requirements.
5. Closing Conference. In the closing conference, the consultant will:
 - a. Describe the hazards identified during the walk-through.
 - b. Discuss possible methods of correction.
 - c. Describe the adequacies and deficiencies of the employer’s workplace safety and health program.
 - d. Decide with the employer, the extent to which additional on-site visits may be needed during the interim one-year (approximately) period prior to the full-service review to provide safety and health program assistance and training assistance.
 - e. Develop a schedule for one or more such visits, as needed.

- f. Leave at least one copy of the completed OSHA Form 33 with the employer so that the employer can use it as a tool to work toward full safety and health program implementation in the subsequent year.
- g. Remind the employer that at the end of the interim one-year (approximately) period, the employer is responsible for requesting a second full-service visit for final, on-site evaluation of HVPP approval.

D. Action Plan. The consultant will work with the employer to develop an action plan that addresses the employer's progress in meeting the requirements of HVPP.

- 1. The action plan is developed with the employer in the initial full-service survey. Together, the consultant and the employer will use the on-site time in the initial survey to agree on the terms of the action plan and the time frames for achieving specific items.
- 2. The action plan outlines the specific steps that must be accomplished by the employer to merit HVPP approval. The action plan must address in detail:
 - a. The employer's correction of all identified safety and health hazards, with time frames.
 - b. The steps necessary for the employer to implement an effective safety and health program (the OSHA Form 33 plus additional information as necessary), with time frames.
 - c. A statement of the employer's commitment to work with the consultation branch to achieve HVPP approval. (See Appendix C.) This includes a commitment to consult with the consultation branch should new processes be planned which might introduce new hazards into the workplace.

E. Submission of HVPP Requests for Approval and Certificate Issuance.

- 1. The HVPP Director, after ensuring that the employer has met all requirements for final approval, will obtain from the employer a signed letter requesting HVPP approval. (See Appendix E.) The HVPP Director will submit the employer's request to the HIOSH Administrator and inform the employer that if approved, the site will be exempt from HIOSH Programmed Inspection Schedules for the duration of their participation [except as stipulated in paragraph III(12)(b)].
- 2. On receipt of written verification that the employer has met all of the requirements for HVPP approval, the HVPP Director will:

- a. Provide a copy of the HVPP certificate to the employer, which will include the company's name, location, and date of issuance.
 - b. Notify the appropriate enforcement branch manager(s) to remove the company from the HIOSH Programmed Inspection Schedule effective from the date of issuance of the HVPP certificate.
 - c. Maintain for HIOSH's records a copy of the letter that accompanied the HVPP certificate to the employer.
3. Awards issued to the employers obtaining HVPP approval shall consist of the following:
- a. The HVPP certificate. (See Appendix G.)
 - b. A plaque congratulating the employer and the employees on achieving this level of excellence in their safety and health partnership.
 - c. A flag identifying the employer as one of the few to meet the stringent qualifications for certification, so that they could be recognized by everyone for their achievement.

F. Re-evaluation Requirements.

1. Employers granted initial HVPP approval may apply for re-evaluation within 30 to 36 months of the initial HVPP Star approval. At that time, an on-site evaluation team will conduct a full-service safety and health survey to ensure that the safety and health program has been effectively maintained or improved. Workplace hazards must be under control and elements of the safety and health program must be operating effectively.
2. The employer must demonstrate that the incidence rates for the establishment have remained below the most recent specific industry national or state average whichever is lower during the period of the HVPP approval.
3. Re-evaluation is dependent on the assessment of continued program effectiveness. If all HVPP requirements are verified as operating effectively during a consultant's on-site survey, the HVPP Director will inform the employer that a request for continuation of their participation may be submitted. The employer must submit a request for continuation, in writing, to the HVPP Director. (See Appendix F.) The HVPP Director will forward the request to the HIOSH Administrator, who will issue an HVPP certificate to the employer, with the date of issuance, and inform the Enforcement Branches of the employer's continuation as a HVPP approved site.

G. Confidentiality.

Confidentiality of the HVPP application and on-site survey documents will be the same as the standard consultation procedures. During the application process and probationary period, the application is confidential and therefore restricted solely to HVPP- related activity. For any work site under HVPP review, information gathered during the on-site survey cannot be used for any enforcement activity unless the worksite has refused to correct hazards found by the HVPP team. Materials considered by the employer to be confidential or revealing of trade secrets shall be viewed on site. Only the applications of approved participants will be kept in a public file.

V. **Failure to Meet or Maintain Requirements.**

A. **Termination of HVPP.** An employer's HVPP approval will be terminated if the HVPP Director or the HIOSH Administrator determines that the employer failed to meet or maintain HVPP requirements, represents a lack of good faith in relation to those requirements, and/or exhibits a significant reduction in worker protection. Except in egregious cases, the employer should be given the opportunity to withdraw from the program, rather than be terminated.

1. The following are some specific situations:
 - a. The employer fails to maintain the elements of the safety and health program in a way that significantly reduces worker protection, and/or reflects an inadequate commitment to the program.
 - b. A fatality or catastrophe investigation results in the issuance of a citation for a violation that directly contributed to the cause of the fatality/catastrophe, or the HIOSH Administrator or the HVPP Director concludes that a weakness in the safety and health program allowed for the fatality or catastrophe.
 - c. The employer fails to maintain the required incidence rates.

In smaller establishments, it is recognized that a single injury or small number of injuries may have a large impact on subsequent rates. The nature and cause of the injury and the overall quality of the program will be considered. Such establishments may also use the alternative method for calculating rates [See paragraph II(F)(2)].

- d. The employer does not provide complete and timely written verification of correction of serious hazards, or an on-site visit verifies that serious hazards continue to go uncorrected.

While the HVPP team will not issue citations and penalties, they will not ignore hazards. Should all attempts at cooperative resolution fail and the serious hazards continue to go uncorrected, the HVPP team has a responsibility to recommend to the HVPP Director that enforcement action be taken.

- e. An employer is found to be in violation of HIOSH standards or the Hawaii Occupational Safety and Health Law, in an 8(e) discrimination case which was filed after HVPP approval.

B. **Withdrawal from HVPP.** The Notice of Participation and/or the Certificate of Recognition must be returned to the HVPP Director in 30 days.

C. Unionized sites. If any authorized collective bargaining agents object to the site's involvement in HVPP, the employer will be advised that the pursuit of HVPP cannot be formalized or must be terminated until such time as a labor-management agreement is reached on this issue.

D. Relocation. Establishments that are physically relocated will be automatically dropped from the program. Employers must return the Certificate of Recognition and reapply at their new location. Mobile work sites, i.e., construction sites which become inactive due to job completion or other reason, will also be dropped from the program.

E. Termination Procedures. The employer will be notified in writing of the program's final decision to terminate HVPP approval, the reason(s) for this decision, and the reentry requirements.

Note: If the reason for termination is the employer's failure to correct serious hazards or standards violations, appropriate referral to HIOSH enforcement will be made.

Appendix A

HVPP: Information For Employers

What is HVPP?

The U.S. Department of Labor's Occupational Safety and Health Administration (OSHA), in conjunction with the Hawaii Occupational Safety and Health Division (HIOSH), has a special program to recognize exemplary achievements by employers in the area of workplace safety and health. The program is called HVPP, the Hawaii Voluntary Protection Program. HVPP establishes a cooperative workplace relationship involving management, labor, and HIOSH to reach a common goal of workplace safety and health.

HVPP is geared to small, high-hazard workplaces. Participation in the **Star Program** is open to employers with fixed work sites of 100 employees or less. If you manage multiple sites, you can participate if you have a total workforce of no more than 250 employees statewide. Each site will be evaluated and approved individually. Larger size employers and mobile work sites, including construction, are eligible for participation in the **Star-Mentor Program**.

If your work site is qualified to participate in the HVPP, you will be part of a select group of employers who voluntarily take the steps needed to ensure their employees' safety and health. You will demonstrate to your employees and your community that you have successfully implemented a high quality safety and health program and are a leader in the safety and health field. HIOSH is confident you will discover that, by developing a well-managed safety and health program--which is the basis of HVPP--you will not only protect your workers from injuries and illnesses, but will also reduce workers' compensation costs, improve employee morale, and increase work site productivity.

These are the kinds of successes which VPP work sites across the nation have experienced. To help you, the HIOSH Consultation and Training Branch (HIOSH C&T) will provide free guidance and technical assistance.

What is required of my company?

There are progressive phases in the HVPP. During the probationary period, you will establish or improve your workplace safety and health program. To participate in HVPP at this phase, you must submit an HVPP application and:

1. Undergo a free safety and health consultation survey of your entire workplace.
2. Correct all hazards identified by the consultant within reasonable, established time frames.
3. Establish and maintain the basic elements of an effective safety and health program.

These are:

- ***Management Leadership*** in the development and operation of safety and health policies, goals, and objectives, and program activities.
 - ***Employee Involvement*** in structuring the safety and health program, program operations, and in decision-making that affect their safety and health.
 - ***Work Site Analysis*** to identify hazards, review accidents and injuries, and recognize injury and illness trends.
 - ***Hazard Prevention and Control*** programs and procedures.
 - ***Training*** for employees, supervisors and managers in safe and healthful work practices.
4. Notify the HVPP Director when you have corrected all hazards and established your safety and health program's basic elements.
 5. Agree to request another consultation visit if major changes occur in working conditions or work processes that may result in new hazards.
 6. Post a notice advising your employees about your participation in HVPP. After correcting your work site hazards, post a second notice listing the hazards that have been identified and corrected.

What is an on-site survey?

As a part of the evaluation process, HIOSH must verify that your safety and health program, as detailed in your application, is fully operational and addresses all potential hazards at the site. Therefore, HIOSH needs to come to your site and conduct an on-site survey.

The survey will be arranged at the mutual convenience of HIOSH and the applicant. The survey team will consist of a team leader, plus safety and health specialists as required by the size of the site and the complexity of the safety and health program. The time required for the initial on-site survey will depend upon the size of the site. Surveys average 2 to 4 days on site, unless the site has complicating factors.

If, at the conclusion of the initial on-site survey, the applicant needs to take actions to meet one or more of the requirements for approval, reasonable time will be allowed for those actions to be taken before a recommendation is made to the HIOSH Administrator. Where necessary, an on-site visit will be made to verify actions taken after the initial on-site survey.

If, in the opinion of the survey team, the applicant has met the requirements of HVPP, the team's recommendation will be made to the HVPP Director, who, on concurrence, will recommend approval to the HIOSH Administrator.

What will the team be doing during its on-site survey?

The team performs a review that includes several steps:

- Initial Meeting
- Document Review
- Walk through
- Formal Interviews
- Closing Meeting

Initial Meeting

The HVPP team will hold a brief introductory meeting with you and your key people. Any company representatives who may be called upon to assist the team should be in attendance. Employees who are accountable for meeting or maintaining HVPP requirements should also attend. The team leader will describe the HVPP approach and what the team expects to accomplish. You will have the opportunity to point out special accomplishments that may not be a part of the application.

Document Review

The HVPP team will review records of your safety and health program and other related documents, if they exist, and are relevant to the application of the safety and health program. The HVPP Application (Appendix D) contains a list of the documents that will be reviewed during the on-site survey.

Walk through

The survey team will walk through your facility to ensure that the program is fully operational. They will also be assessing the adequacy of the program to handle potential hazards. During the walk through, the team will ask you to address or correct any significant hazards. The team will have brief, informal interviews with randomly selected employees. The talks will be held near employee work stations so interruption of work can be avoided.

What will happen if the team sees an apparent violation of HIOSH standards?

During the on-site survey, the HVPP team will be looking for evidence that your program is creating and maintaining safe and healthful working conditions. Any hazards that they may observe will serve as indicators that some aspect of your program may need improvement. **While the HVPP team will not issue citations and penalties, they will not ignore hazards.** They will work with you to determine how and when to correct any hazards they see. If corrections require more time than the on-site survey allows, they will ask to be notified when the corrections have been completed. Should all attempts at cooperative resolution fail, the HVPP team has a responsibility to recommend to the HVPP Director that enforcement action be taken.

Formal Interviews

Formal interviews will be requested with a small number of your employees. These interviews will help to validate employee awareness of and participation in the overall safety and health program. Each formal interview should last about 20 minutes and will be scheduled with the consent of management. A private space will be requested for these interviews. All questions asked will relate to the site safety and health program.

Why does HIOSH need to talk to my hourly employees?

HIOSH talks to randomly selected workers to gauge overall employee awareness of and involvement in the safety and health program, and to determine their understanding of what HVPP approval would mean. Your program will only succeed if everyone becomes involved and feels a responsibility. Talking to workers is the best way to determine their commitment.

The impact of any negative comments by an employee will depend on the extent to which they are corroborated by other team findings and on the gravity of the problem they may reflect.

In cases where a safety and health system is too informal for adequate documentation, interviews with workers, supervisors, and managers are the only evidence establishing the program's effectiveness. Making workers a part of the on-site survey emphasizes their importance in making the safety and health program work.

Closing Meeting

The HVPP team will have a closing meeting to discuss their findings and recommendations. If the team thinks that additional work needs to be done before approval for HVPP participation, they will make their recommendations and allow a reasonable period of time for the work to be completed.

What if I choose not to do what the team deems necessary to meet HVPP requirements?

HIOSH knows that because you volunteered for this program, you have a great deal of faith in what the HVPP stands for. We try to make the review process as convenient as possible, but should you decide against doing what is necessary to meet the requirements, you have the option of withdrawing the application rather than have it denied.

Are HVPP applications and survey documents kept confidential?

Confidentiality of the HVPP application and on-site survey will be the same as the standard consultation procedures. During the application process and probationary period, the application is confidential and therefore restricted solely to Hawaii VPP-related activity. For any work site under HVPP review, information gathered during the on-site survey cannot be used for any enforcement activity unless the work site has refused to correct hazards found by the HVPP team.

Only applications of approved participants will be kept in a public file. Matters considered confidential or trade secrets will be viewed and discussed on site. We do not want your application to HVPP to have any adverse impact on you.

What happens when I complete all requirements of the program?

When you have completed the requirements during the probationary period and have reduced your site's incidence rates according to HVPP guidelines, you will receive a Certificate of Recognition, an HVPP plaque, and a HVPP flag. Your company may choose to use the program logos on such items as letterhead, shirts, and mugs. The Director of the Department of Labor and Industrial Relations, Administrator of the Hawaii Occupational Safety and Health Division, and/or designated representatives will visit your worksite for a ceremony to present the awards and to commemorate your HVPP status.

Active participation in HVPP, reductions in your incidence rates, and improvements in your safety and health program may qualify you for continuation in HVPP. Upon your request, HIOSH will re-evaluate your program and work site within 30 to 42 months of the initial approval to confirm that the site continues to meet HVPP criteria.

In further recognition of your commitment to voluntary excellence, and because HIOSH believes that well-managed and effective safety and health programs require less governmental enforcement oversight, the HVPP awards carry with them removal from HIOSH programmed inspection lists. HIOSH reserves the right, however, to respond to fatalities, catastrophes, and formal employee complaints.

If you decide to withdraw from HVPP, or if the consultant determines you are not meeting program requirements, you will be expected to return the Certificate of Recognition and the employee notice to the HIOSH Division. You still will be obligated to correct any serious hazards within agreed-upon time frames.

Where can I get more information?

The HVPP Director can help you with any questions you have about self-assessment, the application, or other HVPP matters.

**Hawaii Occupational Safety & Health
Consultation & Training Branch
830 Punchbowl Street
Honolulu, Hawaii 96813
Telephone: (808) 586-9100
FAX: (808) 586-9104**

The HVPP Director can also refer you to other participants, locally and on the mainland, so you can contact them about their experience.

Appendix B

Employer Self-Assessment Checklist

The items listed below will help you determine your eligibility for the HVPP program. Check each item that you currently have or would be willing to implement. When you have completed the checklist, check the score box at the end of this appendix to see how you measure up.

When you are ready to submit your application, the HVPP staff will be glad to help.

Management Commitment

- A managerial commitment to worker safety and health protection.
- Top management's personal involvement.
- Safety and health concerns integrated into management's overall planning cycle.
- A safety and health program managed in the same ways as your productivity and quality are implemented.
- Necessary resources for worker protection.
- A results-oriented safety and health policy.
- Clearly assigned safety responsibilities with documentation of accountability from top management to line supervisors.
- Equal protection for contract workers as well as for your own employees.

Safety and Health Program

- A written safety and health program appropriate to the size of your site and your industry. The program should address all the elements in the checklist.

Rates

- Have incidence rates below the national or state average whichever is lower for your type of industry for the latest three (3) full, consecutive years.
- Annual injury rate records and employment statistics.

Total Recordable Case Incidence Rate is calculated:
$$\frac{(\#inj + \#ill) + (\#inj + \#ill) + (\#inj + \#ill)}{EH + EH + EH} \times 200,000$$

where:

(#inj + #ill) = number of recordable injuries and illnesses in one year
EH = total number of hours worked by all employees in one year
200,000 = equivalent of 100 full-time workers working 40-hour weeks, 50 weeks per year

Incidence Rate for Cases Involving Days Away from Work and Restricted Work Activity is calculated:

$$\text{One year rate} = \frac{\text{lost/restricted inj} + \text{lost/restricted ill}}{EH} \times 200,000$$

where:

lost/restricted inj = number of injuries resulting in lost workdays and/or restricted work activity
lost/restricted ill = number of illnesses resulting in lost workdays and/or restricted work activity

Worksite Analysis

- A method to evaluate existing or potential hazards in your workplace such as comprehensive surveys.
- A pre-use analysis procedure for new processes, materials, or equipment to determine potential hazards.
- Environmental evaluations and appropriate monitoring of toxic substances and noise.
- Monthly self-inspections with written documentation and correction tracking.
- Routine hazard analysis procedures which result in improved work practices or training for employees.
- A reporting system whereby employees pass on their observations or concerns to management without fear of reprisal.
- Accident investigations with written documentation.

Hazard Prevention and Control

- Access to certified safety and health professionals.
- Engineering and administrative controls adequate for the hazards at the worksite.
- Written safety rules and practices well known to all employees.
- A consistent disciplinary system for all employees who disregard the rules.
- Written rules for use and maintenance of personal protective equipment.
- Written plans to cover emergency situations.
- A hazard correction tracking procedure.
- Onsite or offsite medical and emergency services.
- First-aid trained personnel on staff during all shifts.

Safety and Health Training

- Manager, supervisory, and employee training, with emphasis on safe work practices.
- Training in the use and maintenance of personal protective equipment.
- Emergency preparedness drills.

Employee Participation

- Employee involvement in activities with major impact on the safety and health program.

Program Evaluation

- Annual program evaluations, with written reports and recommendations for changes.

Review

- Records of employee reports, self-inspections and evaluations, accident investigations, and industrial hygiene monitoring and sampling available for HIOSH's review.

Concurrence

- Formal, signed statements from all collective bargaining agents indicating their support of your application to the HVPP.

Scorebox:

If you checked each item or could within a few months, in all areas addressed in this self-assessment checklist, you may qualify for recognition as a HIOSH-approved HVPP participant.

Appendix C

Employer Notice Of Application To Participate In The HVPP

This is to notify all affected employees of my intention to participate in the Hawaii Voluntary Protection Program (HVPP). HVPP was established by the Hawaii Occupational Safety and Health Division (HIOSH) and is administered by the HIOSH Consultation and Training Branch (HIOSH C&T). It provides special recognition to employers who establish comprehensive and effective workplace safety and health programs, correct all identified hazards, and meet other requirements.

After approximately a one-year probationary period, I intend to pursue the HVPP award, which carries with it an exemption from programmed HIOSH inspections.

A series of comprehensive on-site consultation safety and health surveys of this establishment is in progress. I have agreed voluntarily to eliminate all hazards identified through the on-site consultation surveys. I agree to provide for review, written information relating to our safety and health program. All employees will have an opportunity to see a summary that describes the hazards identified by the evaluation team. This summary will be posted when the hazards have been eliminated.

I will implement and continue to maintain an effective safety and health program, in accord with guidelines required for HVPP participation.

I have agreed to call the HIOSH Consultation and Training Branch for further assistance in the event that I implement new work processes that may result in new hazards.

I understand that during this period, this facility will continue to be subject to HIOSH programmed inspections. A performance review conducted by the HVPP team at the conclusion of this period will determine eligibility for participation in HVPP. In addition to successfully completing the performance review, I must submit a letter verifying that all identified hazards have been corrected, an effective safety and health program is operating, and that I wish to continue participating in HVPP. This facility will then be eligible for the HVPP award, and this facility will be removed from HIOSH's programmed inspection lists. Every 30 to 60 months, this facility's safety and health program will be re-evaluated for continued HVPP participation and for continuation of the exemption from HIOSH programmed inspections.

I understand that this facility's HVPP participation will not affect completion of any programmed inspections in progress, including those involving a pending follow-up on previously cited violations, or a "cross referral" from safety to health inspectors or vice versa. I also understand that HIOSH may continue to inspect this worksite in response to a fatality/catastrophe, imminent danger, property damage in excess of \$25,000, or an employee complaint.

I understand that we may withdraw in writing our participation at any time or for any reason should we so desire.

Signature of Employer

Title

Date

Appendix D

HVPP Application

Your HVPP program application must address each item listed below. Use of the numbering system below helps speed review of your application. Where existing policies, guidelines, forms, etc., describe your programs, you may enclose them and add the appropriate number used in the numbering system for this application. As you provide the information asked for in this appendix, you will be providing an overview of your company’s safety and health activities. This overview will give you a better understanding of your safety and health system’s existing strengths and weaknesses.

I. General Information

1. Company name:
2. Site address:
3. Company address if different from site:
4. Site C.E.O.: (name and title)
5. HVPP site representative: (name and title)
6. Representative address if different from site:
7. Corporate name if different from company name:
8. Corporate HVPP representatives if applicable: (name and title)
9. Company site phone number:
10. Corporate phone number:
11. Collective bargaining representatives: (agent(s), address(es), phone number(s))
12. Number of employees at site:
13. Type of work performed and products produced at site:
14. Industry SIC code (4- or 3-digit number):
15. Total injury incident rate and total lost workday injury case rate at site: for each of the last three complete, consecutive calendar years and average of those years. See worksheet below.

199__	Total Recordable Case Incidence Rate (col. 1,2,6, Involving 8,9, & 13)	Incidence Rate for Cases Involving Days Away from Work & Restricted Work Activity (col. 2 & 9)	Employee-hours Worked
Site	_____	_____	_____
Contractors	_____	_____	_____
Temporary	_____	_____	_____
Total	_____	_____	_____

199__	Total Recordable Case Incidence Rate (col. 1,2,6, Involving 8,9, & 13)	Incidence Rate for Cases Work & Restricted Work Activity (col. 2 & 9)	Employee-hours Worked
Site	_____	_____	_____
Contractors	_____	_____	_____
Temporary	_____	_____	_____
Total	_____	_____	_____

200__	Total Recordable Case Incidence Rate (col. 1,2,6, Involving 8,9, & 13)	Incidence Rate for Cases Work & Restricted Work Activity (col. 2 & 9)	Employee-hours Worked
Site	_____	_____	_____
Contractors	_____	_____	_____
Temporary	_____	_____	_____
Total	_____	_____	_____

Total Recordable Case Incidence Rate

$$\frac{(199_N) + (199_N) + (200_N)}{(199_EH) + (199_EH) + (200_EH)} \times 200,000 = 3 \text{ years of total recordable injuries and illnesses}$$

Incidence Rate for Cases Involving Days Away from Work & Restricted Work Activity

199__ N__ divided by EH__ multiplied by 200,000 = _____

199__ N__ divided by EH__ multiplied by 200,000 = _____

200__ N__ divided by EH__ multiplied by 200,000 = _____

Total _____ divided by 3 = Three-year average _____

Note: **Total Recordable Case Incident Rates** are calculated (N/EH) x 200,000 where:

N = Number of recordable injuries & illnesses in one year (plus any contractor, temporary, and miscellaneous that have worked on site 1,000 or more hours during any quarter).

EH = Total number of hours worked by all employees in one year at the site. This figure is to include all contractor, temporary, and miscellaneous that have worked on site 1,00 or more hours during any quarter.

200,000 = Equivalent to 100 full-time employees working 40-hour weeks, 50 weeks per year.

Incidence Rate for Cases Involving Days Away from Work & Restricted Work Activity is calculated with the same equation where:

N = Number of injuries and illnesses resulting in lost workdays and/or restricted work activity (plus any contractor, temporary, and miscellaneous that have worked on site 1,000 or more hours during any quarter).

EH = Total number of hours worked by all employees in one year at the site. This figure is to include all contractor, temporary, and miscellaneous that have worked on site 1,00 or more hours during any quarter.

200,000 = Equivalent to 100 full-time employees working 40-hour weeks, 50 weeks per year.

II. Management Commitment and Planning

1. **Commitment:**

- a. Attach a copy of your site's established safety and health program.
- b. Describe your current goals for the safety and health program with the objectives for meeting those goals.

2. **Organization:**

- a. Provide a description of how the safety and health function fits into the overall management organization.
- b. Include a description of personnel and other resources devoted to the safety and health program.
- c. Include information about any certified professionals used and access to industrial hygiene and medical services.

3. **Responsibility:**

Describe how your company assigns line and staff safety and health responsibility.

4. **Accountability:**

Describe the accountability system you use for line managers and supervisors. Appropriate examples may include job performance evaluations, etc. Explain how the system is documented.

5. **Contract Workers:**

Describe the method you use to assure safe and healthful working conditions for all employees even where more than one employer has employees at the same site. This includes general industry sites if contract employees intermingle with regular employees.

Does this method include consideration of contractor safety and health programs and injury performance as well as the ability to remove a contractor and/or his employees from the site for safety and health violations?

6. **Employee's Rights:**

Describe the method(s) used to ensure that all employees, including new hires as they arrive, will be notified about participation in the HVPP program, their rights to register a complaint with HIOSH, their rights to obtain self-inspection and accident investigation results upon request. (Various methods may include one or a combination of the following: bulletin boards, tool box or work group meetings, and new employee orientation.)

7. **Site Plan:**

Please attach a site map of general plant layout.

III. Worksite Analysis

1. **Pre-Use Analysis:**

Explain how new equipment, materials, and processes are analyzed for potential hazards prior to use.

2. **Comprehensive Surveys:**

Indicate how you spot potential safety and health hazards at the site. Examples are industrial hygiene surveys, comprehensive safety reviews and/or project safety reviews at the time of design.

3. **Self-Inspection:**

Describe your work site safety and health inspection procedures. Include information about inspection schedules and industrial hygiene sampling and monitoring. Indicate who performs inspections and how any necessary corrections are tracked. (You may attach sample forms and internal time frames for correction.) Where applicable to health hazards, summarize the testing and analysis procedures used and qualifications of personnel who conduct them.

4. **Job Hazard Analysis:**

Relate how you review jobs, processes, and/or interaction of activities to determine safe work procedures. (Not to be confused with self-inspections.) Include procedures or guidance techniques used in conducting job hazard analysis. Also, how are results used in planning and implementation of your hazard correction and control program?

5. **Employee Notification Of Hazards:**

Describe how employees notify management when they see conditions and/or practices that may be hazardous to safety or health. What mechanism is used for responding to employees? How are corrections tracked? (You may attach forms or procedures.)

6. **Accident Investigations:**

Describe or attach any forms and procedures for conducting accident investigations. What training and/or guidance is given to investigators? Are all accidents, including first-aid cases, investigated? What about near-miss incidents?

7. **Medical Program:**

Describe the medical/first-aid program. Include onsite and offsite medical service or physician availability. Include a list of number of people trained in first-aid, CPR, para-medical training, and bloodborne pathogens, indicate which training they have received.

IV. Hazard Prevention and Control

1. **Professional Expertise:**

Provide details concerning your use of the services of certified professionals. What industrial hygiene services and broad-based safety expertise are available to you?

2. **Safety and Health Rules:**

List your company's rules, and describe the disciplinary system you use for enforcing them.

3. **Personal Protective Equipment:**

Describe your company's rules regarding personal protective equipment requirements. If respirators are used, attach a copy of the written respirator program.

4. **Emergency Preparedness:**

Describe your company's emergency planning and preparedness program. Include information on emergency or evacuation drills.

5. **Preventive Maintenance:**

Provide a summary and description of your procedures for preventive maintenance of your equipment.

V. Safety and Health Training

Describe formal and informal safety and health training programs for your employees. Include supervisors' training schedules and information on: hazard communication, personal protective equipment and handling of emergency situations. (Sample attendance lists and tracking methods, if any, may also be attached if desired.)

VI. Employee Involvement

1. Describe the ways employees are involved in the safety and health program, providing specific information about decision processes that employees impact such as hazard assessment, hazard analysis, safety and health training or evaluation of the safety and health program.
2. If you have a safety and health committee, complete the following information where applicable:
 - a. Date of committee inception
 - b. Method of selecting employee members
 - c. Name, job and length of service of each member
 - d. Average length of service of employee members
 - e. Description of committee meeting requirements
 - * Frequency
 - * Quorum Rules
 - * Minutes (you may attach samples)
 - f. Description of committee role
 - * Frequency and scope of committee inspections
 - * Procedures of inspecting entire worksite
 - * Role in accident investigation
 - * Role in employee hazard notification
 - * Other

- g. List safety and health information accessible to and used by the committee.

VII. Program Evaluation

1. Provide a copy of last year's comprehensive review and evaluation of your entire safety and health program. Assessments of the effectiveness of the areas listed in these application guidelines should be included.
2. Documents that will be reviewed during the on-site consultation survey include the following:
 - Written safety and health program
 - Management statement of commitment to safety and health
 - The OSHA 200 log for the site and for all applicable contractor employees on the site, with appropriate back-up documentation
 - Safety and health manual(s)
 - Safety rules, emergency procedures, and examples of safe work procedures
 - The system for enforcing safety rules
 - Reports for employees of safety and health problems and documentation of the response
 - Self-inspection procedures, reports, and correction tracking
 - Accident/incident investigation reports
 - Safety and health committee minutes
 - Employee orientation and safety training programs and attendance records
 - Industrial hygiene monitoring records
 - Annual safety and health program evaluations and site and/or corporate audits, including the documented follow-up activities, for at least the last three years
 - Preventive maintenance program
 - Line supervisor accountability documentation
 - Contractor safety and health program(s)
 - Other records that provide relevant documentation of qualifications
2. Describe your involvement within your community to assist other companies in providing knowledge and resources pertaining to both safety and health.
3. Include any other information you may consider crucial to the application.

VIII. Statement Of Commitment

1. **Union Statement:**

If your site is unionized, the authorized collective bargaining agent(s) must sign a

statement to the effect that they either support the HVPP application, or that they have no objection to the site's participation in HVPP. The statement should be submitted with the application and must be on file before HIOSH comes on site. Expressions of the commitment of non-union employees are welcome but not required.

2. **Assurances Statement:**

Please refer to Appendix C, "Employer Notice Of Application To Participate In HVPP," and either place on your stationary and sign, or attach a letter which provides the same assurances in your words. [A statement of this type regarding management commitment to safety and health is required for the application.]

Appendix E

Sample Employer Award Letter To HVPP Director

Dear (HVPP Director):

All hazards identified during the on-site consultation visit of your consultant have been corrected, and all elements of an effective safety and health program are operational. (The consultant may require more detailed explanation in a separate communication.) These actions have been verified by your on-site visit or by my confirmation letter.

In addition, I have posted my Employer Notice of Application to Participate in the HVPP and a listing of corrected hazards for all employees to see.

I agree to contact you should major changes in working conditions or work processes occur, and I agree to submit OSHA 200 records for each year during the award period. I also agree to random on-site visits by consultants during the award period to ensure that all conditions for the award are being maintained.

I REQUEST, THEREFORE, THAT YOU FORWARD THIS WRITTEN ASSURANCE AND REQUEST FOR A HVPP AWARD AND CERTIFICATE OF RECOGNITION TO THE ADMINISTRATOR OF THE HAWAII OCCUPATIONAL SAFETY AND HEALTH DIVISION.

Signature of Employer

Date

Complete Company Name

Complete Company Mailing Address

[The above employer letter to the HVPP Director is a sample that provides the necessary information to which employers must attest before the HVPP Director can request the HIOSH Administrator to grant the award. Consultants should provide employers with a copy of this letter or advise them of the required items to include in such letters.]

Appendix F

Sample Employer Letter to HVPP Director To Request Continuation in HVPP

Date

Dear (HVPP Director):

All hazards continue to be identified and corrected, and all elements of an effective safety and health program are operational. (The consultant may require more detailed explanation in a separate communication.) These actions have been verified by your on-site visit or have been confirmed by my letter.

In addition, I have posted my Employer Notice of Application to Participate in HVPP and a copy of this request letter for all employees to see.

I request, therefore, that you forward this written assurance and request for continued HVPP participation, and a Certificate of Recognition, to the Administrator of the Hawaii Occupational Safety and Health Division.

Signature of Employer

Date

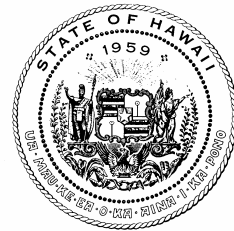
Complete Company Name

Complete Company Mailing Address

[The above employer letter to the HVPP Director is a sample that provides the necessary information to which employers must attest before the HVPP Director can request the HIOSH Administrator to grant a HVPP extension and continued participation. Consultants should provide employers with a copy of this letter or advise them of the required items to include in such letters.]

Appendix G

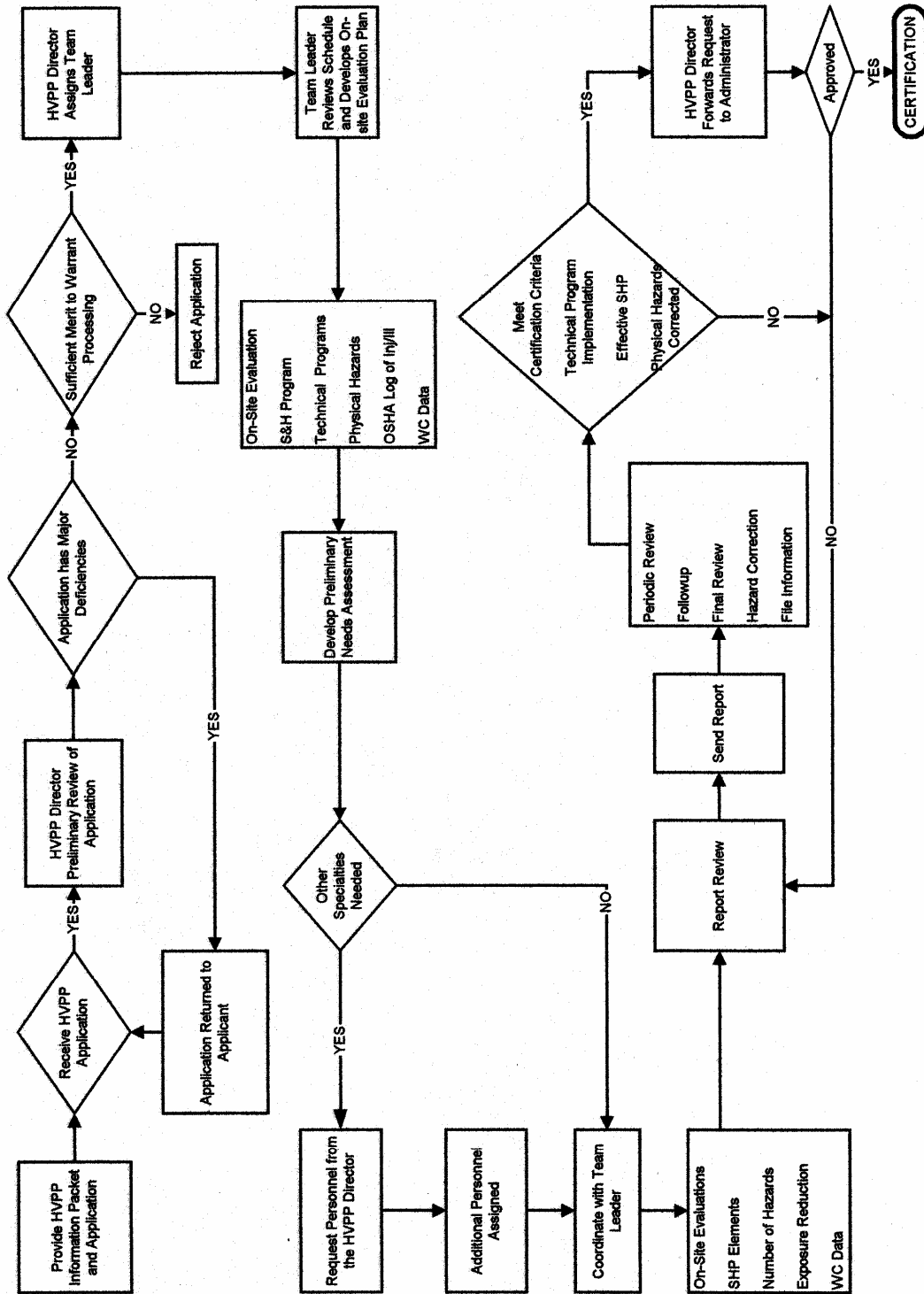
HVPP Certificate of Recognition



**Certificate of Recognition
(Sample)**

Appendix H
Flow Chart For HVPP Program

Flow Chart for the State of Hawaii Voluntary Protection Program (HVPP)



Appendix I

Sample Acceptance Letter

Dear (HVPP Applicant):

Thank you for your request for (continued) participation in the HVPP program. We are very pleased to inform you and your employees that you have been selected for (continued) participation in the program. Your commitment to work with your employees to develop an exemplary safety and health program identifies your workplace as one of a very select group to participate in this program.

A consultant will soon be contacting you to make an appointment to evaluate your work site and to provide you with further instruction.

We look forward to helping you achieve final/continued certification in HVPP and the benefits of that accomplishment.

Sincerely,

HVPP Director

Appendix K

Sample Letter From HVPP Director To HIOSH Administrator

Date

Dear (HIOSH Administrator):

On **(date)**, we completed a survey of the following establishment:

Employer
Complete Company Name
Complete Company Address

The attached letter is provided as confirmation that the employer has removed all hazards identified during the on-site consultation visit to that establishment.

In addition, the employer has established and/or maintained all elements of an effective safety and health program in accordance with requirements for HVPP participation.

Since the employer has met all the requirements for HVPP participation, please provide the above establishment with the appropriate Certification of Recognition. The employer's exemption from all programmed HIOSH inspections will extend from **(beginning date)** to **(ending date)**.

Sincerely,

HVPP Director

Enclosure